

**Making the Most
of UI Log
Reviews
DODD/MUI Registry
Unit
July 2014**



Ohio

Department of
Developmental Disabilities

Housekeeping

- Introduction of Webinar Format
- Participation and using the ? feature
- Proof of Continuing Professional Development Units will be emailed for those who actively participated in the Webinar
- Question and Answer
- Any questions/concerns/comments, following the webinar, should be directed to the MUI Department at 614-995-3810

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.
- The County Board is required to complete a representative sample review at least quarterly.
- DODD will review UI logs during compliance reviews.
- There is a new emphasis on Unusual Incident Investigations with revised rule

Rule References

O.A.C. 5123-3-17-02(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.**

Rule References

O.A.C 5123:2-17-02(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.

Rule References

O.A.C. 5123:2-17-02(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 by the Department

O.A.C. 5123:2-17-02(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.

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>

Common Mistakes

- No documentation of County Board's review of log
- Not asking additional questions to rule out MUIs
- Not addressing when a provider does not submit their logs
- No system to track incoming logs and action items
- Not identifying patterns and trends

What are you looking for



when you do a Provider Log Review?

Clues of a Good UI Log System

- A well organized system for the tracking unusual incidents
- The provider and CB program 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

- Their 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"
- 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?



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.

Test Your Knowledge

1. The county board shall review a representative sample of provider logs, including logs where the county board is a provider, at least
 - a. Weekly
 - b. Monthly
 - c. Quarterly
 - d. Annually



Test Your Knowledge

2. The department shall review a representative sample of county board

logs

- a. Weekly
- b. Monthly
- c. Quarterly
- d. Annually



Test Your Knowledge

3. A common mistake CB make:
 - a. They don't document their reviews of UI Logs
 - b. They don't have a system to document their follow up with providers
 - c. They don't describe how the UI/MUI determination was made
 - d. They don't give themselves enough credit for what they have done
 - e. All of the above



Test Your Knowledge

4. An example of an unreported MUI in a UI log might be...

- a. Jimmy fell while walking to lunch. He was checked by nurse _____ and had no injuries. He was walking besides his instructor at the time of his fall as his plan states.
- b. Taylor was in the bathroom and fell. She hit her head on the bath tub causing a large cut above her right eye. Staff was with her at time but _____ forgot to place Taylor's gait belt on her while _____ hygiene tasks which Taylor needs per her ISP.
- c. Sam came to work and had no lunch. His home was called and dropped it off before lunch.



Test Your Knowledge

5. An independent provider is required to complete a UI log each month?

a. True

b. False



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 every County Board site required to keep a log? ***Yes. Please note this includes Transportation.***
3. Is the provider required to keep a UI log if they are

What have we learned from the Department's Review of Logs?

- Often the County Board has taken action but it is not always documented
- Providers want to do a good job but may need some assistance
- Providers working in multiple counties are sometimes confused about the expectations as they differ from County Board to County Board

Department Examples of Reviews of UI Logs

Log: John Smith– 5/21/14 – “Individual punched by a peer and had a bloody nose”

Review: Not enough information. Could not tell from Log if an MUI was filed. ITS was checked and MUI (xxxx-xxx-xxxx) was filed for Peer to Peer.

Log: Jimmy Johns -7/20/14 – “Individual made an allegation of abuse against staff”

Review: Not enough information . Could not tell from Log if an MUI was filed. ITS was checked and MUI (xxxx-xxx-xxxx) was filed for Alleged Physical Abuse.

Log: Jonathon Thomas -4/12/14- “Individual was eating food in one bite and choked. Diet was a not a cause and contributing factor”

Review: Asked the following question-How was neglect ruled out?(was diet, supervision and other needs met?)

Log: Dom Williams-5/26/14- “Individual was bit by peer at work. Bite broke skin.”

Review: There was no indication of medical evaluation or treatment. What immediate actions were taken?

Examples of CB and COG Systems



Sample UI Log Review Process-1

1. Maintain an active provider list which is color coded for each quarters request to make sure all providers receive at least one request per year. If the provider usually has logging issues or clarifications needed, I will request theirs more often.
2. Send the UI Log Request Letter. Change the dates as needed, put this onto letter head and send it out as pdf.
3. Attach the UI Log from the DODD site as an example for providers

Sample UI Log Request Letter

June 2, 2014

Dear Providers,

In accordance with the Administrative Rule regarding addressing major unusual incidents and unusual incidents to ensure health, welfare, and continuous quality improvement.; 5123:2-17-02, that became effective September 03, 2013, Warren County Board of Developmental Disabilities is responsible for reviewing a representative sample of provider logs each Quarter.

You or your organization has been selected for us to review your UI log for the month of **May 2014**. Please submit this information by **06/16/14**. You may send all UI logs and correspondence by mail, email or fax to:

*Provider Compliance Specialist
County Board of Developmental Disabilities
Support Services Division*

Address

City, State and Zip

Email:

Fax:

I have included a copy of the UI log that the county board recommends you use, as it includes all criteria required by rule. If you choose to create your own log, please include all fields encompassed in the attached log. *If you did not have any incidents for the month, please indicate such.* If you have already submitted your agency's log for the requested month, please disregard this notice.

