



2013

MUI Abuser Registry

Executive Summary

A Review of Health and Welfare Systems for Ohioans with Disabilities



Department of
Developmental Disabilities

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*Message from
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88,894
Individuals served

More than
63,000 (70%) of
those served
live with their family

62% served are
males while 38 %
are females

The largest age
group of individuals
served is people
6-21 years of age
which includes
28,118 people .
This is followed by
individuals
22-30 years of age
who comprise
13,254 of the
population

The smallest age
group served is
adults who are
65 years and older.
This group
comprises 3,334 of
those served.

The Ohio Department of Developmental Disabilities (DODD) Major Unusual Incident (MUI) / Abuser Registry Unit is proud to publish the 2013 Annual Report. This report was created using data compiled from the Incident Tracking System (ITS) for calendar year 2013. ITS is the Department's online reporting system for tracking, monitoring and providing oversight involving health and welfare incident management to each of Ohio's 88 counties. Actively reporting incidents, providing immediate protections, conducting thorough investigations, identifying cause and contributing factors and implementing effective prevention plans are critical elements to protecting the individuals supported in Ohio.

Included within this annual report is specific data and analysis on a number of the Major Unusual Incident (MUI) categories. The analysis has been completed to assist the department, county boards and providers with identification of systemic issues impacting health and welfare for individuals throughout the state. Information is provided regarding several MUI categories including Physical Abuse, Sexual Abuse, Verbal Abuse, Neglect, Misappropriations, Deaths, Injuries, Hospitalizations, Unapproved Behavior Supports, Attempted Suicide, Medical Emergencies and Missing Persons. The review and analysis of the data has been instrumental in assisting the field with targeting important issues in order to develop strategies for improvement.

In addition to reporting on specific MUI incident categories, we've included data regarding systemic outcomes. This data includes: 24 hour reporting, 30 day Investigations, Site Visit Reports, Department Directed Investigations, Abuser Registry Statistics, Department Hotline Calls, Pattern Trend Reports, Mortality Review Information and other reports pertaining to health and welfare systems.

Health and Welfare Alerts are published through the MUI/Registry Unit throughout the year. These Alerts are developed based on the review of ITS data and shared with providers of service in an effort to get information out to the field quickly regarding potential health and welfare concerns. Alerts are created through committee work, pattern and trend analysis and individual case review of incidents. Some Alert topics noted in 2013 included: Choking Prevention, Sexual Abuse Prevention, Hot Water Burns, Physical Abuse and Mechanical Restraints.

The MUI Registry Unit reviewed over 19,637 reported incidents in 2013. The unit reviews each case to assure that appropriate immediate action has been taken to protect individual's health and

welfare and that reports are consistently filed and investigated according to required rule protocols.

O.A.C. 5123:2-17-02 (MUI Rule) went through the rule review process in 2012-2013 and implementation of the revisions occurred in September of 2013. The results to date have indicated an improvement in triaging incidents based on the significance of the reports. Fine tuning a few MUI definitions has allowed for greater clarification and more consistency across the state.

The health and welfare of Ohioan's receiving services remains top priority. The MUI / Registry Unit would like to thank individuals, families, providers, county boards, constituents and department personnel for their hard work, dedication and commitment to making health and welfare a priority in 2013. Ohio's system is comprehensive and requires cooperation and teamwork at many levels to gain positive results. 2014 promises to be a year full of challenges and opportunities and Ohio is well positioned to actively address both.



62
Placements
on the Abuser
Registry in 2013

September 3, 2014
O.A.C. 5123:2-17-02
Rule Revisions
implemented

Over 4,000
Individuals, Families
and employees
trained on health and
welfare topics by
MUI staff during the
year

19,637
MUIs filed and
investigated
statewide

The first edition of
Well Informed
Newsletter,
a quarterly
publication,
was issued in
December 2013

Eight
Health and Welfare
Alerts were issued in
2013

There were 395
hotlines received in
2013. Of those
reports, 77 reports
(19%) of those
resulted in MUI
filings

Department's Oversight

The Mission

of the Ohio Department of Developmental Disabilities is continuous improvement of the quality of life for Ohio's citizens with developmental disabilities and their families.

The Incident Tracking System (ITS) is a DODD Application tasked with tracking the Major Unusual Incidents (MUIs) across all of Ohio's Counties. This application aids local and state Developmental Disability (DD) employees in ensuring the health and welfare of the individuals we serve. The Abuser Registry is also maintained through ITS and provides a public facing program for employers to review potential hires to confirm they have not been banned from employment in the field.

