

## QRL Root Cause Analysis Tutorial

File Name: QLR Root Cause Analysis Tutorial.mp4

File Length: 00:26:32

FULL TRANSCRIPT (with timecode)

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Map using some of the data that we have from Tanya's case, first of all, I want to point out that this is going to be a brief tutorial.

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It's not going to be a comprehensive training on how to do a cause map. The idea here is that we lay out some of the principles, get you familiar with the idea behind a cause map as a tool to develop a root cause analysis. But, of course, is always after you watch this video and you sort of get a sense of how it works, you can reach out to your liaison at the best viewing center for courts.

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And we're happy to help you work through and develop your skills using root cause cause mapping excuse me, to conduct a root cause analysis. But this isn't the only tool you can use. There's fish bones in other ways that you can do a root cause analysis. This is just one that we at the center find to be particularly useful. So again, this is a non comprehensive tutorial. There will be some limits to what we can show you here, because we have an imaginary dataset that's relatively small. But the idea is less about the data that we have here and the story that we develop and more about paying attention to the practice or the how or the tool of cause mapping itself, the skills and techniques that we use to unpack the root cause analysis as opposed to any particular narrative or idea that comes up.

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So what I'm going to do is I'm just going to invite you to imagine with me that you have this data set a data this the same as Tanya's, or maybe you're even working on her SIPI committee with her on this project is quite a legal representation project. And Tanya has assembled you and a small group of people who are experts in this field who've worked on quality legal representation before, familiar with the practices in the jurisdiction in order to conduct a focused investigation on what actually is going on in this jurisdiction.

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That's leading to the impact on the quality of legal representation that seems to be apparent in the data that we're going to look at in just a second. So sort of point number one is when you're doing a cost map, you want to assemble a team of investigators. You don't need to have 80 people in the room, but you probably don't want to do it on your own because you need to have a plurality of voices that can help you see things that you might not see or reveal, things that might be concealed by certain data sets or assumptions. So it's good to have a small group of people. There's no perfect number but a small group of investigators to help you work through the analysis.

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Now, you might come up against some walls in the analysis where you need to bring new people in to help you unpack what you think the causes are that are leading to the effect that you're that's undesirable.

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But just consider yourself a group of investigators. All right. So what are you looking at? I have a Lucija screen pulled up right now, and I'm going to show you how I'm going to lay out the map in just a second. But you don't have to use Lucija to do a cost map.

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You could do this on sticky notes or with sticky notes on a wall, or you could just do it on a piece of paper. You could just draw everything out and write in the boxes. I like using sticky notes on a wall because you can move the boxes around. Also, why?

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I like Lucija charges because it's cloud based and you can work on it with a group of people remotely. They all have their advantages and disadvantages. But there's no one particular piece of software a way of doing this. That's correct. I'm using Lucija because I'm familiar with the tool and because I like it as a cloud based service. But again, what we're talking about is just very simply laying out causal chains.

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What is causing what? Which is causing what?

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Which is causing the impact on the goal that we're trying to address. So that's the way a cause map works. Is your mapping out the cause effect relationships between what's happening on the ground and the goal that you're trying to achieve?

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So on the left hand side of your screen, you see some blank boxes. Those are just sort of my cut and paste inventory. Those are standard boxes that I'm going to use throughout this tutorial. And along the top of your screen, you see the datasource boxes. All I've done is before we met up here for the tutorial, it's gone through and typed in discrete data points that were on the previous screen so that we all have in one place. So each one of those yellow boxes is just one of the data lines that Tonya pulled on respondent parent council before she gathered this team to do a root cause analysis.

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All right.

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So what are you doing when you do a cause map? A cause map is a map that depicts, as I said, the cause effect chain that leads from what's happening on the ground to the goal that you're trying to address that's being impacted.

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So when you develop a cause map, you're working from the left to the right. And that's very important. It's a convention that actually helps you keep things ordered and helps you layout in a linear or causal fashion how all of these boxes are connected. So sort of point number one is you're building your cores map from left to right, which is what that means is the effects are on the left and the causes of those effects, which we're going to unpack, are on the right. So you're always building from the left to the right.

