



## White paper

[ antares RiMIS® CIRS - Anonymous reporting system

## [ Introduction

This document serves as a functional description of the CIRS module, which is part of the risk & opportunity management software antares RiMIS®.

Elementary components of this software are an action management and reporting system, as well as a Monte Carlo simulation and risk identification by means of questionnaires. antares RiMIS® was primarily developed

for industry, service and trade, as well as for groups, stock corporations and larger medium-sized companies. The CIRS module is available from version 4.0.

## [ 1. Purpose of the module

A Critical Incident Reporting System (CIRS) is used to record safety-relevant and critical events that can be reported anonymously by any employee of the company. The aim here is to reveal weaknesses in processes and structures, as well as to avoid negative effects through the application of effective measures. The system also helps to improve the quality of operations by reducing errors and learning from experience.

Since the module is designed as an integral part of the antares RiMIS® software, the synergies resulting from this will be shown. The web application running in the web browser provides decentralized access to the system for an unlimited number of users.

## [ 2. Definitions

### Critical Incident Reporting System (CIRS)

The system for recording safety-relevant and critical incidents with the internationally common name CIRS (Critical Incident Reporting System) is based on the realization that there is a numerical correlation between light to serious incidents and near misses. Unwanted events in the company's day-to-day business that, while not without consequences, are perceived as trivial due to their frequency, while nevertheless posing a high risk for the company. By avoiding near misses, the frequency of serious incidents should be reduced. In contrast to classic error analysis, the actual occurrence of damage plays a subordinate role in CIRS.

**The aim:** Improve the quality of operations by avoiding mistakes and learning from mistakes already made. The practical procedure of the antares RiMIS® CIRS is described below. First, some terms are explained in more detail, which are related to the antares RiMIS® CIRS. The CIRS manager refers to one or more persons who manage the reports received.

Risks to a company are defined as events and possible developments, both inside and outside the company, which could have a negative impact on the achievement of the company's objectives.

Risks are 'combinations of the probability of occurrence of a damage and the associated extent of damage' (DIN EN ISO 14971).

An error is a deviation from the normal state, i.e., a rule violation.

Near-misses refer to events in which damage has not occurred despite an error.

### Who reports?

All employees of the company are entitled to report critical incidents in the antares RiMIS® CIRS.

### What is the reporting procedure?

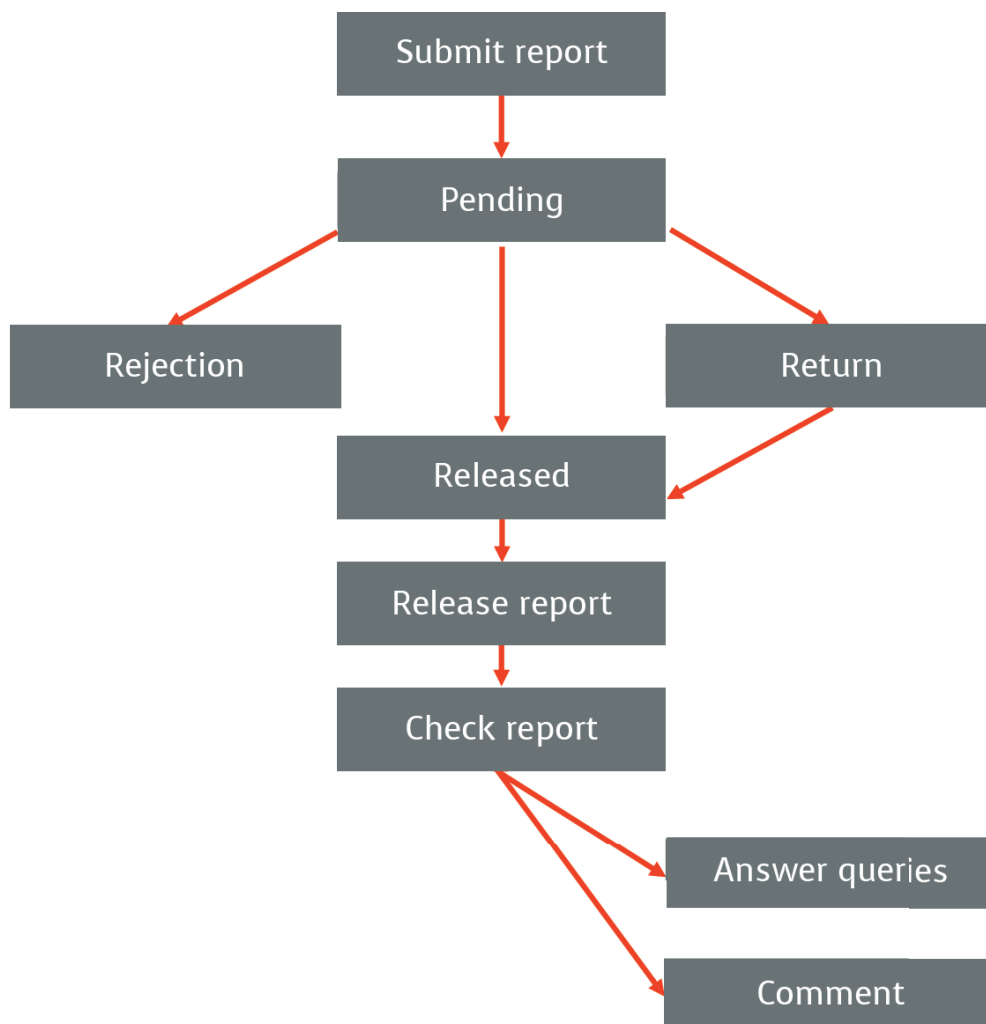
The report, which is entered into the antares RiMIS® CIRS input form, takes about 5 minutes to complete. A report that is as detailed as possible helps other employees gain a better understanding and increases the quality improvement of the operational process.

