



Department of  
Developmental Disabilities

# **UI Log Training**

**DODD/MUI Registry Unit**  
**February 2014**

# Why are UI Logs Important?

- UI logs will help you identify *Trends and Patterns* that need to be addressed to ensure the Health and Welfare of those you serve.
- It is required that all Providers complete monthly UI logs.
- DODD will review UI logs during compliance reviews.
- There is a new emphasis on Unusual Incident Investigations with revised rule which went into effect 9/3/13.



# Unusual Incident Means?

"Unusual incident" means an event or occurrence involving an individual that is not consistent with routine operations, policies and procedures, or the individual's care or individual service plan, but is not a major unusual incident.

Unusual incident includes, but is not limited to, dental injuries; falls; an injury that is not a significant injury; medication errors without a likely risk to health and welfare; overnight relocation of an individual due to a fire, natural disaster, or mechanical failure; an incident involving two individuals served that is not a peer-to-peer act major unusual incident; and rights code violations or unapproved behavior supports without a likely risk to health and welfare.

**"Incident report" means documentation that contains details about a major unusual incident or an unusual incident and shall include, but is not limited to:**

- (a) Individual's name;**
- (b) Individual's address;**
- (c) Date of incident;**
- (d) Location of incident;**
- (e) Description of incident;**
- (f) Type and location of injuries;**
- (g) Immediate actions taken to ensure health and welfare of individual involved and any at-risk individuals;**
- (h) Name of primary person involved and his or her relationship to the individual;**
- (i) Names of witnesses;**
- (j) Statements completed by persons who witnessed or have personal knowledge of the incident;**
- (k) Notifications with name, title, and time and date of notice;**
- (l) Further medical follow-up; and**
- (m) Name of signature of person completing the incident report.**

# **An Effective Incident Report tells you**

- **Who – Staff and individuals involved in the incident**
- **What – What happened before (antecedent), during (detailed account) and after (immediate action) the incident**
- **When – Date and time of incident (Timely)**
- **Where – Location of the incident**

# **(M) Unusual Incident Requirements**



# **(M) Requirements for Unusual Incidents**

(1) Unusual incidents shall be reported and investigated by the provider.



# **(M) Requirements for Unusual Incidents**

- (2) Each agency provider shall develop and implement a written unusual incident policy and procedure that:
  - (a) Identifies what is to be reported as an unusual incident which shall include unusual incidents as defined in this rule;
  - (b) Requires an employee who becomes aware of an unusual incident to report it to the person designated by the agency provider who can initiate proper action;
  - (c) Requires the report to be made no later than twenty-four hours after the occurrence of the unusual incident; and
  - (d) Requires the agency provider to investigate unusual incidents, identify the cause and contributing factors when applicable, and develop preventive measures to protect the health and welfare of any at-risk individuals.

**What comes first ?**

**HEALTH AND WELFARE**

**IMMEDIATE ACTIONS COME FIRST**

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# Immediate Actions

- Always document what actions were taken following the incident
  - Assessed for injuries
  - Called 911
  - Initiated first aid
  - Separated the individuals
  - Notified law enforcement
  - Notified the county board/IA

# Cause & Contributing Factors

- What Happened?
- Why did it happen?
- Drill Down into the incident to identify the Root Cause as well as Contributing Factors.

# Prevention Plans

- All UI's require a prevention plan
- All UI logs need prevention plans
- A good prevention plan may prevent an MUI.
- Is this a UI trend?

# Prevention Plans

Remember the words of Albert Einstein...

*"If you always do what you've always done, you'll always get what you always got."*

Examples of not so effective Preventions Plans:

- Continue to Monitor
- Implement plan as written
- Told him/her not to do that

# Begins With a Thorough Investigation that

- Interviews all appropriate people.
- Reviews all facts.
- Determines the root cause.
- Identifies other contributing factors such as:

Staff

Equipment

Individuals

Policies

Environment

Communication Systems

Leadership

# UI Investigation

- Unusual incident includes, but is not limited to: dental injuries; falls; an injury that is not a significant injury; medication errors without a likely risk to health and welfare; overnight relocation of an individual due to a fire, natural disaster, or mechanical failure; an incident involving two individuals served that is not a peer-to-peer act major unusual incident; and rights code violations or unapproved behavior supports without a likely risk to health and welfare.

