

## 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?

### **Documentation:**

- Is the present documentation system efficient?
- Are staff properly documenting according to the established standards?
- Are staff utilizing the documentation to improve service delivery?
- Is the documentation being reviewed on a frequent basis to identify issues?

### **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 individual observation or monitoring meet the Person Centered Individualized 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?

### 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 documented?
- 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?