LOUISIANA DEPARTMENT OF HEALTH

Statewide Incident Management System (SIMS)

About SIMS and Basic SIMS Workflow for Entering Incidents

Statewide Incident Management System (SIMS)

- SIMS = Statewide Incident Management System

- Effective July 8, 2019, SIMS became the web-based critical incident reporting application for OCDD.

- It provides authorized entities involved in Home and Community Based Services (HCBS) an online method for submitting critical incidents as defined in OCDD Operational Instruction #F-5: OCDD Critical Incident Report for Waiver Services.

- The Medicaid office at LDH makes SIMS available to us. This is so we can submit **state** and **federally** required incident reports for waiver participants. These incidents are outlined in OCDD Operational Instruction #F-5: OCDD Critical Incident Report for Waiver Services.

Statewide Incident Management System (SIMS)

The following service providers will <u>not</u> enter critical incidents into SIMS online. They will continue to send a hard copy incident report to the SC to enter into SIMS for the involved waiver participant:

- licensed respite providers
- day habilitation centers and vocational programs
- self-direction participants, their authorized representatives or care worker

Reporting Abuse, Neglect and Exploitation

Physical, sexual or psychological abuse, financial exploitation, neglect, abandonment or human trafficking of an OCDD HCBS waiver participant must be reported as follows:

- **Neglect, exploitation or trafficking of a child (age infant to 17)**, contact the Louisiana Department of Children & Family Services at 1-855-4LA-KIDS (1-855-452-5437) and local law enforcement.

- **Neglect, exploitation or trafficking of an adult (age 18-59)**, please contact the LDH Office of Aging and Adult Services Adult Protective Services program at 1-800-898-4910 and local law enforcement.

- **Neglect, exploitation or trafficking of an adult age 60 or older**, contact the Governor's Office of Elderly Affairs/Elderly Protective Services at 1-833-577-6532 and local law enforcement.

- **Nursing home and privately owned intermediate care facilities for individuals with developmental disabilities** (ICF/DD) providers must report allegations of abuse or neglect to Health Standards Section at 1-877-343-5179.

Long-Term Personal Care Services (LT-PCS) participants and Early and Periodic Screening, Diagnostic and Treatment Personal Care Services (EPSDT-PCS) participants ***do not*** require incidents to be input into SIMS.

Only incidents for certified waiver participants are entered into SIMS.

Filing a Complaint

- To file a complaint, concern or dissatisfaction involving services administered by OCDD or its contracted entities, call, write or otherwise communicate to the local human services authority or district or call 225-342-0095.

- OCDD Complaint Policy

SIMS Resources

The OCDD Critical Incident reporting website: https://ldh.la.gov/page/critical-incident-reporting

- WellSky Computer Configuration Requirements
- SIMS User Manual
- WellSky Tutorials Playlist
- OCDD Operational Instruction #F-5: OCDD Critical Incident Report for Waiver Services
- Link to apply for SIMS: https://ldh.la.gov/page/sims
- A downloadable **hard copy critical incident report form** for use in the field, as a back-up reporting tool when SIMS is not available, or if a natural disaster has limited internet access
- Reporting abuse and neglect to various protective service agencies
- OCDD Complaint Policy

Monday.com is the system used for SIMS onboarding. Users can upload required documentation in Monday.com which helps prevent delays with the process.

Prior to Accessing SIMS

SIMS uses pop-up windows to display information to users.

- Users must allow these pop-ups to be displayed on your screen.

- The specific steps to enable pop up windows may vary depending on the web browser you are using.

- If your browser automatically updates, you may have to enable pop ups again.

Pop up blockers can cause issues with the work flows in SIMS.

Security and Password Assignment

- Security built into SIMS allows only authorized individuals to access the system. Each person that enters incidents into SIMS must have a **unique username and password (credentials)**.

- **It is a violation of HIPAA policy to log in to SIMS using another person's credentials.** Only one password will be issued for each credentialed SIMS user.

- It is the responsibility of each licensed agency to immediately email SIMSWAIVER@la.gov of all separated employees who were credentialed in SIMS.

HIPAA
COMPLIANT

How to Enable Pop-Ups and Redirects

The Workflow Wizard that was designed in SIMs will not function properly if the pop ups and redirects are not enabled in the browser that is being used (see instructions).

Pop-ups in browsers

Follow the below steps to Enable or Disable pop-ups in Microsoft Edge®:
1. Click the Settings and More ••• button on the upper-right side of the browser.
2. Click Settings.
3. Click Cookies and Site Permissions.
4. Scroll down to Pop-ups and redirects
5. Switch to toggle it between Off and On

Chrome (Windows)
1. Click the three dots in the upper right corner of browser window
2. Select Settings.
3. On the left side, Click Privacy and security
4. In the middle of the page, select Site Settings, then Pop-ups and redirects.
5. To disable the pop-up blocker uncheck the Blocked (recommended) box.

Basic Guidelines

- SIMS DSPA and SCA users are linked to the provider who they identify as their employer at the time of their SIMS account application. Each agency is identified by a Worker Organization ID # (WOID). The user profile is only valid with that employer/WOID. Any transfer or addition of employment with another agency or WOID must be reported to SIMSWaiver@la.gov in order for the user's account to be modified. This will give the user access to the waiver participants at the additional DSPA or SC agency WOIDs.

- DSPA and SCA managers or administrators must report separated employees who have SIMS accounts to SIMSWaiver@la.gov as soon as possible in order to disable the user account and comply with HIPAA.

