

Unusual Incident Log Reviews January 23, 2015



Ohio

Department of
Developmental Disabilities

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.
- To ensure that sound preventative measures are in place.
- It is required that all Providers complete monthly UI logs.
- DODD will review UI logs during compliance reviews.
- There is an emphasis on Unusual Incident Investigations.

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.**

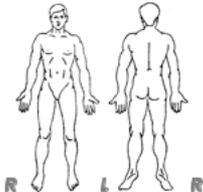
Incident Report Form

Provider Name & Address:		
DODD – Possible or Determined MUI Report Form		
Individual's Name:	DOB:	
Address:	City/County:	
Date of Incident:	Time of Incident:	AM/PM
Location of Incident (home in bathroom, at the mall, lunchroom at work):		
Description of Incident (Who, What, Where, When):		
Injury – Describe Type & Location:		
Immediate Action to Ensure Health & Welfare of Individuals:		
Name of PPI(s):	Relationship to Individual:	
Witnesses to Incident:	Others Involved:	
Type of Notification	Name/Title	Date/Time
Guardian / Advocate		
SSA (required for Independent Providers)		
Licensed or Certified Provider		
Staff or Family living at the individual's home & responsible for the individual's care.		
LE (Name, Badge Number, Jurisdiction, and contact information required for Law Enforcement)		
CPSA (Name and contact information required for Children Services)		
County Board		
Administrator (Required for ICF)		
Support Broker (If applicable)		

Additional Information/or Administrative Follow-Up:		
A. Further Medical Follow-up:		
B. Administrative Action:		
Signature:	Title:	Date:

Body Part Injured:

<input type="checkbox"/> Head or Face	<input type="checkbox"/> Neck or Chest
<input type="checkbox"/> Mouth / Teeth	<input type="checkbox"/> Abdomen
<input type="checkbox"/> Hands / Arms	<input type="checkbox"/> Back / Buttocks
<input type="checkbox"/> Feet / Legs	<input type="checkbox"/> Genitals
<input type="checkbox"/> Other _____	



Causes and Contributing Factors:
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Preventive measures: (For Provider's internal use)

Administrator Review: _____ Date: _____



This incident report is located in the Health and Safety Toolkit and contains space for immediate actions, causes/contributing factors and preventative measures. This form can be found <http://dodd.ohio.gov>

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) 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 ?



Immediate actions to protect all at risk individuals must come first!

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

Don't be afraid to act!

Immediate Actions



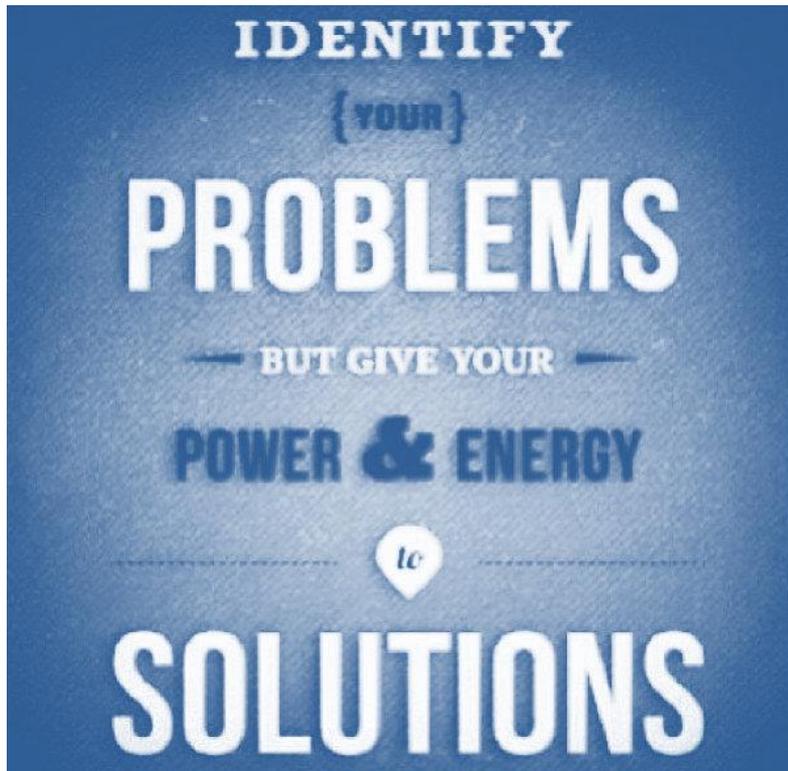
- Did you know that effective CPR immediately after sudden cardiac arrest can DOUBLE or TRIPLE a victim's chance of survival?
- The chance of survival decreases 7-10% per *minute* if no CPR.

