



Preparation for New Risk Managers and Peer Reviewers

Initiating an Incident Investigation

Part 2 of a 5-Part Series

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Preparation for New Risk Managers and Peer Reviewers

Part 1: Introduction to Incident Investigations

Part 2: Initiating an Incident Investigation

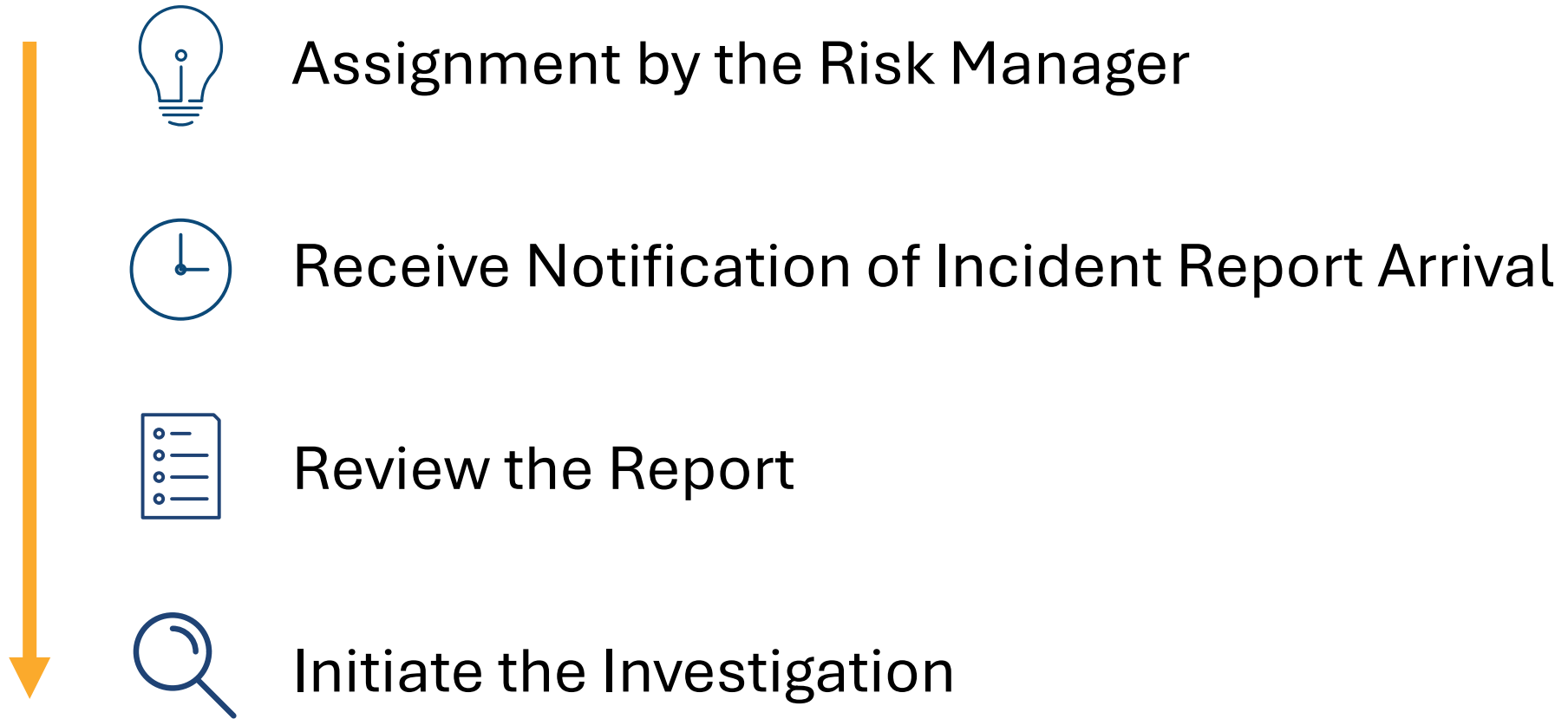
Part 3: Incident Investigation Documentation

