

Electronic Data Reporting System For Special Incident Reports

User Guide



December 7, 2001

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Introduction

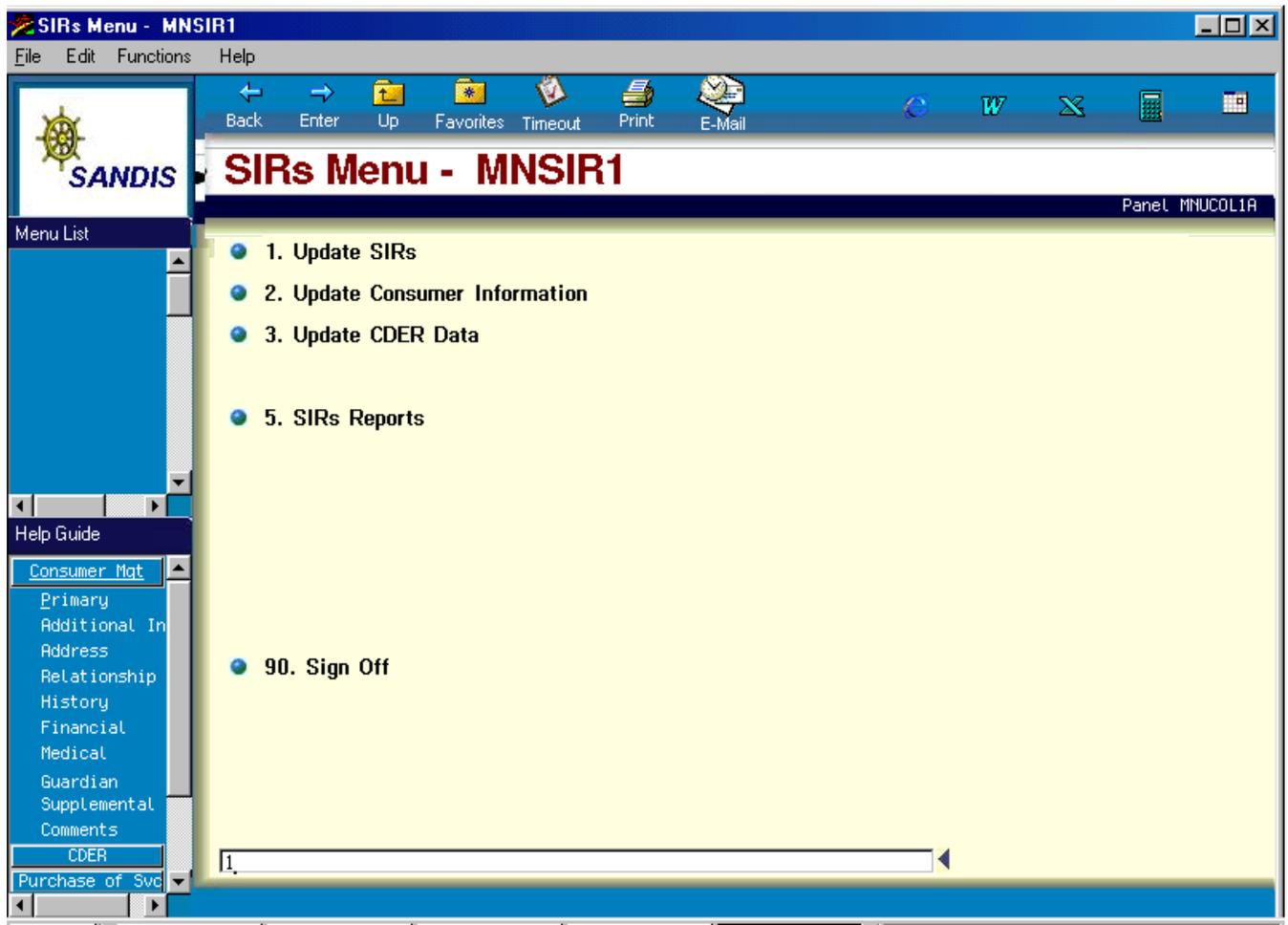
The Department of Developmental Services has developed this user guide to the electronic reporting system for regional center use in entering and transmitting special incident report.

The automated special incident reporting (SIR) system is driven by the consumer's Unique Client Identifier (UCI). Once the UCI is entered, information from the Client Master File (CMF) and the consumer's Client Development Evaluation Report (CDER) are brought into the special incident report. This will help ensure consistency in reporting, and make this process a lot easier! Vendor information (vendor number, vendor name, license number - if applicable, and address) is selected from the vendor file. Once again this offers us an opportunity for reduced data entry and greater reporting accuracy.

Once special incidents are entered at your regional center, they will go through your regional center's unique approval process (as previously identified by your staff). When they have passed the final approval level, the reportable incidents (special incidents as defined in Title 17) will be transmitted to DDS-HQ (Department of Developmental Services Headquarters). Non-reportable incidents will not be transmitted to DDS-HQ, and will remain at the regional center level. This transmission will take place on a nightly basis.

How do I Enter or Access the Information?

