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## **Classifying Adverse Events in the Dental Office**

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#### Abstract

**Background**—Dentists strive to provide safe and effective oral healthcare. However, some patients may encounter an adverse event (AE) defined as "unnecessary harm due to dental treatment". In this research we propose and evaluate two systems for categorizing the type and severity of AEs encountered at the dental office.

**Methods**—Several existing medical AE type and severity classification systems were reviewed and adapted for dentistry. Using data collected in prior work, two initial dental AE type and severity classification systems were developed. Eight independent reviewers performed focused chart reviews and AEs identified were used to evaluate and modify these newly developed classifications.

**Results**—958 charts were independently reviewed. Among the reviewed charts, 118 prospective AE's were found and 101 (85.6%) were verified as AEs through a consensus process. At the end of the study, a final AE Type classification comprising 12 categories, and an AE severity classification comprising 7 categories emerged. Pain and infection were the most common AE types representing 75% of the cases reviewed (55% and 17% respectively) and 88% were found to cause temporary, moderate to severe harm to the patient.

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**Conclusions**—AEs found during the chart review process were successfully classified using the novel dental AE type and severity classifications. Understanding the type of AEs and their severity are important steps if we are to learn from and prevent patient harm in the dental office.

#### Keywords

Adverse Event; Dentistry; Classification; Severity; Harm; Quality; Learning Organization

#### INTRODUCTION

Dentists, as doctors of oral health, oversee clinical teams to ensure the delivery of "safe and effective oral care".<sup>1</sup> Emerging scientific literature<sup>2–11</sup> however, suggest that dental patients experience a significant number of adverse events (AEs) or unnecessary harm while receiving dental care, such as, tooth crown ingestion or aspiration, wrong tooth extraction, or unexpected severe and prolonged pain after molar extractions. Providing safe oral care implies reducing the risk of inflicting unnecessary harm to the dental patient to an acceptable minimum.<sup>7</sup> Harm refers to any "impairment of structure or function of the body and/or any deleterious effect arising there from".<sup>12</sup> The patient safety paradigm<sup>13</sup> starts with the proper identification and assessment of AEs in a professional culture open to learning from mistakes.<sup>14</sup> The Agency for Healthcare Research and Quality (AHRO) developed a detailed patient safety initiative with a goal to "have a positive impact on patient safety by providing knowledge and tools to understand medical errors and to create solutions that mitigate or eliminate harm to patients suffered as a result of health care."<sup>13</sup> To the best of our knowledge, specific dental-related patient safety metrics are yet to be developed. In order to fill this gap, the authors obtained grant funding (NIDCR 1R01DE022628-01A1) to develop a patient safety initiative for dentistry.

In addition, other healthcare industries such as the pharmaceutical and medical device research industries have mandatory reporting requirements for clinical research. When AEs occur, they systematically document the seriousness of the AE (level of harm), its impact on enrolled participants, and its association with a study related device, drug, or procedure. This enables the identification of the various contributing factors and allows for the creation and dissemination of recommendations for systems changes.<sup>15</sup> By contrast, clinical dentistry does not have any such mandatory reporting requirements for AEs, and if we did, there would be no standardized format for reporting these events. A dental AE classification system would help to better organize and communicate about the types of harm in the dental office. It would provide insights into their prevention, elimination and/or the mitigation of their effects. The impact of AEs is also not equal, some cause greater harm than others, therefore, a standardized severity rating is needed to understand the extent of damage caused by AEs. In the absence of any precursory dental-specific metrics and tools, we turned to systems developed by the medical profession for classifying, assessing severity and reporting AEs.

The National Cancer Institute's (NCI) Common Terminology Criteria for Adverse Events v4.0 (CTCAE) is a comprehensive categorization system of AEs in cancer treatment that includes a severity grading scale for AEs.<sup>16</sup> It uses terms taken from the clinically

validated Medical Dictionary of Regulatory Activities (MedDRA's), and is organized across 24 primary System Organ Classes.<sup>16</sup> Another notable classification system was used in the Harvard Medical Practice Study (HMPS), which categorized hospital adverse events according to the type of injury and incorporated a six-point disability scale on which "serious" disability was defined as disability persisting for more than six months<sup>17</sup>. Adverse events were classified in operative and non-operative, each containing five and ten sub-categories respectively<sup>18</sup>. The World Health Organization (WHO's) International Classification for Patient Safety (ICPS) is a conceptual framework that consists of ten highlevel classes, each further hierarchically subdivided into categories and sub-categories.<sup>12</sup> Forty-eight concepts have been identified with agreed upon definitions and preferred terms.<sup>12</sup> The degree of harm is defined along five levels from none to death.<sup>12, 19</sup> The ICPS is not considered a classification, but rather a framework with a set of concepts that are linked by semantic relationships.<sup>12, 19</sup>

Similarly, the Medicare Hospital-Acquired Conditions classification<sup>20</sup> contains ten categories that are mainly surgical and post-surgical management related, however, it does not have a severity rating scheme. The United States (US) National Quality Forum (NQF) captures the level of harm in serious reportable events (SREs).<sup>21</sup> As part of the Outpatient Adverse Event Trigger Tool developed by the Institute for Healthcare Improvement (IHI)<sup>22</sup>, a severity classification methodology was proposed using the National Coordinating Council for Medication Error Reporting and Prevention (NCC MERP) Index for Categorizing Errors.<sup>23</sup> In sum, medical classification and severity rating systems demonstrate the viability of monitoring patient safety; important steps in moving towards a patient safety initiative.<sup>4</sup> As expected, our evaluation of these systems quickly revealed that dental AEs do not neatly fit into the categories developed in the medical realm. Similarly, the level of severity of dental AEs did not easily fit within the existing medical severity scales. The focus of this paper is to report on the methodology for developing and refining a usable dental AE classification and severity rating system, and the results of a pilot study to evaluate its usefulness in classifying AEs found through chart reviews.

#### METHODS

The research was reviewed and approved by the Human Subject Committees of all participating academic institutions.

#### **Development And Refinement Of The Dental AE Type Classification**

The following five medical classifications were analyzed for their overlap in categories: (1) NCI's CTCAE<sup>16</sup> twenty-four System Organ Classes, (2) HMPS<sup>24</sup> eleven categories, (3) WHO's ICPS<sup>12, 19</sup> thirteen categories within the "Incident Type" class (4) IHI outpatient trigger tool's<sup>22</sup> eleven categories, and (5) Medicare's Hospital-Acquired Conditions'<sup>20</sup> ten categories.

NCI's CTCAE lists a total of 679 AEs, from which we identified 86 items that were potentially related to oral health (Appendix 1). We studied the HMPS classification scheme<sup>18</sup>, and its operative and non-operative categories that include the following sub-categories of AEs: Wound infection, Technical complication, Late complication, Non-

technical complication, Surgical failure, Drug-related, Diagnostic mishap, Therapeutic mishap, Procedure-related, Fall, Fracture, Postpartum, Anesthesia-related, Neonatal, and System/other. A condensed version of the HMPS categorization was introduced by Nuckols et al<sup>24</sup> with 10 broad categories: 1. Medications, 2. Operations, 3. Therapeutics, 4. Diagnostics, 5. Miscellaneous, 6. Procedures, 7. Anesthesia, 8. Peripartum, 9. Neonatal, and 10. Falls. The WHO's ICPS<sup>12, 19</sup> also has ten high-level classes: the first class, "Incident Type," contains thirteen major categories: Clinical Administration. Clinical Process/Procedure, Documentation, Healthcare Associated Infection, Medication/IV Fluids, Blood/Blood Products, Nutrition, Medical Device/Equipment, Behavior, Patient Accidents, Infrastructure/Building/Fixtures, and Resources/Organizational Management. The IHI's outpatient trigger tool<sup>22</sup> includes medically-oriented items that indicate an AE may have occurred. Items include new diagnosis of cancer; nursing home placement, admission and discharge from the hospital, two or more consults in one year, surgical procedure, emergency room visit, greater than five medications, physician change, complaint letter, greater than three nursing calls in one week, and abnormal lab value. The final medical AE classification system analyzed was Medicare Hospital-Acquired Conditions.<sup>20</sup> It included foreign object retained after surgery, air embolism, blood incompatibility, pressure ulcers, falls, manifestations of poor glycemic control, catheter-associated urinary tract infection, vascular catheter-associated infection, deep vein thrombosis/pulmonary embolism, and surgical site infection.

