



Lesson Introduction

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Up to this point, we've spent a lot of time analyzing information to get to the root cause of a problems. What's next?



At DCMA, it is the policy for corrective actions to be requested from contractors when any contractual noncompliances are *independently* identified by DCMA personnel. To make these requests, We use the CAR eTool to write and print reports for suppliers to respond too.

In this lesson, you will gain familiarity with the reporting process and learn who the stakeholders are in corrective action planning.

Next, we will take a look at the objectives for this lesson.

### **Long Description**

The mentor and the second DCMA supplier are having a conversation. The DCMA Specialist asks the mentor, "Up to this point, we've spent a lot of time analyzing information to get to the root cause of a problems. What's next?" The mentor replies, " At DCMA, it is the policy for corrective actions to be requested from contractors only when contractual noncompliances are independently identified by DCMA personnnel. To make these requests, We use the CAR eTool to write and print reports for suppliers to responde too. In this lesson, you will gain familiarity with the reporting process and learn who the stakeholders are in corrective action planning. Next, we will take a look at the objectives for this lesson."

## Lesson Objectives

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Terminal Learning Objective - Given a scenario, recognize criteria for reporting conclusions.

This lesson has two objectives. Upon completion, you should be able to:

- Identify the process for reporting RCA conclusions.
- Recognize stakeholder considerations for reporting conclusions.

First, you will learn the process for reporting RCA conclusions.



## Reporting RCA Conclusions Process Overview

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Your suppliers typically gather their RCA conclusion in a Corrective Action Plan (CAP). CAPs arrive at DCMA in many formats, e.g., Microsoft Word document (.doc), or Adobe Reader file (.pdf).

The format of a CAP is not prescribed. Instead, DCMA reviews the plan to ensure the following requirements are reported:

- Root Cause of the noncompliance
- Corrective Actions taken or planned
- Effects of root cause on other processes
- Effects of root cause on product in the field
- Actions taken against contributing causes
- Target Date for implementation of actions



**Long Description**

Two documents are both labeled "ACME Corrective Action Plan". One of the documents displays the Microsoft Word logo, and the other document displays the Adobe PDF logo.

## Industry Process for Reporting RCA Conclusions

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Most suppliers follow a four step process for reporting their Root Cause Analysis conclusions.

Click on each item below to learn more about the step in the process.

**Determine an audience**

**Determine when to report**

**Select the report format**

**Prepare the report**

## **Popup Content**

### **Determine an audience**

An audience for an RCA report is based on the nature and magnitude of the problem. A company might ask themselves, "Who needs to see this report?"

They may consider these options:

Supervisors and department personnel

Personnel involved in the situation

Management

Regulatory agencies

For suppliers to DoD, the audience is predetermined and included in the Corrective Action Request.

Stakeholders are identified in the next topic.

### **Determine when to report**

The timing of an RCA report is dependent on the relationship of the company to its customer. When to report conclusions can vary. Typically, companies report with one or all of the following frequencies:

Once, when conclusions are complete

Step-by-Step, when each action is taken

Periodically, when an update occurs

Once, when all causes are corrected

For suppliers to DoD, the Corrective Action Request (CAR) includes due dates for supplier responses.

### **Select the report format**

The contents and format of an RCA report is typically driven by conclusions and priorities. Companies build their reports for a management audience with detailed information to support conclusions. They may

include:

Significant Event charts or diagrams

Engineering Problem reports

Root Cause and Corrective Actions

Investigation results

Employee or Eyewitness accounts

For suppliers to DoD, the Corrective Action Request (CAR) prescribes the minimum content required in a response. Formats can vary.

### **Prepare the report**

Companies typically follow eight generic guidelines:

Outline the report

Draft the report

Edit the draft report

Proofread the report

Route the report to supervisors

Distribute the report internally for comments

Incorporate comments

Distribute final report to stakeholders.

For suppliers to DoD, a response to a CAR does not include preparation steps.

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## Case Study



DCMA has rejected our Corrective Action Plan for the humidity filters. They have asked Acme Company to answer a few questions about our reporting process. Click on a question and I'll explain our process.

