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LI/SS/SOC Operating Instruction #3

From: 845

Subj: Critique Procedure

Encl: (1) Acronym Cross-Reference  
(2) Trouble Report and Problem Investigation Report  
Flowchart  
(3) Sample Preliminary Trouble Report Notice  
(4) Problem Notification  
(5) Problem Investigation Checklist  
(6) Critique Meeting Chair Guidelines  
(7) Sample Trouble Report (TR)  
(8) Guidelines for Preparing Trouble Report  
(9) Sample Problem Investigation Report (PIR)

1. Purpose

a. To provide requirements, responsibilities, and procedures for investigating and reporting problems involving the Level I/SUBSAFE/DSSP Stock Programs where documentation of the problem, causes, and corrective actions are mandated or determined to be necessary.

b. To implement the Problem Investigation Report for use by NAVICP Code 845 in identifying, investigating, and documenting problems.

2. Scope

a. Critique Conduct and Problem Investigation

(1) The requirements of this section apply to any problems that are encountered with defective material, loss of material traceability, or material failure of material within the Level I/SUBSAFE/DSSP Stock Programs. Procedural failure within the Level I/SUBSAFE/DSSP Stock programs will also be cause to implement the requirements of this procedure.

(2) Problem investigation and resolution will be conducted per this instruction, as outlined in the flowchart of enclosure (2). The options available for problem resolution range from verbal resolution to initiating a formal critique meeting and/or issuing a Problem Investigation Report or Trouble Report. This determination will depend upon the type and

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severity of the problem and will be made by the Level I/SUBSAFE/DSSP Department Director or his designee.

(3) Problem investigations serve to:

(a) Provide the Level I/SUBSAFE/DSSP Department with a procedure for formal investigation and response relative to material certification, product quality, and procedures.

(b) Provide a process whereby high-level management is able to review responses for possible follow-up actions to ensure product safety, quality, and adherence to procedures.

(c) Develop training for use in future personnel training to emphasize problem or potential problem areas.

b. Reason for Conducting a Critique

(1) To accurately outline and record the chronology of facts relating to problems/incidents that affect the reliability and/or quality of Stock Program procured/issued material.

(2) To clearly define problems and their basic root causes, and to permit development of effective corrective actions that will prevent recurrence of the problem.

3. Definitions

a. Problem. Component or process failures affecting or casting doubt on the reliability or quality of Stock Program material. Problems meeting the definition of incident, described below, will be upgraded to that category.

b. Incident. For the purpose of this instruction, an incident is any problem that affects or degrades the usability of SUBSAFE/Level I/Scope of Certification material or procedures. The following shall be treated as incidents and are to be reported via formal Trouble Report.

(1) Failure of Level I/SUBSAFE/Scope of Certification material, as reported by Quality Deficiency Reports, shipyards, stock points, or other sources, that have resulted in injury, equipment failure, or degradation of mission.

(2) Any event that results in, or is likely to result in, a material recall.

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(3) Systemic material control problems.

(4) Any significant issue or systemic problems, as determined by the SUBSAFE Director or his designee, which warrant an investigation via a Trouble Report (TR).

(5) Significant deviations from or violations of approved procedures, plans, or instructions that adversely affect the Level I/SUBSAFE/Scope of certification Stock Programs.

#### 4. Responsibilities

a. SUBSAFE Director/Supervisor of Quality Assurance and Training:

(1) When notified, determine the need for conducting a formal critique meeting and/or submitting a Trouble Report. Initiate a preliminary investigation.

(2) Designate the responsible code/individual to conduct the preliminary investigation of the reported problem.

(3) Designate the responsible code/individual to chair the critique and/or submit the critique minutes.

(4) Based upon the type of problem, severity, and results of the preliminary investigation, determine appropriate resolution, including the need for a Problem Investigation Report.

(5) The SUBSAFE Director will review and approve all Problem Investigation Reports (PIR) and concur in all Trouble Reports submitted.

(6) The SUBSAFE Director will attend critique meetings, when appropriate and concur on SUBSAFE and Scope of Certification Trouble Reports. Make initial notification of SUBSAFE incidents to NAVSEA 92Q, with follow-up in writing.

(7) The Supervisor of Quality Assurance and Training will provide interface contact with all personnel for critiques requiring their involvement. Specific disciplines to be involved in the critique will be determined by the SUBSAFE Director, Supervisor of Quality Assurance and Training, or their designee.

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(8) The Supervisor of Quality Assurance and Training will direct follow-up corrective actions taken as a result of a TR/PIR (reviewing records and/or revised procedures, questioning personnel who received training, etc.). Assess the results of these actions for effectiveness in preventing similar problems. Report the results of all follow-up reviews.

(9) The Supervisor of Quality Assurance and Training will maintain overall responsibility for administering the Trouble Report and Problem Investigation Report Program (critique process).

b. Division Heads

(1) When notified, determine the need for conducting a formal critique meeting and/or submitting a Trouble Report. Initiate a preliminary investigation.