# How to Investigate a UI?

- Start with the Incident Report:
- Description: Does the information given by staff explain what happened? Did the witness tell us the Who, What, Where and When?
- Immediate Action
- What was happening prior to incident? What was staff and individuals doing prior.
- Antecedents

# How to Investigate a UI?

- Was there an Injury? Does the Injury match the story given as to how it occurred? Medical Treatment?
- Unknown Injury? Does staff document on the IR how this may have occurred?
- Where did this occur? Bathroom, bedroom?
- Witnesses – Staff and Individuals! Anyone Else
- Notifications

# **(M) Requirements for Unusual Incidents**

(3) The agency provider shall ensure that all staff are trained and knowledgeable regarding the unusual incident policy and procedure.



## **(M) Requirements for Unusual Incidents**

- (4) If the unusual incident occurs at a site operated by the county board or at a site operated by an entity with which the county board contracts, the county board or contract entity shall notify the licensed provider or staff, guardian, or other person whom the individual has identified, as applicable, at the individual's residence. The notification shall be made on the same day the unusual incident is discovered.

## **(M) Requirements for Unusual Incidents**

- (5) Independent providers shall complete an incident report, notify the individual's guardian or other person whom the individual has identified, as applicable, and forward the incident report to the service and support administrator or county board designee on the same day the unusual incident is discovered.

## **(M) Requirements for Unusual Incidents**

- (6) Each agency provider and independent provider shall review all unusual incidents as necessary, but no less than monthly, to ensure appropriate **preventive measures** have been implemented and **trends and patterns identified and addressed as appropriate.**

## **(M) Requirements for Unusual Incidents**

- (7) The unusual incident reports, documentation of identified trends and patterns, and corrective action shall be made available to the county board and department upon request.

## **(M) Requirements for Unusual Incidents**

- (8) Each agency provider and independent provider shall maintain a log of all unusual incidents. **The log shall include, but is not limited to, the name of the individual, a brief description of the unusual incident, any injuries, time, date, location, and preventive measures.**
- <http://dodd.ohio.gov/healthandsafety/Documents/UNUSUAL%20INCIDENT%20REPORT%20LOG%20pdf%208%2029%2013.pdf>

# Example of an Incomplete UI Log

## CRUCIAL INCIDENT REPORT LOG

Provider/Facility: CD Inc.						Month/Year: Nov. 2013	County: Franklin				
Name	UI #	Date & Time	Injury	Home Name and Address	Location	Description of the Incident (Explain the risk of Harm)	Immediate Actions Taken to Ensure Health and Welfare	Causes and Contributing Factors	Prevention Plan	UI/MUI	
James Blue	1107	11/7/13 2 <sup>nd</sup> Shift	Bruise	Etna Rd	Home	James fell and hit his head while at the sink.	James sat in living room watching tv. Seemed to be ok.	Not observed, may have tripped.	Staff will continue to monitor James in the kitchen.	UI	
Bob White	1108	11/7/13 2 <sup>nd</sup> Shift	scratches	Etna Rd	Bathroom	Scratches under arm found during shower time.	Checked Bob's fingernails.	Bob scratches himself	Redirect Bob when he scratches himself.	UI	
Joe Black	1109	11/11/13 2 <sup>nd</sup> Shift	None	Etna Rd	Living Rm	Joe left the kitchen and ran to James and slapped him.	Joe was told that hitting is bad and had him go to his bedroom.	Joe hits peers for unknown reason.	Staff will monitor when Joe and James around each other.	UI	
James Blue	1109	11/11/13 2 <sup>nd</sup> Shift	Red Mark	Etna Rd	Living Rm	James was hit by a peer for unknown cause.	Red mark faded within a few minutes.	Joe hits peers for unknown reason.	Staff will monitor when Joe and James around each other.	UI	
James Blue Joe Black	1110	11/12/13 1 <sup>st</sup> Shift	None	Etna Rd	NA	James told staff that he ate Joe's cookies and has a stomach ache.	James was given toast for breakfast since he complained of a stomach ache.	James eats too much sometimes.	James will be reminded to not eat too many cookies on 2 <sup>nd</sup> shift.		

