

Root Cause Analysis Guidance

Data Driven Review

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INSTRUCTION:

When working to determine the root cause, considering the questions listed below may be helpful.

QUESTIONS FOR ROOT CAUSE ANALYSIS [examples]:

Description of event:

- What happened?
- Where did the process go wrong? What steps were involved in (contributed to) the event?
- What are the usual steps in the process (es)?
- Why do you think it happened?

Work Performance:

- What role did employee performance play in this event?
- What human factors were relevant to this case? (i.e., rushing, temperature, etc.)
- Were interruptions or distractions a factor in this case?

Communication among staff / Information availability:

- Was information available for the staff when needed?
- Was the communication timely in this event?
- Were there obstacles in communications related to this event?
- Do the records and logs provide a clear picture of what happened?
- Were there issues related to continuity of care?

Communications:

- Was the communication with the individual and the parent/guardian adequate?
- Is follow up communication needed? What is the timeframe?

Consumer care and care planning:

- What issues related to physical and/or behavioral assessment(s) were factors in this event?
- What policies or procedures relate to the level and frequency of observation and monitoring?
- Did the level and frequency of patient observation or monitoring meet the Individual Service Plan?

Staffing:

- How did staffing levels compare with ideal levels?
- Was workload a factor in this event?
- How are staffing contingencies handled?
- Was supervision of staff an issue in this case?

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Training and Job Knowledge:

- Were issues relating to staff training or staff competency a factor in this event?
- Was the individual performing the work in a situation where they had a lack of training?
- Are the results of training monitored on a consistent and regular basis?
- How is staff performance assessed?
- Are competencies documents?
- Is there a program in place to identify what training is needed?

Equipment & Equipment Maintenance:

- Was equipment an issue in this case?
- Did the equipment function properly?
- Was the equipment used as designed?
- Has staff training been performed on the use of the equipment?
- Was equipment maintenance an issue?

Environmental:

- Was the work area designed to support the function for which it was being used?
- Does the work environment provide physical stressors for staff? (i.e., temperature, improper lighting, etc.)
- Does the work environment meet current codes, specifications and regulations?
- What system is in place to identify environmental risks?

Leadership:

- To what degree is the culture conducive to risk identification?
- What are the barriers to communications of potential risk factors?
- How is the prevention of adverse outcomes communicated as a high priority?

Other:

- Are there other factors that influenced this outcome?
- What can be done to protect against uncontrollable factors?
- Were other areas or services affected?

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