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| Root cause analysis (RCA) review report & risk reduction action plan |
| Client incident management system (CIMS) |

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[The following template is to be used when completing 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.

There are five principles that underpin how to conduct a root cause analysis:

* focus on systems and processes, not individual performance
* be fair, thorough and efficient
* focus on problem solving and not on assignment of blame
* use recognised analytical methods
* use a scale of effectiveness to develop actions to eliminate or minimise risk.

The purpose of an RCA review report and risk reduction action plan is to provide:

* a comprehensive account and analysis of the RCA review process
* analysis of critical events in the lead up to an incident
* analysis of the root causes of an incident, supporting each one with evidence
* solutions and recommendations to address systemic and process issues underpinning the incident to minimise the risk of the incident reoccurring
* a risk reduction action plan outlining the risks, actions to be taken, who is responsible for each action, when the action is to be taken by, and a measurable performance target.

Once the RCA review report has been completed, it must be endorsed by a service provider’s Chief Executive Officer or delegated authority and submitted to the department divisional office. Submission must occur within 60 business days of the recommendation to conduct the RCA review having been endorsed by the department.

All documents must be stored in a secure location to protect the privacy of the parties involved and to ensure the integrity of the RCA review is maintained.

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

* *Client incident management guide*
* *CIMS RCA review 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]

# Root cause analysis (RCA) review findings

## RCA review period

|  |  |
| --- | --- |
| RCA review start date | <Enter review start date here> |
| RCA completion date  [Within 60 business days of the department endorsing the recommendation to conduct an RCA review.] | <Enter review completion date here>  [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.] |
| Rationale for review period exceeding 60 business days  [If applicable] | <Enter rationale for review period exceeding 60 business days or ‘not applicable’ here> |

## Executive summary

[The purpose of an Executive summary is to facilitate the reader to rapidly become acquainted with a large body of material without having to read all the content. Someone reading this report should have a clear understanding of the key findings and recommendations that emerged from the whole RCA review process by reading this section of the report alone.

Please provide a one to two page Executive summary that summarises the full body of material and key findings from the RCA review.]

|  |
| --- |
| <Enter the Executive summary here> |

## RCA review scope and objectives

|  |
| --- |
| <Enter the scope of the RCA review here> |
| <Enter the objectives of the RCA review here> |

## RCA review methodology

[Provide a brief summary of the approach used to conduct the RCA review.]

|  |
| --- |
| <Enter a summary of how the RCA review was conducted here> |

## Client(s) interviewed

[This section applies to the clients involved in the incident or clients who witnessed the incident. Please address the information outlined below individually for each client interviewed.]

### Client 1

|  |  |
| --- | --- |
| Name of the client interviewed | <Enter the name of the client interviewed here> |
| Name of the person who conducted the interview | <Enter the name of the person who conducted the interview here> |
| Date and location of the interview  [If multiple interviews were conducted, include all dates and locations] | <Enter the date and location of the interview(s) here> |
| Details of the guardian, advocate or key support person present  [If applicable] | <Enter the details of the guardian, advocate or key support person present here> |
| Support mechanisms in place to assist the client with the interview  [For example, whether the interview was audio/video recorded or the nature of the response provided, written/oral etcetera] | <Enter the support mechanisms in place to assist the client here> |
| Brief summary of the client’s statement(s) | <Enter a brief summary of the client’s statement(s) here and attach a full transcript of the client’s statement as an appendix> |

[Copy and paste the Client detail table, if required.]

## Client(s) not interviewed

[Please identify any relevant client(s) not interviewed and provide details as to why they were not interviewed. This section applies to clients impacted by or witness to the incident. Please address the information outlined below individually for each client involved.]

### Client 1

|  |  |
| --- | --- |
| Name of the client who could not be interviewed | <Enter the name of the client who could not be interviewed here> |
| Rationale as to why client/s were not interviewed | <Enter the rationale as to why the client was not interviewed here > |

[Copy and paste the client detail table, if required.]

## Staff members/other relevant persons interviewed

[Please address the information outlined below, individually, for each staff member/other relevant person interviewed. This includes any person who is a witness to the incident or critical events leading up to the incident, etc.]

