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

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](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.

(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.
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 Preventions 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

UNUSUAL INCIDENT REPORT LOG

Prevention Facility

<table>
<thead>
<tr>
<th>Name</th>
<th>UI A</th>
<th>Date &amp; Time</th>
<th>Injury</th>
<th>Location and Address</th>
<th>Description of the incident</th>
<th>Immediate Actions Taken to Ensure Prevention</th>
<th>Causes and Contributing Factors</th>
<th>Prevention Plan</th>
<th>UN/UNA</th>
</tr>
</thead>
<tbody>
<tr>
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</tr>
</tbody>
</table>

Reviewed by: ______________ Title: ______________ Date: ______________

Trends and Patterns Identified? ☐ ☐

Trends and Patterns Addressed? ☐ ☐

If yes, please complete section below:

Action taken to address identified patterns and trends:

D.A.C. 516:5.17.20 [D.C.] 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 factors, 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

• 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

<table>
<thead>
<tr>
<th>Name</th>
<th>UI #</th>
<th>Date &amp; Time</th>
<th>Injury</th>
<th>Home Name &amp; Address</th>
<th>Location</th>
<th>Description of the Incident (Explain the role of UI)</th>
<th>Immediate Actions Taken to Ensure Health and Safety</th>
<th>Causes and Contributing Factors</th>
<th>Prevention Plan</th>
<th>UI/MED</th>
</tr>
</thead>
<tbody>
<tr>
<td>James</td>
<td>BL72</td>
<td>11/11/15 6:50pm</td>
<td>Large scrape on forehead</td>
<td>Home Rd</td>
<td>Kitchen</td>
<td>James was at the sink after cleaning the dishes when he turned to walk away he fell to the ground. He hit his head off the ground.</td>
<td>Creamed his injury. He never lost consciousness, felt for 15w. - Contacted Supervisor and asked for home to evaluate injury</td>
<td>Kitchen floor around the sink was wet. James's shoes were not dry. It was raining.</td>
<td>A rug was purchased to put on the floor in front of the sink. Staff was told to wear individuals as needed when they are cleaning off their dishes.</td>
<td>JU - Injury was a risk to fall. No medical treatment required.</td>
</tr>
<tr>
<td>Steve</td>
<td>W108</td>
<td>11/11/15 7:00pm</td>
<td>Small scratch marks under the left arm pit</td>
<td>Home Rd</td>
<td>Bedroom</td>
<td>Steve lost his grip on the towel in the shower and noticed small scratches under his left arm. Unknown as to how they occurred.</td>
<td>Creamed his injury. He never lost consciousness, felt for 15w. - Contacted Supervisor and asked for home to evaluate injury</td>
<td>Kitchen floor around the sink was wet. James's shoes were not dry. It was raining.</td>
<td>A rug was purchased to put on the floor in front of the sink. Staff was told to wear individuals as needed when they are cleaning off their dishes.</td>
<td>JU - Injury was a risk to fall. No medical treatment required.</td>
</tr>
</tbody>
</table>

