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

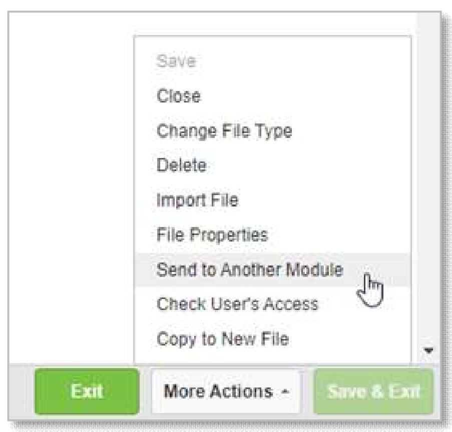
Via the Icon Wall

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

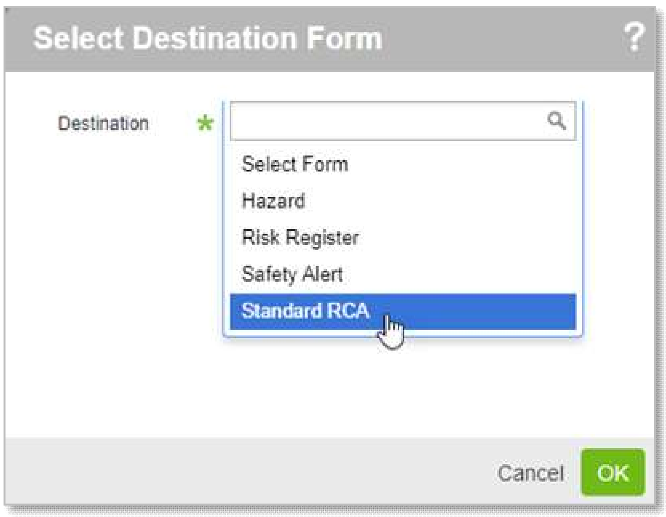
Clicking on the icon will take you to a simplified submission form to start the submission of the file. You may do this if you do not have an event in PEER to send to RCA and want to do an RCA from scratch.

Via an Existing risk Module File

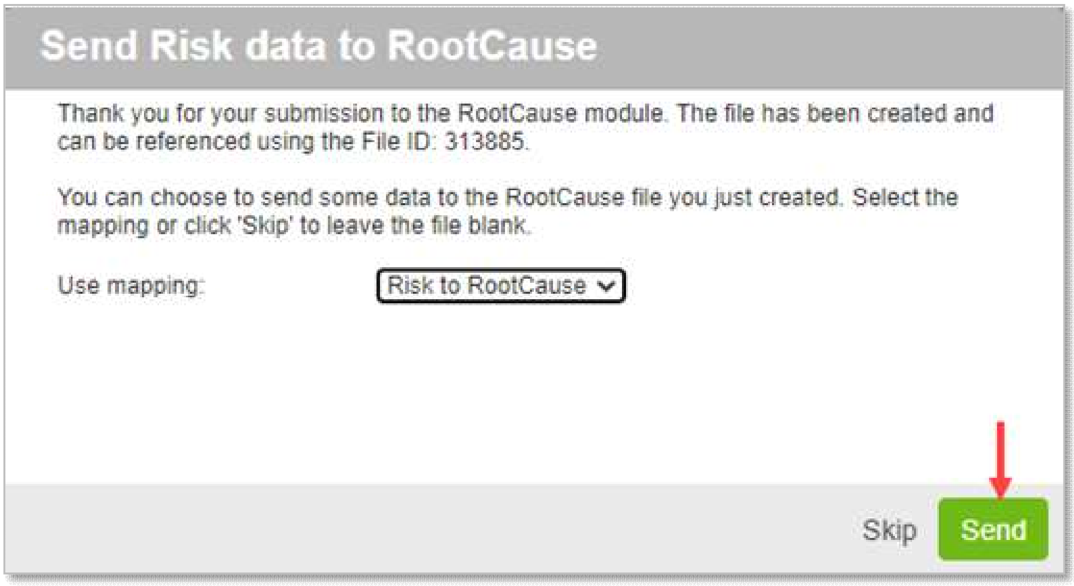
Another way to begin an RCA file is to open an existing Risk file and click on the More Actions button at the bottom right. Within the menu that appears, select 'Send to Another Module'.



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).



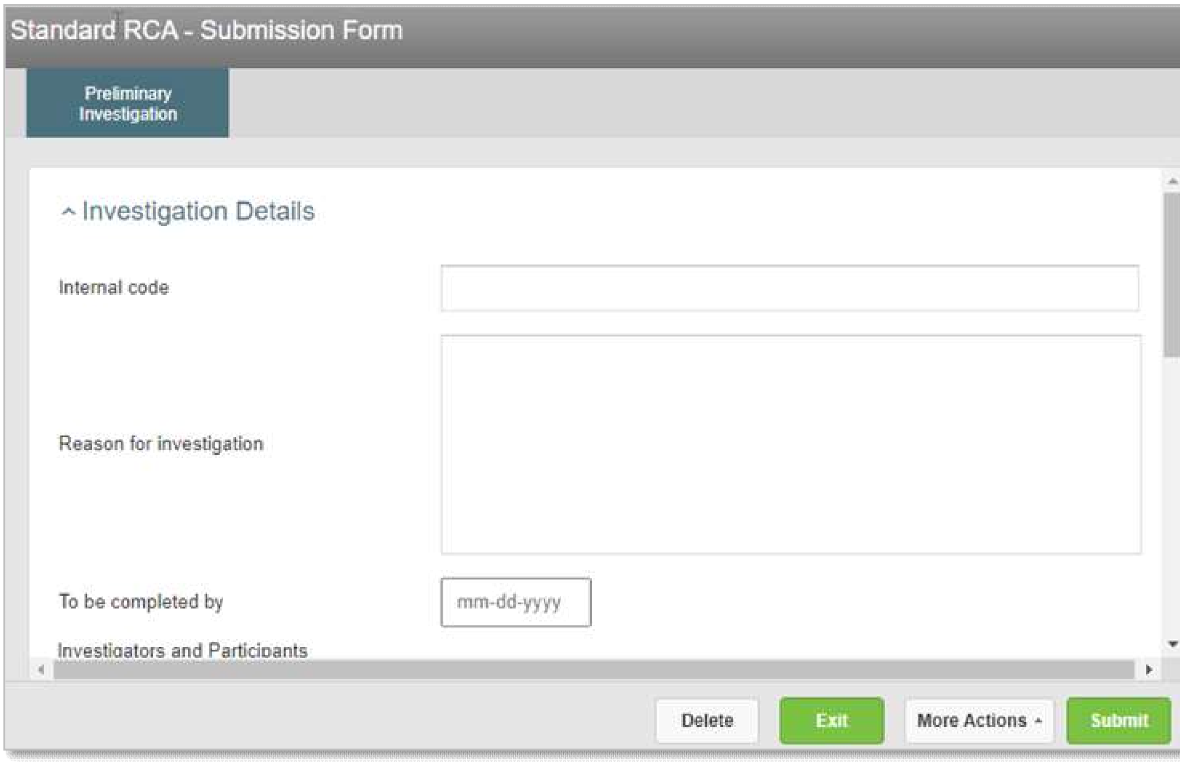
On the next screen, with 'Risk to Root Cause' in the Use Mapping dropdown already selected, you can choose 'Skip' to not send any data from the Risk incident to the Root Cause file, or you can choose 'Send' to send some data over to the new file. You will normally want to send the data over into RCA.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



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.



