

OREGON STATE HOSPITAL

POLICY ATTACHMENT

PROCEDURE C: Root Cause Analysis Process **POLICY: 2.012**

POINT PERSON: Patient Safety Compliance Analyst
or Director of Standards and Compliance

APPROVED: Patient Safety Compliance Analyst **DATE: FEBRUARY 16, 2024**
or Director of Standards and Compliance

SELECT ONE:

☒ New policy attachment	☐ Minor/technical revision of existing policy attachment
☐ Reaffirmation of existing policy attachment	☐ Major revision of existing policy attachment

RESPONSIBLE PERSON/GROUP	PROCEDURES
Patient Safety Compliance Analyst (Co-Facilitator) (PSCA)	Before the Root Cause Analysis (RCA): 1. Create secure folders for working documents and long term document storage 2. Meet with the Physician, psychiatrist (Co-Facilitator) to determine logistics for RCA including: A. Number of Days for RCA 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 timeline C. Location for RCA meeting and interviews 3. Ensure the RCA team includes: 1. Physician, psychiatrist – Co-Facilitator 2. Nursing Representative 3. IRSI representative to assist the team 4. Other Subject Matter Experts (SMEs) as determined by the type of incident and the expertise required to thoroughly review the incident 4. Send invitations to prospective RCA Team with direction of maintaining confidentiality and Attorney Client Privilege (ACP) protected email communications.

	5. Work with the Physician, psychiatrist to determine documents needed for review during RCA, scope of RCA, and parameters for RCA timeline and review. 6. Co-Facilitators may meet with OSH Superintendent to discuss any concerns regarding specific event under review. During the RCA: 7. See Sample agenda below. After the RCA: 8. Create presentation with Co-Facilitator including recommended action items for Leadership. 9. Present to Leadership Team with Co-Facilitator 10. Verify receipt of all information required for submission of report and action items to Joint Commission. 11. Submit the final report to The Joint Commission prior to due date if able 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. 13. Secure location for meeting and send invitations 14. PSS Call 1. Facilitate introductions 2. Take notes on discussion regarding Sentinel Event Measure of Success (SEMOS) 15. Check Joint Commission Connect website to review approval or changes to submitted action items. Communicate changes with action item owners. 16. Work with action item owners for progress updates. 17. Update action item tracker accordingly. Upon receipt of TJC email confirming SE investigation closure, communicate this to leadership, update the Regulatory Interaction Tracker to reflect status of incident and update Action Items tracker to reflect status of individual action items.
Physician, psychiatrist (Co-Facilitator)	Before the Root Cause Analysis (RCA): 1. Work with PSCA to determine and gather proper resources, build the work team, scope of RCA and parameters for RCA timeline. 2. Co-Facilitators may meet with OSH Superintendent to discuss any concerns regarding specific event under review.

	After the RCA: 3. Present to Leadership Team with Co-Facilitator 4. Co-facilitate meeting to prepare RCA team members and Executive Team or designee for PSS Call. 5. Attend PSS Call 6. Facilitate post RCA team review
IRSI	Before the RCA: 1. Gather documents and video needed determined by PSCA and Physician, psychiatrist, develop appropriate timeline for RCA team to review during RCA. 2. Make RCA resources and documents available to the RCA Team at least one week prior to the first day of the RCA 3. Be available to the RCA team to join as needed.
RCA Team	Before the Root Cause Analysis (RCA): 1. Staff involved in the RCA are expected to review the resources sent out by IRSI in the week leading to Day 1. 2. Staff communications surrounding RCAs must follow ACP format. During the RCA: 1. Conduct root cause analysis based on parameters and scope set by PSCA and Physician, psychiatrist this includes but is not limited to reviewing CADM findings and recommendations. 2. See sample agenda below. After the RCA: 1. Participate in the Post RCA team review, scheduled after the RCA is submitted to Joint Commission and the PSS call has occurred
Staff Requested to Participate in RCA Interview Process	1. Staff invited to be interviewed are strongly encouraged to participate. They may: a. Invite a Union Representative to accompany them, b. Decline the request. 2. Interviews are conducted exclusively on paid time; this includes the request and scheduling process.

Sample Agenda

This agenda is subject to change depending on the conditions of the SE and as determined by the PSCA and the Physician, psychiatrist.

Day 1:

- A. Introductions and Expectations
- B. Sign confidentiality agreement
- C. General overview of RCA
- D. Documentation Review
- E. Event timeline review/video review
- F. Confirmation of prospective interviewees and coordination of interview times
- G. Outline questions for interviews

Day 2:

- H. Conduct interviews
 - 1. These can be group, small group, or individual interviews, it will be determined by the scope of the event as well as the sensitivity needed.
 - 2. Identify and discuss probable cause statements, this is often facilitated by the Physician, psychiatrist.

Day 3:

- I. Wrap up remaining interviews
- J. Finalize causal statements
- K. Conduct five “whys”
- L. Start TJC framework for RCA

Day 4:

- M. Complete TJC framework for RCA, including proposed action items
- N. Develop outline for leadership team presentation, this may include executive team and/or leadership governance team.

Optional Day 5:

- O. Finalize TJC framework for submission to leadership team
 - 1. PSCA to send TJC framework- final draft should be in an ACP protected email to Leadership Team, CC current DOJ attorneys, QM Director, and Director of Standards and Compliance
 - 2. Finalize leadership team presentation (This may take more than one day depending on the complexity of the findings)