(2) Assign a Critique Chair when so directed by the SUBSAFE Director/Supervisor of Quality Assurance and Training.

(3) Designate knowledgeable individuals to conduct preliminary investigations or act as the Chair for critique meetings and to prepare critique minutes.

(4) Based upon the type of problem, severity, and results of the preliminary investigation determine appropriate resolution, including the need for a Problem Investigation Report.

(5) Review preliminary Trouble Reports and/or Problem Investigation Reports and provide comments and technical expertise when requested. Review action item when requested for technical adequacy.

(6) Direct follow-up corrective actions taken as a result of a TR/PIR (reviewing records and/or revised procedures, questioning personnel who received training, etc.). Assess the results of these actions for effectiveness in preventing similar problems. Report the results of all follow-up reviews.

c. Critique Chair

(1) Lead or conduct the preliminary problem investigation, as directed by the SUBSAFE Director/Supervisor of Quality Assurance and Training or designee.

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(2) Establish the time, place, and required attendance for the critique. Verify mandatory attendees are available before scheduling a critique in order to eliminate unnecessary rescheduling.

(3) Notify verbally all codes/personnel whose attendance is mandatory for conducting the critique.

(4) Assign personnel to positions of Report Preparer and Reviewer.

(5) Communicate verbally as well as by e-mail with the SUBSAFE Director and the Supervisor of Quality Assurance and Training to ensure the appropriate personnel are identified as well as ensuring that appropriate documentation is maintained.

(6) Notify the SUBSAFE Director and the Supervisor of Quality Assurance and Training of all critique meetings being initiated.

(7) Conduct the critique meeting and prepare critique minutes per the guidelines of this instruction.

d. Report Preparer and Reviewer

(1) Preparer Responsibilities

(a) Fully explain problems and write reports in a manner such that people unfamiliar with the problem can understand the report.

(b) Accurately describe root and contributing causes.

(c) Ensure corrective actions are consistent with the identified causes and will provide effective, long-term problem resolution.

(d) Determine Trouble Report overview concurrence requirements, and obtain final approval signature from the SUBSAFE Director.

(2) Reviewer Responsibilities. The cognizant/assigned Division Head shall review the report with the following objectives:

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(a) Ensure the root cause for the problem adversely affecting the mission was identified correctly. Ensure the root cause is not obscured with side issues, but rather treat side issues separately and with appropriate urgency.

(b) Ensure the corrective actions specified in the report result in solutions for the entire process. Do not limit focus to just the Department or Divisions.

### e. Documenter:

(1) 8452T will maintain a serial log and serialize all Trouble Reports and Problem Investigation Reports.

(2) 8452T will maintain a master file of Trouble Reports, Problem Investigation Reports, and all corresponding follow-up actions.

(3) 8452T will maintain a problem database suitable for trend analysis and lessons learned application.

(4) 8452T will review submitted documents for corrective actions taken as a result of a Trouble Report or Problem Investigation Report ensuring that the documentation provides objective quality evidence of the action, and that the action is consistent with correcting the identified problem. Assistance will be requested from appropriate codes, process owners, or specific disciplines as appropriate.

(5) 8452T will conduct follow-up review of completed corrective actions to verify adequacy of actions.

(6) 8452T will track all assigned action items and provide periodic status reports concerning all open Trouble Reports, Problem Investigation Reports, and Action Items.

(7) Supervisor of Quality Assurance and Training or his designee will facilitate issue of Preliminary Trouble Report Notices (enclosure (2)) within 24 hours of identification of the incident.

## 5. Actions

### a. Initial Reporting Actions and Investigations

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(1) Level I/SUBSAFE and DSSP personnel shall report all problems/incidents to SUBSAFE Director, Division Heads, or their designated representatives.

(2) As soon as a problem/incident is identified and immediate corrective action (if applicable) is taken, report the problem/incident to the Supervisor of Quality Assurance and Training for assignment of a Problem/Incident Report serial number. Only under emergent circumstances shall a critique be instigated without notifying Supervisor of Quality Assurance and Training. This shall occur only in order to notify personnel in time to attend the critique. In any event, the Supervisor of Quality Assurance and Training, or designee as soon as reasonably possible, and prior to the critique.

(3) A preliminary investigation shall be started as soon as possible, normally within 1 business day of the reported problem/incident. Investigation will normally be initiated by the Supervisor of Quality Assurance and Training following the initial report of a problem/incident. The preliminary investigation shall be conducted in accordance with the guidelines of enclosure (5).

(4) The Supervisor of Quality Assurance and Training or designee will evaluate the significance of the problem and the results of the preliminary investigation to determine the course of action to be taken. If the problem is minor or does not qualify for upgrading to incident status (per paragraph 3.b.), additional action is discretionary.

(a) Direct Code 8452T to prepare a Trouble Report (per paragraph 6.d.) without a formal critique meeting when:

1. The preliminary investigation has provided conclusive, objective evidence of what happened. The basic root cause and contributing causes have been properly identified and the corrective actions will correct the problem.

