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| Root cause analysis (RCA) review plan template |
| Client incident management system (CIMS) |

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[The following template is intended as a resource to plan activities to undertake a root cause analysis (RCA) review in response to a major impact client incident as required under the client incident management system (CIMS).

An RCA review is a deep-dive analysis to get to the heart of an incident – to find out why and how it happened. RCA is a methodology intended to unveil system and process issues so they can be proactively addressed by the service provider to minimise the risk of the incident reoccurring.

An RCA review is a structured process for identifying the cause(s) and contributing factors of a client incident. It is a process designed to facilitate learning from a complex incident, and to provide the information needed to modify and improve policies, procedures and systems. A separate template is to be used for when a case review is conducted in response to an incident.

An RCA review must be completed within 60 business days of the divisional office endorsing the recommendation to conduct an RCA review in response to a major impact client incident.

The RCA review plan will:

* ensure that the review adopts a person-centred and rights-based approach, and addresses the principles of a good RCA process
* verify the incident and define the problem
* set the scope of the review including analysing critical events, and a plan for analysing causal and contributing factors of the incident
* make sure that the review process is structured and uses recognised analytical methods
* ensure that the review is timely, comprehensive and will meet the requirements of the *Client incident management guide.*

Once the plan has been completed, it must be endorsed by a service provider’s Chief Executive Officer or delegated authority. All documents must be stored in a secure location to protect the privacy of the parties involved and to ensure the integrity of the review is maintained.

The CIMS RCA review plan template should be considered in conjunction with the following CIMS guidance and resources:

* *Client incident management guide*
* *CIMS RCA review report and risk reduction action plan template.*

The text in orange throughout this template serves as a guide and can be deleted.]

# Service details

|  |  |
| --- | --- |
| Organisation name | <Enter organisation name here> |
| Address of service delivery  [As identified in the incident report] | <Enter address of service delivery here> |
| Department Area  [As identified in the incident report] | <Enter Department of Health and Human Services service area  here> |
| Program  [As identified in the incident report] | <Enter program here> |
| Service type  [As identified in the incident report] | <Enter service type here> |

## RCA review manager details

[The RCA review manager is the person responsible for undertaking the RCA. Refer to the *Client incident management guide* for further information regarding roles and responsibilities of the review manager]

|  |  |
| --- | --- |
| Surname / family name | <Enter surname / family name here> |
| Given name | <Enter given name here> |
| Position title | <Enter position title here> |
| Telephone | <Enter telephone here> |
| Email | <Enter email here> |

## RCA reviewer details (only required if an external reviewer is engaged)

[In certain circumstances an organisation may wish to engage the services of an external RCA reviewer to ensure independence and appropriate skills and experience of the reviewer undertaking an RCA. This individual may be from the reporting organisation or a third party. If an external reviewer is engaged by the service provider to undertake the reviewer, an RCA review manager must still be allocated by the service provider to provide oversight of the review process.]

|  |  |
| --- | --- |
| Surname / family name | <Enter surname / family name> |
| Given name | <Enter given name> |
| Position title | <Enter position title> |
| Organisation | <Enter reviewer’s organisation> |
| Telephone | <Enter telephone> |
| Email | <Enter email> |

# Incident summary details

## Incident reference number

|  |
| --- |
| <Enter incident report ID (IRD) here>  [As identified on the incident report] |

## Incident

|  |  |
| --- | --- |
| Date of the incident | <Enter date of the incident here > [DD/MM/YYY] |
| Date the incident disclosed to the service provider | <Enter the date incident was disclosed to the service provider here > [DD/MM/YYY] |
| Brief description of the incident  [As identified in the incident report] | <Enter the details of the incident here > |
| Primary incident type  [As identified in the incident report] | <Enter primary incident type here > |
| Secondary incident type (if required)  [As identified in the incident report] | <Enter secondary incident type here > |

[If there are multiple clients involved in the incident and multiple incident types leading to the RCA review, list all]

## Victoria Police response

|  |  |
| --- | --- |
| Was the incident reported to Victoria Police? | <Enter Yes/ No/NA here> |
| Date of report to Victoria Police | <Enter the date reported to Victoria Police here> [DD/MM/YYY] |
| If the incident was not reported, rationale for not reporting | <Enter rationale for not reporting here> |

