UI Log Training

DODD/MUI Registry Unit
February 2014
Why are UI Logs Important?

• UI logs will help you identify *Trends and Patterns* that need to be addressed to ensure the Health and Welfare of those you serve.
• It is required that all Providers complete monthly UI logs.
• DODD will review UI logs during compliance reviews.
• There is a new emphasis on Unusual Incident Investigations with revised rule which went into effect 9/3/13.
"Unusual incident" means an event or occurrence involving an individual that is not consistent with routine operations, policies and procedures, or the individual's care or individual service plan, but is not a major unusual incident.

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

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

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

(1) Unusual incidents shall be reported and investigated by the provider.
(M) Requirements for Unusual Incidents

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

HEALTH AND WELFARE

IMMEDIATE ACTIONS COME FIRST
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Immediate Actions

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

• What Happened?

• Why did it happen?

• Drill Down into the incident to identify the Root Cause as well as Contributing Factors.
Prevention Plans

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

Remember the words of Albert Einstein...

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

Examples of not so effective Preventions Plans:
• Continue to Monitor
• Implement plan as written
• Told him/her not to do that
Begins With a Thorough Investigation that

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

  Staff
  Equipment
  Individuals
  Policies
  Environment
  Communication Systems
  Leadership
UI Investigation

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

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

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

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

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

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

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

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

• (8) Each agency provider and independent provider shall maintain a log of all unusual incidents. The log shall include, but is not limited to, the name of the individual, a brief description of the unusual incident, any injuries, time, date, location, and preventive measures.

## Example of an Incomplete 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 and Address</th>
<th>Location</th>
<th>Description of the Incident (Explain the risk of Harm)</th>
<th>Immediate Actions Taken to Ensure Health and Welfare</th>
<th>Causes and Contributing Factors</th>
<th>Prevention Plan</th>
<th>UI/MUI</th>
</tr>
</thead>
<tbody>
<tr>
<td>James Blue</td>
<td>1107</td>
<td>11/7/13 2nd Shift</td>
<td>Bruise</td>
<td>Etna Rd</td>
<td>Home</td>
<td>James fell and hit his head while at the sink.</td>
<td>James sat in living room watching tv. Seemed to be ok.</td>
<td>Not observed, may have tripped.</td>
<td>Staff will continue to monitor James in the kitchen.</td>
<td>UI</td>
</tr>
<tr>
<td>Bob White</td>
<td>1108</td>
<td>11/7/13 2nd Shift</td>
<td>scratches</td>
<td>Etna Rd</td>
<td>Bathroom</td>
<td>Scratches under arm found during shower time.</td>
<td>Checked Bob's fingernails.</td>
<td>Bob scratches himself.</td>
<td>Redirect Bob when he scratches himself.</td>
<td>UI</td>
</tr>
<tr>
<td>Joe Black</td>
<td>1109</td>
<td>11/11/3 2nd Shift</td>
<td>None</td>
<td>Etna Rd</td>
<td>Living Rm</td>
<td>Joe left the kitchen and ran to James and slapped him.</td>
<td>Joe was told that hitting is bad and had him go to his bedroom.</td>
<td>Joe hits peers for unknown reason.</td>
<td>Staff will monitor when Joe and James around each other.</td>
<td>UI</td>
</tr>
<tr>
<td>James Blue</td>
<td>1109</td>
<td>11/11/13 2nd Shift</td>
<td>Red Mark</td>
<td>Etna Rd</td>
<td>Living Rm</td>
<td>James was hit by a peer for unknown cause.</td>
<td>Red mark faded within a few minutes.</td>
<td>Joe hits peers for unknown reason.</td>
<td>Staff will monitor when Joe and James around each other.</td>
<td>UI</td>
</tr>
<tr>
<td>James Blue</td>
<td>1110</td>
<td>11/12/13 1st Shift</td>
<td>None</td>
<td>Etna Rd</td>
<td>NA</td>
<td>James told staff that he ate Joe's cookies and has a stomach ache.</td>
<td>James was given toast for breakfast since he complained of a stomach ache.</td>
<td>James eats too much sometimes.</td>
<td>James will be reminded to not eat too many cookies on 2nd shift.</td>
<td></td>
</tr>
</tbody>
</table>
Example of an Incomplete UI Log

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

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

Action taken to address identified Patterns and Trends:
No trends noted...

