

Corrective Action and Preventative Action

Applying and Recording Corrective and Preventative Action including Root Cause Analysis

Development

To define detail, scope and purpose.

Development

This information can be used to develop food safety and quality programs that meet the requirements of modern Regulatory, Customer and Industry Standards:

- We take the time to explain the expectations and requirements of food safety and quality compliance as these relate to your food safety and quality programs.
- You may choose to use our Premium Resources to build, enhance or upgrade your food safety and quality program.
- We encourage you to share this webpage with any food compliance associates and peers you believe may benefit from our commitment to providing our users with user-friendly information and resources to achieve superior Food Compliance Culture.
- We welcome your suggestions for additions of general or specific content through the haccp.com Contact Page.

Key Definitions for Corrective Action and Preventative Action

- **Corrective Action:** Corrective action is mandatory action to be taken when a deviation from the Quality System occurs, particularly in relation to a Critical Control Point. Examples of corrective action include the removal of foods from a broken-down chiller and arranging for the chiller unit to be repaired, or further heat treatment of a product that did not reach the required cooking temperature defined as a critical limit.
- **Non-conformance:** A failure to meet a specified requirement, such as a regulatory, customer, industry or internal food safety and quality requirement.
- **Non-conforming Product:** Raw material, work in progress or finished product that does not meet specified requirements and is controlled to prevent unintended use or dispatch.
- **Preventative Action:** At any step in the process where a hazard has been identified, preventative action must be put into place. Examples of preventative action include maintaining correct storage conditions for food products, ensuring that food products are properly rotated in storage, and regularly scheduled maintenance of equipment and premises.
- **Root Cause:** The source of the problem or reason from which a non-conformance has occurred.
- **Root Cause Analysis:** A structured method used to identify the underlying cause of a non-conformance, so that action can be taken to prevent it from recurring.
- **Waiver:** A documented and approved temporary allowance to depart from a defined process or product requirement.

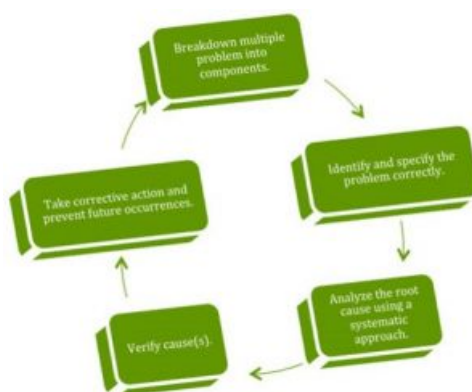
Corrective Action and Preventative Action Development



Corrective and preventative actions feed the Plan, Do, Check, Act cycle of continual improvement.

When considering the development, documentation, and implementation of Corrective Action and Preventative Action within food safety and quality management systems, the following information should be considered to ensure effective outcomes:

About Corrective Action and Preventative Action



A logical sequence moves from identifying the problem to preventing it from recurring.

The application of Corrective Action and Preventative Action within any food business relies on a structured process to consider the root cause of an identified non-conformance, and the application of measures to ensure food safety and quality parameters are maintained on an ongoing basis.

Corrective Action processes commonly include the following elements, which are presented in a logical sequence for a scenario in which a non-conformance has been identified:

- Apply Corrective Action;
- Corrective Action Documentation;
- Corrective Action Verification, Review and Notification;
- Root Cause Analysis;
- Root Cause Documentation;
- Apply Preventative Action;
- Preventative Action Documentation;
- Preventative Action Review and Notification.

Apply Corrective Action



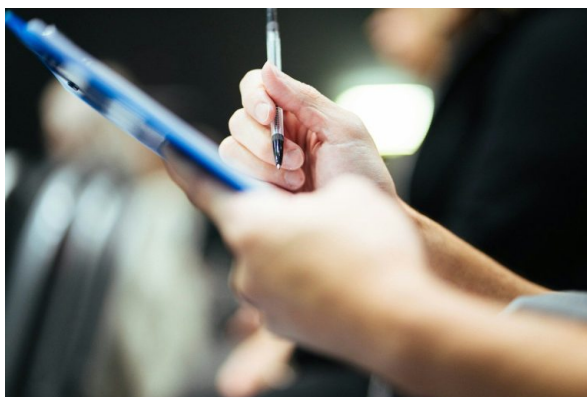
A prompt response at the point of the fault helps bring the process back under control.