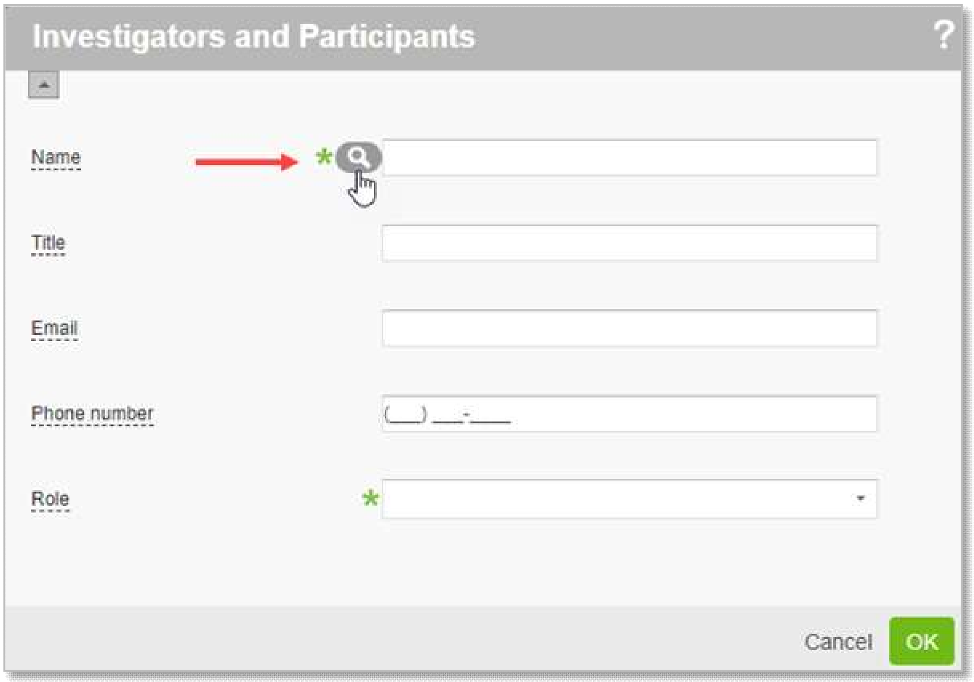
The 'Internal Code' is a free text field that allows you to add in any information to mark the RCA file. This is separate from the File ID of the RCA file that is automatically generated by the system.

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

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

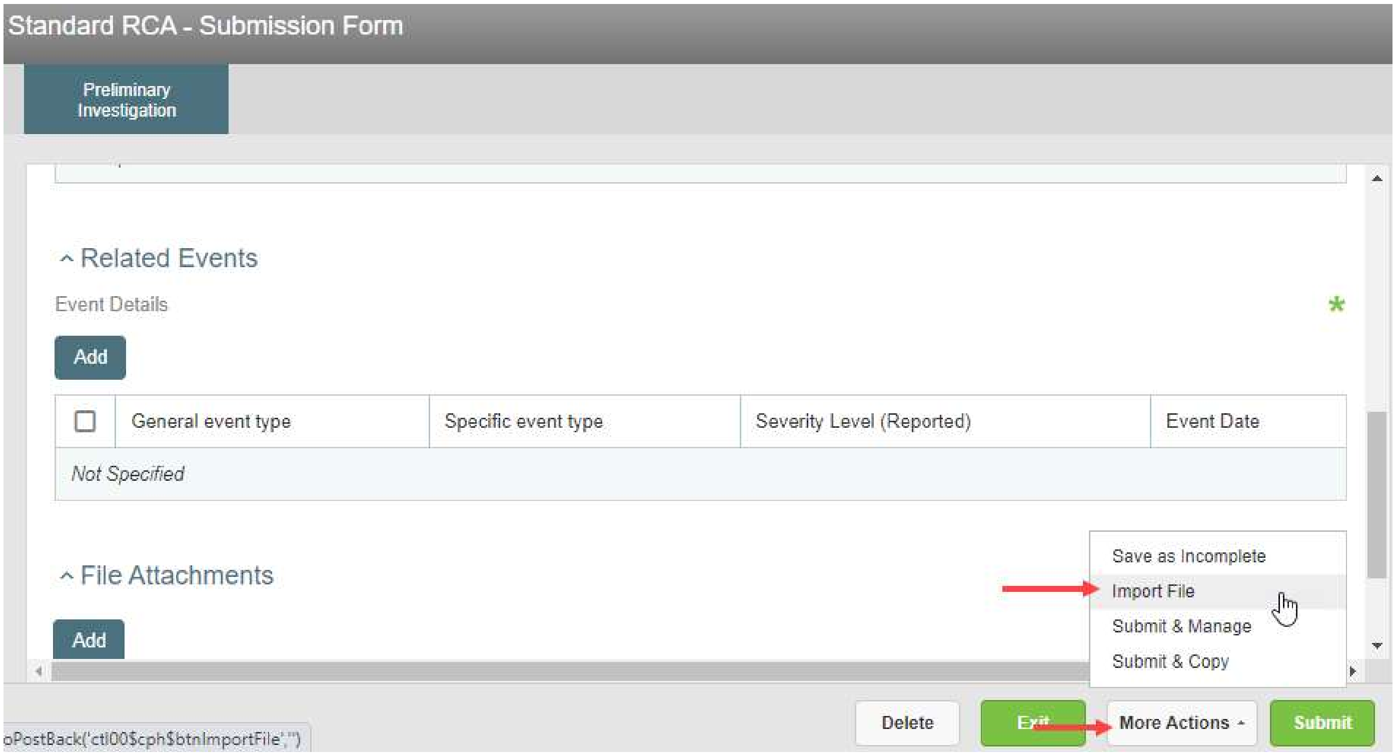
The ‘Investigators and Participants’ table allows you to add in the different people who will be part of the RCA. Adding users to this table does not grant the user permissions to the file if they do not have Scope/Role access, it is simply to specify who is assisting with this investigation. Click the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

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

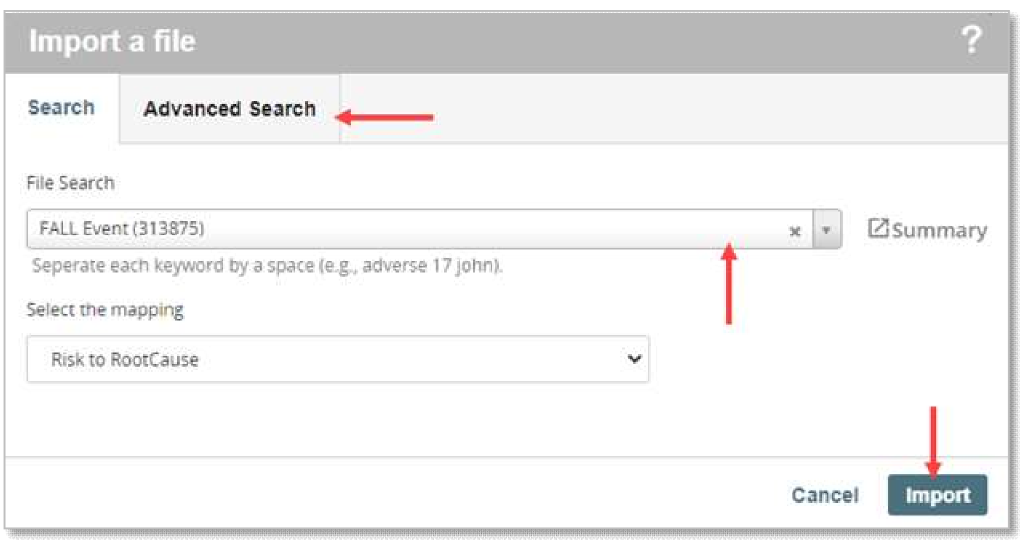


The ‘Related Events’ table allows you to add information about a Risk file, or multiple Risk files, with the RCA that you are entering. Clicking on the Add button will allow you to populate information about the PEER Risk event, such as the General Event Type, the Specific Event Type, the Reported Severity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

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’.



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.

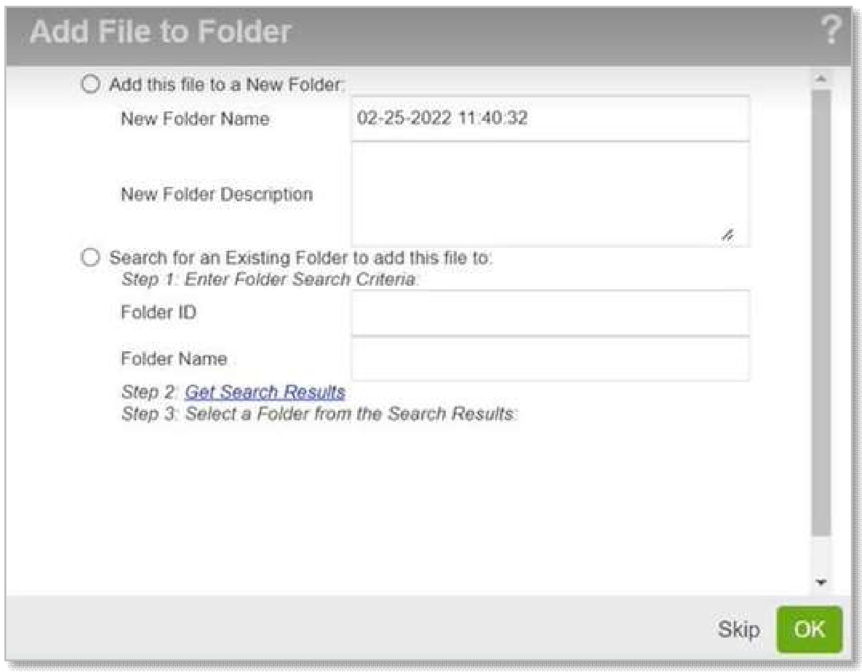


Note that importing the data from Risk to RCA, is not a dynamic link between the files. Updating the Risk file after this import will not affect the RCA file, and likewise, updating or changing the data in the RCA file will not update or affect the Risk file.

