

Standard Operating Procedure (SOP)

Root Cause Analysis Initiation Process

This SOP describes the **root cause analysis initiation process**, outlining the systematic steps to identify underlying causes of an issue or problem. It includes problem identification, data collection, initial assessment, team formation, and setting objectives for the analysis. The purpose is to ensure a structured approach for effective problem-solving and continuous improvement within an organization.

1. Purpose

To establish a standardized process for initiating root cause analysis (RCA) in order to identify, understand, and address the underlying causes of issues, thereby supporting continuous improvement.

2. Scope

This procedure applies to all employees, departments, and processes within the organization where a root cause analysis is warranted due to recurring problems, significant incidents, or process deviations.

3. Responsibilities

- **Process Owner:** Ensure adherence to this SOP and facilitate the RCA initiation process.
- **Team Members:** Participate in data collection, analysis, and documentation.
- **Management:** Support resource allocation and decision-making.

4. Procedure

1. **Problem Identification**
 - Clearly define the issue or problem requiring root cause analysis.
 - Document incident details, impact, and urgency.
2. **Data Collection**
 - Gather all relevant data, records, and evidence related to the problem.
 - Ensure data accuracy and completeness.
3. **Initial Assessment**
 - Conduct a preliminary analysis to assess the scope and potential impact.
 - Determine if root cause analysis is necessary based on initial findings.
4. **Team Formation**
 - Appoint a cross-functional team with the necessary expertise.
 - Assign roles and clarify responsibilities for team members.
5. **Set Objectives**
 - Define clear objectives and expected outcomes for the analysis.
 - Establish timelines and deliverables.
6. **Documentation**
 - Record all steps, findings, and decisions made during the initiation process.
7. **Approval to Proceed**
 - Obtain formal approval from management to proceed with the full root cause analysis.

5. Related Documents

- Incident Report Template
- Root Cause Analysis Report Template
- Corrective Action Plan SOP

6. Revision History

Version	Date	Description	Author
1.0	2024-06-08	Initial release	SOP Team