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

What's missing from this Log?
• Important Details like and incident descriptions
• Evidence of medical follow up following injuries
• Location and description of injuries
## Example of Good UI Log

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<thead>
<tr>
<th>Name</th>
<th>UI #</th>
<th>Date &amp; Time</th>
<th>Injury</th>
<th>Home Name and Address</th>
<th>Location</th>
<th>Description of the Incident (Explain the risk of Harm)</th>
<th>Immediate Actions Taken to Ensure Health and Welfare</th>
<th>Causes and Contributing Factors</th>
<th>Prevention Plan</th>
<th>UI/MUI</th>
</tr>
</thead>
<tbody>
<tr>
<td>James Blue</td>
<td>1107</td>
<td>11/7/13 5:50pm</td>
<td>Large Bruise on Forehead</td>
<td>Etna Rd</td>
<td>Kitchen</td>
<td>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.</td>
<td>Assessed his injury. He never lost consciousness. Ice for injury – Contacted Supervisor and asked for nurse to evaluate injury.</td>
<td>Kitchen floor around the sink was wet. James does not have a history of falling.</td>
<td>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.</td>
<td>UI – Injury was a bruise to forehead. No medical treatment needed.</td>
</tr>
<tr>
<td>Bob White</td>
<td>1108</td>
<td>11/7/13 7:05pm</td>
<td>Small scratch marks under his left arm pit</td>
<td>Etna Rd</td>
<td>Bathroom</td>
<td>I was assisting Bob with his shower and noticed small scratches under his left arm pit. Unknown as to how they occurred.</td>
<td>Cleaned injury with soap and water. Checked Bob’s fingernails and his wheelchair to make sure nothing sticking out chair that could scratch himself with.</td>
<td>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.</td>
<td>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.</td>
<td>UI</td>
</tr>
</tbody>
</table>
### Example of Good UI Log

<table>
<thead>
<tr>
<th>Name</th>
<th>ID</th>
<th>Date</th>
<th>Time</th>
<th>Location</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Joe Black</td>
<td>1109</td>
<td>11/11/3</td>
<td>6:10pm</td>
<td>Etna Rd Living Rm</td>
<td>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 ranto 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.</td>
</tr>
<tr>
<td>James Blue</td>
<td>1109</td>
<td>11/11/13</td>
<td>6:10pm</td>
<td>Red Mark on his left shoulder Etna Rd Living Rm</td>
<td>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 3rd 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.</td>
</tr>
<tr>
<td>James Blue</td>
<td>1110</td>
<td>11/12/13</td>
<td>7:05am</td>
<td>None Etna Rd NA</td>
<td>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 and agreed.</td>
</tr>
<tr>
<td>Joe Black</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>UI - Not firmly fixed and injury does not meet rule criteria</td>
</tr>
</tbody>
</table>

UI - No risk but the CB was notified and staff interaction with individuals in the home.
# Example of Incomplete Log