2. Problem is simple enough to allow a single individual to properly investigate and provide a resolution.

(b) Direct a formal critique meeting be convened and a Trouble Report prepared when:

1. The preliminary investigation does not result in problem definition or resolution.

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2. Problem is of such significance and/or complexity that a formal critique meeting is required in order to determine the facts, causes, and produce adequate corrective actions.

b. Assignment of Critique Chair

(1) The SUBSAFE Director/Supervisor of Quality Assurance and Training, or their designee will assign the responsible code having cognizance to chair the critique meeting.

(2) The chair will normally be at the Branch Head or Program Management level of management. Others may be assigned to chair at the discretion of the SUBSAFE Director/Supervisor of Quality Assurance and Training.

(3) Problems or incidents that appear to be a particular code's responsibility should be identified to that code for follow-up action.

(4) Submit a Preliminary Trouble Report Notice to Code 8452T.

c. Conducting the Critique Meeting

(1) Notify the required personnel of the critique meeting, its purpose, location, and time. Only under emergent circumstances shall a critique be initiated without the Supervisor of Quality Assurance and Training being notified in a timely manner in order that personnel may be notified in time to attend the critique.

(2) Critique meetings shall be called as soon as practical after the conclusion of the preliminary investigation and when the required people can be assembled. Critique meetings should normally begin no later than 24 hours following the problem discovery. Convening the critique in the shortest time possible is necessary to obtain information and facts while they are fresh in the participants' minds.

(3) If sufficient facts cannot be determined to proceed with the critique once it has been convened, give specific instructions to individuals for obtaining the necessary information and set a time and place for reconvening the critique.

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(4) Organize and analyze related facts using the guidelines of enclosure (5).

(5) Conduct the critique meeting using the guidelines of enclosure (6).

d. Trouble Reports provide detailed information to management on causes of significant and/or systemic problems incurred. In addition, TRs serve as a vehicle to:

(1) Ensure thorough corrective and preventive action is taken.

(2) Inform personnel of failure of equipment or procedures.

(3) Identify areas where additional training may be required.

(4) Inform other cognitive activities (e.g. Shipyards, Stock Points, NAVSEA, etc.) so that necessary action may be taken to prevent occurrence at other facilities.

e. Trouble Reports shall clearly describe what happened, evaluate the problem, and indicate the root cause(s) and corrective and preventive actions taken. TRs are to be written in sufficient detail that people unfamiliar with the problem can read and understand the report. TRs shall identify who is responsible for accomplishing corrective and preventive actions.

f. Trouble Report Preparation

(1) Prepare the Trouble Report using format and guidelines of enclosures (7) and (8).

(2) The Trouble Report must be written in such a manner that people reviewing the report who were not at the critique meeting will have a clear understanding of what happened, why it happened, and what will prevent it from happening again.

(3) It is the Critique Chair's responsibility to determine and verify the adequacy of corrective actions and obtain concurrence from the action code/person. This will normally occur immediately following the critique or within 24 hours after the critique has been completed. This concurrence will normally be obtained by having the representative attending

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the critique, initial the preliminary finding, or via e-mail if the action code/person is not at the critique. If a significant number of the action codes/persons are not present at the critique, a subsequent meeting will be scheduled to review the findings and obtain concurrence. The action code/person concurrence signifies that they understand and agree with the action and the estimated completion date.

(4) Submit the Trouble Report, including electronic copy, to the Supervisor of Quality Assurance and Training (with a copy to 8452T) within 10 working days from the time of the incident. Include the supporting critique package and Objective Quality Evidence (OQE) for all completed action items.

g. Disposition of Trouble Reports

(1) The Supervisor of Quality Assurance and Training will review the content of the Trouble report for completeness, correctness, technical adequacy, understandability, and proper classification.

(a) Ensure that the problem is correctly identified and its basic root cause and contributing causes are accurately defined using the guidelines of enclosure (5), paragraph 6.

(b) Ensure the corrective actions are meaningful, thorough, and that, when complete, will effectively correct the problem.

(c) Confirm the incident, as identified, warrants a Trouble Report per paragraph 4.b. of this instruction.

(2) Concurrence with the Trouble Report shall be obtained at Division level from the assigned lead code. This approval means that they are satisfied with the description of the problem, the identified basic root cause (and contributing causes), and that the corrective action will, when complete, correct the problem. The critique minutes and Trouble Reports will be returned to the originator for any corrections and to secure required concurrence. The SUBSAFE Director's concurrence is required on all SUBSAFE/Level I Trouble Reports. After the Trouble Report has been reviewed and signed by the SUBSAFE/Level I and DSSP Department Director, copies shall be distributed by Code 8452T to the cognizant fleet activities, applicable stocking points, Naval Shipyards and to NAVSEA 92Q no later than 30 days from the occurrence.

