Root Cause Analysis (RCA) – Shared Checklist

Event #: __________ Type of Event: ____________________________  Box completed by Pt. Safety Analyst

Date of Event: ___________ Discovery Date: ___________ Who Reported: ______________________

Patient Name: ___________________________ MR #: ___________________________

Patient Safety Analyst: ___________________________

Short description of event:

INVESTIGATION

Patient Safety Analyst:

_____ Confirm need with the Medical Director of Patient Safety (MDPS)

_____ Initial event/chart review completed

_____ Create folder (electronic and paper) for RCA documents (do not include a # sign in the name)

_____ Enter event into Access database

_____ Update RCA Tracker

_____ Verify that appropriate leadership has been notified

_____ Confirm that Directors of Risk Management (V Wagner) and Billing (K. Keenan) have been contacted about AHEs and SEs

_____ Obtain work standards and checklist copies for investigation meeting as appropriate

Administrative Assistant of VP/Chief:

_____ Coordinate and schedule the investigation meeting (within 2 business days), including VP/Chief, Medical Director of Patient Safety, Patient Safety Analyst, and Local Area leadership

Patient Safety Analyst, Vice President and/or Chief, and/or Medical Director of Patient Safety:

_____ Arrange to meet in the event area for initial understanding of the situation

_____ Determine if care, procedures, and/or provider/staff should be put on hold (stop-the-line)

_____ Identify key leaders to participate in the investigation with patient safety analyst (use Root Cause Analysis (RCA) Attendee List)
Email link to Process at a glance to area leaders

Create timeline for investigation completion and negotiate RCA date: ____________

Ensure communication with patient and family as appropriate

Determine if additional PNHS leadership needs to be notified (CEO, CMO, COO, Risk Management, and Ethics)

Identify the CAP owner: ____________________________ and enter into RCA Tracker

**RCA MEETING PREPARATION**

**Patient Safety Analyst and Investigation Team**

- Review chart
- Interview staff
- Identify critical and contributing staff and supervisor/manager (or designee) for RCA draft attendee list
- Review policies/procedures and work standards
- Complete literature search as appropriate
- Area leader to review staffing levels and return Root Cause Analysis (RCA) Investigation – Unit Staffing Review document to patient safety analyst: ____________
- Initiate conversations with staff around RCA process and safe meeting environment
- Submit final attendee list to Vice President/Chief Administrative Assistant (with Root Cause Analysis (RCA) Meeting Details template)

**Vice President and Investigation Team:**

- Assist and support creation of final attendee list

**Administrative Assistant of VP/Chief:**

- Receive final attendee list from Patient Safety Analyst
- Schedule the RCA meeting as calendars permit or for the date and time specified by patient safety analyst and VP/Chief. **Adverse Health Event and Sentinel Event RCA meetings need to be scheduled within 7 business days of discovery and all other RCAs need to be scheduled within 21 business days.**
Send Outlook invitation to attendees, utilizing the RCA meeting details

Schedule a conference room for date/time specified and ensure correct room set up (HVC rooms work the best, but not the auditorium. The Patient Safety staff will need access to an overhead projector and laptop.)

VP and VP Administrative Assistant:

Review attendee availability three days prior to the meeting, to discuss “critical” vs. “optional” attendees, so that a “go, no-go” decision can be made.

Notify the assigned Patient Safety Analyst regarding the RCA “go-no-go” decision.

Patient Safety Analyst:

Receive “go-no-go” decision for RCA meeting from Vice President/Chief’s Administrative Assistant (at least 1 day prior)

Update RCA Tracker with date of meeting and any additional information

Review LastWord and finalize timeline of event

Share timeline with area leaders for feedback and review prior to RCA

Obtain materials and tools for RCA (including copies of work standards)

Huddle with Medical Director of Patient Safety re; RCA

Huddle with area manager/leader and coordinate who will present the event summary

RCA MEETING

Establish root cause

Set CAP follow up meeting date: __________

Identify CAP owner

Complete event in access database

VP/Chief, Medical Director of Patient Safety, and Patient Safety Analyst huddle to review if the RCA process was effective with the attendees present

POST RCA FOLLOW-UP

Patient Safety Analyst:

Email CAP summary to entire RCA group

CAP owner, Patient Safety Analyst, local area leadership, and content experts:

Complete implementation plan document

Complete RCA area audit results form
Identify needs for Change Management support: ____________(responsible party), or additional communication

Email CAP to VP/Chief and Medical Director of Patient Safety for final approval

Administrative Assistant of VP/Chief:

Send out thank-you note via email, handwritten note or Ovations to all participants on behalf of VP/Chief.

Final Steps

Enter remainder of information into access database

Save CAP Summary, Implementation Plan and Area Audit to I:\RCA Tracker\(appropriate folder), create a short cut, cut and paste the short cut in the I:\Patient Safety\RCA and Stakeholders\(appropriate folder)

Update the RCA with available information

Enter event in Minnesota Adverse Health Event Registry

Complete Clinical Board of Governors (CBOG) preparation

Meet with Patient Safety Analyst Project Manager to hand-off measures and Implementation Plan

Put paper file folder in appropriate file cabinet

Date: May 18, 2010