- Waiver participants are linked to DSPAs and SCAs through the Prior Authorization (PA) files from SRI. Any changes to linkage or service type are transmitted to WellSky for them to make profile updates in SIMS overnight on business days.

- Waiver participants' PA linkages remain in SIMS for 30 days after the termination of the PA in SRI. This gives the SIMS reporter a limited amount of time to enter the incident before the participant is no longer searchable in SIMS to add to an incident.

- If a Direct Service Provider has participants for both OCDD and OAAS waivers, the SIMS user must have the following two roles. Please make sure correct role is selected.
  - OCDD Direct Service Provider
  - OAAS Direct Service Provider

- Day programs, respite centers, schools and other programs that are not DSPAs or SC agencies cannot obtain a SIMS account. Those agencies must report critical incidents to the participant's SC, who will enter the incident in SIMS.

Logging in to SIMS/Accessing Dashboard

- Use the URL or quick link you were provided by OTS: https://hssladhhprod.wellsky.com/humanservices/

- DSPs and SCs -Use the role drop-down list to choose the role you must use to enter a CIR OCDD Waiver participant in NOW, ROW, Supports Waiver or CC. KNOW the waiver service that is linked with the participant!

- **Click the GO button to lock in to the role you want to use**.

- Click on **PROVIDERS** tab. Click on your **provider name**.

- Click on **FILE** and choose **ADD INCIDENTS** from drop-down.

- It is extremely important to select the correct role for the type of waiver a participant has:

     OCDD Direct Service Provider role: ROW, NOW, Supports and Children's Choice

     OAAS Direct Service Provider role: Community Choice Waivers

Entering an incident using the incorrect role type will result in that CIR being marked ineligible and the reporter will have to re-enter a new CIR using the correct role type

- SCs are also linked to the SCA that they identify as their employer at the time of SIMS application.

- Only SCA Supervisors may apply for both OCDD Support Coordinator Supervisor and OAAS Support Coordinator Supervisor roles.

- SCs may only apply for the OCDD Support Coordinator role or OAAS Support Coordinator role.

- SCs and Supervisors must also have the APS Waiver Support Coordinator role.

- If a SC is promoted to Support Coordinator Supervisor, a SCA management staff or administrator must notify SIMSWaiver@la.gov as soon as possible so that the employee's SIMS profile can be updated with the new role(s). OCDD will not approve role changes without confirmation from an agency administrator. The SCA Supervisor role opens additional authority in SIMS.

- Separation of employment must be reported to SIMSWaiver@la.gov as soon as possible to comply with HIPAA to ensure unauthorized people cannot access protected health information.

Reminders for Entering CIRs

- Select the correct role for the waiver participant you are entering an incident for.

- When linking a participant, you are choosing the participant record that is in **all CAPS** (this record contains the program participation that has the correct PA linkage).

- Change the status from pending to complete on the CIR form which is located under the documentation tab AFTER you have made all the necessary selections on the CIR form as it relates to the description of the incident.

- Before leaving an incident: **Please make sure that the region field has populated. If it hasn't, please reach out to SIMSWaiver@la.gov for assistance.**

Reminders for Entering CIRs

- Failure to enter an incident correctly will result in CIRs remaining in pending status with leads to non compliant incidents. If the region field does not populate after you have linked a participant and completed the CIR form, something is missing from the CIR that needs to be addressed right away.

- DSPA enters an incident > links the participant > creates and completes the CIR form > changes the status from pending to complete on the CIR form > SCA assignment is generated so they can add the SC follow up note > LGE reviews CIR to determine outcome.

- A checklist can be found under documentation in SIMS for DSPAs, SCAs and LGE staff.

Checklists

Direct Service Provider Review Checklist

CIR form is accurate and complete	☐
Documentation of immediate actions completed to assure health & safety	☐
Documentation notification to protective services (if applicable)	☐
Follow-up appointments, prescriptions documented	☐
Notification to authorized representative or legal guardian documented	☐

Support Coordinator Review Checklist

CIR form is accurate and complete.	☐
Documentation of immediate actions completed to assure health and safety	☐
Referrals for further care are scheduled (if necessary)	☐
Report to protective services documented (if necessary)	☐
Risk factors leading to the incident are identified	☐
Revisions to POC are documented (if necessary)	☐
DSP follow-up actions are complete	☐
SC follow-up actions are complete	☐
Confirm notification to authorized representative or legal guardian	☐

LGE Review Checklist

Support Coordinator checklist is complete and accurate	☐
Current location of participant is confirmed	☐
Identification of further supports available through LGE	☐
Referral to protective services confirmed (if necessary)	☐
Referral to OCDD - Mortality Review Committee (MRC) - checklist complete	☐
Recommendations from OCDD-MRC addressed	☐
Referral to OCDD-Clinical review Committee (CRC) - checklist complete	☐
Recommendations from OCDD-CRC addressed	☐

NOTE: Clinical Review Committee (CRC) has been renamed to Critical Incident Review Committee (CIRC)

Entering a Critical Incident in SIMS

New Process: Death CIRs

- In the event of a death, a new CIR must be entered in SIMs and death must be selected on the CIR form with the date of death. The details surrounding the cause of death can be entered in the **description of event** section of the CIR.

- OCDD is no longer allowing notes to be added to an existing CIR that mentions the death of a participant. This decision was made based on reporting criteria by the MRC Mortality Review Committee.