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

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.

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

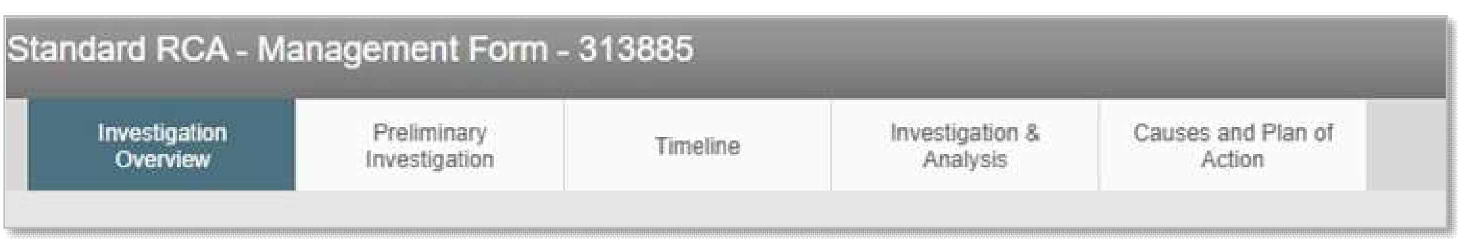


folder, or you can click on Skip.

The Standard RCA Management Form

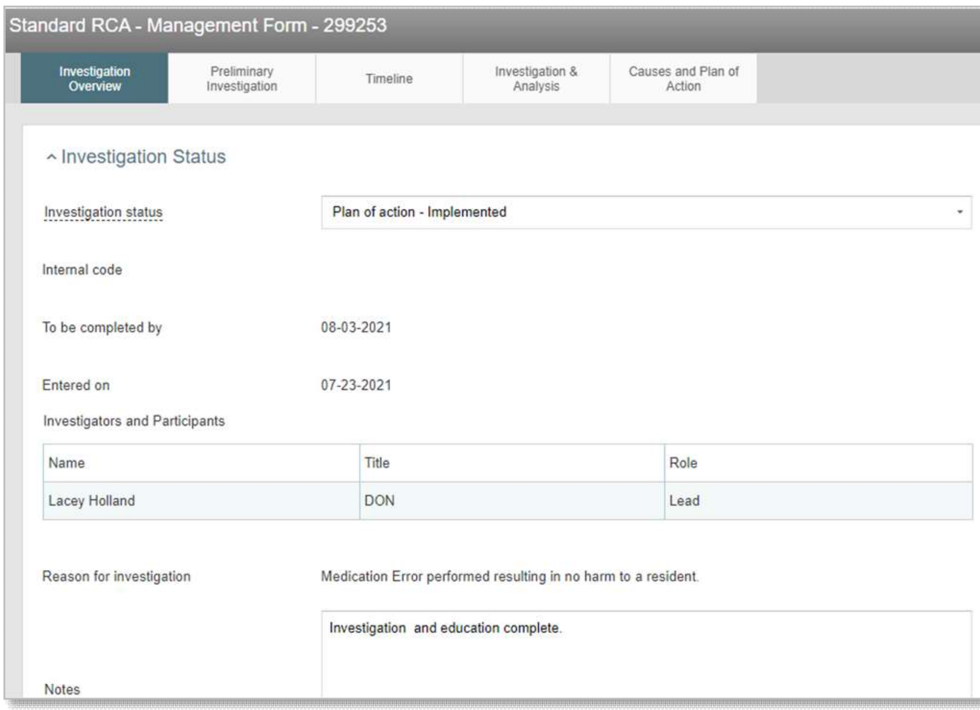
A submitted RCA can be accessed via the Info Center or via a Search from the Search page.

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.



Investigation Overview

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

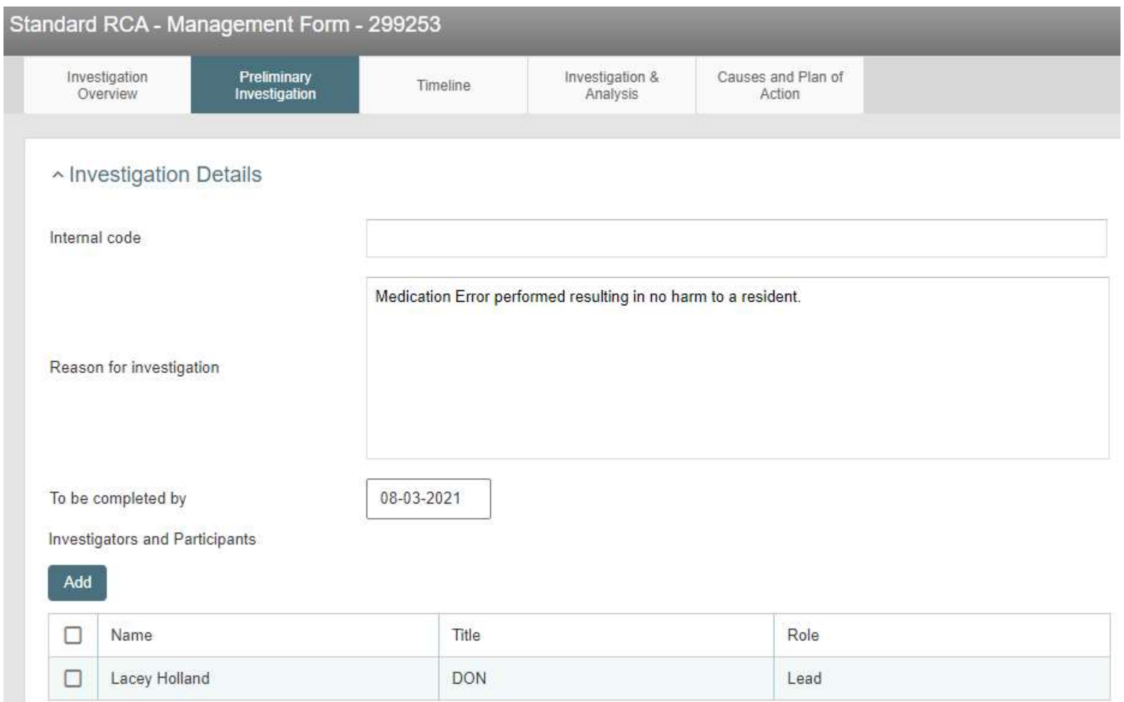


Some information on this page can be filled out such as the 'Investigation status' field which will allow you to select the current stage of the RCA investigation.

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.