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(3) After all the required concurrences have been received, including action item concurrences, Trouble Reports shall be forwarded to the Supervisor of Quality Assurance and Training for review. Final review will be performed by the Director of the Level I/SUBSAFE and DSSP Department or designee. The final reviewed package shall be forwarded to Code 8452T for filing and subsequent tracking of all incomplete corrective action items. The Supervisor of Quality Assurance and Training will be provided a copy of the status of all items on a semi-weekly (every other week) basis via the Trouble Report/Problem Investigation Report Status Report.

(4) Code 8452T will maintain a status of Trouble Reports and incomplete action items. The Supervisor of Quality Assurance and Training will be provided a copy of the status of all items on a monthly basis via the Trouble Report/Problem Investigation Report Status Report.

#### h. Disposition of Corrective Actions

(1) Corrective actions resulting from any Trouble Report or Problem Investigation Report will be tracked by 8452T.

(2) Action codes will submit objective quality evidence to Code 8452T to document the actions taken to comply with the assigned corrective action. There is no specific format for action closure submittals; however, the submittals must include the following:

(a) PIR or TR number.

(b) The action item number and code responding to the action.

(c) Summary of action taken.

(d) Objective quality evidence action completion. Objective quality evidence provided shall contain sufficient detail to allow assessment by an independent party of the adequacy of the actions taken.

(3) Code 8452T will evaluate reported actions to ensure reported actions satisfy the assigned corrective action. Trouble Report originators and/pr codes cognizant of affected components/processes may be requested to assist in this

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determination. Schedule any required follow-up actions as a result of the responses received.

(4) Code 8452T will track, as a Trouble Report action, evaluation of Trouble Reports provided by other activities. Appropriate codes/activities will be requested to evaluate the distributed Trouble Report for applicable local corrective actions. Assigned codes/activities will be required to report completion of evaluation and any corrective actions adopted.

(5) Items reported complete prior to issue of the TR/PIR are the responsibility of the report preparer. Objective quality evidence shall be submitted to Code 8452T with the report. The signature of the report preparer indicates that action items reported complete prior to issue of the report have been completed to his/her satisfaction.

i. Problem Investigation Report (PIR) Preparation

(1) Problems not requiring a formal Trouble Report, as determined in paragraph 3.a., may be documented in a Problem Investigation Report using the format of enclosure (9) to assist tracking and completion of corrective actions. At the discretion of the Supervisor of Quality Assurance and Training, a PIR may be used to investigate, document, and track corrective action of any problem deemed appropriate.

(2) As soon as a problem is identified and immediate corrective actions are taken to preclude further damage/problems, report the problem to Code 8452T for a Problem Investigation Report serial number using a Problem Notification form (enclosure (4)). Only under emergent circumstances shall a critique be instigated without notifying the Supervisor of Quality Assurance and Training in order that personnel may be notified in time to attend the critique.

(3) The Problem Investigation Report, as shown in the format of enclosure (9), should contain the problem, circumstances, corrective actions, responsible action codes/activities, and distribution. Enclosure (5) checklist should be used as a guide for preparation.

(4) It is the Critique Chair's responsibility to determine and verify adequacy of corrective actions and obtain concurrence from the action code/activity. This will normally occur immediately following the critique or within 24 hours

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after the critique has been completed. This concurrence will normally be obtained by having the representative attending the critique initial the preliminary finding, or via e-mail if the action code is not at the critique. If a significant number of the action codes are not present at the critique, a subsequent meeting will be scheduled to review the findings and obtain concurrence. The action code concurrence signifies that they understand and agree with the action and estimated completion date.

(5) Submit completed PIR to Code 8452T no later than 21 calendar days from the time of the problem.

(6) Code 8452T will maintain PIR records and perform the administrative functions similar to those in paragraph 5.g.

6. Maintenance/Procedural Responsibility. Maintenance and procedural responsibility is assigned to NAVICP, Code 845.



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ACRONYM CROSS REFERENCE

DSSP-----Deep Submergence Systems Program  
MIC-----Material Identification and Control  
NAVICP-----Naval Inventory Control Point  
NAVSEA-----Naval Sea Systems Command  
OQE-----Objective Quality Evidence  
PIR-----Problem Investigation Report  
PM-----Preventative Maintenance  
POC-----Point of Contact  
PTRN-----Preliminary Trouble Report Notice  
SOC-----Scope of Certification  
SS-----SUBSAFE  
SUBSAFE-----Submarine Safety  
TR-----Trouble Report

