

## 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 <u>all Providers</u> complete monthly UI logs.
- DODD will review UI logs during compliance reviews.
- There is an emphasis on Unusual Incident Investigations.

### **Unusual Incident Means?**

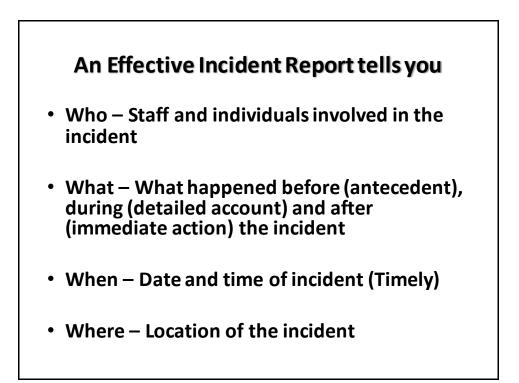
"Unusual incident" means an event or occurrence involving an individual that is not consistent with routine operations, policies and procedures, or the individual's care or individual service plan, but is not a major unusual incident.

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 heath 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-topeer 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:

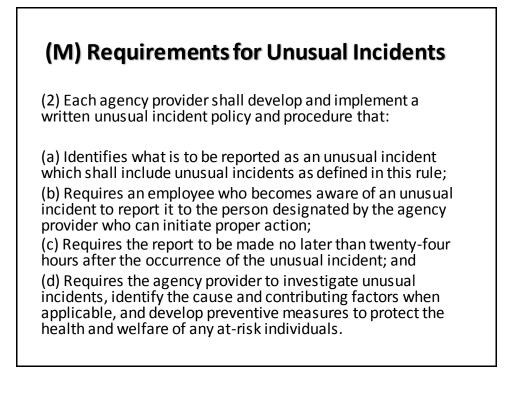
- (a) Individual's name;
- (b) Individual's address;
- (c) Date of incident;
- (d) Location of incident;
- (e) Description of incident;
- (f) Type and location of injuries;
- (g) Immediate actions taken to ensure health and welfare of individual involved and any at-risk individuals;
- (h) Name of primary 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;
- (I) Further medical follow-up; and
- (m) Name of signature of person completing the incident report.

			Report		
Provider Name & Address:			Additional Information/or Administrative	Follow-Up:	
			A. Further Medical Follow-up:		
DODD - Pos	sible or Determined MUI Report P	orm			
Individual's Name:		DOB	B. Administrative Action:		
Address:		City/County:			
Date of Incident: Time of I Location of Incident (home in bathroom, at the	noident: AM/PM				
Location of Incident (nome in bathroom, at the	max, runch/oom at work).				
Description of Incident (Who, What, Where, Wh	hen):		Signature:	Trie:	Date:
Topy - Sector Type & Locator Tonactase Action Is Sector Healt & Willey Withous Is Totaler Sector Association Sector Association	Provolusie Realization to individual Others Involved Name You	Sastra 	Clases and Combung Patters	Buttooks	
responsible for the individual's care. LE (Name, Sadge Number, Jurisdiction, and contact information required for Law Enforcement			Preventive measures: (For Provide's in	nternal use)	1
CPSA (Name and contact information required for					
Children Services)			1 = 1		
Children Services)					

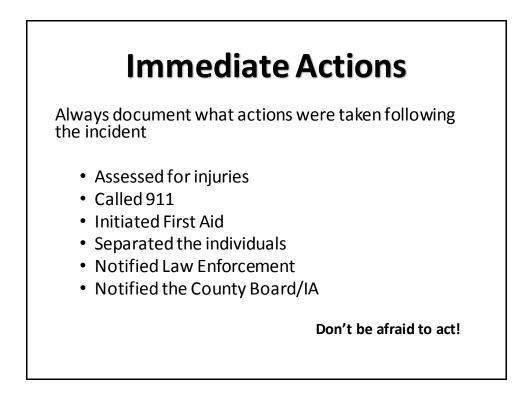


(1) Unusual incidents shall be reported and investigated by the provider.