# Example of an Incomplete UI Log

Reviewed by: Chuck Davis Title: Home Manager Date: 12/13/13

Trends and Pattern Identified? YES  NO

Trends and Pattern Addressed? YES  NO  If yes, please complete section below.

Action taken to address identified Patterns and Trends:

No trends noted...

O.A.C. 5123:2-17-02 (M)(8) Each agency provider and independent provider shall maintain a log of all unusual incidents. The log shall include, but is not limited to, the name of the individual, a brief description of the unusual incident, any injuries, time, date, location, and preventive measures.

## *What's missing from this Log?*

- Important Details like and incident descriptions
- Evidence of medical follow up following injuries
- Location and description of injuries

# Example of Good UI Log

## UNUSUAL INCIDENT REPORT LOG



Provider/Facility: CD Inc.						Month/Year: Nov. 2013	County: Franklin				
Name	UI #	Date & Time	Injury	Home Name and Address	Location	Description of the Incident (Explain the risk of Harm)	Immediate Actions Taken to Ensure Health and Welfare	Causes and Contributing Factors	Prevention Plan	UI/MUI	
James Blue	1107	11/7/13 5:50pm	Large Bruise on Forehead	Etna Rd	Kitchen	James was at the sink after cleaning his dishes when he turned to walk away he fell to the ground. His head hit the kitchen counter.	Assessed his injury. He never lost consciousness. Ice for Injury – Contacted Supervisor and asked for nurse to evaluate injury.	Kitchen floor around the sink was wet. James does not have a history of falling.	A rug was purchased to put on the floor in front of the sink. Staff was trained to assist individuals as needed when they are cleaning off their dishes.	UI – Injury was a bruise to forehead. No medical treatment needed.	
Bob White	1108	11/7/13 7:05pm	Small scratch marks under his left arm pit	Etna Rd	Bathroom	I was assisting Bob with his shower and noticed small scratches under his left arm pit. Unknown as to how they occurred.	Cleaned injury with soap and water. Checked Bob's fingernails and his wheelchair to make sure nothing sticking out of chair that could scratch himself with.	Bob has sensitive skin and he will scratch himself under his arm pit as well as other areas of his body when his skin is irritated.	A new dye-free detergent was purchased to use on Bob's clothes. Staff are trained to wash his clothes separate from his peers. New body soap and shampoo (fragrance free) will be used to see if this is the reason he scratches himself so much. Medical Appointment may occur if the prevention plan is not successful.	UI	

# Example of Good UI Log

Joe Black	1109	11/11/13 6:10pm	None	Etna Rd	Living Rm	Joe had just finished his dinner. Joe was being redirected from the cupboard where the cookies are kept. Joe had already had cookies but wanted more. Joe left the kitchen and ran to James and slapped him.	Staff redirected Joe to the kitchen and talked to him so co-workers could assess James. Joe chose to stay in his room and listen to music. Staff stayed close to Joe the rest of the night when he came out of his room.	Joe will slap peers and staff if he is agitated. Joe may have been upset due to not being able to have more cookies.	Joe is not on a diet and can have cookies but if allowed will eat entire box of cookies and may get a stomach ache. Staff are trained on trying to redirect Joe so he does not eat too many cookies and offering other choices.	UI – Not firmly fixed and injury does not meet rule criteria
James Blue	1109	11/11/13 6:10pm	Red Mark on his left shoulder	Etna Rd	Living Rm	James was sitting in his recliner watching the news on TV when Joe came out of the kitchen, ran over and slapped James 1x on his left shoulder.	James was assessed by staff. The red mark faded within a few minutes. Staff reassured James that they would keep Joe away from him so he could watch TV.	James has been hit by Joe in the past but this is only the 3 <sup>rd</sup> time in 2013.	Staff are now trained that if Joe is agitated that they will be next to him so he cannot hit any of his house mates.	UI – Not firmly fixed and injury does not meet rule criteria
James Blue Joe Black	1110	11/12/13 7:05am	None	Etna Rd	NA	James told staff while getting ready for work that his belly hurt because he ate too many cookies the night before. James is reporting that he got extra cookies as a snack because of what Joe did to him and that Joe did not get his snack since he hit James.	James was offered a Tums for his upset stomach. Staff will review ordering a PRN for stomach issues that James may have. He ate his breakfast with no issues and went to work. The workshop was notified to monitor his stomach.	Staff was trying to make James feel better after being hit by Joe.	Staffs working were trained on Individual Rights before they could start the shift. Manager will continue monitoring staff interaction with individuals in the home.	UI - No risk but the CB was notified and agreed.