Cause and Contributing Factors

According to Dan Gunzman:

- **Cause** is a condition that produces an effect; eliminating a cause(s) will eliminate the effect.
- **Contributing Factor(s)** is a condition that influences the effect by increasing its likelihood, accelerating the effect in time, affecting severity of the consequences, etc.; eliminating a contributing factor(s) won't eliminate the effect
- Wikipedia defines **Root cause analysis (RCA)** as a method of [problem solving](#) that tries to identify the [root causes](#) of faults or problems. A root cause is a cause that once removed from the problem fault sequence, prevents the final undesirable event from recurring.

Cause and Contributing Factors



- What happened?
- Why did it happen?
- How did it happen?

If you identify the Cause and Contributing Factors, you can develop an effective prevention plan.

Prevention Plans

The Prevention Plan should address:

- How we can decrease this from occurring again
- What should have happened
- How can we prevent injury

Did you know?

- All UI's require a prevention plan
- All UI logs need prevention plans
- A good prevention plan may prevent an MUI

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 Prevention Plans:

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

Prevention Plans 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

How to Investigate a UI?

Start with the Incident Report

- Does the information given by staff explain what happened?
- Did the witness tell us **the who, what, where and when**?
- Are Immediate Action addressed and documented?
- What was happening prior (antecedent) to incident?
- What were staff and individuals doing prior?

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, Individuals and 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.

Put it in practice...staff should know:

- **Who they report to?**
- **What number they should call**
- **How long should they wait to be contacted back?**
- **What happens if that person is not available or doesn't respond?**
- **When is the written incident report due?**
- **Where is it to be turned in?**

(M) Requirements for Unusual Incidents



Some Providers and County Boards provide each staff with a laminated card after MUI/UI training. The small card can be carried on the staff in their wallet and serves as a reference for how, what and when to report.

What tools can you implement to reinforce timely reporting of incidents?

(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>

(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.

UI Log Sample

Reviewed by: _____ Title: _____ Date: _____

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:

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.

Link to UI Log:

<http://dodd.ohio.gov/healthandsafety/Documents/UNUSUAL%20INCIDENT%20REPORT%20LOG%20pdf%208%2029%2013.pdf>

Clues of a good UI Log System



Clues of a Good UI Log System

- A well organized system for the tracking unusual incidents
- The provider submitted logs as requested
- There is a clear indication of who completed the log review
- The date of the review is documented

Clues of a Good UI Log System

- Logs contain the following required elements

Name of the individual

A brief description of the unusual incident

Any injuries

Time

Date

Location

Preventive measures

Best Practice-Immediate Actions, Causes and Contributing Factors and Staff Involved

Clues of a Good UI Log System

- Log includes good immediate actions such as medical assessments, protections for individuals, etc.
- There are no blank sections
- “Unknown” is rarely used
- Prevention Plans are specific and address the cause and contributing factors.

Clues of a Good UI Log System

- The Prevention Plan section doesn't say "Continue to Monitor" or "Follow the Plan"
- Is mindful of person's needs and diagnosis and doesn't use phrases like "Remind Suzy to be careful" or "Redirect as needed"
- Prevention plan is not generic such as "Medical Follow up, Safety Reminder, Staff to monitor"

Clues of a Good UI Log System

- There is no evidence of unreported MUIs
- Log contains enough detail to tell the story of what happened
- Any patterns are clearly identified and have action steps.