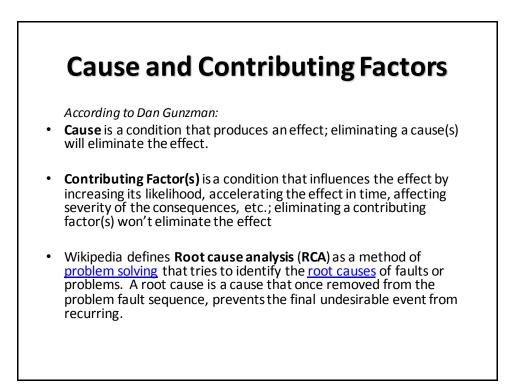




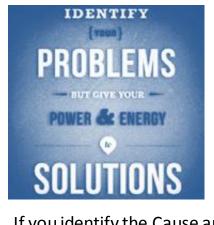
# **Immediate Actions**



- 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*.

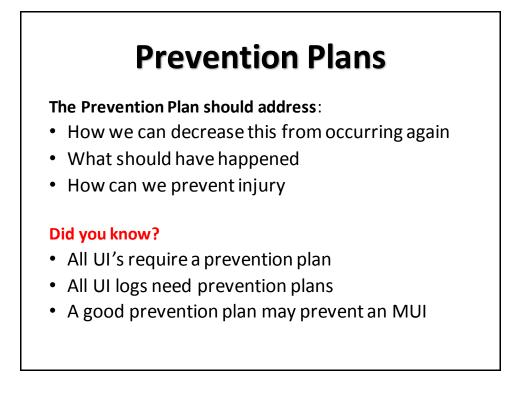


## **Cause and Contributing Factors**



- 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**

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

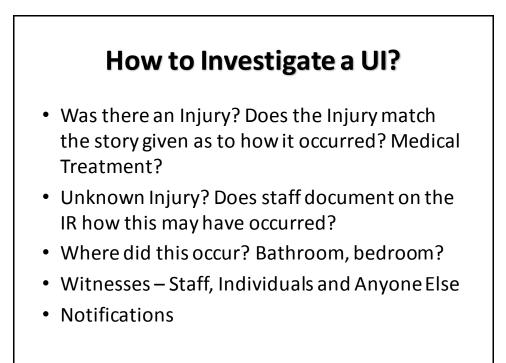
#### Prevention Plans begins with a thorough investigation that

- 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

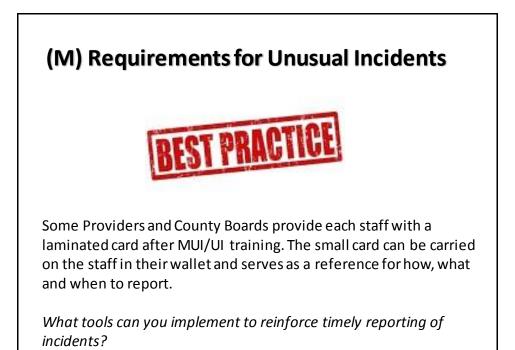
- Does the information given by staff explain what happened?
- Did the witness tell us the who, what, where and when?
- Are Immediate Action addressed and documented?
- What was happening prior (antecedent) to incident?
- What were staff and individuals doing prior?



(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?



(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.

(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.

(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.

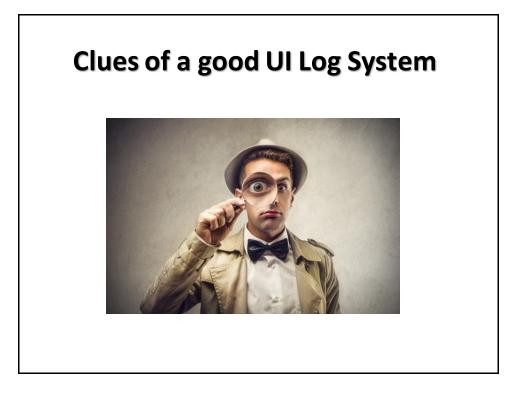
http://dodd.ohio.gov/healthandsafety/Documents/ UNUSUAL%20INCIDENT%20REPORT%20LOG%20pd f%208%2029%2013.pdf