### Example of Good UI Log

<table>
<thead>
<tr>
<th>Name</th>
<th>UI #</th>
<th>Date &amp; Time</th>
<th>Injury</th>
<th>Home Name &amp; Address</th>
<th>Location</th>
<th>Description of the Incident (Explain the role of UI)</th>
<th>Immediate Actions Taken to Ensure Health and Safety</th>
<th>Causes and Contributing Factors</th>
<th>Prevention Plan</th>
<th>UI/MED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Joe</td>
<td>BL72</td>
<td>11/11/15 6:50pm</td>
<td>Large scrape on forehead</td>
<td>Home Rd</td>
<td>Living Room</td>
<td>Joe had just finished his dinner. Joe was already in the kitchen and was cleaning up. Joe was ucking the floor and slipped on a banana peel.</td>
<td>Staff notified Joe to be aware of the risk of falling.</td>
<td>Joe had been Harried with the baking of cookies and was not paying attention to the floor.</td>
<td>A rug was purchased to put on the floor in front of the sink. Staff was told to wear individuals as needed when they are cleaning off their dishes.</td>
<td>JU - Injury was a risk to fall. No medical treatment required.</td>
</tr>
<tr>
<td>James</td>
<td>BL72</td>
<td>11/11/15 6:50pm</td>
<td>Red mark on his left shoulder</td>
<td>Home Rd</td>
<td>Living Room</td>
<td>James was sitting in his chair watching the news on TV when he fell to the ground.</td>
<td>Staff notified Joe to be aware of the risk of falling.</td>
<td>James had been Harried with the baking of cookies and was not paying attention to the floor.</td>
<td>A rug was purchased to put on the floor in front of the sink. Staff was told to wear individuals as needed when they are cleaning off their dishes.</td>
<td>JU - Injury was a risk to fall. No medical treatment required.</td>
</tr>
<tr>
<td>James</td>
<td>BL72</td>
<td>11/11/15 6:50pm</td>
<td>NA</td>
<td>Home Rd</td>
<td>Living Room</td>
<td>James had just finished his dinner. James was ucking the floor and slipped on a banana peel.</td>
<td>Staff notified Joe to be aware of the risk of falling.</td>
<td>James had been Harried with the baking of cookies and was not paying attention to the floor.</td>
<td>A rug was purchased to put on the floor in front of the sink. Staff was told to wear individuals as needed when they are cleaning off their dishes.</td>
<td>JU - Injury was a risk to fall. No medical treatment required.</td>
</tr>
</tbody>
</table>
## Example of a Good UI Log

### UNUSUAL INCIDENT REPORT LOG

<table>
<thead>
<tr>
<th>Name</th>
<th>U.I.</th>
<th>Date &amp; Time</th>
<th>Injury</th>
<th>Name/Address</th>
<th>Location</th>
<th>Description of the Incident (Including the risk of harm)</th>
<th>Preventative Actions Taken (Enhance Health and Safety)</th>
<th>Causes and Contributing Factors</th>
<th>Prevention Plan</th>
<th>UI Link</th>
</tr>
</thead>
<tbody>
<tr>
<td>John Glenn</td>
<td>111</td>
<td>12/17/13 1:12 p.m.</td>
<td>Right hand had large bite mark on leg. Site of bite was in the skin and caused red and swollen area.</td>
<td>1830 W. Broad Street, Apartment Court Yard</td>
<td>John said that his neighbor's dog, Lucky, bit him on the leg when he was walking his dog.</td>
<td>1. Took John to Cleveland Clinic. They confirmed the bite was a large dog bite. 2. Administered tetanus and rabies shots. 3. Provided ongoing care and monitoring.</td>
<td>John was probably walking with the dog.</td>
<td>John was sometimes forgetful.</td>
<td>Take a prescription of medication from Dr. follow up with MD. Called landlord to request the dog not be allowed to roam off-leash.</td>
<td>5</td>
</tr>
<tr>
<td>Sara Stein</td>
<td>1113</td>
<td>12/18/13 10:33 a.m.</td>
<td>Large bite on shin from pet dog.</td>
<td>119 South Ave, Halcyon</td>
<td>Sara was walking down the hallway and fell to the left. Her left side of body and arm were on the wall.</td>
<td>1. Checked Sara and noticed a redness on arm. She appeared to be in pain. 2. Gave Sara her walker and assisted her to her feet. 3. Called 911 for ambulance.</td>
<td>Sara was not feeling well and was to the bathroom. Sara walked too fast.</td>
<td>Sara was sometimes forgetful.</td>
<td>Ask Sarah if she needs assistance to get down</td>
<td>5</td>
</tr>
</tbody>
</table>