- See Memo "Critical Incident Report (CIR) of a Death in the Statewide Incident Management System (SIMS)"

- Any questions or concerns about this process, please contact Marilee Andrews at Marilee.Andrews@la.gov

February 20, 2024 Memo: Critical Incident Report (CIR) of a Death in the Statewide Incident Management System (SIMS)

	Area for Improvement	Recommendation
1.	A CIR is created for a death, but "Death" is not selected under "Incident Categories" in the CIR Form.	When completing a CIR for a death that has occurred, please ensure "Death" is selected under "Incident Categories" in the CIR Form.
2.	A death occurs, but a CIR is not created for the death.	All deaths are reportable incidents and must be reported in SIMS as a critical incident, per OCDD Operational Instruction # F-5 *Critical Incident Reporting, Tracking and Follow-Up Activities for Waiver Services*. Please ensure a CIR is completed for all deaths.
		As outlined in Recommendation 1 above, when completing a CIR for a death, please ensure "Death" is selected under "Incident Categories" in the CIR Form.
3.	A "Death" selection under "Incident Categories" is added to a previously entered, non-death CIR. The previously entered CIR is primarily regarding the circumstances that let up to the death, however, it is not for the death itself. When a "Death" selection is added to an existing non-death CIR that predates the death, inconsistencies are created in tracking the participant's actual date of death in comparison to the date of death reported in SIMS.	Please create a new CIR for each death. Documenting a CIR for a death prior to the date of the death itself has been found to create inconsistencies in the mortality data in SIMS. It is essential for the MRC to accurately track the date of a participant's death.

- The first thing to do when entering an incident in SIMs is to identify which role needs to be selected for the participant THEN CLICK GO. This will lock you in that role.

- Next, select provider which should populate the agency that you work for and the enrollments that are linked to that agency.
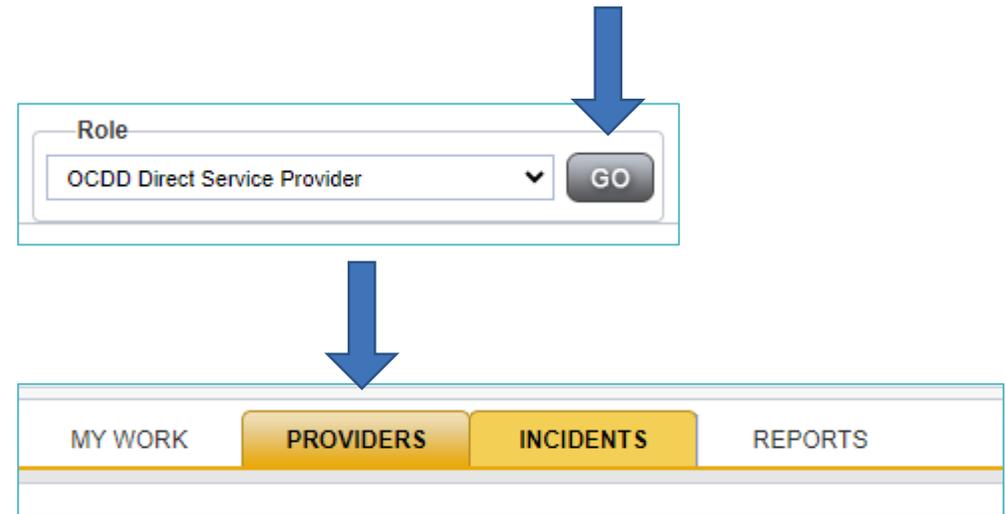
Role
OCDD Direct Service Provider   GO

MY WORK   PROVIDERS   INCIDENTS   REPORTS

NOTE: If the incorrect role is selected for the a specific waiver type, you will have to enter a new CIR, and the waiver manager at your regional office will have to mark the CIR ineligible. You can save yourself additional work by choosing the correct role before you begin.

You will be able to identify the agency details on this page as well as view the workers that are assigned to the agency and see all participant records assigned to that agency.
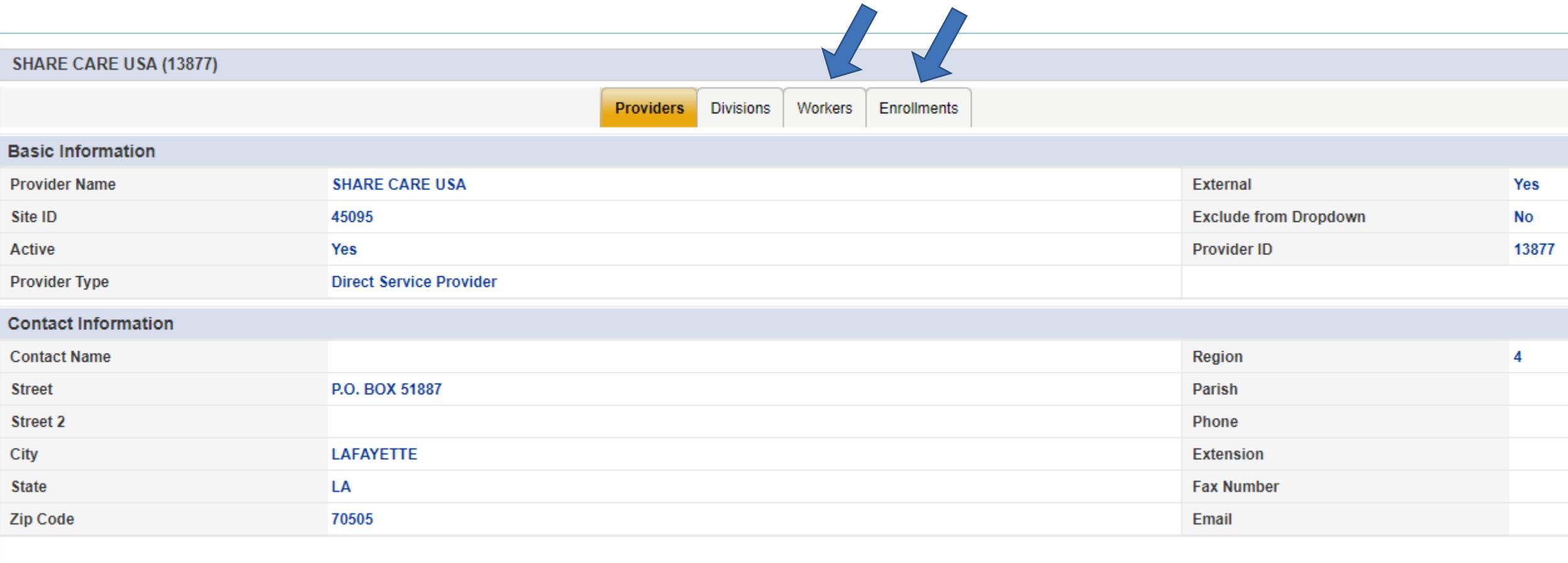
SHARE CARE USA (13877)