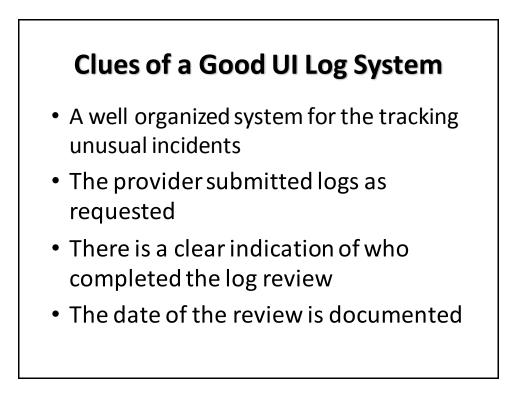
#### (M) Requirements for Unusual Incidents

(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.

	USU	AL INCIE	ENT R	EPORT L	OG					
Provide	r/Facil	ity:				Month/Year:	County:			
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	Causes and Contributing Factors	Prevention Plan	UI/MUI
										-

Reviewed by;		 Title:	Date:
Trends and Pattern Identified? Trends and Pattern Addressed?	YES VES	If yes, glease complete section below.	
įgjųgies, time, date, location, and p			

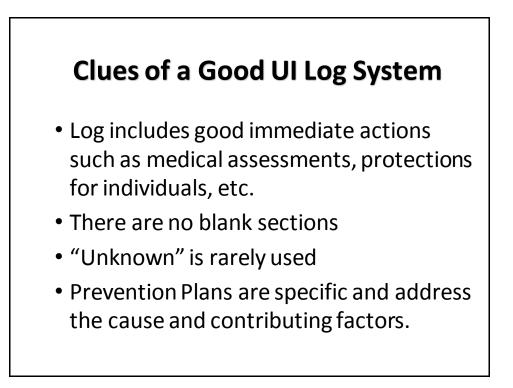




## Clues of a Good UI Log System

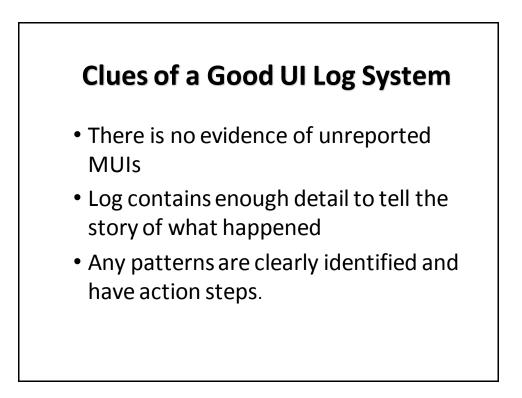
 Logs contain the following required elements Name of the individual

 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**

- 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"

