



NeuStar, Inc.
Information Technology and Services

Report of Root Cause Analysis and Corrective Action Plan

Report Submission Date January 14, 2002

☒ **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
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Table 1 Template Revision History

Version	Date	Change Author	Description of Change
1.0 Draft 1	1/7/02	Mandy Kinne	Initial Version based on NPAC/LNP RCA & CAP
1.0 Draft 2	1/14/02	Mandy Kinne, Jim Pasquale	Enhanced/further defined process, split into separate process and form files

Table Of Contents

1	Introduction	1
1.1	Scope and Purpose	1
1.2	Report Content and Deadline	1
1.3	Report Distribution and Confidentiality	2
1.4	Glossary	3
2	Root Cause Analysis and Corrective Action Plan Reports	4
2.1	General Information	4
	Trouble Ticket Number	4
	Date Outage Occurred.....	4
	Issue Description	4
	Entities Impacted.....	4
	SLRs and/or SLAs Impacted.....	4
	Report Submission Dates	4
2.2	Preliminary and Follow-up Root Cause Analysis Reports	5
	Event Times	5
	Detailed Sequence of Events.....	5
	Preliminary Root Cause Determination	5
	Methods	6
	Rationale	6
	Immediate Corrective Action Taken.....	6
	Incidental Findings.....	6
	Continued Action Plan	6
2.3	Definitive Root Cause Analysis Report	7
	Root Cause Determination	7
	Methods	7
	Rationale	7
2.4	Root Cause Analysis Termination Report	8
	Methods	8
	Rationale	8
	Corrective Action Adequacy	8
2.5	Corrective Action Plan	9

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. The LNP/NPAC LOB is also required to follow the RCA and CAP process agreed to and approved by the external customers. Contact the IT&S Director of Numbering Services or the Director of Service Delivery for details about the LNP/NPAC RCA and CAP process.

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

Report	Report Deadline	Purpose	Sections Affected
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

Trouble Ticket Number	
Date Outage Occurred	
Issue Description A brief description of the issue.	
Entities Impacted	
NeuStar Internal List groups or individuals.	
External Customers List LOB/service and specific customers, if applicable.	
SLRs and/or SLAs Impacted 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.	
Report Submission Dates	
Date Preliminary RCA Submitted	
Date Definitive RCA Follow-up Submitted	
Date Definitive RCA Submitted	
Date RCA Termination Submitted	
Date Corrective Action Plan Submitted	
Date Final Corrective Action Plan Submitted	

2.2 Preliminary and Follow-up Root Cause Analysis Reports

Event Times Please indicate the time zone used for all times reported.		
Outage Start Time		
Restoration Time		
Total Outage Time in Mins		
Detailed Sequence of Events		
Date	Time	Event
Preliminary 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 you are filing a follow-up report and are including information about a new preliminary root cause, copy and paste the Preliminary Root Cause Determination, Methods, and Rationale sections and provide the new information in a separate section.		

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.

Immediate Corrective Action Taken

Carry these items forward to the Corrective Action Plan.

Incidental Findings

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.

Date	Finding	Impact

Continued Action Plan

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.

Due Date	Action	Responsible Person or Entity

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

Methods
A brief description of the techniques and practices you actually used to attempt to determine the root cause.
Rationale
A summary of the reasons or the basis for being unable to determine the definitive root cause.
Corrective Action Adequacy
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