



Root Cause Analysis and Action Plan

F-841-001A

Point of Analysis		Questions	Findings	Root Cause	Ask Why	Action Req.
What happened?		What are the details of the incident? (Brief description)				
When?		When did the incident occur?				
Where?		What area / service was impacted?				
Why did it happen?	The process in which the incident occurred.	Define the steps in the process, as designed? (A flow diagram may help)				
What were the special cause factors?			What steps contributed to the incident?			
	Personnel issues	What operator / individual actions were related to the result?				
	Equipment issues	How did equipment performance influence the result?				
	Environmental issues	What factors directly influenced the result?				
	Other	Are there any other factors that have directly influenced this result?				
	Human Resource Issues	To what level are staff members qualified and competent to fulfill their responsibilities?				
		How did actual staffing compare with best-defined levels?				



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	Information management issues	To what level is all information available when needed? Accurate, Complete, Explicit?				
		To what level is communication among participants adequate?				
	Environmental concerns	To what level was the physical environment appropriate for the processes being carried out?				
	Risk management	What risk management steps have been implemented?				
	Management issues	To what level is management involved?				
	Internal communication	What are the obstructions to communicating potential risk factors?				
	Communication priorities	To what level are the unacceptable results communicated? How is this information communicated?				
	Uncontrollable issues	What can be done to reduce the influence of uncontrollable issues?				



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<p>Action Plan</p> <p>For each of the items identified in the analysis indicate the action expected, completion date and measure of effectiveness.</p> <p>If a decision is made not to implement an associated risk reduction plan indicate the reason for not taking action.</p> <p>Verify that the defined measure will provide data that will permit assessment of the effectiveness of the action plan.</p> <p>Improvements to reduce risk should be implemented in all areas where applicable. Use a preventive action plan of approach.</p>	<p>Risk Reduction Plan</p> <p>Item #1:</p> <p>Item #2:</p> <p>Item #3:</p> <p>Item #4:</p> <p>Item #5: Add additional items as required to complete the analysis.</p>		<p>Determination of Effectiveness</p>		

This form is to be used as an aid in performing root cause analysis. Not all questions will be applicable in all situations. Other questions may come up during the analysis. All items should be considered in the determination of the root cause of the situation.

Root cause should be answered Yes or No for each observation. A root cause is typically an observation related to a process or system issue. If a particular observation is relevant to the incident, but is not a root cause, be sure that it is addressed later in the analysis with a Why question. Each observation that is identified as a root cause should be considered for an action and addressed in the action plan.

The columns on the right have been provided as a check off for reference.

Ask Why should be checked off whenever it is reasonable to ask why the particular observation occurred (or didn't) – in other words, ask why 5 times. Each item checked in this column should be dealt with later in the analysis with a Why question.

Take action should be checked for any finding that can be considered for a risk reduction plan. Each item checked in this column should be addressed later in the action plan.