



**A Guide for Investigating Managers and Investigating Teams**  
**10 tips to help you complete the investigation**

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| 1.  | <p>Your locality RCA lead will meet with the investigating manager, normally within 5 working days following the initial incident report. They will also meet with the investigating team, if available. This team should consist of an investigating manager, a medical lead, and a family liaison officer. At this initial meeting:</p> <ul style="list-style-type: none"> <li>• The terms of reference and the proposed / likely timeframe for completion of the investigation will be discussed, let the Safe Services Dept have the details (see tip 4);</li> <li>• The means of initial and ongoing contact with the service user and/ or family will be discussed (you should make contact with them within 10 days of the incident);</li> <li>• Forward dates should be agreed to meet up again during the course of the investigation.</li> </ul> |
| 2.  | <p>When you start the investigation, please use the approved investigation template – this will be given to you by the Safe Services Department. It also has lots of helpful prompts and supporting appendices. For further guidance and information please visit the National Reporting and Learning System website. The website is a good resource for advice on root cause analysis tools and methodology<br/><a href="http://www.nrls.npsa.nhs.uk/resources/?entryid45=59847">http://www.nrls.npsa.nhs.uk/resources/?entryid45=59847</a></p>   |
| 3.  | <p>In the case of the death of a service user, you should assume there will be an inquest and should assist the preparation of this early on, particularly in obtaining witness statements in advance of an inquest being listed, which can be used to inform the findings of the investigation.</p>   |
| 4.  | <p>You will be advised by the Safe Services Department of the date when you need to complete the investigation by. National guidance suggests:</p> <ul style="list-style-type: none"> <li>• Level 1 category B incidents = up to 45 working days following the initial report</li> <li>• Level 2 category A incidents = up to 60 working days following the initial report</li> <li>• Level 3 category A incidents = up to 6 months following the initial report</li> </ul> <p>If you have proposed a longer timeframe, the Complaints and Incidents Team will inform you whether this has been agreed with the commissioner.</p>  |
| 5.  | <p>When conducting an RCA, the Investigation Team should seek to avoid generalisations and use findings of fact only. It is not practical or reasonable to search indefinitely for root causes.</p>  |
| 6.  | <p>Consider the following as part of your investigation:</p> <ul style="list-style-type: none"> <li>• Have there been any similar incidents/ complaints for the same service user / team/ ward?</li> <li>• Has there been any similar learning identified from other investigations?</li> <li>• The results and action plans from the patient safety metrics programme.</li> </ul> <p>The Complaints and Incidents Team can provide you with the above information.</p>  |
| 7.  | <p>You must consider restrictions regarding disclosure – are there any references in the case notes as to whether or not the service user has indicated that they do not want any information passed to others.</p> <p>The Records Manager can provide you with more information 0151 488 7304.</p>  |
| 8.  | <p>You may wish to contact your locality Clinical Audit Co-ordinator to ask if there are any relevant clinical audits that have been undertaken that may provide further information/ findings relevant to the incident/ care delivery.</p>  |
| 9.  | <p>Once you have completed the investigation, the investigation team should share the learning and recommendations with the relevant clinical team/s to identify actions to embed this learning. The Clinical Service Manager should lead this process.</p>  |
| 10. | <p>For further information and support please contact the Complaints and Incidents Team:<br/>Telephone 01244 393139<br/>Email <a href="mailto:incidents@cwps.nhs.uk">incidents@cwps.nhs.uk</a></p>   |