



# FSA RCA GUIDE

## Version 6.17

This guide is intended to guide users through the submission and management of files in the RCA Module.

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## Starting a Root Cause

### Via the Icon Wall

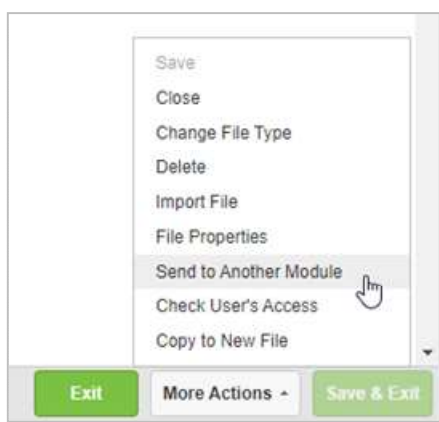
One way to start an RCA file is to click on the 'Root Cause' icon that is available on the icon wall.



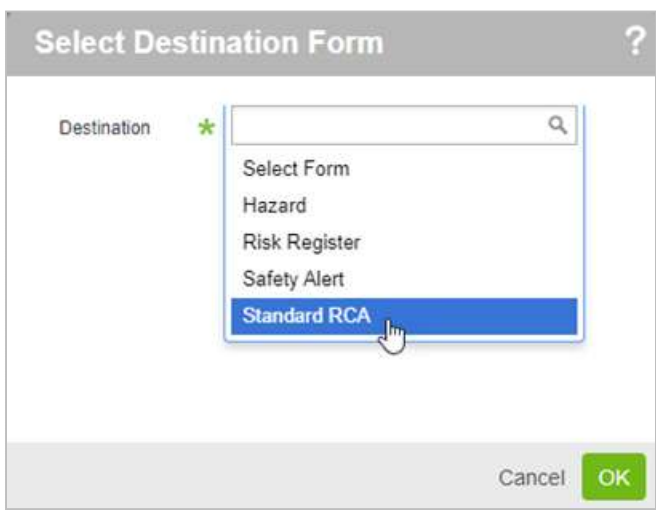
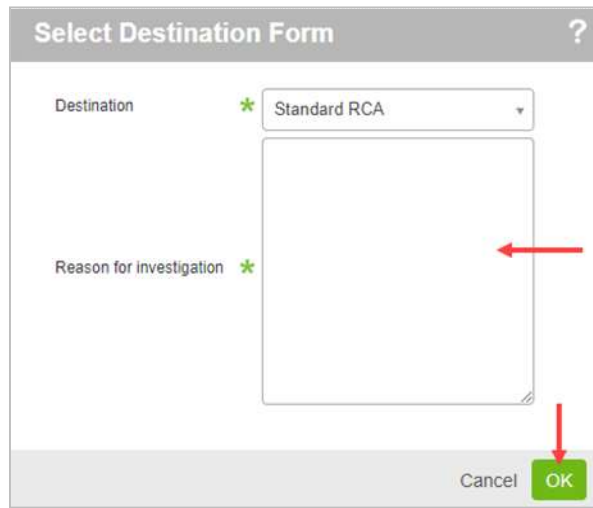
Clicking on the icon will take you to a simplified submission form to start the submission of the file. You may do this if you do not have an event in PEER to send to RCA and want to do an RCA from scratch.

### Via an Existing risk Module File

Another way to begin an RCA file is to open an existing Risk file and click on the More Actions button at the bottom right. Within the menu that appears, select 'Send to Another Module'.

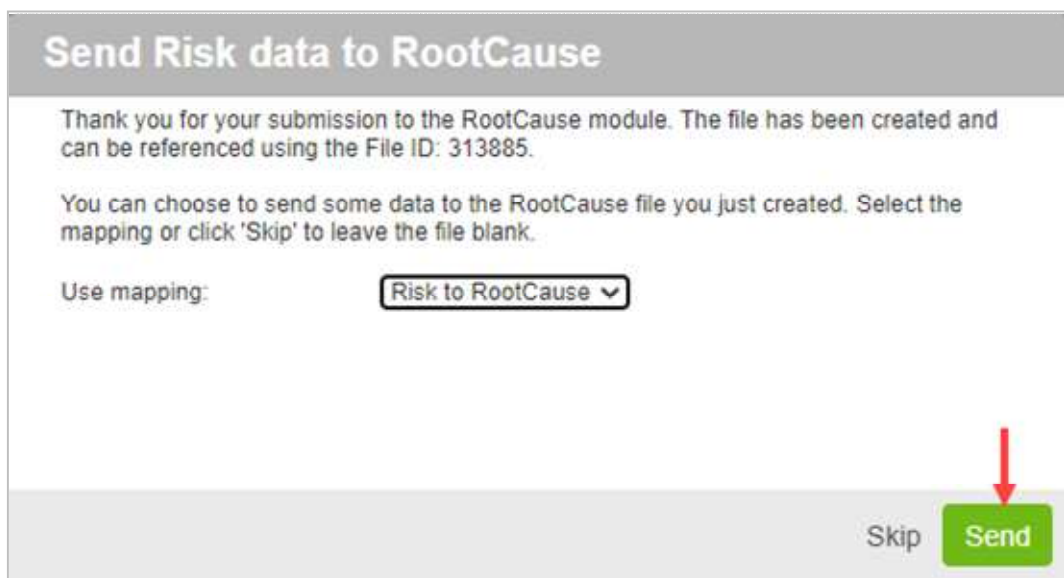


Select 'Standard RCA' from the menu that appears, enter a 'Reason for Investigation' and click on OK. Either method will require the user to be an RCA File Manager; if you are not an RCA File Manager, you will not have access to the RCA module. If you feel you should be an RCA File Manager, you must have your Risk Manager request that FSA add you as an RCA File Manager; note that all RCA File Managers will have scope to see ALL RCA files at the organization (not just what their scope is limited to in PEER).

