

**Food Business Root Cause Analysis Report Form**

## Introduction: For completion by the food business

A root cause analysis (RCA) can be undertaken to determine the initial cause of a food safety incident. Details of the RCA should be recorded on this form in the event of a food recall where the Food Standards Agency (FSA) has issued an Allergy or Food Alert.

This report form allows RCA information to be recorded through a choice of two methods – the ‘5 Whys?’ or the ‘Fishbone / PEM PEM’.

More information on RCA can be found through the [root cause analysis course](https://rcatraining.food.gov.uk/) or contact your competent authority for further advice.

This form should be completed by the investigating officer / representative and submitted to the Food Standards Agency via the enforcement authority, as indicated in the sections below.

## Section A: For completion by the FSA

FSA Reference (if available):

|  |  |
| --- | --- |
| Allergy Alert or Product Recall Information Notice (PRIN) reference: | Click or tap here to enter text. |

|  |  |
| --- | --- |
| Incident (I) reference: | Click or tap here to enter text. |

## Section B: For completion by the food business

Food business details:

|  |  |
| --- | --- |
| Name: | Click or tap here to enter text. |

|  |  |
| --- | --- |
| Address including Postcode | Click or tap here to enter text. |

Food business investigating officer / representative details:

|  |  |
| --- | --- |
| Name | Click or tap here to enter text. |

|  |  |
| --- | --- |
| Telephone number | Click or tap here to enter text. |

|  |  |
| --- | --- |
| Email | Click or tap here to enter text. |

**Product name(s):**

| Click or tap here to enter text. |
| --- |

**Description of product(s):**

| Click or tap here to enter text. |
| --- |

## Root Cause Analysis – Option 1: ‘5 Why’s?’ method

**Step 1** State the specific problem associated with the food incident in the box below

| Click or tap here to enter text. |
| --- |

**Step 2** Why did the problem happen? Write the answer in the box below

| Click or tap here to enter text. |
| --- |

**Step 3** If the above answer does not identify the root cause of the problem stated in the answer to Step 1, ask ‘Why?’ again and write the answer in the box below

| Click or tap here to enter text. |
| --- |

 **Step 4** Loop back to Step 3 and ask ‘Why?’ again; until the team reaches agreement that the root cause of the problem has been identified. This may require asking ‘Why?’ fewer or more than 5 times.

| Click or tap here to enter text. |
| --- |

 **Step 5** Loop back to Step 3 and ask ‘Why?’ again; until the team reaches agreement that the root cause of the problem has been identified. This may require asking ‘Why?’ fewer or more than 5 times.

| Click or tap here to enter text. |
| --- |

| **Root Cause Analysis** | **Outcome** |
| --- | --- |
| State the initial issue (the root cause) that led to the food incident occurring | Click or tap here to enter text. |
| State the corrective measures identified to prevent incident reoccurrence | Click or tap here to enter text. |

## Root Cause Analysis – Option 2: Fishbone/PEM PEM method

### Source: People

| Source(s) & Reason(s) for Error(s) | Select | Description | Root cause determined & corrective measures identified to prevent incident reoccurrence |
| --- | --- | --- | --- |
| Procedures not followed - one-off operator error or intentional (please indicate which) | [ ]  | Click or tap here to enter text. | Click or tap here to enter text. |
| Training – absent or incomplete | [ ]  |
| Understaffing / Sickness | [ ]  |
| Other | [ ]  |

### Source: Environment

| Source(s) & Reason(s) for Error(s) | Select | Description | Root cause determined & corrective measures identified to prevent incident reoccurrence |
| --- | --- | --- | --- |
| Inadequate lighting | [ ]  | Click or tap here to enter text. | Click or tap here to enter text. |
| Inadequate space / layout | [ ]  |
| Inadequate temperature control | [ ]  |
| Other | [ ]  |

### Source: Method

| Source(s) & Reason(s) for Error(s) | Select | Description | Root cause determined & corrective measures identified to prevent incident reoccurrence |
| --- | --- | --- | --- |
| Cleanliness - absent or inadequate | [ ]  | Click or tap here to enter text. | Click or tap here to enter text. |
| Specifications - absent or non-compliance | [ ]  |
| Work instructions - absent or inadequate  | [ ]  |
| Other | [ ]  |