Each of the 88 County Boards contract for services or employ an Investigative Agent (IA). The IA is required to investigate all reported MUIs. These investigations include the identification of causes and contributing factors as well as prevention plans to help reduce the likelihood of re-occurrence. IAs are certified through the Ohio Department of Developmental Disabilities (DODD) and are required to attend Civil and Criminal Investigatory Practices training and obtain credit hours to maintain their certification.



Providers and County Boards work diligently to ensure that incidents are reported accurately and timely. Working in partnership, providers and County Boards develop immediate actions to ensure the health and welfare of any at-risk individual(s). The County Board conducts a thorough investigation for all MUIs entered into the Incident Tracking System (ITS) which includes prevention planning.

DODD is responsible for overseeing statewide systems of supports and services for people with developmental disabilities and their families. The Major Unusual Incident (MUI) Unit plays a critical role by providing oversight to County Boards and Providers to help assure the health and welfare of individuals receiving services in Ohio.

The MUI Unit employs fifteen staff and is comprised of three primary entities: Intake, Regional Managers and Registry Investigators.

The Intake Managers assure that all MUIs are entered correctly into the ITS system and include effective immediate actions, meet MUI criteria and are classified accurately according to rule. They also review each and every incident entered into the online Incident Tracking System.

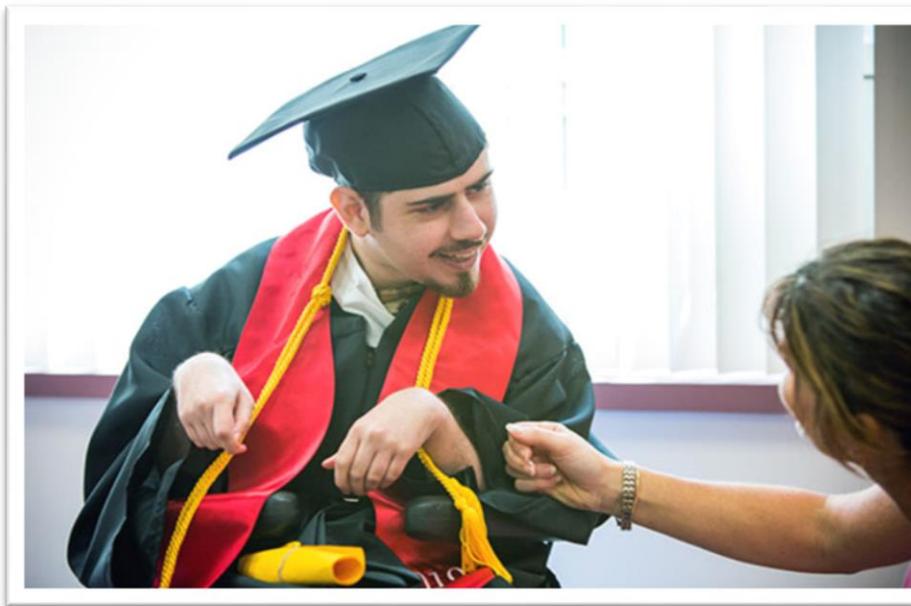
Regional Managers conduct quality assurance reviews of Incident management through the online Incident Tracking System (ITS), conduct site visits to Ohio's counties and providers of service as required and provide training and technical assistance throughout the year.

The Unit Registry Investigators manage the DODD Abuser Registry. In addition, they conduct department directed investigations and site visits to Ohio's counties as required to monitor the quality of the investigations. Registry Investigators provide training and technical assistance to the Investigative Agents (IA).

Other statewide functions include: Providing Informational Notices to Stakeholders, Issuing Health and Welfare Alerts, Managing a Centralized Complaint Hotline, Conducting Statewide Mortality Review Meetings, Steering Statewide Pattern and Trends Meetings, and providing ongoing training to the field.

In 2013, the Department issued eight Health and Welfare Alerts to raise awareness. The Alerts focus on areas in which DODD has identified a risk to people and provides guidance on what can be done to minimize these risks.

All DD Employees are required to be trained, annually, on identification and reporting of Major Unusual Incidents (MUIs) and Unusual Incidents (UIs) prior to direct contact with people served. Training includes the review of any Health and Welfare Alerts released since the previous calendar year's training.