On the next screen, with 'Risk to Root Cause' in the Use Mapping dropdown already selected, you can choose 'Skip' to not send any data from the Risk incident to the Root Cause file, or you can choose 'Send' to send some data over to the new

file. You will normally want to send the data over into RCA. This window will also provide you with the File ID of the newly created RCA file for reference. Note that PEER and RCA are separate modules and they each have a corresponding File Number. The RCA file number will show in the Linked Files section of your PEER form.

A screenshot of a web form titled 'Send Risk data to RootCause'. The form has a grey header bar with the title. Below the header, the text reads: 'Thank you for your submission to the RootCause module. The file has been created and can be referenced using the File ID: 313885.' This is followed by another line of text: 'You can choose to send some data to the RootCause file you just created. Select the mapping or click 'Skip' to leave the file blank.' Below this text is a label 'Use mapping:' followed by a dropdown menu showing 'Risk to RootCause' with a downward arrow. At the bottom right of the form, there are two buttons: a grey 'Skip' button and a green 'Send' button. A red arrow points down to the 'Send' button.

### Send Risk data to RootCause

Thank you for your submission to the RootCause module. The file has been created and can be referenced using the File ID: 313885.

You can choose to send some data to the RootCause file you just created. Select the mapping or click 'Skip' to leave the file blank.

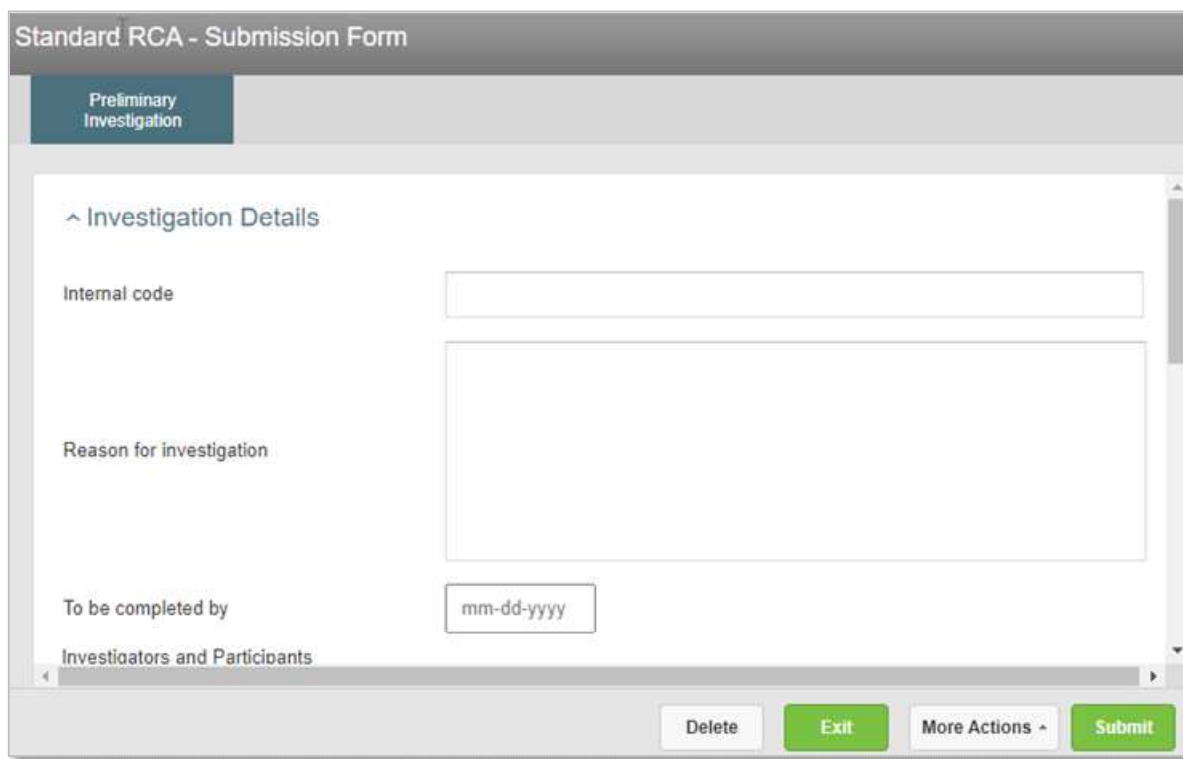
Use mapping: Risk to RootCause ▼

Skip Send

As the new RCA file has already been submitted, when accessed, it will take you directly to the Management form.

## The Standard RCA Submission Form

When the RCA file is started via the Icon Wall, the simplified Standard RCA form for submission appears. There will only be one tab available, the 'Preliminary Investigation' tab. This tab is looking for information as to why you want to begin this RCA.