| Providers | Divisions | Workers | Enrollments |

Basic Information

Provider Name	SHARE CARE USA		External	Yes
Site ID	45095		Exclude from Dropdown	No
Active	Yes		Provider ID	13877
Provider Type	Direct Service Provider			

Contact Information

Contact Name			Region	4
Street	P.O. BOX 51887		Parish	
Street 2			Phone	
City	LAFAYETTE		Extension	
State	LA		Fax Number	
Zip Code	70505		Email	

If you are not listed as a worker for your agency, please send an email to be added. DSPAs are allowed two users per agency unless certain criteria is met. Email SIMSwaiver@la.gov to request the disabling of any accounts that need to be deactivated.

7 Providers Workers record(s) returned - now viewing 1 through 7

Worker Name ▲	Title	Phone Number	Active	Provider Worker Active
			True	True
			True	True
			True	True
			True	True
			True	True
			False	False
			True	True

DSP enrollments- lists all waiver participants who are linked to the DSP with a Prior Authorization (PA)

Reminders

- Choose the correct role from the drop-down Role Menu.

- Select your agency name from the Providers tab.

- Only add a new incident when you are in the Provider tab.

- Every selection matters! It will determine the success of completing an incident that is error-free.

*OCDD and regional staff spend a substantial amount of time reviewing pending incidents that have not been completed correctly.

You will use *file* often in SIMs to add an incident as well to save and close CIRs.
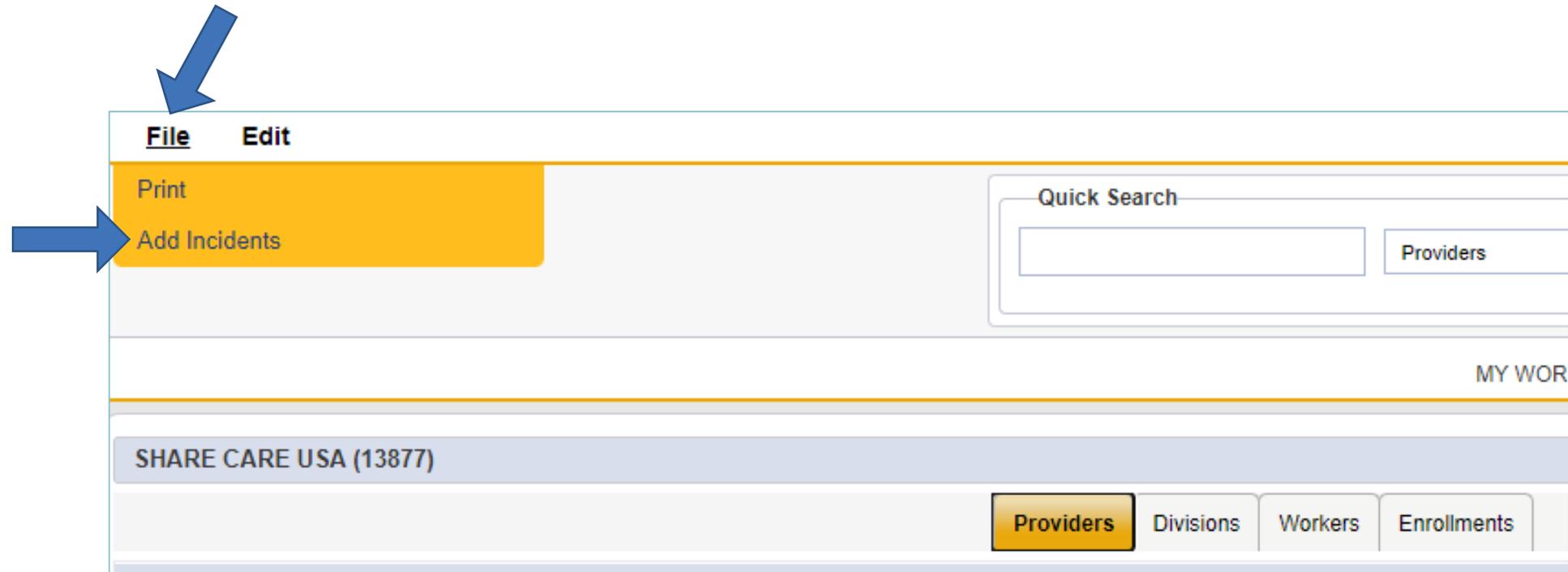
The role you initially chose when you logged into SIMs will appear on the event information (another opportunity to check and make sure the right role was chosen). All required fields are marked with an asterisk so be as specific as possible with the details entered in this section.