Part 4: Determining the SOC within the KS State Risk Management Regulations

Part 5: Creating a Plan of Corrective Action for the Incident

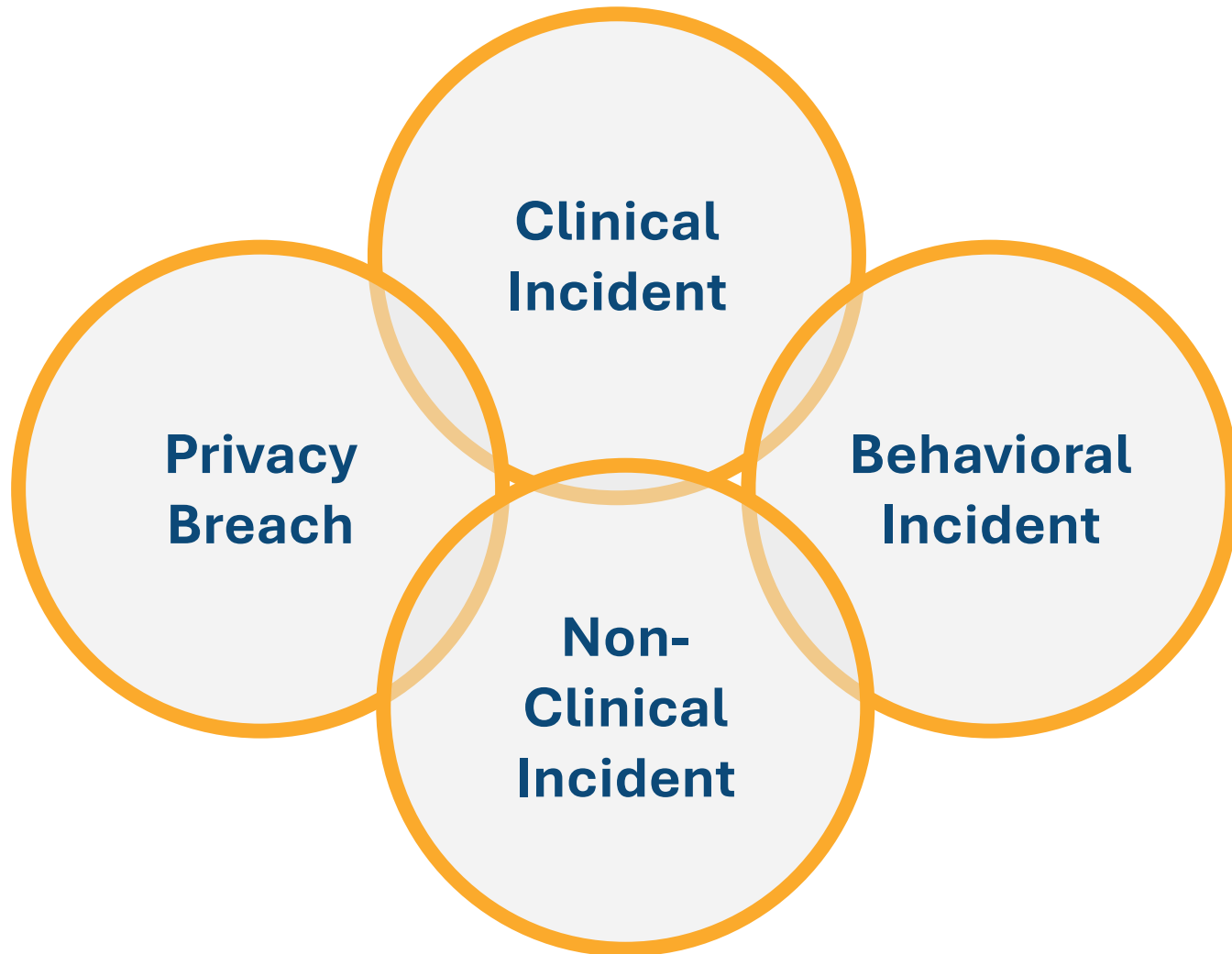
Peer Investigation and Review

Initiating the Investigation



Peer Investigation and Review

Where to Begin Investigating?