The initial dental AE type classification (comprising 23 categories) was developed by analyzing dental AEs reported to the FDA MAUDE database,<sup>2</sup> and documented in the scientific literature.<sup>25</sup> This work produced a dental AE list that was expanded after collecting a list of commonly encountered AEs from dental providers.<sup>26</sup> The initial dental AE type classification and the aggregated findings from our comprehensive analysis of medical AE classification systems were reviewed by the research group's Advisory Committee, comprising experts in medical AEs (see acknowledgments). The findings from each preceding stage of this process led to the creation of a working system for classifying dental AEs. This classification was then pilot tested by independent reviewers across the 4 sites using a focused chart review process. This led to the further refinement of the AE classification and Severity systems. For example, during the calibration process for the chart reviews, we discovered that sinus perforation (a frequently reported AE in our previous study<sup>26</sup> could be classified as either a soft tissue injury, or a hard tissue injury. As a result, we created an additional classification for AEs that did not fit into a single existing category; Other Oro-facial Harm. We also dropped the use of the word "complication" and replaced it with "harm." The last three of the twelve AE classification categories in table 1 are now "other oro-facial harm", "other systemic harm," and "other harm." Finally, all prospective AE cases were verified collectively using a consensus process during conferences calls and a full-day in-person working meeting.

#### **Development And Refinement Of The Dental AE Severity Classification**

To our knowledge, there is no standardized measure for assessing the severity of dental AEs. In order to develop a severity scale for the AE classifications, we systematically reviewed

the severity ratings of AEs used in the IHI outpatient trigger tool, NCI CTCAE, WHO ICPS, and NQF.

The Institute of Healthcare Improvement's (IHI) outpatient trigger tool<sup>22</sup> has five categories of harm. From least to most severe they are: Temporary harm to the patient and required intervention, Temporary harm to the patient and required initial or prolonged hospitalization, Permanent patient harm, Intervention required to sustain life, and Patient death. The CTCAE<sup>16</sup> assesses the severity of an AE through five gradients of harm. From least to most severe they are graded: 1. Mild; asymptomatic or mild symptoms; clinical or diagnostic observations only; intervention not indicated, 2. Moderate; minimal, local or noninvasive intervention indicated; limiting age-appropriate instrumental ADLs (activities of daily living), 3. Severe or medically significant but not immediately life-threatening; hospitalization or prolongation of hospitalization indicated; disabling; limiting self-care ADLs, 4. Life-threatening consequences; urgent intervention indicated, and 5. Death related to AE. The WHO ICPS used a five-point gradient for assessing the degree of harm: None, Mild, Moderate, Severe, and Death. Finally, we reviewed the NQF list of serious reportable events (SREs).<sup>21</sup> SREs included: Surgical or invasive procedure events, Product or device events, Patient protection, Care management events, Environmental, Radiological events and Potential criminal events.

Using the findings from our review of the medical AE severity ratings, and feedback from our advisory committee, we created an initial AE severity rating scale which was used to assess the severity of AEs in our prior work<sup>25</sup> and modified in subsequent work<sup>3</sup>. Based on our observations in these studies and through an iterative process, we further refined the severity scale and created a severity tree to simplify its use in the chart review process (Figure 1).

#### **Pilot Test (Chart Review Process)**

Eight independent research team members representing four US academic dental institutions (two per site) performed focused chart reviews<sup>22</sup> using eight newly constructed or previously developed triggers<sup>3</sup> of active electronic health records (EHRs). A 'trigger' is an opportunity or clue used to identify AEs in a patient's dental record but do not represent AEs themselves. The eight reviewers were tasked with determining whether the case fit the definition of an AE. The outcome of interest was AE type, which was measured as a binary variable based on the dental AE classification, as well as, the severity. A standardized log sheet was developed to extract the AEs from the charts. The reviewers were trained and calibrated using a uniform AE definition, classification (AE Type), and level of harm (AE Severity). Inter-rater reliability was calculated using the prevalence and bias-adjusted kappa to address the kappa paradox. The average percent agreement for AE determination was 82.2%. Further, the average, pairwise prevalence and bias adjusted kappa (PABAK) was 57.5% ( $\kappa$ =0.575) for determining AE presence. The average percent agreement for categorization of the AE type 78.5% while the PABAK was 48.8%. Lastly, the average percent agreement for categorization of AE severity was 82.2% and the corresponding PABAK was 71.7%. According to the standards for inter-rater reliability, a kappa ranging

from 0.40 to 0.60 constitutes moderate agreement.<sup>27, 28</sup> All statistical calculations were performed in R v3.1.1<sup>©</sup> using the "irr" and "epiR" packages.

#### RESULTS

#### Dental AE Type Classification

A comparison of the five medical AE classifications showed an overlap of concepts in the surgical/medical procedure, general disorders and infection categories (Appendix 2). Specifically, the CTCAE had more items that overlapped with the other classification systems than did any of the others. We also observed that similar concepts were presented with different wording across classifications. Although the CTCAE exemplified a comprehensive listing of potential AEs for cancer patients (n=679), only 87 of its items appeared to have potential relevance to oral health or dentistry. We concluded that using the system organ classes in the CTCAE was not effective for documenting oral health AEs. Similarly, the HMPS categories, Medicare's Hospital-Acquired Conditions, and the ICPS also appear well suited to categorize medical and hospital AEs, but not oral health events. For example, categories to indicate damage to hard oral tissues, e.g. teeth were difficult to categorize using the existing schemes.

Suggestions that came from the medical AE experts on the Advisory committee were critical. Based on their early experiences developing medical classification systems, they suggested testing the clinical validity of any given AE with the "give me a break" test. That is, in order to label an event an AE, it must stand up to the rigor of peer review by professional colleagues. For example, would the failure of a provisional crown constitute an AE? Initially, we thought yes, but while it would be undesirable to have a provisional crown fail, a singular failure did not pass this test. On the other hand, if the provisional crown failed time and again, was aspirated or led to an abutment tooth fracture, it would be considered an AE. A similar example in medicine would be vomiting after chemotherapy, which the Advisory Committee explained was not considered an AE in itself, unless ongoing violent vomiting resulted in an inability to absorb nutrients and requiring parental nutrition/ rehydration.

Putting together our findings from the analysis of these five medical AE classifications, the dental AEs found through the FDA MAUDE database<sup>2</sup>, our literature review,<sup>25</sup> our empirical interviews with providers<sup>26</sup>, our consultation with the Advisory Committee on this project, and our focused chart reviews, we made revisions to the initial dental AE classification system<sup>26</sup> and arrived at 12 final categories for the Dental AE Type Classification System.

#### **Dental AE Severity Classification**

In reviewing the four medical severity ratings, we found that while they effectively reflected increasing degrees of severity based upon the temporal impact of harm and what was needed to mitigate the effects of the AE, it was not fully applicable to outpatient dentistry. AEs in dentistry appear to be less catastrophic, and as such, we felt it necessary to be able to

differentiate not only between temporary and permanent harm but indicate if the harm was mild or severe.

Specifically, we noted that the CTCAE severity grades, ICPS and the IHI scales had some similarities (death, intervention required). They also had relevance for oral health. The NQF SREs focused on causes rather than AEs. While the SREs may be of importance to root cause analysis for sentinel events, they did not fit for severity ratings for dental AEs. By contrast, the IHI scale had utility for dentistry. It assessed harm based upon the short and long term impact of the AE upon the patient. The more severe the immediate impact, or more extensive the long-term mitigation required, the higher the severity rating. We used this approach in developing our own severity scale for dental AEs.

