

Summary Corrective Action Plan & Corrective Action Plan (SCAP & CAP)



Los Angeles County Chief Executive Office Risk Management presentation for the conference hosted by the Los Angeles County Sheriff Civilian Oversight Commission on October 28, 2021. This a public document.

Agenda

- Corrective Action Plan (CAP) Policy
- Definition of CAP
- Definition of Summary Corrective Action Plan (SCAP)
- Confidentiality
- SCAP/CAP Process
- Claims Board
- Cluster Meetings
- Board of Supervisors



Corrective Action Plan (CAP) Policy



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Chief Executive Officer

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"To Enrich Lives Through Effective And Caring Service"

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March 08, 2016

The Honorable Board of Supervisors
County of Los Angeles
383 Kenneth Hahn Hall of Administration
500 West Temple Street
Los Angeles, California 90012

Dear Supervisors:

ADOPTED

BOARD OF SUPERVISORS
COUNTY OF LOS ANGELES

13 March 8, 2016

Lori Glasgow
LORI GLASGOW
EXECUTIVE OFFICER

APPROVAL OF REVISED BOARD POLICY NUMBER 8.020 – PROCEDURES FOR INCLUDING CORRECTIVE FOLLOW-UP REPORTS AS PART OF THE CLAIMS SETTLEMENTS PRESENTED TO THE BOARD (ALL DISTRICTS) (3 VOTES)

SUBJECT

The Chief Executive Office (CEO) seeks the Board's approval for revisions made to Board Policy 8.020: Procedures for Including Corrective Follow-Up Reports as Part of the Claims Settlements Presented to the Board.

IT IS RECOMMENDED THAT THE BOARD:

Approve the attached Board of Supervisors Policy Number 8.020, Procedures for Including Corrective Follow-up Reports as Part of the Claims Settlements Presented to the Board (Policy), revised to include modification of the current process for all departments to prepare Corrective Action Plans (CAPs) and Summary Corrective Action Plans (SCAPs) for all proposed tort or tort-like liability settlements.

PURPOSE/JUSTIFICATION OF RECOMMENDED ACTION

The revised Policy was approved by the Audit Committee on December 17, 2015, and language was deleted, added, or modified to accomplish the following:

All departments must prepare a CAP and a SCAP for all proposed tort or tort-like liability settlements in excess of \$100,000 that are presented to the Claims Board or Board of Supervisors, or if required by the CEO.



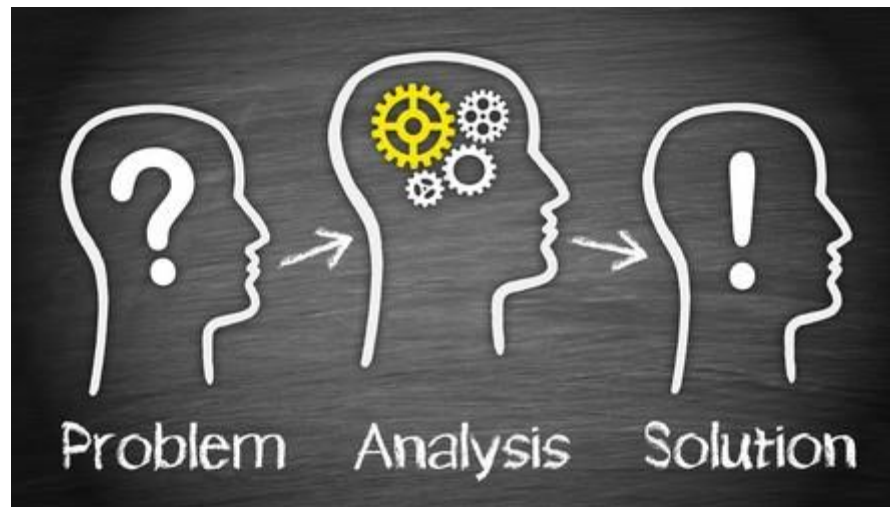
When is a SCAP/CAP Mandatory?

