Sentinel Events: Addendum A - RCA Process

Serious Safety Event
RCA Process

Executive Sponsor
A senior leader who authorizes the quality of the overall RCA outcomes – to assure correct root cause and corrective action to prevent recurrence.

Responsibilities:
- Convenes and attends meetings for First & Third Steps
- Acts to stabilize the situation
- Charters the RCA team and members
- Meets with the RCA Team to discuss and agree on investigation scope and objectives
- Establishes priority and allocates resources
- Communicates investigation status
- Ultimately responsible for the root solution and implementation of corrective actions
- Addresses any issues team has with finalizing project
- Provides reports to hospital committees and other reporting groups

Lead Analyst
Individual from RM/QM Department who carries out detail work of RCA process

Responsibilities:
- Convenes meeting(s) for Second Step
- Attends all meetings
- Coordinates investigation efforts
- Conducts interviews
- Tests for root cause criteria
- Facilitates the RCA process
- Maintains RCA investigation documents
- Develops Executive Summary
- Provides status reports to the Executive Sponsor regarding investigation and any problem

Analyst(s)

Individual of diverse background and experiences

Responsibilities:
- Collaborates with Lead Analyst
- Reviews medical records
- Researches standards, benchmarks, staffing, data
- Completes Action Plan Template
- Attends all meetings

Department/Operational Leader(s)
Leadership of the department(s) involved in the event.

Responsibilities:
- Assumes ownership of corrective action plan developed by RCA project team
- Collaborates with Analyst(s) to enable access to staff for interviews, collect information or data as necessary to support analysis
- Works with Analyst(s) to finalize RCA documentation
- Audits sustainability
- Attends all meetings

Subject Matter Experts
Individual(s) with expertise in their field and relevant to Serious Safety Event

Responsibilities:
- Actively participates in Second Step
- Collaborates with the Lead Analyst and Analyst(s)
- Attends meeting(s) for Second Step

Tool Kit
- Project Charter Form
- Framework
- Timeline
- Interview Questions
- Process Map with Roles & Responsibilities
- Executive Summary Template
- Action Plan Template
- Root Cause Algorithm
- RCA Process Definitions

Three Step Model

First Step
(Complete within 72 hours)
Convener: Executive Sponsor
Members: Lead Analyst, Department/Operational Leader(s)
1. Identify members
2. Develop Charter
3. Determine scope
4. Obtain Leadership agreement

Second Step
Convener: Lead Analyst
Members: Analyst(s), Department/Operational Leader(s), Subject Matter Experts
1. Develop timeline, “Post it note session”
2. Determine potential causal factors
3. Build consensus

Third Step
Convener: Executive Sponsor
Members: Lead Analyst, Analyst(s), Department/Operational Leader(s)
1. Develop Executive Summary & Action Plan
2. Evaluate process

Action Plan
(Complete within 45 days)