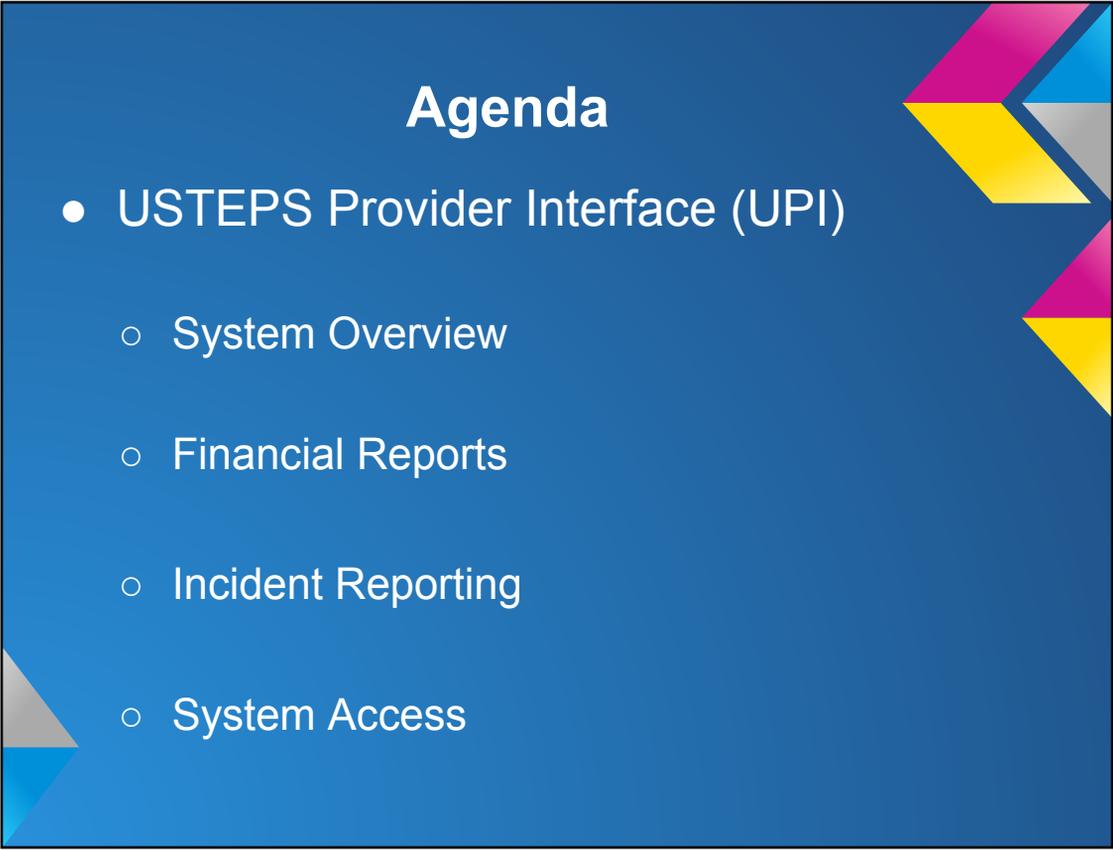


DSPD Provider/SC

USTEPS Provider Interface (UPI)

