

Nursing Home Risk Management Assessment Findings

Department Function	Practices/Findings	Action Needed	RecommendationsAction Plan
Human Resources:			
Hiring process			
Job descriptions			
Orientation process <ul style="list-style-type: none"> Sick leave and time-off policies are addressed, and both are non-punitive and flexible in the event of emergency or pandemic events Self-reporting requirements for personal illness or suspected infectious conditions are reviewed and in writing to staff 			
Staffing <ul style="list-style-type: none"> Regulatory staffing requirements are met Staffing contingency plans accommodate the unexpected event, such as a natural disaster or emergency pandemic conditions 			
Performance evaluations			
Human resource files			
Agency use <ul style="list-style-type: none"> Use of agency personnel during pandemic events is prohibited if the individuals are assigned to more than one facility Agency personnel provide proof of negative testing for reportable contagious conditions before being assigned to work in the event of a pandemic 			

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Confidentiality statements <ul style="list-style-type: none"> • All reports of communicable disease in residents and staff are within the confines of healthcare privacy rights 			
Education and staff development on: <ul style="list-style-type: none"> • Timely risk exposures, including COVID-19 directives • Emergency preparedness measures • Disease containment strategies in pandemic conditions 			
Plans and Committees			
Quality Performance Improvement <ul style="list-style-type: none"> • Strategic review occurs annually of supply chain management processes to ensure the continued operation of supply systems during an emergency or pandemic • Emergency preparedness and pandemic response plans are included in quality assurance and performance improvement activities to improve systems, processes, and protocols 			
Safety <ul style="list-style-type: none"> • National advisories, public health updates and regulatory directives from local, state, and national authorities are routinely reviewed and incorporated into existing safety plans, especially in the event of an emergency or pandemic 			
Risk Management/ Incident Reporting, including: <ul style="list-style-type: none"> • Resident harm/injury related to a pandemic event • Resident and family complaints regarding facility response to emergency conditions or pandemic events 			

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Infection Control (IC) <ul style="list-style-type: none"> • IC program is compliant with guidelines of the Centers for Disease Control and Prevention • Program is under the supervision of infectious disease experts • Staff education addresses the basics of viral/ bacterial pathogen transmission, including COVID-19 exposure • Staff members are trained on the importance of practicing social distancing protocols during a pandemic • Records are maintained of infection surveillance activities and compliance testing of residents and staff with suspected reportable infectious conditions • Staff training encompasses universal precautions, respiratory hygiene practices, hand washing technique and appropriate use of Personal Protective Equipment (PPE) • Available quantities of PPE are secured, including the following items: <ul style="list-style-type: none"> - hand sanitizer - gloves - facemasks and shields - respirators - impermeable gowns - waterproof shoe and boot covers - facial tissues • A record is maintained of all confirmed cases of infectious conditions in staff and residents that are reported to local, state, and federal health departments • IC-related environmental maintenance and cleaning protocols require use of EPA-registered disinfectants, and records are maintained of cleaning activities 			
Preventive Maintenance			

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Nursing Manual			
Administrative Manual			
Resident/Family Council <ul style="list-style-type: none"> Established channels for resident/family communication permit efficient sharing of information during emergency and pandemic situations 			
Medical Director			
Role of medical director established via contract			
Percentage of residents with medical director as attending physician			
Role in quality improvement and peer review			
Specialty appropriate			
Hospital privileges			
Medical Staff/Allied Health Professionals			
Credentialing process			
Contracts			
Admission/Discharge			
Criteria <ul style="list-style-type: none"> Resident pre-admission screening activities include surveillance of active infectious conditions 			

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Assessments <ul style="list-style-type: none"> • Temperature and oxygen saturation readings are completed daily on residents with identified COVID-19 symptoms • Infectious disease testing and results are noted • Physician notification is documented for worsening infectious conditions 			
Care Planning <ul style="list-style-type: none"> • Includes COVID-19 symptomatology and actions taken to address it 			
Transfer policies <ul style="list-style-type: none"> • Written policy addresses the parameters and safeguards for transferring residents with a highly communicable disease 			
Clinical Programs			
Fall/Restraint prevention			
Skin Integrity			
Elopement precautions			
Medication Management			
Pain Management			
Behavior Management			
Bowel & Bladder Training			
Nutrition Management			
Restorative Programs			

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Medical Emergencies			
Additional Clinical Treatments			
Tube Feeding			
IV Therapies			
Dialysis			
TPN			
Tracheotomy			
Ventilators			
Isolation <ul style="list-style-type: none"> Provisions are in place to isolate residents with communicable diseases Residents suspected of having highly contagious infectious conditions are quarantined until cases are confirmed Rationale for resident isolation is documented 			
Home Health Care			
Respite Care			
Medical Records			
On-going audits			
Release protocol policy			
Documentation practice			

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Contract Management			
Maintenance and review process			
Supply chain providers <ul style="list-style-type: none"> Records of supply chain providers are maintained, with back-up sources identified Contracts with supply chain providers include protections against failed delivery or damaged goods 			
Proof of insurance			
Appropriate risk transfer language			
Life Safety			
Hazardous materials management			
Emergency and pandemic preparedness <ul style="list-style-type: none"> Emergency preparedness plan contains provisions to ensure staff, vendors, residents, and families remain informed and updated on directives and actions taken during times of emergency, including but not limited to natural disasters and pandemics Records are maintained of inventory levels for critical supplies, including PPE, along with dates and times of supply orders and receipt A written response plan exists for staff who may have worked with an infectious condition, including identifying potentially exposed residents and co-workers Work restriction policies and return-to-work protocols are in place in the event of a pandemic Resident group activities are modified or cancelled, to accommodate social distancing requirements during a pandemic? 			

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Direct care			
Facility access <ul style="list-style-type: none"> • Written protocols direct facility visitation or restrictions, especially in the event of an emergency or pandemic • Access controls are in use to monitor and restrict the flow of pedestrian traffic in and out of the facility, and records of facility access are maintained • Access is denied to visitors and personnel if they have a fever or symptoms consistent with an infectious condition, such as COVID-19 • Signage is posted at all entrances for contract service providers and visitors that imparts information about current visitation policies or restrictions • One central point of entry to the facility is designated in the event of an emergency or pandemic, to facilitate disease surveillance screening, if applicable, and enforce visitation restrictions? 			
Additional Services			
Beauty Salon/Barber			
Child Care			
Pet Therapy			

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