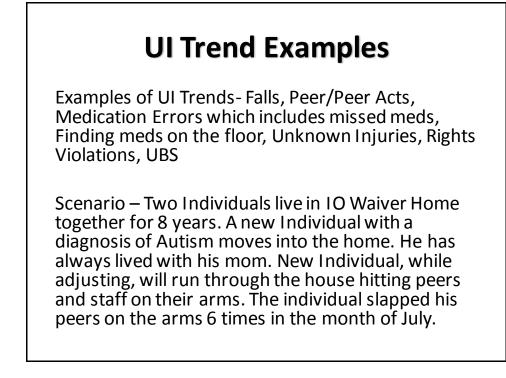


## What is a UI Trend?



#### 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.



Example of Good UI Log
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Provid	er/Facil	ity: 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)		Causes and Contributing Factors	Prevention Plan	UI/MI
James Blue			Large Bruise on Forehead	Etna Rd	Kitchen	after cleaning his dishes when he turned to walk away he fell to the ground. His head hit the kitchen	consciousness. Ice for Injury – Contacted Supervisor and asked for nurse to evaluate injury.	around the sink was wet. James does not have a history of falling.	needed when they are cleaning off their dishes.	Injury was a
Bob White	1108	7:05pm	Small scratch marks under his left arm pit	Etna Rd	Bathroom	his shower and noticed small scratches under his left arm pit. Unknown as to how they occurred.	Bob's fingernails and his wheelchair to make sure nothing sticking out of chair that could scratch himself with.	sensitive skin and he will scratch himself under his arm pit as well as other areas of his	In 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.	U

Joe	1109	11/11/3	None	Etna Rd	LivingRm	Joe had just finished his	Staff redirected Joe to	Joe will slap	Joeisnotonadiet	UI – No
Black		6:10pm				wanted more. Joe left the kitchen and ranto James and slapped him.	chose to stay in his room and listen to music. Staff stayed close to Joe the rest of the night when he	staff if he is agitated. Joe may have been upset due to not being able to have more cookies.	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.	injury tdoes no meet ru criteria
James Blue		11/11/13 6:10pm	Red Mark on his left shoulder		LivingRm	reclinerwatching the news on TV when Joe came ou	within a few minutes. Staff reassured James that they would keep Joe	been hit by Joe in the past but this is	mates.	firmly fixed ar
James Blue Joe Black		11/12/13 7:05am	None	Etna Rd		James told staff while getting ready for work that his belly hut 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 no get his snack since he hit James.	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	James feel better after being hit by Joe.	could start the shift.	risk but the CB was notified and

UN	IUSL					of a G	ood U	JI LO	Og	
Provider/ Name	UI #			Home Name and Address		Month/Year: 12/2013 Description of the Incident (Explain the risk of Harm)	County: Cuyahoga Immediate Actions Taken to Ensure Health and Welfare	Causes and Contributing Factors	Prevention Plan	UI/MU
John Glenn		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	Court Yard		Cleveland Metro. They confirmed Dog	John was probably playing rough with dog	Take prescribed medication from ER, follow up with MD c. called Landiord to request that dog not be able to roam off leash.     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		9:53 a.m.	Large quarter size bruise on left arms	119 South Ave		Sara was walking down the hallway and fell to the left hitting left side of body and arm on the wall.	Gave Sara her walker and assisted her to her feet.		<ol> <li>Asked Sara If she would assistance to restroom very 1 hour so she doesn't need to rush.2. Remind Sara to use walker</li> </ol>	UI

		E	Exa	ımp	ple	e of a G	iood l	JIL	og	
Robby Brown		12/12/13 9:00 p.m.			Living Room		frustration per his ISP. Robby calmed down. 2. Checked Robby –no injuries	sometimes has a hard time expressing himself.	<ol> <li>Contact County Board and see if Counseling might be appropriate as an outlet for Robby.</li> <li>Develop more strategies for Robby when he is becoming frustrated, like recording game and coming back to it when he is calmer.</li> <li>TV Repair</li> </ol>	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.	maybe they want to do stuff by themselves and	argument on	Spend about 5 minutes talking about their day upon arrival from work.	U
Sara Stein	1118	12/16 8:20a.m	None	119 South Ave	Hallway	hallway and fell on knees	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	and fell to knees.	Staff was beside her and just gave medications. Sara seemed really unsteady.	medication	Will check Blood Pressure after give medication, called nurse and home manager.	UI