Enter the participant's **Full Name** in the description of the incident in the event that a user needs assistance with linking a participant. Providing initials, first name only, or last name only is not recommended.

Important Next Steps

- **File → Save Incident**

- Work Flow Wizard appears- but only if you have **enabled pop-ups** on your computer.

Workflow Wizard (WFW)

- If the workflow is working properly in your browser, it should appear like this screenshot and show all required steps from start to finish.

- As each task is performed, you will see them crossed off as you go. The WFW is designed to be followed in the order below:

  - WFW - move through each step in sequence
  - Use only the File → 'Save' command as you complete each step
  - 'Save & close' or 'close' at any step will disengage WFW.
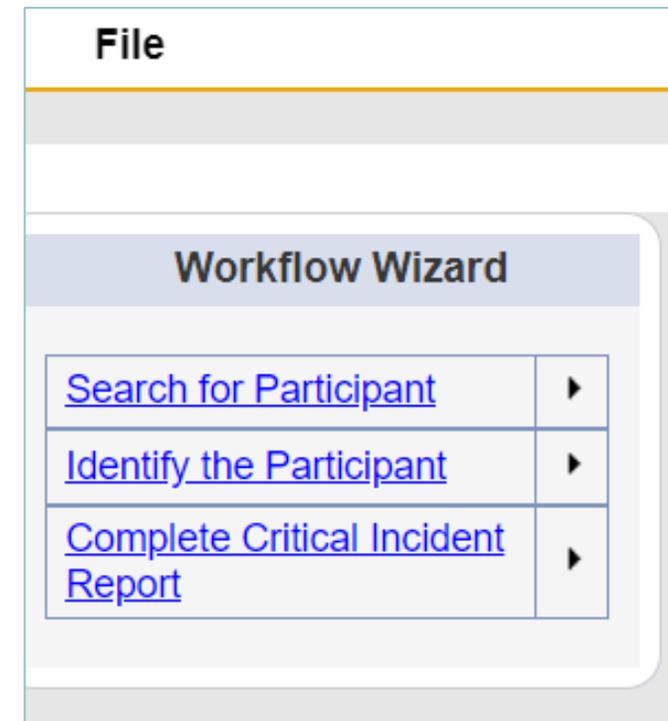
Search for Participant- Click on Tools→ Search for Person
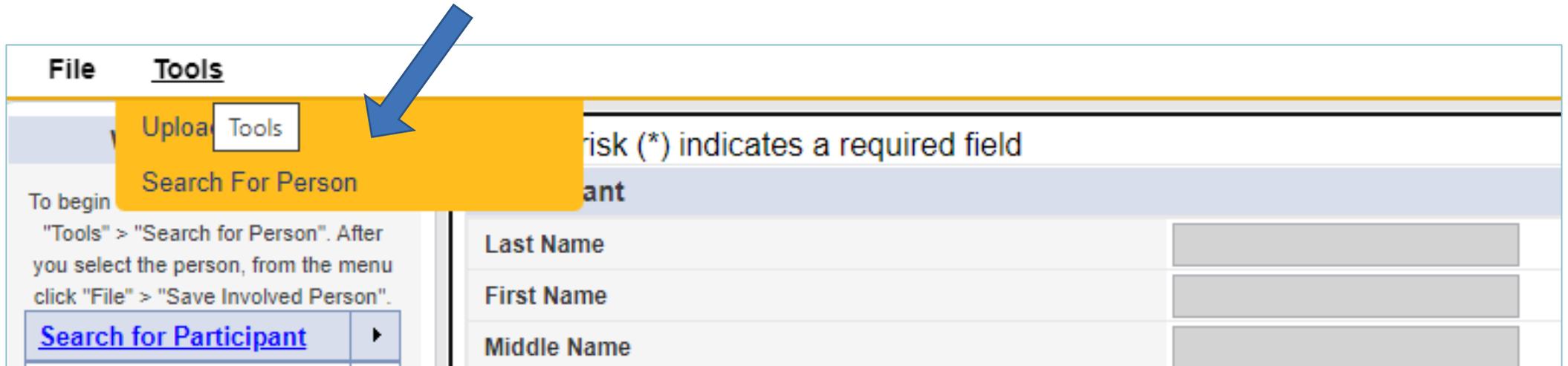
If you do not see tools on your screen, your pop ups have not been enabled.

- Step 1- Search for person

- Step 2- Click on the small box to make a check mark appear

- Step 3- Refine search- if by name use 'begins with filter' and type in blank field

- Step 4- Click the 'search' button

- A pop up screen will appear that displays all information that pertains to the participant record. Once you **click on file and save involved person,** the program participation should populate.

- The assigned region for the participant is linked to their PA so its important that the waiver program appears after saving the participant record.