Items from the IHI trigger tool, ICPS and the CTCAE were integrated into more granular elements specific to oral health. With the support of the Advisory Board, we developed an initial AE severity scale for oral health comprising 15 items. This scale was pilot tested in our prior work analyzing the scientific literature.<sup>25</sup> Based on feedback from the reviewers, and through an iterative process, it was further condensed, simplified and adapted into a severity tree (Figure 1). The first four items on the scale (A–D) were dropped, the "magnitude of the intervention" was also dropped from each step, and the "moderate" and "severe" categories were combined. The final step was the application of the severity scale to AEs identified through EHR chart reviews by independent reviewers across several sites.

#### **Overall Evaluation Of The Dental AE Type and Severity Classifications**

The following shows an example of a case that a reviewer would be asked to classify:

"While a gold onlay for #30 was being tried in prior to cementation, the onlay inadvertently became dislodged and lost in the oropharyngeal space. KUB revealed a radiopaque foreign object in the area of the duodenum, measuring approximately 1cm. Patient informed that her airways were clear and that she will pass the foreign body."

Reviewers would classify the above as adverse event type: "Aspiration/Ingestion of Foreign Body" with severity of Temporary (reversible or transient) moderate to severe harm to the patient (E2).

There were 3283 (not including random charts) triggered charts. Of these, 958 charts were independently reviewed representing 29% of the triggered population. Among the reviewed charts, 118 prospective AE's were found and 101 (85.6%) were verified as AEs during the consensus process. Pain and infection were the most common AE types representing 75% of the cases reviewed (55% and 17% respectively). In the remaining reviews, hard tissue damage was assessed in 12%, soft tissue damage/inflammation in 6%, nerve injury in 5%, and other oro-facial harm in 2% of cases. Examples of AEs found during the chart reviews include: dry socket, failure of implant to osseo-integrate two months after placement with loss of bone and requiring removal; pulp exposure during caries removal due to sudden movement of pediatric child; pain; and excessive swelling. Results of the classification after consensus was reached are documented in Table 1. Overwhelmingly,

#### DISCUSSION

The medical profession has made considerable strides understanding patient safety. It is now time for dentistry to embrace patient safety and move towards a better safety initiative.<sup>4, 29</sup> In order to create, monitor and maintain what AHRO describes as a patient safety initiative,<sup>13</sup> the identification and assessment of AEs are important first steps. The AE classifications and severity ratings provide unique opportunities to the dental profession to explore how to provide safe and effective high quality oral care to patients. The nature of adverse events that have been reported in the medical literature are different from those that occur in dentistry. Significant AEs in the dental office are rare and seldom life threatening. Additionally, with 32 teeth as a starting point and our ability to function well with significantly fewer teeth as well as our ability to replace lost teeth, the attitude towards accidently injuring a tooth has been quite different from doing so with any other body part. Our results suggest the feasibility of the use of a classification system in helping to organize the different types of AEs that patients may encounter through dental treatment. It is important to realize the difference between harm and contributing factors that may lead to harm, e.g., aspiration of a gold onlay is the actual harm, whereas not using a rubber dam, or unexpected movement of the patient would be contributing factors.

There were challenges in classifying some of the AE cases we encountered in our chart review. In our study the reviewers were asked to pick the single best category to describe the AE. However, we discovered that some AEs could be classified into multiple categories, e.g, a patient presenting with swelling and significant pain two days after periodontal flap surgery could be classified under "Pain" as well as "Infection". While restricting the classification to only one category is useful for reporting purposes, this approach may not fully capture the nature of the harm, which is a limitation of our approach. In some cases our chart reviewers reported that there was insufficient information to classify an AE, e.g., radiographs could be helpful to determine if a peri-apical abscess is new or pre-dated restorative treatment. This speaks to the importance of having adequate clinical documentation that can be used to assess the quality and safety of dental care.<sup>30</sup>

Our severity scale was adapted from one developed by NCC-MERP to classify medicationrelated adverse events.<sup>23</sup> The severity of harm in dentistry is qualitatively different from that in medicine. While medicine is focused on cases of severe harm (such as death or requiring hospitalization), the most harm that occurs in dentistry is less life altering. Hence, we not only elected to capture harm that is either permanent (extraction of the wrong tooth) or temporary (sinus perforation) but also further divided the harm into slight or moderate/ severe in an effort to better distill the most severe cases. We did not explore cases indicated as slight or minimal harm as we believe that in this first effort focusing on more severe harm will help us ultimately undercover underlying systems that can be improved to prevent these more extreme forms of harm from happening again.

The patient safety revolution can be traced to the seminal Institute of Medicine (IOM) seminal report, "To Err is Human." It states that quality consist of three domains; 1) safety, defined as "freedom from accidental injury"; 2) practice consistent with current medical knowledge and best practice; and 3) responsiveness to customer-specific values, expectations and preferences.<sup>31</sup> We have visually presented these concepts contextualized for the dental profession in Figure 2. All of these elements must be met in order to achieve quality. Assessing adherence to best practices such as percentages of patients having annual dental visits is an important marker, but not a substitute for assessing safety. There must be markers to assess patient safety so that trends can be observed, reported, and used to improve quality.

Reporting of AEs is a crucial step for any organization or profession to learn from its mistakes and move toward the establishment of a learning organization<sup>32</sup> or profession. Reporting of AEs, however, does not improve safety in and of itself. An AE must be much more than a report. It should lead to exploring underlying systems failures, ultimately leading to change.<sup>15</sup> Individuals as well as organizations will gain more from reporting AEs when their information is aggregated and compared to others so that learning can occur across settings to prevent or minimize the probability of recurrences of the same or similar AEs.<sup>15</sup>

Our extensive study of adverse events in both dentistry and medicine underscores that safety and quality cannot be separated. The absence of quality benchmarking in dentistry that is made available to the public is remarkable when compared to medicine. Meaningful use data is an exemplar. When the US Government committed \$27 billion to incentivize the adoption of meaningful use data through the 2009 Health Information Technology for Economic and Clinical Health Act, dentists were included with physicians as eligible participants. Of the 141,910 providers enrolled in the Medicaid portion of meaningful use (MU) that was relevant for outpatient dentistry<sup>33</sup>, 15,213 (21%) were dentists. These dentists have received \$333,557,837 (9%) in MU incentive pay, however, it appears that the majority of them have participated only for the first year of MU, but not for the following years that will require reporting of nine Clinical Quality Measures (CQMs)<sup>34</sup> and twenty Objectives. By contrast,<sup>35</sup> 73 percent of physicians are participating in the portions of MU that require CQM and Objective reporting."<sup>36</sup> In addition, 95,170 medical providers make up 67% of Medicaid MU enrollees. They received \$2,598,954,521 or 69% of the Medicaid portion of the program, with the remainder being paid out to midwives, optometrists, physician assistants and nurse practitioners.<sup>35</sup> Myriad reasons might explain why relatively few dentists are participating in the subsequent years of MU. Our concern is that the adoption of a patient safety must not mirror the MU example wherein providers' participation was short-term. The patient safety paradigm in dentistry must be a long-term commitment by individual providers and the professional at large.

Classifying AEs, categorizing their severity, and eventually standardizing how AEs are captured in databases for query, are key factors to the development of a learning profession. Medicine has accomplished many of these tasks. While dentistry has only begun embracing a patient safety paradigm, it does not have to take the long road that our medical colleagues have traveled. We can learn from their triumphs and strive towards the creation of a learning

profession by not only agreeing that patient safety is the first element of quality, but also adopt a standardized classification of adverse events and level of harm as a crucial ingredient in the development of this endeavor.