The Board of Supervisors (BOS) ordered the creation of a program to develop, implement, and manage specific Corrective Action Plans (CAPs) and Summary Corrective Action Plans (SCAPs) for tort liability which includes Medical Malpractice claims that result in settlements over \$100,000.




What is a CAP?

A CAP is a Corrective Action Plan where one or more corrective action steps are identified and placed in a formal document in order to correct a problem/incident that has occurred.



What is a SCAP?

A SCAP is a Summary Corrective Action Plan, which is a public document.




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 claim/lawsuit/ 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:	1/1/2010 SAMPLE
Briefly provide a description of the incident/event:	Plaintiff entered a kitchen work area on 1/1/2010 through a back door after working hours and asked to assist and get food. The cook in charge incorrectly assumed Plaintiff was an authorized, trained volunteer worker from the resident population. While walking to get food, Plaintiff fell and cut his head on a counter. The cook witnessed this and said he saw no foreign matter on the floor, but Plaintiff said he saw a small "smear" on the floor after his fall.

1. Briefly describe the root cause of the claim/lawsuit:

<p>Root cause 1: Unauthorized access to work area of kitchen.</p> <ul style="list-style-type: none">a. The kitchen lacked a system for tracking if residents were authorized workers.b. The kitchen lacked physical security for the employee entrances.c. The kitchen lacked signage regarding unauthorized entrances. <p>Root cause 2: Foreign matter on the floor may have contributed to the slip and fall.</p>



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Confidentiality

Are SCAPs & CAPs confidential?

- CAPs are confidential.
- SCAPs are not confidential (except employment cases).



Review of a SCAP/CAP

What is RMIG looking for in a SCAP/CAP?

The Risk Management Inspector General (RMIG) will review the SCAP/CAP to ensure that appropriate corrective actions have been taken and are realistic, obtainable goals which will correct the problem. Discipline, training, and system-wide corrective actions are some of the items RMIG looks for when reviewing a SCAP/CAP.



The SCAP/CAP Process

What happens to a SCAP/CAP once it has been approved by RMIG?

Once approved, RMIG will send the signed SCAP back to the Department who is required to send it to County Counsel. County Counsel will then schedule the Claims Board meeting as well as finalize their Claims Board memo.



Claims Board

What is the Claims Board?

Cases involving settlements between \$20,000 and \$100,000 require the approval of the County Claims Board. For claims with settlement amounts greater than \$100,000, the Claims Board refers such settlements, with a recommendation, to the Board of Supervisors for final action.



Cluster Meetings

What is a Cluster Meeting?

If a claim is over a \$100,000, the claim and CAP will go to the appropriate Cluster meeting which involves in-depth discussions of CAPs and case facts, and at which Board Deputies, Departments, County Counsel, and CEO attend.



Board of Supervisors

When does a CAP go to the Board of Supervisors?

For claims with settlement amounts over a \$100,000, the Claims Board refers such settlements, with a recommendation, to the Board of Supervisors (BOS) for final action. The BOS will then approve or deny the final settlement and CAP/SCAP.



RMIG Approved SCAPs & CAPs

The following table illustrates the number of CAPs completed within 90 days for fiscal year 2019-20:

