#### Food Business Root Cause Analysis

#### Report Form

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| Introduction |

If performed successfully, Root Cause Analysis (RCA) can be used to determine how and why incidents occur, allowing for more effective, long-term preventative actions to be identified and applied. RCA is an approach, tool and technique which can be used to uncover the root cause of any problem.

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

Details of the RCA should be recorded on this form by the investigating officer / representative and submitted to Food Standards Scotland (FSS) via the competent authority. More information on RCA can be found on the [Food Standards Scotland website](https://www.foodstandards.gov.scot/business-and-industry/scottish-food-crime-and-incidents-unit/food-incidents/preventing-incidents) or contact your competent authority for further advice.

FSS reference details (to be completed by FSS):

|  |  |
| --- | --- |
| CLIO Incident Number: |  |

Product name(s) & brief description (to be completed by FSS):

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| For completion by the food / feed business (FBO / FeBO) |

Food / feed business details:

|  |  |
| --- | --- |
| FBO / FeBO Name: |  |
| Address: |  |
| Name of Company Investigating Officer / Representative: |  |
| Telephone: |  |
| E-mail: |  |

Please record details of the root cause analysis using either the 5 why’s or the fishbone / PEM PEM method:

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| --- | --- |
| Root Cause Analysis: | ‘5 Why’s?’ method. This method may require asking ‘Why?’ fewer or more than 5 times. |

|  |  |
| --- | --- |
| Step 1 | State the specific issue associated with the food incident in the box below |
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|  |  |
| --- | --- |
| Step 2 | Why did the problem happen? |
|  | |

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| --- | --- |
| Step 3 | If step 2 does not identify the root cause of the issue, ask “Why?” the issue in step 2 occurred. |
|  | |

|  |  |
| --- | --- |
| Step 4 | If step 3 does not identify the root cause of the issue, ask “Why?” the issue in step 3 occurred. |
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| --- | --- |
| Step 5 | If step 4 does not identify the root cause of the issue, ask “Why?” the issue in step 4 occurred. |
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| **Root Cause Analysis:** | **Outcome** |
| State the root cause that led to this incident occurring |  |
| State the corrective measures identified to prevent incident reoccurrence |  |

Please also complete root cause categorisation on page 5

|  |  |
| --- | --- |
| Root Cause Analysis: | Fishbone / PEM PEM method |

|  |  |  |  |
| --- | --- | --- | --- |
| Source(s) & Reason(s) for Error(s) | Select | Description | Root cause determined & corrective measures identified to prevent incident reoccurrence |
| **Source: People** | |  |  |
| Procedures not followed -one-off operator error or intentional (please indicate which) |  |
| Training – absent or incomplete |  |
| Understaffing / Sickness |  |
| Other |  |
| **Source: Environment** | |  |  |
| Inadequate lighting |  |
| Inadequate space / layout |  |
| Inadequate temperature control |  |
| Other |  |
| **Source: Method** | |  |  |
| Cleanliness – absent or inadequate |  |
| Specifications - absent or non-compliance |  |
| Work instructions - absent or inadequate |  |
| Other |  |
| **Source: Plant** | |  |  |
| Machinery failure |  |
| Machinery – incorrect use |  |
| Machinery damage |  |
| Routine maintenance – absent or inadequate  (e.g. inspection, testing, measurement or adjustment) |  |
| Servicing – absent or inadequate  (e.g. Annual Service Plan, recalibration or parts replacement) |  |
| Other |  |
| **Source: Equipment** | |  |  |
| Ancillary devices |  |
| Computer/IT issues |  |
| Printer/scanner issues e.g. barcodes |  |
| Weighing machine – inaccurate calibration |  |
| Other |  |
| **Source: Material** | |  |  |
| Composition – incorrect ingredients / substitution |  |
| Contaminated product |  |
| Food storage - inadequate or inappropriate |  |
| Labelling - absent / incomplete / incorrect |  |
| Packaging – defective / incorrect |  |
| Other |  |

**Please also complete root cause categorisation on page 5**

Root cause categorisation:

Please select 1 option from the table that best represents the root cause of why this incident occurred. Please consider the very first stage that led to the incident occurring.

|  |  |
| --- | --- |
| Was the RCA People related? | |
| Procedures not followed | Training (absent / incomplete) |
| Understaffing / sickness | Other, please specify: |
| Was the RCA Environmental? | |
| Lighting inadequate | Space / layout inadequate |
| Temperature inadequate | Other, please specify: |
| Was the RCA Procedure related? | |
| Cleanliness (absent / inadequate) | Specifications (absent / incomplete) |
| Work instructions (absent / inadequate) | Other, please specify: |
| Was the RCA Plant / Machinery related? | |
| Machine failure | Incorrect use of machinery |
| Damaged machinery | Routine maintenance (absent / inadequate) |
| Servicing (absent / inadequate) | Other, please specify: |
| Was the RCA Equipment related? | |
| Ancillary devices | Computer / IT issues |
| Printer / scanner issues | Weigh machine (inaccurate calibration) |
| Other, please specify: |  |
| Was the RCA Material related? | |
| Composition (incorrect ingredients / substitution) | Contaminated product |
| Storage (inadequate / inappropriate) | Labelling (absent / incomplete / incorrect) |
| Packaging (Defective / incorrect) | Other, please specify: |

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| **For completion by the enforcement authority** |

Enforcement authority submission details:

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| --- | --- |
| Name of enforcement authority: |  |
| Enforcement officer: |  |
| Telephone: |  |
| E-mail address: |  |
| Date RCA reviewed: |  |