SPI/PFI Lead Investigator Checklist

Step 2: Collect Information / Data (CRM)

	Gather Critical Risk Management Data
1	Does this scenario fall under a current Critical Risk?
2	If not, do the work team recommend an additional Critical Risk and associated Critical Controls?
3	Is there a control which could have prevented this incident, that: a. Was absent b. Didn't function as desired, or c. Otherwise didn't deliver?
4	Did the Critical Risk Management process, as implemented by the site, consider this task/scenario and propose Critical Controls?
5	Is a Critical Control listed in the CCC which, if implemented, would have prevented this incident? If yes, why was it not implemented?
6	Did implementing the Critical Control (as interpreted by the work team) either: a. Increase their risk, or b. Not mitigate their risk?
7	Have CCFVs/CCCs been completed for this task? If so, at what frequency? What trends were observed?
8	If CCFVs/CCCs have been completed, did the engagement process identify factors essential to this incident? If yes, what was implemented?
9	Are systemic requirements for CCFVs and CCVSs being achieved in this department/area?
10	Are there challenges to achieving quality CRM verifications?

Abbreviations

• CCC = Critical Control Checklist
• CCFV = Critical Control Field Verification
• CCVS = Critical Control Verification Standard

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