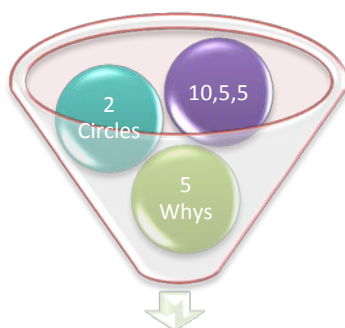


## Root Cause Analysis

<b>Purpose</b>	The potential root causes are identified by the campus/district based upon the information gathered through the needs assessment. Areas of need, as it relates to gaps in the data are determined by conducting a root cause analysis of the problem stated in the problem statement. This analysis reveals the hypothesis of WHY the problem is occurring. Using the proposed 3 protocols in the following sequence is a suggested process to examining root cause. However, each of these protocols can be utilized as stand-alone activities.
<b>Target Audience</b>	Campus/District Leadership Teams, All Staff (teams or individuals)
<b>Time</b>	Dependent upon group size and nature of the problem, minimum time: 1hr



Potential Root Cause

### Protocol Descriptions

<b>“10, 5, 5”</b>	The purpose of this protocol is to perform an initial brainstorm of the possible reasons why a problem might be occurring. When a team is stretched to think beyond the initial 5-10 reasons, a greater depth in reasons tend emerge. Once the team has brainstormed a list of 20 reasons, there is a need to pare down these responses. For example, look for duplicated or very similar responses. The next protocol is another approach to narrowing the responses.
<b>“2 Circles”</b>	The circle of control and circle of influence is an adaptation of Stephen Covey’s Circle of Influence and Circle of Concern. The purpose of this protocol is to decide which of the reasons generated from 10,5,5 can be directly controlled by a campus’ action(s), or influenced. It is in the best interest of the group to direct energy in reasons that can be directly controlled that will allow for greater impact of desired results.
<b>“5 Whys”</b>	The purpose of the 5 Whys is to take the root cause even further. Once the team has come to a consensus around what reason from the 2 circles should be looked at more closely, then a 5 Why analysis can be done. Asking Why 5 times is not a magic number. Remember, this leads only to a hypothesis which can be determined true or false only after a research question is developed and a plan is implemented

## Protocol Process

**Step 1:** Locate the problem statement.

**Step 2:** Identify a scribe to record responses on chart paper.

**Step 3:** Locate the 10,5,5 handout for team members to take notes.

**Step 4:** Begin 10,5,5 protocol and record responses on 1<sup>st</sup> piece of chart paper.

**Step 5:** Remove 10,5,5 chart paper and set aside to be used in step 6.

**Step 6:** On 2<sup>nd</sup> piece of chart paper, have scribe create either two circles or a t-chart. One circle/side labeled “Control”, other circle/side labeled “Influence”.

**Step 7:** Using 10,5,5 list, plug answers into the corresponding circles or t-chart column as voiced by the team

**Step 8:** Using the list from the “Control” circle/column, vote on which reason the team would like to further examine.

**Step 9:** Begin 5 Whys protocol using the agreed upon reason from step 8. Record 5 Whys on 3<sup>rd</sup> piece of chart paper.

**Step 10:** Write last response from 5 Whys into “root cause” on hand out.

## Comments to the facilitator

- The last response to the 5 Whys will set up how the research question is developed.
- When conducting these protocols with a team, it’s critical to gain team consensus.
- The team may consider setting up predetermined time limits for each protocol to pace the group, or conduct activities on separate days if time does not permit.

## Book reference

Covey, S. R. (1989). *The 7 Habits of Highly Effective People*. 1989, NY: Free Press.

Conzemius, A. & O’Neill (2009). *The Handbook for Smart School Teams*. 2009, IN: Solution Tree.

## 10.5.5 Protocol: Handout 1

Problem Statement: \_\_\_\_\_

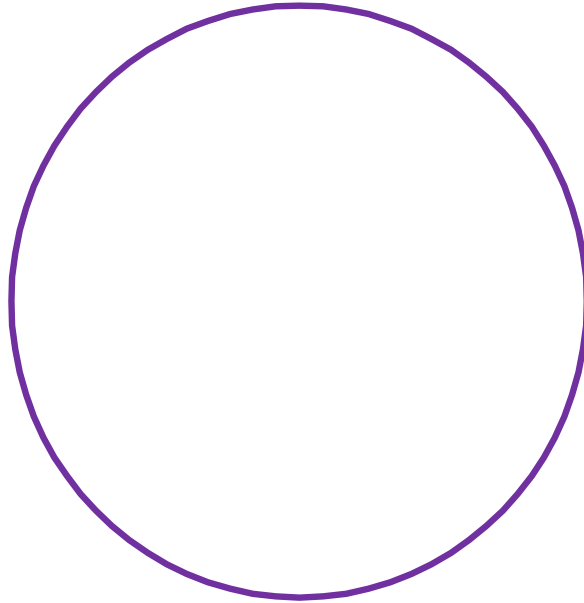
Possible reasons

Possible reasons	
1	
2	
3	
4	
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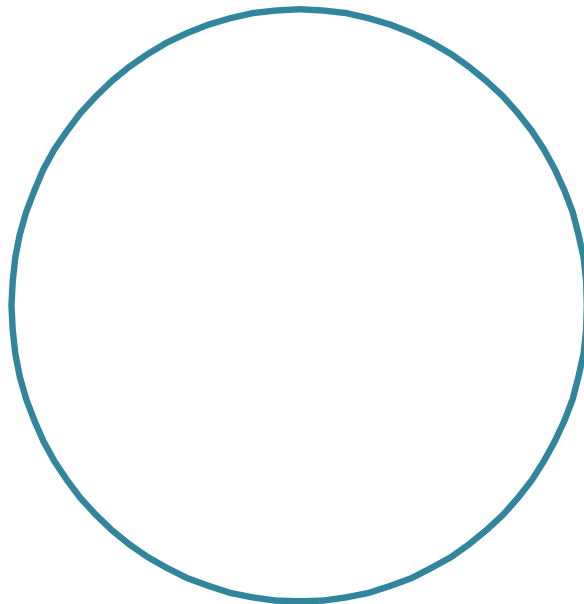
## Two Circles Protocol: Handout 2a

10,5,5 Protocol Result: \_\_\_\_\_

“Control”



“Influence”



“Circle of Control” Consensus: \_\_\_\_\_

## Two Circles Protocol: Handout 2b

**Problem Statement:** \_\_\_\_\_

<b>Control</b>	<b>Influence</b>

**“Circle of Control” Consensus:** \_\_\_\_\_

## 5 Whys Protocol: Handout 3

**Problem Statement:** \_\_\_\_\_

**“Circle of Control” Consensus:** \_\_\_\_\_

1. Why \_\_\_\_\_

Possible answer: \_\_\_\_\_

2. Why \_\_\_\_\_

Possible answer: \_\_\_\_\_

3. Why \_\_\_\_\_

Possible answer: \_\_\_\_\_

4. Why \_\_\_\_\_

Possible answer: \_\_\_\_\_

5. Why \_\_\_\_\_

Possible answer: \_\_\_\_\_

**Potential Root Cause:** \_\_\_\_\_