

Root Cause Analysis (RCA) – Shared Checklist

Event #: _____	Type of Event: _____	<i>Box completed by Pt. Safety Analyst</i>
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