May 12, 2014



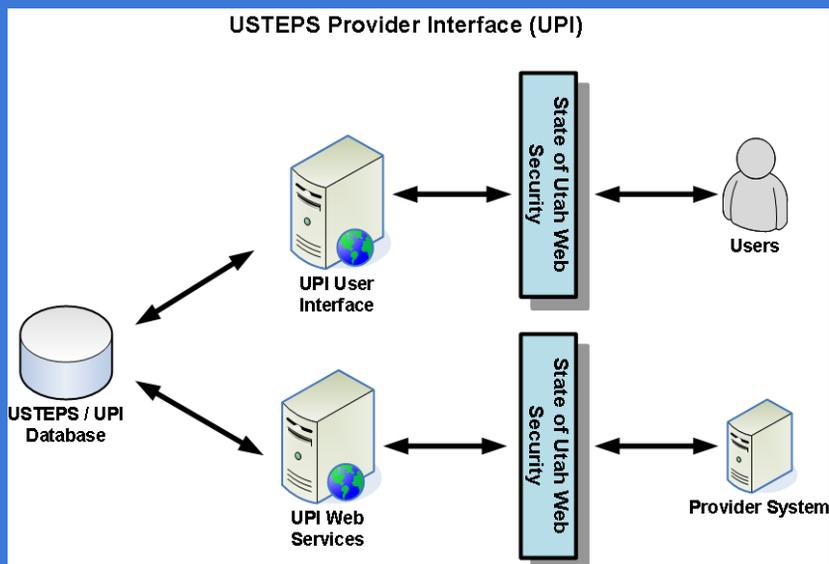
Agenda

- USTEPS Provider Interface (UPI)
 - System Overview
 - Financial Reports
 - Incident Reporting
 - System Access

Q: What is UPI?

A: It is a web-based computer system that gives the DSPD provider access to information about the people they serve. UPI can be accessed anywhere the user has a computer and an Internet connection.

UPI INTERFACE DESIGN





Q: Who can access UPI?

A:

1. **DSPD Employees**
 2. **Providers in good standing with the Department of Human Services who have a valid, open contract with DSPD to serve People receiving supports and services.**
- 



Q: Who should access UPI?

A: Each provider will have to decide which of their employees should have UPI access. Then they will need to complete a set of documents / security access forms that explain the requirements, expectations, and agreements for using the UPI Package.





Q: What consumers can the provider see?

A: Consumer data is controlled by the Person Centered Support Plan (PCSP). If the provider delivers a service listed on the PCSP budget, then they can use UPI to access the consumer's information.



Q: Can a provider see details about services a different provider is delivering to the consumer in UPI?

A: The provider can only see payment history and other related information / statistics about the services they deliver to the consumer.

Q: Can we separate access to the Financial Information from the Incident Reporting information?

A: Yes. Roles are used to separate “financial” from “incident report” access.

UPI

- Main Screen
 - Caseload
 - Sorting and filtering
 - Tabs
 - Home
 - Sign Out
 - Caseload Reports Tab
 - Incident Reports
 - Provider Reports
 - Financial Reports
 - CAPS
 - Payment Search
 - 520s

UPI

- Selected Person
 - Main Consumer Screen
 - Demographics
 - Consumer Tab
 - Consumer Reports
 - Financial
 - Consumer Budget
 - Consumer Budget (Previous Plan)
 - Consumer Form 1056
 - Incident Reports

UPI Main Screen

UPI USTEPS Provider Interface
utah department of human services



Home Sign Out Caseload Reports

Robert Downing's home page

*Provider Name: Cenge - 17152 - Secondary

Search all fields:

(1 of 6) 1 2 3 4 5 6 10

Consumer Name	PID	Birth Date	SCE	ServiceType
Alvne, Ch	020217669	01/01/1981	Ro Morgr	ID
Asal0, Ly	090276151	01/01/1972	Ju Broja	ID
Bakre, Br	080597691	01/01/1982	Er Fitgf	ID
Blapx, Ca	080054184	01/01/1957	Di Fitmc	ID
Burxr, Co	070010860	01/01/1966	Ga Gregr	ID
Chicz, Ch	030129641	01/01/1968	La Valqr	ID
Coos0, Ni	030442816	01/01/1977	La Valqr	ID
Crath, Jo	090429832	01/01/1978	Su Grere	RC
Derbt, Br	080262179	01/01/1994	Er Fitgf	ID
Eldre, As	090361594	01/01/1988	Ma Fulyr	ID

(1 of 6) 1 2 3 4 5 6 10

Export All Data



Export Current Page Data



Provider Caseload Screen

UPI USTEPS Provider Interface
 utah department of human services

Home Sign Out Caseload

Robert Downing's home page

Incident Report
 Provider Reports

CAPS
 Payment Search
 S20 Invoice

Search all fields:

6 10

SCE ServiceType

Alvne, Ch	020217669	01/01/1981	Ro Morgr	ID
Asalo, Ly	090276151	01/01/1972	Ju Broja	ID
Bakre, Br	080597691	01/01/1982	Er Fitgf	ID
Blapx, Ca	080054184	01/01/1957	Di Fitmc	ID
Burxr, Co	070010860	01/01/1966	Ga Grogr	ID
Chicz, Ch	030129641	01/01/1968	La Valqr	ID
Coox0, Ni	030442816	01/01/1977	La Valqr	ID
Crath, Jo	090429832	01/01/1978	Su Grere	RC
Derbt, Br	080262179	01/01/1994	Er Fitgf	ID
Eldre, As	090361594	01/01/1988	Ma Fulyr	ID