This step includes the immediate application of 'physical' Corrective Actions to bring the process back into control, to ensure the safety and quality of foods produced.

Common Corrective Action applications may include:

- Segregation, identification, and evaluation of suspect and confirmed affected food products;
- Ceasing production until 'control' has been re-established;
- Following specific Corrective Action requirements nominated within the HACCP plan where the non-conformance is related to a CCP or QCP;
- Initiating 'non-conforming product' procedures and protocols.

Corrective Action Documentation



Clear records of the non-conformance and the action taken support later review.

This step includes the documentation of details of the non-conformance and applied Corrective Actions.

Requirements commonly considered for the documentation of Corrective Actions include:

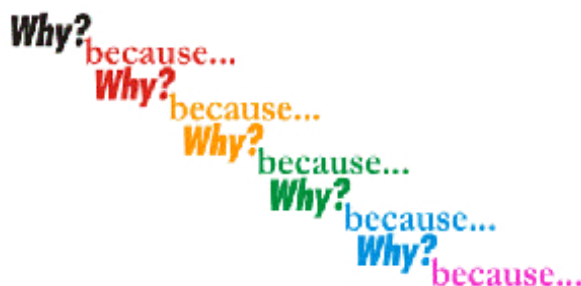
- Date, time, and area of the non-conformance;
- Person who identified the non-conformance;
- Person responsible for the non-conformance;
- Person responsible for Corrective Action;
- Details of the related non-conformance and reason for the Corrective Action;
- Immediate actions are taken, applied, or implemented, and by whom;
- Details of recommended Preventative Actions with timeframes for completion where applicable.

Corrective Action Verification, Review and Notification

This step includes the verification of the effectiveness of the applied Corrective Actions. Corrective Action verification commonly includes a structured review process to ensure key positions within the food business are aware of the non-conformance and its associated Corrective Actions.

Corrective Action review and notification elements may include contacting relevant parties, including Senior Management, Customers, and Regulatory Bodies where applicable. This processing element may include the defining of timeframes for full implementation of Corrective Action and Preventative Action.

Root Cause Analysis



Repeatedly asking why helps trace a non-conformance back to its root cause.

This step includes analysing the root cause of the non-conformance. A root cause analysis activity must be used as an objective tool to determine and document the cause of the non-conformance for which Corrective Action has been applied.

Root cause analysis commonly considers failures such as:

- Failures of prerequisite programs;
- Failures of approved suppliers or service providers;
- Failures of the HACCP systems to identify significant hazards, appropriate control measures, and documented Corrective Actions;
- Failures of previous Corrective Actions and Preventative Actions;
- Failures of organisational structure or position descriptions;
- Failures of Senior Management against the documented Food Safety and Quality Policy.

Root cause analysis must be applied in the holistic sense, including a review of potential causes such as:

- Staff interactions, including the effectiveness of training and competency for required tasks related to the identified non-conformance;
- Resource allocations, including those for financial and human resources;
- Premises and equipment failures;
- Raw material failures, including inputs such as ingredients and packaging.

Root Cause Documentation

This step includes the documentation of the details of the defined root cause.

Requirements commonly considered for the documentation of root causes include:

- Date, time, and area of the root cause;
- Person who identified the root cause;
- Person responsible for the root cause;
- Details of the root cause in relation to the applied Corrective Action;
- Details of recommended Preventative Actions with timeframes for completion where applicable.

Apply Preventative Action

This step includes the application of Preventative Action to prevent the reoccurrence of the initial non-conformance.

