

Exhibit 5-5: Root Cause Analysis Matrix example

Privacy Rules Training (Big Sky Medical Group Scenario) Possible Reasons for Deficiency ↓	Deficiencies from Execution Gap Analysis			
	A <i>Leaving medical records exposed on waiting room counter tops and public locations</i>	B <i>Discussing patient's medical condition in public places such as elevators and cafeteria</i>	C <i>Providing medical and payment information to unapproved sources</i>	D <i>Filing and storing medical and payment data on unsecured databases</i>
a) Incompatibility – Improper job match	_____ %	_____ %	_____ %	_____ %
b) Performer lacks ability to perform job or task (knowledge, skill, expertise, competence)	_____ %	_____ %	<u>100</u> %	<u>80</u> %
c) Old habits prevail, or behavior requirements inconsistent with personal beliefs, or performer may perceive a better way	<u>40</u> %	<u>70</u> %	_____ %	_____ %
d) Performer lacks confidence to perform task or job	_____ %	_____ %	_____ %	_____ %
e) AMR – Performer's role, responsibilities, or performance expectations are vague, or performer lacks information	_____ %	_____ %	_____ %	_____ %
f) AMR – Performer's perceived consequences or perceived lack of personal benefit	<u>20</u> %	_____ %	_____ %	_____ %
g) AMR – Inappropriate feedback, coaching, recognition, or support	<u>40</u> %	<u>30</u> %	_____ %	<u>20</u> %
h) AMR – Inappropriate tools, equipment, technology, or resources available to the performer	_____ %	_____ %	_____ %	_____ %
i) AMR - Inappropriate workload distribution, design of work space, job, tasks, policies procedures, or processes	_____ %	_____ %	_____ %	_____ %
TOTAL = 100%	<u>100</u> %	<u>100</u> %	<u>100</u> %	<u>100</u> %
<p>Comments: Discussion on the rankings reveal the following: Column A - Records are left exposed not because of lack of knowledge, but because of bad habits (c), perceived lack of consequences (f), and lack of routine feedback on the improper behavior (g). Column B – Discussion of patient medical condition in public places such as elevators and cafeteria not because of lack of knowledge, but because of bad habits (c) and lack of routine feedback on the improper behavior (g). Column C - There is significant confusion about who is and is not an approved source. Column D - Misuse of unsecured database is due to lack of awareness of approved databases (b) and lack of routine feedback on the improper behavior (g).</p>				