

QUALITY IMPROVEMENT ACTIVITY

SERIOUS INCIDENT ROOT CAUSE ANALYSIS WORKSHEET

Date and Time of Serious Incident: Aug 1, 2010

<p>(1) Summary of incident:</p>	<p>(List type of serious incident and explain what happened. Include who was involved, services impacted, including any outside parties or witnesses, details of the incident, and the outcome/injury)</p> <p>Client, A.N.O.N, committed suicide Friday night at approximately 9:30 PM. Last appointment at clinic Wednesday for meds support, but client missed appointment. Client came in on Friday to see therapist but Receptionist, told client that therapist was on vacation and tried to set up an appointment the following week. No outside parties or witnesses. Client stepped in front of train. Paramedics were called to the scene</p>		
<p>(2) Participants:</p>	<p>(List all the participants by position and title {no names} involved in the root cause analysis and action plan)</p> <table style="width: 100%; border: none;"> <tr> <td style="width: 50%; border: none;"> Program Manager Lead Therapist Director of Clinical Operations Receptionist </td> <td style="width: 50%; border: none;"> Supervisor of Clerical Staff Therapist Doctor </td> </tr> </table>	Program Manager Lead Therapist Director of Clinical Operations Receptionist	Supervisor of Clerical Staff Therapist Doctor
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<p>(3) Systems and Processes:</p>	<p>(Note systems and processes that were analyzed to determine proximate causes)</p> <p style="text-align: center;">List of systems and processes:</p> <table style="width: 100%; border: none;"> <tr> <td style="width: 50%; border: none;"> <input type="checkbox"/> Assessment Process <input type="checkbox"/> Physical Assessment Process <input checked="" type="checkbox"/> Medication Protocols <input checked="" type="checkbox"/> Staffing resources <input type="checkbox"/> Security <input type="checkbox"/> Facility <input type="checkbox"/> Care Coordination <input type="checkbox"/> Availability of information Other: _____ </td> <td style="width: 50%; border: none;"> <input checked="" type="checkbox"/> Risk Assessment Process <input checked="" type="checkbox"/> Reception protocols <input type="checkbox"/> Control of medications, storage, access <input checked="" type="checkbox"/> Staff training <input type="checkbox"/> Policies and Procedures <input type="checkbox"/> Communications with client or family <input type="checkbox"/> Communications among staff </td> </tr> </table>	<input type="checkbox"/> Assessment Process <input type="checkbox"/> Physical Assessment Process <input checked="" type="checkbox"/> Medication Protocols <input checked="" type="checkbox"/> Staffing resources <input type="checkbox"/> Security <input type="checkbox"/> Facility <input type="checkbox"/> Care Coordination <input type="checkbox"/> Availability of information Other: _____	<input checked="" type="checkbox"/> Risk Assessment Process <input checked="" type="checkbox"/> Reception protocols <input type="checkbox"/> Control of medications, storage, access <input checked="" type="checkbox"/> Staff training <input type="checkbox"/> Policies and Procedures <input type="checkbox"/> Communications with client or family <input type="checkbox"/> Communications among staff
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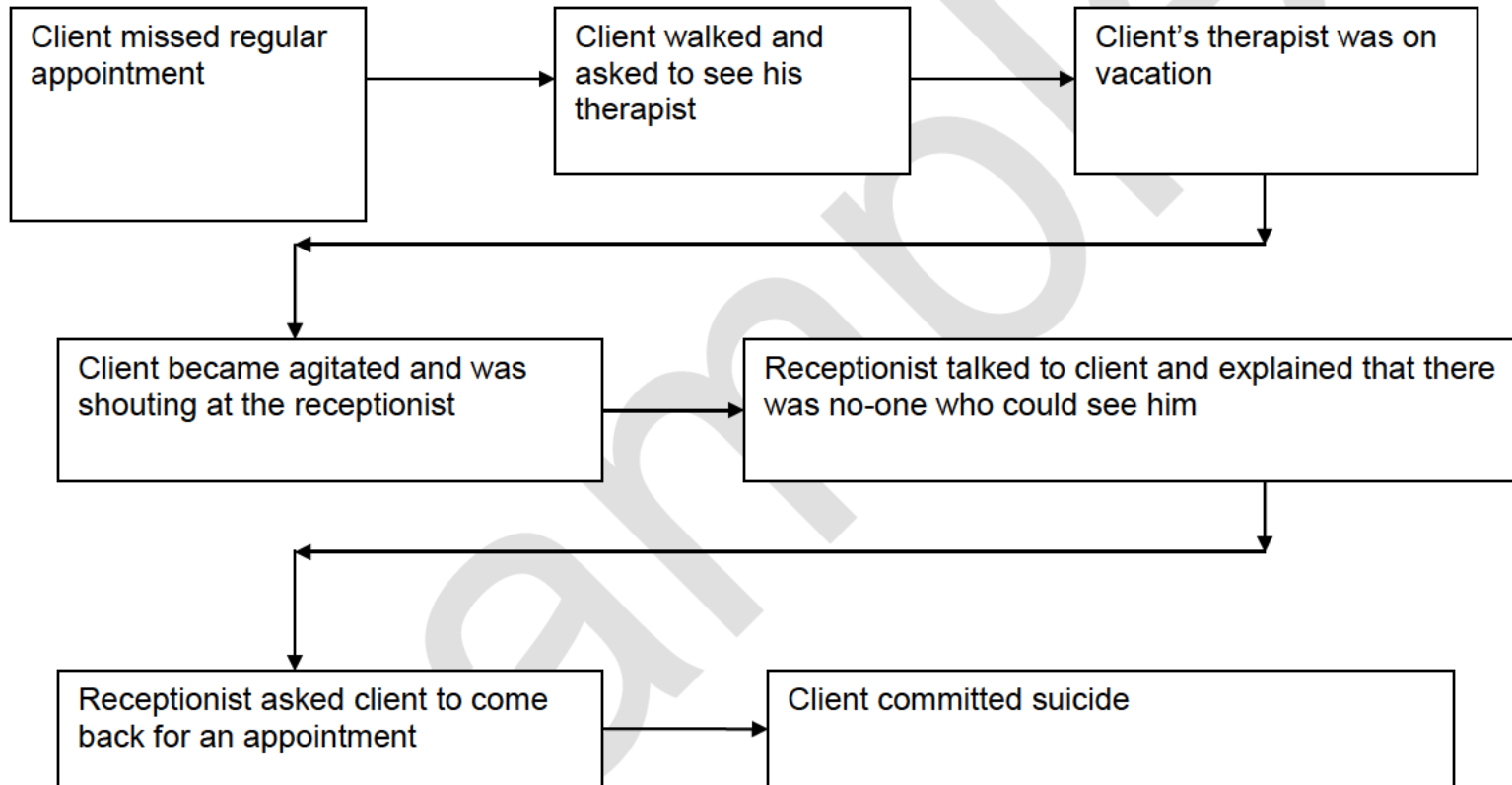
(3) Note each Process to be considered for review and definition	(4) What are the steps in the process as designed? (A workflow diagram is recommended)	(5) Findings	(6) Root Cause?		(7) Take Action?
			Yes	No	
Medication Protocols- Missed Appointment	When a client misses a meds appointment, nurse is to review client record for potential problems with meds	Record was reviewed and protocol for following missed appointment was followed		x	
Reception Protocols- Agitated client	When a client, whose therapist or MD is on vacation or sick, walks in to ask for an urgent appointment reception should contact another therapist to talk with client	Policy is not standardized and there is no current process to have an assigned triage staff on duty.	x		Develop action plan to ensure new policy is drafted and triage process established
Staffing Resources- Therapist on vacation	When a therapist is on vacation a back up system is implemented for all high risk clients	Back up system was implemented, but back up therapist was out sick when client came in.	x		Improve communications (see below)
Risk Assessment Process- High Risk Client	High risk clients are identified and all program staff are aware of potential problems. (see sample workflow)	Process was not followed due to MIS being down.	x		Develop action plan to brainstorm solutions
Staff Training- receptionist	Receptionists shall receive training on how to work with consumers who may be agitated when they come in	Receptionist was not trained as regular trainer is out on maternity leave.	x		Develop action plan to ensure training