## Unusual Incident Report Log

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<thead>
<tr>
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<th>UI #</th>
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<th>UI/MUI</th>
</tr>
</thead>
<tbody>
<tr>
<td>John</td>
<td>1111</td>
<td>12/1/13 12:00 a.m.</td>
<td></td>
<td>1810 W. Broad Street</td>
<td>Apartment Court Yard</td>
<td>John said that his neighbor's dog, Lucky, bit him on the hand and it was bleeding.</td>
<td>Reminded staff to call staff next time the dog bites him.</td>
<td>John was probably playing rough with dog</td>
<td>NA</td>
<td>UI</td>
</tr>
<tr>
<td>Sara</td>
<td>1112</td>
<td>12/8/13 9:53 a.m.</td>
<td>Big Bruise</td>
<td>119 South Ave</td>
<td>Hallway</td>
<td>Sara was walking down the hallway and fell</td>
<td>Picked her up</td>
<td>Sara walks too fast</td>
<td>Remind Sara to slow down</td>
<td>UI</td>
</tr>
<tr>
<td>White</td>
<td>1113</td>
<td>12/10/13 7:30 p.m.</td>
<td>Didn't see</td>
<td>555 White Pine</td>
<td>Kitchen</td>
<td>Toby was eating dinner and told me his Dad hit him when he went home last weekend.</td>
<td>I told T. to tell someone when that happens again. I called T's family and asked if T and his Dad got into a fight. They said “yes” but they worked it out. Everything is ok now.</td>
<td>T. gets bossy and plays his music too loud and it makes his Dad real mad.</td>
<td>If this happens again, ABC will call T.'s SSA.</td>
<td>UI</td>
</tr>
<tr>
<td>Sara S.</td>
<td>1114</td>
<td></td>
<td>Red mark on hand</td>
<td>119 South Ave</td>
<td>Living Room</td>
<td>Sara was walking and just tripped</td>
<td>Picked her up. No First Aid needed.</td>
<td>Wasn’t using her walker</td>
<td>Remind Sara to slow down</td>
<td>UI</td>
</tr>
<tr>
<td>Sara S.</td>
<td>1115</td>
<td>12/10/13 10 a.m.</td>
<td>?</td>
<td>119 South Ave</td>
<td>Hallway</td>
<td>Sara was walking down the hallway and fell</td>
<td>Helped her</td>
<td>Sara walks too fast</td>
<td>Continue to watch Sara</td>
<td>UI</td>
</tr>
<tr>
<td>Name</td>
<td>Room</td>
<td>Date/Time</td>
<td>Location</td>
<td>Event</td>
<td>Description</td>
<td>Action</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>------------</td>
<td>-------</td>
<td>-----------------</td>
<td>--------------</td>
<td>-------------------------------------------------------------------------------------------</td>
<td>-----------------------------------------------------------------------------</td>
<td>---------------------------------------------</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Robby</td>
<td>1116</td>
<td>9:00 p.m.</td>
<td></td>
<td>Robby was watching OSU-Michigan Basketball game on T.V. When the Michigan team scored a 3 point shot, Robby threw his full can of Diet Coke at the TV. The pop went everywhere and the TV screenshattered.</td>
<td>Cleaned up glass and spilled pop. Helped Robby throw his TV away because it was broken.</td>
<td>Robby is a huge Buckeye fan. Maybe Robby shouldn’t be able to watch the game if he gets so mad.</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Kris Cross</td>
<td>1117</td>
<td>12/14/13 7:45 p.m.</td>
<td>1 Castle Court Family Room</td>
<td>Kris and his roommate were sitting in the family room and started screaming names at each other.</td>
<td>Told them to stop it.</td>
<td>NA</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Sara S.</td>
<td>1118</td>
<td>12/16</td>
<td>119 South Ave Hallway</td>
<td>Sara was walking down the hallway and fell on knees</td>
<td>Picked her up.</td>
<td>Continue to Monitor.</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Sara S.</td>
<td>1119</td>
<td>12/18/13 7:57 a.m.</td>
<td>119 South Ave Kitchen</td>
<td>Sara was walking in kitchen and fell</td>
<td>Helped her up.</td>
<td>Sara walks too fast.</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Sara S.</td>
<td>1120</td>
<td>12/28/13 Big Bruise</td>
<td>119 South Ave Hallway</td>
<td>Sara was walking down the hallway and fell</td>
<td>Picked her up.</td>
<td>Implement ISP.</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Sara S.</td>
<td>1121</td>
<td>12/29/13 morning Said she was fine</td>
<td>119 South Ave Hallway</td>
<td>Sara was walking down the hallway and fell and hit her head on coffee table</td>
<td>Picked her up. Asked if she was ok and she said she was</td>
<td>Sara walks too fast.</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Joe W.</td>
<td>1122</td>
<td>N/A</td>
<td>Home Work</td>
<td>Joe said that he took his cell phone to work and he can’t find it</td>
<td>Reminded Joe he should not be taking his cell to work</td>
<td>Phone is gone. He will have to save up for a new one.</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Paula and Sam</td>
<td>1123</td>
<td>12/31/13</td>
<td>733 Woodstone Lane Lounge</td>
<td>Paula and Sam were going at it. Paula called him swear words and then kicked him in the stomach</td>
<td>Told Sam and Paula they need to go to their rooms if they were going to act like that or staff would take them there</td>
<td>No reason-just started fighting. Continue to monitor; implement BSP</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Example of Incomplete Log-cont.