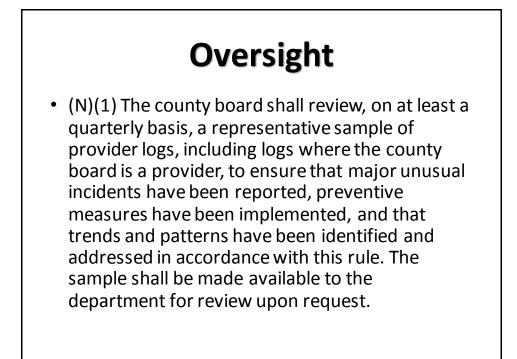
Sara		12/28/13	Xa	119 South		e of a				1.		
sara Stein		12/28/13 900a		Ave	Hallway	Sara was walking down the hallway and started to drop fell on knees	help	protect head and ly lower to ground.	Medication was just administered. Took BP while on ground after fall and it was low (see MAR)	2.	On Call Manager	U
Sara Stein		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		Checked and no visible injuries. Asked if she was ok and she said she was. Took Sara to ER to get checked because she hit head hard on table. No injuries and released.	Medication?	1. 2. 3. 4.	Calls to HM and Nurse Appointment with Dr. Scheduled for 12/30/13 Continue to walk with Sara Encourage Walker use Check BP	UI
Joe Walsh	1122	Unknown	N/A	Home	Work	loe said that he took his cell phone to work and he can't find it	2.	find.	Cell phone was left at Joes work bench unsecured	1.	Assisted Joe in obtained new Cell Phone Helped Joe purchase lock for work locker so he can secure items.	UI-it appears item lost
Paula Lyons and Sam McGhee		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	2.	Stood in between two and asked to move apart which they did. Paula voluntarily went into Living Room Checked Sam for injuries, none noted	Sam started seeing		like writing Sam a letter/drawing Talked about	UI- Reported to CB but does not meet criteria for P2P MUI

_/10	mples of a Good UI Log	
eviewed by: <u>Sue Miller</u>	Title: Program Director Quality Assurance Date: 1-5-14	
rends and Pattern Identified?	YES X NO	
rends and Pattern Addressed?	YES NO If yes, please complete section below.	
to the Emergency Room for asse 1. Staff documented time of	2013 resulting in some injuries such as bruising to knees and hand and hitting her head on the coffee table. Sara w nent to rule head trauma and none found. The following actions were taken: ills which all occurred in the morning following medication administration	as taken
to the Emergency Room for asse 1. Staff documented time of 2. Staff began walking said 3. Staff are asking Sara eacl 4. Staff take Sara's BP prior 5. Asked Sara's pharmacist medications because the	nent to rule head trauma and none found. The following actions were taken:	2
to the Emergency Room for asse 1. Staff documented time of 2. Staff began walking asid 3. Staff are asking Sara ead 4. Staff take Sara's BP prior 5. Asked Sara's pharmacist medications because the 6. Sara went to the Doctors reported falls.	nent to rule head trauma and none found. The following actions were taken: ills which all occurred in the morning following medication administration ra to reduce likelihood of falling/reduce severity of injury id every time she gets up if she would like to use her walker after medication since she had a change in medication and it may be contributing to unsteady gait review medic actions to see if any could have an impact on falling. Pharmacist recommends that Doctor review th mbination can be sedating.	2

## **Frequently Asked Questions**

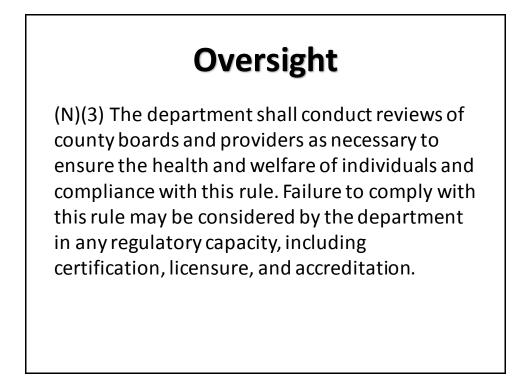


- 1. How should a provider document when they do not have any UIs that month? *We recommend documenting on UI Log that there were no UIs that month.*
- 2. Is the provider required to keep a UI log if they are not serving anyone? *No*.



## Oversight

(N)(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.



# 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 <u>Charles.Davis@dodd.ohio.gov</u>

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

> Abuse/Neglect Hotline 1-866-313-6733