

Adverse Event Reporting Program GUIDE: Root Cause Analysis Process

This is a step-by-step guide to assist you in determining the root cause of the event and will help in preparing the analysis for submittal. The root cause analysis (RCA) is due to the department within 45 days of confirming an event. For additional guidance see the [Resources web page](#).

Steps	RCA Team Meetings	Activity	Responsible party
1. Gather Information	-	<ul style="list-style-type: none"> • Decide one person or team • Review the medical record 	Facilitator
2. Initial Information	Meeting #1	<ul style="list-style-type: none"> • Develop flow chart or time chart sequence outlining the event 	Facilitator
3. Additional Information	-	<ul style="list-style-type: none"> • Site Visit • Collect equipment • Collect photos • Record interview ASAP- individual vs. group • Review relevant policies and procedures 	Member assignments
4. Literature Review	-	<ul style="list-style-type: none"> • Determine if there are relevant leading practices or evidence-based guidelines • Review incident reporting database to see if there have been other related events • Evaluate current professional practice standards • Consultation with colleagues 	Member assignments
5. Timeline and Final Understanding	Meeting #2	<ul style="list-style-type: none"> • Complete timeline • Complete flow chart 	All members
6. Determine Contributing Factors and Root Causes	Meeting #2	<ul style="list-style-type: none"> • Complete JC Proximate factors, OR • NCPS Triage Questions, OR • CPSI Triage and Triggering Questions for Root Cause Analysis (Appendix C) • Complete Cause and Effect Diagram, e.g., Fishbone or Tree • Record incidental findings and report to appropriated persons 	All members
7. Formulate Casual Statements	Meeting #2	<ul style="list-style-type: none"> • Carefully word the casual actions or conditions to be very specific • Review the Five Rules of Causation 	All members
8. Develop Actions	Meeting #3	<ul style="list-style-type: none"> • Identify measures to address the root causes identified • Evaluate and choose the most effective actions • Determine actions, time frames, and responsible individuals • Determine plan to measure effectiveness • Determine plans for communicating findings 	All members and Senior Management