(1 of 6)

Export All Data

Export Current Page Data

<https://upi-at.dhs.utah.gov/UPITWeb/UI/provider/ProviderMenu.xhtml>

Provider Reports

UPI USTEPS Provider Interface
 utah department of human services

Home Sign Out Consumer Caseload Reports

Ta Adazf 080411816 Female ID Ga Salbj

Provider Reports

Download Report

- Provider Caseload Budget Report
- Provider Caseload Form 1056
- Provider Current PCSP Services

Download Format: EXCEL HTML PDF

Get Report

520 Search



File Type: FILE_PSA_520

Start Date:

End Date:

Provider Id	File Type	Document Type
-------------	-----------	---------------

CAPS Payment Search



Paid Date Range: -

Service Date Range: -

Warrant #:

(1 of 1) << >> 10

Consumer	PIC	Svc Code	Provider	Kind	Start Date	End Date	Paid Date	Contract #	Rate	Plan Units	Amt Paid
----------	-----	----------	----------	------	------------	----------	-----------	------------	------	------------	----------

No records found

(1 of 1) << >> 10



Selecting a Person



Robert Downing's home page

*Provider Name: Cenge - 17152 - Secondary

Search all fields:

(1 of 6) 1 2 3 4 5 6 10

Consumer Name	PID	Birth Date	SCE	Service Type
Alvne, Ch	020217669	01/01/1981	Ro Morgr	ID
Asal0, Ly	090276151	01/01/1972	Ju Broja	ID
Bakre, Br	080597691	01/01/1982	Er Fitgf	ID
Blapx, Ca	080054184	01/01/1957	Di Fitmc	ID
Burxr, Co	070010860	01/01/1966	Ga Grogr	ID
Chicz, Ch	030129641	01/01/1968	La Valqr	ID
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Derbt, Br	080262179	01/01/1994	Er Fitgf	ID
Eldre, As	090361594	01/01/1988	Ma Fulyr	ID

(1 of 6) 1 2 3 4 5 6 10

Export All Data Export Current Page Data



Selected Person Main Screen



Ch Alvne 020217669 Female ID Ro Morgr

Consumer Main

Personal Information

Name: Ch Alvne
Birth Date: 01/01/1981

Addresses

Residence: 1674 address 2 SLC UT 84116
Mailing:

Phone Numbers

Home: 801-538-4200

Caseworker Information

Caseworker Name: Ro Morgr
Caseworker Phone: 435-660-9446
Caseworker Email: usteps@utah.gov

Contacts

Social:

Relationship	Name	Phone Number
Mother	Em Alvne	801-538-4200
Father	Ab Alvne	801-538-4200
Brother	Fr Alvne	

Eligibility Type: ID

Current Services

*Provider Name	Code	Kind	Start Date	End Date	Plan Units	Monthly Max
RISR,	BC1	Q	03/01/2014	02/28/2015	48	4
Cenge	DSG	D	03/01/2014	02/28/2015	240	23
RISR,	RP2	D	03/01/2014	02/28/2015	3	3
Ascra	SCE	M	03/01/2014	02/28/2015	12	1
RISR,	SLN	Q	03/01/2014	02/28/2015	1906	160
UTAU	UTP	D	03/01/2014	02/28/2015	240	23

Professional:

Relationship	Name	Phone Number
Other	Ro Morgr	801-538-4200

Selected Person Menu

ConsumerMain - Google Chrome
 https://upi-at.dhs.utah.gov/UIWeb/ui/consumer/ConsumerMain.xhtml

UPI USTEPS Provider Interface
 utah department of human services

Home Sign Out Consumer Caseload
 Consumer Information Consumer Reports
 Consumer Main Consumer Reports
 Incident Report

Ch Alvne 020217669 Female ID Ro Morgr

Personal Information
 Name: Ch Alvne
 Birth Date: 02/28/1969

Addresses
 Residence: 1400 S 2000 E, Provo, UT 84606
 Mailing: 1400 S 2000 E, Provo, UT 84606

Phone Numbers
 Home: 801-538-4200

Caseworker Information
 Caseworker Name: Ro Morgr
 Caseworker Phone: 435-660-9446
 Caseworker Email: usteps@utah.gov