Common applications for Preventative Action may include:

- Permanent rectification of the root cause through considered and approved applications;
- Delegation and release of financial or human resources to ensure the non-conformance does not occur again;
- Staff training to ensure general and specific awareness of the non-conformance, Corrective Action, and

Preventative Action;

- Management review of the ongoing outcomes following finalisation of the non-conformance through Corrective Action and Preventative Action.

Preventative Action Documentation

This step includes the documentation of the details of the applied Preventative Actions.

Requirements commonly considered for the documentation of Preventative Actions include:

- Person who identified the Preventative Action;
- Person responsible for the Preventative Action;
- Details of the related non-conformance, Corrective Action, and reason for the Preventative Action;
- Details of decided Preventative Actions with timeframes for completion where applicable.

Preventative Action Review and Notification



Reviewing outcomes with relevant parties confirms that actions have been effective.

This step includes a review of Corrective Action and Preventative Action outcomes with relevant parties, including Senior Management, Customers, and Regulatory Bodies where applicable.

A review of applied Corrective Actions and Preventative Actions should also be conducted as elements of the scheduled Management Review process to ensure general and specific awareness of related issues and incidents.

Waivers

A waiver is a common change management tool used within food businesses where unavoidable temporary allowances are made to a defined and documented process or product.

A waiver commonly takes the form of a document that includes the following information:

- Date, time, and area for the waiver or 'change' to process or product;
- Person who identified the requirement for the waiver or 'change' to process or product;
- Person responsible for the waiver or 'change' to process or product;
- Details of the proposed waiver or 'change' to process or product;
- Details of potential impacts to the product through the proposed waiver or 'change' to process or product;
- Details of potential impacts to the process through the proposed waiver or 'change' to process or product;
- Details of potential impacts to safety through the proposed waiver or 'change' to process or product;
- Details of potential impacts to quality through the proposed waiver or 'change' to process or product;
- Details of potential impacts to the food business through the proposed waiver or 'change' to process or product.

Once formatted, waivers are commonly approved by documented signatures by key senior management and those responsible for food safety and quality.

It is generally considered appropriate to apply 'waiver' managed changes to a process or product, providing that:

- A rational risk assessment methodology has been applied to ensure no unacceptable negative impacts or

outcomes are achieved from their application;

- Senior management and key personnel oversee the decision to approve a 'waiver';
- Key customers and stakeholders are also appropriately involved in the process to approve a 'waiver'. Where Customer Specifications are defined for finished products or processes to which a 'waiver' is to be applied, it is important to consider that documented approval may also be required from such customers before the actual application of such a 'waiver'.

Non-conforming Product



Product that does not meet requirements should be identified and separated from conforming product.

It is important to ensure that items identified as non-conforming, whether they be raw materials, work in progress, or finished products, are specifically covered within the Product Identification and Traceability procedures. It is common for a non-conforming product to be segregated from conforming product stock to ensure no 'mix-ups' can occur. Non-conforming products are commonly labelled with brightly coloured signage or labels to ensure they are easily identifiable. The control of non-conforming products is often linked to procedures for the hold and release of such products. Where non-conforming product may have left the business, refer to the product recall and product withdrawal procedures.

If your food business supplies foodstuffs manufactured to a customer's specifications, it is important to consider any specific Corrective Action and Preventative Action Development requirements in relation to their items.

Regulatory and Industry References

The following references provide further guidance on corrective action and preventative action within food safety and quality management systems. Always confirm the current edition before relying on them:

- ISO 22000:2018, Food safety management systems: Requirements for any organization in the food chain (International Organization for Standardization), which includes requirements for corrections, corrective actions and the handling of non-conformities;
- Codex Alimentarius Codes of Practice, including the General Principles of Food Hygiene (CXC 1-1969), which sets out the HACCP system and its requirement for corrective actions when monitoring shows a loss of control;
- ISO 9001, Quality management systems: Requirements (International Organization for Standardization), which includes requirements for the control of non-conforming outputs and for corrective action.

