

# Table of Contents (Draft)

## Section 1

### Chapter 1—Root Cause Analysis: An Overview

- Investigating Patient Safety Events: The Need for Comprehensive Systematic Analysis
- RCA2 in High Reliability Industries
- When Can a Root Cause Analysis Be Performed?
- Variation and the Difference Between Proximate and Root Causes
- Benefits of Root Cause Analysis
- Maximizing the Value of Root Cause Analysis
- The Root Cause Analysis and Corrective Action Plan: Doing It Right

### Chapter 1—Tools to Try

- Root Cause Analysis Evaluation Checklist
- WWW Template
- Checklist for Conducting a Root Cause Analysis and Implementing a Corrective Action Plan

### Chapter 2—Addressing Sentinel Events in Policy and Strategy

- The Range of Adverse Events in Health Care
- Signals of Risk: Close Calls and No Harm Events
- The Joint Commission's Sentinel Event Policy
- Reasons for Reporting a Sentinel Event to The Joint Commission
- Required Response to a Sentinel Event
- Joint Commission International's Sentinel Event Policy
- Related Joint Commission International Standards
- Developing Your Own Sentinel Event Policy
- Leadership, Culture, and Patient Safety Events
- Early Response Strategies
- Event Investigation
- Onward with Root Cause Analysis

# Table of Contents (Draft)

## Chapter 2—Tools to Try

- Optional Sentinel Event Policy Evaluation Checklist
- Incident Tracking Form
- Sentinel Event Communications Alert
- Disclosure Checklist
- RCA Training Checklist

## Section 2

### Chapter 3—Preparing for Root Cause Analysis

- Step 1—Organize a Team
- Step 2—Define the Problem
- Step 3—Study the Problem

### Chapter 3—Tools to Try

- Tracking Key Steps in Root Cause Analysis
- Types of Open-Ended Questions
- Checklist: Leadership Techniques for Promoting High-Quality Group Discussion

### Chapter 4—Determining Proximate Causes

- Step 4—Determine What Happened
- Step 5—Identify Contributing Process Factors
- Step 6—Identify Other Contributing Factors
- Step 7—Measure—Collect and Assess Data on Proximate and Underlying Causes

### Chapter 4—Tools to Try

- Root Causes Checklist
- Five Whys Root Cause Analysis Template \*New content
- Data Collection Evaluation Checklist
- Change Analysis Worksheet

### Chapter 5—Identifying Root Causes

- Step 9—Identify Which Systems Are Involved—The Root Causes
- Step 10—Prune the List of Root Causes

# Table of Contents (Draft)

- Step 11—Confirm Root Causes and Consider Their Interrelationships

## Chapter 5—Tools to Try

- Probing Questions for Root Cause Analysis
- Problematic Systems or Processes Checklist
- Evaluation Checklist for Differentiating Root and Contributing Causes

## Chapter 6—Designing and Implementing a Corrective Action Plan for Improvement

- Step 12 Explore and Identify Risk-Reduction Strategies
- Step 13 Formulate Improvement Actions
- Step 14 Evaluate Proposed Improvement Actions
- Step 15 Design Improvements
- Step 16 Ensure Acceptability of the Corrective Action Plan
- Step 17 Implement the Improvement Plan
- Step 18 Develop Measures of Effectiveness and Ensure Their Success
- Step 19 Evaluate Implementation of Improvement Efforts
- Step 20 Take Additional Action
- Step 21 Communicate the Results

## Chapter 6—Tools to Try

- Checklist for Integrating the Improvement Plan
- Communication Plan Template
- Change Management Template
- Failure Mode and Effects Analysis
- Operational Definition

## Appendix—Framework for Root Cause Analysis and Corrective Actions

### Glossary

### Index