

# SERIOUS SAFETY EVENT CHECKLIST

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## PEOPLE – APPROPRIATE CARE AND SUPPORT

- Resident (Treatment, Plan of Care, Interventions, Emotional Support)
- Family (Information, Involvement [as appropriate], Support, Next Steps, Facility Contact)
- Staff (Support, Understand What Happened and Why, How Did Facility Systems and Processes Fail)
- Are Any Other Residents in Similar Danger?

## COMMUNICATION

- Resident (Provide Facts as You Know Them and Plan of Care – No Opinions, Blame, Accusations or Assumptions)
- Physician (Provide Facts, Resident Status, Current Monitoring)
- Family (Provide Facts as You Know Them and Plan for the Resident – No Opinions, Blame, or Assumptions)
  - Resident and Family Communication is Most Likely More Than One Conversation - Assign Specific Accountability and Responsibility for Resident and Family Communication
- Administrative Team (Resident Status, Next Steps/Plan)
- Corporate Team (As Applicable)
- Care Team – Provide Information Regarding the Resident Plan of Care, Plan for the Care of the Other Residents, and the Facility Contact for Questions; Proactively Manage the Internal Grapevine (Provide Direction to Staff on Communication, e.g., All Questions Regarding the Event Should Be Referred Back to a Facility Contact)

## EVENT MANAGEMENT

- Secure/Preserve all Packaging, Syringes, Tubing (Items Involved in the Event)
- Secure Involved Equipment, Record all Settings and Remove from Service
- Secure Electronic Information (e.g., Security Footage, Call Light Response, Alarm Records)
- Secure Paper Documents (e.g., Staffing Sheets)

## DATA PROTECTION

- Determine How Interview and Investigative Data will be Protected (This Should be Determined in Advance and Outlined in Policy)
  - Quality Assurance/Process Improvement Process – Incident and Investigative Documents Should be Labeled as “Confidential,” “Prepared for the Ongoing Analysis of Quality Assessment and Assurance/Peer Review.” Consult with an Attorney for Facility Specific Language.
  - Attorney-Client Work Product

## REPORTING

- Licensure (State/Federal Serious Event Reporting, as Applicable)
- Police (As Applicable)
- Coroner (As Applicable)
- Insurance Company and Other External Agencies (As Applicable)

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## DOCUMENTATION

- Incident Report Completed – Facts Only, No Opinions, Assumptions or Accusations
- Ensure Event Documentation in the Medical Record is Complete and Clinically Pertinent
- Ensure Ongoing Documentation Reflects Status of Injuries, Effectiveness of Interventions and Resident Response to Interventions Including Pain Response
- Multi-Disciplinary Review of Interventions and Resident Plan of Care
- Care Plan/Service Plan Reviewed and Updated as Appropriate and Per Policy

## QUALITY/FOLLOW-UP INVESTIGATION

- Investigative/Follow-Up Notes Completed
- Determine The “Gap” between Policy and Procedures, Regulations and Actual Practice
- Complete a Root Cause Analysis or Apparent Cause Analysis
- Develop a Sustainable Action Plan

## PREPARE FOR A LICENSURE/STATE SURVEY

- Resident – Appropriate Care and Treatment
- Other Residents are Assessed for Danger with Appropriate Care Plan Interventions
- Action Plans in Place for Identified Safety and Quality Issues

## DISCLOSURE OF ADVERSE OUTCOMES AND APOLOGY

- Develop a Policy and Procedures that Define the Facility Process for Disclosure and Apology
- Mother Standard – People Have a Right to Know About Events That Impacted Their Health and Safety and the Health and Safety of a Family Member
- Tell the Truth; State the Facts – The Impact of an Event Often Increases When Correct Information is not Shared in a Timely Manner
- Have a Specific Plan for Resident Care and Follow-Up Treatment
- Get Back with the Resident and Family When You Say You Will
- Be Empathetic

## PREPARE FOR A MEDIA RESPONSE

- Be Prepared and Responsive
- Be Accountable and Empathetic
- Practice
- Engage a Third-Party Expert (As Applicable)

## SUPPORT STAFF – UNDERSTAND THE IMPACT

- Maintain a Fair and Just Culture
- Monitor for Signs and Symptoms of Acute Distress Related to the Event
- Assess Need for Individual Follow-up (e.g., Employee Assistance Program)

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