#### CONCLUSION

Patient safety is a critical component of quality, and classifying adverse events (AEs) and their severity is an important step towards the ability to analyze patient safety data in a meaningful way. The use of dental AE type and severity classifications facilitate the categorization of and communication about dental AEs during routine chart reviews.

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#### Appendices: Classifying Adverse Events in the Dental Setting

# Appendix 1: Oral Health Related Terms (86 Terms) Taken From National Cancer Institute's CTCAE Terminology (679 Terms)

|                     | Level of Harm; Grade 1 = least and 5 = most   |   |   |   |       |  |  |  |
|---------------------|---|---|---|---|-------|--|--|--|
| Adverse Event       | 1   | 2   | 3   | 4   | 5     |  |  |  |
| Ear pain            | Mild pain   | Moderate pain; limiting instrumental ADL  | Severe pain; limiting self<br>care ADL  | -   | -     |  |  |  |
| Cheilitis           | Asymptomatic;<br>clinical or diagnostic<br>observations only;<br>intervention not<br>indicated                                      | Moderate symptoms;<br>limiting instrumental<br>ADL  | Severe symptoms;<br>limiting self care ADL;<br>intervention indicated   | -   | -     |  |  |  |
| Dental caries       | One or more dental<br>caries, not involving<br>the root   | Dental caries involving<br>the root   | Dental caries resulting<br>in pulpitis or periapical<br>abscess or resulting in<br>tooth loss                         | -   | -     |  |  |  |
| Dry mouth           | Symptomatic (e.g.,<br>dry or thick saliva)<br>without significant<br>dietary alteration;<br>unstimulated saliva<br>flow >0.2 ml/min | Moderate symptoms;<br>oral intake alterations<br>(e.g., copious water,<br>other lubricants, diet<br>limited to purees and/or<br>soft, moist foods);<br>unstimulated saliva 0.1<br>to 0.2 ml/min | Inability to adequately<br>aliment orally; tube<br>feeding or TPN<br>indicated; unstimulated<br>saliva <0.1 ml/min    | -   | -     |  |  |  |
| Gingival pain       | Mild pain   | Moderate pain<br>interfering with oral<br>intake  | Severe pain; inability to aliment orally  | -   | -     |  |  |  |
| Lip pain            | Mild pain   | Moderate pain; limiting instrumental ADL  | Severe pain; limiting self<br>care ADL  | -   | -     |  |  |  |
| Mucositis oral      | Asymptomatic or<br>mild symptoms;<br>intervention not<br>indicated  | Moderate pain; not<br>interfering with oral<br>intake; modified diet<br>indicated   | Severe pain; interfering with oral intake   | Life-threatening<br>consequences;<br>urgent intervention<br>indicated | Death |  |  |  |
| Nausea              | Loss of appetite<br>without alteration in<br>eating habits  | Oral intake decreased<br>without significant<br>weight loss,<br>dehydration or<br>malnutrition  | Inadequate oral caloric<br>or fluid intake; tube<br>feeding, TPN, or<br>hospitalization indicated                     | -   | -     |  |  |  |
| Oral cavity fistula | Asymptomatic;<br>clinical or diagnostic<br>observations only;<br>intervention not<br>indicated                                      | Symptomatic; altered<br>GI function   | Severely altered GI<br>function; TPN or<br>hospitalization indicated;<br>elective operative<br>intervention indicated | Life-threatening<br>consequences;<br>urgent intervention<br>indicated | Death |  |  |  |
| Oral dysesthesia    | Mild discomfort; not<br>interfering with oral<br>intake   | Moderate pain;<br>interfering with oral<br>intake   | Disabling pain; tube<br>feeding or TPN indicated  | -   | -     |  |  |  |
| Oral hemorrhage     | Mild; intervention<br>not indicated   | Moderate symptoms;<br>medical intervention  | Transfusion, radiologic,<br>endoscopic, or elective   | Life-threatening<br>consequences;                                     | Death |  |  |  |

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|                               |  | Level of Ha  | rm; Grade 1 = least and 5 =   | most   |       |
|-------------------------------|--|--|---|--|-------|
| Adverse Event                 | 1  | 2  | 3   | 4  | 5     |
|                               |  | or minor cauterization indicated   | operative intervention indicated  | urgent intervention indicated  |       |
| Oral pain                     | Mild pain  | Moderate pain; limiting instrumental ADL   | Severe pain; limiting self care ADL   | -  | -     |
| Periodontal disease           | Gingival recession<br>or gingivitis; limited<br>bleeding on probing;<br>mild local bone loss                       | Moderate gingival<br>recession or gingivitis;<br>multiple sites of<br>bleeding on probing;<br>moderate bone loss   | Spontaneous bleeding;<br>severe bone loss with<br>or without tooth loss;<br>osteonecrosis of maxilla<br>or mandible   | -  | -     |
| Salivary duct<br>inflammation | Slightly thickened<br>saliva; slightly<br>altered taste (e.g.,<br>metallic)  | Thick, ropy, sticky<br>saliva; markedly altered<br>taste; alteration in diet<br>indicated; secretion-<br>induced symptoms;<br>limiting instrumental<br>ADL   | Acute salivary<br>gland necrosis;<br>severe secretion-induced<br>symptoms (e.g., thick<br>saliva/oral secretions or<br>gagging); tube feeding or<br>TPN indicated; limiting<br>self care ADL; disabling   | Life-threatening<br>consequences;<br>urgent intervention<br>indicated              | Death |
| Salivary gland<br>fistula     | Asymptomatic;<br>clinical or diagnostic<br>observations only;<br>intervention not<br>indicated                     | Symptomatic; altered<br>GI function; tube<br>feeding indicated   | Severely altered GI<br>function; hospitalization<br>indicated; elective<br>operative intervention<br>indicated  | Life-threatening<br>consequences;<br>urgent operative<br>intervention<br>indicated | Death |
| Tooth development<br>disorder | Asymptomatic;<br>hypoplasia of tooth<br>or enamel  | Impairment correctable<br>with oral surgery  | Maldevelopment with<br>impairment not<br>surgically correctable;<br>disabling   | -  | -     |
| Tooth discoloration           | Surface stains   | -  | -   | -  | -     |
| Toothache                     | Mild pain  | Moderate pain; limiting instrumental ADL   | Severe pain; limiting self<br>care ADL  | -  | -     |
| Vomiting                      | 1 – 2 episodes<br>(separated by 5<br>minutes) in 24 hrs  | 3 – 5 episodes<br>(separated by 5<br>minutes) in 24 hrs  | >=6 episodes (separated<br>by 5 minutes) in 24 hrs;<br>tube feeding, TPN or<br>hospitalization indicated  | Life-threatening<br>consequences;<br>urgent intervention<br>indicated              | Death |
| Edema face                    | Localized facial edema   | Moderate localized<br>facial edema; limiting<br>instrumental ADL   | Severe swelling; limiting self care ADL   | -  | -     |
| Facial pain                   | Mild pain  | Moderate pain; limiting instrumental ADL   | Severe pain; limiting self<br>care ADL  | -  | -     |
| Fatigue                       | Fatigue relieved by rest   | Fatigue not relieved<br>by rest; limiting<br>instrumental ADL  | Fatigue not relieved by<br>rest, limiting self care<br>ADL  | -  | -     |
| Fever                         | 38.0 – 39.0 degrees<br>C (100.4– 102.2<br>degrees F)   | >39.0 - 40.0 degrees C<br>(102.3- 104.0 degrees<br>F)  | >40.0 degrees C (>104.0<br>degrees F) for <=24 hrs  | >40.0 degrees C<br>(>104.0 degrees F)<br>for >24 hrs                               | Death |
| Injection site<br>reaction    | Tenderness with or<br>without associated<br>symptoms (e.g.,<br>warmth, erythema,<br>itching)                       | Pain; lipodystrophy;<br>edema; phlebitis   | Ulceration or necrosis;<br>severe tissue damage;<br>operative intervention<br>indicated   | Life-threatening<br>consequences;<br>urgent intervention<br>indicated              | Death |
| Localized edema               | Localized to<br>dependent areas,<br>no disability<br>or functional<br>impairment                                   | Moderate localized<br>edema and intervention<br>indicated; limiting<br>instrumental ADL  | Severe localized<br>edema and intervention<br>indicated; limiting self<br>care ADL  | -  | -     |
| Neck edema                    | Asymptomatic<br>localized neck<br>edema  | Moderate neck edema;<br>slight obliteration of<br>anatomic landmarks;<br>limiting instrumental<br>ADL  | Generalized neck edema<br>(e.g., difficulty in turning<br>neck); limiting self care<br>ADL  | -  | -     |
| Pain                          | Mild pain  | Moderate pain; limiting instrumental ADL   | Severe pain; limiting self care ADL   | -  | -     |
| Allergic reaction             | Transient flushing<br>or rash, drug fever<br><38 degrees C<br>(<100.4 degrees<br>F); intervention not<br>indicated | Intervention or infusion<br>interruption indicated;<br>responds promptly to<br>symptomatic treatment<br>(e.g., antihistamines,<br>NSAIDS, narcotics);<br>prophylactic<br>medications indicated<br>for <=24 hrs | Prolonged (e.g., not<br>rapidly responsive to<br>symptomatic medication<br>and/or brief interruption<br>of infusion); recurrence<br>of symptoms following<br>initial improvement;<br>hospitalization indicated<br>for clinical sequelae<br>(e.g., renal impairment,<br>pulmonary infiltrates) | Life-threatening<br>consequences;<br>urgent intervention<br>indicated              | Death |