In 2013, the MUI unit conducted onsite reviews of 47 County Boards through the Accreditation and Quality Tier processes. The purpose of these visits was two-fold. The first was to monitor the Board's compliance with Ohio Administrative Code 5123:2-17-02 and the second was to provide technical assistance and support in an effort to improve health and welfare for the individuals residing within that county.

Of the 47 reviews completed, 32 counties received no citations in the area of MUI/UI. Four County Boards only received one citation. Nine counties reviewed received fewer than eight citations while two County Boards had more than eight areas of non-compliance. County Boards are held to a high standard of reporting and completing MUI investigations.

Resources

DODD offers different resources in the Health and Safety Toolkit. The Toolkit is located on the Department's website at www.ohio.gov and contains valuable resources for County Boards, Providers, Individuals and their families. The Toolkit contains informational links, training presentations, forms, reference materials and investigative tools.

Reviews

In 2013, the MUI Unit Conducted 37 Accreditation Reviews, ten Quality Tier Reviews.

In 2013, the County Boards continued to achieve good results in these areas. In the areas of timely reporting and completing of investigations, the County Board achieved 96%.

O.A.C. 5123:2-17-02 Addressing Major Unusual Incidents and Unusual Incidents to ensure health, welfare and continuous quality improvement

Break down of Investigations by Category type for 2013:

Category A-8,900 investigations

Category B-3,669 investigations

Category C-7,068 investigations

Investigation Procedures for the different categories are at <https://doddportal.dodd.ohio.gov/rules/ineffect/Pages/default.aspx>

In collaboration with a hard working group of stakeholders, DODD introduced revisions to O.A.C. 5123:2-17-02 (Addressing Major Unusual Incidents and Unusual Incidents to ensure health, welfare and continuous quality improvement) effective date for implementation of the revised rule was September 3, 2013.

Some of the rule changes included:

- Revision to the definition of Peer to Peer Acts
- Rule title changed to include MUI and UIs. The new title is *Addressing major unusual incidents and unusual incidents to ensure health, welfare, and continuous quality improvement* captures all incident types.
- Changes to Protocols (A, B, and C category investigations.)
- Strengthening of the UI process.
- Revised communication and dispute resolution opportunities (i.e., information, appeal) for peer/guardian in a Peer-to-Peer case.
- Law enforcement notifications on criminal Peer-to-Peer cases. Local conversations to assure appropriate follow-up
- Incidents that meet the definition for a Law Enforcement MUI are filed whether an individual is receiving services or not.

Rule revisions emphasize:

- Improvements that focus on making sure all incidents are investigated
- Providing the appropriate amount of verification and investigation
- Reducing unnecessary worry, time, and effort on paper compliance that doesn't impact outcomes

The 19 MUI Categories were broken into three classifications A, B, and C.

Category A-Accidental or Suspicious Death, Exploitation, Failure To Report, Misappropriation, Neglect, Peer to Peer Act, Physical Abuse, Prohibited Sexual Activity, Rights Code, Sexual Abuse and Verbal Abuse

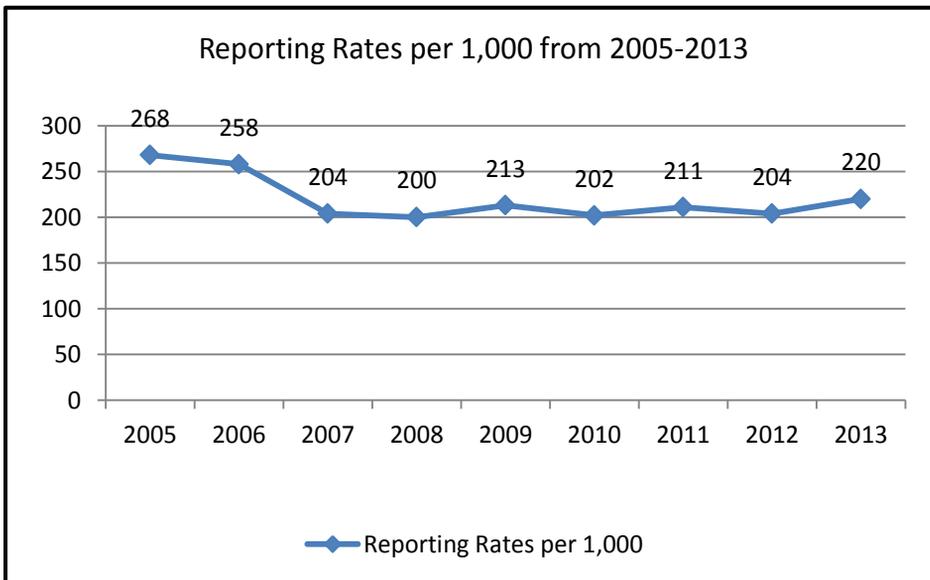
Category B-Attempted Suicide, Medical Emergency, Missing Individual, Death other than accidental or suspicious, and Significant Injury