The screenshot shows a web application window titled "Standard RCA - Submission Form". It features a tabbed interface with a single active tab labeled "Preliminary Investigation". Below the tab, there is a section titled "Investigation Details" with a collapse icon. This section contains three input fields: "Internal code" (a single-line text box), "Reason for investigation" (a multi-line text area), and "To be completed by" (a text box with a date mask "mm-dd-yyyy"). Below these fields is a section titled "Investigators and Participants" which is partially visible. At the bottom right of the form, there are four buttons: "Delete", "Exit", "More Actions" (with a dropdown arrow), and "Submit".

The 'Internal Code' is a free text field that allows you to add in any information to mark the RCA file. This is separate from the File ID of the RCA file that is automatically generated by the system.



This image is a close-up of the "Internal code" input field. It shows a label "Internal code" followed by a single-line text input box.

The 'Reason for investigation' is where you would provide details about why you are going to be doing the analysis.



Reason for investigation	
--------------------------	--

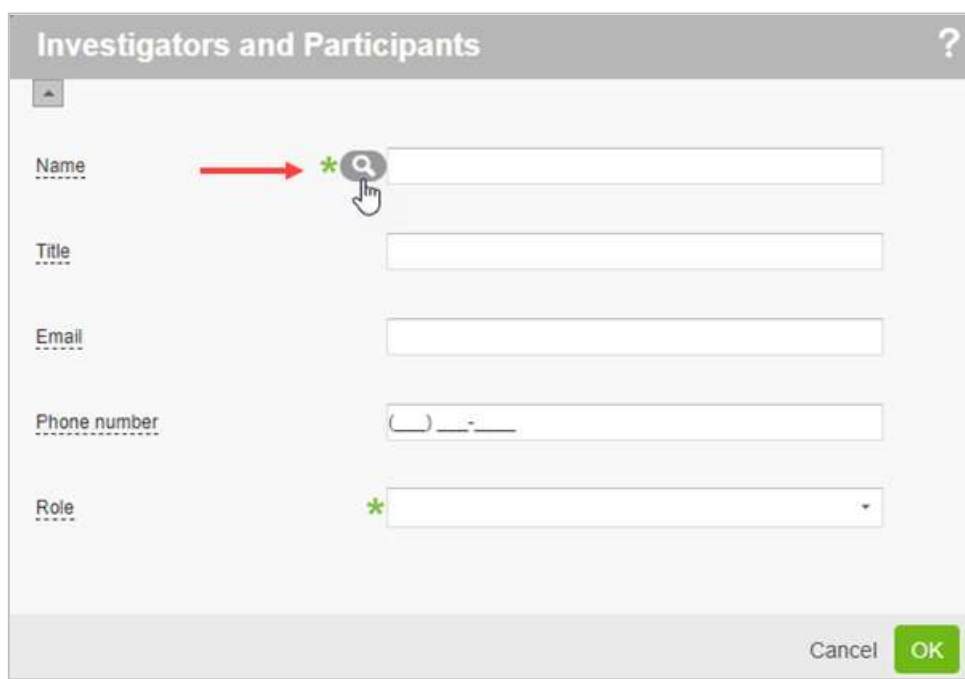
'To be completed by' is the date that you are hoping to have the RCA completed by.

To be completed by	mm-dd-yyyy
--------------------	------------

The 'Investigators and Participants' table allows you to add in the different people who will be part of the RCA. Adding users to this table does not grant the user permissions to the file if they do not have Scope/Role access, it is simply to specify who is assisting with this investigation. Click the Add button to add in the users.

Investigators and Participants			
<input type="checkbox"/>	Name	Title	Role
Not Specified			

Within the pop-up window, click on the magnifying glass to be able to search for a user in the application.



The 'Investigators and Participants' form is a modal window with a title bar containing a question mark icon. It contains several input fields: 'Name' (with a red arrow pointing to a green asterisk and a magnifying glass icon), 'Title', 'Email', 'Phone number' (with a dropdown for area code and a plus sign for extension), and 'Role' (with a green asterisk and a dropdown arrow). At the bottom right are 'Cancel' and 'OK' buttons.

The 'Related Events' table allows you to add information about a Risk file, or multiple Risk files, with the RCA that you are entering. Clicking on the Add button will allow you to populate information about the PEER Risk event, such as the General Event Type, the Specific Event Type, the Reported Severity Level and the Event Date.



The 'Related Events' section features a table with columns: 'General event type', 'Specific event type', 'Severity Level (Reported)', and 'Event Date'. A red arrow points to the 'Add' button. The table currently shows a single row with the text 'Not Specified'.

	General event type	Specific event type	Severity Level (Reported)	Event Date
	Not Specified			

Alternatively, you can also import information if it is already in an existing Risk file. You can click on the 'More Actions' button at the bottom right of the RCA submission form, and then select 'Import File'.

Standard RCA - Submission Form

Preliminary Investigation

^ Related Events

Event Details

Add

<input type="checkbox"/>	General event type	Specific event type	Severity Level (Reported)	Event Date
	Not Specified			

^ File Attachments

Add

Save as Incomplete

Import File

Submit & Manage

Submit & Copy

Delete

Exit

More Actions ^

Submit

You can search for the file by name or by file ID, or use the Advanced Search option to search by a specific field. Once selected, click on the Import button to import the data from that file into the Related Events table.

Import a file

Search

Advanced Search

File Search

FALL Event (313875)

Separate each keyword by a space (e.g., adverse 17 john).

