ROOT CAUSE ANALYSIS BRAINSTOMING QUESTIONS

These questions are intended as a guide and may not necessarily apply to all issues. Only

utilize the questions that apply to your issue.

What is happening? - What is the Problem?
- What do you see occurring?
- What are indications of the problem?
- What are other contributing causes?
- What is or is not happening? What should be happening?
- What proof do you have that the problem exists?
- How long has the impact/problem existed?
  - When did the problem and impact begin (date)?
- What is the impact/risk of the problem?
- What action has been previously explored/taken?
- When and how was the issue escalated/identified?
  - When was the issue identified?
  - Who identified the issue?
  - What caused it to be opened as an issue?
- Who was involved when the problem/ began?
- What accounts/portfolio(s) are impacted?
- What other Lines of Business/product types that could be impacted?

Determine Why it Happened

- What sequence of events led to the problem?
- What conditions allow the problem to occur?
- Was there a change in a systemic process, vendor or application?
- Was there a change in ownership of the process?
- Was there a new business rule or policy put into place?
- What other problems surround the occurrence of the central problem?
- What else is happening because of the problem? What are the impacted processes or groups due to the problem?
- What training, if any, was provided? If not, consider the following factors: supervisory.
- responsibility, procedure omission, flawed training, and flawed rules/policy/procedure.
- Were these policies/procedures consistent with relevant state and national guidance, regulatory agency requirements, and/or recommendations from professional societies/organizations?

- If a customer complaint identified the issue, why was it not identified internally first?
- What would have had to happen to have prevented the problem from occurring?
  - How could the problem have been prevented?
- Was the right person performing the process or procedures?
- Was there a maker/checker process in place?
- What system/applications are part of the process?
  - Did the problem occur after a recent change?
  - Is there a background automatic process occurring?
  - Is there monitoring or control of the automated process?
  - Are the correct applications part of the process?
- What handoffs are there in the process?

Detection Root Cause (Why wasn't the issue prevented?)

- How will we stop the harm? How would stopping the harm help in preventative detection?
- What pieces of the process are out of line of sight?
- What kind of monitoring would identify this control break? CMIS, manual exception reporting, quality control, etc?
- Are there dependencies that prevent control or detection?
- Is there a detective control that could be made preventative?
- Is this the best application for this process or control?
  - What other applications could be utilized?
- Is there a reconciliation process?
- Where and how are the accounts supposed to go at the end of the process?