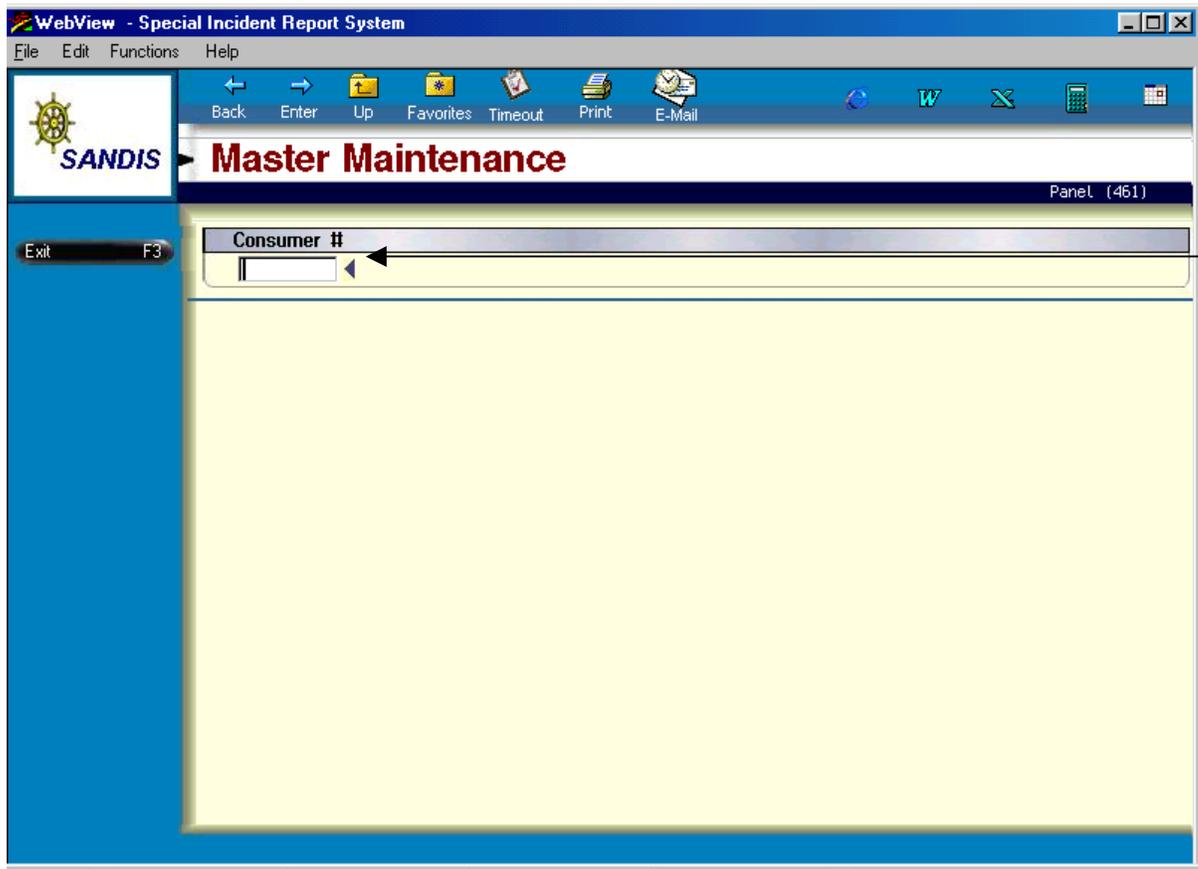
When you select the Special Incident Reporting from your menu, you will be brought to a SIRs menu screen.



The menu that you see may be slightly different depending upon your role in the approval process, but all menus work the same. From this menu, choose option 1. Update SIRs.

Selecting a Consumer

At the “Master Maintenance” screen, enter the consumer’s UCI number. If you are unsure of the UCI number, you can do a name search by clicking on the help button to the right of the field, or by typing in “?” and pressing enter.



Selecting a Consumer (con't)

A new box will appear that will allow you to enter the consumer's last name, first name or middle initial (MI). You can search by entering the first letter, the first few letters or the entire name first or last) and pressing "Enter" on your keyboard.

The screenshot shows the 'Master Maintenance' interface of the SANDIS system. It features a search area with a 'Consumer #' field and a table for listing consumers. The table has columns for 'Last Name', 'First Name', and 'MI'. The 'Last Name' field is currently filled with 'SANDIS'. The status bar at the bottom indicates 'UCI# Was Not Found'.

Last Name	First Name	MI
SANDIS		

Selecting a Consumer (con't)

This will bring up a listing of consumers that match the information you entered. You can then select the appropriate consumer by double clicking on the consumer information or by highlighting the consumer information and clicking on "Select (1)" at the bottom left of the screen. (If the consumer you are looking for is not displayed, you can page through the consumers meeting your search criteria by using the up/down arrows on the right hand side of the screen, or by using your "Page up" or "Page down" keys on your keyboard).

WebView - SANDIS - Consumers

File Edit Options Functions Help

Back Enter Up Favorites Timeout Print E-Mail

Search By Name Panel (309)

Name	D.O.B.	UCI#/INO#	Status	CPC
SANDIS, SAMMY	Oct 24, 1950	6212908	#2-ACTIV	TC-ALVI, WASIMA

Select (1)

= Document Imaging Exists (single-click on the icon for the desired record to view the image)

Creating/Viewing an Incident

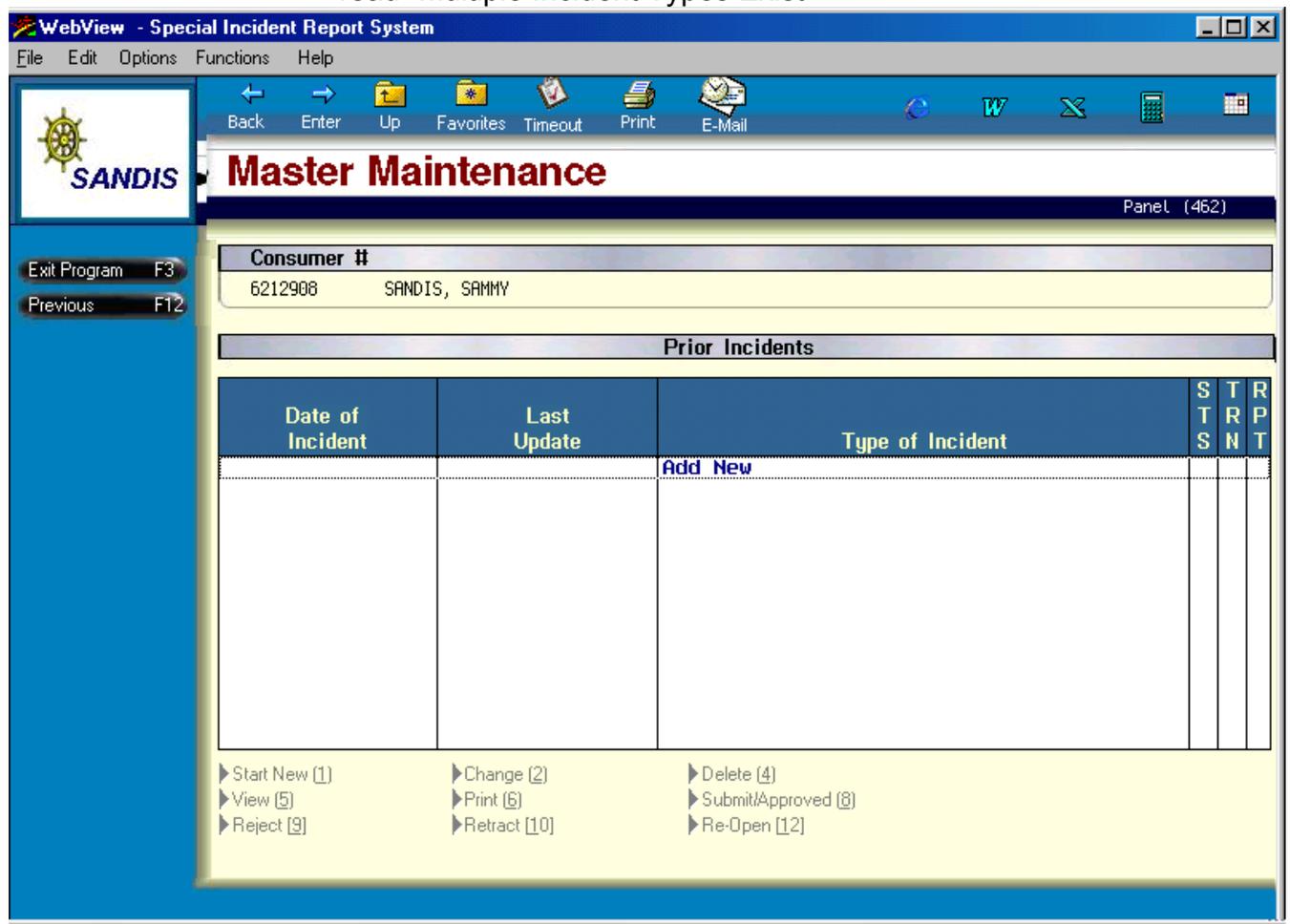
Once a consumer has been selected, a new incident can be added, previously entered incidents can be edited, approved, retracted, printed, deleted, rejected, viewed and re-opened (used to open previously transmitted SIRs in order to update) at this screen.