Select the mapping

Risk to RootCause

Cancel

Import



Note that importing the data from Risk to RCA, is not a dynamic link between the files. Updating the Risk file after this import will not affect the RCA file, and likewise, updating or changing the data in the RCA file will not update or affect the Risk file.

The 'File Attachments' table will allow you to include any attachments related to the RCA investigation.

^ File Attachments

Add

	FileName	Category	Description
Not Specified			

Once all the mandatory information is filled out, the Submit button at the bottom right of the screen can be clicked to submit the new RCA file.

Delete

Exit

More Actions ^

Submit



If data was Imported from a Risk file, there will be an additional pop-up prompting whether the Risk file and the RCA file should be linked together. You can click on OK to link the two which will place them in a

A screenshot of a software dialog box titled "Add File to Folder" with a question mark icon in the top right corner. The dialog has two radio button options. The first option, "Add this file to a New Folder:", is selected. Below it are two text input fields: "New Folder Name" containing the text "02-25-2022 11:40:32" and "New Folder Description" which is empty. The second option, "Search for an Existing Folder to add this file to:", is unselected. Below it are three text input fields: "Folder ID", "Folder Name", and a field for "Step 2: [Get Search Results](#)". Below these fields is the text "Step 3: Select a Folder from the Search Results:". At the bottom right of the dialog are two buttons: "Skip" and "OK".

folder, or you can click on Skip.

## The Standard RCA Management Form

A submitted RCA can be accessed via the Info Center or via a Search from the Search page.

When opened, the form will be displayed in a tabbed format, with multiple tabs across the top of the form, rather than a single page view. This is due to the length of the RCA form and the nature of the workflow. Navigating between tabs will save your work in the file.

A screenshot of the header and tabbed interface of the "Standard RCA - Management Form - 313885". The header is a dark grey bar with the title "Standard RCA - Management Form - 313885" in white. Below the header is a row of five tabs. The first tab, "Investigation Overview", is highlighted with a dark blue background and white text. The other tabs are "Preliminary Investigation", "Timeline", "Investigation & Analysis", and "Causes and Plan of Action", all with light grey backgrounds and dark grey text.



## Investigation Overview

This page is primarily read-only and is used to provide a summary of the entire RCA file.

Standard RCA - Management Form - 299253

Investigation Overview	Preliminary Investigation	Timeline	Investigation & Analysis	Causes and Plan of Action
<b>Investigation Status</b>				
Investigation status	Plan of action - Implemented			
Internal code				
To be completed by	08-03-2021			
Entered on	07-23-2021			
<b>Investigators and Participants</b>				
Name	Title	Role		
Lacey Holland	DON	Lead		
Reason for investigation	Medication Error performed resulting in no harm to a resident.			
Notes	Investigation and education complete.			

Some information on this page can be filled out such as the 'Investigation status' field which will allow you to select the current stage of the RCA investigation.

Investigation status

Ongoing evaluation  
Plan of action - Awaiting approval  
Plan of action - Implemented  
Preliminary investigation

You can also add in information to the 'Notes' and 'References & Citations' fields. All other information will be read-only and will display the content that has been entered across the different tabs of the file.



## Preliminary Investigation

The tab visible here is the same as what was available during the submission of the form. If the file was started via an RCA from scratch (through the icon wall), the Preliminary Investigation was not visible to you when submitting which would enable you to enter in information about the Investigators and Participants, but this can be done now.

Standard RCA - Management Form - 299253

Investigation Overview

Preliminary Investigation

Timeline

Investigation & Analysis

Causes and Plan of Action

^ Investigation Details

Internal code

Reason for investigation

Medication Error performed resulting in no harm to a resident.

To be completed by

08-03-2021

Investigators and Participants

Add

<input type="checkbox"/>	Name	Title	Role
<input type="checkbox"/>	Lacey Holland	DON	Lead



## Timeline

The RCA Timeline is used to track the progress of leading up to the event, as well as the investigation. The page also allows for attachments to be added, so if a separate diagram or chart that should be included, you can add it here.

Standard RCA - Management Form - 299253

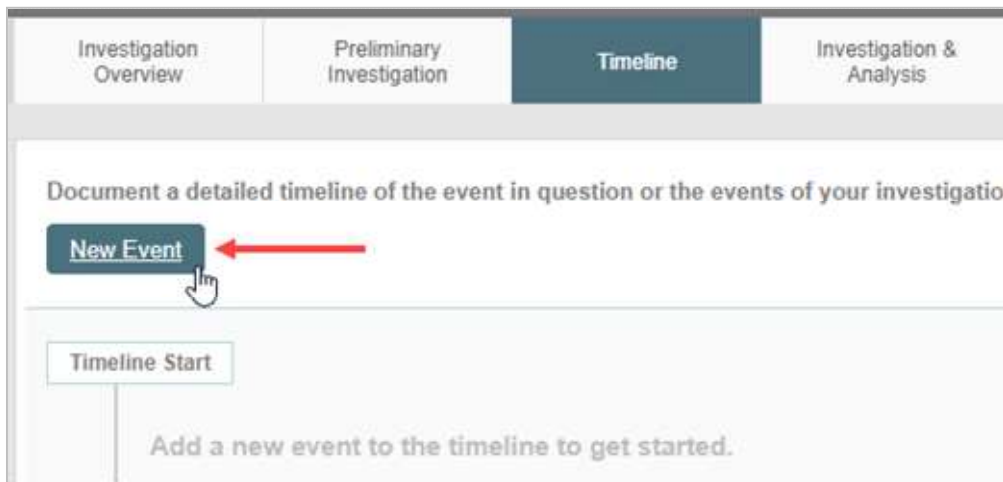
Investigation Overview	Preliminary Investigation	<b>Timeline</b>	Investigation & Analysis	Causes and Plan of Action
------------------------	---------------------------	-----------------	--------------------------	---------------------------

Document a detailed timeline of the event in question or the events of your investigation.

