

FACILITY TOOL

Incident RCA Worksheet

Move from an incident description to an evidence-based event chain, contributing conditions, systemic scope, corrective controls, and effectiveness verification. Avoid ending the analysis at human error.

HOW TO USE

Mark each item Yes, No, Not Applicable, or Needs Follow-up in your working copy. Add evidence, an owner, and a recheck for every gap. Do not use this public blank template to transmit resident information.

Describe the event

- ☐ State what happened in observable, neutral language.
- ☐ Record the intended outcome and the actual outcome.
- ☐ Build a time-ordered event chain from the available evidence.
- ☐ Mark unknowns and conflicts instead of resolving them by assumption.

Examine contributing conditions

- ☐ Information: Was a source missing, stale, duplicated, delayed, unclear, or hard to retrieve?
- ☐ Handoff: Did the change cross a shift, department, role, vendor, or location without confirmation?
- ☐ Workflow: Did the process require memory, a workaround, extra decisions, or perfect timing?
- ☐ Verification: Was the required check absent, late, bypassed, or documented without performance?
- ☐ Ownership: Was the open item visible, assigned, escalated, and carried to closure?
- ☐ Environment: Did staffing, interruption, workload, equipment, layout, or access contribute?
- ☐ Design: Could a reasonable employee make the same error under the same conditions?

Determine scope

- ☐ Identify other residents, shifts, roles, locations, records, and workflows exposed to the same condition.
- ☐ Review prior incidents, complaints, audits, near misses, and corrective actions for the same mechanism.
- ☐ Choose a sample that can meaningfully test scope and document the rationale.

Design corrective and preventive controls

- ☐ Correct the affected situation and document immediate protection.
- ☐ Change the source, handoff, decision, verification, exception, owner, or closure condition that allowed the failure.
- ☐ Prefer controls that make the safe action easier and reduce dependence on memory.
- ☐ Remove obsolete sources and test the change with frontline users.
- ☐ Assign implementation owner, date, evidence, and an exception path.

Verify effectiveness

- ☐ Define what evidence will show use and what evidence will show effect.
- ☐ Test another shift, employee, location, or exception condition where relevant.
- ☐ Record recurrence, near miss, workarounds, and unintended consequences.
- ☐ Decide whether to close, continue, expand, or redesign the action and document why.

Working notes

Use a secure facility or family working copy when recording any resident-specific details. Keep the public blank tool free of identifying information.

Incident / secure reference	_____
Intended outcome	_____
Actual outcome	_____
Event chain	_____
Root system condition	_____
Scope	_____
Corrective control	_____
Effectiveness evidence	_____

Action and verification log

Action / control	Owner	Due	Evidence / result

Scope disclaimer

This tool is a general process-control aid. It does not replace emergency care, treating-clinician judgment, legal advice, or facility-specific regulatory review. It does not establish a treating relationship or guarantee compliance or outcomes. Use authorized secure methods for resident-identifying information and records.

Care Reliability Partners is a healthcare services brand of Autilogix LLC.