Contacts
 Social:

Relationship	Name	Phone Number
Mother	Em Alvne	801-538-4200
Father	Ab Alvne	801-538-4200
Brother	Fr Alvne	

Professional:

Relationship	Name	Phone Number
Other	Ro Morgr	801-538-4200

Plan	Kind	Start Date	End Date	Plan Units	Monthly Max
Cenge	DSG	03/01/2014	02/28/2015	48	4
RISR,	RP2	03/01/2014	02/28/2015	3	3
Ascra	SCE	03/01/2014	02/28/2015	12	1
RISR,	SLN	03/01/2014	02/28/2015	1906	160
UTAU	UTP	03/01/2014	02/28/2015	240	23

https://upi-at.dhs.utah.gov/UIWeb/ui/consumer/ConsumerMain.xhtml

Selected Person Reports Menu

Available Consumer Reports - Google Chrome
 https://upi-at.dhs.utah.gov/UIWeb/ui/consumer/ConsumerReports.xhtml

UPI USTEPS Provider Interface
 utah department of human services

Home Sign Out Consumer Caseload Reports
 Consumer Reports

Ch Alvne 020217669 Female ID Ro Morgr

Consumer Reports

Download Report: Consumer Budget, Consumer Budget (Previous Plan), Consumer Form 1056

Download Format: EXCEL HTML PDF



Five Minute Break



Incident Reporting



VIDEO
CLIP



Let's get started

What are incidents?

Why is incident data important?

According to the Department of Health (DOH), what must waiver programs provide?

" Waiver programs must provide adequate and appropriate services that safeguard the health and welfare of all enrolled participants. Waiver programs must also assure financial accountability for funds expended...."

We need to:

- 1) assure that appropriate actions have taken place when a critical incident or event occurs;
- 2) in cases where appropriate safeguards were not in place, assure that an analysis is conducted and appropriate strategies have been implemented to safeguard consumers.

DSPD Authority and Responsibility

Statute:

Title 62A Chapter 5, Subsection 103(2) states: "The Division has the authority and responsibility to:

- (e) supervise the programs and facilities operated by, or under contract with, the division;
- (l) establish standards and rules for the administration and operation of programs conducted by, or under contract with, the division;"

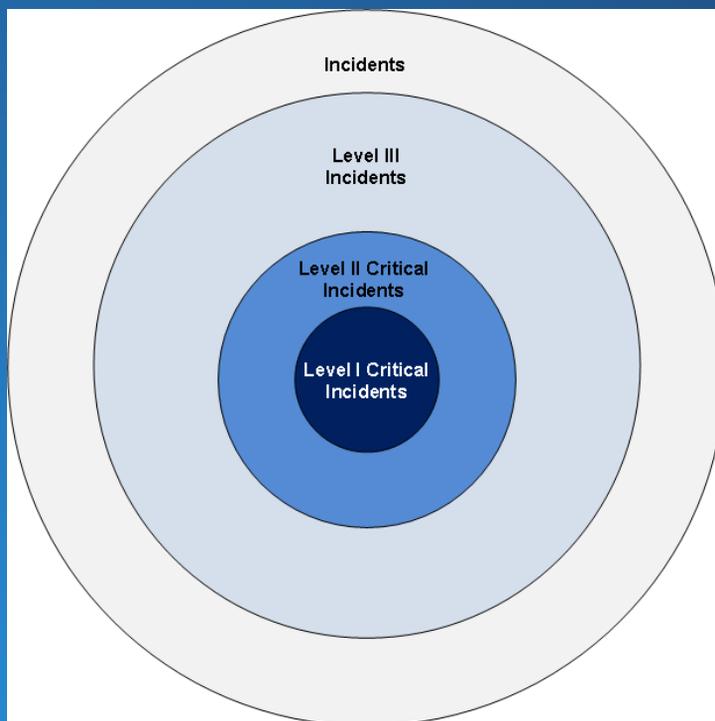
Title 62A Chapter 5 Subsection 105(1) states: "The Division shall:

- (a) establish program policy for the division, the developmental center, and programs and facilities operated by or under contract with the division;"

Rule:

Rule is limited in reference to incident reporting. Where it does apply, it will be referred to under the incident. As it applies to Self-Administered Services (SAS), R539-5-6 requires the person, their representative or a provider agency to report to the case manager any time a person's health or safety is jeopardized.