If you have any questions regarding the rule and its requirements, please feel free to contact me at (XXX)XXX-XXXX or email me at yourname@yourcountydd.org.

Sincerely,

Your Name
Title

Sample UI Log Review Process-1

4. If no response is received by the due date, forward the original email requesting a response within 2 weeks. If still no response, track it during semi-annual and annual report time and a special review is often initiated if they also do not submit their semi-annual and/or annual MUI review.

5. When the logs are received, give them to the IA's to review and they complete a "clarification request" if there are questions or if a trend/pattern is found. If there are no

clarifications needed, I complete the attached "no clarification" form and keep with the logs.

Sample Clarification Request

COUNTY BOARD OF DEVELOPMENTAL DISABILITIES
UNUSUAL INCIDENT REVIEW COMMITTEE
CLARIFICATION REQUEST/RESPONSE FORM

Provider Name: _____ Date: _____

Thank you for submitting your incident logs for: _____

- After reviewing your incident log, we have identified some trends and/or patterns. The following are recommendations regarding those identified concerns:

- After reviewing your incident log, we have some questions and are requesting the following:

Please submit this requested information to the County Board: Support Services Division by:

Unusual Incident Review Committee Member

Date

Sample UI Log Review Process-1

6. Follow up until the clarification request is responded to no matter what. Typically: there are usually no issues with getting a response to those though.
7. Track all county board UI's.
8. Monthly, the IA's, our director, and nursing supervisor meet to review trends and patterns for UI's within the CB and ALL MUI's.
9. Send SSA's and ICF's a letter if any trends and patterns are found at that meeting and ask that they add it to the ISP

Sample Patterns and Trends Letter

Notice of MUI or UI Trend/Pattern

SSA or Service Provider: [REDACTED]

The Unusual Incident Review Committee has met and completed the [REDACTED] review of all incidents (Behavior, Accident/Illness, Unusual, and Major Unusual Incidents) reported. According to the MUI rule, all incidents reported must be reviewed for trends/patterns.

A MUI trend/pattern is identified as (3) similar incidents within a 6 month period, (5) incidents (of any kind) within a 6 month period or (10) incidents (of any kind) in a 12 month period. In addition, any trends/patterns identified, must be included and addressed in the affected individual's service plan as they become identified. Reference to all MUI's from the previous year will be made in the individuals annual ISP.

A UI trend/pattern is identified as 3 similar incidents in a week or 5 similar incidents in a month. In addition, any trends/patterns identified, must be included and addressed in the affected individual's service plan as they become identified. Reference to all UI's from the previous year will be made in the individuals annual ISP.

As a result of the review completed, a trend/pattern was identified for the following individual:

Individual's Name: [REDACTED]

Trend/Pattern Identified: [REDACTED]

Please ensure that the trend/pattern is included and addressed in the above-listed individual's ISP under the "Incident Related Information" section under the "Health and Safety" portion of the ISP. For example, if an individual has (5) incidents of falling within a six- month period, the ISP needs to include that this individual had a trend/pattern identified for falling and how the team is addressing this trend/pattern to prevent future incidents.

Keep in mind, that this information should be carried over each time the ISP is completed/amended from year to year. Please ensure that this individual's ISP is updated to include this information by no later than [REDACTED]. Once this ISP update has been completed, please submit an updated copy of the ISP (including this information) to the Support Services Division so we can include it in our 'Trend/Pattern Reports'.

Thank you.

Sample UI Log Review Process-2

1. Maintain database of all providers and include months per year
2. Select random sample of providers for a specific time period
3. Document the date you requested logs from each provider
4. Notify provider by email or letter that they need to submit logs by certain deadline. Document the date you received logs and date you reviewed.
5. In your data base, describe any questions you asked of provider with due dates and action steps. Include if you

Sample UI Log Review Process-2

6. If MUI was filed as a result, include the MUI # in your documentation.
7. Document any patterns and trends identified and what is being done to address
8. If you have concerns with a Providers Logs, you should request additional months or put them back on the calendar for review at determined frequency.
9. Consult with Department if a provider has not provided logs despite documented attempts.

COG Sample Letter to Request Unusual Incident Logs

To: Provider
From:
Date: 5/12/14 (2nd Request) and 4/29/14 (1st Request)
Re: Unusual Incident Logs

The _____ COG, on behalf of the _____ of Developmental Disabilities, is sending this Unusual Incident Log request to you.

The Ohio Department of Developmental Disabilities rule, *Addressing Major Unusual Incidents and Unusual Incidents to Ensure Health, Welfare, and Continuous Quality Improvement Process*, or MUI rule, requires that the county board review a representative sample of provider unusual incident logs on a quarterly basis, at a minimum. As noted in the Ohio Administrative Code 5123:2-17-02 (N), the purpose of this review is 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.” This requirement pertains to all agency providers, independent providers, and county board programs that are providers.

