**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

|  |  |
| --- | --- |
| **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…** |

|  |  |
| --- | --- |
| **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). Scan this and other relevant documents and add as attachments to the CAR in NS5.

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Name of Vessel or Facility: | | |  | CAR # in NS5: |  |
| NC Identified by: | \_\_\_\_Internal Audit \_\_\_\_\_ External Audit \_\_\_ Incident \_\_\_ Other | | | | |
| Person In Charge (PIC)of Implementation (Print): | |  | | PIC Signature: |  |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Date NC identified** | **CAP Due date:**  **(30 days)** | **CAP approved by DPA: (DATE)** | **Implement by:**  **(90 days)** | **Implementation date:** | **Completed/ Verified date:** |
|  |  |  |  |  |  |

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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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