This screen displays the following about special incidents for this consumer:

Date of the Incident – listed in descending order

Last Update – the date of the last update to this incident

The Type of Incident – if more than one type of incident is included in this SIR, the screen will read “Multiple Incident Types Exist”



This screen will bring up special incident information for the consumer you selected. Any incidents that have occurred in the past 36 months will be available on this screen.

The following describes your options on the bottom of the Master Maintenance Menu.

Master Maintenance (explaining the options)

Start New = Adding A New Incident

You may enter a new incident by double clicking on "Add New". Or by clicking once on the line stating "Add New" and then clicking "Start New".

Change = Changing Previously Entered Incidents

You can modify an existing incident by highlighting (clicking on) the incident and clicking on "Change". Please note that you can only change an incident that is at your approval level (an incident that has not been sent to the next level for approval or transmission).

Delete = Deleting An Incident

You can delete an incident by highlighting the incident and selecting "Delete". Please note that you cannot delete incidents that have already been sent to the next approval level. If an incident that has gone on to the next approval level needs to be deleted, have the person at the next level reject the SIR (by highlighting the incident and clicking "Reject", please see "Rejecting an Incident" below). After the incident has been rejected, it can then be deleted.

View = Viewing an Incident

You can select an incident to view by highlighting the incident and clicking on "View". This allows you to view incident information, but modifications cannot be made while in view mode.

Print = Printing an Incident

Highlighting the incident and selecting "Print" will print a copy of the special incident report. If there are any outcomes, or if the incident is a death, this information will print as well. If the selected incident does not have outcomes entered yet, the outcomes section will not print out.

Submit/Approved = Approving the Incident and Submitting to the Next Approval Level

Highlighting the incident and clicking on "Submit/Approved" sends the incident to the next approval level. When the top approval level completes an incident, it is flagged for transmission to DDS-HQ (if it is a reportable incident).

Reject = Rejecting An Incident

You may reject an incident that has been forwarded to you for approval by highlighting the incident and clicking on "Reject". Please note that when you reject an incident it sends it back to the level at which it was initiated (not down just one level).

Master Maintenance (explaining the options)

Retract = Retracting An Incident

When you have approved an incident (sent to the next level for approval), you can retract the incident if you need to make changes. This can only be done before the next level approves the SIR. Once the SIR is approved by the next level it must be rejected to return to the prior person.

Re-Open = Re-opening An Incident After Transmission to Update or Change

Once an incident has been transmitted, it may be reopened by highlighting and selecting "Re-Open". Re-opening will allow you to make any necessary changes, or add new information as it becomes available. Once you have completed your changes or additions, you must again "Submit/Approve" the SIR. It will then go through the approval process again and be transmitted to DDS-HQ. If you accidentally reopen a SIR, it must go through the approval process, even if no changes are made. Otherwise it will stay listed as a SIR that is active and waiting for approval.

Adding an Incident

You can add an incident by double clicking on “Add New”. Consumer information from the CMF will automatically populate the SIR form. If it is necessary to change information such as an address that is pulled in from the CMF, the change must be made in the CMF prior to SIR entry. If there is a guardian on file, the name will be automatically pulled in to the SIR form.

If there is no guardian on file, the field will be populated with “No Guardian on file”. If you are aware of a new guardian or conservator, you may enter the information in this field. (Remember that this change is only captured in the SIR, and does not update any other information.)

The screenshot displays the 'Incident Detail Data' form within a web browser window titled 'WebView - Special Incident Report System'. The form is organized into several sections:

- Consumer #:** 6212908
- Incident #:** 3690000519
- Approval Status:** (Field)
- Name:** SANDIS, SAMMY
- Birth Date:** Oct 24, 1950
- Address 1:** 5625 ELK STREET
- Address 2:** (Field)
- City/ST/Zip:** SAN DIEGO, CA 921144024
- Serv Coord:** ALVI, WASSIMA
- Residence Type:** 11
- Gender:** M
- Legal Status:** 9
- SSN#:** 564114497
- Guardian/Conservator:** No Guardian on file
- Incident Type Code(s):** (Dropdown menu with a help button on the right)
- Reportable Incidents:** (Checkbox)
- Incident Date:** (Calendar icon)
- Incident Time:** (AM/PM radio buttons)
- Date Is Approximate:** (Yes/No radio buttons)
- Time Is Approximate:** (Yes/No radio buttons)
- Date Reported To RC:** (Calendar icon)
- Report Prepared By:** (Text field)
- Report Date:** (Calendar icon)
- Date Last Transmitted To HQ:** (Calendar icon)

The next field for entry is the Incident Type Code(s). If you know the incident abbreviation, you may type it directly into this field. If you do not know the code, or wish to select more than one code, you can access the help screen by clicking on the help button on the right side of the field. The incident type(s) are selected by highlighting and then pressing “Enter” on your keyboard. If only one incident type is selected, you may double click on the incident type or highlight the incident type and then click on Select (1) on the bottom left-hand side.

