

# OREGON STATE HOSPITAL

## POLICY ATTACHMENT

**Procedures D:** Root Cause Analysis Process **POLICY: 1.003**

**POINT PERSON:** Director of Quality Management

**APPROVED:** Interim Superintendent **DATE: NOVEMBER 3, 2025**

**SELECT ONE:**

<input type="checkbox"/> New policy attachment	<input checked="" type="checkbox"/> Minor/technical revision of existing policy attachment
<input type="checkbox"/> Reaffirmation of existing policy attachment	<input type="checkbox"/> Major revision of existing policy attachment

RESPONSIBLE PERSON/GROUP	PROCEDURES
Patient Safety Compliance Analyst (Co-Facilitator) (PSCA)	<p><b>Before the Root Cause Analysis (RCA):</b></p> <ol style="list-style-type: none"> <li>1. Create secure folders for working documents and long-term document storage</li> <li>2. Meet with the Physician, Psychiatrist (Co-Facilitator) to determine logistics for RCA, including:               <ol style="list-style-type: none"> <li>a. Number of Days for RCA</li> <li>b. Dates for the RCA to occur (at least 2 weeks after the event occurred to allow for IRSI to gather documents, video, and develop a timeline</li> <li>c. Location for RCA meeting and interviews</li> </ol> </li> <li>3. Ensure the RCA team includes:               <ol style="list-style-type: none"> <li>a. Physician, Psychiatrist – Co-Facilitator</li> <li>b. Nursing Representative</li> <li>c. IRSI representative to assist the team</li> <li>d. Other Subject Matter Experts (SMEs) as determined by the type of incident and the expertise required to thoroughly review the incident</li> </ol> </li> <li>4. Send invitations to prospective RCA Team with direction of maintaining confidentiality and Attorney Client Privilege (ACP) protected email communications.</li> <li>5. Work with the Physician, Psychiatrist to determine documents needed for review during RCA, scope of RCA, and parameters for RCA timeline and review.</li> <li>6. Co-Facilitators may meet with the OSH Superintendent to discuss any concerns regarding a specific event under review.</li> </ol>

	<p><b>After the RCA:</b></p> <ol style="list-style-type: none"> <li>7. Create a presentation with the Co-Facilitator, including recommended action items for Leadership.</li> <li>8. Present to Leadership Team with Co-Facilitator</li> <li>9. Verify receipt of all information required for submission of report and action items to the Joint Commission.</li> <li>10. Submit the final report to The Joint Commission before the due date if able.</li> <li>11. Final contributing factors must be sent to IRSI.</li> <li>12. Schedule a meeting with the Physician, psychiatrist, Executive Team, or Designee responsible for action items to prepare for TJC Patient Safety Specialist (PSS) call.</li> <li>13. Check the Joint Commission Connect website to review approval or changes to submitted action items, log this information and any applicable due dates to the Sentinel Event Measures of Success (SEMOS) tracker, and communicate changes with action item owners.</li> <li>14. Complete the Final Findings Report; this must include the initial contributory findings and the immediate actions taken relating to the identified findings. The PSCA must complete and submit this report within 30 days following the presentation of results.</li> <li>15. Work with action item owners for progress updates.</li> <li>16. Update action item tracker accordingly.</li> </ol> <p>Upon receipt of TJC email confirming SE investigation closure, communicate this to leadership, update the Regulatory Interaction Tracker to reflect the status of the incident, and update the Action Items tracker to reflect the status of individual action items.</p>
Physician, psychiatrist (Co-Facilitator)	<p><b>Before the Root Cause Analysis (RCA):</b></p> <ol style="list-style-type: none"> <li>1. Work with PSCA to determine and gather proper resources, build the work team, scope of RCA, and parameters for the RCA timeline.</li> <li>2. Co-Facilitators may meet with the OSH Superintendent to discuss any concerns regarding a specific event under review.</li> </ol> <p><b>After the RCA:</b></p> <ol style="list-style-type: none"> <li>3. Present to Leadership Team with Co-Facilitator</li> <li>4. Co-facilitate meeting to prepare RCA team members and Executive Team or designee for PSS Call.</li> <li>5. Attend PSS Call</li> <li>6. Facilitate post-RCA team review</li> </ol>

IRSI	<p><b>Before the RCA:</b></p> <ol style="list-style-type: none"><li>1. Gather documents and video needed, determined by PSCA and the Physician, psychiatrist, and develop an appropriate timeline for the RCA team to review during RCA.</li><li>2. Make RCA resources and documents available to the RCA Team at least one week before the first day of the RCA</li></ol> <p>Be available to the RCA team to join as needed.</p>
RCA Team	<p><b>Before the Root Cause Analysis (RCA):</b></p> <ol style="list-style-type: none"><li>1. Staff involved in the RCA are expected to review the resources sent out by IRSI in the week leading to Day 1.</li><li>2. Staff communications surrounding RCAs must follow the ACP format.</li></ol> <p><b>During the RCA:</b></p> <ol style="list-style-type: none"><li>1. Conduct root cause analysis based on parameters and scope set by PSCA and the Physician. This includes, but is not limited to, reviewing CADM findings and recommendations.</li><li>2. See sample agenda below.</li></ol> <p><b>After the RCA:</b></p> <ol style="list-style-type: none"><li>1. Participate in the Post RCA team review, scheduled after the RCA is submitted to the Joint Commission and the PSS call has occurred</li></ol>
Staff Requested to Participate in RCA Interview Process	<ol style="list-style-type: none"><li>1. Staff invited to be interviewed are strongly encouraged to participate. They may:<ol style="list-style-type: none"><li>a. Invite a Union Representative to accompany them,</li><li>b. Decline the request.</li></ol></li></ol> <p>Interviews are conducted exclusively on paid time; this includes the request and scheduling process.</p>