



# County of Los Angeles CHIEF EXECUTIVE OFFICE

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<http://ceo.lacounty.gov>

WILLIAM T FUJIOKA  
Chief Executive Officer

March 1, 2010

To: All Department Heads  
From: William T Fujioka  
Chief Executive Officer

Board of Supervisors  
GLORIA MOLINA  
First District  
MARK RIDLEY-THOMAS  
Second District  
ZEV YAROSLAVSKY  
Third District  
DON KNABE  
Fourth District  
MICHAEL D. ANTONOVICH  
Fifth District

## **CORRECTIVE ACTION PLAN/SUMMARY CORRECTIVE ACTION PLAN REVIEW AND PRE-APPROVAL BY RISK MANAGEMENT INSPECTOR GENERAL**

Effective April 1, 2010, the Chief Executive Office (CEO) Risk Management Inspector General (RMIG) will implement a program to pre-approve all Corrective Action Plans (CAPs) and Summary Corrective Action Plans (SCAPs) before the documents are submitted to the Claims Board and/or Board of Supervisors (Board). This includes all tort indemnity settlements over \$20,000 and medical malpractice settlements over \$100,000. The current requirement for development and submission of CAP/SCAPs remains unchanged. A SCAP, and when applicable, a CAP, must be submitted along with the proposed liability settlement to the Claims Board and/or Board for their consideration.

### New Requirements for CAP and SCAP Approval

The department will submit the CAP and/or SCAP to RMIG 30 days prior to the Claims Board meeting and, for cases that are not reviewed by the Claims Board, the CAP/SCAP will be submitted no later than 30 days prior to the Board meeting where the settlement will be presented. However, the CAP/SCAP review by RMIG can occur earlier in the claim process. Without RMIG's pre-approval, the CAP/SCAP will not be reviewed by the Claims Board and/or Board.

The process of investigating adverse events, identifying root causes, selecting and implementing appropriate corrective actions, and monitoring their implementation should start as soon as the department becomes aware of an adverse event. CAPs and SCAPs should be developed well in advance of most settlements.

The CAP/SCAP review by RMIG will consist of an evaluation of the identified root causes and corrective action steps to determine if all applicable root causes are identified and if the recommended CAP steps will mitigate, control, or abate the causal factors. In order to support this initiative, the existing SCAP form has been modified to include a CEO signature box (see attached).

*"To Enrich Lives Through Effective And Caring Service"*

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In the event there is a disagreement with RMIG related to identified root causes and appropriate corrective actions, the department's Risk Management Coordinator can request a technical review of the CAP and/or SCAP by contacting the County Risk Manager no later than ten (10) business days prior to the Claims Board and/or Board meeting where the case will be presented. Requests can be made to:

Steven E. NyBlom, Manager, CEO  
Chief Executive Office  
Risk Management Branch  
3333 Wilshire Boulevard, Suite 820  
Los Angeles, CA 90010

Phone: (213) 351-5346  
Fax: (213) 252-0405  
Email: [snyblom@ceo.lacounty.gov](mailto:snyblom@ceo.lacounty.gov)

If a resolution cannot be reached, the issues will be referred to the appropriate Department Head and Deputy Chief Executive Officer, and/or to my office.

The RMIG review process must be initiated by your department's staff in a timely manner to minimize the potential for the CAP and/or SCAP approval process to impact the timing of the submission of a proposed settlement to the Claims Board and/or Board.

Additional information, including the updated SCAP form, is available on the CEO Risk Management intranet site at: <http://riskmanagement.mylacounty.info>. The CAP/SCAP related information is under the "Risk Management Inspector General" link.

If you have any questions, please have your staff contact Ellen Sandt at (213) 974-1186 or [esandt@ceo.lacounty.gov](mailto:esandt@ceo.lacounty.gov).

WTF:ES  
SN:JS:sg

Attachment

c: Each Supervisor  
Claims Board  
All Deputy Chief Executive Officers  
All Administrative Deputies

Case Name:



## Summary Corrective Action Plan

The intent of this form is to assist departments in writing a corrective action plan summary for attachment to the settlement documents developed for the Board of Supervisors and/or the County of Los Angeles Claims Board. The summary should be a specific overview of the claims/lawsuits' identified root causes and corrective actions (status, time frame, and responsible party). This summary does not replace the Corrective Action Plan form. If there is a question related to confidentiality, please consult County Counsel.

Date of incident/event:	
Briefly provide a description of the incident/event:	

1. Briefly describe the **root cause(s)** of the claim/lawsuit:

2. Briefly describe recommended corrective actions:  
(Include each corrective action, due date, responsible party, and any disciplinary actions if appropriate)

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3. State if the corrective actions are applicable to only your department or other County departments:  
(If unsure, please contact the Chief Executive Office Risk Management Branch for assistance)

- Potentially has Countywide implications.
- Potentially has an implication to other departments (i.e., all human services, all safety departments, or one or more other departments).
- Does not appear to have Countywide or other department(s) implications.

Name: (Risk Management Coordinator)	
Signature:	Date:

Name: (Department Head)	
Signature:	Date:

**Chief Executive Office Risk Management Branch**

Name:	
Signature:	Date:

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