Trending and Tracking Requirements

Tom Moss

Licensing and Certification

Tracking/Patterns
Course Objectives

1. Know which rules require trending and tracking.

2. Know the survey process.

3. Understand how to track and analyze incidents/accidents.

Requirements for a Facility Administrator

IDAPA 16.03.22.215.09

- **Identify and Monitor Patterns of Incidents and Accidents.**

  - The administrator must identify and monitor patterns related to incidents and accidents and develop interventions to prevent recurrences.

Requirements for Handling Accidents, Incidents, or Complaints
IDAPA 16.03.22.350.08

- **Identify and Monitor Patterns.**

  - The administrator or person designated by the administrator <u>must identify and monitor patterns</u> of accidents, incidents, or complaints to assure the facility's policies and procedures protect the safety of residents.

Entrance Conference Checklist

Residential Care / Assisted Living Facilities
Entrance Conference Checklist
Initial/ Licensure/Complaint Survey

Facility Name: _____

Survey Date: _____   Time: _____

The survey team will need the following items. Please make arrangements to provide them at of the conclusion of the Entrance Conference.

INITIAL/LICENSURE/COMPLAINT SURVEY

1. Completed Resident Roster
2. The facility Wi-Fi code.
3. A copy of the facility map & codes for doors and gates.
4. Meal times.
5. Times staff provide assistance with medications.
6. The last 30 days as-worked records for all staff, including: nurse, administrator, housekeeping, maintenance, etc. Also include the current week's schedule.
7. A list of all facility and contract personnel/staff, titles and phone numbers.
8. Weekly menu, including any therapeutic menu, which will be served during the survey.
9. The admission and discharge register.
10. Incident/Accident reports for last 6 months.
11. Monitoring and tracking documentation for incidents and accidents (patterns and interventions).
12. Complaint documentation and the facility's written response for the last 6 months.
13. Do you provide Adult Day Care? If so, we need the hourly adult day care log.
14. Abuse Policy/Exploitation/Neglect.
15. Do you have a private well? If so, we need to see the annual private well-water sample results.
16. During the survey we will be requesting: 1) resident records – financial and medical information i.e., admission agreement, medication orders, nurse's 90 day assessment, daily care notes, negotiated service agreement, uniform assessments and medication assistance records 2) personnel records and 3) controlled substance tracking.

L & C (07/15/2015)

11. Monitoring and tracking documentation for incidents and accidents (patterns and interventions.)

INCIDENT/ACCIDENT TRACKING AND INVESTIGATION

Date	Time	Resident	Shift	Incident	Staff on Duty	Investigation	Corrective Actions

What do you see?

Date	Time	Resident	Shift	Incident	Staff on Duty	Investigation	Corrective Actions
1/1/17	8pm	Joe	PM	Fall	Becky Donna	Fell in driveway. No Injuries.	Staff Training.
1/6/17	10pm	Joe	PM	Fall	Tom Donna	Fell in bedroom. No Injuries	Staff Training.
1/11/17	9pm	Joe	PM	Fall	Becky Gloria	Leaned forward and slid out of his wheelchair onto the floor. No observable injuries.	Staff Training.
1/18/17	11am	Joe	AM	Elopement	Gloria Tom	Wandered out of the facility – through the front door.	None at this time as this was the first incident of this kind.
1/30/17	1pm	Joe	AM	Fall	Becky Gloria	Resident was refusing cares, became combative with caregivers, and fell from the shower chair onto the floor.	Staff Training.
2/4/17	8pm	Joe	PM	Fall	Tom Becky	Resident became upset/combative after dinner, and fell reaching for another resident's food.	Instructed caregivers to redirect.
2/6/17	2am	Joe	Night	Fall	Donna Gloria	Resident fell from wheelchair in the hallway. No observable injuries.	Staff Training.
2/9/17	10:30am	Joe	AM	Elopement	Donna Tom	Resident eloped from the facility and went to the gas station. The police brought him back.	Implemented 20 minute checks.
2/17/17	1am	Joe	Night	Fall	Donna	Resident fell while walking in hallway. No Injuries.	Staff Training.

Patterns and Tracking

Fact: Joe has eloped 2 times when Tom was working.

Pattern: Review of past incidents show that Joe has eloped two times when Tom was his caregiver.

What do you do with this information?

Patterns and Tracking

Fact: Joe fell out of his wheelchair 2 times when Gloria was working.

Pattern: Review of past incidents shows that Joe has fallen out of his wheel chair 2 times when Gloria was the caregiver.

What do you do with this information?

Patterns and Tracking

Fact: Joe fell four times when Donna was working.

Pattern: Review of past incidents shows that Joe has fallen 4 times when Donna was working over the past month.

What do you do with this information?

Patterns and Tracking

Fact: Joe has become combative two times, both times Becky was on shift.

Pattern: Review of past incidents shows that Joe was observed to become combative two times over the past month, Becky was working both times.

- What do you do with this information?

Patterns and Tracking

- **Fact**: Joe has only fallen one time during the AM shift.

- **Pattern:** Review of past incidents shows that Joe has fallen one time during the AM shift over the past month.

- What do you do with this information?

Facility Tracking and Trending

- How does the facility identify <u>facility patterns</u>?
  - How does the facility trend and identify patters for <u>falls per shift</u>?
  - How does the facility trend and identify patterns for <u>unknown injuries per shift</u>?
  - How does the facility trend and identify patterns <u>when elopements are occurring</u>?

What Can You Do With This Valuable Information?

- Implement interventions to Prevent Reoccurrences.

- Protect the safety of your residents.