

## Root Cause Analysis Checklist

Root cause analysis is a structured investigation that aims to identify the true cause of a problem, and the actions necessary to eliminate it.

<b>Preparation</b>		
	<b>Yes</b>	<b>No</b>
1. Has a team been assigned to analyse the incident? (Team content will vary depending on events or near misses)  2. Does the team include staff at all levels closest to the issues and those with decision-making authority?  3. Is there a clear process for communicating progress to senior managers and/or the board and keeping them informed?  4. Are the issues regarding the incident clearly defined?  5. Does the team share a common understanding of the issues?  6. Are there external stakeholders investigating the circumstances surrounding the incident?  7. Have external stakeholders been identified who may be able to assist with local investigations, inquiries and root cause analysis?  8. Is there a clear communications process for these stakeholders?		
<b>Collecting evidence</b>		
	<b>Yes</b>	<b>No</b>
1. Has information been gathered in the following ways?:  a. Direct observation eg. evidence about the scene, configuration, relationships between parts, etc.  b. Documentation, what should have happened as well as providing evidence of prior risk assessment, inspections, tests, etc.  c. Interviews, which, conducted sensitively, provide both direct testimony as well as an opportunity to check back on any issues arising from examination of the physical and documentary evidence.		

<p>2. Has the team begun to draw up and implement improvement strategies. Immediate changes may be necessary to secure a reduction in future risk of harm to patients?</p>		
<p><b>Assembling and considering the evidence to determine the cause</b></p>		
<p>1. Have the following causes been identified</p> <ul style="list-style-type: none"> <li>a. Immediate causes eg. the patient, the task, the work environment and the people involved, either individually or as part of a multi-disciplinary team.</li> <li>b. Underlying causes, including human factors.</li> </ul> <p>2. Has the team brainstormed all possible contributing factors including systems and processes and not people?</p> <p>3. Has the team used an independent (internal or external) 'expert' with this and other stages of the root cause analysis?</p> <p>4. Have you constructed a cause-and-effect diagram to assist with this process?</p> <p>5. Have you asked 'why?' for each cause to drill down to the root cause(s)?</p>		
<p><b>Comparing findings with relevant standards etc.</b></p>		
	<p><b>Yes</b></p>	<p><b>No</b></p>
<p>1. Have you compared the conditions and sequence of events with relevant standards, guidelines, protocols, etc.?</p> <p>2. Have you decided:</p> <ul style="list-style-type: none"> <li>a. If suitable standards etc. have been set to control all the factors influencing the incident.</li> <li>b. If standards etc. existed, were they appropriate and sufficient?</li> <li>c. If the standards etc. were good enough, were they applied or implemented in practice?</li> <li>d. Why any failures occurred.</li> </ul>		

<b>Drawing up an Improvement Strategy</b>			
		<b>Yes</b>	<b>No</b>
1. Have you defined the following: <ul style="list-style-type: none"> <li>a. prioritised actions</li> <li>b. responsibilities</li> <li>c. timescales</li> <li>d. strategies for measuring the effectiveness of actions</li> </ul> 2. Have you recommended changes in: <ul style="list-style-type: none"> <li>Training</li> <li>Policies and procedures reviewed</li> <li>Equipment reviewed</li> <li>Simplifying systems</li> <li>Standardising procedures</li> <li>Generating reminders and checklists</li> <li>Timely delivery of information</li> <li>Simplified information</li> <li>Standardise systems</li> <li>Improved communication</li> </ul>			
<b>Implementing the improvement strategy and tracking progress</b>			
		<b>Yes</b>	<b>No</b>
1. Have you identified individuals with responsibility for actions?  2. Have you recommended timescales for implementation of the actions?  3. Have you planned how you will track progress on implementing actions?  4. Have you planned how to monitor the effectiveness of the actions?			