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(8) Action Plan		
(a) List of Action Items	(b) Risk reduction strategies	(c) Measures of Effectiveness
Action item 1: Develop action plan to ensure new policy is drafted	Draft new policy about coverage to sick days and vacation days. Train all staff	Track number of clients seen by back up when regular therapist/MD is on vacation or sick. Ask clients how satisfied they were with that services
Action Item 2: Establish triage process	Develop new process for "daily triage duty" assignments	Number of contacts made by staff on daily triage duty Ask consumers if the triage process helped Note # of further incidents after daily triage duty process developed
Action item 3: Develop action plan to brainstorm solutions for communicating about high risk clients that addresses possible MIS outages	Plan a workgroup to meet and brainstorm solutions. Post new processes or protocols for all staff	Number of incidents that occur for clients designated as high risk clients
Action item 4: Develop action plan to ensure training for receptionists on handling difficult situations	Train more staff to be able to provide the training for receptionists Establish a policy that all receptionists must be trained before their first day	Number of difficult situations at the reception area Outcome of difficult situations

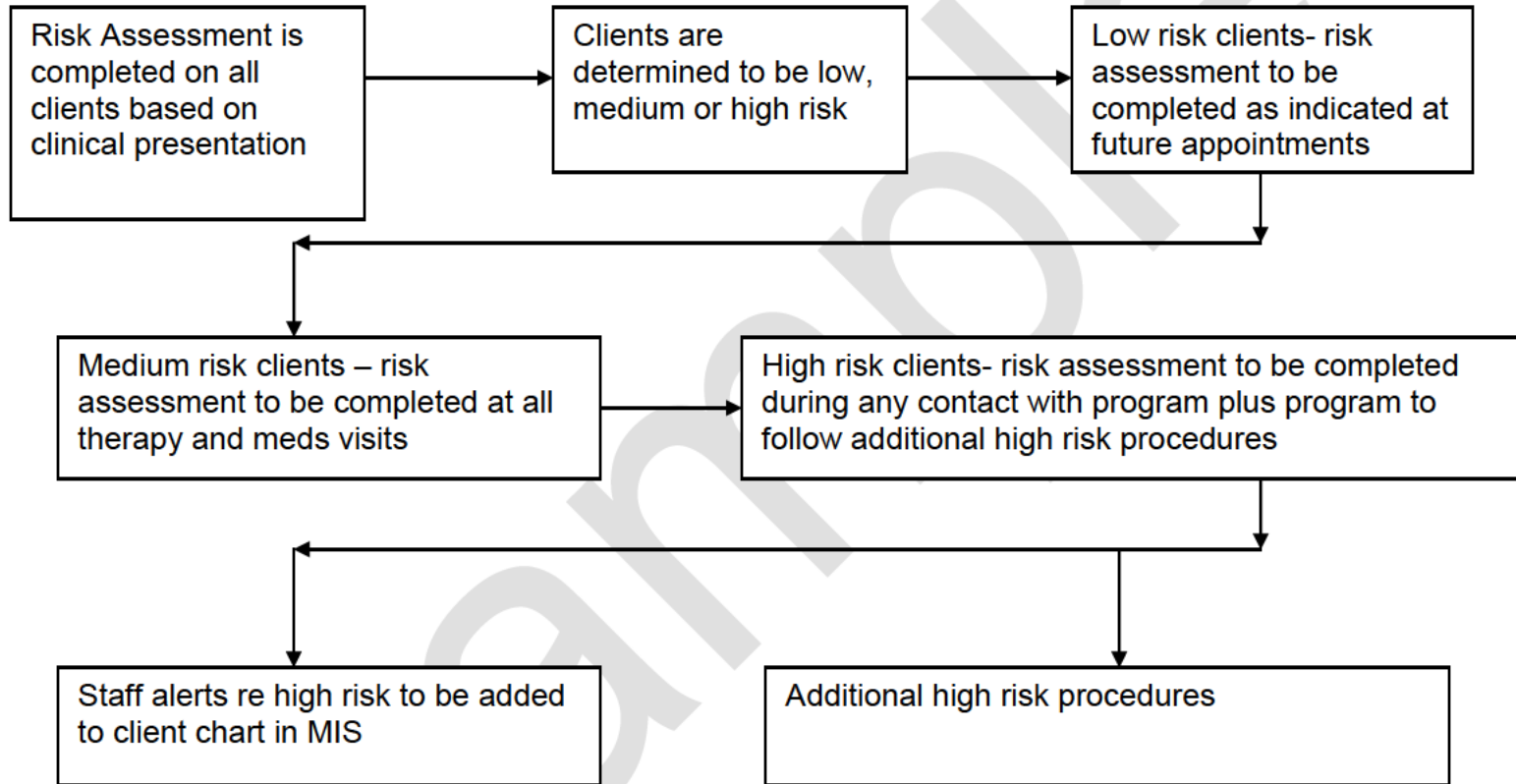
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Workflow for Serious Incident



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Workflow for Risk Assessment Process- High Risk Client



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Fishbone Analysis