### [ 3. Functionality

In the following, the functionality of antares RiMIS® CIRS is described schematically and with the help of a diagram, as well as a textual description.

antares RiMIS® CIRS works via the arcplan client on a completely anonymous basis, i.e. login information is not stored. Neither the reporting party, the company, nor the injured party can be traced on the basis of data.

However, complete anonymity cannot be guaranteed. This depends primarily on the size of the company. In smaller companies, reported errors are more likely to be traced back to an employee or colleague than in a corporation. First, the workflow is shown schematically with the help of a diagram.



- The form is filled out by the reporting party. To prevent misuse of this function, the person(s) responsible for CIRS must first decide whether the report should be rejected or released. Only then, and only in the event of approval, is it possible for all employees of the company to view the report and comment on it, if necessary.

### 3.1 The report form

The reporting party fills out the form about the incident anonymously and can already add suggestions for solutions to prevent a recurrence of this event at the same time.

In the following, the fields of the form are explained in more detail:

#### What happened?

Description of what event almost occurred. In this context, various points can be explicitly addressed and an explanation given as to how this incident occurred.

#### What were the consequences of the event?

Description of what consequences the event (would) have had.

#### Possible reasons?

Explanation of the reasons that led to this event. The team, the organization, the distribution of tasks, communication, training and environmental conditions should also be considered.

#### Could the event have been avoided?

Explanation of whether the event could have been avoided. Individual ideas and suggestions for damage prevention can be introduced.

#### Incident day

Selection of the incident date.

#### What factors contributed to the incident?

Selection of up to three different factors that contributed to the occurrence of an event.

#### How often does an error of this type occur?

Choice of different frequency levels that describe how often this event occurs or has occurred.

#### Determine the severity of the error

Specify the severity of the error. It is possible to distinguish between different degrees of severity, e.g., 'medium' can be selected. All fields with the exception of severity are optional fields, which therefore do not need to

be filled in. However, in the interest of quality improvement management, it is recommended that all fields be completed. After successful report creation, the user is assigned a URL. The purpose of this is to establish contact with the reporting party on an anonymous basis.

### 3.2 Report completed

The report has now been completed. A URL becomes visible, which should definitely be saved in the favorites or in an external text file. This URL is used so that the employee can answer any questions that may arise and anonymity can still be guaranteed.

### 3.3 View reports

In antares RiMIS® CIRS, approved reports are listed in tabular form. These reports can all be viewed in a detailed view. antares RiMIS® CIRS allows all employees in the company to submit suggestions for improvement to a report. This takes place absolutely anonymously. The pseudonym is also a voluntary indication. This area of antares RiMIS® CIRS is only accessible to the CIRS manager(s) and is used to manage those reports still to be released and those already released.

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### 4.1 Release reports

The CIRS manager has the opportunity to look at the completed form to decide whether to reject or release the report. If the report is rejected, it is deleted from the table and is not visible to all employees in the company. If the report is to be accepted, it is necessary to specify a title for the report.

The title is selected by the CIRS manager and should be chosen in accordance with the content of the report. It is possible to ask questions about a report. The purpose of queries is to contact the person who made the report.

This is necessary, for example, if the case is particularly critical and more detailed information is required. These queries are also handled anonymously. The CIRS manager can access the queries without the URL, unlike the reporters.

## [ 5. Outlook

antares RiMIS® is constantly being further developed. Numerous suggestions for improvement from customers are incorporated into each new version, and the same applies of course to all extension modules. Further steps in the development of the CIRS module could go in the following direction:

- Statistical evaluation of the degree of severity.

### 4.2 Managing reports

The person responsible for CIRS is able to delete comments in the detailed view of the reports. The answers to the queries can be addressed via the summary table.

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