[New Event](#)

<p>Timeline Start</p> <p>07-06-2021</p> <p>Event title: med error</p> <p>Date: 07-06-2021</p> <p>Time: 14:15</p> <p>Description: Resident received a dose of Xanax that was scheduled at night rather than scheduled tramadol. Nurse pulled the wrong blister pack/card.</p> <p>Edit Delete</p>	<p>Event Attachment(s)</p> <p>07-06-2021 16:25 Family Notified NotificationEmail.txt</p>
---	--

To add an event to the Timeline, click on the New Event button at the top left.



The screenshot shows the 'Timeline' tab selected in the top navigation bar. Below the navigation bar, there is a section titled 'Document a detailed timeline of the event in question or the events of your investigation'. In this section, a 'New Event' button is highlighted with a red arrow. Below this, there is a 'Timeline Start' button and a text prompt: 'Add a new event to the timeline to get started.'

Enter in information about the event such as the 'Event title' and 'Date'. Add in any additional information to the 'Description' and any attachments. When complete, click on the Add Event button.



The screenshot shows the 'Add Event' form. It contains the following fields and sections:

- Event title:** A text input field containing 'Family Notified'.
- Date:** A date input field containing '07-06-2021'.
- Time:** A time input field containing '16:25'.
- Description:** A text area containing 'family of patient was notified.'
- Attachments:** A section with an 'Add' button and a table for listing attachments.

<input type="checkbox"/>	FileName	Description
<input type="checkbox"/>	NotificationEmail.txt	

At the bottom right of the form, there are 'Cancel' and 'Apply' buttons.



Attachments added to the Events on the Timeline will appear in the attachments area on the right side of the tab.

Standard RCA - Management Form - 299253

Investigation Overview

Preliminary Investigation

Timeline

Investigation & Analysis

Causes and Plan of Action

Document a detailed timeline of the event in question or the events of your investigation.

New Event

Timeline Start

07-06-2021

Event title

med error

Date

07-06-2021

Time

14:15

Event Attachment(s)

07-07-2021 Family Notified NotificationEmail.txt



Events on the Timeline will automatically sort in chronological order based on the Event Date and Event Time entered in the Event.

Timeline Start

07-06-2021

Event title

med error

Date

07-06-2021

Time

14:15

Description

Resident received a dose of Xanax that was scheduled at night rather than scheduled tramadol. Nurse pulled the wrong blister pack/card.

Edit

Delete

Event title

Family Notified

Date

07-06-2021

Time

16:25

Description

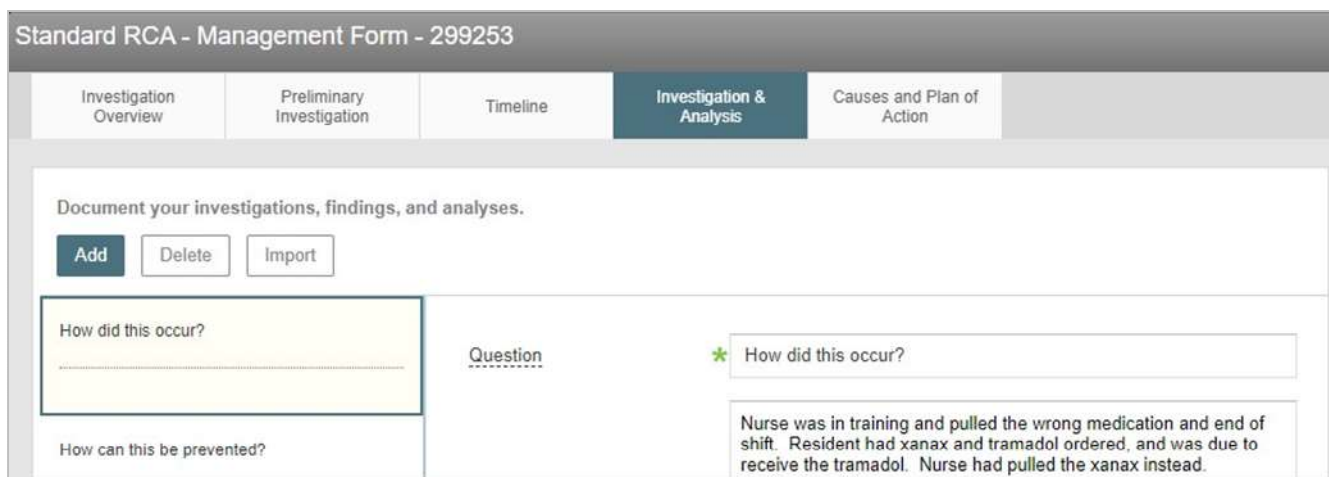
family of patient was notified.

Edit

Delete

## Investigation & Analysis

The information on this page will assist with determining the root cause of the event.



Standard RCA - Management Form - 299253

Investigation Overview Preliminary Investigation Timeline **Investigation & Analysis** Causes and Plan of Action

Document your investigations, findings, and analyses.

