**Handout 1: Procedure Excerpt 4-07**

**Investigating and Managing Individual NCE Procedure**

1. Procedure (continued)
   1. Classifying Individual Events

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| Step | Directions |
| 1 | Review the contents of the submitted NCE. |
| 2 | Select the appropriate classification using the criteria from Table 1 |
| 3 | Tic-mark the relevant classifications on the form |
| 4 | Select the appropriate risk-based score using the criteria from Table 2 |
| 5 | Write the score on the form |

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| **Table 1: Classification Criteria** | | | |
| **Category** | **Responses** | | |
| Non-lab or Lab | Non-lab – outside of the authority of the laboratory if problems involved personnel, equipment, services, or policies for which the laboratory was not responsible | | |
| Lab – problems involved personnel, equipment, services, or policies for which the laboratory was responsible | | |
| Lab Location | |  | | --- | | Phlebotomy | | Processing (reception and accessioning) | | Hematology | | Biochemistry | | |  | | --- | | Microbiology | | Serology | | Blood Bank | | Histology | | |  | | --- | | Cytology | | Send-outs (referral testing) | | Storeroom | |
| Work Processes Involved | Pre-exam – all procedures from the time the test was ordered until the specimen was delivered to the analytical section | | |
| Exam – analysis of the specimen by automated, semi-automated, or manual methods to produce a result | | |
| Post-exam – all procedures from the time a result was released from the workstation in the laboratory until the provider interpreted the result | | |
| Other | |  | | --- | | LIS (lab information system) problem | | Equipment (includes ancillary) | | Purchasing | | Receiving/delivery | | Waste management | | |  | | --- | | Environmental issue/housekeeping | | Complaint | | Safety/injury | | Reference lab | | |

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| **Table 2: Risk Acceptability Matrix** | | | | | |
|  | **Impact (Severity)** | | | | |
| **Frequency (Probability) of Occurrence** |  | Catastrophic (includes all amended results and sentinel events) | Major | Moderate | Minor |
| Frequent – happens 1/week | 3 | 3 | 2 | 1 |
| Occasional – happens 1/month | 3 | 2 | 1 | 1 |
| Uncommon – happens 1/year | 3 | 2 | 1 | 1 |
| Remote – happens 1/ 2-5 years | 3 | 2 | 1 | 1 |

* 1. Assessing the appropriateness of the proposed correction

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| Step | Directions |
| 1 | ……. |
| 2 | ……… |