

Appendix 14: Documentation Checklist for Fish Processing Enterprises

No.	Feature to assess				
		Yes	No	General comments and observations	Out of compliance comment (s)
1.	Approval Documentation				
	Is the fishery enterprise issued with a Certificate of Compliance with Kenya Standards for Fish and Handling and Processing for the current period?				
	Is the fishery enterprise issued with a Fish Processing Licence for the current period?				
	Is the fishery enterprise issued with a Fish Traders Licence for the current period?				
	Is the fishery enterprise issued with a Crustacean Dealers licence for the current period?				
	Is the fishery enterprise issued with Fish Movement Permit (s) for fish transport vehicles for the current period?				
	If Yes , Indicate No. of FMP				
2.	Layout of the fishery enterprise (plan of working and ancillary premises)				
	Is the layout drawn on A -4 size paper?				
	Is the drawing scale indicated?				
	Are the disposition and characteristics of the equipment indicated on the layout?				
	Does the layout preclude contamination?				
	Are clean and dirty areas separated?				

	Is the layout plan approved?				
	Is there an approved plan for refurbishment (s)?				
	Is the target date(s) for refurbishment (s) plan (s) documented?				
3.	Schematic flow-chart for each product				
	Is the schematic flow chart drawn on A- 4 size paper?				
	Is the drawing scale indicated?				
	Is the flow of product (s) and by-products indicated with distinguishable colours?				
	Does the flow preclude cross-contamination of product(s)?				
	Is there separation between clean and dirty areas?				
4.	Water				
4.1	Is the source (s) of water documented?				
	Is the number and depth of borehole (s) documented (<i>where applicable</i>) ?				
	Indicate the No. and depth of the borehole(s) (<i>where applicable</i>)				
4.2	Is treatment of water documented?				

	Are the number of water tanks and their capacities documented?				
	Indicated the No. of tanks and their respective capacities				
	Are tanks sealing and seal checks documented ?				
	Are the distribution and water reticulation maps drawn on A-4 size paper				
	Are there designated water sampling points?				
	Is criteria for selecting water sampling points documented?				
	Is the water chlorination system documented?				
	Is contact time for chlorination related to the water usage documented?				
	Is there a documented procedure for action when chlorination fails?				
	Is there a documented method of checking Free Residual Chlorine (FRC) levels?				
	Is the frequency of FRC checks documented?				
	Are FRC records satisfactory?				
	Is there a documented alarm system to monitor FRC levels?				
	Are the parameters that trigger the alarm system documented?				

Is the procedure for checking the alarm system documented?				
Is the alarm maintenance log kept?				
Are there other water disinfection systems?				
Are other water disinfection system documented?				
Describe the other water disinfection system				
Is there a documented procedure for water sampling?				
Is the frequency of bacteriological examination of water documented?				
<p data-bbox="323 867 793 894">Are the following parameters analysed?</p> <ul data-bbox="323 935 768 1255" style="list-style-type: none"> <li data-bbox="323 935 554 963">• Total coliforms, <li data-bbox="323 1008 453 1036">• <i>E Coli</i>, <li data-bbox="323 1081 669 1109">• TVC @22°C and @ 37°C <li data-bbox="323 1154 768 1214">• Clostridium perfringens (including spores), <li data-bbox="323 1227 594 1255">• faecal streptococci 				
Are the results of analysis satisfactory?				

	Is Sodium thiosulphite used for FRC inactivation?				
	Are results of analysis correlated with sampling records?				
	Are sampling points indicated on the results of analysis?				
	Is the frequency of physico-chemical analysis of water documented?				
	<ul style="list-style-type: none"> What is the frequency? 				
	<ul style="list-style-type: none"> Are results of analysis satisfactory? 				

5.	HACCP plan				
5.1	Does the Company have a clearly defined HACCP policy statement?				
	Is the policy statement documented?				
	Does the policy statement include financial commitment, skills development and conviction by the top management ?				
5.2	HACCP team				
	Is there a designated HACCP Team leader?				
	Are copies of the HACCP Team Leaders' qualifications available for inspection?				

	Is the HACCP Team Leader qualified for the designated tasks?				
	Does the HACCP Team Leader have powers to make decisions?				
	Are copies of other HACCP Team members' qualifications available for inspection?				
	Are other HACCP team members qualified for their tasks?				
5.3	Composition of Product(s)				
	Are qualitative and quantitative characteristics of the product documented?				
	Are physical and chemical characteristics of the product documented?				
	Is the treatment that the product is subjected to during processing documented ?				
	Is the type of packaging documented?				
	Are storage and distribution conditions documented?				
	Is the product's Shelf life documented?				
	Are instructions for use of the product documented?				
	Are microbiological and chemical criteria applied on the product documented?				
5.4	Intended use				
	Is the product use;				
	<ul style="list-style-type: none"> intended for general population? 				