Add Delete Import

How did this occur?

Question

How can this be prevented?

\* How did this occur?

Nurse was in training and pulled the wrong medication and end of shift. Resident had xanax and tramadol ordered, and was due to receive the tramadol. Nurse had pulled the xanax instead.

Clicking on the 'Import' button will allow you to bring in a pre-determined list of questions.



Document your investigations, findings, and analyses.

Add Import

Add a new question to get started.

Details will appear

You can choose to bring in all questions or only a select few by checking on the boxes beside the questions you wish to import. Once all questions have been selected, click on the 'Import' button at the bottom to add them to the file.



<input type="checkbox"/>	Question	Category
<input checked="" type="checkbox"/>	What was the intended process flow?	Policy factor
<input type="checkbox"/>	Were there any steps in the process that did not occur as intended?	Policy factor
<input checked="" type="checkbox"/>	What human factors were relevant to the outcome?	Employee/Affiliate factor
<input checked="" type="checkbox"/>	How did the equipment performance affect the outcome?	Equipment
<input type="checkbox"/>	What controllable environmental factors directly affected this outcome?	Environmental

Page 1 of 5

Cancel Import

You can also click on the 'Add' button to manually add in any questions you think are important to answer that are not a part of the list of questions available on Import.

Document your investigations, findings, and analyses.

Add Delete Import

The questions (both imported and manual) will be listed along the left side of the page. On the right, for each question you will see a set of fields to be able to enter in information about the question. Each imported question will have some 'Instructions/Prompts' to help with answering the information being requested.

Document your investigations, findings, and analyses.

**Add** **Delete** **Import**

<p>What was the intended process flow?</p> <hr/> <p>What human factors were relevant to the outcome?</p> <hr/> <p>Was the staff properly qualified and currently competent for their responsibilities at the...</p> <hr/> <p>Did staff performance during the event meet expectations?</p> <hr/> <p>To what degree was all the necessary information available when needed...</p> <hr/>	<p><u>Question</u></p> <p><u>Instructions/prompts</u></p> <p><u>Findings</u></p> <p><u>Category</u></p> <p><u>Subcategory</u></p> <p><u>Root cause</u></p>	<p>* What was the intended process flow?</p> <p>List the relevant process steps as defined by the policy, procedure, protocol, or guidelines in effect at the time of the event. You may need to include multiple processes.</p> <p><b>Note:</b> The process steps <i>as they occurred in the event</i> will be entered in the next question.</p> <p>Examples of defined process steps may include, but are not limited to:</p> <hr/> <p>Policy factor</p> <p></p> <p><input type="checkbox"/></p>
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Here, the 'Root cause' box can be checked on to signify whether this question is determined to be the root cause of the event. When selected, the card on the left will be updated to show that the Root cause box was checked.



Document your investigations, findings, and analyses.

Question	Instructions/prompts	Findings	Category	Subcategory	Root cause
What was the intended process flow? Root Cause ←	List the relevant process steps as defined by the policy, procedure, protocol, or guidelines in effect at the time of the event. You may need to include multiple processes. <b>Note:</b> The process steps as they occurred in the event will be entered in the next question. Examples of defined process steps may include, but are not limited to:		Policy factor		<input checked="" type="checkbox"/> ←
What human factors were relevant to the outcome?					
Was the staff properly qualified and currently competent for their responsibilities at the...					
Did staff performance during the event meet expectations?					
To what degree was all the necessary information available when needed...					

As you work on the questions, the Investigation Overview tab will update itself to reflect the questions that were added and whether any were a root cause of the event.



Investigation Overview	Preliminary Investigation	Timeline	Investigation & Analysis	Causes and Plan of Action	
<div></div>					
^ Analysis and Findings					
Analysis Question		Findings		Root Cause?	
What was the intended process flow?				Yes	
What human factors were relevant to the outcome?				No	
Was the staff properly qualified and currently competent for their r...				No	
Did staff performance during the event meet expectations?				No	
To what degree was all the necessary information available when ...				No	



## Causes and Plan of Action

Once the investigation and findings are completed, use this tab to track the action plan that will be put in place.

Standard RCA - Management Form - 299253

Investigation Overview	Preliminary Investigation	Timeline	Investigation & Analysis	<b>Causes and Plan of Action</b>
------------------------	---------------------------	----------	--------------------------	----------------------------------

Document causes, action plans, and assign action item

[Add](#) [Delete](#)

Nurse was orienting to our facility and was in a hurry to assist resident with pain control at...

Root cause

Related to

Process identified

Details

Nurse was orienting to our facility and was in a hurry to assist resident with pain control at the end of shift. nurse performed medication administration without performing five rights of medication pass.

Policy factor

Competency process

Nurse was educated and reviewed dispensing and medication administration policy. No harm was done to the resident.

To begin, click on the 'Add' button to add in a new Action Plan.

