

ROOT CAUSE ANALYSIS/CORRECTIVE ACTION MATURITY MATRIX

Assessment Item	Low Maturity	Medium Maturity	High Maturity	Item Score
1. How are problems identified/selected for root cause analysis/corrective	Primarily external issues (e.g., customer complaints, external auditor findings)	+ Internal product, process, and project failures	+ Trends in failures (both problems and causes)	
2. Who performs the analysis and recommends solutions?	QA department	Department where failure occurred, with support of QA	Depends on significance or complexity of problem; trained facilitator supports	
3. What model is used to guide the analysis and solution	No specific method used	8D, A3 or similar	Depends on significance or complexity of problem	
4. How broad is the analysis?	What caused it (prevention) OR why wasn't it caught (detection)	What caused it AND why wasn't it caught sooner	+ What in the planning process failed to predict the failure (problem, cause or control adequacy)	
5. What diagnostic tools are typically used?	Brainstorming, cause & effect diagram, 5-whys. Pareto analysis	+ Flowchart, data analysis tools (histogram, scatter diagram ...), statistical techniques (t-test, ANOVA..)	+ Logic tree; advanced statistical techniques such as design of experiments, AI/ML	
6. How deep does the investigation go?	Physical/direct causes only	+ System level causes for medium or high risk issues	+ Organizational level causes for most serious issues	
7. How often is human error designated as the root cause?	Frequently	Occasionally	Almost never	
8. How are solutions selected for implementation?	Choice of single individual; quickest, easiest or least expensive	Group decision with some analysis (e.g., multi-voting)	Optimal based on probability of long term technical success, while considering cost/payback and impact on personnel	
9. How widespread is solution implementation?	Focus is on where the problem occurred	Look at other products or processes where same problem might occur	+ Consider other facilities, and/or where same causes or types of causes could occur	
10. Who receives a copy of the final report?	QA and source of complaint	Process owner of responsible department and QA	+ Senior management and/or risk committee if a high risk issue	
11. What metrics are used to monitor the corrective action	Time to close or similar	+ Recurrence of problems	+ Recurrence of causes	
12. How often do problems that have been thru corrective action recur?	Repeats of problems are common	Repeats of problems are few	Repeats of problems are very uncommon	

Total Score	
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Scoring Instructions	Criteria
1. Assign 1, 2 or 3 for each assessment item	Low = 1, Medium = 2, High = 3
2. Calculate overall maturity score	Total: 12-19 = Low, 20-28 = Medium, 29-36 = High