North Carolina Board of Nursing (NCBON)
COMPLAINT EVALUATION TOOL (CET)

Allegation(s): ___________________________________________      Licensee Name: _______________________________________________

<table>
<thead>
<tr>
<th>Criteria</th>
<th>Human Error</th>
<th>At Risk Behavior</th>
<th>Reckless Behavior</th>
<th>Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>G General Nursing Practice</td>
<td>No prior written counseling for practice issues.</td>
<td>Prior written counseling for single non-related practice issue within last 12 months.</td>
<td>Prior written counseling for single related practice issue within last 12 months.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Prior written counseling for single non-related practice issue within last 12 months.</td>
<td>Prior written counseling for various practice issues within the last 12 months.</td>
<td>Prior written counseling for same practice issue within last 6 months with minimal to no evidence of improvement</td>
<td></td>
</tr>
<tr>
<td>U Understanding / level of experience</td>
<td>Has knowledge, skills, and ability. Incident was accidental, inadvertent or oversight.</td>
<td>Limited understanding of correct procedure. May be novice &lt; 6 months experience in nursing or with current event / activity.</td>
<td>Aware of correct action / rationale but failed to apply in this incident. Did not obtain sufficient information or utilize resources before acting. May be competent &gt; 2 years experience in nursing or with current event / activity.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Policy / standard / order has not been enforced as evidenced by cultural norm (common deviation of staff) or policy / standard / order was misinterpreted.</td>
<td>Policy / standard / order clear but nurse deviated in this instance as a time saver. Failed to identify potential risk for client. No evidence of pattern.</td>
<td>Intentionally disregarded policy / standard / order for own personal gain.</td>
<td></td>
</tr>
<tr>
<td>I Internal policies / standards / orders</td>
<td>Unintentional breach or no policy / standard / order exists.</td>
<td>Policy / standard / order but ignored or disregarded to achieve perceived expectations of management, client, or others. Failed to utilize resources appropriately. May indicate a pattern.</td>
<td>Intentionally disregard of policy / standard / order with understanding of negative consequences for the client.</td>
<td></td>
</tr>
<tr>
<td>D Decision / choice</td>
<td>Accidental / mistake/ inadvertent error.</td>
<td>Non-emergent situation. Chose to act / not act because perceived advantage to client outweighed the risk.</td>
<td>Emergent or non-emergent situation. Chose to act / not to act without weighing options or utilizing resources. Used poor judgment.</td>
<td></td>
</tr>
<tr>
<td>E Ethics / credibility / accountability</td>
<td>Identified own error and self reported. Honest and remorseful.</td>
<td>Reluctantly admitted to error but attributed to circumstances to justify action / inaction. Cooperative during investigation and demonstrated acceptance of performance improvement plan.</td>
<td>Denied responsibility until confronted with evidence. Blamed others or made excuses for action / inaction. Failed to see significance of error. Reluctantly accepted responsibility and denied need for corrective action.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Denied responsibility despite evidence. Indifferent to situation. Uncooperative, insubordinate and / or dishonest during investigation.</td>
<td>Denied responsibility despite evidence. Indifferent to situation. Uncooperative, insubordinate and / or dishonest during investigation.</td>
<td>Took active steps to conceal error or failed to disclose known error. Provided misleading information during investigation or destroyed evidence. May have inappropriately confronted others regarding investigation.</td>
<td></td>
</tr>
</tbody>
</table>

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## North Carolina Board of Nursing (NCBON)
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#### Mitigating Factors - check all identified
- Communication breakdown (multiple handoffs, change of shift, language barriers)
- Limited or unavailable resources (inadequate supplies / equipment)
- Interruptions / chaotic environment / emergencies – frequent interruptions / distractions
- Worked in excess of 12 hours in 24 / or 60 hours in 40 to meet agency needs
- High Work volume / staffing issues
- Policies / procedures unclear
- Performance evaluations have been above average
- Insufficient orientation / training
- Client factors (combative / agitated, cognitively impaired, threatening)
- Non-supportive environment – interdepartmental conflicts
- Lack of response by other departments / providers
- Other (identify)

#### Aggravating Factors - check all identified
- Took advantage of leadership position
- Especially heinous, cruel, and / or violent act
- Knowingly created risk for more than one client
- Threatening / bullying behaviors
- Disciplinary action (practice related issues) in previous 13 – 24 months
- Vulnerable client: geriatric, pediatric, mentally / physically challenged, sedated
- Worked in excess of 12 hours in 24 / or 60 hours in 40 to meet personal needs
- Other (identify)

<table>
<thead>
<tr>
<th>Criteria Score from page 1</th>
<th>No Board Contact Required</th>
<th>Board Consultation Required</th>
<th>Board Report Required</th>
</tr>
</thead>
<tbody>
<tr>
<td>Contact with NCBON is not required if:</td>
<td>Consult with NCBON if:</td>
<td>Consult with NCBON if:</td>
<td>Mandatory report to NCBON if:</td>
</tr>
<tr>
<td>o 3 or more criteria in green OR</td>
<td>o 3 or more criteria in yellow OR</td>
<td>o 2 or more criteria in red OR</td>
<td>o 2 or more criteria in red OR</td>
</tr>
<tr>
<td>o Criteria score of 6 or less</td>
<td>o Criteria score 7 – 15</td>
<td>o Criteria score 16 or more OR</td>
<td>o Incident involves fraud, theft, drug abuse, diversion, sexual misconduct, mental / physical impairment.</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Go to website: (<a href="http://www.ncbon.com">www.ncbon.com</a>)</td>
</tr>
</tbody>
</table>

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CET Completed by:  
Facility Name:  
Contact Number & Email address:  
Date of Consultation with NCBON  
NCBON Consultant:  
Action Taken:  

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