| Adverse Event               | 1  | 2   | 3   | 4   | 5     |
|-----------------------------|--|---|---|---|-------|
| Anaphylaxis                 | -  | -   | Symptomatic<br>bronchospasm, with<br>or without urticaria;<br>parenteral intervention<br>indicated; allergy-related<br>edema/angioedema;<br>hypotension | Life-threatening<br>consequences;<br>urgent intervention<br>indicated | Death |
| Autoimmune<br>disorder      | Asymptomatic;<br>serologic or<br>other evidence<br>of autoimmune<br>reaction, with<br>normal organ<br>function;<br>intervention not<br>indicated | Evidence of<br>autoimmune reaction<br>involving a non-<br>essential organ<br>or function (e.g.,<br>hypothyroidism)  | Autoimmune reactions<br>involving major organ<br>(e.g., colitis, anemia,<br>myocarditis, kidney)  | Life-threatening<br>consequences;<br>urgent intervention<br>indicated | Death |
| Cranial nerve<br>infection  | -  | -   | IV antibiotic, antifungal,<br>or antiviral intervention<br>indicated; radiologic or<br>operative intervention<br>indicated                              | Life-threatening<br>consequences;<br>urgent intervention<br>indicated | Death |
| Device related<br>infection | -  | -   | IV antibiotic, antifungal,<br>or antiviral intervention<br>indicated; radiologic or<br>operative intervention<br>indicated                              | Life-threatening<br>consequences;<br>urgent intervention<br>indicated | Death |
| Gum infection               | Local therapy<br>indicated (swish and<br>swallow)  | Moderate symptoms;<br>oral intervention<br>indicated (e.g.,<br>antibiotic, antifungal,<br>antiviral)  | IV antibiotic, antifungal,<br>or antiviral intervention<br>indicated; radiologic or<br>operative intervention<br>indicated                              | Life-threatening<br>consequences;<br>urgent intervention<br>indicated | Death |
| Infective myositis          | -  | Localized; local<br>intervention indicated<br>(e.g., topical antibiotic,<br>antifungal, or antiviral)   | IV antibiotic, antifungal,<br>or antiviral intervention<br>indicated; radiologic or<br>operative intervention<br>indicated                              | Life-threatening<br>consequences;<br>urgent intervention<br>indicated | Death |
| Joint infection             | -  | Localized; local<br>intervention indicated;<br>oral intervention<br>indicated (e.g.,<br>antibiotic, antifungal,<br>antiviral); needle<br>aspiration indicated<br>(single or multiple) | Arthroscopic<br>intervention indicated<br>(e.g., drainage) or<br>arthrotomy (e.g., open<br>surgical drainage)   | Life-threatening<br>consequences;<br>urgent intervention<br>indicated | Death |
| Lymph gland<br>infection    | -  | Localized; local<br>intervention indicated<br>(e.g., topical antibiotic,<br>antifungal, or antiviral)   | IV antibiotic, antifungal,<br>or antiviral intervention<br>indicated; radiologic or<br>operative intervention<br>indicated                              | Life-threatening<br>consequences;<br>urgent intervention<br>indicated | Death |
| Mucosal infection           | Localized, local<br>intervention<br>indicated  | Oral intervention<br>indicated (e.g.,<br>antibiotic, antifungal,<br>antiviral)  | IV antibiotic, antifungal,<br>or antiviral intervention<br>indicated; radiologic or<br>operative intervention<br>indicated                              | Life-threatening<br>consequences;<br>urgent intervention<br>indicated | Death |
| Otitis media                | -  | Localized; local<br>intervention indicated<br>(e.g., topical antibiotic,<br>antifungal, or antiviral)   | IV antibiotic, antifungal,<br>or antiviral intervention<br>indicated; radiologic or<br>operative intervention<br>indicated                              | Life-threatening<br>consequences;<br>urgent intervention<br>indicated | Death |
| Periorbital<br>infection    | -  | Localized; local<br>intervention indicated<br>(e.g., topical antibiotic,<br>antifungal, or antiviral)   | IV antibiotic, antifungal,<br>or antiviral intervention<br>indicated; radiologic or<br>operative intervention<br>indicated                              | Life-threatening<br>consequences;<br>urgent intervention<br>indicated | Death |
| Pharyngitis                 | -  | Localized; local<br>intervention indicated<br>(e.g., topical antibiotic,<br>antifungal, or antiviral)   | IV antibiotic, antifungal,<br>or antiviral intervention<br>indicated; radiologic or<br>operative intervention<br>indicated                              | Life-threatening<br>consequences;<br>urgent intervention<br>indicated | Death |
| Salivary gland<br>infection | -  | Moderate symptoms;<br>oral intervention<br>indicated (e.g.,<br>antibiotic, antifungal,<br>antiviral)  | IV antibiotic, antifungal,<br>or antiviral intervention<br>indicated; radiologic or<br>operative intervention<br>indicated                              | Life-threatening<br>consequences;<br>urgent intervention<br>indicated | Death |

