

Corrective and Preventive Action (processes, procedures and best practices for managing them)



“To address this mistake we must use root-cause analysis. I’ll begin by saying it’s not my fault.”

Course Overview

- **Review DWQMS 2.0 – Element 21 and implementation status**
- **Root Cause analysis tools and practice**
- **Tools for documenting corrective actions/preventive actions/best management practices**
- **Tips and tricks from participants**

Course Learning Objectives

Participants will:

- ✓ Review and discuss the requirements of Element 21 of DWQMS 2.0
- ✓ Discuss past, current and future procedures for corrective and preventive action
- ✓ Discover tools and tips that can be used to determine root cause and make the corrective action process more effective

HELLO
MY NAME
IS



DWQMS 2.0

Element 21

PLAN – The Operating Authority shall develop a procedure for tracking and measuring continual improvement of its Quality Management System by:

- a) review and consider best management practices **at least once every thirty-six months**;
- b) document a process for identification and management of Quality Management System Corrective Actions;
- c) document a process for identifying and implementing Preventive Actions.

Corrective Actions and Root Cause

A non-conformance has been identified:

- Immediate containment actions
- Determine root cause
- Action plan to correct causes
- Follow-up to ensure actions were appropriate

Root Cause Determination

What is the root cause?

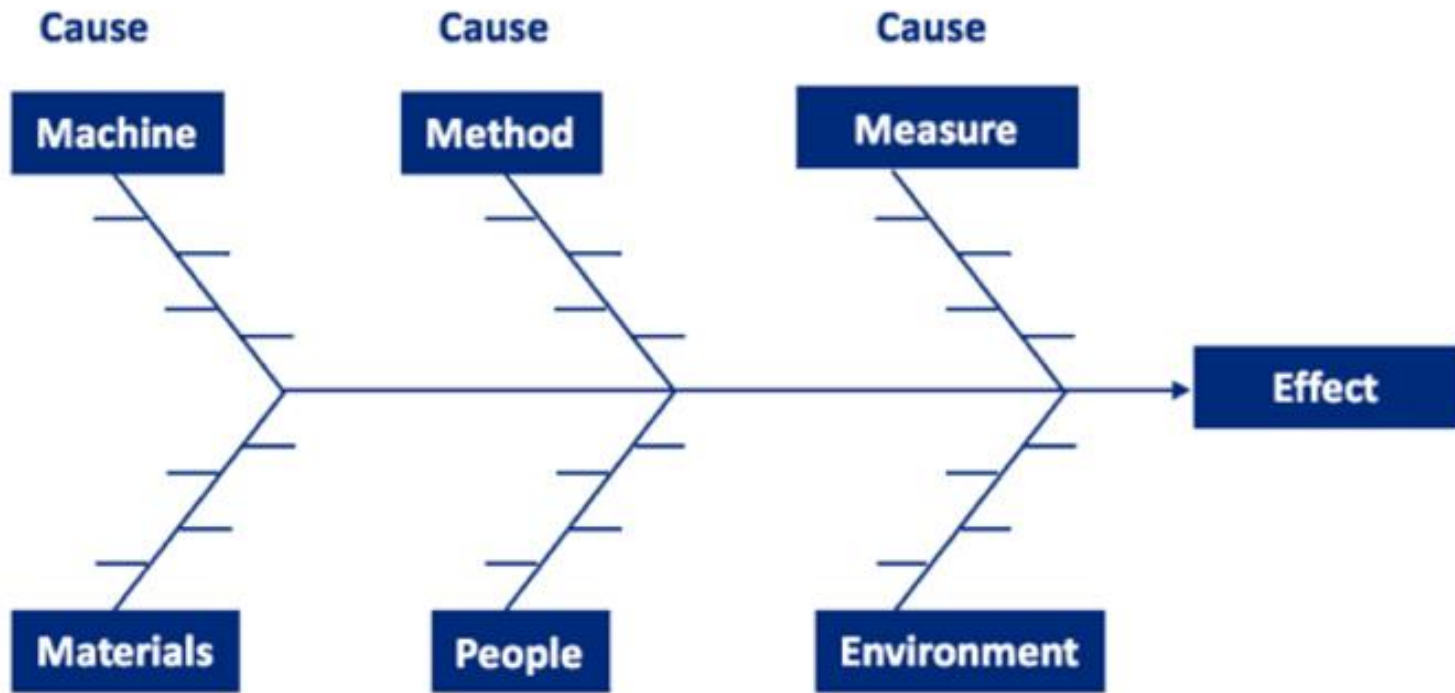
Methods for Determining Root Cause

- Fishbone Diagram (Ishikawa Diagram)
 - visualization tool for categorizing the potential causes of a problem
- 5 Whys
 - an technique used to explore the cause-and-effect relationships underlying a particular problem