For a complete description of special incident types that must be reported to DDS-HQ as defined in State regulations, refer to Title 17 §54327.1. Remember the incident types codes include events that the regional center may choose to track, but are not required to be reported to DDS-HQ. You can select more than one incident type by highlighting the incident types while holding down the control (Ctrl) key, and then pressing “Enter” on your keyboard. If you

have selected more than one incident type, the Incident Type Code(s) will show ***MULT*** on the Incident Detail Data Screen. Please note that if you have selected any incident type that is reportable to DDS, a checkmark will appear in the Reportable Incident box.

Next, enter the incident date and time. Enter the date in the format MMDDYYYY or select the date by using the calendar button and selecting the day and clicking "OK". You must also indicate if the date or time is approximate (this question must be answered by selecting "yes" or "no"). Enter the time in the format of HHMM. The system will enter the colon for you automatically. If the time is unknown, enter 9999 and check "yes" indicating that time is approximate. If the date is unknown, enter the date of the report and check "yes" date is approximate.

Also, fill out the date the incident was reported to the regional center, who prepared the report (the regional center person who is responsible for the report content) and the date the report was prepared.

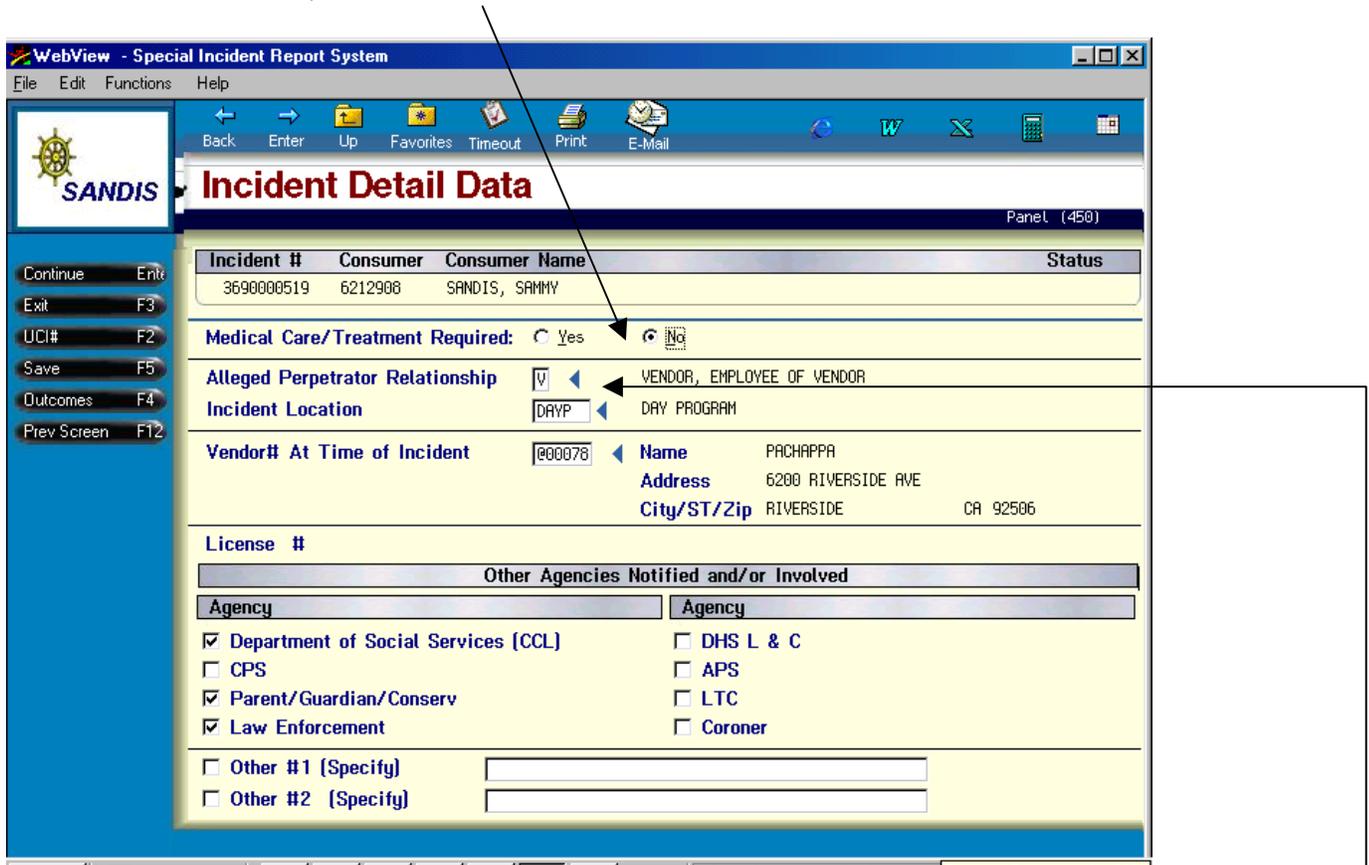
The screenshot shows a web browser window titled "WebView - Special Incident Report System". The main content area is titled "Incident Detail Data" and contains a form with the following fields and values:

Consumer #		Incident Summary	
6212908	Incident #	3690000519	Approval Status
Name	SANDIS, SAMMY		Birth Date
Address 1	5625 ELK STREET		
Address 2			
City/ST/Zip	SAN DIEGO, CA	921144024	
Serv Coord	ALVI, WASIMA		
Residence Type	11	Gender	M
Legal Status	9	SSN#	564114497
Guardian/Conservator	No Guardian on file		
Incident Type Code(s)	ALFIN ALLEGED CONSUMER FINANCIAL ABUSE		
<input checked="" type="checkbox"/> Reportable Incidents			
Incident Date	Tue Nov 27, 2001	Date Is Approximate	<input type="radio"/> Yes <input checked="" type="radio"/> No
Incident Time	7:30 AM	Time Is Approximate	<input type="radio"/> Yes <input checked="" type="radio"/> No
Date Reported To RC	Tue Nov 27, 2001		
Report Prepared By	Owen, Kathy		
Report Date	Tue Nov 27, 2001	Date Last Transmitted To HQ	

After completing all of the information, press “Enter” on your keyboard and you will continue to the second Incident Detail Data screen.

