

ASP SIR UPDATE

August 2021

- DDS changes
- Reporting dates
- Follow up questions

Why the new timelines and Scrutiny?

- DDS had an audit of Special Incidents by the Office of the Inspector General (OIG) and Department of Health Services DHS- Federal offices
- Findings were not good. DDS is working on a plan of correction with the Federal Government.
- To correct issues DDS/RC's and vendors are being monitored more closely:
 - What is reported—State looking at a “universal SIR”
 - The timeliness of reporting—New Timelines screen in Sandis
 - Completeness of follow up—See “Special Incident Reports (SIRs) Instructions and Questions” handout



Important Information to Include in a SIR

- The date, time and location of the incident;
- The name and date of birth of the client involved;
- A description of the incident
- The treatment provided to the client, if any;
- The actions taken by the vendor, the client, or any other agency(ies) or individual(s) in response to the incident;
- The law enforcement, licensing, protective services and/or other agencies or individuals notified of or involved in the incident; and
- All other information required by Title 17.



Special Incident Reports (SIRs)

Instructions and Questions Handout

- This is the matrix that DDS is using to determine what information is needed for a SIR to be considered “complete”
- These questions were developed as a result of California’s need for improvement following the OIG DDS audit and are the reason for the increased requests from RCRC for follow up
- Use these questions as a reference for what needs to be in the SIR and what type of follow-up will be needed



Sir Timelines for Vendors and LTCs

(Title 17 §54327)

- Vendors must report ALL SIRs within 24 hours of discovering the incident
- Vendors must provide written SIR form within 48 hours of discovering the incident.

- ✓ Vendor timelines are in hours!
- ✓ Saturday incidents should be reported by Sunday (could be voice mail).
- ✓ Serious incidents should be reported to RCRC On-Call on weekends, holidays, and after hours.



How Vendors Submit the SIR

(Title 17 §54327)

- The initial report can be verbal, by phone, in person, fax, or hand delivered written statement.
- Completed SIR Vendor Form is to be faxed or hand delivered only!
- SIR forms cannot be emailed to RCRC at this time.
- **Emergency on-call system to be utilized for serious incidents** such as death, missing persons, major crimes.
- Vendors and LTCs are accountable for adhering to timelines.
- DDS monitors vendor timeliness on a monthly basis.



SIR Timeline in SANDIS

- Incident date = the date the incident occurred (actual or approximate). Check narrative in paper SIR to determine Incident date vs “discovery date”.
- Date vendor learned of incident = the date when the vendor became aware that an incident occurred (AKA discovery date)
- Date vendor notified RC of incident = the first date that RCRC was notified of the incident—When RC received the voicemail or fax (weekends), not when we listened to it.
- Date hard copy SIR received by RC = the date the hard copy is received by office
- Report date = the date SC or designate enters SIR into to SANDIS.

The screenshot shows the 'SPECIAL INCIDENT REPORT SYSTEM Incident Detail Data' interface. The form contains the following fields and annotations:

- Approval Status:** Incident # 3700029103, Service Coordinator SANDIS SUPPORT
- Client #:** TEST, SANDY, SANDIS, 444 MAIN STREET, UKIAH, CA, Birth Date 01/22/1994, 954820000
- Gender:** F, Legal Status3: CONS-NOT DDS, Residence Type: 13 INDEPENDENT LIVING, Guardian/Conservator: No Guardian on file
- Incident Type Code(s):** [Searchable field]
- Reportable Incident:** N
- Incident Date:** [Calendar icon]
- Incident Time:** [Time selection: AM, PM, Unknown Time]
- Date Vendor/Other Entity Learned of Incident:** [Calendar icon]
- Date Vendor/Other Entity Notified RC of Incident:** [Calendar icon]
- Date Vendor/Other Entity Submitted Written Report to RC:** [Calendar icon]
- Report Prepared By:** DE SOTO, SHERRI
- Report Date:** [Calendar icon]

Annotations (purple boxes with arrows) point to the following fields:

- Date Incident Occurred:** Points to the Incident Date field.
- Date Incident Was Discovered:** Points to the Date Vendor/Other Entity Learned of Incident field.
- Date Incident Reported to RC:** Points to the Date Vendor/Other Entity Notified RC of Incident field.
- Date Hard Copy SIR Received by RC:** Points to the Date Vendor/Other Entity Submitted Written Report to RC field.
- Date Incident Entered Into SANDIS:** Points to the Report Date field.

Questions???