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TROUBLE REPORT AND PROBLEM INVESTIGATION REPORT FLOWCHART

Description of Duty	Init Code	Code 845 Dept Head / 8452 Div. Head	Problem Investigator / Critique Chair	Report Preparer	8452T
1. Identify problem and initiate preliminary investigation.					
2. Submit problem information and critique date/time/location (if applicable) to Code 8452T.					
3. Assign PIR number. Provide standard email notification of critique to appropriate personnel for attendance at the critique.					
4. Assign investigator/ critique chair					
5. Does problem qualify as an incident per para. 3.b.					
6. Immediately prepare 24 hour "Preliminary Trouble Report Notice" (PTRN) and provide copy to Code 8452T.					
7. Assign TR number. Route PTRN through Department Head for approval to send off-station. File hard copy with route sheet.					
8. Does the problem/incident concern submarine material?					
9. If problem/incident concerns SUBSAFE issues, notify NAVICP SUBSAFE Director and NAVSEA 92Q.					
10. Conduct preliminary investigation.					
11. Does problem/incident require critique?					
12. Conduct Critique. Submit critique minutes and roster to report preparer.					
13. Review critique package and prepare PIR/TR. Route to all codes with assigned action items. Submit PIR/TR package to Code 845 and 8452 for approval.					
14. Approve PIR/TR. Forward approved PIR/TR with critique package and OQE for completed Action to Code 8452T to be submitted within					

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10 working days from problem identification.					↓
15. After PIR/TR approval, enter all action items into tracking system. Distribute hard copies of TR/PIR to all concerned in no more than 30 days from problem identification.					↓ □
16. End Process					↓ ○
○ Begin or End of Process	□	Process Step	◇	Decision Step	

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PRELIMINARY TROUBLE REPORT NOTICE

NAVICP \_\_\_\_\_ DATE OF INCIDENT \_\_\_\_\_  
NOTICE NO. \_\_\_\_\_ TIME OF INCIDENT \_\_\_\_\_  
LOCATION \_\_\_\_\_ SUBSAFE \_\_\_\_\_ YES/NO \_\_\_\_\_  
(STOCK POINT/SHIPYARD/SHIP)

1. Summary of Incident

(Provide a brief summary of the actual problem discovered.)

2. Apparent Cause

(Provide a description of the apparent cause of the problem.)

3. Location of Material at the Time of the Incident

a. Identify the exact location of material and its status at the time of the incident.

(e.g. Inventory at Stock Point (Portsmouth), installed aboard USS Eversail SSN123 in the Main Seawater system, etc.)

b. Current Stock Status

(Location of all inventory (Ready for issue, not ready for issue), and its condition code. Has any stock been frozen or recalled?)

4. Immediate Temporary Corrective Action Taken and Results

(Self-explanatory)

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PROBLEM NOTIFICATION

1. Date/Time Problem Occurred:
2. Date/Time Problem Discovered:
3. Date/Time Problem Reported to Code 8452T and POC who found/discovered Problem:
4. Location of where problem occurred:
5. Brief Description of the Problem:
6. Date/Time/Location of Critique (or Fact-Finding):
7. Critique (or Fact-Finding) Chair (or POC if no meeting - Name, Title, Code, Phone Number. (Note: Critique Chair is required to be at the GS-12 level or higher.):
8. Responsible Code (Code tasked to write TR/PIR):
9. Remarks: This problem will be documented by a Problem Investigation Report.
10. Contact for Trouble Reports an Problem Investigation Reports is Code 8452T (Ext 6654)

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PROBLEM INVESTIGATION CHECKLIST

1. Determine What Happened. Using this checklist as a guide, conduct a preliminary investigation into the circumstances surrounding the problem. This investigation shall start as soon as possible, but normally within 24 hours of the problem occurrence. Investigation shall include, but not be limited to:

a. Establishing and recording a clear description of the problem that occurred.

b. Interviewing all known personnel involved with the problem (by telephone if person's location precludes a face-to-face meeting). Determine the need for any written statements. Also, interview other individuals who, through personal knowledge, may contribute factual information concerning the problem. During the interviews, determine applicable facts such as:

(1) What happened and what was supposed to happen?

(2) When, where, and how did the problem occur?

(3) What is the scope of the problem?

(4) Who witnessed the problem or may have relevant information?

(5) What was done upon discovery of the problem and who was notified?

(6) If the problem concerns material:

(a) Does the material have any markings (e.g. MIC, manufacturing, etc.) on it?

(b) Where is the material now?

(c) Has, or should any inventory been frozen?

(d) Has or should a recall be performed?

(7) Were conditions under which the problem was discovered, normal (was testing going on, were normal procedures being used, etc.).

Enclosure (5)

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(8) If applicable, were people involved with the problem, properly trained and qualified?

(c) Identifying and collecting copies of pertinent documents related to the problem. Use paragraph 2 of this checklist as a guide.

(d) Determining if work, testing, or operations have been stopped or should be stopped as a result of the identified problem.

(e) Determining if the problem has been "bounded" or the scope of the problem needs to be expanded.

(f) If work, testing, or operations have been, or will be, stopped as a result of the problem, develop actions to resume the work, testing, or operations.

(g) Reviewing the immediate corrective actions to ensure that the affected area(s), system(s), assembly(s), or component(s) have been placed in a safe condition.

(h) Obtaining as much information as possible, both objective and subjective, which can be used during the critique meeting to determine the actual sequence of events leading up to the problem.