# Example of Incomplete Log

## | UNUSUAL INCIDENT REPORT LOG

Provider/Facility: ABC Residential Supports- <b>BAD EXAMPLE</b>						Month/Year: 12/2013	County: Cuyahoga			
Name	UI #	Date & Time	Injury	Home Name and Address	Location	Description of the Incident (Explain the risk of Harm)	Immediate Actions Taken to Ensure Health and Welfare	Causes and Contributing Factors	Prevention Plan	UI/MUI
John	1111	12/1/13		1810 W. Broad Street	Apartment Court Yard	John said that his neighbor's dog, Lucky, bit him on the hand and it was bleeding.	Reminded staff to call staff next time the dog bites him.	John was probably playing rough with dog	NA	UI
Sara	1112	12/8/13 9:53 a.m.	Big Bruise	119 South Ave	Hallway	Sara was walking down the hallway and fell	Picked her up	Sara walks too fast	Remind Sara to slow down	UI
White	1113	12/10/13 7:30 p.m.	Didnt see any.	555 White Pine	Kitchen	Toby was eating dinner and told me his Dad hit him when he went home last weekend.	I told T. to tell someone when that happens again. I called T's family and asked if T and his Dad got into a fight. They said "yes" but they worked it out. Everything is ok now.	T. gets bossy and plays his music too loud and it makes his Dad real mad.	If this happens again, ABC will call T.'s SSA.	
Sara S.	1114		Red mark on hand	119 South Ave	Living Room	Sara was walking and just tripped	Picked her up. No First Aid needed.	Wasn't using her walker	Remind Sara to slow down	UI
Sara S.	1115	12/10/13 10 a.m.	?	119 South Ave	Hallway	Sara was walking down the hallway and fell down	Helped her	Sara walks too fast	Continue to watch Sara	UI

Robby	1116	9:00 p.m.				Robby was watching OSU-Michigan Basketball game on T.V. When the Michigan team scored a 3 point shot, Robby throw his full can of Diet Coke at the TV. The pop went everywhere and the TV screen shattered.	Cleaned up glass and spilled pop. Helped Robby throw his TV away because it was broken.	Robby is a huge Buckeye Fan	Maybe Robby shouldn't be able to watch the game if he gets so mad	
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Kris Cross	1117	12/14/13 7:45p.m.	None	1 Castle Court	Family Room	Kris and his roommate were sitting in the family room and started screaming names at each other.	Told them to stop it	Acting crazy	NA	?
Sara S.	1118	12/16	?	119 South Ave	Hallway	Sara was walking down the hallway and fell on knees	Picked her up	Sara walks too fast	Continue to Monitor	UI
Sara S.	1119	12/18/13 7:57 a.m.		119 South Ave	Kitchen	Sara was walking in kitchen and fell	Helped her up	Sara walks too fast		UI
Sara S.	1120	12/28/13	Big Bruise	119 South Ave	Hallway	Sara was walking down the hallway and fell	Picked her up	Sara walks too fast	Implement ISP	UI
Sara S.	1121	12/29/13 morning	Said she was fine	119 South Ave	Hallway	Sara was walking down the hallway and fell and hit her head on coffee table	Picked her up. Asked if she was ok and she said she was	Sara walks too fast		UI
Joe W.		?	N/A	Home	Work	Joe said that he took his cell phone to work and he can't find it	Reminded Joe he should not be taking his cell to work	Joe shouldn't bring cell to work	Phone is gone. He will have to save up for a new one.	?
Paula and Sam	1123	12/31/13		733 <u>Woodstone</u> Lane	Lounge	Paula and Sam were going at it. Paula called him swear words and then kicked him in the stomach	Told Sam and Paula they need to go to their rooms if they were going to act like that or staff would take them there	No reason-just started fighting	Continue to monitor ; implement BSP	