The consumer name and incident number will automatically appear.

Select “Yes or “No” to indicate if Medical Care/ Treatment was required (this question must be answered to continue).



Next, if there was a perpetrator involved in the incident, you may enter the perpetrator code if you know it, or access help by either entering a “?” in the field and pressing “Enter” on your keyboard or by clicking on the help button to right of the field.

This will bring up a list of the possible field entries. You may select a perpetrator description by either double clicking on the description or by clicking once on the description and then clicking on Select (1) at the bottom of the screen.

Enter the Incident location. If you are unfamiliar with the code choices, you may access help on this field by clicking on the help button to the right of the field. This will display a list of choices. Select from this list by double clicking on the Incident location description, or by highlighting and then clicking on Select (1) at the bottom of the screen.

In appropriate, enter the Vendor # of the vendor who was responsible for the consumer at the time of the incident. If you do not know the vendor’s number, you may click on the help button. You may then search by entering the resource (vendor) name, the first letter, or a partial name.

Select the desired vendor by double clicking on the information. The vendor number, name, address and CCF/DSS License # (if appropriate) will fill in on the SIR form.

Other Agencies Involved:

In recording the other agencies involved, select the appropriate agency by clicking on the check box to the left of the agency name. For the selections of "Other #1" and "Other #2", check the box to the left of the selection and enter the name of the agency notified.

Proceed to the next screen by pressing "Enter" on your keyboard.

Description of Incident:

Select **Add/Update** to enter a narrative description of the Incident.

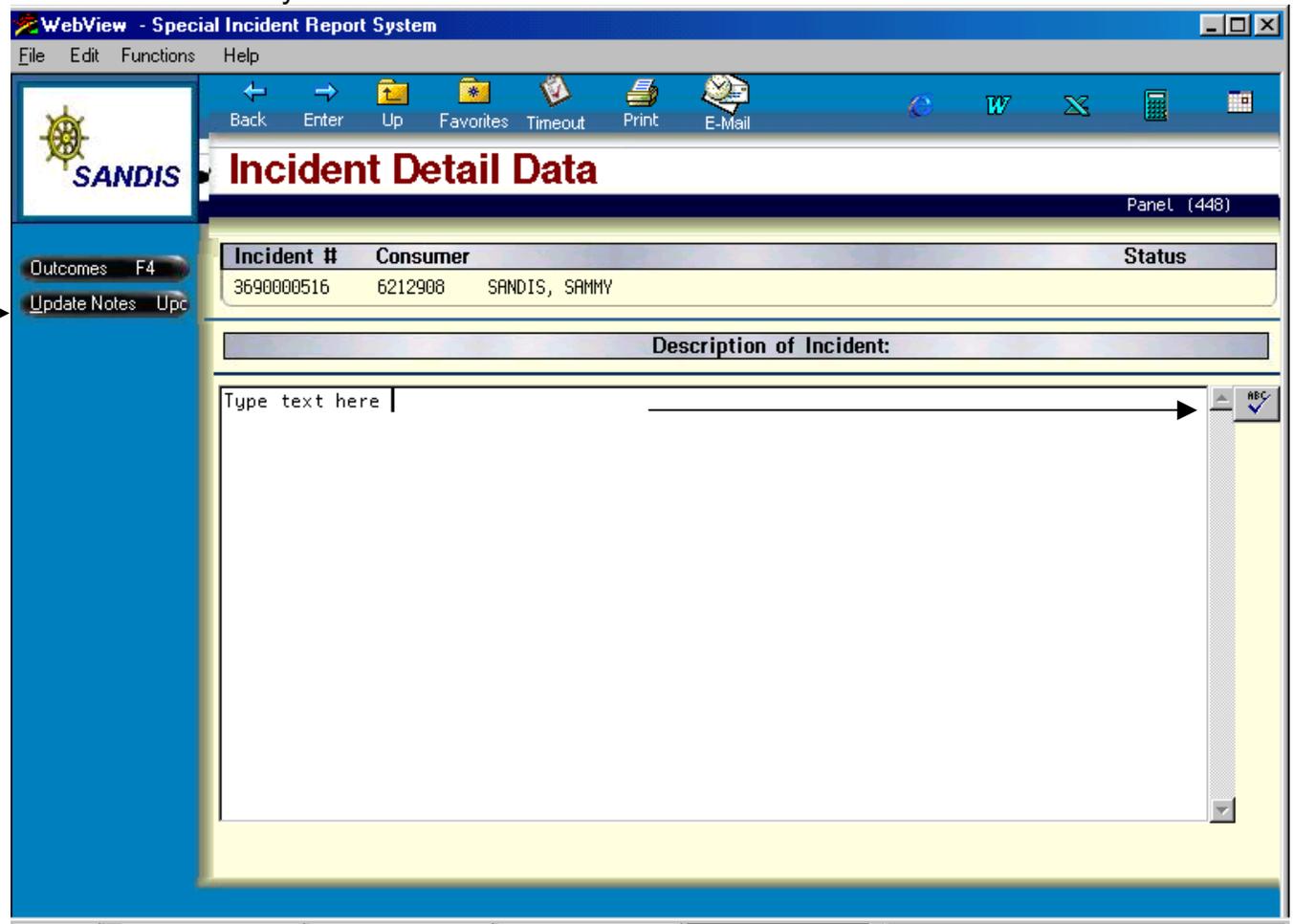
The screenshot shows a web browser window titled "WebView - Special Incident Report System". The interface includes a menu bar (File, Edit, Functions, Help), a toolbar with navigation icons (Back, Enter, Up, Favorites, Timeout, Print, E-Mail), and a sidebar with a "SANDIS" logo and a list of function keys: Continue (Enter), Exit (F3), UCI# (F2), Save (F5), Outcomes (F4), and Prev Screen (F12). The main content area is titled "Incident Detail Data" and contains a table with the following data:

Incident #	Consumer
3690000516	6212908 SANDIS, SAMMY

Below the table are two text input areas. The first is labeled "Description of Incident" and contains the placeholder text "Type text here". Below this field are two buttons: "Add/Update" and "View". The second text input area is labeled "Specific Preventative Action Taken or Planned By RC" and also contains the placeholder text "Type text here". Below this field are also two buttons: "Add/Update" and "View".