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The second I'll show you. I realize that's a little theoretical now, but I'll show you what that looks like in just a second. It's actually quite simple. The second thing that you'll notice is this color for parents got impacted. Sometimes when you get into a root cause analysis, you'll have a debate with folks about what the problem actually is. So, for example, in this case, someone might say, oh, the real problem is that parents council. Being appointed to late, someone else might say, oh, no, the real problem is parents council doesn't have adequate training and someone else to say, oh no, the real problem is that we have these bad affidavits that don't provide contact information to parents council so you can get lost in the quagmire of what the problem is.

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So when you're doing cause mapping, instead of asking what's the problem, instead ask what is the goal that's impacted? And it's OK that it's broad and vague. So, for example, in this case, the goal that's impacted is the quality of legal representation for parents, where we're in agreement that the quality of legal representation is not what we want it to be. And we know that at least intuitively from the data, because we have 78 percent of parents saying that they're dissatisfied or very satisfied with council suggestions.

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The time to permanency is longer when you don't have an attorney, that there's a lot of folks. Forty four percent, in fact, of the parents in this particular urban area receive no representation at all. These are all just signals to us that the quality of legal representation for parents in our jurisdiction is not what we want it to be. So our goal of having quality legal representation is impacted.

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That's really all you need to lay out in terms of quote unquote, what the problem is. You don't need to get any more specific than that.

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Instead, what you want to do is use those specific causes for the goal being impacted as links in your causal chain. So what I've done is I've started just by asking. I'm imagining that I'm working with Tonin on facilitating this group housing cause map analysis of the data that we have around quality of legal rep for parents in our jurisdiction. And it's the first thing that you do is you ask yourself just a chain of five whys. So why is something happening? And then when you get some answers to that, you'll ask why each of those things is happening.

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So teed up to sort of what I think are relatively obvious, wise in this particular example. So we know that the quality of legal representation for parents is being impacted.

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So why I'm imagining that the investigators are going to look at the way that the committee is going to look at the data and they're going to say, well, at least two things are happening are causing the quality of legal representation for parents to be impacted. One is some parents are not receiving any representation at all.

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If you don't have any representation, then your representation is going to be impacted because you don't have any in the first place. And then someone else might say, well, yeah, but we also know for those parents that do get representation, they're not happy with it.

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Right. We know that because we have this data point that says 70 percent of parents are either dissatisfied or very satisfied. Notice that I didn't write it as the cause that leads to the effect of the goal being impacted. I did not write that parents are getting bad representation. That's a value judgment that I don't want to make yet. Right. What I want to do is just lay out sort of what the facts are telling us on the ground.

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Which brings me to my sort of second main point. The first one is you're moving from left to right unpacking causes as you go to the right. The second one is

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only depict things in your car's map that are actually happening.

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In other words, a cause map is supposed to show you or map out what is happening, not what should be happening.

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So someone might say something like, oh, well, according to the statute, parents, attorneys are supposed to be appointed to parents

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in a dependency case within 30 days of the filing of the petition. Well, that's an important that's important. But if that's not what's actually happening, what we need to do is capture what actually is happening.

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So we might want to look for data that says something like, on average, parents, attorneys are appointed to a parent's 60 days from petition or whatever the case may be. So the second point is focus on drawing. We're trying to draw a picture of what is happening, not what should happen. This is descriptive, not prescriptive.

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OK, so let's just take one of these one of these examples. Let's start with the bottom line, because it's the simplest. All right. So if I were trying to draw out this cause map, I would say, OK, we know that parents are receiving no representation in some cases.

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We know, for example, that

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in this particular urban jurisdiction.

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Fifty six percent of parents are getting counsel, which means that if we just do some math, that 44 percent of parents are not getting counsel. So all I'm going to do is just copy that data and attach it to this box so that I have a way to substantiate this this cause.

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Right. That's leading to this red effect. Now, I would just continue down the road here. I'd say, OK, so parents are receiving no representation. So and I would ask the group, how do you why do you think that's the case?

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What's causing parents not to have representation in these cases? So now all I'm doing is cutting and pasting some of these boxes. Right.

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And someone might say something like, well, there's no statute that requires representation.