### Staff member/other relevant person 1

|  |  |
| --- | --- |
| Name of the staff member/other relevant person interviewed | <Enter the name of the staff member/other relevant person interviewed here > |
| Role in the incident  [For example, witnessed the incident or critical event in lead up to incident] | <Enter the role of the staff member/other relevant person in the incident here > |
| Name of the person who conducted interview | <Enter the name of the person who conducted interview here > |
| Date and location of the interview  [If multiple interviews were conducted, include all dates and locations] | <Enter the date and location of the interview here > |
| Name of the guardian, advocate or key support person present  [If applicable] | <Enter the details of the guardian, advocate or key support person present here > |
| Processes associated with how the interview was conducted  [For example, audio/video recorded, the nature of the response provided- written/oral] | <Enter the brief summary of the person’s statement(s) here> |

[Copy and paste the Staff member/other relevant person detail table, if required.]

## Staff members/other relevant persons not interviewed

[Please identify any relevant staff members/other relevant persons who were not interviewed and explain why they did not participate in the interview]

|  |  |
| --- | --- |
| Name of the staff member/other relevant person who were not interviewed | <Enter the name of staff member/other relevant person not interviewed here > |
| Role of the staff member/other relevant person in the incident | <Enter the role of the staff member/other relevant person in the incident here > |
| Rationale as to why staff member/other relevant person was not interviewed | <Enter the rationale as to why the staff member / other relevant person was not interviewed here > |

[Copy and paste the Staff member/other relevant person detail table, if required.]

## Summary of key evidence

### Documentary evidence

[Please provide a description of documentary evidence and the relevance of documents as evidence.]

| Description of evidence | Relevance of evidence |
| --- | --- |
| <Enter a description of the documentary evidence> | <Enter the relevance of the documentary evidence, that is, how the documentary evidence, on the balance of probabilities, substantiates the abuse here> |
|  |  |
|  |  |
|  |  |
|  |  |

[Add additional lines if required.]

## Critical event analysis

[Provide an outline of the critical events in the lead up to and following the incident that were identified and analysed as part of the RCA review. These events should be defined in terms of the time and place where they occurred, who was there, and what each person was doing. The RCA reviewer should clearly articulate why each event is significant in understanding how and why the incident happened. The completed critical event map should also be attached with the RCA review report & risk reduction action plan when it is submitted to the department.]

****Table 1: Measure of Likelihood – Identifies the likelihood of a critical event occurring/reoccurring again in future****

| Likelihood | Description |
| --- | --- |
| Highly likely | Could occur at any time, for example once a week |
| Likely | Will probably occur in most circumstances, (for example once per month) |
| Possible | Might occur at some time, (for example once a year) |
| Unlikely | Could happen at some time, (for example once every three years) |
| Rare | Could happen, but very rarely, (for example once in more than three years) |

Table 2: Measure of Consequence – Identifies the outcome of a critical event again in future

| Description | Example |
| --- | --- |
| Extreme | Cessation of multiple services; death/s; multiple disabling injury of clients; significant adverse media event i.e. Royal Commission, Parliamentary Inquiry |
| Major | Disruption to multiple services; disabling injury to a client; media interest i.e. Coroner’s Inquest |
| Moderate | Disruption to service; multiple injuries to clients; local media concern |
| Low | Minimal disruption to service; minor injury to a client; minimal media interest |
| Negligible | No service disruption; no injury to client or employee; no public concern |

Table 3: Risk analysis matrix – Identifies the risk of a critical event happening again in future\*

This table desribes the risk analysis matrix and two factors of consequence and likelihood
Highly likely likelihood and neglible consequence = medium risk
Likely likelihood and neglible consequence = medium risk
Possible likelihood and neglible consequence = low risk
Unlikely likelihood and neglible consequence = low risk
Rare likelihood and neglible consequence = low risk
Highly likely likelihood and low consequence = high risk
Likely likelihood and low consequence = medium risk
Possible likelihood and low consequence = medium risk
Unlikely likelihood and low consequence = low risk
Rare likelihood and low consequence = low risk
Highly likely likelihood and moderate consequence = high risk
Likely likelihood and moderate consequence = high risk
Possible likelihood and moderate consequence = medium risk
Unlikely likelihood and moderate consequence = medium risk
Rare likelihood and moderate consequence = low risk
Highly likely likelihood and major consequence = critical risk
Likely likelihood and major consequence = high risk
Possible likelihood and major consequence = high risk
Unlikely likelihood and major consequence = medium risk
Rare likelihood and major consequence = medium risk
Highly likely likelihood and extreme consequence = critical risk
Likely likelihood and extremer consequence = critical risk
Possible likelihood and extreme consequence = high risk
Unlikely likelihood and extreme consequence = high risk
Rare likelihood and extreme consequence = high risk





\*The Risk analysis matrix is for suggested use. Organisations may use their own risk matrix variations if preferred.