Types of Incidents



Incidents

These incidents **do not** need to be submitted to DSPD, unless you feel it needs to be brought to our attention.

- Missing person - **less than two hours**
- Property destruction - **less than \$500.00**
- Aggression - **no injuries or no law enforcement involvement**
- Missed medications - **no adverse side effects**
- Medication errors - **no medical treatment**
- Non - **compliance**
- Self-injurious behaviors - **no medical treatment**
- Injuries requiring first aid
- Outpatient surgeries or medical procedures
- Diagnosed seizures

Level III Incidents

- Missing - **two hours to 24 hours**
- Injuries - **requiring medical treatment**
- Self-injurious behaviors - **requiring medical treatment**
- Hospitalization - **medical/psychiatric reasons**
- Abuse or neglect - **no medical treatment**
- Property destruction - **more than \$500.00**
- Drug and alcohol abuse
- Suicide threats
- Aspiration or choking - **Heimlich Maneuver**
- Emergency behavioral interventions as defined in R539-4-6
- Behavioral interventions listed in the consumer's Behavior Support Plan
- Law Enforcement Involvement - **no charges file**
- Seizure type activity - **no diagnosis**

Level II Critical Incidents

- Abuse or neglect - **resulting in medical treatment**
- Exploitation of the consumer's funds
- The consumer's working or living environment is compromised - **requiring evacuation**
- Activities perpetrated by the consumer-resulting in charges being filed
- Medication errors - **resulting in medical treatment**
- Injuries, aspiration or choking-consumer is admitted to the hospital
- Suicide attempts - **consumer is not admitted to the hospital**

DSPD is responsible for the investigation, resolution and closure of Level II Critical Incidents.

Level I Critical Incidents

- Abuse or neglect - consumer is **admitted to the hospital**
- Suicide attempts - consumer is **admitted to the hospital**
- Human rights violations such as the unauthorized use of restraints, seclusion rooms or infringement of person's privacy rights experienced by the consumer
- Incidents that have or are anticipated to receive public attention
- Medication errors - consumer is **admitted to the hospital**
- Consumer - **missing for at least twenty-four hours**; or regardless of the number of hours missing, any consumer who is missing under **unexplained, involuntary or suspicious circumstances and is believed to be in danger** because of age, health, mental or physical disability, environment or weather or who could be in the company of a potentially dangerous person or some other factor that places the consumer in peril.

Level I Critical Incidents continued

- All deaths are unexpected **except**: a) consumers receiving hospice care; and/or b) deaths due to natural causes, general system failure or terminal/chronic health conditions
- Serious burns, self-injurious behaviors or injuries **resulting in loss of physical or mental function**, resulting in consumer **being admitted to the hospital**
- Incidents that involve alleged or confirmed waste, fraud or abuse of Medicaid funds by provider or recipient of Medicaid services.

DOH is responsible for the investigation, resolution and closure of Level I Critical Incidents.

What incidents do I report to DSPD?

For the past year we have been asking the Support Coordinators (SCs) and Administrative Case Managers (ACMs) to send us incident reports on all incidents. This year we are requesting incident reports on the following:

- **Incidents (only if you feel DSPD needs to be made aware of them.)**
- **Level III Incidents**
- **Level II Critical Incidents**
- **Level I Critical Incidents**

Incident Notification

When filling out the incident notification please:

- Provide us with as much information as you can.
- If you're going to submit an incident that does not have to be reported to DSPD, please offer an explanation as to why you feel this needs to be brought to our attention.
- Review the notification before submitting it.

Incident Report

- Must be submitted within **five business days**.
- Provide as much information as you can in the incident description.
- Fill out all of the screens that are applicable to the incident you are reporting.
- Required fields have to be populated before submission.
- Review the incident report before submitting it.

SC/ACM Follow-Up

SCs/ACMs will be reviewing the incident reports and will be determining if:

- the team may need to meet
- prevention strategies need to be developed
- behavior supports may be needed
- a RAS request may need to be submitted
- the consumer's PCSP, Behavior Support Plan or his/her Supervision Guidelines may need to be modified
- a face-to-face visit should be made
- if other recommendations and/or referrals may need to be made, etc.