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That might be one reason why there might be another reason, something like despite the fact that there's no statute that requires it, some jurisdictions are still appointing counsel and some others are not. So how about so let's imagine some. No one else says that there is no funding or responded parent council in a in a given jurisdiction, right. Something like that. Now you can see that now I have now have two causes and I've drawn an arrow that leads to this effect on the left, which is a cause to this effect, which is that ultimately the redefect that we're trying to address.

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And then I would just continue down this path. I'd say, OK, well, why is there no funding for respondent parent council in this jurisdiction?

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And someone might say something like, oh, we've had budget shortfalls or whatever, OK,

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or you might have someone say, sorry,

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you might have someone say, well, it's not just that we have a budget shortfall and of course, we want to actually substantiate that that's the case. But we might also want to say something like

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there's a cultural bias against parents being appointed counsel.

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I'm literally just making this up.

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My point is just that you're when you're doing a cause map, what you're trying to do is unpack the causes that are leading to the effects that are now on the left side of each cause.

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And of course, in this bottom, I'm not going to build this out any further because the top one is more interesting based on the data we have. But on this bottom causal chain for each one of these boxes, we want to ask ourselves how we know that that's the case. And if we don't know something is the case. For example, if someone says there's a cultural bias against our species, I'm and then I would ask, well, what data do we have to suggest that that's the case?

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And let's imagine that the person who said that says, well, I don't really know if that's true. I'm just telling you, in my jurisdiction, people think the department thinks that there's a parents council on the case.

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Then the case is going to last forever. And I say, OK, that's fine. I'm not I'm not here to argue with you about that. But we want some data to substantiate that, because if we're going to work on addressing cultural bias in order to get some funding for respondent parent council in order to improve the quality of legal representation, then we want to make sure that we have data to corroborate that.

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So that's really all I'm trying to get at here, is that in this case, we have a yellow box that that substantiates the of the cause, that leads to the effect. And here it's not the question or the the the cause is not dubious. We just want to know. We just want to go collect some data and see whether or not there are these cultural biases against respondent parent council. So structurally, what I want you to do is just look at what I'm doing here. I realize that there are gaps in my assumptions and we would want to pass those out, but just structurally pay attention to what I'm doing here.

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So and it cause map, you have your goal that's impacted and you're asking yourself why? Why is that goal being impacted? And in my hypothetical, I'm imagining that this group of Tarnya CFP committee gets together and they say, well, there's at least two reasons. One is because they're not getting any representation at all, and another is the parents feel like they're not being adequately, adequately represented. And then we just unpacked some of those potential causes for that bottom one.

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And you can keep going back. The more detailed you get, the better. You obviously want to go forever. But what I was taking training on cause mapping, I asked how detailed should we get? And the trainer said, how solid do you want your problem? So the idea here is that the more clear you can get in your

causal analysis, the more likely you are to identify the root cause is the cluster of root causes that are leading to the effect that you don't want to have.

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So let's bump up to this top one now and I'll show you kind of how to how this one might be unpacked a little bit more. So let's imagine I have my group together and I say, OK, why are parents not feeling adequately represented in this in this jurisdiction?

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And someone might say to me something like, well, parents are not.

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Are not communicating with their with their attorneys.

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OK, someone said, OK, so I say, OK, cool, so let's put that one in there.

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The parents are not communicating with their with their counsel. We might say something like, I think one of the data points said something like, parents feel like they don't understand the process.

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So parents. Yeah, that's right. Don't understand the process.

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All right. So they feel like they're inadequately represented. Both of those are fair enough. So what I would do here is I would just again take the data points that I have and I would just sort of tag the Coors map and say, all right, so that's how I know that's the case. And then I would just unpack these a little bit more. All right. So why are parents not communicating with their counsel? Right. So now I'm asking the group why they think that's the case, what's going on on the ground that's leading to parents not communicating with their council?

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Let's imagine someone says something like, well, that's because the agency affidavit with contact info is never filled out.

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I realized, by the way, I'm typing fast, so I apologize at the spelling is atrocious.

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All right. And then I'd say, OK, well, why is the agency affidavit not filled out? And then let's imagine someone on the committee says, oh, I know, maybe it's a case worker.