	<ul style="list-style-type: none"> • predicted by the consumer? 				
	Are possible adaptations of the product by certain consumer groups (caterers, canteens, travellers, and sensitive people) documented?				
5.5	Process flow diagram(s)				
	Are the number/type of the processing operation (s) documented?				
	Is the sequence of the processing operations logical?				
	Are the duration/delays between operations documented?				
	Is pertinent technical data of the operations documented?				
	Does the flow of product (s) preclude contamination?				
	Does the movement of personnel preclude contamination?				
	Are the conditions of product storage/distribution documented?				
5.6	Hazard Analysis				
	Have all potential hazards been identified?				

	Is the cause (s) of each hazard identified (contamination, survival, re-contamination, multiplication, persistence)?				
	Are details of the control measures documented?				
	Is the person responsible for control measures documented?				
5.7	Critical control points				
	Has a logical approach (e.g. decision tree) been used in identifying CCPs				
	Are critical control points (CCP) identified (<i>if applicable</i>)				
5.8	Critical Limits				
	Are critical limit(s) identified for each measure intended for the control of each hazard?				
	Do the critical limits comply with set standards ?				
	Are critical limits validated?				
5.9	Monitoring procedures				
	Are monitoring procedures documented?				
	Is the frequency of monitoring documented?				
	Are persons responsible for monitoring documented?				

	Are monitoring records validated?				
5.10	Corrective Actions				
	Are corrective actions when monitoring shows loss of control documented?				
	Is the person responsible for corrective actions documented?				
5.11	Verification of the HACCP system				
	Is the procedure for verification documented?				
	Is the frequency of verification documented?				
	Is the person responsible for verification documented?				
	Are actions documented when changes occur in;				
	<ul style="list-style-type: none"> • product formulation, • processing, • regulations and standards? 				
5.12	Record-keeping system				
	Are monitoring records available?				
	Are corrective action(s) records available				
	Are HACCP modifications records available?				

	Are HACCP verification/revision records available?				
6.	Cleaning				
6.1	Documented Cleaning and Sanitation Programme				
	Is there a documented Cleaning and Sanitation programme?				
	Are all items/ sections targeted for cleaning listed?				
	Are target soils documented?				
	Are cleaning and disinfection procedures documented?				
	Are the names of detergents and disinfectants used documented?				
	Are the concentrations of detergents and disinfectants used?				
	Is the frequency of cleaning documented?				
	Is the frequency of cleaning adhered?				
	Is the person (s) responsible for the cleaning and sanitation programme documented?				
6.2	Documented Visual checks				
	Are visual checks documented?				
	Do the checklists used indicate items/section to be checked, target soils?				
	Is the person responsible for corrective action (s) (in case of deviation) documented?				

6.3	Laboratory analysis of swabs		
	Is the procedure for taking of swabs (surface and personnel) documented?		
	Are the following parameters analysed;		
	<ul style="list-style-type: none"> • Total Plate Count, • Coliforms, • <i>E. Coli</i>, • <i>Staphylococcus aureus</i>? 		
	Is the documented frequency of taking swabs adhered to?		
	Are the results of analysis satisfactory?		
7.	Personal Hygiene and Health checks		
	Is a medical supervision programme for fish handlers documented?		
	Are valid medical certificates for fish handlers available?		
	<ul style="list-style-type: none"> • Indicate the number of valid medical certificates? 		
	Is good personal behaviour and cleanliness for fish handlers documented?		
	Is the health status declaration and behaviour of visitors documented?		
8.	Pest Control		
	Is pest control programme documented?		

	Is the pest control programme contracted out?			
	Is a valid contract available?			
	Indicate the name of the contracted firm			
	Is the frequency of treatment documented?			
	What is the frequency of the treatments?			
	Has the bait map been developed			
	Has the bait map been endorsed by the contracted firm?			
	What is the total number of bait stations?			
	Are records of observations documented?			
	Are chemicals used approved by the Pest Control Products Board?			
	Is there a documented procedure following usage of chemicals?			
	Are internal initiatives on pest control documented?			
	Are in-house pest control records maintained?			
9.	Temperature Registration			
	Is the frequency of temperature checks documented?			
	Are the types of temperature recording devices documented?			
	Are records of calibration of temperature recording devices available?			

	Are the following temperature monitoring records available?				
	<ul style="list-style-type: none"> • Dial gauge • Thermograph charts 				
	Are temperature records during the product storage available ?				
	10. Products Entry and Exit				
	Are products entry and exit records kept?				