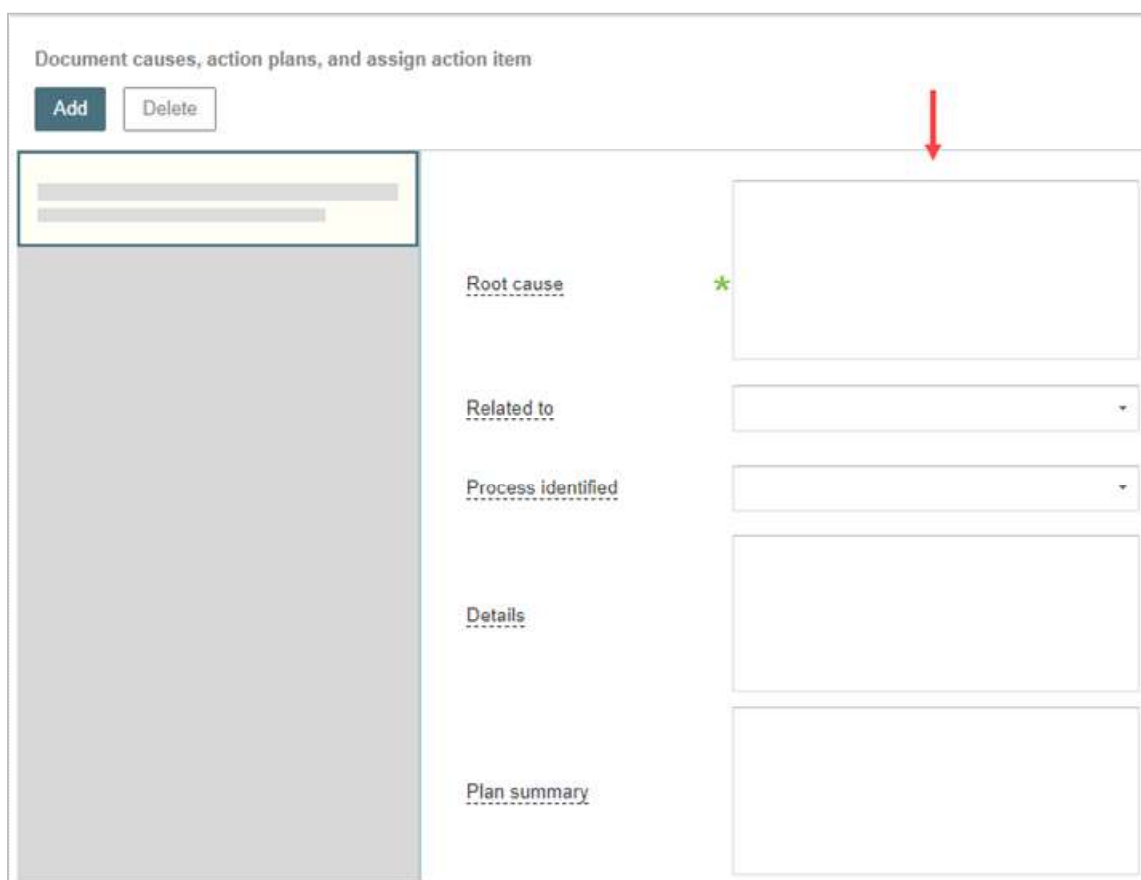
Document causes, action plans, and assign action item

[Add](#)

Add an item to get started.

Action plan details will appear here.

In the panel that appears, fill out information about the Action Plan such as your 'Root cause' statement, and the 'Related to', 'Process Identified', 'Details' and 'Plan Summary' fields. This information does not pull or link back to the information on the Investigation & Analysis tab.



Document causes, action plans, and assign action item

Add Delete

Root cause	
Related to	
Process identified	
Details	
Plan summary	

The Action Items table on this page allows delegation of responsibilities related to the Action Item to users both in the system, and outside of the system. To be clear, you may assign responsibilities to someone who is NOT an RCA or PEER File Manager. To add a new Item, click on the 'Add' button.



Action Items

**Add** ←

<input type="checkbox"/>	Assigned To	Instructions	Completed?	Assignee comments
<input type="checkbox"/>	LBennett@s...	Implement new policy and co...	Yes	
<input type="checkbox"/>	LBennett@s...	Complete education with resid...	Yes	

In the window that appears, use the magnifying glass to search for a user within the PEER application to assign the item to.

Action Items ?