Corrective Action and Preventative Action Development Key Points

- Corrective Action and Preventative Action programs must be developed to meet relevant Regulatory, Industry, and Customer standards and requirements;
- The Senior Management of your business is committed to providing adequate resources for the development of your Corrective Action and Preventative Action program;
- Should you require additional resources for the development of Corrective Action and Preventative Action program elements, please discuss this with the relevant Senior Management representative;
- A properly developed Corrective Action and Preventative Action program will provide a strong framework for your business to maintain compliance with relevant Regulatory, Industry, and Customer standards and

requirements;

- A poorly developed Corrective Action and Preventative Action program will not fully support your business and may contribute to significant non-compliance against Regulatory, Industry, and Customer standards and requirements.

Documentation

To establish the developed detail in a viewable format to facilitate information.

Documentation

Document: A document provides guidance and/or direction for performing work, making decisions, or rendering judgments that affect the safety or quality of the products or services that customers receive.

Documented policies, procedures, work instructions, and schedules form the basis of any food safety and quality management system. The following documentation formats may be considered to ensure ongoing compliance with specified requirements for Corrective Action and Preventative Action:

- Corrective Action and Preventative Action policy;
- Corrective Action and Preventative Action development procedures;
- Corrective Action and Preventative Action implementation procedures and work instructions;
- Corrective Action and Preventative Action monitoring procedures;
- Corrective Action and Preventative Action procedures;
- Corrective Action and Preventative Action verification schedule;
- Corrective Action and Preventative Action verification procedures;
- Corrective Action and Preventative Action validation schedule;
- Corrective Action and Preventative Action validation procedures;
- Corrective Action and Preventative Action training procedures.

If your food business supplies foodstuffs manufactured to a customer's specifications, it is important to consider any specific Corrective Action and Preventative Action Documentation requirements in relation to their items.

You may wish to visit the Corrective Action and Preventative Action Templates section of haccp.com for examples of Corrective Action and Preventative Action documentation, record, and resource formats commonly applied within food safety and quality systems.

Corrective Action and Preventative Action Documentation Key Points

- Corrective Action and Preventative Action programs must be documented to meet relevant Regulatory, Industry, and Customer standards and requirements;
- All documented Corrective Action and Preventative Action program elements must be controlled to ensure compliance;
- Key documented Corrective Action and Preventative Action program elements should be available to your business' team at all times to ensure they can facilitate required tasks;
- A properly documented Corrective Action and Preventative Action program will provide a strong framework for your business to maintain compliance with relevant Regulatory, Industry, and Customer standards and requirements;
- A poorly documented Corrective Action and Preventative Action program will not fully support your business and may contribute to significant non-compliance against Regulatory, Industry, and Customer standards and requirements.

Implementation

To facilitate the application of the documentation.

Implementation

Implementation: Implementation is the application of documented food safety and quality system elements into the actual business operation.

The implementation of Corrective Action and Preventative Action within any food business requires genuine commitment from senior management, staff, and visitors to ensure the nominated goals of implementation are achievable on an ongoing basis. It is a step that requires significant planning and consideration of general and specific food business circumstances to ensure the outcomes of Corrective Action and Preventative Action do not negatively impact the safety and quality of the food items dispatched from the business.

Implementation of Corrective Action and Preventative Action must include a clear definition of responsibilities and authorities for all levels of participation by senior management, staff, and visitors to the site.

When implementing Corrective Action and Preventative Action within the food safety and quality system, you may wish to consider the following requirements before completion:

- Communication and display of the Corrective Action and Preventative Action policy;
- Completion of Verification and Validation of Corrective Action and Preventative Action development procedures;
- Availability of Corrective Action and Preventative Action implementation procedures and work instructions;
- Availability of Corrective Action and Preventative Action monitoring procedures and record templates (where applicable);
- Availability of Corrective Action and Preventative Action procedures and record templates (where applicable);
- Availability of the Corrective Action and Preventative Action verification schedule;
- Availability of Corrective Action and Preventative Action verification procedures;
- Availability of the Corrective Action and Preventative Action validation schedule;
- Availability of Corrective Action and Preventative Action validation procedures;
- Completion of Corrective Action and Preventative Action training procedures;
- Completion of product design and development requirements related to Corrective Action and Preventative Action;
- Completion of process design and development requirements related to Corrective Action and Preventative Action;
- Completion of training for team members who have responsibilities and involvement within Corrective Action and Preventative Action;
- Completion of competency approval for team members who have responsibilities and involvement within Corrective Action and Preventative Action.