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|  |  | Level of Ha  | rm; Grade 1 = least and 5 =  | most   |  |
|--|--|--|--|--|--|
| Adverse Event                                      | 1  | 2  | 3  | 4  | 5  |
|  |  | (e.g., topical antibiotic,<br>antifungal, or antiviral)  | indicated; radiologic,<br>endoscopic, or operative<br>intervention indicated   | urgent intervention indicated  |  |
| Soft tissue<br>infection                           | -  | Localized; local<br>intervention indicated<br>(e.g., topical antibiotic,<br>antifungal, or antiviral)  | IV antibiotic, antifungal,<br>or antiviral intervention<br>indicated; radiologic or<br>operative intervention<br>indicated   | Life-threatening<br>consequences;<br>urgent intervention<br>indicated  | Death  |
| Tooth infection                                    | -  | Localized; local<br>intervention indicated<br>(e.g., topical antibiotic,<br>antifungal, or antiviral)  | IV antibiotic, antifungal,<br>or antiviral intervention<br>indicated; radiologic or<br>operative intervention<br>indicated   | Life-threatening<br>consequences;<br>urgent intervention<br>indicated  | Death  |
| Wound infection                                    | -  | Localized; local<br>intervention indicated<br>(e.g., topical antibiotic,<br>antifungal, or antiviral)  | IV antibiotic, antifungal,<br>or antiviral intervention<br>indicated; radiologic or<br>operative intervention<br>indicated   | Life-threatening<br>consequences;<br>urgent intervention<br>indicated  | Death  |
| Infections and<br>infestations -<br>Other, specify | Asymptomatic or<br>mild symptoms;<br>clinical or diagnostic<br>observations only;<br>intervention not<br>indicated | Moderate; minimal,<br>local or noninvasive<br>intervention<br>indicated; limiting<br>age-appropriate<br>instrumental ADL                           | Severe or medically<br>significant but<br>not immediately<br>life-threatening;<br>hospitalization or<br>prolongation of existing<br>hospitalization indicated;<br>disabling; limiting self<br>care ADL | Life-threatening<br>consequences;<br>urgent intervention<br>indicated  | Death  |
| Bruising   | Localized or in a<br>dependent area  | Generalized  | -  | -  | -  |
| Burn   | Minimal symptoms;<br>intervention not<br>indicated   | Medical intervention;<br>minimal debridement<br>indicated  | Moderate to major<br>debridement or<br>reconstruction indicated  | Life-threatening consequences  | Death  |
| Fracture   | Asymptomatic;<br>clinical or diagnostic<br>observations only;<br>intervention not<br>indicated                     | Symptomatic but<br>non-displaced;<br>immobilization<br>indicated   | Severe symptoms;<br>displaced or open wound<br>with bone exposure;<br>disabling; operative<br>intervention indicated   | Life-threatening<br>consequences;<br>urgent intervention<br>indicated  | Death  |
| Intraoperative head<br>and neck injury             | Primary repair<br>of injured organ/<br>structure indicated   | Partial resection of<br>injured organ/structure<br>indicated   | Complete resection or<br>reconstruction of injured<br>organ/structure indicated;<br>disabling  | Life-threatening<br>consequences;<br>urgent intervention<br>indicated  | Death  |
| Wound<br>complication                              | Incisional separation<br>of <=25% of wound,<br>no deeper than<br>superficial fascia                                | Incisional separation<br>>25% of wound; local<br>care indicated  | Hernia without evidence<br>of strangulation; fascial<br>disruption/dehiscence;<br>primary wound closure<br>or revision by operative<br>intervention indicated  | Hernia with<br>evidence of<br>strangulation; major<br>reconstruction flap,<br>grafting, resection,<br>or amputation<br>indicated   | Death  |
| Wound dehiscence                                   | Incisional separation<br>of <=25% of wound,<br>no deeper than<br>superficial fascia                                | Incisional separation<br>>25% of wound<br>with local care;<br>asymptomatic hernia<br>or symptomatic hernia<br>without evidence of<br>strangulation | Fascial disruption or<br>dehiscence without<br>evisceration; primary<br>wound closure or<br>revision by operative<br>intervention indicated  | Life-threatening<br>consequences;<br>symptomatic hernia<br>with evidence<br>of strangulation;<br>fascial<br>disruption with<br>evisceration; major<br>reconstruction flap,<br>grafting, resection,<br>or amputation<br>indicated | Death  |
| INR increased                                      | >1 – 1.5 × ULN;<br>>1 – 1.5 times<br>above baseline if on<br>anticoagulation                                       | INR increased  | >1 - 1.5 × ULN; >1 -<br>1.5 times above baseline<br>if on anticoagulation  | INR increased  | $>1-1.5 \times$<br>ULN; $>1-1.5$<br>times above<br>baseline if on<br>anticoagulation |
| Anorexia   | Loss of appetite<br>without alteration in<br>eating habits   | Oral intake altered<br>without significant<br>weight loss or<br>malnutrition; oral<br>nutritional supplements<br>indicated                         | Associated with<br>significant weight loss<br>or malnutrition (e.g.,<br>inadequate oral caloric<br>and/or fluid intake); tube<br>feeding or TPN indicated  | Life-threatening<br>consequences;<br>urgent intervention<br>indicated  | Death  |
| Arthralgia   | Mild pain  | Moderate pain; limiting instrumental ADL   | Severe pain; limiting self<br>care ADL   | -  | -  |
| Arthritis  | Mild pain<br>with inflammation,  | Moderate pain<br>associated with signs<br>of inflammation,   | Severe pain associated<br>with signs of<br>inflammation, erythema,   | -  | -  |

|  |   |  | rm; Grade 1 = least and 5 = 1  |   |       |
|--|---|--|--|---|-------|
| Adverse Event  | 1   | 2  | 3  | 4   | 5     |
|  | erythema, or joint<br>swelling  | erythema, or joint<br>swelling; limiting<br>instrumental ADL   | or joint swelling;<br>irreversible joint damage;<br>disabling; limiting self<br>care ADL   |   |       |
| Avascular necrosis   | Asymptomatic;<br>clinical or diagnostic<br>observations only;<br>intervention not<br>indicated                        | Symptomatic; limiting instrumental ADL   | Severe symptoms;<br>limiting self care<br>ADL; elective operative<br>intervention indicated  | Life-threatening<br>consequences;<br>urgent intervention<br>indicated                       | Death |
| Exostosis  | Asymptomatic;<br>clinical or diagnostic<br>observations only;<br>intervention not<br>indicated                        | Symptomatic; limiting instrumental ADL   | Severe symptoms;<br>limiting self care<br>ADL; elective operative<br>intervention indicated  | -   | -     |
| Fibrosis deep<br>connective tissue   | Mild induration,<br>able to move<br>skin parallel to<br>plane (sliding) and<br>perpendicular to skin<br>(pinching up) | Moderate induration,<br>able to slide skin,<br>unable to pinch skin;<br>limiting instrumental<br>ADL                     | Severe induration; unable<br>to slide or pinch skin;<br>limiting joint or orifice<br>movement (e.g. mouth,<br>anus); limiting self care<br>ADL   | Generalized;<br>associated with<br>signs or symptoms<br>of impaired<br>breathing or feeding | Death |
| Head soft tissue<br>necrosis   | -   | Local wound care;<br>medical intervention<br>indicated (e.g.,<br>dressings or topical<br>medications)                    | Operative debridement<br>or other invasive<br>intervention indicated<br>(e.g., tissue<br>reconstruction, flap or<br>grafting)  | Life-threatening<br>consequences;<br>urgent intervention<br>indicated                       | Death |
| Myalgia  | Mild pain   | Moderate pain; limiting instrumental ADL   | Severe pain; limiting self<br>care ADL   | -   | -     |
| Myositis   | Mild pain   | Moderate pain<br>associated with<br>weakness; pain limiting<br>instrumental ADL  | Pain associated with<br>severe weakness;<br>limiting self care ADL   | -   | -     |
| Osteonecrosis of<br>jaw  | Asymptomatic;<br>clinical or diagnostic<br>observations only;<br>intervention not<br>indicated                        | Symptomatic; medical<br>intervention indicated<br>(e.g., topical agents);<br>limiting instrumental<br>ADL                | Severe symptoms;<br>limiting self care<br>ADL; elective operative<br>intervention indicated  | Life-threatening<br>consequences;<br>urgent intervention<br>indicated                       | Death |
| Trismus  | Decreased ROM<br>(range of motion)<br>without impaired<br>eating  | Decreased ROM<br>requiring small bites,<br>soft foods or purees  | Decreased ROM with<br>inability to adequately<br>aliment or hydrate orally   | -   | -     |
| Neoplasms benign,<br>malignant and<br>unspecified (incl<br>cysts and polyps) -<br>Other, specify | Asymptomatic or<br>mild symptoms;<br>clinical or diagnostic<br>observations only;<br>intervention not<br>indicated    | Moderate; minimal,<br>local or noninvasive<br>intervention<br>indicated; limiting<br>age-appropriate<br>instrumental ADL | Severe or medically<br>significant but<br>not immediately<br>life-threatening;<br>hospitalization or<br>prolongation of existing<br>hospitalization indicated;<br>disabling; limiting self<br>care ADL | Life-threatening<br>consequences;<br>urgent intervention<br>indicated                       | Death |
| Dysgeusia  | Altered taste but no<br>change in diet  | Altered taste with<br>change in diet (e.g.,<br>oral supplements);<br>noxious or unpleasant<br>taste; loss of taste       | -  | -   | -     |
| Facial muscle<br>weakness  | Asymptomatic;<br>clinical or diagnostic<br>observations only;<br>intervention not<br>indicated                        | Moderate symptoms;<br>limiting instrumental<br>ADL   | Severe symptoms;<br>limiting self care ADL   | -   | -     |
| Facial nerve<br>disorder   | Asymptomatic;<br>clinical or diagnostic<br>observations only;<br>intervention not<br>indicated                        | Moderate symptoms;<br>limiting instrumental<br>ADL   | Severe symptoms;<br>limiting self care ADL   | -   | -     |
| Glossopharyngeal<br>nerve disorder   | Asymptomatic;<br>clinical or diagnostic<br>observations only;<br>intervention not<br>indicated                        | Moderate symptoms;<br>limiting instrumental<br>ADL   | Severe symptoms;<br>limiting self care ADL   | Life-threatening<br>consequences;<br>urgent intervention<br>indicated                       | Death |
| Headache   | Mild pain   | Moderate pain; limiting  | Severe pain; limiting self   | -   | -     |