On the next page, you will be asked to identify the step in the process that most likely caused the report to be rejected by DCMA.

[How did you determine the audience for the report?](#)

[How did you determine the timing of the report?](#)

[How did you select the report format?](#)

[How did you prepare the report?](#)

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## **Popup Content**

### **How did you determine the audience for the report?**

We used addressee list from the last response for the U.S. Navy seat belts.

### **How did you determine the timing of the report?**

We used the due date listed in the Corrective Action Request.

### **How did you select the report format?**

We copied the comments from the CAR, and addressed them in our response. They are in the same order and listed all causes and corrective actions.

### **How did you prepare the report?**

We typed over our last accepted response to a DCMA Corrective Action Request. The CAR did not specify a format, but did dwell on content requirements.

## **Long Description**

A supplier from Acme Company faces you. He says, "DCMA has rejected our Corrective Action Plan for the humidity filters. They have asked Acme Company to answer a few questions about our reporting process. Click on a question and I'll explain our process. On the next page, you will be asked to identify the step in the process that most likely caused the report to be rejected by DCMA."

### Case Study Knowledge Review

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Which question most likely caused the Acme Company report to be rejected by DCMA?

- How did you determine the timing of the report?
- How did you select the report format?
- How did you prepare the report?
- How did you determine the audience for the report?

Check Answer

The best answer is the one that asks about **the audience**. The addressee list for the report will vary between services.



## Reporting RCA Conclusions Process Summary

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Like many processes in Root Cause Analysis, can the steps vary for reporting conclusions?



When we write a CAR against a supplier, we are very specific. We ask suppliers to be equally specific in their responses.

If their responses fail to address the details of the request, then it is okay to reject the plan for more information or detail.

Next, you will learn about the people in the RCA reporting process that are most interested in the success of the corrective action.

**Long Description**

The mentor and the DCMA Specialist continue their conversation. The DCMA specialist looks nervous and asks the mentor, "Like many processes in Root Cause Analysis, can the steps vary for reporting conclusions?" The mentor appears happy that the DCMA Specialist is deducing on his own. The mentor replies, "When we write a CAR against a supplier, we are very specific. We ask suppliers to be equally specific in their responses. If their responses fail to address the details of the request, then it is Okay to reject the plan for more information or detail. Next, you will learn about the people in the RCA reporting process that are most interested in the success of the corrective action."

## DCMA Corrective Action Request (CAR) - Level Definitions

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The level to which supplier management will be involved in the RCA process generally depends on the level of CAR issued by DCMA. The supplier management personnel who are determined to be involved are sometimes referred to as the "RCA stakeholders". The supplier's RCA stakeholders are generally defined by the significance of the nonconformance as determined by DCMA using the chart below.

[Click here to access the full-size version of the table below.](#)

Level	Definition
Level I	Issued for noncompliances that are minor in nature, are promptly corrected by the supplier, and present no need for root cause determination or further preventive action. Level I CARs shall be issued to the supplier management level responsible for correcting the cited noncompliance. While the supplier must correct the noncompliance, further actions are not required regarding the specific noncompliance.
Level II	Issued for noncompliances that are not promptly correctable and warrant root cause analysis and preventive action, or need action by the supplier to determine if other product/services are affected. Level II CARs shall be directed to the supplier management level responsible for initiating corrective actions. A written response from the supplier is required.
Level III	Issued to the supplier's management responsible for the company or business segment to call attention to a serious noncompliance, a significant deficiency, a failure to respond to a lower level CAR, or to remedy recurring noncompliance. A written response from the supplier is required. A Level III CAR, may result in initiation of available contractual remedies, such as reductions of payments, cost disallowances, revocation of government assumption of risk of loss, or business management systems disapprovals, etc.
Level IV	Issued to the supplier's segment or corporate management and when the contractual noncompliance(s) is of a serious nature or when a Level III CAR has been ineffective. A written response from the supplier is required. A Level IV CAR will result in a mandatory review of available contractual remedies, such as cost disallowance, reduction or suspension of payments, revocation of government assumption of risk of loss, business system disapproval, or suspension of product acceptance activities.

