What's the Real Problem?
Learn Root Cause Analysis to Solve Organizational Problems

October 20, 2020
In today’s session we will cover:

• A3 problem solving method
• Root Cause Analysis (RCA)
  o Cause & Effect Analysis (Fishbone diagram)
  o 5 Whys
POLL

When it comes to A3 problem solving, I would say:

- I’m here to learn what it is.
- I know about it, but don’t have experience with it.
- I’ve used A3 problem solving in my own work.
- I have taught others how to use A3 problem solving.
Identify the Problem - Describe the concern and why it matters

From 1/1 – 12/31/18, the average # of days it took for a traveler to receive payment (from date of creation to payment date) was 153 days. The average number of days for Fiscal to take action was 23 days. If a reimbursement request had to be returned for correction, the average days to receive payment was increased by at least 106, resulting in grievances filed, increased workload, and disgruntled customers.

Observe and Measure the Current State - Show and describe what is actually happening. What we see and what facts we know, try to explain the who, what, when, where using visuals

Set a Target - Describe where we want to be and by when. Use measures for safety, cost, quality, timeliness, customer satisfaction, and/or employee engagement to frame your target.

Reduce the average number of days for a traveler to receive payment:
10 days by 7/31/2019
5 days by 10/31/19

Analyze the Gap - Show the root cause(s) of the gap, greatest contributors

Staff Training
Inconsistent/inaccurate information provided to travelers
Multiple trainers and rapid, undocumented changes in procedures

Customer Training
Inaccurate/incomplete/untimely submissions from travelers and approvers
Approvers provide incorrect information to travelers and fail to full review requests before approving

Current Staffing Model
Untimely review of reimbursements
Workload distribution: Travel staff to traveler ratio (approx. 4K:1)

Countermeasures - one at a time, if possible

<table>
<thead>
<tr>
<th>Countermeasure</th>
<th>Lead</th>
<th>Due</th>
</tr>
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<tbody>
<tr>
<td>Provide adequate training for staff</td>
<td>John</td>
<td>1/25/2021</td>
</tr>
<tr>
<td>Provide robust Policy training and hands-on training for travelers and approvers</td>
<td>Mary</td>
<td>6/01/2021</td>
</tr>
<tr>
<td>Review current staffing model to propose a model that will best meet the needs of the agency</td>
<td>Jessica</td>
<td>12/15/2020</td>
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Action Plan – Outline a plan for testing countermeasures. Describe what was learned.

<table>
<thead>
<tr>
<th>Countermeasure</th>
<th>Strategy</th>
<th>Action Plan Steps</th>
<th>Status</th>
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</thead>
<tbody>
<tr>
<td>Staff Training</td>
<td>Ensure staff training is adequate and ongoing (1a) Create and implement new staff training schedule/program (1b) Ensure all Travel Staff have attended Policy Training</td>
<td></td>
<td>On track</td>
</tr>
<tr>
<td>Customer Training</td>
<td>Training</td>
<td>Revise current training to be half-day of policy, half-day of hands on so more people are able to participate in hands on</td>
<td>Waiting approval</td>
</tr>
<tr>
<td>Staffing</td>
<td>Ensure staffing levels are adequate</td>
<td>Explore maintaining a continuous non-perm analyst to handle peak workloads, turnover, and unexpected absences</td>
<td>Complete</td>
</tr>
</tbody>
</table>

9) Adjust the Plan – Explain what will happen to continuously improve; pilot elsewhere, refine/adjust this countermeasure, or try a new countermeasure?
ROOT CAUSE ANALYSIS

• Cause & Effect Analysis (aka Fishbone)

• 5 Whys
CAUSE & EFFECT ANALYSIS
THE BASKETBALL DILEMMA

Missed Free Throws

People (Shooter)
- Concentration
- Motivation
- Poor Conditioning

Material (Ball)
- Grain/Feel (grip)
- Air Pressure
- Size of Ball
- Lopsidedness

Method (Shooting Mechanism)
- Aiming Point
- Knee Bend
- Balance
- Hand Position
- Grain/Feel (grip)

Spectator Noise/Distractions
- Sun/Rain/Wind/
  Open Air Environment

Machine (Hoop & Backboard)
- Rim Height
- Rim Size
- Backboard Stability

Environment
YOUR TURN TO TRY!

• Grab the Cause & Effect Analysis handout or a blank sheet of paper
• Think of a problem (personal or professional)
• Take 3 – 5 minutes to do Cause & Effect Analysis for yourself
5 WHYS
Problem 1: The Jefferson Memorial stone exterior is deteriorating.

Why?

Problem 2: There are bird droppings on the building.

Why?

Problem 3: Birds come to feed on spiders.

Why?

Problem 4: Spiders feed on insects at night.

Why?

Problem 5: Insects are attracted to the lights shining on the memorial.

Root Cause
YOUR TURN TO TRY!

- Grab the handout or a blank sheet of paper
- Think of a problem (personal or professional)
- Take about 3 minutes to do 5 Whys for yourself

5 Whys

Problem 1: 

Why?

Problem 2: 

Why?

Problem 3: 

Why?

Problem 4: 

Why?

Problem 5: 

Root Cause
5 Whys Analysis: Why do we have too many vehicles with open safety recalls?

- Too many vehicles w/ open safety recalls
  - People don’t take in vehicles
    - They don’t have time
    - Parts aren’t yet available
    - They don’t know about the recall
    - Notification went to the wrong person
  - We don’t know the recall is complete
    - There’s no accountability
    - Recall notification from maker went to wrong agency
    - Recalls are a lower priority than other work
    - The process is manual and takes too long
  - We haven’t been notified of the recall
    - We haven’t notified the driver
    - Recalls aren’t treated as time sensitive
WHAT WE LEARNED

• An introduction to the A3 Problem Solving method

• Root Cause Analysis
  o Cause & Effect Analysis
  o 5 Whys