



# Loss control snapshot and action plan

## Serious and sentinel investigation

During first hours that follow a serious/sentinel healthcare event, many important details can be lost or remain undetected. Using a consistent, methodical approach from the onset of information and evidence gathering is helpful in identifying the contributory and causative factors driving the event.

### Four things to remember

1. Any incident can progress into a legal claim. It is important to approach investigations carefully, to preserve items, information and details that might be important evidence.
2. Before incident investigation begins, human safety must be assured. Physical and psychological safety needs must be considered before conducting a post-occurrence Investigation.
3. Patient and caregiver concerns need to be addressed prior to or in conjunction with the initiation of a serious or sentinel event investigation.
4. This checklist is designed to be used in conjunction with existing organizational policies and procedures.

### THE FIRST HOURS

Action items	Completed	Follow up needed
Notify emergency service personnel in the case of human injury or death.	<input type="checkbox"/>	<input type="checkbox"/>
Ensure that involved persons are safe, accounted for and have received medical attention as needed.	<input type="checkbox"/>	<input type="checkbox"/>
Ensure that the scene of the investigation has been secured and is safe prior to proceeding with incident investigation.	<input type="checkbox"/>	<input type="checkbox"/>
If a criminal investigation is opened, notify legal counsel immediately for assistance. Do not enter or remove any items from the area of the event unless permitted to do so by the appropriate authority.	<input type="checkbox"/>	<input type="checkbox"/>
Cordon off and secure involved buildings or areas, allowing limited and authorized access only. (No visitor or staff entry until permitted by appropriate authority.)	<input type="checkbox"/>	<input type="checkbox"/>
Refer to organization's incident investigation policy/procedure as appropriate and follow notification, chain of command, and incident investigation directions.	<input type="checkbox"/>	<input type="checkbox"/>
Take pictures of the entire incident location, scene and surrounding area. Do not remove or relocate anything at the site of the event unless permitted to do so by the appropriate authority.	<input type="checkbox"/>	<input type="checkbox"/>

### NOTES

THE FIRST HOURS

NOTES

Action items	Completed	Follow up needed
All potentially related machines or equipment at the scene of the incident should be secured and access should be restricted. They should also be held for engineering or other review. (Confer with legal team to determine if internal or external engineering review should occur.)		
<div><div>- Do not return equipment to manufacturer unless released to do by authorized party</div><div>- Do not unplug equipment</div><div>- Do not change settings, move dials or alter equipment in any way</div><div>- Do not take off tubing, disposable pieces or other objects from equipment or medical devices.</div><div>- Retain all disposable Items - tubing, connections, needles, empty medication containers, etc., at the site. (Place in clear plastic or if appropriate, bio hazard bag and label with contents and safety labeling.)</div></div>	<input type="checkbox"/>	<input type="checkbox"/>
Retain all discarded materials, trash and other disposables in a clearly labeled and identified bag.	<input type="checkbox"/>	<input type="checkbox"/>
Secure locked environment to store any evidence, equipment, etc., and with only limited access to one or two individuals.	<input type="checkbox"/>	<input type="checkbox"/>
If incident is clinical, assure that medical record is secured with limited access.	<input type="checkbox"/>	<input type="checkbox"/>
If appropriate, notify all involved clinical staff that the medical record should only be used to record the clinical care given to the patient, all other details should be documented elsewhere.	<input type="checkbox"/>	<input type="checkbox"/>
Determine (with the help of legal counsel if necessary) the existence of any quality improvement, peer review, attorney-client, attorney work product or other privileges that might be asserted to protect information gathered during this investigation.	<input type="checkbox"/>	<input type="checkbox"/>
If a legal privilege such as those noted above, might be asserted, all interested internal persons should be informed of the actions required to preserve the privilege (and protect against accidental waiver of privilege).	<input type="checkbox"/>	<input type="checkbox"/>
All involved persons have documented their observations of the incident on the appropriate organizational documents (such as interview forms or incident reports, etc.).	<input type="checkbox"/>	<input type="checkbox"/>
Determine regulatory, licensing, accrediting or other deemed authorities that must be notified after this type of serious/sentinel event has occurred.	<input type="checkbox"/>	<input type="checkbox"/>
If notification of regulatory, licensing, accrediting or other deemed authorities is required, confer with legal counsel or other appropriate party to determine who will report, what format to use, what information should be included and when the reporting will occur.	<input type="checkbox"/>	<input type="checkbox"/>
Collect written and/or recorded statements of all involved parties pursuant to organizational procedures and/or legal recommendations.	<input type="checkbox"/>	<input type="checkbox"/>
Notify Human Resources and/or other personnel or department(s) as appropriate to assist victims, witnesses or other involved persons if the possibility of emotional trauma exists.	<input type="checkbox"/>	<input type="checkbox"/>

THE FIRST HOURS

Action items	Completed	Follow up needed
Assure that all incident, quality, and other notification forms are completed within 24 hours of the triggering event.	<input type="checkbox"/>	<input type="checkbox"/>
Notify the marketing/communications team if public notification is anticipated so they can prepare for the influx of press and/or other individuals seeking Information.	<input type="checkbox"/>	<input type="checkbox"/>
Maintain all reports, digital recordings and investigational work products in a secured location.	<input type="checkbox"/>	<input type="checkbox"/>
Notify insurance, third party claim administrators or internal claims management department.	<input type="checkbox"/>	<input type="checkbox"/>
Document all completed actions and findings in an appropriate manner as soon as possible upon completion.	<input type="checkbox"/>	<input type="checkbox"/>
Share all findings within the organization (as appropriate) in order to facilitate a thorough and accurate root cause analysis or other quality improvement methodology to prevent future occurrences.	<input type="checkbox"/>	<input type="checkbox"/>

NOTES



QBE NORTH AMERICA

55 Water Street  
New York, NY 10041  
212.422.1212  
qbe.com/us  
 @QBENorthAmerica