Understanding the UI Process for the Direct Service Professional
DODD/MUI Registry Unit
January 21, 2016
The Role of the DSP
The Role of DSP

Critical to every part of the Health and Welfare System
Unusual Incident Investigations

A new emphasis on Unusual Incident Investigations went into effect 9/3/13 with latest rule.
"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;
"Incident report" means documentation that contains details about a major unusual incident or an unusual incident and shall include, but is not limited to:

(e) Description of incident;
(f) Type and location of injuries;
Elements of an effective Incident Report

- **Who** – Staff and individuals involved in the incident
- **What** – What happened before (antecedent), during (detailed account) and after (immediate action) the incident
- **Why** – Did it happen
- **When** – Date and time of incident (Timely)
- **Where** – Location of the incident
Elements of an effective Incident Report

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

(g) **Immediate actions taken to ensure health and welfare of individual involved and any at-risk individuals;**
What comes first?

HEALTH AND SAFETY

IMMEDIATE ACTIONS COME FIRST

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

(h) Name of primary person involved and his or her relationship to the individual;

(i) Names of witnesses;
"Incident report" means documentation that contains details about a major unusual incident or an unusual incident and shall include, but is not limited to:

(i) 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.
(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;
(M) Requirements for Unusual Incidents

(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;
(M) Requirements for Unusual Incidents

- (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.
(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.
THANK YOU!
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Abuse/Neglect Hotline
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