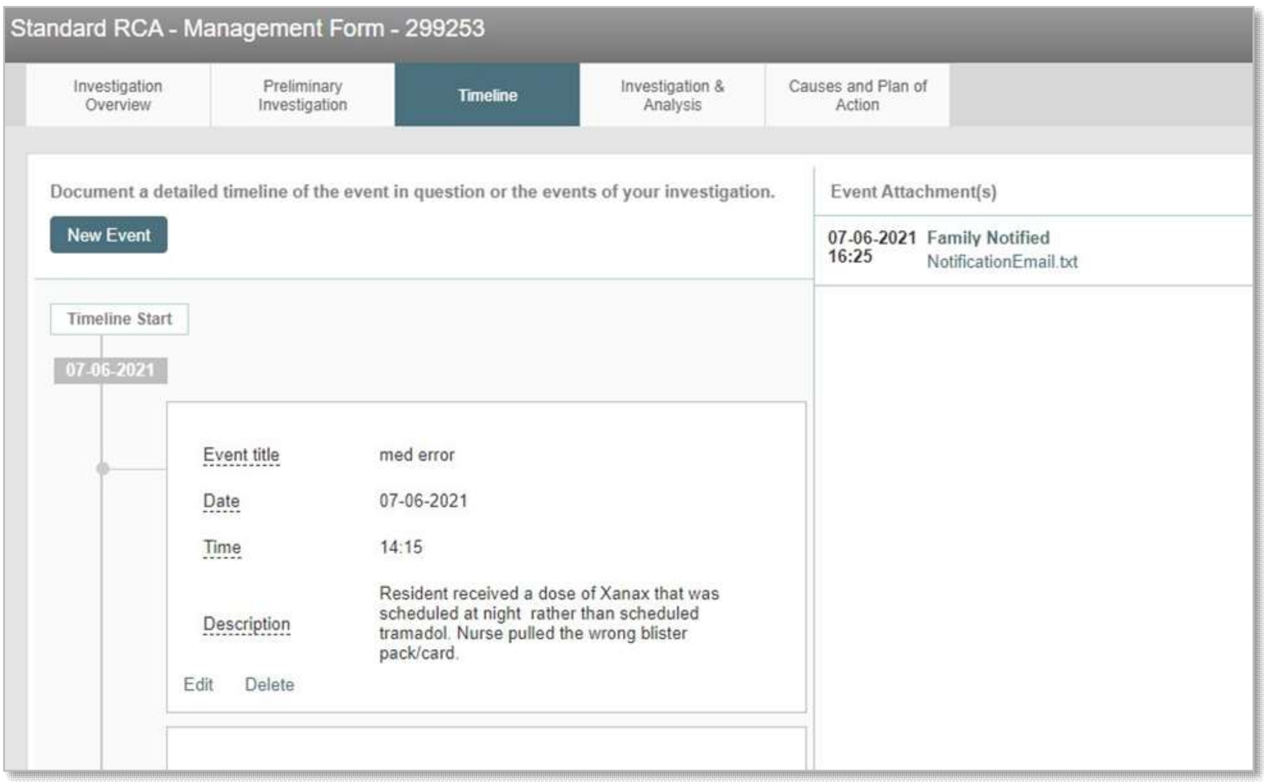
Preliminary Investigation

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.

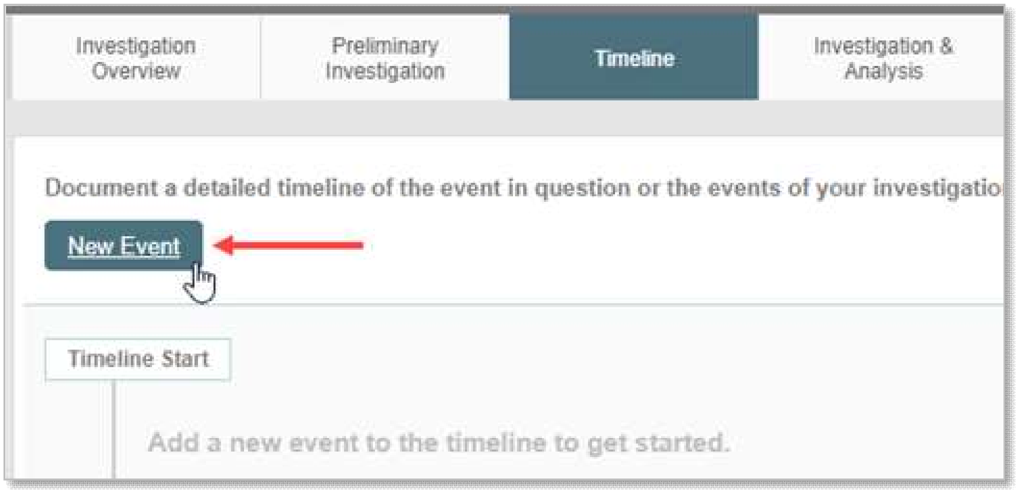


Timeline

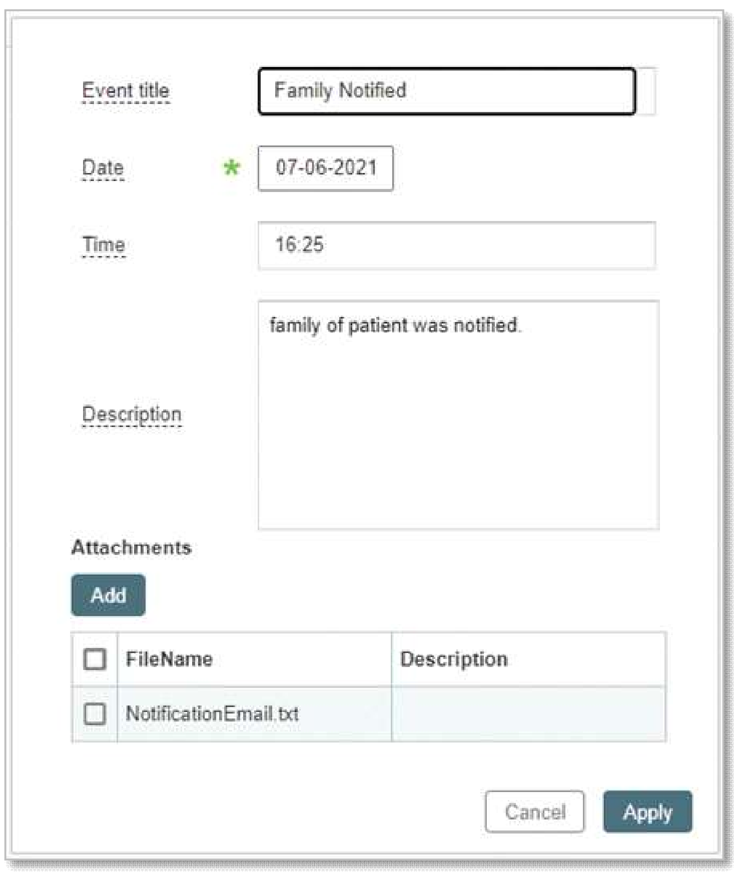
The RCA Timeline is used to track the progress of leading up to the event, as well as the investigation. The page also allows for attachments to be added, so if a separate diagram or chart that should be included, you can add it here.



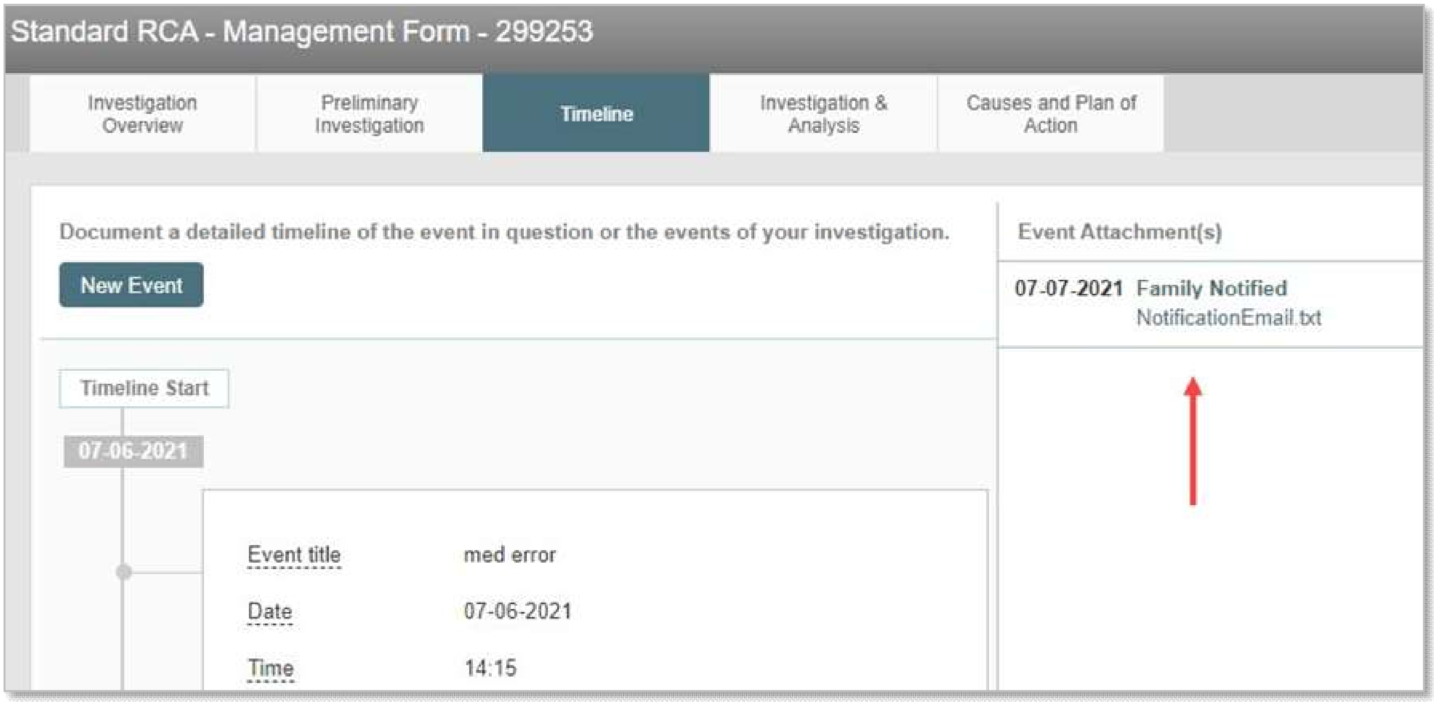
To add an event to the Timeline, click on the New Event button at the top left.