**Note:** The preliminary investigation, in most cases, is the single most important step in the investigation process. If accomplished properly, it will produce significantly more meaningful results than the critique meeting, and in some cases, provide sufficient objective information without the need for a formal critique meeting.

2. Determine, Assemble, and Perform Preliminary Review of Instructions, Documents, and Records. The following is a list of commonly used instructions, documents, and records (not all inclusive). Request assistance, as needed, to compile these items. The list is intended as a guide to identify documents applicable to the problem.

a. Work Instructions. Technical work documents (instructions, procedures, desk guides, Technical Manuals, NAVSEA Manuals, Drawings, etc.).

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b. Certified Records. MIC Certification Records, Worker Qualification Records, Certified Test Procedures, Inspection Records, Contract Files, etc..

c. Miscellaneous. Training Records, Letters/Messages, etc..

3. Past History. Depending upon the type and scope of the problem, review or request the code indicated to review the following areas, as applicable, for previous problems similar in nature: Trouble Reports, Problem Investigation Reports, Internal Audit Reports, Functional Audit Reports, etc..

4. Analyze Facts

a. Review the facts (chronological sequence of events).

b. Determine what happened.

c. Determine what should have happened.

d. Identify all violations of requirements, intended operations, and/or results.

e. Identify deviations that led to each violation.

f. Determine if the procedure(s) were clear and understandable.

g. Determine if the procedure(s) were followed as written.

h. Determine if problems/questions were properly reported and resolved.

i. Verify that records were kept as required.

k. Determine if worker accountability was maintained.

5. Training Review. Review the following areas if training or lack thereof may have contributed to the problem.

a. Is the process covered by formal training?

b. Is the training accurate and consistent with the procedure?

c. Is the Annual Refresher Training being conducted?

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6. Basic Root and Contributing Cause(s). Use the "cause and effect" method to determine the basic root cause of each separate problem identified.

**Note:** Determining the accurate basic root cause is the most important item. With it, solutions to correct the problem are relatively easy to determine. Without it, considerable time and money can be spent trying to fix symptoms, while the real cause of the problem goes unidentified.

a. To find the root cause, start with the primary effect (the problem you want to prevent from recurring) and find its cause. Then continue repeating this cause-effect process, using the prior cause as the next effect. An example would be:

PROBLEM (EFFECT)	REASON (CAUSE)
Main Engine Tripped	Valve Malfunctioned
Valve Malfunctioned	Bearing Worn-Out
Bearing Worn-Out	Bearing Not Lubricated
Bearing Not Lubricated	Preventative Maint. (PM) Not Performed
PM Not Performed	Foreman Forgot
Foreman Forgot	No Formal PM Scheduling System (BASIC ROOT CAUSE)

b. The critique meeting can now recognize that a PM scheduling system must be developed to prevent this problem from recurring.

7. Determine Corrective/Preventive Action

a. Recommend specific actions to prevent recurrence, obtain technical/engineering concurrence, if required.

b. Assign responsibility for corrective actions.

c. Determine if expanded reviews (e.g. check for similar problems with other items) are required to bound the problem. If so, expand the review and assign responsibility for accomplishment.

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d. Obtain estimated completion dates for all corrective actions assigned.

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CRITIQUE MEETING CHAIR GUIDELINES

Prior to Critique. The Chair shall prepare for the critique meeting using the following guidelines:

- Notify Code 8452T. Only under emergent circumstances shall a critique be instigated without Code 8452T being notified in a timely manner in order that the appropriate personnel may be notified in time to attend the critique.
- Conduct preliminary investigation into the circumstances surrounding the problem. This investigation shall start as soon as possible, normally within 24 hours of the problem occurrence.
- Determine the location and time the critique meeting will be held and make notifications. The location of the critique meeting should be free of distractions, high-noise levels, and disruptive traffic. The area must also have enough seatings capacity to accommodate all anticipated attendees.
- Determine and notify required personnel. In conjunction with the notification, direct written statements, and/or other documents (e.g. records, procedures, instructions, contracts, certifications, etc.) be submitted, when applicable.
  - Code representation at the critique meeting should be at a level that ensures that requirements and issues are knowledgeably addressed and understood. Representatives shall have the authority to commit to actions for their respective codes.
  - First-line supervisors, Quality Assurance Specialists, General Supply Specialist, and Inventory Managers should be in attendance if they are directly involved in the problem, or have pertinent information related to the problem.
  - For problems involving personnel injury, major safety violations, SUBSAFE or Scope of

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Certification problems, Division and/or Department Director (SUBSAFE Director) attendance is appropriate.

- Appoint a critique meeting recorder to take an accurate summary of key information gathered during the meeting.
- Solicit initial questions for discussion, if possible.
- Develop and establish a chronological list of facts and events, including the date and times, leading up to the problem.
- Obtain/draw system/component figures for use in the critique meeting.
- Determine what was required, what did we do, and why did we do it the way we did.
- Determine if the problem violated any SUBSAFE or Scope of Certification boundaries or procedures.
- Determine if NAVSEA or local requirements were violated.
- Consider whether the scope of the problem needs to be expanded to cover other items, situations, procedures or instructions etc..