# Example of Incomplete Log-cont.

Reviewed by: S. Miller

Title: PDQQA

Date: 1-5-14

Trends and Pattern Identified?

YES

NO

Trends and Pattern Addressed?

YES

NO

If yes, please complete section below.

Action taken to address identified Patterns and Trends:

NA

D.A.C. 5123:2-17-02 (M)(8) Each agency provider and independent provider shall maintain a log of all unusual incidents. The log shall include, but is not limited to, the name of the individual, a brief description of the unusual incident, any injuries, time, date, location, and preventive measures.

*What's missing from this Log?*

- Important Details like full names, dates, times and incident descriptions
- Evidence of medical follow up following injuries
- Identification of Pattern and Trends
- Identification of MUIs

# Example of a Good UI Log

## UNUSUAL INCIDENT REPORT LOG

Provider/Facility: ABC Residential Supports- <b>GOOD EXAMPLE</b>						Month/Year: 12/2013	County: Cuyahoga			
Name	UI #	Date & Time	Injury	Home Name and Address	Location	Description of the Incident (Explain the risk of Harm)	Immediate Actions Taken to Ensure Health and Welfare	Causes and Contributing Factors	Prevention Plan	UI/MUI
John Glenn	1111	12/1/13 1:25 p.m.	Right Hand had a large bite mark on top. Size of half dollar. Bite had broken the skin and looked red and puffy.	1810 W. Broad Street	Apartment Court Yard	John said that his neighbor's dog, Lucky, bit him on the hand and it was bleeding.	<ol style="list-style-type: none"> <li>Took John to Cleveland Metro. They confirmed Dog was current with shots. Cleaned wound, no stitches needed and released 2 hours later with prescription.</li> <li>Reminded staff to call staff next time the dog bites him.</li> </ol>	John was probably playing rough with dog	<ol style="list-style-type: none"> <li>Take prescribed medication from ER follow up with MD</li> <li>Called Landlord to request that dog not be able to roam off leash.</li> <li>Discussed risks of approaching stray dogs with John</li> <li>Talked to John about maybe visiting Humane Society to see animals that he can maybe play with-possible volunteer</li> </ol>	UI
Sara Stein	1112	12/8/13 9:53 a.m.	Large quarter size bruise on left arms	119 South Ave	Hallway	Sara was walking down the hallway and fell to the left hitting left side of body and arm on the wall.	Checked Sara and noticed reddened area on arm. She denied any other pain. Gave Sara her walker and assisted her to her feet.	Sara was not using her walker and rushing to restroom. Sara walks too fast	<ol style="list-style-type: none"> <li>Asked Sara if she would assistance to restroom very 1 hour so she doesn't need to rush.2. Remind Sara to use walker</li> </ol>	UI