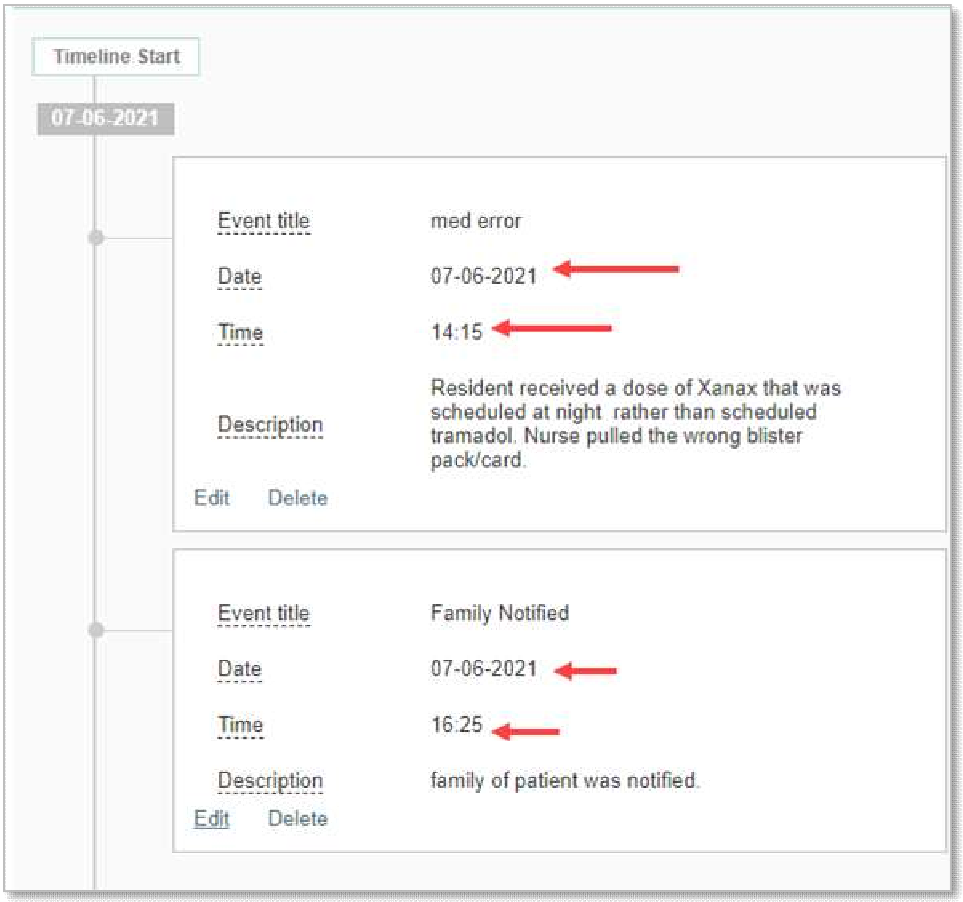
Enter in information about the event such as the 'Event title' and 'Date'. Add in any additional information to the 'Description' and any attachments. When complete, click on the Add Event button.



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



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

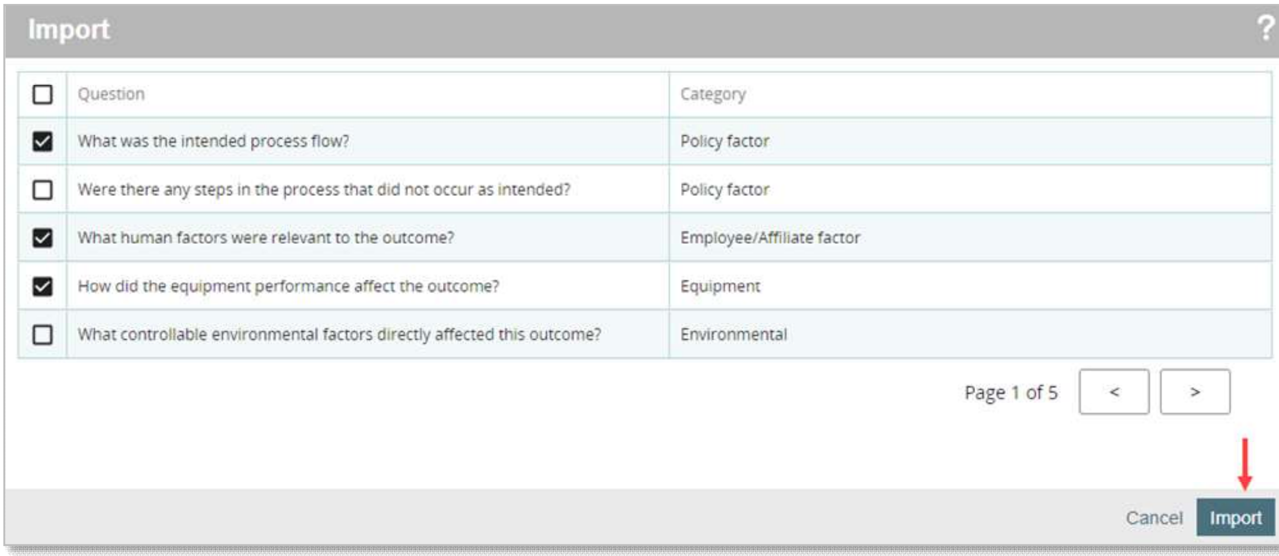


Investigation & Analysis

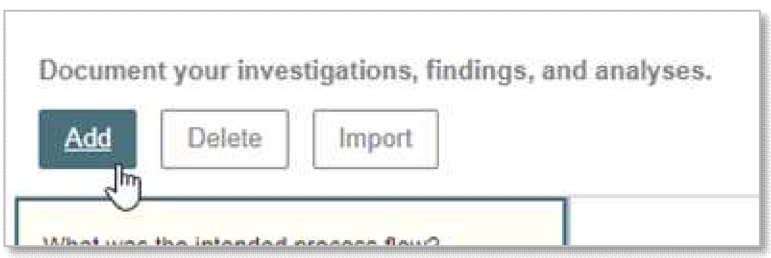
The information on this page will assist with determining the root cause of the event.

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

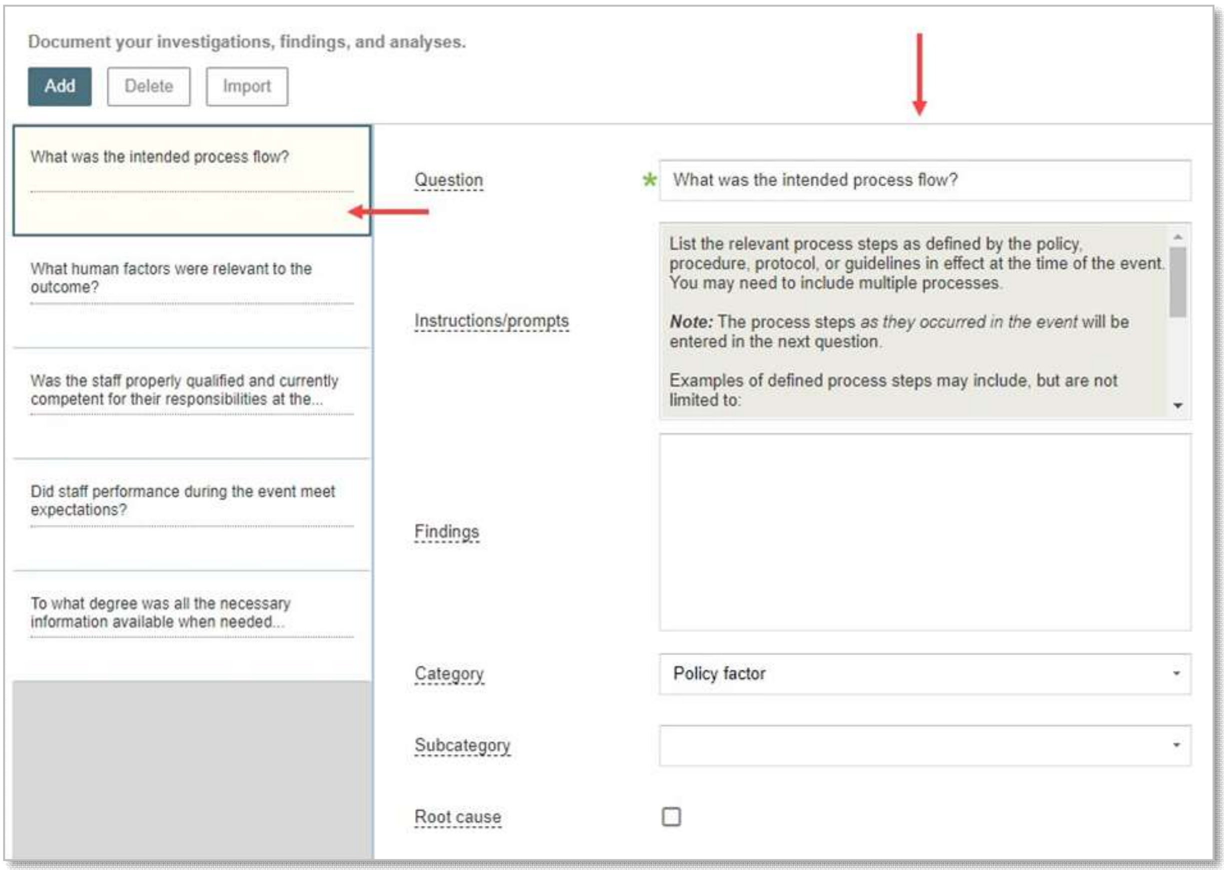
You can choose to bring in all questions or only a select few by checking on the boxes beside the questions you wish to import. Once all questions have been selected, click on the 'Import' button at the bottom to add them to the file.



