**RCA & CAP** **Step 1**- Cause and Effect Diagram



List the two most likely root causes below:

1. \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
2. \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**RCA & CAP** **Step 2**- The 5 WHY Method

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| **State the first likely root cause** |  |
| **1. Why did that condition exist?** | **Because…** |
| **2. Why?** | **Because…** |
| **3. Why?** | **Because…** |
| **4. Why?** | **Because…** |
| **5. Why?** | **Because…** |

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| --- | --- |
| **State the second likely root cause** |  |
| **1. Why did that condition exist?** | **Because…** |
| **2. Why?** | **Because…** |
| **3. Why?** | **Because…** |
| **4. Why?** | **Because…** |
| **5. Why?** | **Because…** |

#### RCA & CAP Step 3- Corrective Action Plan

**A SEPARATE ROOT CAUSE ANALYSIS AND CAP IS REQUIRED FOR EACH NON-CONFORMITY.**

**Instructions**: Scan and e-mail the Root Cause and Corrective Action worksheets to [DPA@tdi-bi.com](mailto:DPA@tdi-bi.com) when complete (within 30 days of NC identification). Staple the worksheets together and file on the bridge. Include other relevant documents as attachments to the CAR in NS5.

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| **Vessel/ Facility** | **CAP to be submitted to DPA by: (DATE)** | | **Date CAP actually submitted DPA** | **Date approved by DPA** | | **Name of Master responsible for implementation** |
|  |  | |  |  | |  |
| The non-conformity (NC) was identified through: \_\_\_ Internal Audit \_\_\_ External Audit \_\_\_ Incident \_\_\_\_\_\_ Other  The CAR # in NS5 is: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ (include preceding zeros) | | | | | | |
| Date NC was identified: | | **Implementation due date:** | | | Name of Person Completing this form (Print): | |
|  | |  | | |

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| **Step 1: Briefly state the non-conformity** |
| Briefly state the non-conformity; what did we not do that we were supposed to do? |
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| **Step 2: Root Cause** |
| Based on the root cause analysis, what was the main root cause for the non-conformity? |
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| **Step 3: Plan to prevent recurrence** | | |
| Based on the root cause stated in Step 2, what steps need to be taken in order to prevent the non-conformity from happening again? List those steps in detail below with expected completion dates and persons responsible. | | |
| Steps to prevent recurrence | Due date | Person Responsible |
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| **Step 4: Signatures of CAP development team** | |
| Please print entire name clearly | Signatures |
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