Toby White	1113	12/10/13 7:30 p.m.	Toby had mark across his left face that resembled a hand print	555 White Pine	Kitchen	Toby was eating dinner and told me his Dad hit him when he went home last weekend.	Asked Toby if he had any other injuries and he said no. He refused to go to Doctor to be evaluated. Toby is not scheduled to see his parents for three more weeks. Staff contacted supervisor and Cuyahoga CB. The Police were called and took Toby's statement.	T. gets bossy and plays his music too loud and it makes his Dad real mad.  There is a history of domestic violence with family. Toby said his Dad was upset because he wouldn't turn down his music when visiting.	If this happens again, ABC will call T.'s SSA.  1. Team to meet about Family visits 2. Toby is to begin counseling 2 times per month 3. Toby has programmed in Emergency contacts into his cell phone to use if he ever feels like he is uncomfortable or unsafe.	MUI- Allegation of Abuse  2013-018-1114
Sara Stein	1114	12/10/13 9:42 a.m.	Red mark on L hand (dime sized) on palm	119 South Ave	Living Room	Sara was walking and tripped and put hand out to break fall	Checked Sara for injuries, noted reddened area to L hand. Sara denies pain. No First Aid needed. Got walker and helped Sara to feet. Notified Nurse.	Wasn't using her walker; seemed really unsteady; just took medication	Remind Sara to slow down and use walker. Contacted Home Manager to discuss fall.	UI
Sara Stein	1115	12/10/13 10 a.m.	No injuries	119 South Ave	Hallway	Sara was walking down the hallway and fell down on her knees.	Checked Sara for injuries, noted reddened area to L hand. Sara denies pain. No First Aid needed. Helped Sara to feet. Notified Nurse.	Sara had just taken her medication. She was using walker?	1. Contacted Nurse and Home Manager. 2. Will make sure staff is with Sara to assist with ambulation immediately following medication. 3. Train staff on new procedures and make sure Sara is using walker.	UI

Robby Brown	1116	12/12/13 9:00 p.m.	No injuries	123 W. Central Avenue	Living Room	Robby was watching OSU-Michigan Basketball game on T.V. When the Michigan team scored a 3 point shot, Robby throw his full can of Diet Coke at the TV. The pop went everywhere and the TV screen shattered.	<ol style="list-style-type: none"> <li>1. Tried to calm Robby by talking about his frustration per his ISP. Robby calmed down.</li> <li>2. Checked Robby –no injuries</li> <li>3. Cleaned up glass and spilled pop.</li> <li>4. Put TV in closet to see if it can be repaired. At later time.</li> <li>5. Contacted On Call</li> </ol>	Robby sometimes has a hard time expressing himself.	<ol style="list-style-type: none"> <li>1. Contact County Board and see if Counseling might be appropriate as an outlet for Robby.</li> <li>2. Develop more strategies for Robby when he is becoming frustrated, like recording game and coming back to it when he is calmer.</li> <li>3. TV Repair</li> </ol>	UI
Kris Cross	1117	12/14/13 7:45p.m.	None	1 Castle Court	Family Room	Kris and his roommate were sitting in the family room and started screaming names at each other.	Talked to guys and asked if maybe they want to do stuff by themselves and they agreed. Kris went outside to shoot hoops and roommate played video games	Got into argument on bus ride home from work	Spend about 5 minutes talking about their day upon arrival from work.	UI
Sara Stein	1118	12/16 8:20a.m	None	119 South Ave	Hallway	Sara was walking down the hallway and fell on knees	Assessed and no injuries. Sara report she is not in any pain and just fell. Helped to feet with walker.	Medication? Staff not walking with her.	Reported to Nurse and Home Manager.	UI
Sara Stein	1119	12/18/13 7:57 a.m.	None	119 South Ave	Kitchen	Sara was walking in kitchen and fell to knees.	Staff was beside her and just gave medications. Sara seemed really unsteady.	Just gave new medication	Will check Blood Pressure after give medication, called nurse and home manager.	UI