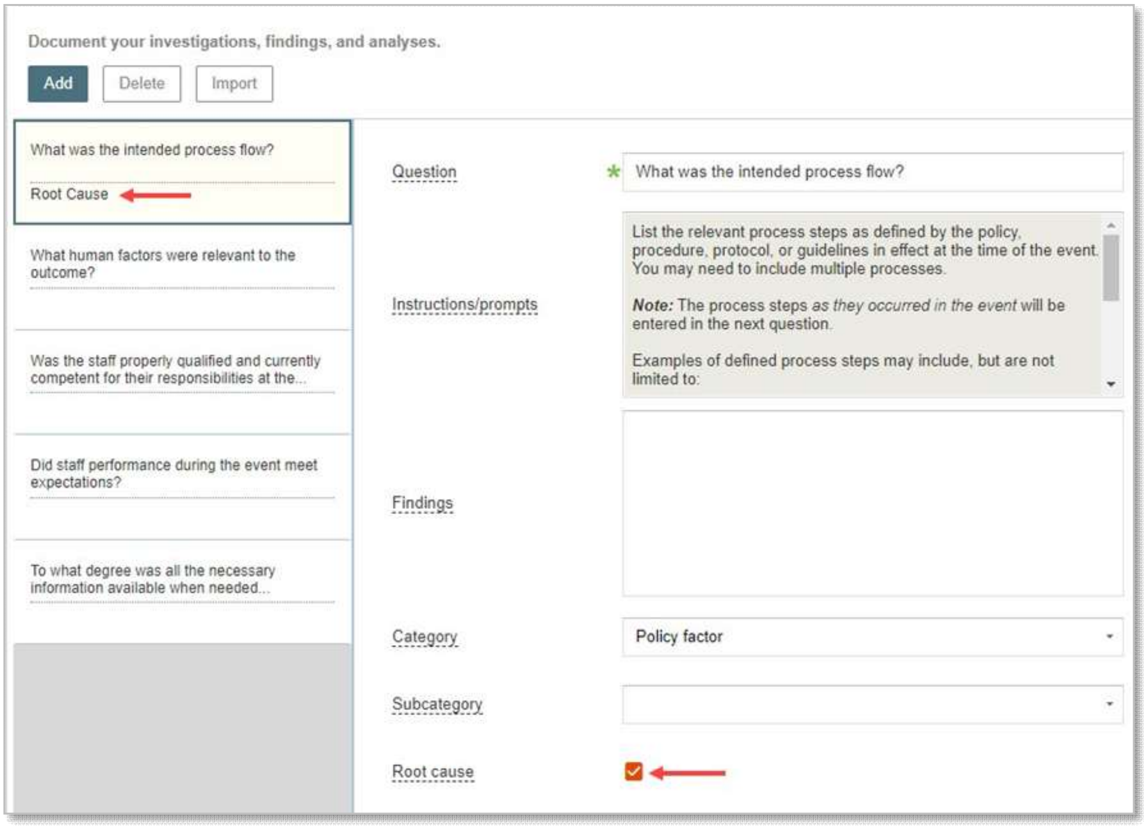
You can also click on the ‘Add’ button to manually add in any questions you think are important to answer that are not a part of the list of questions available on Import.



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.



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.



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.

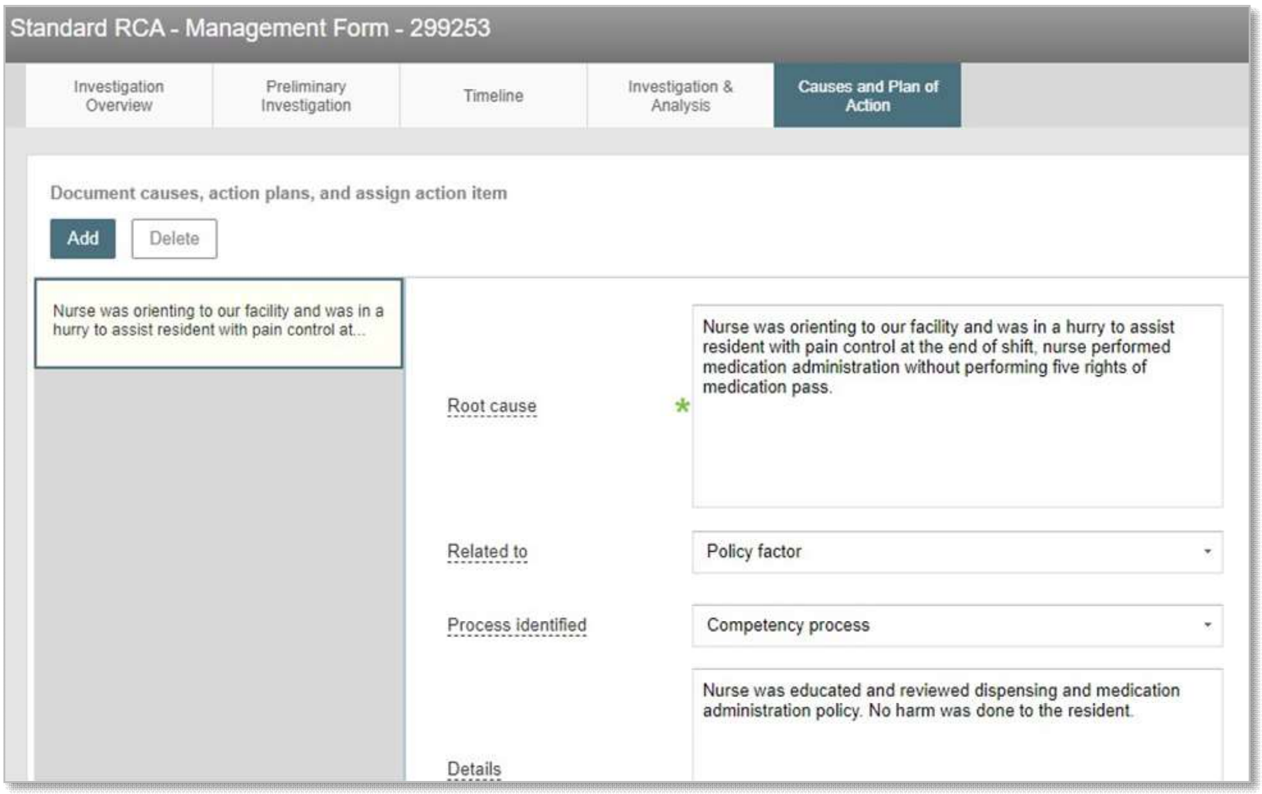
Investigation Overview	Preliminary Investigation	Timeline	Investigation & Analysis	Causes and Plan of Action

