

Effective RCA² Checklist

After an RCA² event review, use this checklist to confirm your RCA² process is working. If any of the statements is false, then your specific RCA² review or your RCA² process in general needs to be re-examined and revised because it is failing.

- Contributing factors are identified and have supporting data or information.

- Individuals are NOT identified as causing the event; causal factors do NOT point to human error or blame.

- At least one stronger or intermediate strength action is identified.

- Causal statements comply with the Five Rules of Causation.
 - Rule 1. Clearly show the “cause and effect” relationship.
 - Rule 2. Use specific and accurate descriptors for what occurred, rather than negative and vague.
 - Rule 3. Human errors must have a preceding cause.
 - Rule 4. Violations of procedure are not root causes but must have a preceding cause.
 - Rule 5. Failure to act is only causal when there is a pre-existing duty to act.

- Corrective actions are identified and appear to address the system vulnerabilities identified by the contributing factors.

- Action follow-up is assigned to an individual and NOT a group or committee.

- Actions have completion dates and meaningful process and outcome measures.

- The event review took 45 days or fewer to complete.

- There is strong confidence that implementing and sustaining corrective action will significantly reduce the risk of future occurrences of similar events.