If your food business supplies foodstuffs manufactured to a customer's specifications, it is important to consider any specific Corrective Action and Preventative Action Implementation requirements in relation to their items.

Corrective Action and Preventative Action Implementation Key Points

- Corrective Action and Preventative Action programs must be implemented to meet relevant Regulatory, Industry, and Customer standards and requirements;
- Your Corrective Action and Preventative Action program must be fully implemented as per relevant documented Policies, Procedures, and Work Instructions;
- The implementation of Corrective Action and Preventative Action requires a commitment to the provision of resources by the Senior Management of your business;
- A properly implemented Corrective Action and Preventative Action program will provide a strong framework for your business to maintain compliance with relevant Regulatory, Industry, and Customer standards and requirements;
- A poorly implemented Corrective Action and Preventative Action program will not fully support your business

and may contribute to significant non-compliance against Regulatory, Industry, and Customer standards and requirements.

Monitoring

To review, confirm and document evidence of the implementation against documented limits.

Monitor

Monitoring: Monitoring is the act of reviewing and confirming measurable parameters of a defined process or product status.

Monitoring requirements within food industry sectors are generally identified against limits of acceptability defined within HACCP plans, implementation procedures, and work instructions. Monitoring usually includes some element of record-keeping, which may be maintained manually or through digital systems. It is important to consider that advancements in technology have spawned many systems and processes which are self-monitored or self-adjusted when variances are identified. Regardless of the system used; The goal of any monitoring activity is to provide sufficient evidence that any limit of acceptability has been met.

Traditional Corrective Action and Preventative Action monitoring requirements include manual recording and the application of corrective actions when the results of monitoring are found to be outside acceptable limits. Corrective Actions should also generally be strongly linked to the monitoring process where applied to ensure full traceability of the applied actions.

The following examples of monitoring activities and record formats may apply to Corrective Action and Preventative Action:

- **Corrective Action and Preventative Action Worksheet:** The Corrective Action and Preventative Action process must be conducted to meet all relevant criteria to ensure the outcomes meet the goals of the activity. It is common for businesses to implement a Corrective Action and Preventative Action worksheet format that includes prompts for criteria to be considered, against which the outcomes and status are identified. This can then be used to format a summary of each respective Corrective Action and Preventative Action activity.
- **Non-conformance register:** A register of identified non-conformances that records the date, description, product or process affected, Corrective Action applied and closure status.
- **Corrective action log:** A log of open and closed corrective and preventative actions that records the person responsible, the due date and the completion date for each action.

If your food business supplies foodstuffs manufactured to a customer's specifications, it is important to consider any specific Corrective Action and Preventative Action Monitoring requirements in relation to their items.

You may wish to visit the Corrective Action and Preventative Action Templates section of haccp.com for examples of Corrective Action and Preventative Action documentation, record, and resource formats commonly applied within food safety and quality systems.

Corrective Action and Preventative Action Monitoring Key Points

- Monitoring provides real-time confirmation and evidence that your risk-based FS&Q Controls are effectively implemented;
- Corrective Action and Preventative Action programs must be monitored to meet relevant Regulatory, Industry, and Customer standards and requirements;
- Monitoring of Corrective Action and Preventative Action must be facilitated as per relevant documented Policies, Procedures, and Work Instructions;
- Nominated monitoring records for Corrective Action and Preventative Action must be maintained as per relevant documented Policies, Procedures, and Work Instructions;
- A properly monitored Corrective Action and Preventative Action program will provide a strong framework for your business to maintain compliance with relevant Regulatory, Industry, and Customer standards and requirements;
- A poorly monitored Corrective Action and Preventative Action program will not fully support your business and

may contribute to significant non-compliance against Regulatory, Industry, and Customer standards and requirements.