Assigned to → \* 🔍 LBennett@sunnysidevillage.org

Assignee name Laura Bennett



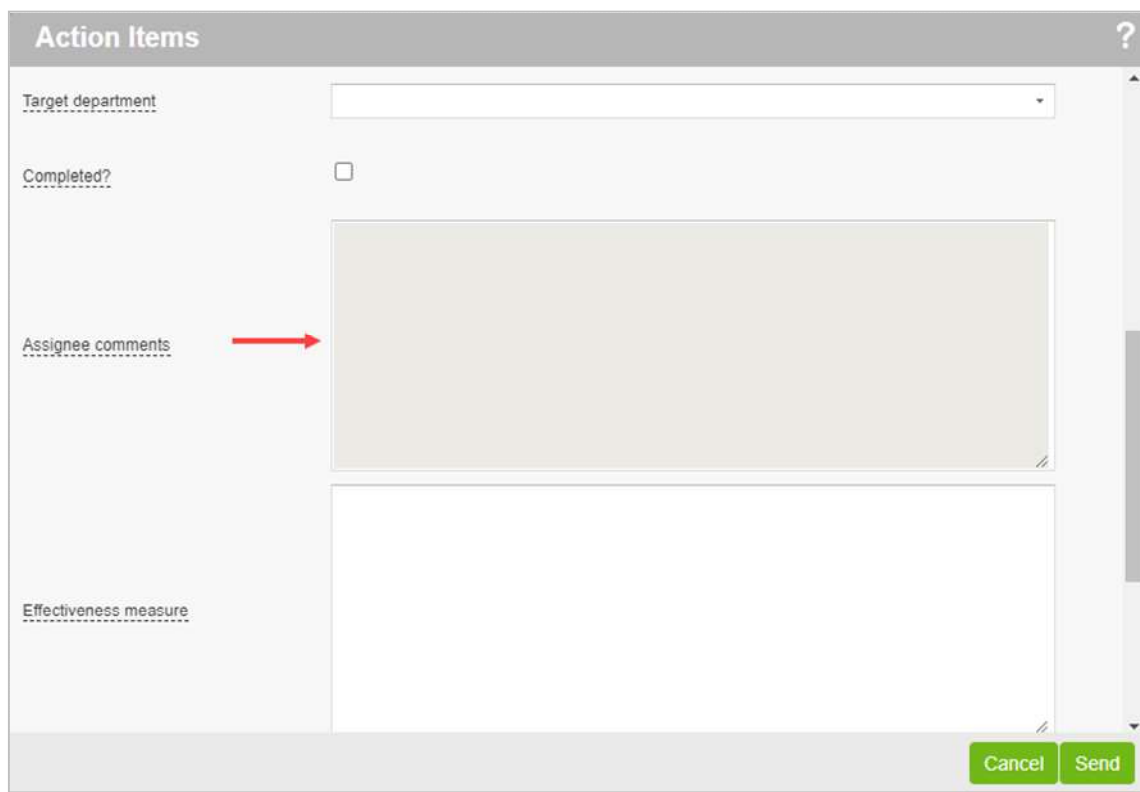
Proceed to add in information about the action item up to the 'Target department' field and then click on the 'Send' button to send the action item to the user via email.

The screenshot shows a web form titled "Action Items" with a question mark icon in the top right corner. The form contains the following fields and controls:

- Assigned to:** A text input field containing "LBennett@sunnysidevillage.org". A red arrow points to this field.
- Assignee name:** A text input field containing "Laura Bennett".
- Instructions:** A large text area containing the text "Implement new policy and complete education with all nurses on staff.". A red arrow points to this field.
- Due by:** A date input field containing "12-05-2018". A red arrow points to this field.
- Action type:** A dropdown menu with "In-service staff" selected.
- Target department:** A dropdown menu with "Nursing" selected.

At the bottom right of the form are three buttons: "Cancel", "Send Update", and "Save".

Information that the Assignee adds into the action item when they receive their email will automatically be added back into the file in the area below 'Target department'.



After reviewing the information that has been provided, the box beside 'Completed?' can be checked on to denote that the Action Item has been completed.

Multiple Action Items can be added and assigned to users per Action Plan. Likewise, multiple Action Plans can be added to a file. Again, Action Items do not have to be assigned only to users who have access to PEER. As the user does not go into PEER or RCA to enter information into the file, and their information is entered only through an external email, any person at the organization can receive an Action Item so long as they have an email address.



As Action Plans and Action Items are added to the file, the Investigation Overview tab will update to reflect the additions. This provides a good overview of all Action Items that have been assigned.

Standard RCA - Management Form - 223268

Investigation Overview	Preliminary Investigation	Timeline	Investigation & Analysis	Causes and Plan of Action																
<p>^ Plan of Action</p> <table><thead><tr><th>Root Cause</th><th>Action Item Instructions</th><th>Assigned To</th><th>Assignee Comments</th><th>Action Item Complete?</th></tr></thead><tbody><tr><td>The cause of this m...</td><td>Implement new policy and complete educ...</td><td>LBennett@sunnyside...</td><td></td><td>Yes</td></tr><tr><td>The cause of this m...</td><td>Complete education with residents on pol...</td><td>LBennett@sunnyside...</td><td></td><td>Yes</td></tr></tbody></table>						Root Cause	Action Item Instructions	Assigned To	Assignee Comments	Action Item Complete?	The cause of this m...	Implement new policy and complete educ...	LBennett@sunnyside...		Yes	The cause of this m...	Complete education with residents on pol...	LBennett@sunnyside...		Yes
Root Cause	Action Item Instructions	Assigned To	Assignee Comments	Action Item Complete?																
The cause of this m...	Implement new policy and complete educ...	LBennett@sunnyside...		Yes																
The cause of this m...	Complete education with residents on pol...	LBennett@sunnyside...		Yes																

## Receiving an Action Item

When a user is assigned an Action Item for an Action Plan, they will receive a link via email to enter in information that will then automatically import into the file. The user does not need to log in to PEER or RCA to be able to enter in this information.

When the link is clicked, they will be taken to a webpage where the information that was filled out by the creator of the Action Item is displayed such as 'Instructions' and 'Due Date'. They will also be able to see who assigned the Action Item to them, when it was assigned and when it is due by.



Once the 'Comments' have been filled out, the user can then send the information back to the file where it can be reviewed and marked as Complete if all required information has been provided.

^ Details

Assigned by	amaliwacki@sunnysidevillage.org
Assigned on	12-05-2018
Assigned to	LBennett@sunnysidevillage.org
Due by	12-05-2018
Action type	In-service staff
Department	Nursing
Instructions	Implement new policy and complete education with all nurses on staff.

^ Requested Information

Comments



### Reviewing a File Summary:

RCA File Summary can be viewed under File Notifications > Summaries in a file as shown below.