What is a UI Trend?



DODD Guidance:

A trend is considered **three of the same or similar incidents in a week or five in a month** or anything that the team identifies as a pattern or trend for that person.

UI Trend Examples

Examples of UI Trends- Falls, Peer/Peer Acts, Medication Errors which includes missed meds, Finding meds on the floor, 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 on their arms. The individual slapped his peers on the arms 6 times in the month of July.

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 rd 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 a Good UI Log

UNUSUAL INCIDENT REPORT LOG

Provider/Facility: ABC Residential Supports- GOOD EXAMPLE						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"> 1. Took John to Cleveland Metro. They confirmed Dog was current with shots. Cleaned wound, no stitches needed and released 2 hours later with prescription. 2. Reminded staff to call staff next time the dog bites him. 	John was probably playing rough with dog	<ol style="list-style-type: none"> 1. Take prescribed medication from ER, follow up with MD 2. Called Landlord to request that dog not be able to roam off leash. 3. Discussed risks of approaching stray dogs with John 4. Talked to John about maybe visiting Humane Society to see animals that he can maybe play with-possible volunteer 	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"> 1. Asked Sara if she would assistance to restroom very 1 hour so she doesn't need to rush.2. Remind Sara to use walker 	UI

Example of a Good UI Log

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"> 1. Tried to calm Robby by talking about his frustration per his ISP. Robby calmed down. 2. Checked Robby –no injuries 3. Cleaned up glass and spilled pop. 4. Put TV in closet to see if it can be repaired. At later time. 5. Contacted On Call 	Robby sometimes has a hard time expressing himself.	<ol style="list-style-type: none"> 1. Contact County Board and see if Counseling might be appropriate as an outlet for Robby. 2. Develop more strategies for Robby when he is becoming frustrated, like recording game and coming back to it when he is calmer. 3. TV Repair 	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

Example of a Good UI Log

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"> 1. Called Nurse and On Call Manager 2. Talked to HM about scheduling an appointment with physician. 	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"> 1. Checked and no visible injuries. Asked if she was ok and she said she was. 2. Took Sara to ER to get checked because she hit head hard on table. No injuries and released. 	Medication?	<ol style="list-style-type: none"> 1. Calls to HM and Nurse 2. Appointment with Dr. Scheduled for 12/30/13 3. Continue to walk with Sara 4. Encourage Walker use 5. Check BP 	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"> 1. Helped Joe search home and could not find. 2. Called Workshop and not found 3. Helped Joe cancel cell account 	Cell phone was left at Joes work bench unsecured	<ol style="list-style-type: none"> 1. Assisted Joe in obtained new Cell Phone 2. Helped Joe purchase lock for work locker so he can secure items. 	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"> 1. Stood in between two and asked to move apart which they did. 2. Paula voluntarily went into Living Room 3. Checked Sam for injuries, none noted 	Paula said that Sam started seeing someone new	<ol style="list-style-type: none"> 1. Talked with Paula about better ways to express feeling like writing Sam a letter/drawing 2. Talked about planning some new activities since the break up like Friday night bowling 	UI-Reported to CB but does not meet criteria for P2P MU

Examples of a Good UI Log

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.

Frequently Asked Questions



1. How should a provider document when they do not have any UIs that month? ***We recommend documenting on UI Log that there were no UIs that month.***
2. Is the provider required to keep a UI log if they are not serving anyone? ***No.***

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.

What if a Provider does not supply the UI Log?

1. The CB or COG will document all attempts to get logs
2. The CB/COG will contact the DODD MUI Regional Manager by email with the requested dates and contact information of the provider.
3. The MUI Regional Manager can contact the Provider directly or participate in a conference call to discuss UI log requirements.
4. The MUI Department will follow up with a letter copying the Office of Provider Standards and Review (OPSR).
5. Referral will be made to OPSR if logs not received after request by DODD MUI office. This could result in citations issued to the provider.

THANK YOU!

Chuck Davis, MUI Regional Manager

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Abuse/Neglect Hotline

1-866-313-6733