An asterisk (*) indicates a required field

Participant

Last Name

First Name

Middle Name

Street

Street 2

City

State

Zip Code

Parish

Home Phone

Other Phone

DOB

Age

Gender

Race

SSN

Marital Status

Living Arrangements

Legal Status

Program Participation

MFP

SIMS No

- Notice that the 'Program Participation' is not populated with a waiver type at this point. Once you go to File and click on '**Save Involved Person**', the screen will refresh with the waiver type in the Program Participation field.

- If no Waiver type appears in the Program Participation box after clicking **File → Save**, you will not be able to proceed without completing the next step- **Documentation → Critical Incident Report Form**. **Stop WFW and proceed to Notes**. Report the linkage error to the LGE waiver manager or designee.

*Note - when you finish each step of the WFW, a line will automatically cross it out.

IDENTIFY THE PARTICIPANT

- Click the drop-down to view the participant you chose in the search step; click on name

- File-Save Documentation
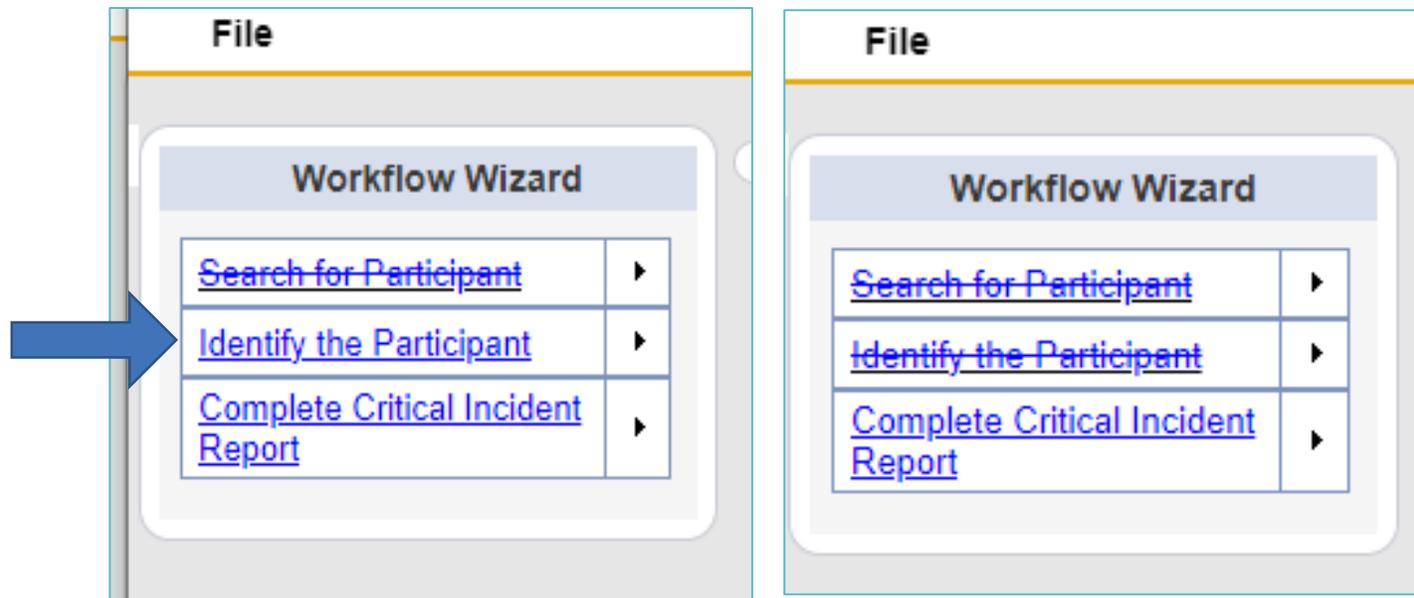
- As you complete each tickler, you will see a line appear through each one indicating that the task has been complete.

- Selecting **'save documentation'** will populate the entire CIR form so that the additional information can be provided for this incident.

Complete Critical Incident Report Form

If name is not already appearing, click on drop-down to add person. Click **File → Save**

File

Workflow Wizard

Select the participant in the drop down box, then from the menu click "File" > "Save Documentation".

Search for Participant	▶
Identify the Participant	▶
Complete Critical Incident Report	▶

Please Select Type: Critical Incident Report Form

An asterisk (*) indicates a required field

Documentation

Report Date *	01/19/2024
Reported By *	Franklin-Collins, Sherral
Status *	Pending
Division	INC
Participant	
Incident Occurred Date	01/19/2024
Incident Discovered Date	01/19/2024
Service Type:	*

- Click on the hyperlink under document name, then make the necessary selections from the drop down menus seen in the screenshots on this slide and the next two slides. All sections are to be completed if applicable.
- Waiver services refers to staff worker
- Natural Supports refers to family members

- In order to add documentation, you must click on **File> Add Documentation,** which is where you see the additional forms that are available.
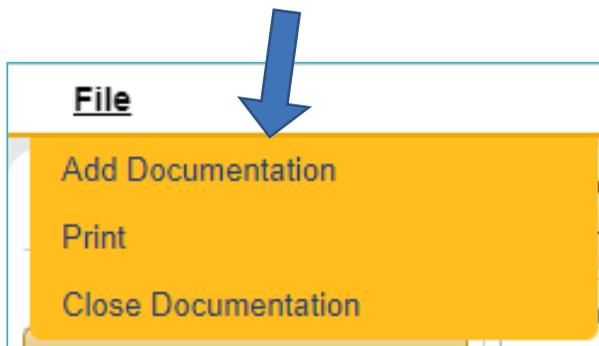

- A **fall has to be indicated on the CIR form** under incident categories in order for the **fall forms** to be an option to select under documentation.