Category C-Law Enforcement (defined as when an individual is charged, incarcerated or arrested), Unscheduled Hospitalizations and Unapproved Behavior Supports. These are the only three categories where the Appendix C Protocol and form can be used. Appendix C forms can be completed by the SSA and the Provider who was providing services to the individual when the incident occurred. The IA or MUI Contact will enter the information from Appendix C form into ITS. The IA will be responsible for reviewing it and ensuring information is complete, incident is properly coded and meets the requirements of rule.

DODD developed several resources to assist in providing training and education to the field regarding the rule revisions. Information regarding the revisions can be found at the Department's website www.dodd.ohio.gov. Click on the Health and Safety Toolkit and select either of the following headings: Individual, Provider or County Board and scroll down to the MUI Rule Revisions section.

YEAR	NUMBER OF MUIs FILED	NUMBER OF INDIVIDUALS SERVED	REPORTING RATE per 1,000
2005	19,973	74,452	268
2006	19,935	77,369	258
2007*	16,247	79,583	204
2008	16,266	81,284	200
2009	17,244	81,022	213
2010	17,703	87,458	202
2011	19,078	90,237	211
2012	18,654	91,652	204
2013*	19,637	88,984	220

* Rule changes effective this year



Reporting Rates

Reporting rates are good indicators of increases and decreases in MUIs based on the total population served.

In calendar year 2013 the MUI rates per thousand were 220 reports per every thousand person served. This is an increase over the previous year.

Rule changes that went into effect on September 3, 2013 will have an impact on reporting rates.

Number of Individuals Enrolled on Waivers:

Individual Options Waiver:
17,602

Level One Waiver:
12,965

S.E.L.F. Waiver:
222

Transitions Waiver:
2,947

2013 Top Ten Reported MUIs by County and Type			
Category	2013 Count	All MUIS	% of MUIs
Unscheduled Hospitalization	4,627	19,637	23.56
Peer to Peer Acts	2,108	19,637	10.73
Alleged Neglect	2,064	19,637	10.51
Unapproved Behavior Support	1,827	19,637	9.3
Significant Injury	1,755	19,637	8.94
Alleged Abuse-Physical	1,567	19,637	7.98
Misappropriation	1,528	19,637	7.78
Alleged Abuse - VERBAL	857	19,637	4.36
Non-Accidental and Suspicious Deaths	742	19,637	3.78
Medical Emergency	688	19,637	3.5

Reporting Highlights:

- Sixty-two names were added to the Registry in 2013 for a total of 509 names listed at the end of calendar year 2013.
- In 2013, there were several improvements that led to a 27% increase in the number of names placed on the Registry. The open caseload decreased by 36% between March 2013 and December 2013. The number of notices of opportunity for hearing almost doubled from 2012.
- In 2013, there were 76 Department Directed investigations conducted with findings for 87 allegations. Of those allegations, 34% were substantiated
- In 2013, there were 1,528 misappropriation allegations reported and 899 were substantiated (59%).
- In 2013, there was an 8 % increase in the number of substantiated physical abuse cases from 2012. The Department is working with our partners to increase education and awareness through Health and Welfare Alerts and increased training.
- The number of verbal abuse allegations and substantiations declined since 2012 when there were 812 allegations reported and 301 substantiated.
- 84% of substantiated neglect cases resulted in no injury.
- 688 Medical Emergencies MUIs were filed in 2013
- There were 767 falls reported in 2013 as significant injuries. DODD has partnered with other state agencies to prevent falls. This collaboration is called Steady U Ohio.
- There were 1,827 UBS reports made in 2013 which is 52 less UBS than were filed in 2012.
- In 2013, there were 2,108 Peer to Peer Acts filed.
- Unscheduled Hospitalizations continue to be the most commonly filed MUI with 4,627
- There were 783 reported deaths in 2013.



To subscribe for Abuser Registry Notifications, please join-abs.alert@list.dodd.ohio.gov



<http://aging.ohio.gov/steadyu/default.aspx> is the source in Ohio for falls prevention information, tools and other resources.

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