Sara Stein	1120	12/28/13 900a	Red mark on knees	119 South Ave	Hallway	Sara was walking down the hallway and started to drop fell on knees	Staff were with her and help protect head and slowly lower to ground.	Medication was just administered. Took BP while on ground after fall and it was low (see MAR)	<ol style="list-style-type: none"> <li>1. Called Nurse and On Call Manager</li> <li>2. Talked to HM about scheduling an appointment with physician.</li> </ol>	UI
Sara Stein	1121	12/29/13 9:10a	No visible	119 South Ave	Hallway	Sara was walking down the hallway and fell and hit her head on coffee table	<ol style="list-style-type: none"> <li>1. Checked and no visible injuries. Asked if she was ok and she said she was.</li> <li>2. Took Sara to ER to get checked because she hit head hard on table. No injuries and released.</li> </ol>	Medication?	<ol style="list-style-type: none"> <li>1. Calls to HM and Nurse</li> <li>2. Appointment with Dr. Scheduled for 12/30/13</li> <li>3. Continue to walk with Sara</li> <li>4. Encourage Walker use</li> <li>5. Check BP</li> </ol>	UI
Joe Walsh	1122	Unknown	N/A	Home	Work	Joe said that he took his cell phone to work and he can't find it	<ol style="list-style-type: none"> <li>1. Helped Joe search home and could not find.</li> <li>2. Called Workshop and not found</li> <li>3. Helped Joe cancel cell account</li> </ol>	Cell phone was left at Joes work bench unsecured	<ol style="list-style-type: none"> <li>1. Assisted Joe in obtained new Cell Phone</li> <li>2. Helped Joe purchase lock for work locker so he can secure items.</li> </ol>	UI-it appears item lost
Paula Lyons and Sam McGhee	1123	12/31/13 11:15 p.m.	No mark or injuries	733 Woodstone Lane	Lounge	Paula and Sam were going at it. Paula called him swear words and then kicked him in the stomach	<ol style="list-style-type: none"> <li>1. Stood in between two and asked to move apart which they did.</li> <li>2. Paula voluntarily went into Living Room</li> <li>3. Checked Sam for injuries, none noted</li> </ol>	Paula said that Sam started seeing someone new	<ol style="list-style-type: none"> <li>1. Talked with Paula about better ways to express feeling like writing Sam a letter/drawing</li> <li>2. Talked about planning some new activities since the break up like Friday night bowling</li> </ol>	UI- Reported to CB but does not meet criteria for P2P MUI

Reviewed by: Sue Miller

Title: Program Director Quality Assurance

Date: 1-5-14

Trends and Pattern Identified? YES  NO

Trends and Pattern Addressed? YES  NO  If yes, please complete section below.

Action taken to address identified Patterns and Trends:

Sara Stein fell 7 times in December 2013 resulting in some injuries such as bruising to knees and hand and hitting her head on the coffee table. Sara was taken to the Emergency Room for assessment to rule head trauma and none found. The following actions were taken:

1. Staff documented time of falls which all occurred in the morning following medication administration
2. Staff began walking beside Sara to reduce likelihood of falling/reduce severity of injury
3. Staff are asking Sara each and every time she gets up if she would like to use her walker
4. Staff take Sara's BP prior to after medication since she had a change in medication and it may be contributing to unsteady gait
5. Asked Sara's pharmacist to review medications to see if any could have an impact on falling. Pharmacist recommends that Doctor review the medications because the combination can be sedating.
6. Sara went to the Doctors on 12/30/13 and he discontinued the new medication and prescribed a different one. From 12/31/13-1/5/14, Sara has had no reported falls.
7. Sara has follow up appointment with her Doctor on 1-21-14 and will report on any falls that occurred.

O.A.C. 5123:2-17-02 (M)(8) Each agency provider and independent provider shall maintain a log of all unusual incidents. The log shall include, but is not limited to, the name of the individual, a brief description of the unusual incident, any injuries, time, date, location, and preventive measures.

## **(M) Requirements for Unusual Incidents**

- (9) The agency provider and the county board shall ensure that trends and patterns of unusual incidents are included and addressed in the individual service plan of each individual affected.

# What is a UI Trend?

- Three of the same or similar incidents in a week or five in a month.
- What is the prevention plan?
- Ensure health and welfare
- How is this addressed in the ISP?
- Who will monitor compliance?