Corrective Action and Preventative Action

To apply “real time” interventions to documented monitoring limits.

Corrective Action

Corrective Action: Corrective action is mandatory action to be taken when a deviation from the Quality System occurs, particularly in relation to a Critical Control Point.

Preventative Action: At any step in the process where a hazard has been identified, preventative action must be put into place to prevent re-occurrence.

Corrective Action and Preventative Action are implemented to ensure that any identified non-conformance issues are documented, investigated, and rectified within appropriate timeframes. Corrective action is any action applied to regain control over a product, process, policy, or procedure that has been identified as being non-conforming or outside nominated limits of acceptability. Preventative action is any action applied to prevent any identified non-conformance from reoccurring.

The outcomes of corrective and preventative actions should result in regained process control after effective application. Specified corrective actions are commonly linked to the HACCP Plans and the food business certification process.

Below are examples of Corrective Action and Preventative Action that may follow a non-conformance:

- Review of the Corrective Action and Preventative Action policy;
- Review of Corrective Action and Preventative Action development procedures;
- Review of Corrective Action and Preventative Action implementation procedures and work instructions;
- Review of Corrective Action and Preventative Action monitoring procedures;
- Review of Corrective Action and Preventative Action procedures;
- Review of the Corrective Action and Preventative Action verification schedule;
- Review of Corrective Action and Preventative Action verification procedures;
- Review of the Corrective Action and Preventative Action validation schedule;
- Review of Corrective Action and Preventative Action validation procedures;
- Review of Corrective Action and Preventative Action training procedures;
- Re-training in Corrective Action and Preventative Action;
- Review of management review activities to include Corrective Action and Preventative Action as an agenda item;
- Initiation of ‘product hold’ procedures where safety or quality may be compromised;
- Initiation of a product recall or product recall procedures where investigations show that there is a substantial safety or quality risk to a released product;
- Contacting stakeholders including customers regarding any confirmed or potential Corrective Action and Preventative Action concerns involving their product.

If your food business supplies foodstuffs manufactured to a customer’s specifications, it is important to consider any specific Corrective Action and Preventative Action requirements in relation to their items.

Corrective Action and Preventative Action Key Points

- The implementation of Corrective Action and Preventative Action provides confidence that your FS&Q Program is effectively implemented and that FS&Q criteria are being met;
- Where deviations or variations are observed, Corrective Action and Preventative Action must be facilitated to meet relevant Regulatory, Industry, and Customer standards and requirements;
- Corrective Action and Preventative Action must be facilitated as per relevant documented Policies, Procedures,

and Work Instructions;

- Records of corrective and preventative actions must be maintained as per relevant documented Policies, Procedures, and Work Instructions;
- Proper application of Corrective Action and Preventative Action will provide a strong framework for your business to maintain compliance with relevant Regulatory, Industry, and Customer standards and requirements;
- Poor application of Corrective Action and Preventative Action will not fully support your business and may contribute to significant non-compliance against Regulatory, Industry, and Customer standards and requirements.

Verification

To review and confirm documented monitoring and corrective actions against documented parameters.

Verify

Verification: The act of reviewing, inspecting, testing, checking, auditing, or otherwise establishing and documenting whether items, processes, services, or documents conform to specified requirements.

Verification is the detailed review of all food safety and quality system elements to confirm that they are effectively developed, documented, implemented, monitored, and reviewed. All food safety and quality system elements, including documented policies, procedures, training, HACCP plans, and their operational applications must be verified on an ongoing scheduled basis. The verification process commonly includes a defined schedule for which verification activities are required, how often they are conducted, who is responsible, and detailed documented procedures for each nominated verification activity.

The general goal of an established verification process is to ensure any systemic non-conformance issues are identified and rectified within an appropriate timeframe. When non-conformance issues are identified through the verification process, Corrective Actions and Preventative Actions should be implemented to ensure they do not impact the effectiveness of the food safety and quality system.