Analysis and Findings

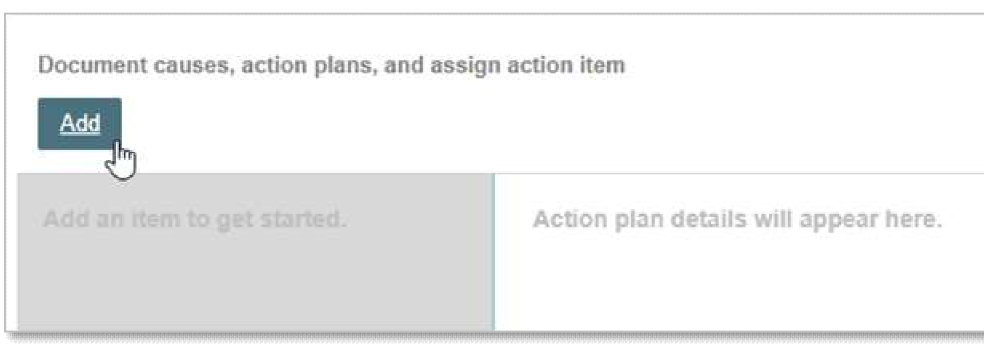
Analysis Question	Findings	Root Cause?
What was the intended process flow?		Yes
What human factors were relevant to the outcome?		No
Was the staff properly qualified and currently competent for their r…		No
Did staff performance during the event meet expectations?		No
To what degree was all the necessary information available when …		No

Causes and Plan of Action

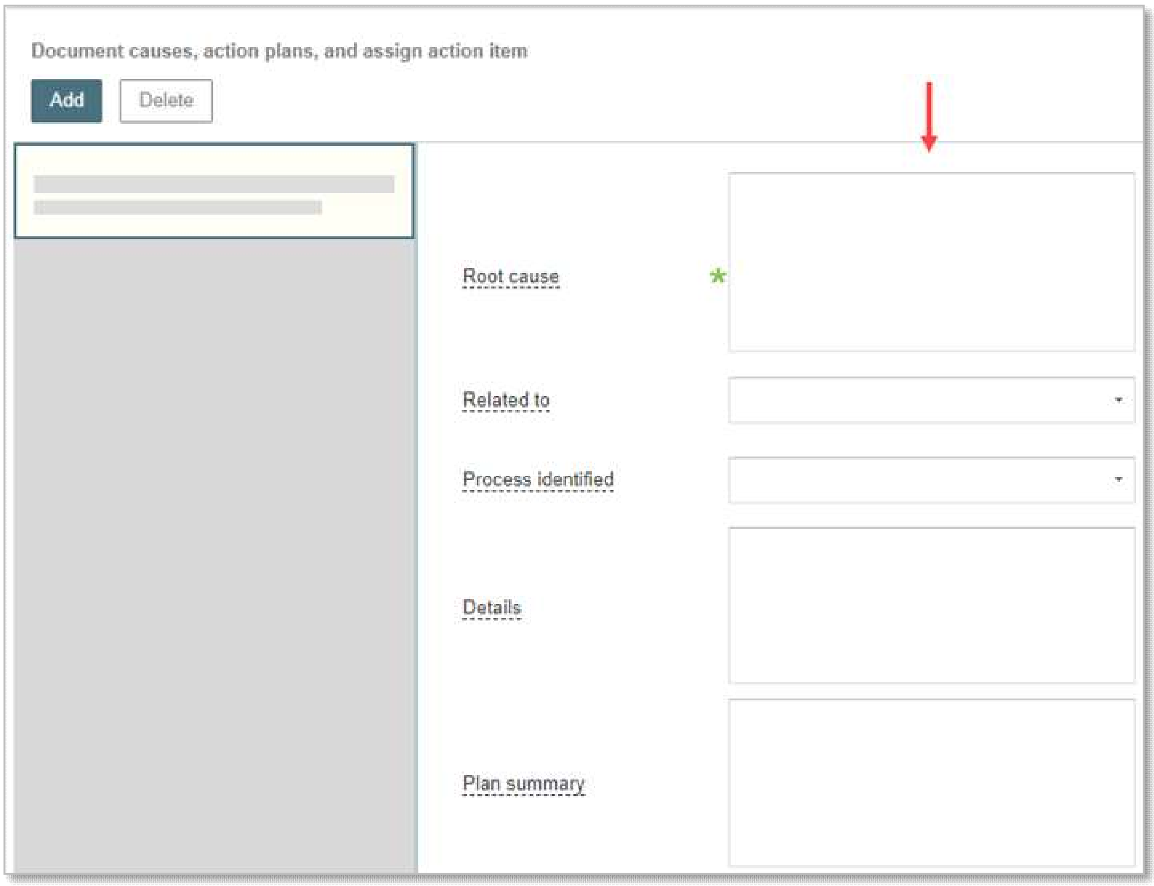
Once the investigation and findings are completed, use this tab to track the action plan that will be put in place.



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



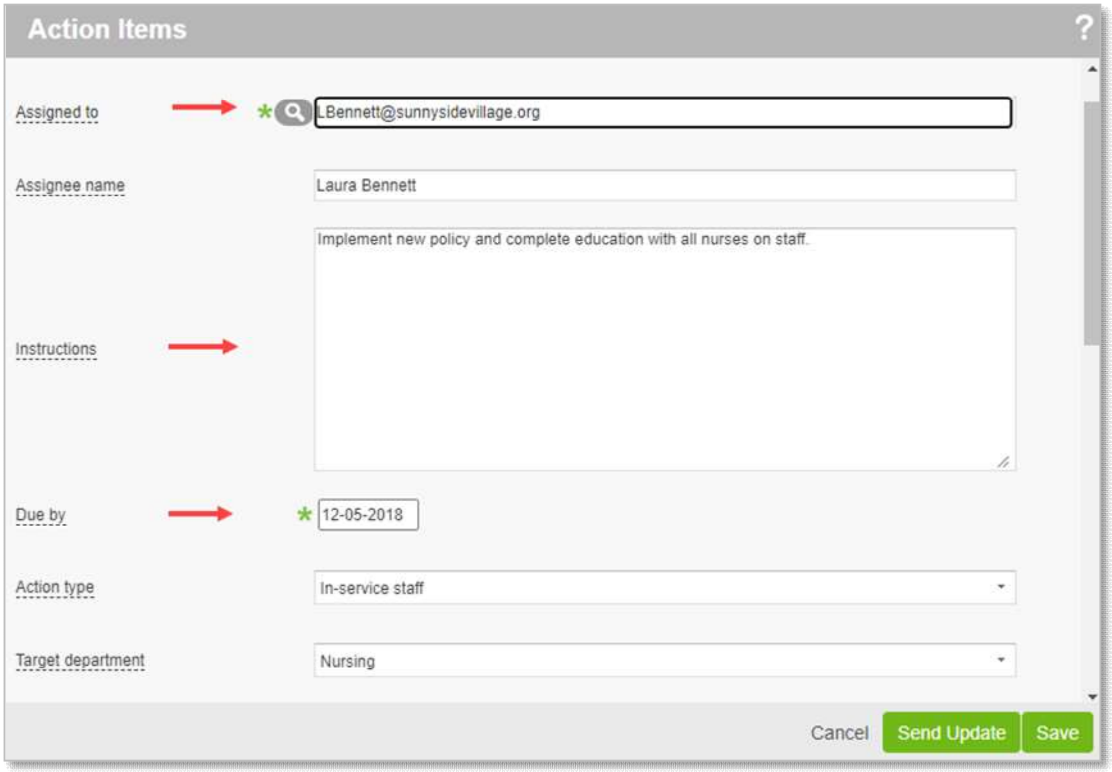
In the panel that appears, fill out information about the Action Plan such as your 'Root cause' statement, and the 'Related to', 'Process Identified', 'Details' and 'Plan Summary' fields. This information does not pull or link back to the information on the Investigation & Analysis tab.