# UI Trends

- Examples – Falls, Peer/Peer Acts, Med Errors which includes missed meds, finding meds on the floor, etc.... Unknown Injuries, Rights Violations, UBS...
- Scenario – Two Individuals live in IO Waiver Home together for 8 years. A new Individual with a diagnosis of Autism moves into the home. He has always lived with his mom. New Individual while adjusting will run through the house hitting peers and staff.

# Oversight

- (N)(1) The county board shall review, on at least a quarterly basis, a representative sample of provider logs, including logs where the county board is a provider, to ensure that major unusual incidents have been reported, preventive measures have been implemented, and that trends and patterns have been identified and addressed in accordance with this rule. The sample shall be made available to the department for review upon request.

# Oversight

(N)(2) When the county board is a provider, the department shall review, on a monthly basis, a representative sample of county board logs to ensure that major unusual incidents have been reported, preventive measures have been implemented, and that trends and patterns have been identified and addressed in accordance with this rule. The county board shall submit the specified logs to the department upon request.

# Oversight

(N)(3) The department shall conduct reviews of county boards and providers as necessary to ensure the health and welfare of individuals and compliance with this rule. Failure to comply with this rule may be considered by the department in any regulatory capacity, including certification, licensure, and accreditation.

# Rights Investigation

- On Monday, 9/5/13, While getting individuals ready for work, Sam M told me that he hates the home manager Carla Tortelli. Sam told me that yesterday he went out into the living room and Carla was sitting on the sofa playing a game on her iPad. Sam said that he went up to the television and turned the channel so he could watch a football game. Sam claims that Carla told him "I was watching that." Sam says this upset him and didn't think it was fair so he went back to his room. Sam says that Carla came back to his room and told him that when her show was over he could watch what he wanted. Sam does not think that Carla is nice and is now asking to buy a television for his room.

# Rights Investigation

- What is your immediate action?
- Who will you interview?
- History of the Individual and Staff Involved?
- Contributing Factors?
- Prevention Plan?

# Peer/Peer Investigation

- Incident Description: Mike F. Matthew was at his day site when he grabbed another peer because he wanted to touch the peers leather coat. Staff were moving to separate the two men as Matt would not let go of the coat. Before staff could separate the peer (William C) fell to the ground.

# Peer/Peer Investigation

- Immediate Action
- Did William have an Injury? Was he assessed and did he receive treatment?
- Was Mike firmly fixed and does injury make this an MUI?
- What is the supervision level for Mike and William?

# Peer/Peer Investigation

- History? Does Mike have a history of grabbing people or only people with certain clothing?
- Does William have an unsteady gate or a history of falls?
- What are the Contributing Factors?
- What is the Prevention Plan?

# Falls Investigation

- Incident Description: Individuals were eating breakfast when Barbara S stood up from the table and fell to the ground. Barbara must have bumped her head on the table. She has a red mark on her head. She seemed fine so we helped her up to her chair and she finished drinking her juice. Incident was called into the Supervisor on Call.

# Falls Investigation

- Immediate Action?
- What treatment was needed for injury?
- How did she Fall?
- Why did she Fall?
- History?
- Supervision Level? What if Barbara is eyes on?
- Contributing Factors?
- Prevention Plan?

# Prevention Planning



*Effective Prevention Planning takes all of us working together in the individual's best interest, with the individual at the heart of it all.*

# **Elements of a Good Prevention Plan**

- **Based on a thorough investigation which gives an explanation of “cause”. The prevention plan should attempt to address each cause identified not just “the obvious case.”**
- **Addresses other significant factors that played a role in the incident.**
- **Is not just “a plan to plan,” but is specific in identifying WHO is going to do WHAT, WHEN, WHERE, and HOW.**

# **Elements of a Good Prevention Plan**

- **Takes into account not only “people” issues, but “systems” issues.**
- **One that not only addresses immediate action, but attempts to address long term planning towards a desired outcome.**
- **Includes involvement of the person and their guardian (as applicable) in the planning process.**
- **Shared across a variety of settings and includes feedback from a variety of disciplines for a holistic approach to a desirable outcome.**

# ***THANK YOU!***

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