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During Critique. The Chair shall conduct the critique meeting using the following guidelines:

- Circulate Critique Roster (date, time, names, codes, and telephone numbers). Verify that the appropriate personnel are present. This can be accomplished by calling roll of those individuals and organizations notified. Additionally, verify that codes have brought the people actually involved in the problem. If required personnel needed to effectively run the critique meeting are not present, contact the appropriate level of management. If the personnel cannot be located in a reasonable amount of time, reschedule the critique meeting accordingly and inform the appropriate managers/supervisors.
- Call the critique meeting to order and introduce self and the critique meeting recorder.
- Clearly state the nature and specifics of the problem and the purpose of the critique meeting.
- State the rules of conduct by which the critique meeting will be governed. It is necessary to restate the rules at each critique, since many participants do not regularly attend critique meetings.
  - The critique is to establish the facts, not to place blame.
  - There will be only one person speaking at a time.
  - Persons speaking shall identify themselves for the recorder.
  - The discussion shall remain focused on the problem.
  - Side conversations between attendees will not be allowed.
- The recorder shall summarize pertinent facts as they are addressed and/or directed by the Chair.

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- State the apparent problem. Poll attendees for a consensus of the apparent problem.
- Read all statements from persons not in attendance and which provide pertinent information aloud. Do this even if copies of the statements have been provided to the attendees. Ensure that all attendees understand what the statements say.
- Read and discuss any pertinent information from the documents collected.
- Display and explain a sketch/diagram of the system or components involved, as applicable.
- Evaluate the various contributing causes to the problem and employing the cause and effect method, as outlined in enclosure (5), identify the root cause. If available facts support a conclusion, state the apparent root cause(s) and obtain input from attendees.
- If desired, review summary of the minutes for the critique meeting. Ask for, and resolve any comments, issues, or inconsistencies. Ensure the critique meeting members are in consensus with minutes of the meeting.
- The Chair shall conclude the critique meeting and initiate corrective action determination with key managers/supervisors using the following guidelines:
  - Determine what immediate corrective actions were taken and their effectiveness in making unsafe conditions safe.
  - Identify any additional immediate corrective actions (e.g. freezing stock, recall, etc.), if necessary
  - If possible, develop permanent corrective actions to correct the basic root cause, and prevent recurrence of the problem. Permanent corrective actions may require additional

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meetings with appropriate managers/supervisors.

- o Document concurrences from the code representatives present for corrective actions assigned.

#### Post-Critique

- The Chair shall notify the applicable Division Head of all actions assigned by the critique meeting when the code was not represented at the critique meeting.
- The Chair shall prepare the critique package for the TR or PIR. The critique package shall consist of:
  - o Preliminary TR or PIR.
  - o Critique meeting minutes.
  - o Attendance sheet.
  - o Written statements.
  - o Applicable documents from those identified in enclosure (5).

**Note:** If there is no critique meeting, the cognizant code shall assign a Chair who shall conduct an investigation, per the guidelines of enclosure (5), and prepare the Critique Package. The other requirements specified here still apply.

- Distribute the Critique Package to all action parties including Code 8452T.

LI/SS/SOC OPERATING INSTRUCTION #3

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TROUBLE REPORT (TR)

NAVICP

REPORT NO. \_\_\_\_\_ DATE OF INCIDENT \_\_\_\_\_  
 LOCATION OF INCIDENT \_\_\_\_\_ TIME OF INCIDENT \_\_\_\_\_  
 SUBSAFE/SCOPE OF CERT \_\_\_\_\_ NON-SUBSAFE/NON SCOPE OF CERT \_\_\_\_\_  
 PRELIMINARY \_\_\_\_\_ FINAL \_\_\_\_\_  
 DATE OF ISSUE \_\_\_\_\_

1. SUMMARY OF INCIDENT

(Provide a brief summary of the actual problem discovered.)

2. DESCRIPTION OF INCIDENT AND DISCUSSION OF APPARENT CAUSE (DESIGN, MATERIAL, PERSONNEL, PROCEDURE):

DESIGN \_\_\_\_\_ MATERIAL \_\_\_\_\_ PERSONNEL \_\_\_\_\_ PROCEDURE \_\_\_\_\_

A. Description of Incident:

(Provide a description of the incident in sufficient detail that people unfamiliar with the actual problem can read this report and understand what happened.)

**USE AS MUCH SPACE AS REQUIRED.**B. Discussion of Apparent Cause:(Provide detailed information that resulted from investigation into this incident as to the apparent cause of the problem.) **USE AS MUCH SPACE AS REQUIRED.**3. Location of Material at the Time of the Incidenta. Identify the exact location of material and its status at the time of the incident.

