

COVID-19 Response Self-Assessment

The following self-assessment tool may help you prepare for a medical professional claim involving your organization’s response to the COVID-19 pandemic. It’s difficult to predict the types of claims that could arise from how an organization responded to COVID-19. Allegations could include negligent management of chronic or acute medical conditions during the deferment of elective surgeries, procedures, or outpatient appointments. Depending on whether legal immunity exists, a patient may allege that an organization’s negligent COVID-19 management resulted in contraction of the disease.

This tool is not all-inclusive and is not intended to address all possible allegations.

	Yes	No	N/A
Did you document the date, patient name, and date of birth of the first COVID-19 case diagnosed at the facility?			
Communication			
Are critical COVID-19 communications to staff members, patients, and families documented, including dates and description of communication? Critical communications include all emails, newsletters, memos, and press releases related to COVID-19.			
Are critical COVID-19 communications or guidance to or from federal, state, and local agencies documented, including dates and description of communication? Critical communications may include immunity orders and COVID-19 case reporting.			
Are examples or photos of COVID-19 signage maintained?			
Are all COVID-19 social media platform posts, advertisements, and/or marketing materials maintained?			
Are COVID-19 voicemail recordings maintained?			
Are all complaints related to COVID-19 documented and maintained? These can include complaints from patients, visitors, employees, vendors, and healthcare personnel internal and external to the organization.			
Federal, State, and Local Closures and Reopenings			
Are beginning and ending dates documented for the following?			
• State of emergency.			
• Shelter in place.			
• Phase 1 reopening.			
• Phase 2 reopening.			
• Phase 3 reopening.			
COVID-19 Testing			
Are beginning and ending dates documented for the following?			
• On-site testing.			

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<ul style="list-style-type: none"> Alternative site testing (including specific information about the site, e.g., drive-through testing). 			
<ul style="list-style-type: none"> COVID-19 surge(s). 			
<ul style="list-style-type: none"> Are testing types documented and maintained? 			
<ul style="list-style-type: none"> If subcontractors are hired to do staff testing, is the contract maintained? 			
Equipment/Capacity/Patient Care Issues (list each specific issue)			
Are beginning and ending dates documented for the following?			
<ul style="list-style-type: none"> N-95 mask shortage(s). 			
<ul style="list-style-type: none"> Gown shortage(s). 			
<ul style="list-style-type: none"> Glove shortage(s). 			
<ul style="list-style-type: none"> Antiseptic wipe shortage(s). 			
<ul style="list-style-type: none"> Hand sanitizer shortage(s). 			
<ul style="list-style-type: none"> Ventilator shortage(s). 			
<ul style="list-style-type: none"> ICU bed shortage(s). 			
<ul style="list-style-type: none"> Testing supply shortage(s). 			
<ul style="list-style-type: none"> Lab supply shortage(s). 			
<ul style="list-style-type: none"> Rationing (each item listed separately). 			
Are outbreaks investigated and documented?			
Supplies			
Are the following maintained?			
<ul style="list-style-type: none"> Supply inventory checklists. 			
<ul style="list-style-type: none"> Supply invoices. 			
<ul style="list-style-type: none"> Denied or delayed supply chain orders and responses. 			
Staffing			
Are beginning and ending dates documented for the following?			
<ul style="list-style-type: none"> Staffing shortage(s) – describe specific shortage. 			
<ul style="list-style-type: none"> Staff reallocation(s) – describe specific reallocation(s). 			
<ul style="list-style-type: none"> Staff furlough(s) – describe specific staff members furloughed. 			
COVID-19 Screening (list each specific screening question asked for patients and employees)			
Are beginning and ending dates documented for the following for both patients and staff members?			
<ul style="list-style-type: none"> Travel to China (including time frame). 			
<ul style="list-style-type: none"> Travel outside the US (including time frame). 			
<ul style="list-style-type: none"> Travel to US hot spots (including time frame and specific state or location). 			

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• Travel on a cruise ship (including time frame).			
• Exposure to someone with COVID-19.			
• Cough.			
• Shortness of breath or difficulty breathing.			
• Fever.			
• Chills.			
• Muscle pain.			
• Sore throat.			
• New loss of taste or smell.			
COVID-19 Precautions Implemented (list each specific precaution taken)			
Are beginning and ending dates documented for the following?			
• Staff screening.			
• Elective surgeries prohibited.			
• Telehealth encouraged for clinically appropriate patient visits.			
• Separate COVID-19 unit created.			
• Visitors prohibited or limited.			
• Face mask required for all patients.			
• Temperature taken upon entry.			
Is documentation maintained of new technology implemented to communicate with patients/family/staff members (for example, texting software to notify families when a patient is out of surgery)?			
Are protocols maintained for prohibiting or limiting visitors? Are there any exceptions to the protocol?			
COVID-19 Meetings			
Are meeting minutes maintained that include dates, names, and positions of those in attendance for the following?			
• COVID-19 Task Force.			
• Infection control/prevention.			
• Staff meetings.			
COVID-19 Training			
Are training records maintained that include dates, names, positions, and content for the following?			
• Observing and documenting a patient's condition for COVID-19 symptoms.			
• Reporting and documenting changes in a COVID-19 patient's condition.			
• Infection control/prevention, including isolation precautions and cohorting COVID patients.			

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	Yes	No	N/A
<ul style="list-style-type: none">• Management of patients with respiratory illnesses or infectious diseases.			
<ul style="list-style-type: none">• Orientation or training provided to staff members reallocated because of COVID-19.			

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This document is a work product of Coverys' Risk Management Department. This information is intended to provide general guidelines for risk management. It is not intended and should not be construed as legal or medical advice. Your organization should add to and modify this tool to address the compliance standards and regulations applicable in your state or organization.

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