Per the rule, specific elements ***must*** be included in the unusual incident log. Those elements are:

- The name of the individual
- A brief description of the unusual incident
- Notation of any injuries
- Time, date and location of incident
- Preventive measures
- Cause and contributing factors

Additionally, you have the option to include any other information you may find helpful in the unusual incident log. The department’s website has an unusual incident log sample in the “Health and Safety Toolkit Section.” Please go to <http://dodd.ohio.gov> to view the sample.

We are writing to request a copy of your unusual incident log(s) for ***FEBRUARY 2014 the event there were no incidents for the requested month, you will still need to submit your unusual incident log form and indicate that no incidents occurred during the requested month.*** Please submit the log(s) for all of the individuals you serve within the county and all of the locations you operate within the county by ***5/26/14*** to ***email address.***

If you have questions regarding unusual incident log submission, please send your questions to email address.
Thank you for your time and efforts!

Courtesy of MEORC

Sample UI Log Review Process-3

NCAA Model

Divide providers into divisions – Division I, Division I-a, Division II, Division II-a, etc.

Providers were placed into a division based **on 2 criteria:**

- **The number of consumers they served**
- **Past performance**
- So, for example, large agencies with 50 or more consumers were Division I, Division II providers served 25 – 50 consumers, etc.
- Then consider their MUI/UI performance. Did they know when and how to report MUIs? Did their logs meet Rule criteria? Did they have any unreported MUIs that showed up on their logs as UIs? Did they have a lot of MUIs and/or UIs?

Sample UI Log Review Process-3

- Some Division I providers got scheduled for 2 or 3 UI Log reviews in a year based on criteria.
- Other Division I agencies got put in Div. I-a and got 3 – 4 log requests in a year.
- Small agencies –with less than 10 consumers – who did well were in Division IV and only got asked to submit a log once a year.
- The schedule was developed for the whole year in advance, and adjustments made as needed.

Sample UI Log Review Process-3

Tips:

- Avoid requesting the same month's logs from a provider from year to year to get a different sample each year. For example, you get January and June logs from Agency XYZ and the next get March & October logs from that agency.
- Make requests to the providers about 3 weeks in advance. For example, send an email on July 25, asking the provider to send their July UI Log between August 1 and August 15.
- In the email, list the Rule requirements for UI Logs and a list of UIs, plus a few other things so the provider understands their requirement.
- Track which agencies/independent providers requests were sent to and the dates their logs were received in an database.

Sample UI Log Review Process-3

- Utilizing a database, track all independent and agency providers.
- Based on size of provider and performance history, an annual schedule is developed.
- Send an email memo request 3 weeks in advance of when you would like log submitted.
- Track follow up and complete *Review Form*.

County Board Sample UI Log Review Form

_____ County Board of Developmental Disabilities

Unusual Incident Log Review

Month: _____

Provider: _____

Evidence of monthly review of the logs? Yes ___ No ___

Were any trends and patterns identified? Yes ___ No ___

If yes, documentation of inclusion in plan? Yes ___ No ___

Any UIs that should have been reported as an MUI? Yes ___ No ___

If yes, location (if applicable), incident date, consumer name:

Date Provider contacted: _____ MUI #: _____

Reviewer Comments/Follow-up Actions:

Keys to a Successful UI Log Review System

- **Electronic database** helps keep review information and log requests organized. Information is easy to send to Department for review and compare year to year.
- **Offers providers tools to be successful.**
- **There is an assigned person** but others are crossed trained in the UI log review process.
- **Addresses concerns** when identified.



**What should you do if a
Provider has not provided their
UI logs?**

If UI Logs are not received

1. Please contact your MUI Regional Manager by email with the requested dates and contact information of the provider.
2. The MUI Regional Manager can contact the Provider directly or participate in a conference call to discuss UI log requirements.
3. The MUI Department will follow up with a letter copying the Office of Provider Standards and Review (OPSR).
4. 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.

UI Log Follow up by DODD

Ohio | Department of
Developmental Disabilities

Office of MUI/Registry Unit

John R. Kasich, Governor
John L. Martin, Director

Date

Name

Provider Name

Address

Sent Via Email

Re: Unusual Incident Logs

Dear Provider:

I am writing regarding your requirement to provide the County Board of DD with a copy of your Unusual Incident Log as requested. Per the Ohio Administrative Code 5123:2-3-17-02 Addressing Major Unusual Incidents and Unusual Incidents to Ensure Health, Welfare, and Continuous Quality Improvement Process Rule:

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.

Also included in the rule is the County Boards' requirement to review a representative sample of provider unusual incident logs on a quarterly basis, at a minimum. The County Board could not fulfill this requirement because you have not provided your Unusual Incident Logs as required. Below is a listing of request for this information.

THANK YOU!

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Abuse/Neglect Hotline

1-866-313-6733