SMALL SCALE FOOD PROCESSOR ASSOCIATION SUPPORTS INDEPENDENT FOOD PROCESSORS & GROWERS	Document No: HUB.HP.REC.112 Effective Date: 01-Jun-22 Revision Date: New
Corrective Action Report	Revised By: MDaskis Approved By: NRoss Reason for Revision New

Preparing an Action Plan for a Corrective Action Request (CAR)

Using the Corrective Action Report Form

1. **Enter the information requested at the top of the form <u>including</u> the Responsible Person**

The objective is to identify the person or people who have the knowledge, time, authority, and competence to correct the non-compliance. This person may also be of value when identifying the root cause of the deviation or non-compliance.

<u>Record</u> the identity, name &/or title of person(s) responsible for the immediate/short term and preventative measures. Ensure they are included in the development of the Work Plan for Corrective Action and the Preventative Action Plan.

2. **Description of the problem or deviation**

The objective is to accurately and, in detail, describe the problem or deviation and include if other product or production areas may be affected. If additional space is required, a separate page, if written, or a larger space, if electronic may be required for the description. The more detail the better.

This area shall also include:

- The nature of the non-compliance?
- When did the problem occur?
- Where is the problem located?
- Action to be taken on affected or potentially affected product.
- What other products may be affected? When did the deviation start? Is it contained in your facility or has affected product left the control of the facility?
- Listing of all affected product, by brand, by size, by quantity and similar products produced prior to this production and possibly other products produced on the same production line or common ingredients.
- Immediate measures necessary to restore control of the deviation.
- What was done and was it effective?
- Who is involved in this problem? Who will lead the determination of the problem and the solution?
- Is this the first time the problem occurred?

a. Description of Immediate /short term measures

The objectives include:

- Control affected product or other thing(s), such as people, processes, or ingredients.
- Take immediate measures to restore control over the deviation so that food products are produced within the legislative requirements.
- Describe the food safety assessment performed or to be performed on the affected or potentially affected product including any disposition of product.
- Describe the immediate / short term measures taken to restore control over the deviation until permanent/preventative measures are planned and implemented.
- Describe the procedure to verify the effectiveness of immediate/short term measures taken.
- List records used to document the actions taken.

Note: Depending on the non-compliance, immediate measures may not be required.

3. **Identification of root cause(s)**

The objective is to identify the root cause(s) so establishments can form appropriate and comprehensive corrective measures that will prevent the recurrence of the deviation.

Start with the problem description:

- Did the CFIA find the deviation and not the establishment? How did the establishment fail to identify the deviation when the product was within their control?
- Identify all potential causes (Environment, Equipment, Personnel, Training, Written Programs, etc.).
- Some causes may have already been corrected by immediate measures, identify if this is the case.
- Identify and describe the root cause(s).
- Challenge the identification to test if it or another cause is the true cause or is a secondary result but may not stop from the deviation recurring in the future.

4. **Description of Work Plan**

The objective is to identify the steps and actions to identify, isolate, and possibly correct the defective product based on the assessment of the products and processes in the description of the problem and deviations.

Correcting the immediate deviation / non-conformance may result in following the recall plan if product is beyond your immediate reach. This may include the following:

- Collaborating with CFIA if the risk is high that ingestion of the product may cause harm to the public including preparing public statements for removing product from distribution.
- Identifying and reconciling the amount of product produced and the location of the product to confirm all product has been identified with that which was produced.
- Investigation and contact with suppliers if the root cause results from an ingredient or packaging or piece of equipment being a culprit. Involving the supplier may assist in assessing the risk of recurrence as well as identifying changes that are required to ensure future production is within compliance.
- Increasing or adding training of employees for immediate inspection of non-compliance product.
- If product is returned from distribution, the product must be isolated, identified clearly with the Recall or Corrective Action Report Number and physically held in a segregated area away from conforming product.

5. **Description of Preventative Measures (Preventative Action Plan)**

The objective is to identify and implement measures to prevent recurrence of the deviation.

- This often requires a description of the preventative measures, how they are integrated into or included in the applicable Standard Operating Procedures.
- Describe and conduct training of the preventative measures to all employees within that area of production.
- If relevant the training may be of benefit to other employees within the facility.
- Establish a date for completion of each planned preventative measures and keep a record of the action date, the date actually Implemented, date tested, those employees taught of the changes and confirmation that the changes resulted in the deviation from not recurring nor any other non-conformance arises from the changes.
- List records used to document the preventative measures taken, ensuring that final product specifications are updated as required and,
- additional testing or validation methods that will identify when a product is out of conformance is implemented and successful.

6. **Description of activities to verify the Efficacy of the Preventative Actions**

The objective is to provide feedback as to whether or not further adjustment is necessary.

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The assessment is the application of temporary procedures, tests, or other evaluations to determine the effectiveness of the measures taken to correct the problem. If successful they will become confirmed preventative actions and incorporated into the regular processes and procedures.

Examples:

- On-site assessment of measures taken.
- Ensuring that staff are adhering to new procedures/instructions by observing and interviewing them.
- Temporarily increasing sampling.
- Temporarily increasing monitoring procedures.

If the problem is not resolved, different or additional corrective measures are required.

- Describe the activities planned to verify the effectiveness of preventative measures.
- Establish a date for completion.
- List records used to document the verification activities.

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CORRECTIVE ACTION REPORT

Return Completed Form to HACCP Co-ordinator Date: _____

Requested by:_____ Time to Complete: _____

Responsible person: _____

Problem/Deviation:
Root Cause:
Work Plan: (Completed by the responsible person):
Preventive Action Plan:

Follow up completed by: _____

Complete: ☐ Not Complete: ☐

Verified Completed/Initial: _____ Date: _____

Acceptable ☐ Unacceptable: ☐

Notes: _____