You can also select "View" to see the complete text that has been entered previously for the incident, but modifications cannot be made while in view mode.

This will open up a text window where you can type in the narrative information. Spell check is also available while you are in the text window.



Once you have completed your typing, click on Update Notes on the upper left hand side of the screen to complete this section.

Specific Preventative Action Taken or Planned By RC:

Select **Add/Update** to enter Specific Action Taken or Planned by RC. This will open up a text window so that you can type in the narrative information. Once you have completed your typing, click on Update Notes on the upper left-hand side of the screen to complete this section.

The screenshot shows a web browser window titled "WebView - Special Incident Report System". The interface includes a menu bar (File, Edit, Functions, Help), a toolbar with navigation and utility icons, and a sidebar with a "SANDIS" logo and a list of keyboard shortcuts: Continue (Enter), Exit (F3), UCI# (F2), Save (F5), Outcomes (F4), and Prev Screen (F12). The main content area is titled "Incident Detail Data" and contains a table with the following data:

Incident #	Consumer
3690000516	6212908 SANDIS, SAMMY

Below the table are two text input fields. The first is labeled "Description of Incident" and contains the placeholder text "Type text here". Below it are "Add/Update" and "View" buttons. The second is labeled "Specific Preventative Action Taken or Planned By RC" and also contains the placeholder text "Type text here". Below it are "Add/Update" and "View" buttons. A red box highlights the "Add/Update" button for the second section, with an arrow pointing to it from the text above. Another arrow points from the "Continue" button in the sidebar to the "Add/Update" button in the second section.

Press "Enter" to close the Incident, or Press F4 on your keyboard to enter outcome information (if available).

Entering Outcome Information

If your incident is not already opened, select your incident and click “Change” to open the incident you would like to update. (Reminder: if the incident has already been transmitted to DDS-HQ, you will need to click on “Re-open”)

Once the incident has been opened, you can press “F4” on your keyboard or click on the Outcomes button on the upper left-hand side of the screen to bring up the Outcomes Information Screen.

WebView - Special Incident Report System

File Edit Functions Help

Back Enter Up Favorites Timeout Print E-Mail

SANDIS **Incident Detail Data** Panel (449)

Consumer #	Incident Summary		Approval Status
6212908	Incident #	3690000516	
Name	SANDIS, SAMMY		Birth Date Oct 24, 1950
Address 1	5625 ELK STREET		
Address 2			
City/ST/Zip	SAN DIEGO, CA	921144024	
Serv Coord	ALVI, WASIMA		
Residence Type 11	Gender M	Legal Status 9	SSN# 564114497
Guardian/Conservator	No Guardian on file		(First I. Last)
Incident Type Code(s)	ALFIN ALLEGED CONSUMER FINANCIAL ABUSE		
<input checked="" type="checkbox"/> Reportable Incidents			
Incident Date	Tue Nov 27, 2001	Date Is Approximate	<input type="radio"/> Yes <input checked="" type="radio"/> No
Incident Time	7:30 <input checked="" type="radio"/> AM <input type="radio"/> PM	Time Is Approximate	<input type="radio"/> Yes <input checked="" type="radio"/> No
Date Reported To RC	Tue Nov 27, 2001		
Report Prepared By	Owen, Kathy		
Report Date	Tue Nov 27, 2001	Date Last Transmitted To HQ	

Continue Enter
Exit F3
UCI# F2
Save F5
Outcomes F4
Prev Screen F12

This screen contains a system generated follow up date (tickle date--calculated by the incident date plus six months). You may also enter a RC Follow up Date that is different from the system-calculated date, so that you can choose when you will be reminded to follow-up.

WebView - Special Incident Report System

File Edit Functions Help

Back Enter Up Favorites Timeout Print E-Mail

SANDIS **Outcomes Information** Panel (455)

Incident #	Consumer	Consumer Name	Status
3690000516	6212908	SANDIS, SAMMY	

Outcomes/Actions Taken In Response To Incident

Follow Up Date 5/27/2002 RC Follow Up Date []

Regional Center Actions (check all that apply)

- Plan of Corrective Action Implemented
- Sanctions Imposed
- Consumer/Auth Rep Refused Relocation
- Increased Case Management
- Additional New Services/Support Refused
- Other (Specify) []
- Training and/or Technical Assistance Provided
- Consumer Relocated
- Increased Clinical Services
- Additional New Services & Supports

Vendor Actions (check all that apply)

- Staff on Admin Leave or Terminated
- Policies Revised
- Other (Specify) []
- Staff Training

Continue (Enter), Save (F5), Previous (F12), UCI# (F2), Exit (F3)

Place a checkmark next to the appropriate regional center actions and vendor actions.

Press "Enter" for the additional outcomes for Licensing, CPS/APS, LTC Ombudsman and Law Enforcement.

WebView - Special Incident Report System

File Edit Functions Help

Back Enter Up Favorites Timeout Print E-Mail

SANDIS **Outcomes Information** Panel (457)

Incident #	Consumer	Consumer Name	Status
3690000516	6212908	SANDIS, SAMMY	

Outcomes/Actions Taken In Response To Incident (cont.)

SIR Reporting and Follow-up Completed

Coroner's Findings (check all that apply)

Coroner's Report Received

Autopsy Conducted

Cause of Death Determined
Specify Cause of Death

Other (Specify)

Comments

▶Add/Update (2) ▶View (5)

Continue Enter
Save F5
Previous F12
UCI# F2
Exit F3

When the SIR has been completed, (you have enter all information about the incident and the outcomes regarding the SIR and wish to close the SIR) place a check mark in the box following "SIRS Reporting and Follow-up Completed".

Please note that in those locations that read "Other (specify)" you must type in the specific information as well as checking the selection area, otherwise you will receive a message reminding you to do so before you can continue.

When "Cause of Death Determined" is selected, the "Specify Cause of Death" field must be filled in to continue.

This completes the Incident Outcomes section.