### Source: Plant

| Source(s) & Reason(s) for Error(s) | Select | Description | Root cause determined & corrective measures identified to prevent incident reoccurrence |
| --- | --- | --- | --- |
| Machinery failure  | [ ]  | Click or tap here to enter text. | Click or tap here to enter text. |
| Machinery – incorrect use  | [ ]  |
| Machinery damage | [ ]  |
| Routine maintenance – absent or inadequate (e.g. inspection, testing, measurement or adjustment) | [ ]  |
| Servicing – absent or inadequate | [ ]  |

**Source: Equipment**

| Source(s) & Reason(s) for Error(s) | Select | Description | Root cause determined & corrective measures identified to prevent incident reoccurrence |
| --- | --- | --- | --- |
| Ancillary devices | [ ]  | Click or tap here to enter text. | Click or tap here to enter text. |
| Computer/IT issues | [ ]  |
| Printer/scanner issues e.g. barcodes | [ ]  |
| Weighing machine – inaccurate calibration | [ ]  |
| Other | [ ]  |

**Source: Material**

| Source(s) & Reason(s) for Error(s) | Select | Description | Root cause determined & corrective measures identified to prevent incident reoccurrence |
| --- | --- | --- | --- |
| Composition – incorrect ingredients / substitution | [ ]  | Click or tap here to enter text. | Click or tap here to enter text. |
| Contaminated product | [ ]  |
| Food storage - inadequate or inappropriate  | [ ]  |
| Labelling - absent / incomplete / incorrect  | [ ]  |
| Packaging – defective / incorrect | [ ]  |
| Other | [ ]  |

## Section C: For completion by the enforcement authority

|  |  |
| --- | --- |
| **Name of enforcement authority** | Click or tap here to enter text. |

###

### Enforcement Officer details:

|  |  |
| --- | --- |
| **Name** | Click or tap here to enter text. |

|  |  |
| --- | --- |
| **Job Title** | Click or tap here to enter text. |

|  |  |
| --- | --- |
| **Telephone** | Click or tap here to enter text. |

|  |  |
| --- | --- |
| **Email** | Click or tap here to enter text. |

|  |  |
| --- | --- |
| Date | Click or tap here to enter text. |

Enforcement authorities should submit the completed Food Business Root Cause Analysis Form to the appropriate Food Standards Agency Incident Team detailed below:

In England foodincidents@food.gov.uk

In Wales wales.foodincidents@food.gov.uk

In Northern Ireland incidents.ni@food.gov.uk

## Section D: For completion by the FSA

**Description of food safety incident**

Please tick the appropriate ‘reported’ food safety incident problem(s) and type(s) from the selection below and provide a description of the food safety incident.

| **Nature of problem** | **Type** | **Select** | **Brief description** |
| --- | --- | --- | --- |
| Chemical contamination | Natural (e.g. Mycotoxins)  | [ ]  | Click or tap here to enter text. |
| Residues of Veterinary Medicines  | [ ]  |
| Other | [ ]  |
| Incorrect labelling | Allergen - Undeclared, incorrect emphasis or language used | [ ]  | Click or tap here to enter text. |
| Durability dates  | [ ]  |
| Undeclared ingredient | [ ]  |
| Other | [ ]  |
| Microbiological hazard | Algal toxin | [ ]  | Click or tap here to enter text. |
| E. Coli  | [ ]  |
| Fungal / Mould  | [ ]  |
| Listeria monocytogenes | [ ]  |
| Poor or insufficient controls (e.g. Clostridium botulinum) | [ ]  |
| Salmonella | [ ]  |
| Other | [ ]  |
| Physical contamination | Animal / Insect origin  | [ ]  | Click or tap here to enter text. |
| Glass  | [ ]  |
| Metal  | [ ]  |
| Plastic | [ ]  |
| Rubber | [ ]  |
| Wood | [ ]  |
| Other | [ ]  |
| Packaging (defective/incorrect) | [ ]  | Click or tap here to enter text. |
| Unapproved premises | [ ]  | Click or tap here to enter text. |
| Unapproved processes | [ ]  | Click or tap here to enter text. |
| Other | [ ]  | Click or tap here to enter text. |

### Root Cause Analysis:

Was the root cause of the food safety incident identified? Yes [ ]  No [ ]

**State the initial issue (the root cause) that led to the food incident occurring**

| Click or tap here to enter text. |
| --- |

**State the corrective measures identified to prevent incident reoccurrence**

| Click or tap here to enter text. |
| --- |

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