- If an incident was a fall, there are **two fall forms** that must be completed.

Sometimes an ER visit leads to a hospital admit (select **acute care hospital** along with the corresponding date). If the incident was a behavioral incident that led to a psych visit, enter the date of service.

ADDITIONAL EVENT INFORMATION:

DSP notified APS/EPS:	☐
Date DSP notified APS/EPS:	
Time DSP notified APS/EPS:	
DSP notified Law Enforcement:	☐
Date DSP notified Law Enforcement:	
Time DSP notified Law Enforcement:	

Type of Health Care Admissions and Date of Admissions (check all that apply):

Emergency Room	☐
Emergency Room Date:	
Acute Care Hospital	☐
Acute Care Hospital Date:	
Psychiatric Hospital	☐
Psychiatric Hospital Date:	
Nursing Home	☐
Nursing Home Date:	
Respite Center	☐
Respite Center Date:	

The last steps to complete the critical incident report form: **Change Status from 'Pending' to 'Complete.'**
File → Save → Close

Failure to change the status prevents from the SCA from knowing they have a CIR to review. It also prevents the regional assignment that alerts LGE staff that there is a CIR that has been assigned to their region.
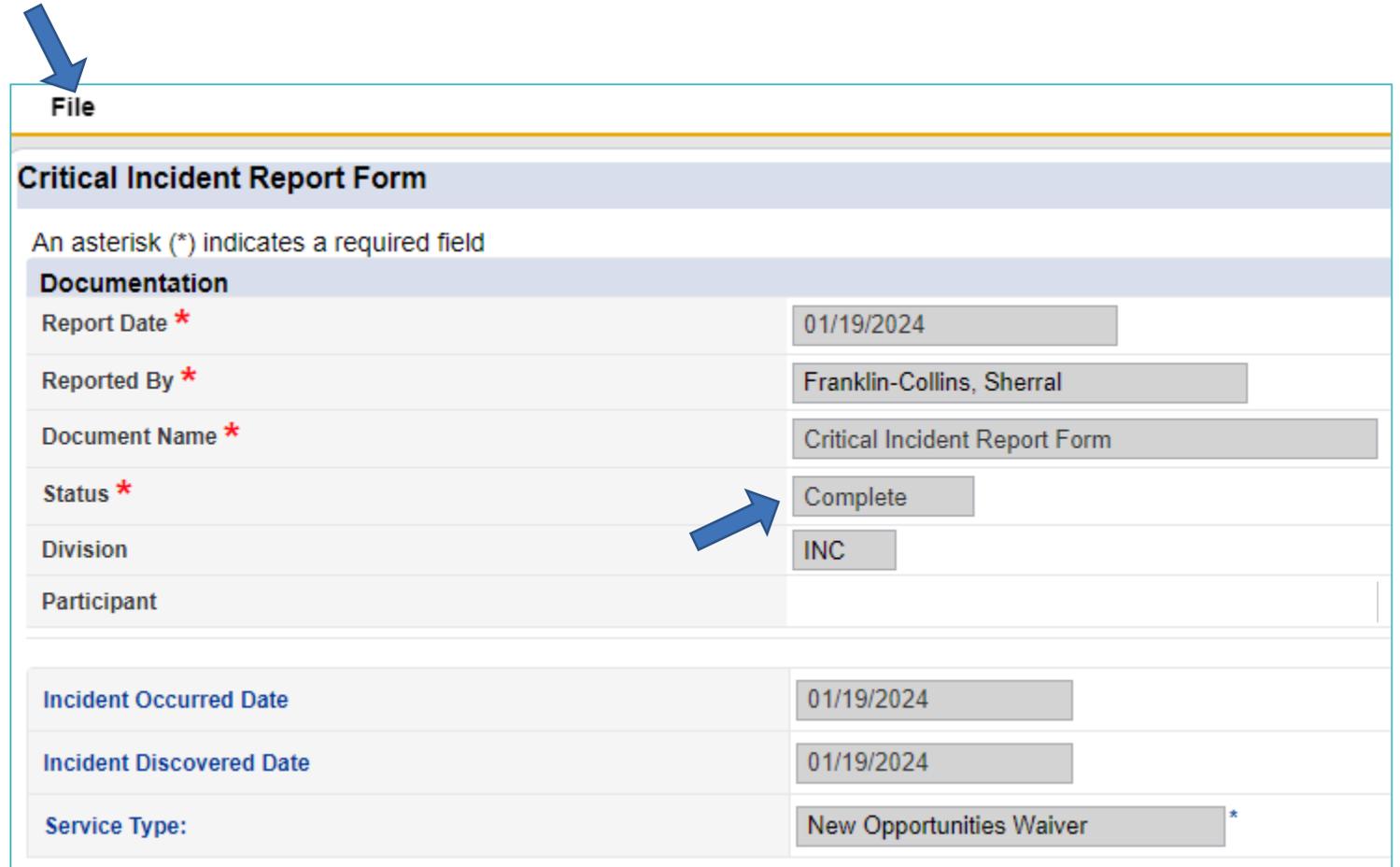
File

Critical Incident Report Form

An asterisk (*) indicates a required field

Documentation

Report Date *	01/19/2024
Reported By *	Franklin-Collins, Sherral
Document Name *	Critical Incident Report Form
Status *	Complete
Division	INC
Participant	

Incident Occurred Date	01/19/2024
Incident Discovered Date	01/19/2024
Service Type:	New Opportunities Waiver

CIR Follow-Up Requirements

- DSPs and SCs are expected to enter follow-up notes to <u>each</u> CIR. Refer to the operational instruction for mandatory timelines.

