

**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](mailto:foodincidents@food.gov.uk)

In Wales [wales.foodincidents@food.gov.uk](mailto:wales.foodincidents@food.gov.uk)

In Northern Ireland [incidents.ni@food.gov.uk](mailto: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. |
| --- |

© Crown copyright 2020