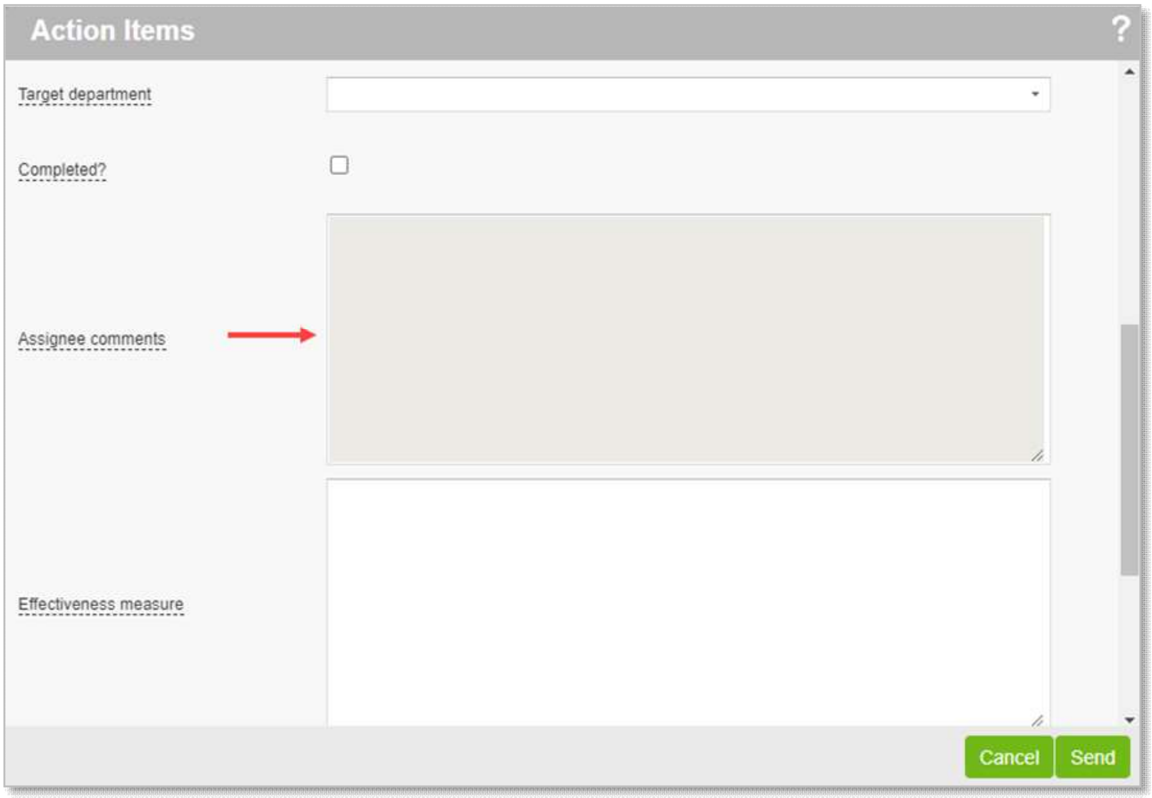
The Action Items table on this page allows delegation of responsibilities related to the Action Item to users both in the system, and outside of the system. To be clear, you may assign responsibilities to someone who is NOT an RCA or PEER File Manager. To add a new Item, click on the 'Add' button.

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

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.



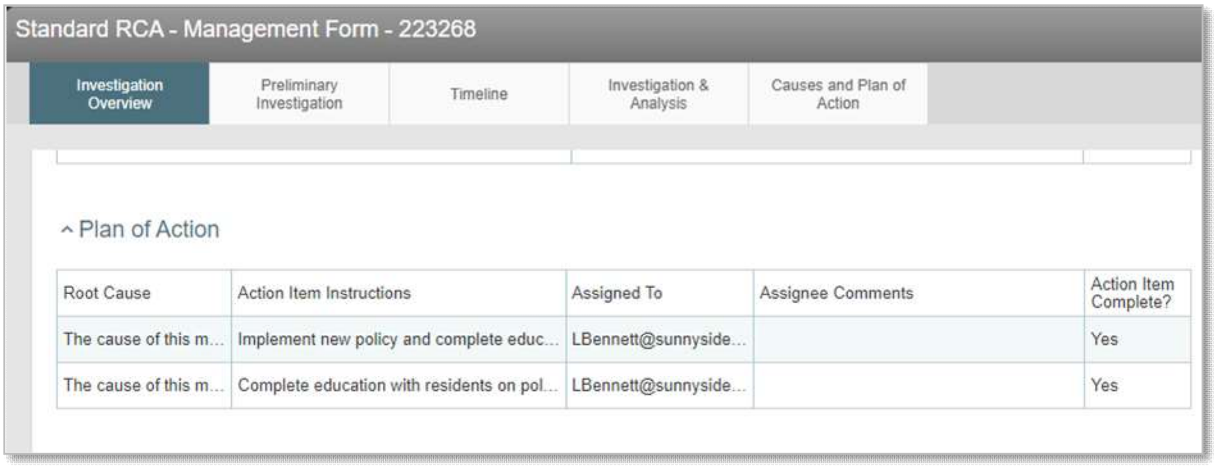
Information that the Assignee adds into the action item when they receive their email will automatically be added back into the file in the area below 'Target department'.



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

^ Plan of Action

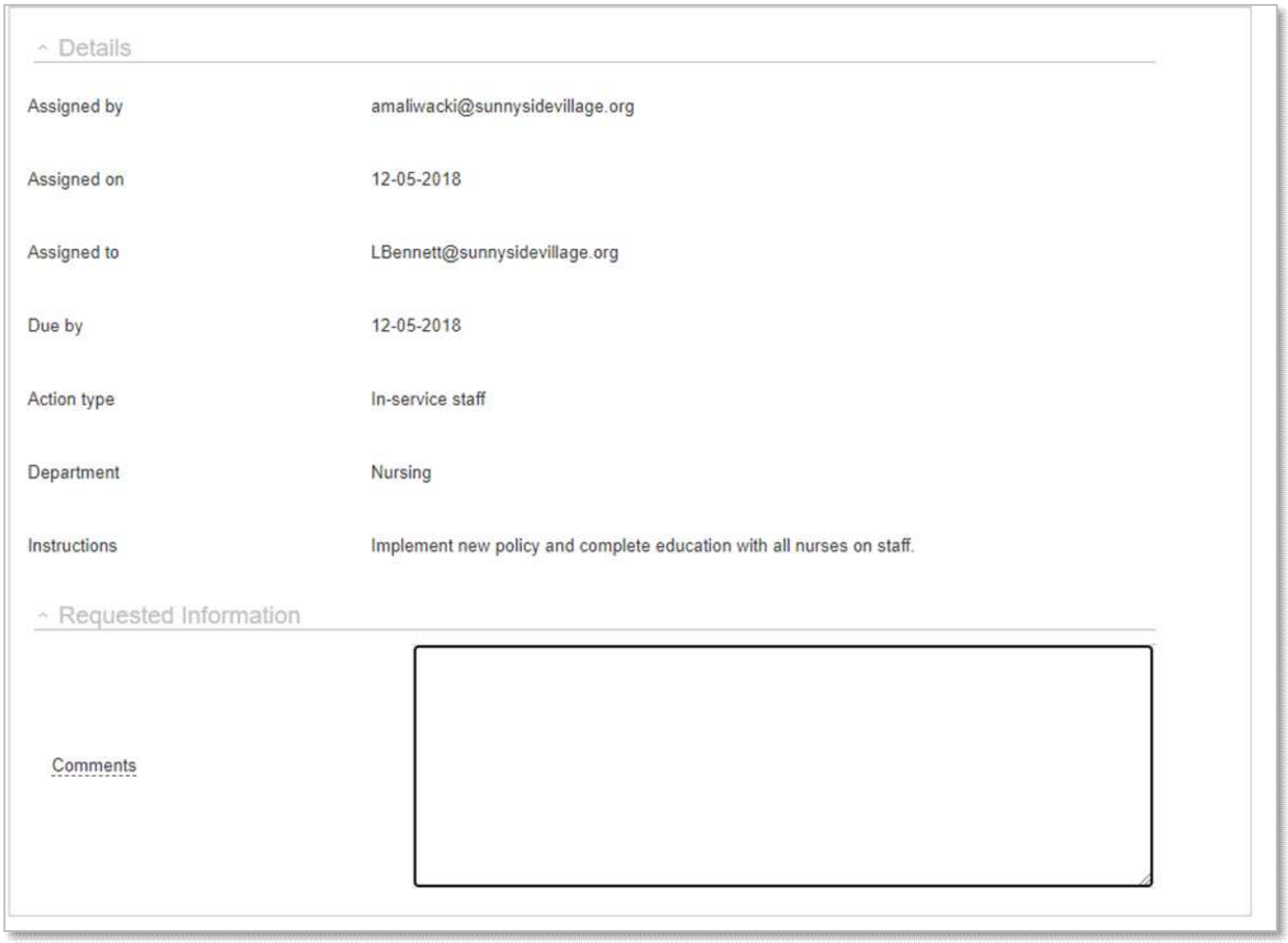
Root Cause	Action Item Instructions	Assigned To	Assignee Comments	Action Item Complete?
The cause of this m...	Implement new policy and complete educ...	LBennett@sunnyside...		Yes
The cause of this m...	Complete education with residents on pol...	LBennett@sunnyside...		Yes

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.