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**Long Description**

A table with two columns is displayed. The first column is entitled "Level", and the second column is entitled "Definition". The table has four entries: "Level I" (which is the roman numeral for 1), "Level II" (which is the roman numeral for 2), "Level III" (which is the roman numeral for 3), and lastly "Level IV" (which is the roman numeral for 4). The definition for the level is given in the Definition column. Use the link provided to access a PDF version of the table.

[View CR](#) [Submit CR](#)**DCMA CAR Reporting Stakeholders – Pre-Release**

The DCMA team must consider its organizational stakeholders when reviewing a supplier response to a Corrective Action Request. The table below lists the DCMA stakeholders necessary to coordinate a CAR before it is released to the supplier.

[Click here to access the full-size version of the table below.](#)

Level	Condensed Definition	DCMA Stakeholders for Pre-Release Coordination
Level I	Minor in nature Promptly corrected No Root Cause Analysis required	Prescribed Locally at DCMA Office
Level II	Not promptly correctable Warrants Root Cause Analysis Warrants preventive action	Prescribed Locally at DCMA Office DCMA functional leaders impacted by noncompliance
Level III	Serious noncompliance Significant deficiency No response to Level II CAR Remedy recurring noncompliance	Contract Management Office (CMO) Commander Contract Management Office (CMO) Director Contract Management Office (CMO) Legal Counsel Contract Integrity Center (CIC) (e.g., Property), etc.
Level IV	Serious nature of noncompliance Level III CAR has been ineffective	Contract Management Office (CMO) Commander Contract Management Office (CMO) Director Contract Management Office (CMO) Legal Counsel Contract Integrity Center (CIC) (e.g., Property), etc.

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**Long Description**

The table from the previous screen has been augmented. The Definition column has been replaced by the "Condensed Definition" column, which contains condensed versions of the full definitions on from the previous page. A third column has been added, entitled "DCMA Stakeholders for Pre-Release Coordination". Use the link provided to access a PDF version of the table.

[View CR](#) [Submit CR](#)**DCMA CAR Reporting Stakeholders – Release, Approval, and Acceptance**

The table has been modified to add the DCMA personnel responsible for releasing, approving, and accepting have been added. Note that Level I and II CARs give a lot of authority to the local CMO and the Quality Assurance Specialist assigned to the supplier.

[Click here to access the full-size version of the table below.](#)

Level	Condensed Definition	Pre-Release Coordination	Approval Stakeholder for Release and Acceptance
Level I	Minor in nature Promptly corrected No Root Cause Analysis required	Locally at DCMA Office	Functional Specialist
Level II	Not promptly correctable Warrants Root Cause Analysis Warrants preventive action	Locally at DCMA Office Functional leaders	Functional Specialist
Level III	Serious noncompliance Significant deficiency No response to Level II CAR Remedy recurring noncompliance	CMO Commander CMO Director CMO Legal Counsel CIC	Administrative Contracting Officer (ACO) Divisional Administrative Contracting Officer (DACO) Corporate Administrative Contracting Officer (CACO)
Level IV	Serious nature of noncompliance Level III CAR has been ineffective	CMO Commander CMO Director CMO Legal Counsel CIC	Administrative Contracting Officer (ACO) Divisional Administrative Contracting Officer (DACO) Corporate Administrative Contracting Officer (CACO)

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**Long Description**

The table from the previous screen has been augmented. The "DCMA Stakeholders for Pre-Release Coordination" column has been replaced by a "Pre-Release Coordination" column, which contains abbreviations of the stakeholders from the previous page. A fourth column has been added, entitled "Approval Stakeholder for Release and Acceptance". Use the link provided to access a PDF version of the table.

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### DCMA CAR Reporting Stakeholders – Pre-Release Notification

The table has been modified to add the DCMA stakeholder who shall receive a pre-release notification for each level of CAR.