Pressing "Enter" on your keyboard or clicking the "Continue" button on the upper left-hand side of your screen will return you to the Incident Detail Data Screen.

Entering Death Information

Prior to entering information about a consumer's death you must complete the first and second screen of the Incident Detail Data the same way you do for any other incident. Once you have completed the second screen, and pressed enter on your keyboard, the Consumer Death Information Screen will appear.

The screenshot shows a web browser window titled "WebView - Special Incident Report System". The main content area is titled "Consumer Death Information" and contains the following sections:

Incident #	UCI #	Consumer	Status
3690000517	6212908	SANDIS, SAMMY	

Death Summary

Location of Death CONSUMER'S RESIDENCE
Date of Death 11/28/2001

Category/Type of Death

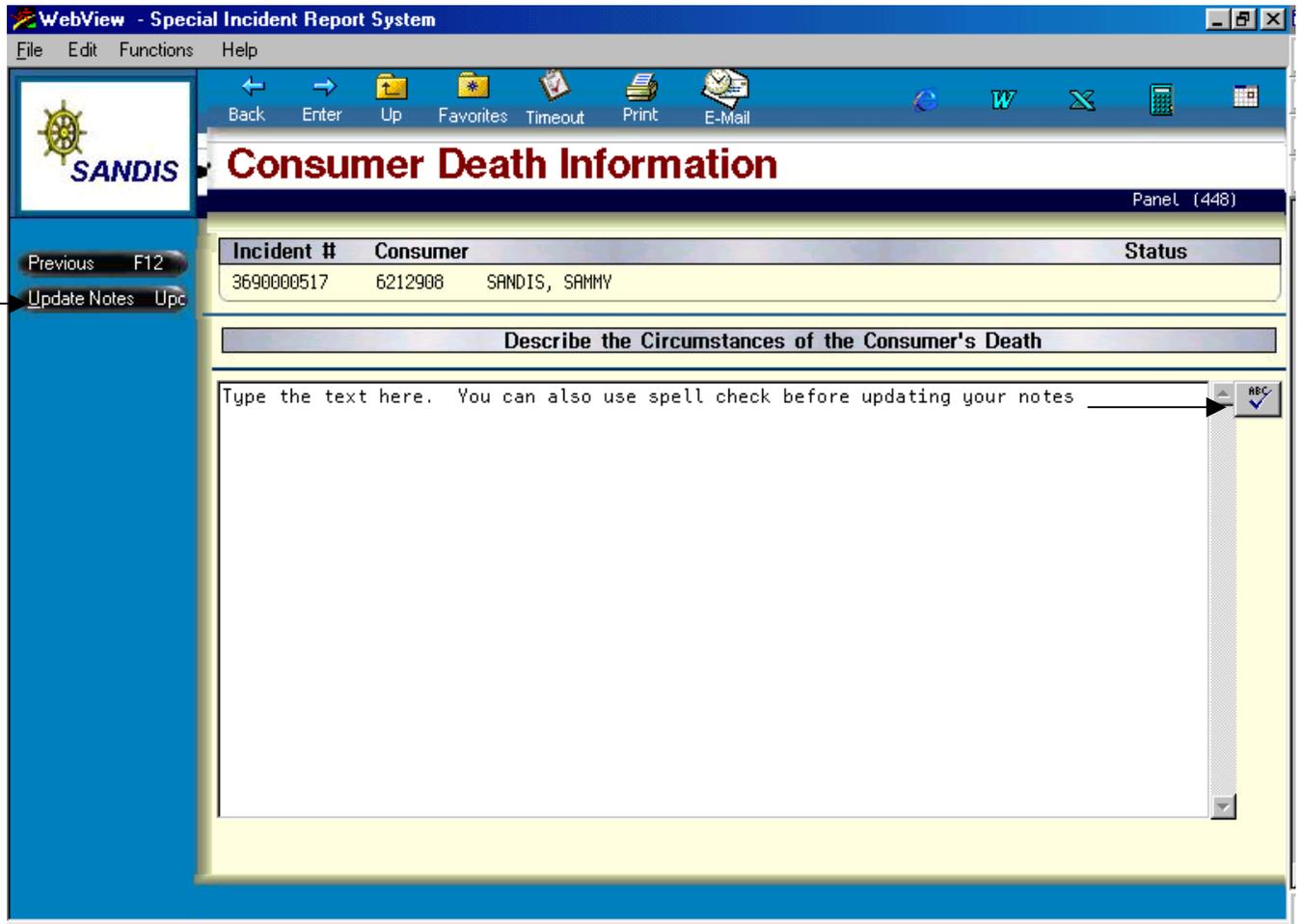
Disease Related
 Non-Disease Related Category
 Unknown

Describe the Circumstances of The Consumer's Death

At the bottom of the form are buttons for "Add/Update" and "View". A left sidebar contains buttons for "Continue", "Save", "Previous", "UCI#", and "Exit".