- Follow-up notes capture the actions taken to stabilize or remediate the conditions that resulted in the critical incident. The goal is to demonstrate assurance of health and safety of the waiver participant, as per CMS approved waiver requirements.

- Each case will require follow-up notes that are appropriate to the situation and the participant. Canned statements are never acceptable.

- You should receive a 'tickler' when the follow-up note is due. However, you can enter follow-up notes before receiving a tickler, and should enter these notes as needed for each CIR.

Add additional information about the incident, discharge dates, current condition of participant etc. in the notes section.
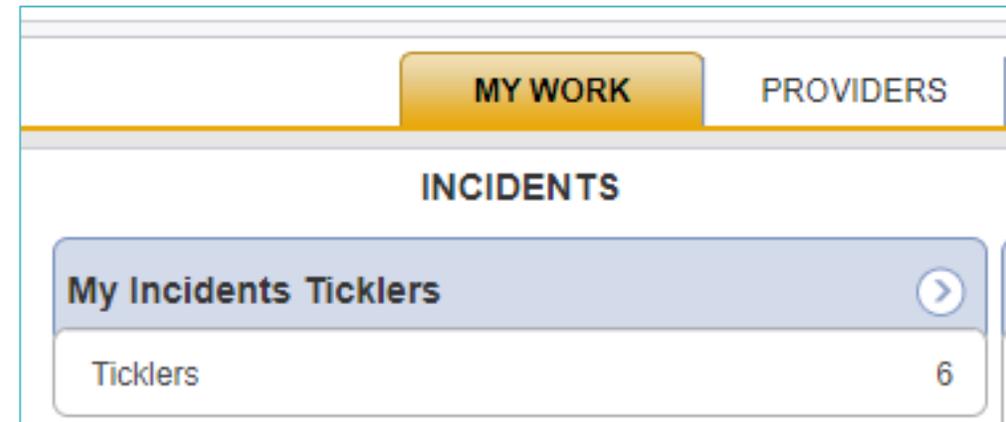
Steps to Add Note

- Reminder you will use *file* a lot in SIMs

- DSPAs will select **Follow Up: DSP** as their Note Type.

- Change the status to **complete** after entering the note

- Select **File > Save and Close Note**
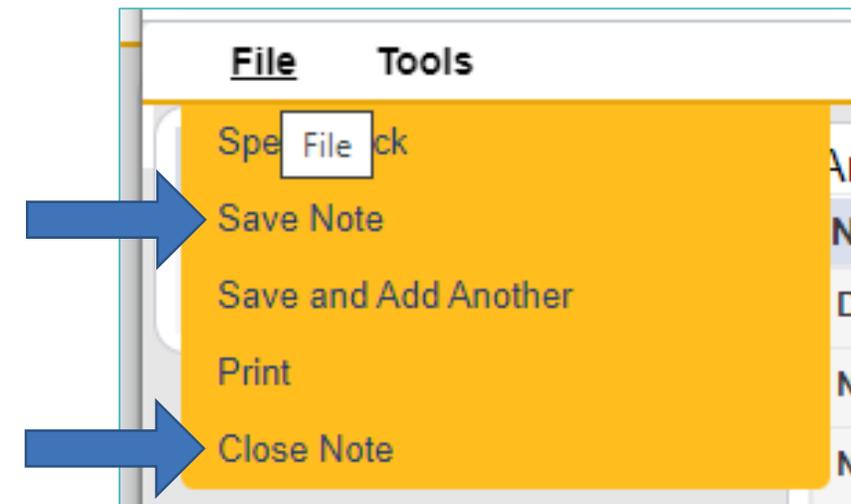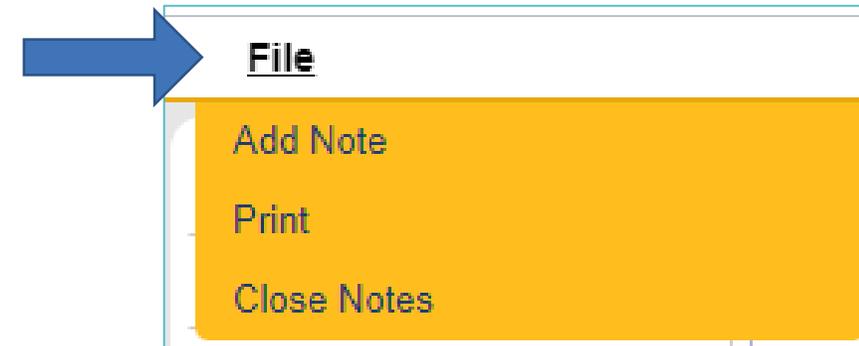
A good rule of thumb is to always check your ticklers which can be found under My Work. These ticklers are set up as alerts to remind you of any unfinished tasks with a CIR.

If you need assistance with resolving your ticklers, contact: SIMSWaiver@la.gov

Questions?

Please type your question in the chat and we will make sure to send out answers to all questions.

THANK YOU

LOUISIANA
DEPARTMENT OF
HEALTH