**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 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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