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They say, I know it's not filled out because

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it's the affidavit itself is really hard to find. So there's not a central let's say there's not a central repository for these forms. So or maybe let's just say the affidavit is this hard to use

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because it's and I'll just make this up. It's in a weird file format. OK, and then I'd say you can start to see how this gets really particular.

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I'd say, OK, well, why is the affidavit in a hard file format? Well, because it was created a long time ago in that file format. It's never been updated. Right.

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So it has not been updated.

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So you can see this is a bit of a silly example. I'm going to use a more serious one in just a second.

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But you can see how that becomes a what seems like a simple, almost even superficial issue could have a serious effect on or impact on the way parents are represented or the quality of representation they receive. So what I'll do is I'll take one of these green boxes and I'll tag this spot. And I'll say that might be a place for us to consider a solution or another way that I'll do that as well.

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Sometimes just drop this little poke button on there that says maybe that's a part in the system where we want to poke around a little bit.

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OK, so the idea would be here that if we updated the affidavit, then it would not be hard to use and then it would be filled out and given to parents council and then parents council would be able to contact the parent and the parent would feel adequately represented because they'd have the communication that they desire. And so the quality of representation would go up.

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What I just did is I read the Cosmati from right to left and it's essentially a theory of change. So that's that's sort of shows you the power of a cause math.

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Now, there's lots of other ways that we could we could slice this right out, even in what I just read there.

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There are a lot of assumptions in there. And so your goal in passing out a cause map is to really get at those that sort of granular level of detail to see what's going on in the jurisdiction that might be leading to the impact that you or I'm sorry that. Yeah, that might be leading to the goal that's being impacted. There's a lot of other rich data sources.

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I'm not going to unpack all of them in this tutorial because I just want you to see structurally how cost map works. But let me just point out one other thing here.

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So if we took this causal chain and we started to unpack a little bit, we might just continue to do asking our five wise questions. Right. Why don't parents understand the legal process?

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Now, let's imagine someone in our group says they don't understand the legal process because the attorneys,

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parents, attorneys all use AAPC, respondent, parent, counsel, respondent, parent, counsel does not explain the process to the client.

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OK, very sort of normal thing to say.

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All right. Someone says, OK, I know that's happening. They're not explaining the process to the client. And then someone says, yeah, OK, well, why aren't they explaining the process to the client? I would ask.

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And then someone else is going to say something like, well, they the RTC is appointed, you know, on average, someone might say this 15 minutes before the first hearing.

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Right.

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OK, now we would want to probably get some data on that if someone saying that's the case, that's an interesting anecdote that might bear out in the data. But I would just tag that. And I would say, is that the case? Maybe this other one, you want to tag every single box, but the more you tag, the better. This other one that the RPC doesn't explain the process to the client.

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We might do some survey data with clients or even with OPCs and ask them when they would explain the process. But let's just continue not to get bogged down in that right now. Let's just get the the causal connections out first and then we can go back and start to fill in the Coors map with data.

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So we have this the RPC is appointed on average 15 minutes before the first hearing. OK, so why is that the case? Right. You see what I'm doing here? It's not anything deep. Why are Parents Council appointed fifteen minutes before the hearing?

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And you might it might be because the RTC has to go to the courthouse to get a hard copy of the petition right before the hearing.

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And then we could say, in addition to that, let's imagine that. Oh, actually, even more importantly, let's imagine that. Before I even drop this arrow, let's imagine that we say.

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The reason why the attorney is appointed shortly before the first hearing is because.

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The attorney recognizing that the APC is made aware of the case shortly or the day of, let's just say, the day of the first hearing. Right.

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OK, so now we have you can start to see that what we have here really is a procedural problem. We have something in the court process where the respondent and counsels not getting access to a copy of the petition until they go to the courthouse, which they don't go to until they have a hearing. So my point in mapping all these causes out as we start to see, like there's actually kind of low hanging fruit here, there's some simple ways that we might improve this process that could go a long way toward improving the quality of legal representation in the jurisdiction. But you wouldn't know that until you started to really unpack some of these causal chains.