[Click here to access the full-size version of the table below.](#)

Level	Condensed Definition	Pre-Release Coordination	Approval Acceptance	Pre Release Notification
Level I	Minor in nature Promptly corrected No Root Cause Analysis required	Locally at DCMA Office	Specialist	Locally at DCMA Office
Level II	Not promptly correctable Warrants Root Cause Analysis Warrants preventive action	Locally at DCMA Office Functional leaders	Specialist	Locally at DCMA Office Functional leaders As prescribed locally
Level III	Serious noncompliance Significant deficiency No response to Level II CAR Remedy recurring noncompliance	CMO Commander CMO Director CMO Legal Counsel CIC	ACO DACO CACO	Region Director COO Deputy Operations (Ops) Director Agency Functional Executive Directors
Level IV	Serious nature of noncompliance Level III CAR has been ineffective	CMO Commander CMO Director CMO Legal Counsel CIC	ACO DACO CACO	Operations Functional Directors Affected DCMA Centers

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**Long Description**

The table from the previous screen has been augmented. The "Approval Stakeholder for Release and Acceptance" column has been replaced by an "Approval Acceptance" column, which contains abbreviations of the approval stakeholders from the previous page. A fifth column has been added, entitled "Pre Release Notification". Use the link provided to access a PDF version of the table.

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## Supplier Reporting Stakeholders – Management Levels

The table has shifted focus to the Supplier Stakeholders.

[Click here to access the full-size version of the table below.](#)

Level	Condensed Definition	Supplier Stakeholders
Level I	Minor in nature Promptly corrected No Root Cause Analysis required	Lowest management level responsible to correct noncompliance or defect
Level II	Not promptly correctable Warrants Root Cause Analysis Warrants preventive action	Functional level of management responsible for corrective action
Level III	Serious noncompliance Significant deficiency No response to Level II CAR Remedy recurring noncompliance	Top-level manager at business segment or corporate manager
Level IV	Serious nature of noncompliance Level III CAR has been ineffective	Top-level manager at business segment or corporate manager

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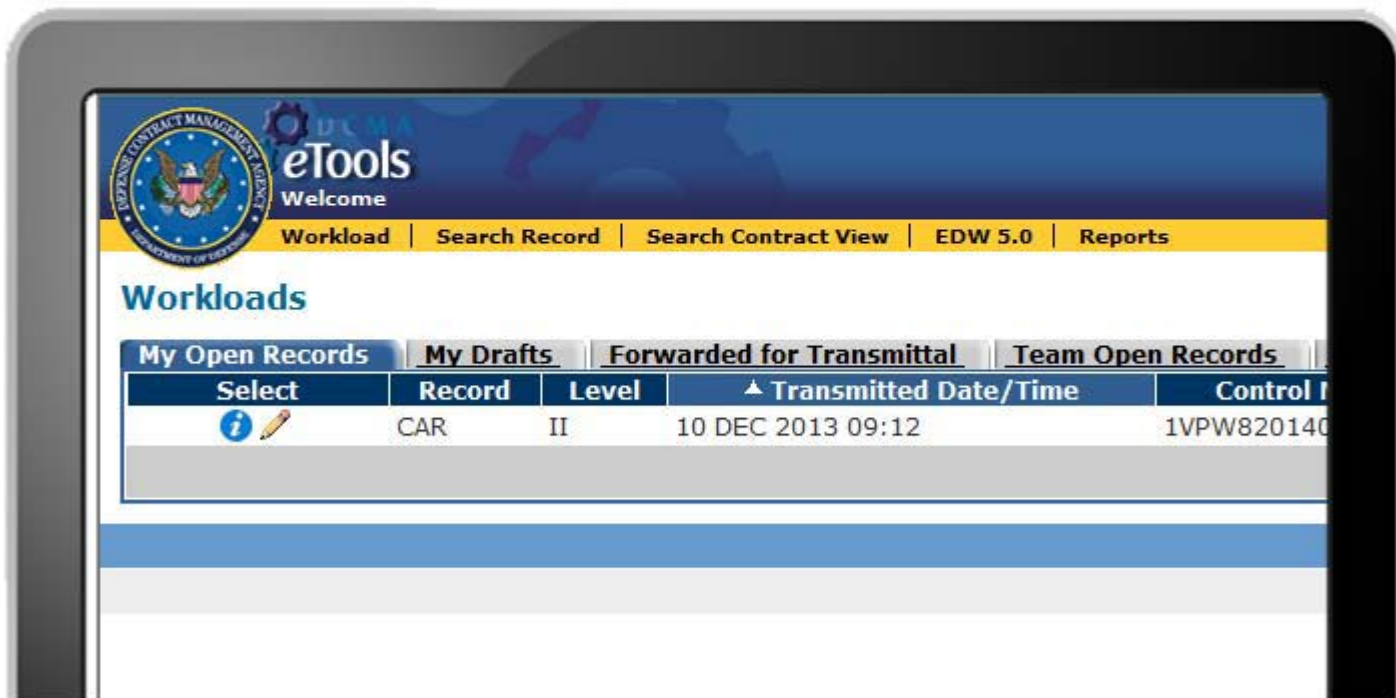
**Long Description**