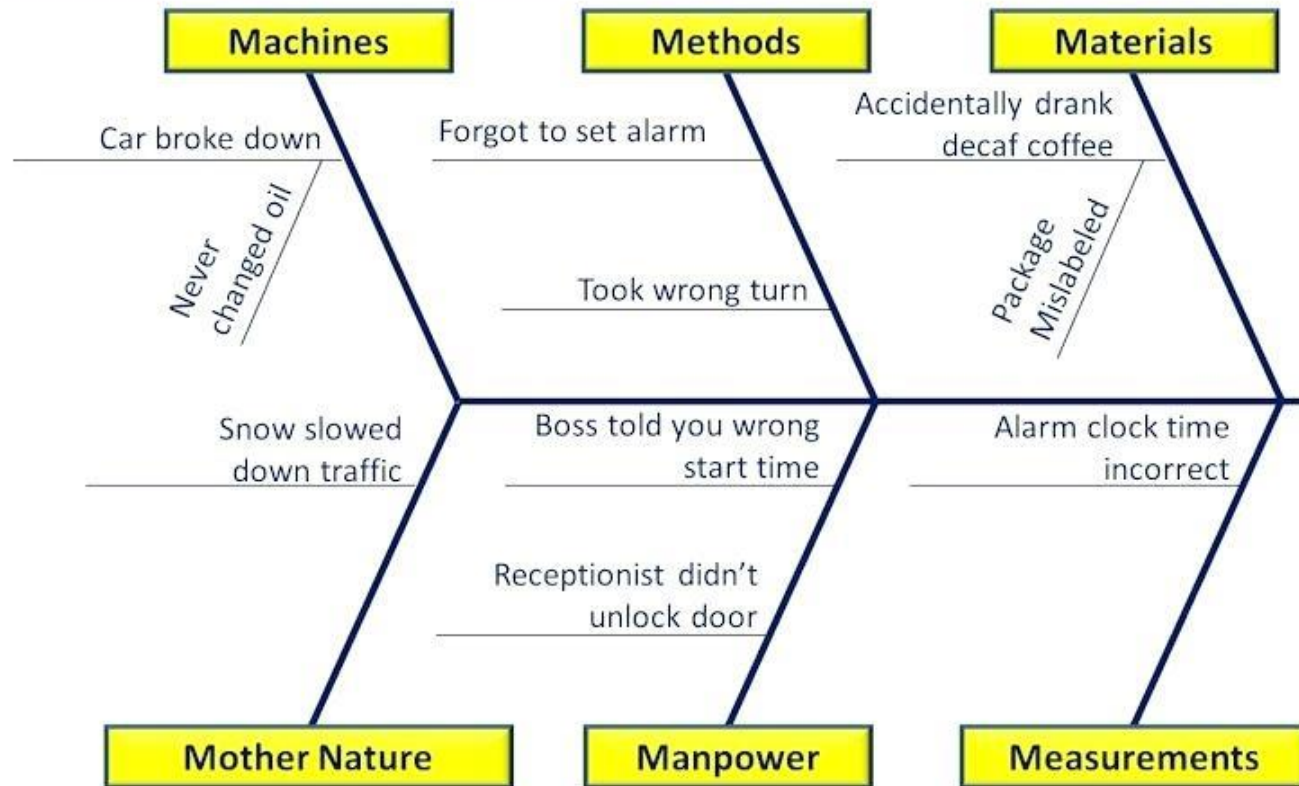
Methods for Determining Root Cause

- Reverse Brainstorming (or brainstorming)
 - A group of people working collectively to find a solution
- Flowcharting
 - Organize information in a graphical format
- Affinity Diagrams
 - Tool used to organize ideas and data

Fishbone Diagram








The Fishbone Diagram



Late for Work

The Five-Whys Worksheet

Defect (or Error)	Cause
Why-1: Why did THE DEFECT occur?	
Why-2: Why did THAT occur?	
Why-3: Why did THAT occur?	
Why-4: Why did THAT occur?	
Why-5: Why did THAT occur?	
(Why-6: Why did THAT occur?)	Root Cause?

The cause of one “why?” is the basis for the next “why?;” keep asking “why?” until the root cause is uncovered

5 Why's

Problem Statement
"The vehicle will not start"

Why 1

The battery is dead.

Why 2

The alternator is not functioning.

Why 3

The alternator belt has broken.

Why 4

The alternator belt was well beyond its useful service life and not replaced.

Why 5

The vehicle was not maintained according to the recommended service schedule.



Practicing with Root Cause

- Group 1 – Fishbone
- Group 2 – 5 Whys

Tools for Recording Information

- Corrective Action Log
- Preventive Action Log
- Opportunity for Improvement Log
- Trip Report
- Best Management Practice Report
- Others?

ANY
QUESTIONS
?



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