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So in this case, we might say something like, well, maybe there's a solution here, or to use my other example, we could just tag it and say maybe that's a place we want to put. What if we said something like, well, if the respondent parent council doesn't have to go to the courthouse to get a hard copy of the petition before the hearing, what if they could access it electronically within twenty four hours of the removal?

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Let's say the appointment is made within 24 hours of the removal and the petition is posted online. Then the respondent parent council would be able to be aware of the case prior to the first hearing.

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So they would be able to speak to their client and explain to them the process so that the parent would understand, so that they wouldn't feel inadequately represented so that their quality of representation wouldn't be impacted.

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Again, I'm reading the Cosmati map from right to left now. In order to hear it, you can hear a theory of change emerging. But I can't get to that granular level of detail until I start to unpack the causes. All right. So I've said a lot here. Let me review sort of the the main points that I want to make about how to use a cause map and why it's a powerful tool for developing a root cause analysis. First of all, a cause map is all

about the details. It's all about unpacking causal chains. What are the conditions that are in place that are leading to the goal that's being impacted, that you want to improve? You're always building from left to right with effects on the left and causes on the right.

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And you keep unpacking the causes until you get to the level of detail that you want, where you start to see, hey, there's something that we can do about this. There's some issue that's within our control or our purview that we could actually affect. Second, also focus on the goal impacted. Don't get caught up in what the problem is.

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In fact, the whole point of a root cause analysis is to figure out what the problem is. So just agree that there is a goal that's being impacted and let the root cause analysis in the map unpack that. What actually is the problem? Third, use five ways to just keep asking why yourselves as a group of investigators, why is this happening? Why is this happening? Don't screen out causes as you're as you're laying them out.

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If there are lots of different causes, people say, oh, there's three or four different things that are happening. Just lay them all out and brainstorm like I did down here. With the cultural bias and budget shortfall example, you could do three or four or five in a row. You could just keep laying them down and they're all feeding into one cause that's totally fine.

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The next piece of advice, just to summarize, is keep your causes simple but detailed so you don't want to bog these boxes down with long paragraphs. You want them to just sort of be quick descriptions of what's going on on the ground. And if you need more boxes, just copy and paste more boxes or use more sticky notes, second of all or not.

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Second of all, sorry, the seventh of all

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always go back to the data notice on the chart where I'm plugging data in that I have to corroborate or substantiate my causal chain. But I'm also tagging places where I know I'm missing data that I'm going to have to go back and get or know that I don't have the data. I'm never going to get it. And I'm making an assumption they're capturing those assumptions is important when you're articulating your theory of change. Also, remember, always depict what's happening, not what should happen, because maps are descriptive, not prescriptive.

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And then lastly, the beauty of a cause map is that you don't have to just find one root cause you we already have a few of them on this cause map that we've pointed out, at least to you could put together a court improvement program that is designed to improve the quality of legal representation, representation in your jurisdiction for parents. That has multiple components to it. One is we're going to update this affidavit. A second is we're going to go to electronic filings so that attorneys can be appointed sooner and download the petition.

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You might also again, I'm just kind of making this up, but you might also say we're going to do some we're going to address this cultural bias by doing, I mean, the lots of different solutions to address cultural bias.

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So I don't feel like I need to come up with that solution right now. But I could imagine addressing the cultural bias against species by maybe providing some data. One sheet that we disseminate across the state that suggests that or that shows that the data says that respondent parent council actually improved time to permanency or something like that.

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Actually, the data in this jurisdiction makes that suggestion. So you don't have to solve all of your problems with the court map. You're just pinning places where you could come up with a solution. But as you can see, the beauty with a cause map is that there isn't it doesn't create a false reduction where there's only one root cause that you have to address. There could be lots of little root causes that when addressed together, the result is greater than the sum of any of the parts. In other words, by doing three or four little things, you have a significant impact on the goal, that of quality legal representation for parents.

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All right. I said a lot. I know that's a lot. There's a lot more to learn about and to do. If you have questions, contact your liaison at the Center for Courts. We're happy to work with you on cause mapping. It looks more complicated than it is. I think it looks complicated, but it's actually not. It's very simple and powerful tool. All right. So let's continue on with the module here and talk a little bit about theories of change.