If the incident **was** reported to Victoria Police:

|  |  |
| --- | --- |
| Proposed Victoria Police action | <Enter the details of proposed Victoria Police action> |
| What timeframe was provided by Victoria Police to conduct their investigation? | <Victoria Police may choose to make initial inquiries prior to launching an investigation. It is important to follow up regularly to ascertain the status of these inquiries and potential commencement of an investigation> |
| Have Victoria Police agreed to the client, staff or other people being interviewed as part of this RCA review (if required)? | <Enter the details of advice provided by Victorian Police regarding interviews> |

# Root cause analysis (RCA) review approach

## Review period

|  |  |
| --- | --- |
| Proposed review start date | <Enter the proposed review start date here> [DD/MM/YYY] |
| Proposed completion date  [Within 60 business days of the department endorsing the recommendation to conduct an RCA review] | <Enter the proposed review completion date here> [DD/MM/YYY]  [A provisional due date will be provided by the department divisional office upon endorsement of the recommendation to undertake an RCA review in response to a major impact incident] |

## Proposed RCA review methodology

[Refer to Chapter 5 of the *Client incident management guide* for further information regarding RCA review methodology]

### Establishing the review approach

1. Defining the problem

[Provide a more detailed description of the problem to be addressed.

|  |
| --- |
| <Enter the details of the problem here> |

1. Type of review (internal, external or joint between service provider and divisional office) and rationale for this RCA review type.

| RCA Review type | Rationale for RCA review type |
| --- | --- |
| <Enter the type of RCA review here>  [Select from: internal, external, joint investigation] | <Enter the rationale for the RCA review type here> |

1. Outline the scope and objectives of the RCA review

| Scope of RCA review | RCA review objectives |
| --- | --- |
| <Enter the scope of the review here>  [Scope indicates what will/will not be included as part of the review] | <Enter the objectives of the review here> |

1. Human resources required (other than clients/staff/witnesses), including:

* Consultation with experts (if required)
* Other (legal, financial, etc. – if required)

| Description | Timeline |
| --- | --- |
| <Enter the human resources required here>  [For each of the human resources identified provide a rationale for why they will be contacted / consulted.] | <Enter timeline here>  [For each of the human resources identified provide timeline details for when they will be contacted / consulted.] |

1. Tool/s to be used in the identification and analysis of possible factors

| Description | Timeline |
| --- | --- |
| <Critical event map is to be completed to identify and analyse critical events pertaining to the incident>  [An event map is used to identify specific activities that took place in sequence immediately prior to and following an incident. These events should be defined in terms of the time and place where they occurred, who was there, and what each person was doing.] | <Enter timeline here>  [The timeline over which the event map runs might be a matter of minutes, hours or days.] |

1. Tool/s to be used in the identification and analysis of the root cause

| Description |
| --- |
| <Cause and effect chart (Fishbone chart) is to be completed to identify and analyse the critical contributors pertaining to the incident.>  [A cause and effect chart is used to highlight the critical contributors to an incident. It recognises that there is rarely a single cause that gives rise to an incident. It also recognises that to avoid such incidents in the future, a range of measures need to be identified and a variety of actions taken at different points in the system.] |

1. Other lines of enquiry (staff communication book, video-footage, medical reports, case records, prior concerns regarding the client)

| Description |
| --- |
| <Enter any other lines of enquiry to be sought> |

1. Communication strategy to notify clients, staff and others of the review while it is underway

[Note: Confidentiality procedures and protection of the client’s and subject/s of allegation(s) identities must be followed at all stages]

| Description | Timeline |
| --- | --- |
| <Enter the communication strategy here>  [How will each of the key stakeholders involved in the RCA review be kept up to date with the progress and outcome of the RCA review?] | <Enter timeline here>  [For each of the communication steps identified provide timeline details for when they will be conducted, who will be responsible for communicating with each person and when will it be completed.] |