|                               |  | Level of Ha   | rm; Grade 1 = least and 5 = :   | most  |       |
|-------------------------------|--|---|---|---|-------|
| Adverse Event                 | 1  | 2   | 3   | 4   | 5     |
| Hypoglossal nerve<br>disorder | Asymptomatic;<br>clinical or diagnostic<br>observations only;<br>intervention not<br>indicated | Moderate symptoms;<br>limiting instrumental<br>ADL  | Severe symptoms;<br>limiting self care ADL  | -   | -     |
| Paresthesia                   | Mild symptoms  | Moderate symptoms;<br>limiting instrumental<br>ADL  | Severe symptoms;<br>limiting self care ADL  | -   | -     |
| Sinus pain                    | Mild pain  | Moderate pain; limiting instrumental ADL  | Severe pain; limiting self<br>care ADL  | -   | -     |
| Syncope                       | -  | -   | Fainting; orthostatic collapse  | -   | -     |
| Trigeminal nerve<br>disorder  | Asymptomatic;<br>clinical or diagnostic<br>observations only;<br>intervention not<br>indicated | Moderate symptoms;<br>limiting instrumental<br>ADL  | Severe symptoms;<br>limiting self care ADL  | -   | -     |
| Epistaxis                     | Mild symptoms;<br>intervention not<br>indicated  | Moderate symptoms;<br>medical intervention<br>indicated (e.g.,<br>nasal packing,<br>cauterization; topical<br>vasoconstrictors)   | Transfusion, radiologic,<br>endoscopic, or operative<br>intervention indicated<br>(e.g., hemostasis of<br>bleeding site)  | Life-threatening<br>consequences;<br>urgent intervention<br>indicated   | Death |
| Sleep apnea                   | Snoring and<br>nocturnal sleep<br>arousal without<br>apneic periods                            | Moderate apnea and<br>oxygen desaturation;<br>excessive daytime<br>sleepiness; medical<br>evaluation indicated;<br>limiting instrumental<br>ADL   | Oxygen desaturation;<br>associated with<br>hypertension; medical<br>intervention indicated;<br>limiting self care ADL   | Cardiovascular or<br>neuropsychiatric<br>symptoms;<br>urgent operative<br>intervention<br>indicated   | Death |
| Erythema<br>multiforme        | Target lesions<br>covering <10% BSA<br>and not associated<br>with skin tenderness              | Target lesions covering<br>10 – 30% BSA and<br>associated with skin<br>tenderness   | Target lesions covering<br>>30% BSA and<br>associated with oral or<br>genital erosions  | Target lesions<br>covering >30%<br>BSA; associated<br>with fluid<br>or electrolyte<br>abnormalities; ICU<br>care or burn unit<br>indicated  | Death |
| Bullous dermatitis            | Asymptomatic;<br>blisters covering<br><10% BSA   | Blisters covering 10<br>– 30% BSA; painful<br>blisters; limiting<br>instrumental ADL  | Blisters covering >30%<br>BSA; limiting self care<br>ADL  | Blisters covering<br>>30% BSA;<br>associated with<br>fluid or electrolyte<br>abnormalities; ICU<br>care or burn unit<br>indicated   | Death |
| Periorbital edema             | Soft or non-pitting  | Indurated or pitting<br>edema; topical<br>intervention indicated  | Edema associated with<br>visual disturbance;<br>increased intracoular<br>pressure, glaucoma or<br>retinal hemorrhage;<br>optic neuritis; diuretics<br>indicated; operative<br>intervention indicated              | -   | -     |
| Stevens-Johnson<br>syndrome   | -  | -   | Skin sloughing covering<br><10% BSA with<br>associated signs (e.g.,<br>erythema, purpura,<br>epidermal detachment<br>and mucous membrane<br>detachment)   | Skin sloughing<br>covering 10 –<br>30% BSA with<br>associated signs<br>(c.g., erythema,<br>purpura, epidermal<br>detachment and<br>mucous membrane<br>detachment)                                 | Death |
| Hematoma                      | Mild symptoms;<br>intervention not<br>indicated  | Minimally invasive<br>evacuation or aspiration<br>indicated   | Transfusion, radiologic,<br>endoscopic, or elective<br>operative intervention<br>indicated  | Life-threatening<br>consequences;<br>urgent intervention<br>indicated   | Death |
| Hypertension                  | Prehypertension<br>(systolic BP 120<br>– 139 mm Hg or<br>diastolic BP 80 – 89<br>mm Hg)        | Stage 1 hypertension<br>(systolic BP 140 – 159<br>mm Hg or diastolic<br>BP 90 – 99 mm Hg);<br>medical intervention<br>indicated; recurrent or<br>persistent (>=24 hrs);<br>symptomatic increase<br>by >20 mm Hg<br>(diastolic) or to<br>>140/90 mm Hg | Stage 2 hypertension<br>(systolic BP >=160 mm<br>Hg or diastolic BP<br>>=100 mm Hg); medical<br>intervention indicated;<br>more intensive therapy<br>than previously used<br>indicated Pediatric Same<br>as adult | Life-threatening<br>consequences<br>(e.g., malignant<br>hypertension,<br>transient or<br>permanent<br>neurologic deficit,<br>hypertensive crisis);<br>urgent intervention<br>indicated Pediatric: | Death |

|               | Level of Harm; Grade 1 = least and 5 = most    |  |  |  |       |
|---------------|--|--|--|--|-------|
| Adverse Event | 1  | 2  | 3  | 4  | 5     |
|               |  | if previously WNL;<br>monotherapy indicated<br>Pediatric: recurrent<br>or persistent (>=24<br>hrs) BP >ULN;<br>monotherapy indicated |  |  |       |
| Hypotension   | Asymptomatic,<br>intervention not<br>indicated | Non-urgent medical intervention indicated  | Medical intervention or<br>hospitalization indicated | Life-threatening and<br>urgent intervention<br>indicated | Death |
| Phlebitis     | -  | Present  | -  | -  | -     |