Peer Investigation and Review

The Checklist

Actions, suggested resources and action time frames are only recommendations and may vary depending on the nature of the investigation.

Action	Guideline/Instruction
Gather initial facts.	<p>Review incident report or peer review form to determine the what, where, and when of the event.</p> <p>If patient harm occurred determine what actions were taken to prevent further events and/or harm. If no actions have been taken, alert the risk manager or department manager and sequester equipment and/or supplies as necessary.</p>
Gather staff debriefing/ interview results from manager/charge person.	<p>Determine if a staff debriefing or interview was performed by the manager/charge person in the area at the time event occurred.</p> <p>Secure the information under the risk management investigation process.</p>
Plan the investigation process.	<p>Determine what will be needed for the investigation:</p> <ul style="list-style-type: none">• Patient medical record review• Policy & Procedure review• Interviews• Department logs• Department staffing• Admission/Discharge information• Best practice or evidence based practice guidelines,• Research, etc... <p>More information may be needed as the investigation develops.</p>



Peer Investigation and Review

The Checklist - Continued



Perform staff interviews.	<p>Determine who will be interviewed:</p> <ul style="list-style-type: none">• Staff member who filled out report• Staff involved in incident• Witnesses• Patient
Sequester equipment and/or supplies involved in incident.	<p>Determine if equipment and/or supplies contributed to the incident. Remove any equipment and/or supplies from service and place in a secure area.</p> <p>Such items may include:</p> <ul style="list-style-type: none">• Medication vials• Fluids and/or tubing• Disposable products• Bed alarm• Hoyer lift etc... <p>Document per equipment sequester policy.</p>

Confidential Risk Management/Peer Review
NOT PART OF THE MEDICAL RECORD

Peer Investigation and Review

Conducting Staff Interviews

Make a Plan

- Don't fly by the seat of your pants.

Purpose

- Fact Finding

Schedule

- Away from the Work Area
- Allow Enough Time

This is Not a Disciplinary Process



Peer Investigation and Review

Conducting Staff Interviews

Formulate Interview Questions

- Who, What, When, Where, Why, How?

Introductory Questions

- Establish the Staff Member's Role

Phase 1 Questions (*Open Ended*)

- Can you tell me about the incident?
- Who else was present?
- What preceded the incident?
- When did you become involved?
- Where was (patient, manager, supervisor)?
- How would we avoid this happening again?



Peer Investigation and Review

Conducting Staff Interviews

Phase 2 Questions

- Verify the Details

Non-Verbal Communication

- Posture, Eye Contact, Comfort Level

Techniques to Avoid

- Narrow Questioning
- Leading Questions
- Yes or No

Interview Closing

- Reassurance of Confidentiality and that the Interview is Not a Disciplinary Action.



Peer Investigation and Review

Tools

- ☐ Clinical Incident Investigation Checklist
- ☐ Medication (ISMP) Investigation Checklist
- ☐ Fall Investigation Checklist
- ☐ Device Related Investigation Checklist
- ☐ Privacy Breach-HIPAA Investigation Checklist
- ☐ Behavioral Incident Investigation Checklist
- ☐ Non-Clinical Incident Investigation Checklist



Initiating an Incident Investigation

Key Takeaways

- Prepare for the investigation
- Look at more than just the incident report
- You must talk to the people involved in the incident
 - Schedule time away from the work area
 - Make sure they know the conversation is confidential and not disciplinary

Questions?

Feel Free to Reach Out

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Up Next

Part 3: Incident Investigation Documentation

