



Root Cause Analysis

Please note that in order for a CAP to be accepted and your audit considered finished, a detailed and thorough Corrective Action Plan (CAP) must be provided for deficiencies. An important area of the CAP is the Root Cause Analysis. In order to help you complete your CAP, we have provided below some steps to help you understand and properly fill out the Root Cause Analysis.

An important aspect in filling out Root Cause Analysis is giving specific details. A helpful way of thinking about it is to remember that a Root Cause Analysis is just that, *an Analysis*.

In other words, it's not a short and simple answer, but rather an investigative tool. When filling out, it is helpful to break the components of Root Causes Analysis into parts:

1. Why the deficiency happened

- Where was the lapse in procedure or did procedure exist?
- Who was responsible for overseeing and where was the breakdown that allowed deficiency to occur?

2. The correction that needs to be made (in detail)

3. The summary of the corrective action now put in place to ensure compliance.

- How is it being rectified?
- Who is responsible for assuring it is corrected?
- What steps taken to ensure it does not happen again?

Remembering to include the details listed above will greatly decrease the chances of your CAP being returned to you for re-submittal.

Please contact us at cap@ampp.org if you have questions.