The following examples of verification activities may be applicable to Corrective Action and Preventative Action:

- Review of the Corrective Action and Preventative Action policy;
- Review of Corrective Action and Preventative Action development procedures;
- Review of Corrective Action and Preventative Action implementation procedures and work instructions;
- Review of Corrective Action and Preventative Action monitoring procedures;
- Review of Corrective Action and Preventative Action monitoring records;
- Review of Corrective Action and Preventative Action procedures;
- Review of the Corrective Action and Preventative Action verification schedule;
- Review of Corrective Action and Preventative Action verification procedures;
- Review of the Corrective Action and Preventative Action validation schedule;
- Review of Corrective Action and Preventative Action validation procedures;
- Review of Corrective Action and Preventative Action training procedures;
- Review of Corrective Action and Preventative Action performance since the last review and historically;
- Review of closed corrective actions to confirm they were completed on time and have remained effective;
- Inclusion of Corrective Action and Preventative Action as an agenda item within the Management Review Process.

If your food business supplies foodstuffs manufactured to a customer's specifications, it is important to consider any specific Corrective Action and Preventative Action Verification requirements in relation to their items.

You may wish to visit the Verification Activities section of haccp.com for examples of best practice applications for this food safety and quality system element.

Corrective Action and Preventative Action Verification Key Points

- Your verification program provides evidence that your FS&Q Controls have worked;
- Corrective Action and Preventative Action programs must be verified to meet relevant Regulatory, Industry, and Customer standards and requirements;
- The verification of Corrective Action and Preventative Action must be facilitated as per relevant documented Policies, Procedures, and Work Instructions;
- Nominated verification records for Corrective Action and Preventative Action must be maintained as per relevant documented Policies, Procedures, and Work Instructions;
- A properly verified Corrective Action and Preventative Action program will provide a strong framework for your business to maintain compliance with relevant Regulatory, Industry, and Customer standards and requirements;
- A poorly verified Corrective Action and Preventative Action program will not fully support your business and may contribute to significant non-compliance against Regulatory, Industry, and Customer standards and requirements.

Validation

To confirm the documented monitoring or procedural limits.

Validate

Validation: The process of gathering evidence to provide a scientific basis for the documented act of demonstrating that a procedure, process, and activity will consistently lead to the expected results. It often includes the qualification of systems and equipment.

Validation is the provision of evidence to support the limits of control or acceptability for food safety or quality parameters nominated within systemic elements. Limits of control or acceptability are commonly included within documented food safety and quality systems elements such as procedures, HACCP plans, and specifications.

Common sources of validation include regulatory and legislative standards, finished product specifications and customer requirements, industry codes of practice and guidelines, verified and validated research, historical product, and process control outcomes, and analytical testing. The general goal of an established verification process is to ensure any systemic non-conformance issues are identified and rectified within an appropriate timeframe. When non-conformance issues are identified through the verification process, Corrective Actions and Preventative Actions should be implemented to ensure they do not impact the effectiveness of the food safety and quality system.

Validation activities are commonly defined within the verification schedules and procedures of established food safety and quality management systems.

The following examples may apply to validation of the limits of control or acceptability for Corrective Action and Preventative Action:

- Confirmation of nominated food safety and food quality control limits for Corrective Action and Preventative Action. These limits may apply to regulatory, industry, customer, or finished product specifications;
- Confirmation that corrective and preventative actions address the root cause, using data such as repeat non-conformance rates.

If your food business supplies foodstuffs manufactured to a customer's specifications, it is important to consider any specific Corrective Action and Preventative Action Validation requirements in relation to their items.

You may wish to visit the Validation Activities section of haccp.com for examples of best practice applications for this food safety and quality system element.