### Event detail

|  |
| --- |
| <When and where event occurred> |
| <Who was there> |
| <What happened> |
| <Why is this event significant in understanding how and why the incident happened?> |
| <Rating for likelihood of reoccurrence [choose one]: Rare/ Unlikely/ Possible/ Likely/ Highly Likely> |
| <Rating for measure of consequence [choose one]: Negligible/ Low/ Moderate/ Major/ Extreme> |
| <Grading of Event Risk [Use table 3 above]: Critical/ High/ Medium/ Low> |

[Copy and paste the Event detail table, if required, for each critical event.]

## Root cause analysis

[Provide an outline of the root cause(s) of the incident, recognising 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.

For the purposes of CIMS:

* A **cause** is defined as a condition that produces an effect; eliminating a cause(s) will eliminate the effect.

For example: The client used heroin, which caused them to overdose (the effect) and resulted in them being hospitalised.

* A **contributing factor** is defined as a condition that influences the effect, rather than being a cause in and of itself. A contributing factor may increase the likelihood of an event occurring, accelerate the effect, affect the severity of the consequence, and so on. Eliminating a contributing factor(s) will not necessarily eliminate the effect.

For example: The client had not used heroin for one month prior to that. Earlier in the day the client had an argument with another client that resulted in the client feeling highly anxious. This anxiety increased the clients craving for heroin, and the client then proceeded to use it. The argument was a contributing factor of the resulting overdose (the effect) but was not the cause itself.]

### Root cause

|  |
| --- |
| <Reference number> |
| <What was the cause?> |
| <What was the effect (undesirable outcome?)> |
| <Enter causal statement here. This statement should clearly describe the ‘cause and effect’ relationship or clear link between the cause and the undesirable outcome |

[Copy and paste the root cause table, as required, for each cause.]

## Conclusions

[The RCA reviewer should present the conclusions of the RCA review in a way that clearly and succinctly describes:

* what happened? (the incident itself)
* why it happened? (the root causes and corresponding effects underpinning the incident)
* what can be done to prevent the incident or other problems uncovered in the review process from happening again in future?]

|  |
| --- |
| <Enter conclusion statements here> |

## Recommendations

[The RCA reviewer must outline the key recommendations for the service provider to implement based on the conclusions outlined in the prior section, ensuring that any recommendations must take into account the wider system implications of the service provider actually putting them into place.]

|  |  |
| --- | --- |
| Recommendation 1: | <Enter recommendation here> |
| Recommendation 2: | <Enter recommendation here> |
| Recommendation 3: | <Enter recommendation here> |
| Recommendation 4: | <Enter recommendation here> |
| Recommendation 5: | <Enter recommendation here> |

# Risk reduction plan

[A risk reduction action plan is developed from the causal statements of an RCA report. The risk reduction action plan should include a description of:

* RCA reference number (from root cause analysis above)
* who is accountable for ensuring this risk is addressed
* description of identified risk
* what action is to be taken to mitigate reoccurrence
* when is the mitigation action to be initiated or implemented
* what is the target completion date for the determined action (if applicable)
* date for reviewing identified risk to ensure adequate management].

| RCA reference number | Staff member/s accountable | Description of identified risk | Proposed action | Action initiation date | Action completion date | Review date |
| --- | --- | --- | --- | --- | --- | --- |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |

# Root cause analysis review report & risk reduction action plan endorsement

|  |  |
| --- | --- |
| Prepared by | <Enter name of person who prepared the RCA review report & risk reduction action plan (the review manager) here> |
| Position/title | <Enter position or job title of person who prepared the RCA review report & risk reduction action plan here> |
| **Conflict of interest declaration** | As the RCA review manager, 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 review also does not have a conflict of interest relating to this incident. |
| Signature | <Enter signature of person who prepared the RCA review report & risk reduction action plan here> |
| Date | <Enter date of above signature here> [DD/MM/YYY] |

|  |  |
| --- | --- |
| Approved by  [Service provider’s chief executive officer or delegated authority] | <Enter name of person who approved the RCA review report & risk reduction action plan here> |
| Position/title | <Enter position or job title of person who endorsed the RCA review report & risk reduction action plan here> |
| Signature | <Enter signature of person who approved the RCA review report & risk reduction action plan here. Electronic signatures are acceptable> |
| Date | <Enter date of above signature here> [DD/MM/YYY] |

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