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

<table>
<thead>
<tr>
<th>Reviewed by: EMA &amp; Services</th>
<th>Title: P&amp;GCA</th>
<th>Date: 1-5-14</th>
</tr>
</thead>
<tbody>
<tr>
<td>Trends and Pattern Identified?</td>
<td>YES</td>
<td>NO ☒</td>
</tr>
<tr>
<td>Trends and Pattern Addressed?</td>
<td>YES</td>
<td>NO ☒</td>
</tr>
</tbody>
</table>

If yes, please complete section below.

Action taken to address identified Patterns and Trends:

NA

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

What's missing from this Log?
- Important Details like full names, dates, times and incident descriptions
- Evidence of medical follow up following injuries
- Identification of Pattern and Trends
- Identification of MUIs
## Example of a Good UI Log

### UNUSUAL INCIDENT REPORT LOG

<table>
<thead>
<tr>
<th>Provider/Facility: ABC Residential Supports- GOOD EXAMPLE</th>
<th>Month/Year: 12/2013</th>
<th>County: Cuyahoga</th>
</tr>
</thead>
<tbody>
<tr>
<td>Name</td>
<td>UI #</td>
<td>Date &amp; Time</td>
</tr>
<tr>
<td>----------------</td>
<td>----------</td>
<td>--------------</td>
</tr>
<tr>
<td>John Glenn</td>
<td>1111</td>
<td>12/1/13 1:25 p.m.</td>
</tr>
<tr>
<td>Sara Stein</td>
<td>1112</td>
<td>12/8/13 9:53 a.m.</td>
</tr>
<tr>
<td>Name</td>
<td>Room</td>
<td>Date/Time</td>
</tr>
<tr>
<td>------------</td>
<td>------</td>
<td>-------------</td>
</tr>
<tr>
<td>Toby White</td>
<td>Kitchen</td>
<td>12/10/13 7:30 p.m.</td>
</tr>
<tr>
<td>Sara Stein</td>
<td>Living Room</td>
<td>12/10/13 9:42 a.m.</td>
</tr>
<tr>
<td>Sara Stein</td>
<td>Hallway</td>
<td>12/10/13 10 a.m.</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Name</td>
<td>ID</td>
<td>Date/Time</td>
</tr>
<tr>
<td>---------</td>
<td>-----</td>
<td>-------------</td>
</tr>
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<td>1116</td>
<td>12/12/13 9:00 p.m.</td>
</tr>
<tr>
<td>Kris Cross</td>
<td>1117</td>
<td>12/14/13 7:45 p.m.</td>
</tr>
<tr>
<td>Sara Stein</td>
<td>1118</td>
<td>12/16 8:20 a.m.</td>
</tr>
<tr>
<td>Sara Stein</td>
<td>1119</td>
<td>12/18/13 7:57 a.m.</td>
</tr>
</tbody>
</table>