## Appendix 2: Overlap Of Five Medical Approaches To Observing Adverse Events

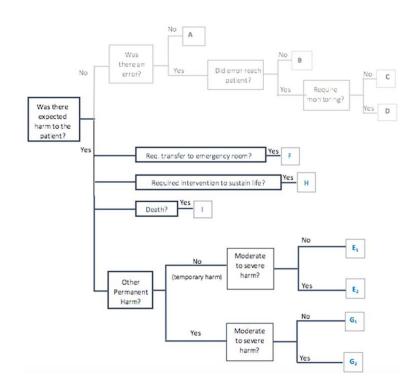
| National Cancer<br>Institute's<br>Common Terminology<br>Criteria for Adverse<br>Events v 4.0 (CTCAE) | Harvard<br>Medical<br>Practice<br>Study     | IHI Outpatient<br>Trigger Tool  | WHO International<br>Classification for<br>Patient Safety (ICPS)  | Medicare<br>Hospital-<br>Acquired<br>Conditions  |
|--|---|---|---|--|
| Blood and lymphatic system disorders   |   |   | Blood/Blood Products  | Blood incompatibility  |
| Cardiac disorders  |   |   |   |  |
| Congenital, familial and genetic<br>disorders  |   |   |   |  |
| Ear and labyrinth disorders  |   |   |   |  |
| Endocrine disorders  |   |   |   | Manifestations of poor<br>glycemic control   |
| Eye disorders  |   |   |   |  |
| Gastrointestinal disorders   |   |   |   |  |
| General disorders and administration<br>site conditions  | Diagnostics<br>Medications<br>Miscellaneous | 2 or more consults/<br>year     Physician change     >5 medications     Complaint letter     >3 nursing calls | Clinical Administration     Documentation     Medical Device/     Equipment     Infrastructure/Building/     Fixtures     Resources/Organizational     Management |  |
| Hepatobiliary disorders  |   |   |   |  |
| Immune system disorders  |   |   |   |  |
| Infections and infestations  |   |   | Healthcare Associated Infection   | Surgical site infection     Vascular catheter     associated infection     Catheter associated     urinary tract infection |
| Injury, poisoning and procedural<br>complications  | Procedures                                  | ER visit  |   |  |
| Investigations   | Therapeutics                                | Abnormal lab value  |   |  |
| Metabolism and nutrition disorders   |   |   | Nutrition   |  |
| Musculoskeletal and connective tissue<br>disorders   |   |   |   | Pressure ulcers  |
| Neoplasms benign, malignant and<br>unspecified (incl. cysts and polyps)                              |   | New Diagnosis of<br>cancer  |   |  |
| Nervous system disorders   |   |   |   |  |
| Pregnancy, puerperium and perinatal<br>conditions  | Nepnatal<br>Peripartum                      |   |   |  |
| Psychiatric disorders  |   |   | Behavior  |  |
| Renal and urinary disorders  |   |   |   |  |

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|------|----|--|

| National Cancer<br>Institute's<br>Common Terminology<br>Criteria for Adverse<br>Events v 4.0 (CTCAE) | Harvard<br>Medical<br>Practice<br>Study | IHI Outpatient<br>Trigger Tool                       | WHO International<br>Classification for<br>Patient Safety (ICPS)              | Medicare<br>Hospital-<br>Acquired<br>Conditions  |
|--|---|--|---|--|
| Reproductive system and breast<br>disorders  |   |  |   |  |
| Respiratory, thoracic and mediastinal disorders  | Anesthesia                              |  |   |  |
| Skin and subcutaneous tissue<br>disorders  |   |  |   |  |
| Social circumstances   | Falls                                   | NH placement     Admission/discharge     of hospital |   |  |
| Surgical and medical procedures  | Operations                              | Surgical procedure                                   | Clinical Process/<br>Procedure     Medication/TV Fluids     Patient Accidents | Foreign object retained     Falls  |
| Vascular disorders   |   |  |   | <ul> <li>Air embolism</li> <li>Deep vain thrombosis/<br/>pulmonary embolism</li> </ul> |

#### Box 1

| Trigger name                                       | Trigger description   | AEs detected  |
|--|---|---|
| Allergy or Toxicity<br>or Foreign body<br>response | Patients who had " <i>foreign body</i> " text in their notes and had received at least one treatment in the given calendar year                               | Allergic reaction to<br>orthodontic brackets, or<br>medication                  |
| Aspiration or<br>Ingestion of foreign<br>body      | Patients who had <i>terms like "aspiration"</i> ,<br><i>"aspirated"</i> in their notes and had received at<br>least one treatment in the given calendar year. | Ingestion or Aspiration of<br>crown or screw during<br>placement of restoration |
| Failed implant                                     | Patients who had a failed implant diagnosis or<br>implant removal procedure code on any tooth in<br>the given calendar year.                                  | Peri-implantitis, lack of implant integration                                   |



**Figure 1.** Dental AE Severity Tree Description of Dental AE Severity Categories:

Category E1: Temporary (reversible or transient) minimal/mild harm to the patient

Category E2: Temporary (reversible or transient) moderate to severe harm to the patient

Category F: Harm to the patient that required transfer to emergency room and/or prolonged hospitalization

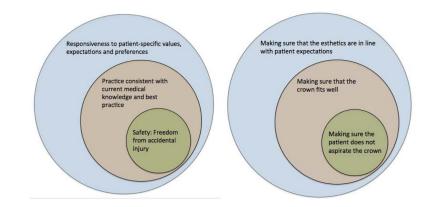
Category G1: Permanent minimal/mild patient harm

Category G2: Permanent moderate to severe patient harm

Category H: Intervention required to sustain life

Category I: Patient death

Severity tree showing the chart review process for assigning severity categories to an adverse event. The reviewer begins on the left side and follows the branches of the tree to the right by answering each question.



#### Figure 2.

Patient safety is a core component of quality of care. (Institute of Medicine (2000) To Err Is Human<sup>37</sup>)

A hypothetical illustration of safety as a component of quality dental care delivery using tooth crowns. The smallest circle represents the attempt to keep the patient free from accidental injury by ensuring the patient does not aspirate the crown. This fits into the bigger circle of quality by ensuring the crown is functional. The last piece of quality is to ensure that it meets the patient's preference and aesthetic expectations.

#### Table 1

#### Dental AE Type Classification

| AE Category                                   | AE Count |
|---|----------|
| Pain  | 56       |
| Infection                                     | 17       |
| Hard tissue damage                            | 12       |
| Nerve injury                                  | 6        |
| Soft tissue damage/inflammation               | 5        |
| Other oro-facial harm                         | 2        |
| Allergy, toxicity, or foreign body response   | 1        |
| Aspiration or ingestion of foreign body       | 1        |
| Wrong site, wrong patient, or wrong procedure | 0        |
| Bleeding                                      | 0        |
| Other systemic harm                           | 1        |
| Other harm                                    | 0        |
| Total   | 101      |

#### Table 2

#### Dental AE Severity Classification

| AE Severity                            | Count |
|--|-------|
| E2 (Temporary Moderate to Severe Harm) | 89    |
| G2 (Permanent Moderate to Severe Harm) | 10    |
| E1                                     | 0     |
| G1                                     | 1     |
| Total                                  | 101   |

#### Table 3

Dental Triggers Showing Reviewed Charts (3283 charts were triggered with specific triggers and 91,936 with a random sample of charts)

| Triggers   | # Triggered Charts | #Reviewed Charts |
|--|--------------------|------------------|
| T1:Extraction Following RCT/Crown/Filling                                  | 110                | 99               |
| T2: Untreated Periodontitis  | 224                | 100              |
| T3: Failed Implant   | 34                 | 34               |
| T4 : Post-surgical extraction complications or Post Perio TX complications | 377                | 100              |
| T5: Repeated Fillings  | 391                | 129              |
| T6: Multiple Visits  | 60                 | 58               |
| T7:Random Charts   | 91936              | 99               |
| T8 : Nerve Injury  | 36                 | 36               |
| T9: Infections   | 430                | 100              |
| T10: Soft tissue injury/inflammation                                       | 1449               | 100              |
| T11: Allergy/Toxicity/Foreign Body response                                | 36                 | 35               |
| T12: Aspiration/Ingestion of Foreign Body                                  | 136                | 68               |
| Total  | 3283 (+91936)      | 958              |