1. Detail the governance, reporting and review arrangements in place to oversee the RCA review

[RCA reviews often include a range of critical events, causes and contributing factors to consider, complex systemic and process issues including Human Resource systems and processes; rostering issues; policies and procedural reviews; protocols (formal and informal); workplace cultural standards and norms; incidents that involve multiple clients/subject(s) of allegation(s); or involve children or persons with mental health concerns, an intellectual disability or cognitive impairment that limit their ability to provide informed consent or an accurate account of the incident. Identify the strategies that will address any risks to the completion of the RCA review within the required timeframe of 60 business days.]

| Description | Timeline |
| --- | --- |
| <Enter the detailed governance, reporting and review arrangements here> | <Enter timeline here>  [For each of the governance, reporting and review arrangements identified provide timeline details for when they will be conducted and completed.] |

### Interviewing and supporting the client

1. Arrangements for interview of the client(s)

[Include consideration of how best to support the client/s to provide their account of the incident, including involvement of a support person, the location of the interview, the age of the client, the gender of the client/interviewer, if the client has mental health concerns, an intellectual disability or cognitive impairment etc.]

| Description | Timeline |
| --- | --- |
| <Enter the arrangements for interviewing clients here, including the details of who will be conducting interviews> | <Enter timeline here>  [For each of the arrangements for interviewing clients identified provide timeline details for when they will be conducted and completed.] |

### Interviewing and supporting staff/other relevant people

[Include considerations of how best to support any staff or other relevant people to participate in the RCA review, including consideration of involvement of a support person and the location of the interview. It is not always possible at the start of an investigation to determine all of the witnesses and the order they will be interviewed. It is recommended that this section be revisited and updated accordingly throughout the RCA review process.]

1. Witnesses/other relevant people to be interviewed and order of interviews (including proposed dates, location and support procedures in place)

| Description | Timeline |
| --- | --- |
| <Enter arrangements to interview witnesses/ other relevant people here> | <Enter timeline here>  [For each of the arrangements to interview witness or other relevant people identified provide timeline details for when they will be conducted and completed.] |

### Gathering and documenting evidence

1. Documentary evidence to be considered by the RCA reviewer

[For example, relevant policy or procedures, staff/client file/s, staff communication book, video surveillance footage, etc.]

| Description | Timeline |
| --- | --- |
| <Enter documents to be reviewed here> | <Enter timeline here>  [For each of the documentary evidence reviews identified provide timeline details for when they will be conducted and completed.] |

1. Arrangements for site visits (including dates and locations)

[In some cases, the RCA reviewer may be required to undertake site visits to assist in the review process. This may include visits to work places or sites where an alleged incident occurred.]

| Description | Timeline |
| --- | --- |
| <Enter site visit details here> | <Enter timeline here>  [For each of the site visits identified provide timeline details for when they will be conducted and completed.] |

1. Arrangements to obtain expert advice

[For example, a forensic medical assessment or a financial assessment]

| Description | Timeline |
| --- | --- |
| <Enter expert advice to be referenced here> | <Enter timeline here>  [For each item of expert advice identified provide timeline details for when they will be conducted and completed.] |

RCA review plan approval

|  |  |
| --- | --- |
| Prepared by | <Enter name of person who prepared RCA review plan (generally the review manager)> |
| Position/title | <Enter position or job title of person who prepared RCA review plan> |
| Conflict of interest declaration: | I declare that I have not had any prior personal involvement in this matter, nor do I have any personal bias or inclination, obligation or loyalty, that would in any way affect my conducting this review; nor any comments or critical analysis that I provide. As the review manager, I have verified that any other staff member involved in conducting the RCA review also does not have a conflict of interest relating to this incident. |
| Signature | <Signature of person who prepared RCA review plan. Electronic signatures are acceptable> |
| Date | <Enter date of above signature> [DD/MM/YYY] |

|  |  |
| --- | --- |
| Approved by  [Service provider’s Chief Executive Officer or delegated authority] | <Enter name of person who approved the RCA review plan> |
| Position/title | <Enter position or job title of person who endorsed RCA review plan> |
| Signature | <Enter signature of person who approved the RCA review plan. Electronic signatures are acceptable> |
| Date | <Enter date of above signature> [DD/MM/YYY] |

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