

Preventative Action Checklist

The following steps will assist you to develop preventative actions in response to a report of a special incident. The steps on the left are intended to guide you through the process. The strategies on the right are suggested guidelines for completing each step. The strategies are generic. Not all will be applicable in every situation. Strategies should be coded Y = Yes; N = No; NA = Not Applicable.

Steps	Strategies
Does the action address the cause of the incident?	<input type="checkbox"/> Have all "who", "what", "when", and "where" questions been answered? <input type="checkbox"/> Does the incident description adequately depict what happened? <input type="checkbox"/> Could the incident occur again? <input type="checkbox"/> Is more than one explanation possible for what could have happened? (Don't draw conclusions about what happened.)
Have prior data and documentation been analyzed to determine possible contributing factors?	<input type="checkbox"/> Has there been a record review? <input type="checkbox"/> Has there been documented deterioration in skills, sleep or eating disturbances, or medication changes? <input type="checkbox"/> Has there been a change in events, stressors, and/or noise levels? <input type="checkbox"/> Has the person been a victim of abuse/neglect? <input type="checkbox"/> Can you identify patterns (employees, place, times of day, setting conditions, other consumers, etc.)? <input type="checkbox"/> Have environmental issues been identified and corrected?
Does the preventative action plan include specific actions?	<input type="checkbox"/> Is it measurable? <input type="checkbox"/> Are timelines for preventative action included? <input type="checkbox"/> Does the preventative action plan include the responsible person(s) and actions needed by each?
Are the preventative actions doable?	<input type="checkbox"/> Are noted actions within the control of the service coordinator, regional center, and/or provider? <input type="checkbox"/> Are resources available? <input type="checkbox"/> Does the responsible person have authority to implement prescribed actions?
Can it be monitored?	<input type="checkbox"/> Is there a clear and objective system in place to monitor the implementation and effectiveness of the preventative action plan?
If the preventative actions are implemented effectively, will recurrence of the incident be prevented?	<input type="checkbox"/> Have past preventative actions been effective in reducing risk? <input type="checkbox"/> Have all elements of previous preventative action plans been implemented?
If the incident was linked to a medical issue, is medical or clinical assessment or follow-up needed?	<input type="checkbox"/> Was it completed? <input type="checkbox"/> Was it documented?
If the incident was linked to a behavioral issue, does the person(s) involved have a behavior plan?	<input type="checkbox"/> If no, is one needed? <input type="checkbox"/> If yes, has it been reviewed to determine continued effectiveness? <input type="checkbox"/> Was it implemented effectively?
If the incident was linked to an environmental factor, was the issue rectified?	<input type="checkbox"/> Was the action implemented and documented?
If the incident was linked to a programmatic issue, has the person responsible for the training program been notified?	<input type="checkbox"/> Has the program been reviewed and revised as necessary? <input type="checkbox"/> Are any revisions documented?