# FRAMEWORK TO ASSIST BEHAVIORAL HEALTH CARE IN THE COMPLETION OF A ROOT CAUSE ANALYSIS (RCA)

**I. Brief description of event**

**II. Background Information**

**III. When did the event occur?**

**IV. Who participated in the analysis**

**V. What events lead up to the situation (A Flow Diagram(s)**

**VI. Risk factors relevant to the situation**

**VII. Human factors that were relevant to the event**

**VIII. Did equipment performance affect the outcome**

**IX. What controllable factors directly affected the outcome**

**X. Were there uncontrollable factors**

**XI. Other factors directly related**

**XII. Human Resources**

1. **How did actual staffing compare with normal staffing levels?**

2. **Was orientation and in-service training appropriate and completed?**

3. **Were there any common cause variations that would lead to a special cause variation?**

**XIII. Information Management**
1. **Is all information available when needed?**

2. **Is communication among participants adequate?**

**XIV. Was the physical environment appropriate for the processes being carried out**

**XV. What can be done to protect against the effects of uncontrollable factors**

**XVI. Action Plan(s)**

# ACTION PLAN
## (KEEP THIS AS A SEPARATE PAGE TO UTILIZE AT COMMITTEE MEETINGS UNTIL COMPLETED)

**Example: The action plan can be set up into columns to assure covering all components:**

| Root Cause(s)/Opportunity for Improvement(s) | Risk Reduction Strategy | Person(s) Responsible for Implementation | Date of Implementation | Measurement Strategy | Committee Oversight |
|---|---|---|---|---|---|
| | | | | | |

- **Root Cause(s)/Opportunity for Improvement(s):**

- **Risk Reduction Strategy:**

- **Person(s) Responsible for Implementation:**

- **Date of implementation:**

- **Measurement Strategies/Measures of Effectiveness:**

- **Committee Oversight:**

**XVII: Approval Process:**