## Example of a Good UI Log

<table>
<thead>
<tr>
<th>Name</th>
<th>U.I.</th>
<th>Date &amp; Time</th>
<th>Injury</th>
<th>Name/Address</th>
<th>Living Room</th>
<th>Description of the Incident</th>
<th>Preventative Actions Taken</th>
<th>Causes and Contributing Factors</th>
<th>Prevention Plan</th>
<th>UI Link</th>
</tr>
</thead>
<tbody>
<tr>
<td>Bobby Braun</td>
<td>111</td>
<td>12/17/13 3:09 p.m.</td>
<td>No injury</td>
<td>125 W. Central Avenue, Family Room</td>
<td>Bobby was watching OSU-Michigan Basketball game on TV. When the Michigan team scored a 3-pointer, Bobby threw his full can of Diet Coke at the TV. The soda went everywhere and the TV screen shattered.</td>
<td>1. Tried to calm Bobby down by talking about his frustration. 2. Called 911 for assistance. 3. Gave Bobby water and helped him relax. 4. Provided counseling and follow-up.</td>
<td>Bobby sometimes has a hard time coping.</td>
<td>Bobby sometimes has a hard time coping.</td>
<td>Contact County Board and see if counseling might be appropriate as an outlet for Bobby. Develop more strategies for Bobby.</td>
<td>5</td>
</tr>
<tr>
<td>Eric Cross</td>
<td>1111</td>
<td>12/14/13 7:45 a.m.</td>
<td>None</td>
<td>1 Castle Court, Family Room</td>
<td>Eric and his roommate were sitting in the family room and started screaming at each other.</td>
<td>1. Told Eric to stop and calm down. 2. Gave him a glass of water and asked him to think about his frustration. 3. Gave him a book and asked him to read. 4. Gave him a pillow and asked him to sleep.</td>
<td>Eric and his roommate were sitting in the family room and started screaming at each other.</td>
<td>Eric and his roommate were sitting in the family room and started screaming at each other.</td>
<td>Get into argument or bus ride home from work.</td>
<td>5</td>
</tr>
<tr>
<td>Sara Stein</td>
<td>1118</td>
<td>12/19 8:20 a.m.</td>
<td>None</td>
<td>119 South Ave, Living Room</td>
<td>Sara was walking down the hallway and fell to the floor.</td>
<td>1. Retrieved and no injuries. 2. Gave Sara a cold compress and helped her up. 3. Gave her a glass of water. 4. Gave her a back rub.</td>
<td>Sara was walking down the hallway and fell to the floor.</td>
<td>Sara was walking down the hallway and fell to the floor.</td>
<td>Reported to Nurse and Home Manager.</td>
<td>5</td>
</tr>
<tr>
<td>Sara Stein</td>
<td>1119</td>
<td>12/18/13 7:57 a.m.</td>
<td>None</td>
<td>119 South Ave, Kitchen</td>
<td>Sara was walking in kitchen and fell to the floor.</td>
<td>1. Gave Sara a cold compress and helped her up. 2. Gave her a back rub. 3. Gave her a glass of water.</td>
<td>Sara was walking in kitchen and fell to the floor.</td>
<td>Sara was walking in kitchen and fell to the floor.</td>
<td>Gave new prescription medication to Sara and made sure she was taking her medication.</td>
<td>5</td>
</tr>
</tbody>
</table>
### Example of a Good UI Log

<table>
<thead>
<tr>
<th>Date</th>
<th>Time</th>
<th>Activity</th>
<th>Location</th>
<th>Details</th>
</tr>
</thead>
<tbody>
<tr>
<td>12/30/13</td>
<td>3:10 PM</td>
<td>Fall</td>
<td>Hallway</td>
<td>Sara fell, hit head on coffee table, was taken to emergency room for assessment of head trauma and none found.</td>
</tr>
</tbody>
</table>

### Examples of a Good UI Log

**Reviewed by:** [Name]
**Date:** 1-1-14

**Trends and Patterns Identified:**
- [ ] YES
- [ ] NO

**Trends and Patterns Addressed:**
- [ ] YES
- [ ] NO

**Action taken to address identified patterns and trends:**

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 adjusting Sara’s dosage and monitoring her every time she gets up to avoid falling.
4. Staff began Sara’s activity program early after medication since she had a change in medication and it may be contributing to unsteadiness.
5. Training: Sara’s pharmacist to review medication actions to see if any could have an impact on falling. Pharmacists recommend that doctors review the medications because the combination can be sedating.
6. Sara went to the doctors on 12/30/13 and discontinued the new medication and prescribed a different one. From 12/30 to 1/3/14, 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.

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**G.A.C. 5239/17-02** (MS): Each agency provider and independent provider shall maintain a list of all unusual incidents. The list 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 preventative 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.
(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.

(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
(614) 995-3820
Charles.Davis@dodd.ohio.gov

Connie McLaughlin, Regional Manager Supervisor
(614)752-0092
Connie.McLaughlin@dodd.ohio.gov

Abuse/Neglect Hotline
1-866-313-6733