Critical Incident Investigation

- SCs/ACMs will be responsible for completing Critical Incident Investigations.
- They will have **ten business days** to complete the investigation.
- They may ask Providers / Family for information in order to complete the investigation.
- Required fields have to be populated before submission.
- Review the investigation before submitting it.
- DSPD forwards Level I Critical Incident Investigations to the DOH.

Additional Follow-Up Questions

- DSPD and DOH may issue follow-up questions
- Follow-up questions can be sent on incident reports, as well as, investigations
- DSPD sends out all of the follow-up questions
- We anticipate you will have **five business days** to respond to them.

Investigation Closure

- DSPD completes Level II Critical Incident Investigations
- DOH completes Level I Critical Incident Investigations
- When an investigation is closed, it will be noted in USTEPS.
- The completed investigation will be found in USTEPS.
- The consumer or his/her guardian will receive a letter informing them that the investigation has been completed.

Incident Report Business Process

Incident Reports

Report Columns(Select All To Display)

Consumer
 PID
 Provider
 Other Provider
 Incident Level
 Notification
 Incident Date/Time
 Discovery Date/Time
 Assignee
 Report
 Follow Up
 Add Followup Status
 Add Followup Date
 Investigation
 Closed

Select

(1 of 2)

IR ID	Consumer	IR Level	IR Notice	IR Date/Time	IR Disc Date	Report	SC Follow Up	AFU Date	Closure
102	Mon Aryeb		2013/12/30 13:46:04	2013/12/29 12:38:00	2013/12/29 13:41:00	2013/12/30			
101	Mon Aryeb		2013/12/30 12:31:38	2013/12/02 00:00:00	2013/12/03 00:00:00				
54	Mon Aryeb	Critical Level 2	2013/12/18 13:44:23	2013/12/02 11:30:00	2013/12/03 12:33:00	2013/12/18	2013/12/18		
51	Mon Aryeb		2013/12/18 09:17:13	2013/12/09 13:34:00	2013/12/09 13:34:00	2013/12/18	2013/12/19		2013/12/19
38	Mon Aryeb	Critical Level 1	2013/12/16 23:46:34	2013/12/01 00:00:00	2013/12/01 00:00:00	2013/12/19	2013/12/19		2013/12/19
37	Mon Aryeb		2013/12/16 18:01:58	2013/12/06 14:35:00	2013/12/06 18:47:00	2013/12/16			
35	Mon Aryeb		2013/12/16 17:45:53	2013/12/09 13:34:00	2013/12/10 13:33:00	2013/12/16	2013/12/16		
32	Mon Aryeb		2013/12/16 09:20:10	2013/12/03 00:00:00	2013/12/04 00:00:00				2013/12/19
20	Mon Aryeb		2013/12/13 16:12:21	2013/12/03 00:00:00	2013/12/04 00:00:00				2013/12/19
18	Mon Aryeb		2013/12/13 16:06:23	2013/12/03 13:30:00	2013/12/03 13:30:00	2013/12/13	2013/12/13		2013/12/13

(1 of 2)

Incident Report Business Process

Notification Report SC Follow Up Investigation Closure Incident Notes

Incident Initial Notification

Incident Number 352

Incident Date/Time 02/28/2014 04:00 PM

Incident Discovered Date/Time 02/28/2014 04:15 PM

Brief Description

Provider Name Provider Id 306

Other

How was DSPD Notified UPI Entry

DSPD Notification Date 03/01/2014 09:04 PM

Who Notified DSPD

Has Support Coordinator been notified? Yes No

Support Coordinator Notified Date/Time 03/01/2014 09:04 PM

Save Draft Submit

Incident Report Business Process

Notification Report SC Follow Up Investigation Closure Incident Notes

Incident Number

Incident Date/Time

*Incident Detailed Description

Location Street 1 Location Street 2

*Location City *Location State

*Location Zip Code *Location Type

Location Description

*Guardian Notified

Incident Description and Detail

*Incident Categories (Select All that Apply)

The Incident Involved (Select All that Apply)