*Note:* The actions listed are recommendations for further steps.
<table>
<thead>
<tr>
<th>Date</th>
<th>Time</th>
<th>Location</th>
<th>Description</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Sara Stein</td>
<td>12/28/13</td>
<td>900a</td>
<td>Red mark on knees, 119 South Ave, Hallway, Sara was walking down the hallway and started to drop, and hit her head on coffee table</td>
<td>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) 1. Called Nurse and On Call Manager 2. Talked to HM about scheduling an appointment with physician.</td>
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<tr>
<td>Sara Stein</td>
<td>12/29/13</td>
<td>9:10a</td>
<td>No visible injuries, 119 South Ave, Hallway, Sara was walking down the hallway and fell and hit her head on coffee table</td>
<td>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? 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</td>
</tr>
<tr>
<td>Joe Walsh</td>
<td>Unknown</td>
<td>N/A</td>
<td>Home, Work, Joe said that he took his cell phone to work and he can't find it</td>
<td>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 Joe's work bench unsecured. 1. Assisted Joe in obtaining new Cell Phone 2. Helped Joe purchase lock for work locker so he can secure items.</td>
</tr>
<tr>
<td>Paula Lyons and Sam McGhee</td>
<td>12/31/13</td>
<td>11:15 p.m.</td>
<td>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</td>
<td>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. 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.</td>
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</table>
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 out 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 aside Sara to reduce likelihood of falling/reduce severity of injury
3. Staff are asking Sara each and every time she gets up if she would like to use her walker
4. Staff take Sara’s BP prior to after medication since she had a change in medication and it may be contributing to unsteady gait
5. Asked Sara’s pharmacist to review medications to see if any could have an impact on falling. Pharmacist recommends that Doctor review the medications because the combination can be sedating.
6. Sara went to the Doctors on 12/30/13 and he discontinued the new medication and prescribed a different one. From 12/31/13-1/5/14, Sara has had no reported falls.
7. Sara has follow up appointment with her Doctor on 1-21-14 and will report on any falls that occurred.

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

• (9) The agency provider and the county board shall ensure that trends and patterns of unusual incidents are included and addressed in the individual service plan of each individual affected.
What is a UI Trend?

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

• Examples – Falls, Peer/Peer Acts, Med Errors which includes missed meds, finding meds on the floor, etc…. Unknown Injuries, Rights Violations, UBS...

• Scenario – Two Individuals live in IO Waiver Home together for 8 years. A new Individual with a diagnosis of Autism moves into the home. He has always lived with his mom. New Individual while adjusting will run through the house hitting peers and staff.
Oversight

• (N)(1) The county board shall review, on at least a quarterly basis, a representative sample of provider logs, including logs where the county board is a provider, to ensure that major unusual incidents have been reported, preventive measures have been implemented, and that trends and patterns have been identified and addressed in accordance with this rule. The sample shall be made available to the department for review upon request.
(N)(2) When the county board is a provider, the department shall review, on a monthly basis, a representative sample of county board logs to ensure that major unusual incidents have been reported, preventive measures have been implemented, and that trends and patterns have been identified and addressed in accordance with this rule. The county board shall submit the specified logs to the department upon request.
Oversight

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

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

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

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

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

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

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

• Immediate Action?
• What treatment was needed for injury?
• How did she Fall?
• Why did she Fall?
• History?
• Supervision Level? What if Barbara is eyes on?
• Contributing Factors?
• Prevention Plan?
Effective Prevention Planning takes all of us working together in the individual’s best interest, with the individual at the heart of it all.
Elements of a Good Prevention Plan

• Based on a thorough investigation which gives an explanation of “cause”. The prevention plan should attempt to address each cause identified not just “the obvious case.”

• Addresses other significant factors that played a role in the incident.

• Is not just “a plan to plan,” but is specific in identifying WHO is going to do WHAT, WHEN, WHERE, and HOW.
Elements of a Good Prevention Plan

• Takes into account not only “people” issues, but “systems” issues.

• One that not only addresses immediate action, but attempts to address long term planning towards a desired outcome.

• Includes involvement of the person and their guardian (as applicable) in the planning process.

• Shared across a variety of settings and includes feedback from a variety of disciplines for a holistic approach to a desirable outcome.
THANK YOU!

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