(e.g. Inventory at Stock Point (Portsmouth), installed aboard USS Eversail SSN123 in the Main Seawater system, etc.)

b. Current Stock Status

(Location of all inventory (Ready for issue, not ready for issue), and its condition code. Has any stock been frozen or recalled?)

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4. Immediate Temporary Corrective Action Taken and Results  
(Self-explanatory)
  
5. PERMANENT CORRECTIVE ACTION:  
(Self-explanatory)
  
6. AREAS OF, AND RESPONSIBILITY FOR, FURTHER NAVICP EVALUATION.  
(Self-explanatory)
  
7. SIMILAR TROUBLE REPORTS (BY NUMBER):  
(Self-explanatory)

CONCURRENCES:                      PREPARED BY: \_\_\_\_\_

REVIEWED BY: \_\_\_\_\_

APPROVED BY: \_\_\_\_\_  
Level I/SUBSAFE/DSSP Director

DISTRIBUTION:  
8452T  
Affected Codes/Activities

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GUIDELINES FOR PREPARING TROUBLE REPORT

1. Summary of Incident. A brief, concise management summary telling what happened and identifying that a requirement was violated (if one was violated).

2. Description of Incident and Discussion of Apparent Cause

a. This section is a complete description of the incident and should repeat the content of this summary, section 1.

b. Describe the event and the circumstances leading up to it. The need for each item of permanent action (section 5) should be clear within the description. Relevant circumstances should not be left out. If there is a question of a given circumstance's relevance, the preparer must decide the proper format for it (e.g., letter, memorandum, included in the Trouble Report).

c. Where multiple errors are involved, they should be clearly identified (e.g., First Error - Local Procedure, Second Error - Training, etc.). See enclosure (5) for methods for classification of errors into Training/Supervision/Procedure/Personnel categories. It is only through determining the root cause of each error that the corrective actions taken to prevent recurrence can be effective.

4. Location of Material at Time of Incident

a. Where the incident involves stock program material, the pertinent facts concerning where the material was at the time of the incident should be explained. Was the material in inventory, installed aboard ship (if so, in what system), in the shipyard, etc.. If aboard ship, was it installed and what was the status of the system? Was the system shutdown, in operation, tagged out, etc..

b. Current stock status information can be obtained from the Critique Package.

5. Immediate/Temporary Corrective Action and Results

a. Describe action(s) taken to attain immediate control of the problem and place conditions in a safe condition.

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b. If defective components are involved, identify corrective action(s).

6. Permanent Corrective Actions

a. Describe action taken or to be taken to prevent recurrence.

b. When the event involves personnel error traceable to improper action by specific personnel, the report should indicate the specific corrective action taken with regard to training and qualification of the individuals at fault. Individuals should be referred to by titles, not names.

c. When the action taken includes a request for action by organizations other than NAVICP, the requesting document (e.g., letter, message, Liaison Action Request, etc.) is to be identified in the Trouble Report by date and serial number. Trouble Reports are not to be used to request action by these organizations.

d. Where training is specified as part of the corrective action, identify the specific items to be covered in training.

e. In situations that may require administrative actions to be taken with personnel, the following statement shall be used for the corrective action:

"Conduct an independent investigation of the events surrounding this incident according to local instructions and determine the appropriate action with involved personnel."

7. Area of Responsibility for Further Evaluation. If any, determined during critique.

8. Similar Trouble Reports (By Number). Review Trouble Reports that occurred within the last 2 years to identify similar incidents. Code 8452T maintains a file of incidents that may aid in this determination. Permanent Corrective Actions for these Trouble Reports shall be reviewed to determine if they should have prevented this event and if so, why they failed to prevent it.

9. Signatures and Distribution

a. Determine and obtain any impacted code/activity concurrence to verify adequacy of corrective actions. The action code/activity concurrence signifies that they understand

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and agree with the action and estimated completion date. The concurrence shall be at the first-line supervisory level or above.

b. Distribution should include impacted codes/activities and Code 8452T.

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PROBLEM INVESTIGATION REPORT (PIR)

Ser. No. \_\_\_\_\_

Date: \_\_\_\_\_

From: Originators Code

To: Code 8452T

Via: (Include all codes/activities with outstanding action items if their concurrence was not obtained and documented at a corrective action meeting. Submit supporting documentation with PIR.)

1. Problem:

(Provide a description of the problem in sufficient detail that people unfamiliar with the actual problem can read this report and understand what happened.)

USE AS MUCH SPACE AS REQUIRED

2. Circumstances:

(Provide a description of the circumstances in sufficient detail that people unfamiliar with the actual problem can read this report and understand what happened.)

USE AS MUCH SPACE AS REQUIRED

3. Causes:

(Provide detailed information that resulted from investigation into this incident as to the apparent (root) cause of the problem.)

USE AS MUCH SPACE AS REQUIRED

4. Immediate Corrective Actions:

(Self-explanatory)

5. Permanent Corrective Actions:

(Self-explanatory)

\_\_\_\_\_  
Originator's Signature

DISTRIBUTION:

Code 8452T

Affected Codes and Activities

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