<input type="checkbox"/> Abuse/Neglect/Exploitation	<input type="checkbox"/> Aspirations/Choking	<input type="checkbox"/> Behavior Intervention
<input type="checkbox"/> Compromised Environment	<input type="checkbox"/> Drug/Alcohol	<input type="checkbox"/> Fatality
<input type="checkbox"/> Injury	<input type="checkbox"/> Medication Errors	<input type="checkbox"/> Missing Person
<input type="checkbox"/> Property Destruction	<input type="checkbox"/> Seizure	<input type="checkbox"/> Suicide Attempt/Threat
<input type="checkbox"/> Other		
<input type="checkbox"/> Hospital Admission	<input type="checkbox"/> Law Enforcement	<input type="checkbox"/> Medical Care

Incident Report Business Process

Notification Report **SC Follow Up** Investigation Closure Incident Notes

Follow Up Additional Follow Up

Follow Up / Recommendations

Were Prevention Strategies Needed? Yes No

Were Prevention Strategies Developed and Implemented? Yes No

Is Face-to-Face Review Completed? Yes No Face-to-Face Review Completion Date

Save Draft Submit

Incident Report Business Process

Notification Report SC Follow Up **Investigation** Closure Incident Notes

Participant's Name Waiver Program

DOB Date of Incident

Participant's Mailing Address Location of Incident

Does the participant have a legal guardian? Yes No

Is there another involved representative? Yes No

+ Participant's Support Coordinator

1. Incident Summary

Please provide a detailed summary of the incident.

2. Precipitating Events/Patterns of Behavior

Incident Report Business Process

Notification Report SC Follow Up Investigation Closure Incident Notes

Close Incident Yes No Incident Closed Date

Closure Reason Duplicate Of Incident

Closure Notes

Save Draft Submit

Incident Report Business Process

Notification Report SC Follow Up Investigation Closure Incident Notes

Incident Note

Save Delete

Restricted(DSPD Only)	Date	Incident Note	Author
-----------------------	------	---------------	--------

IR System Demo

Automated System Notifications - Consumers (assigned worker)

- Tasks
 - IR detail report due
 - Investigation required (critical incidents)
- Log Notes
 - Initial Notification
 - IR Detail report submit
 - Investigation submit
 - Incident closed

Automated System Notifications- SCs/ACMs

- Email:
 - Initial notification (if not other notification)
 - Investigation required
 - Investigation reminder (due date if not submitted)
 - Additional followup requested
- Messages:
 - Detail IR submitted
 - Incident closed

Automated System Notifications- Providers

- Email:
 - Initial notification (if submitted by other)
 - IR Detail submitted (if submitted by other)
 - Reminder day IR Detail due
 - Investigation submitted
 - IR Closed

Tips / Things to Remember

- Don't forget to push the "Submit" button
- Check the top of the screen to see if it was successfully submitted
- Review the "Incident Description" to make sure you've selected all of the incident categories
- If behavior interventions are used, list them in the "Intervention Details", noting the duration of each intervention
- If different types of restraints were used, list them separately, noting the duration of each restraint.
- If charges are filed, list the charges, if known

Tips / Things to Remember continued

- When filling out the "Parties Notified" section please only list the individuals who are tied to the incident.
- When completing the "SC Follow Up" section, don't forget to push the "Additional Follow Up" tab to see if you need to respond to additional questions
- If you need to add more information, after the IR has been submitted, you can put that information in the "Incident Notes"

Tips / Things to Remember continued

- Once an incident notification, incident report, or investigation has been successfully submitted it **CANNOT** be modified.
- Don't forget to report suspected or known abuse, neglect or exploitation to CPS, APS or law enforcement.

System Access

Company Access

- **Form 0-9 Company Access (required)**
 - Company desire to use system
 - Company responsibilities
 - Company designees for access
- **Activate Account in Utah Master Directory (UMD) (required)**
- **Form 0-8 Individual User Access (required for each user)**
 - Differentiate between Financial, IR, or Both

Support Coordinator Access

- **Form 0-2.....**

Resources and Contacts

- UPI System
 - <https://upi-prod.dhs.utah.gov/UPIWeb/>
- Incident Report Team
 - dspdincidents@utah.gov
 - Laura: 801-779-6714; Joey: 801-779-6708
- USTEPS Team
 - usteps@utah.gov
 - 801-698-7431
- DSPD Web Page Reference Materials (Provider tab)
 - dspd.utah.gov
 - Access Forms
 - User Guides

IR Rollout Schedule

- Available to all providers
- Required use July 1, 2014 (contract amendment)