Corrective Action and Preventative Action Validation Key Points

- Your validation program provides evidence that your FS&Q Controls will work;
- Corrective Action and Preventative Action programs must be validated to meet relevant Regulatory, Industry, and Customer standards and requirements;

- The validation of Corrective Action and Preventative Action must be facilitated as per relevant documented Policies, Procedures, and Work Instructions;
- Nominated validation records and supporting documentation for Corrective Action and Preventative Action must be maintained as per relevant documented Policies, Procedures, and Work Instructions;
- A properly validated Corrective Action and Preventative Action program will provide a strong framework for your business to maintain compliance with relevant Regulatory, Industry, and Customer standards and requirements;
- A poorly validated Corrective Action and Preventative Action program will not fully support your business and may contribute to significant non-compliance against Regulatory, Industry, and Customer standards and requirements.

Training, Competency and Resources

Skills, knowledge and competency requirements to facilitate development, documentation, implementation, monitoring, corrective action, verification and validation of every Food Safety and Quality System Element.

Skills and Knowledge

Skills and Knowledge: Skills and knowledge are attributes of human interactions commonly linked to competency within any specific job-related task.

Training and competency requirements for Corrective Action and Preventative Action must be ongoing, including regular scheduled reviews to ensure the effectiveness of training and competency outcomes.

Team members who have defined responsibilities regarding Corrective Action and Preventative Action should have knowledge including:

- Basic Corrective Action and Preventative Action requirements;
- Positive outcomes of Corrective Action and Preventative Action;
- Negative outcomes of a lack of Corrective Action and Preventative Action;
- Current Corrective Action and Preventative Action procedures, methods, and techniques;
- General operational, corporate, and social awareness regarding Corrective Action and Preventative Action;
- Regulatory, industry, and customer requirements regarding Corrective Action and Preventative Action.

Team members who have defined responsibilities regarding Corrective Action and Preventative Action should have skills including:

- Competency in basic Corrective Action and Preventative Action;
- Effective application of current Corrective Action and Preventative Action procedures, methods, and techniques;
- Root cause analysis techniques, such as the 5 Whys;
- The basic development, documentation, and implementation of HACCP and Prerequisite Programs within the food industry sector.

Team members who have defined responsibilities regarding Corrective Action and Preventative Action should have access to resources including:

- Corrective Action and Preventative Action training;
- Corrective Action and Preventative Action associations and events;
- Regulatory standards, industry and customer information, and updates regarding Corrective Action and Preventative Action;
- Incidents within the food industry sector regarding Corrective Action and Preventative Action;
- Commitment to Corrective Action and Preventative Action by senior management;
- Suitably qualified food industry professionals with verified experience in Corrective Action and Preventative Action;
- Effective communication systems including email, internet, and phone through which Corrective Action and Preventative Action information can be sent and received within suitable timeframes.

If your food business supplies foodstuffs manufactured to a customer's specifications, it is important to consider any

specific Corrective Action and Preventative Action Training, Competency, and Resources requirements in relation to their items.

You may wish to visit the Training, Competency, and Resources section of haccp.com for examples of best practice applications for this food safety and quality system element.

Corrective Action and Preventative Action Training, Skills and Knowledge Key Points

- Your Training, Skills, and Knowledge program ensures all participating personnel, visitors, and contractors have the required skills and knowledge to effectively facilitate the requirements of your FS&Q Program;
- Training, Skills, and Knowledge programs for Corrective Action and Preventative Action must be facilitated to meet relevant Regulatory, Industry, and Customer standards and requirements;
- Training, Skills, and Knowledge programs for Corrective Action and Preventative Action must be facilitated as per relevant documented Policies, Procedures, and Work Instructions;
- Training, Skills, and Knowledge records for Corrective Action and Preventative Action must be maintained as per relevant documented Policies, Procedures, and Work Instructions;
- Properly applied Training, Skills, and Knowledge programs for Corrective Action and Preventative Action will provide a strong framework for your business to maintain compliance with relevant Regulatory, Industry, and Customer standards and requirements;
- Poorly applied Training, Skills, and Knowledge programs for Corrective Action and Preventative Action will not fully support your business and may contribute to significant non-compliance against Regulatory, Industry, and Customer standards and requirements.



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