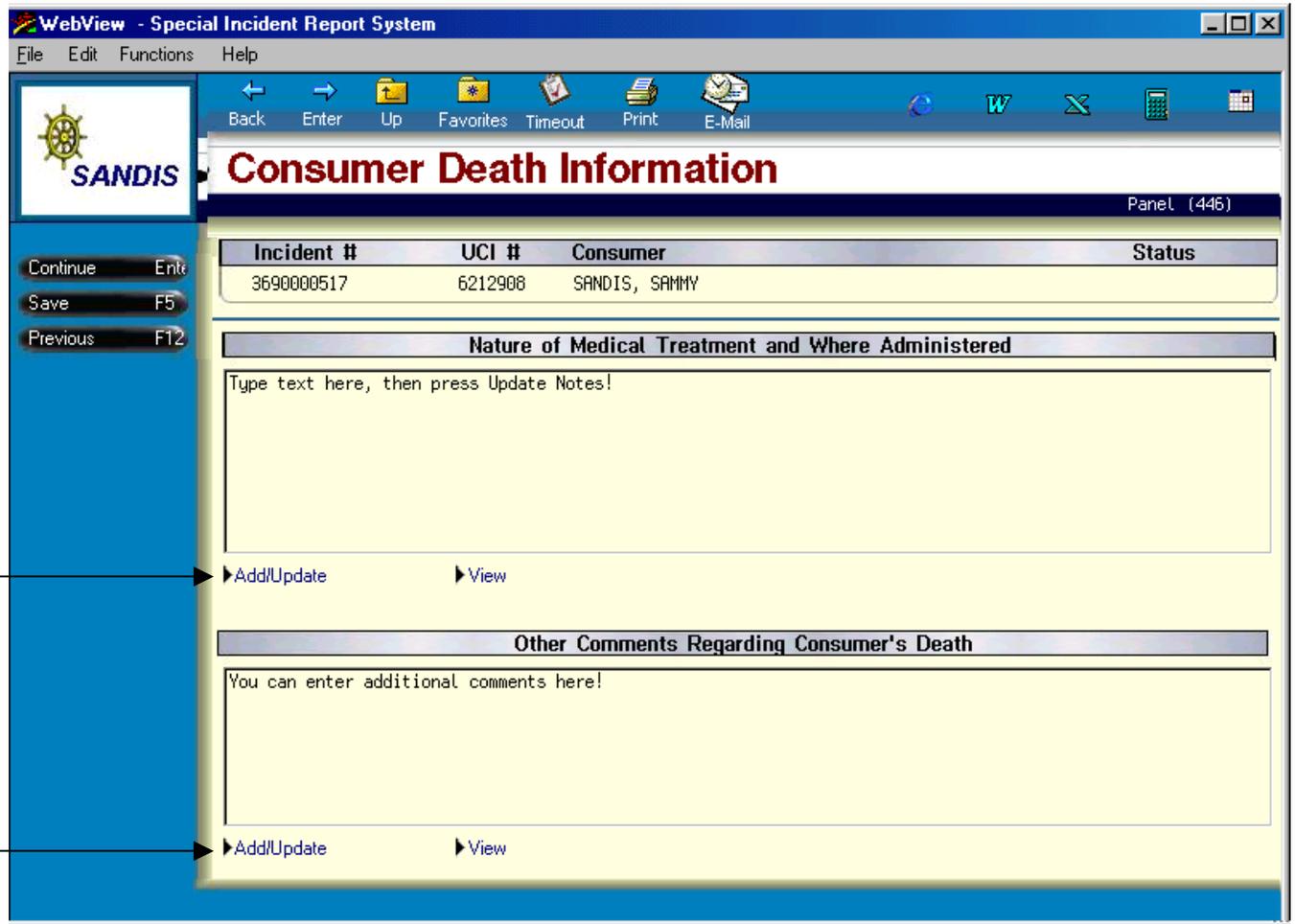
Select a Category/Type of death, Disease related, Non-Disease Related, or Unknown. If Non-Disease related is selected, then you must supply the category. If you are unsure of the category code, you may press the help button. This will bring up the choices for category of death. Select the category desired by double clicking on your selection or by highlighting the selection and press Select (1) at the bottom of the screen. If the type of death is unknown, select "unknown".

Describe the Circumstances of the consumer's death by clicking on "Add/Update" and entering text.



When you have finished, click on "Update Notes" in the upper left-hand corner.

You may then press "Enter" on your keyboard or click the "Continue" button on the upper left-hand side of your screen to continue to the next page of death information.



Click "Add/Update" to complete entries on "Nature of Medical Treatment and Where Administered". Type in the narrative comments and complete by pressing the "Update Notes" button on the upper left-hand side".

Next, click "Add/Update" to complete entries on "Other Comments Regarding Consumer's Death". Type in the narrative comments and complete by pressing "Update Notes" button on the upper left-hand side.

You can now continue with the Incident Detail Data Screens.

Status, Transmission & Reportable

Master Maintenance Panel (462)

Consumer # 6212908 SANDIS, SAMMY

Date of Incident	Last Update	Type of Incident	STS	TRN	RPT
		Add New			
Wed Nov 28, 2001	Mon Dec 03, 2001	DEATH		N	Y
Tue Nov 27, 2001	Mon Dec 03, 2001	ALLEGED CONSUMER FINANCIAL ABUSE	B	N	Y

▶ Start New [1] ▶ Change [2] ▶ Delete [4]
 ▶ View [5] ▶ Print [6] ▶ Submit/Approved [8]
 ▶ Reject [9] ▶ Retract [10] ▶ Re-Open [12]

STS - The current approval status of this incident.

Blank = New Incident

B = Approved by Initiator, submitted to 2nd level for approval

C = Approved by 2nd level, passed to 3rd level

D = Approved by 3rd level, passed to 4th level

E = Approved by 4th level passed to 5th level

T = Approved by highest level, ready to transmit

Please note that your individual regional center may not use all of the approval levels. (For example, your center may only see status levels of blank, B and T).

TRN – Indicates the transmission status of the incident. The Default is an “N”. This is updated to a “Y” when the incident is ready for transmission and changes to a “T” once transmission has taken place.

RPT – Indicates whether or not this special incident report is reportable to DDS-HQ per Title 17 regulations (either single incident type is reportable, or a multiple incident type contains any reportable incident types). “Y” = Yes, “N” = No.

Approving an Incident

Once you have finished entering the information for an incident, return to the Master Maintenance screen.

The screenshot shows a web browser window titled 'WebView - Special Incident Report System'. The main content area is titled 'Master Maintenance' and displays a 'Consumer #' field with the value '6212908' and 'SANDIS, SAMMY'. Below this is a table of 'Prior Incidents' with columns for 'Date of Incident', 'Last Update', 'Type of Incident', and status columns 'S', 'T', 'R', 'P'. The table contains two rows: one for 'DEATH' and one for 'ALLEGED CONSUMER FINANCIAL ABUSE'. At the bottom of the screen, there is a menu with options: Start New [1], Change [2], Delete [4], View [5], Print [6], Submit/Approved [8], Reject [9], Retract [10], and Re-Open [12]. An arrow points from the 'Submit/Approved [8]' option to the 'DEATH' row in the table.

Date of Incident	Last Update	Type of Incident	S	T	R	P
Wed Nov 28, 2001	Mon Dec 03, 2001	DEATH			N	Y
Tue Nov 27, 2001	Mon Dec 03, 2001	ALLEGED CONSUMER FINANCIAL ABUSE			N	Y

Select (highlight) the incident you want to approve, and click on "Submit/Approved". This will send your incident report to the next level of your approval process. The final approval level will approve the SIR for transmission to DDS (if it is reportable).