

---

---

# **Report of Root Cause Analysis and Corrective Action Plan**

**Report Submission Date** \_\_\_\_\_

- Preliminary Root Cause Analysis Report**
- Root Cause Analysis Follow-up Report**
- Definitive Root Cause Analysis Report**
- Root Cause Analysis Termination Report**
- Corrective Action Plan**

**Template Version 1.0 Draft 2**

---

# 1 Introduction

## 1.1 Scope and Purpose

This document is used by Information Technology and Services (IT&S) to report Root Cause Analysis (RCA) and Corrective Action Plan (CAP) activities and information for all priority 1 tickets opened by the Enterprise Resource Center (ERC) and Network Operations Center (NOC). This document is also used to report the RCA and CAP for priority 2 tickets at the customer's request.

The RCA and CAP process is standard for all functional areas and lines of business (LOBs) within IT&S.

## 1.2 Report Content and Deadline

Reports are delivered to the customer by IT&S according to the timeline described in Table 2. Reports may be submitted simultaneously; the cover of this document and section 2.1 both indicate which reports are submitted.

Table 2 also describes the purpose of each report and the sections in this document that contain the content for that report.

*Table 2 RCA and CAP Report Deadlines and Affected Sections*

Report	Report Deadline	Purpose	Sections Affected
Preliminary RCA Report	Within 24 hours following the detection of the issue	Provide initial known details about the issue, its cause, and any immediate corrective action taken.	2.1, 2.2, 2.5
Definitive RCA Report	5 business days following the Preliminary RCA Report or 5 business days plus 25 hours following issue detection (whichever comes first)	Provides details about the definitive root cause of the issue. Submitted with a Corrective Action Plan.	2.1, 2.3

<b>Report</b>	<b>Report Deadline</b>	<b>Purpose</b>	<b>Sections Affected</b>
Root Cause Termination Report	5 business days following the date the Definitive RCA Report (even if not issued) And every 5 business days following the date the first Definitive RCA Follow-up Report should have been issued (even if not issued)	Provides information if the definitive root cause cannot be determined. Submitted with a Corrective Action Plan.	2.1, 2.4
Root Cause Follow-up Reports	5 business days following the date the Definitive RCA Report (even if not issued) And every 5 business days following the date the first RCA Follow-up Report should have been issued (even if not issued)	Provides additional information about RCA progress prior to the discovery of a definitive root cause or termination of the RCA process.	2.1, 2.2, 2.5
Final CAP	10 business days after the Preliminary RCA Report (even if not issued) or the Definitive RCA Report	Provides information about the actions being taken to correct the issue. The CAP should be submitted and updated as needed with the other reports.	2.1, 2.5

### 1.3 Report Distribution and Confidentiality

The IT&S RCA and CAP reports are IT&S documents distributed to IT&S customers. They may be distributed to other concerned parties at the discretion of IT&S. Do not provide this report any other party, including external customers and auditors, without prior approval from the IT&S LOB Director and/or IT&S functional area director.

## 1.4 Glossary

Corrective Action Plan (CAP)

The action(s) to be taken to avoid a recurrence of the problem, including work around activities.

Root Cause Analysis (RCA)

The process of analyzing a problem, its manifestation, and possible causes to determine the main cause of the issue.

## 2 Root Cause Analysis and Corrective Action Plan Reports

### 2.1 General Information

<b>Trouble Ticket Number</b>	
<b>Date Outage Occurred</b>	
<b>Issue Description</b> A brief description of the issue.	
<b>Entities Impacted</b>	
<b>Company Internal</b> List groups or individuals.	
<b>External Customers</b> List LOB/service and specific customers, if applicable.	
<b>SLRs and/or SLAs Impacted</b> List the SLRs and/or SLAs for each LOB that are impacted by the issue, if known. The RCA review team may be able to assist in providing this information.	
<b>Report Submission Dates</b>	
<b>Date Preliminary RCA Submitted</b>	
<b>Date Definitive RCA Follow-up Submitted</b>	
<b>Date Definitive RCA Submitted</b>	
<b>Date RCA Termination Submitted</b>	
<b>Date Corrective Action Plan Submitted</b>	
<b>Date Final Corrective Action Plan Submitted</b>	



<p><b>Methods</b> A brief description of the techniques and practices you actually used to make the determination.</p>		
<p><b>Rationale</b> A summary of the reasons or basis for the determination.</p>		
<p><b>Immediate Corrective Action Taken</b> Carry these items forward to the Corrective Action Plan.</p>		
<p><b>Incidental Findings</b> Findings not directly contributing to the event or condition under analysis, but which represent opportunities for improvement. Carry these items forward to the Corrective Action Plan.</p>		
<b>Date</b>	<b>Finding</b>	<b>Impact</b>
<p><b>Continued Action Plan</b> If the root cause identified in this report is not the definitive root cause for outage, a summary of the next steps to continue the investigation in determining the definitive root cause.</p>		
<b>Due Date</b>	<b>Action</b>	<b>Responsible Person or Entity</b>

## 2.3 Definitive Root Cause Analysis Report

**Root Cause Determination**

Your best determination at that point in time of the root cause for the outage, based on the exercise of commercially reasonable and industry-accepted techniques and practices to determine the root cause.

If the Definitive Root Cause Analysis Report is different from the root cause identified in the Preliminary Root Cause Analysis Report, state this and provide the reasons for the difference.

Carry the root cause items forward to the Corrective Action Plan.

**Methods**

A brief description of the techniques and practices you actually used to make the determination.

**Rationale**

A summary of the reasons or basis for the determination.



## 2.4 Root Cause Analysis Termination Report

<b>Methods</b> A brief description of the techniques and practices you actually used to attempt to determine the root cause.
<b>Rationale</b> A summary of the reasons or the basis for being unable to determine the definitive root cause.
<b>Corrective Action Adequacy</b> A summary of the reasons or the basis for the adequacy of the Corrective Action Plan, that the corrective action will prevent a reoccurrence of the issue that caused the outage.

## 2.5 Corrective Action Plan

Due Date	Action	Reason	Responsible Person or Entity