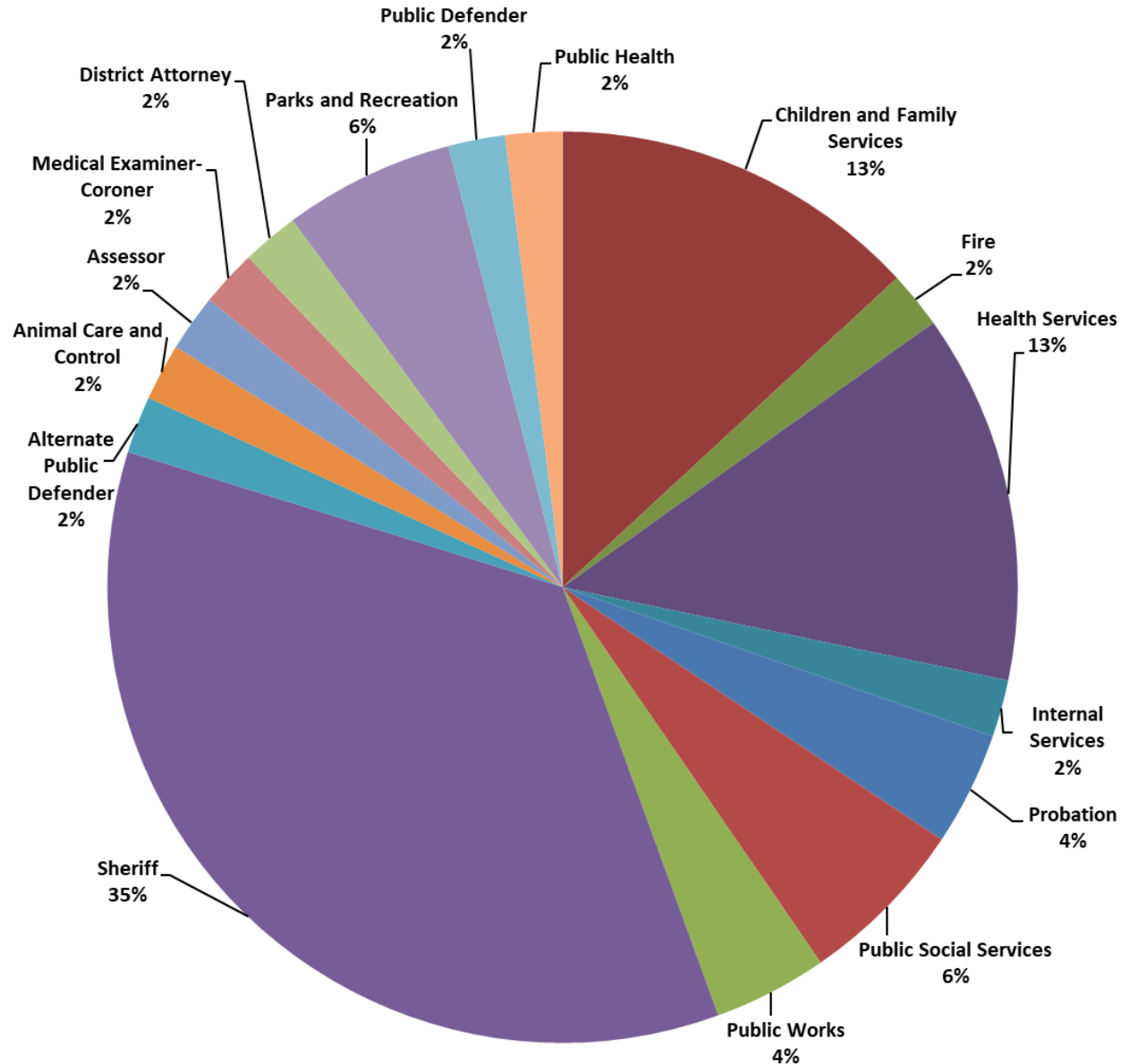
Department	Completed CAPs	Completed CAPs Past the 90-Day Deadline
Alternate Public Defender	1	0
Animal Care and Control	1	0
Assessor	1	0
Auditor Controller	1	0
Children and Family Services	3	0
District Attorney	1	0
Fire	2	0
Health Services	10	0
Internal Services	1	0
Medical Examiner-Coroner	1	0
Mental Health	1	0
Parks and Recreation	2	0
Probation	3	0
Public Defender	2	0
Public Health	1	0
Public Social Services	1	0
Public Works	2	0
Sheriff	28	0
Workforce Development, Aging and Community Services	1	0
TOTAL	63	0



BOS Approved SCAPs & CAPs

**CAPs Approved
During FY 2019-
2020**

Total Number of
Board Approved
CAPs: **48**



Thank you!

Questions?

Contact Information:

Risk Management Inspector General

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(213) 738-2194

<https://riskmanagement.lacounty.gov/risk-management-inspector-general>