A table similar to the table on the previous page is displayed. This table contains information pertaining to supplier stakeholders, instead of DCMA stakeholders. This table contains three columns: a Level column, a Condensed Definition column, and a Supplier Stakeholders column. The table has four records for levels one through four. Recall that the levels are numbered in Roman numerals. Use the link provided to access a PDF version of the table.

Supplier Reporting Stakeholders – CAR eTool

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You will use the CAR eTool to manage the DCMA side of RCA reporting. Below is an example screen with information provided for training purposes only. Next, you will be asked a question about the information on this screen.



**Long Description**

A computer screen is displaying the DCMA eTools website, which is currently displaying a page entitled "Workloads". This page is currently showing a table entitled "My Open Records", which has column headers "Select", "Record", "Level", and "Transmitted Date/Time". The table currently only has one record. The values of the record are: "CAR" is in the "Record" column, "II" (the Roman numeral for 2) is in the "Level" column, and "10 DEC 2013 09:12" is in the "Transmitted Date/Time" column.

CAR Reporting Stakeholders Knowledge Review

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Who at your DCMA office can approve the release of the CAR listed on the graphic? Select the lowest level of authority from those provided.

- Administrative Contracting Officer
- You, the Quality Assurance Specialist
- Divisional Administrative Contracting Officer
- Corporate Administrative Contracting Officer

Check Answer

Because the CAR listed on the graphic is a Level 2 request, the best answer is the functional specialist at the DCMA office, **which could be you.**

The screenshot shows the DCMA eTools interface. At the top left is the DCMA logo. To its right is the 'eTools' logo with 'Welcome' below it. A navigation bar contains 'Workload' and 'Search Record'. Below this is a 'Workloads' section with three tabs: 'My Open Records', 'My Drafts', and 'For'. The 'My Open Records' tab is active, showing a table with the following data:

Select	Record	Level
	CAR	II

**Long Description**

A snippet of the DCMA eTools website is displayed. In the "My Open Records" table is an entry that has "CAR" in the "Record" column and "II" (the roman numeral for 2) in the "Level" column.

## CAR Reporting Stakeholders Summary

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So, I have some authority when I get back to my office.



It may be better to say that you have gained a responsibility to approve and release Level I and Level II CARs. Use the CAR eTool and manage your workload in full awareness of the needs of our DoD customers and the details in their contracts.

Your supervisor may wish to monitor your performance on your first few CARs. Learn from their experience.

**Long Description**

The mentor and the DCMA Specialist continue their conversation. The DCMA specialist looks like he suddenly realizes hes has authority. He says, "So, I have some authority when I get back to my office." The mentor looks satisfied and confident that the DCMA Specialist is understanding his role. The mentor replies, "It may be better to say that you have gained a responsibility to approve and release Level I and Level II CARs. Use the CAR eTool and manage your workload in full awareness of the needs of our DoD customers and the details in their contracts. Your supervisor may wish to monitor your performance on your first few CARs. Learn from their experience."

Lesson Completion

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You have completed the content for this lesson.

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