



TITLE	POLICY NUMBER	
Unusual Incident Reporting (Employee)	DCS 02-12	
RESPONSIBLE AREA	EFFECTIVE DATE	REVISION
Business Operations: Business Services Administration	10/14/16	4

I. POLICY STATEMENT

The Department of Child Safety (DCS) is committed to providing a safe environment for all employees, volunteers, contractors, members of the public, and any person on DCS property but recognizes that incidents and accidents can and do occur. To report injuries, acts of violence, misconduct, property loss, allegations of fraud, waste, abuse, or a liability claim, DCS provides employees with a process and establishes requirements for the Department to ensure compliance with [Arizona Revised Statute § 41-621](#), which requires that all incidents that may give rise to a claim are reported.

II. APPLICABILITY

This policy applies to all Department employees, volunteers, and contractors in DCS owned or leased buildings while in the performance of official duties.

III. AUTHORITY

- [29 CFR § 1904](#) Occupational Safety and Health Administration (OSHA)
- [29 CFR § 1910.1030](#) Bloodborne Pathogens
- [29 CFR § 1910.1030\(h\)\(1\)\(iii\)](#) Recordkeeping – Medical Records
- [A.R.S. § 41-621](#) Purchase of insurance; coverage; limitations; exclusions; definitions
- [A.R.S. § 28-3165](#) Nonoperating identification license; immunity; rules;

	emancipated minors; definition
A.R.S. § 28-3166	Driver license content and application; marked licenses; emancipated minors
A.A.C. R2-10-101	Coverage and Claims Procedure Definitions
A.A.C. R2-10-107	Liability Coverage and Limitations
DCS 02-14	Workplace Safety and Building Security

IV. DEFINITIONS

Abuse: The intentional, wrongful, or improper use of resources or misuse of rank, position, or authority that causes the loss or misuse of resources such as tools, vehicles, computers, copy machines, etc. Examples of abuse include:

- an employee using state equipment to conduct personal business;
- an employee using non-confidential taxpayer information to get new customers for his/her outside business.

Corvel: The company that provides claims management services for DCS.

Department or DCS: The Arizona Department of Child Safety.

DCS Risk Management or DCS RM: The Business Operations unit that manages risk and liability for the Department of Child Safety.

DCS Office of Real Estate: The Business Operations unit that manages property leased or owned by the Department of Child Safety.

DCS Office of Employee Relations or DCS ER: The Human Resources unit that manages employee matters for the Department of Child Safety.

Fraud: An intentional deception or misrepresentation made by a person with the knowledge that the deception could result in an unauthorized benefit to himself or another person. It includes any act that constitutes fraud under applicable federal or state law. External fraud includes dishonest acts perpetrated by contractors, providers, or any

individuals outside of DCS, including but not limited to bid-rigging, price fixing, submitting invoices for goods and services not rendered, theft of confidential information, failing to meet contractual requirements, misrepresenting qualifications to obtain a contract or perform services, and seeking bribes from DCS staff or management.

Personal Information: An individual's first name or first initial and last name in combination with any one or more of the following data elements, when the data element is not encrypted, redacted, or secured by any other method rendering the element unreadable or unusable by unauthorized persons:

1. The individual's employee number.
2. The individual's name, residential address, and home phone number that would allow the individual to be located.
3. The individual's date of birth.
4. The individual's number on a driver license issued pursuant to section [A.R.S. § 28-3166](#) or number on a non-operating identification license issued pursuant to section [A.R.S. § 28-3165](#).
5. The individual's personal medical information.
6. Personal information can also include trade secrets, business secrets, proprietary information, and attorney-client privileged information.

Reporting supervisor: The supervisor of the employee most closely involved in the unusual incident.

State: The State of Arizona.

Unusual Incident: An unusual incident is any unforeseen, unexpected, or unplanned event that involves, but is not limited to:

1. Workplace death, injury, illness, or transport to a hospital of an employee that is work-related.
2. Occupational workplace injury or illness, such as poor health, sickness or disease caused by, or attributable to, environmental or other condition existing in the workplace.
3. Incidents of workplace violence.

4. Physical, written, or verbal threats or acts against employees or state property, or any physical or verbal threats or acts made by employees, or any threats or acts received via electronic media.
5. Damage or vandalism to a Department or state asset or property, or personal property, when the incident occurred on state property (owned or leased).
6. Incidents involving employee misconduct.
7. Theft of state and/or personal property when the incident occurred on state property (owned or leased), including the loss of data containing personal information in any electronic or paper form (e.g., smart phone, computer, data storage device, case files, etc.).
8. Vandalism to state or personal property where the vandalism to personal property occurred on state property.
9. Incidents considered newsworthy or which may result in a liability claim against the Department or the state.
10. Fraud, waste, or abuse.

Unusual Incident Report (UIR) (DCS-1125A): An internal form used to document and notify Department personnel of an unusual incident.

Waste: Over-utilization or inappropriate utilization of services, misuse of resources, or practices that result in unnecessary cost to the Department.

Work-related: Any activity performed by an employee for DCS business purposes as part of an employee's job responsibilities, excluding travel between the employee's personal residence and the employee's primary workplace.

Workplace: All locations, either permanent or temporary, where DCS employees work or represent DCS. This includes DCS-owned or DCS-leased facilities and buildings; customer, vendor, and provider premises; and any location where DCS-sponsored activities occur.

Workplace Violence: Actions or words that endanger or harm another employee or result in other employees having a reasonable belief that they are in danger. Such actions include:

1. Verbal, written, or physical harassment.

2. Verbal, written, or physical threats.
3. Assaults or other violence.
4. Any other behavior that causes others to feel unsafe (e.g. bullying, sexual harassment). Refer to the *Workplace Safety and Building Security* ([DCS 02-14](#)) policy.

V. POLICY

A. General Requirements

1. The DCS Unusual Incident Reporting program shall be administered by DCS Risk Management (DCS RM).
2. All employee Unusual Incidents shall be reported using the Unusual Incident Report ([DCS-1125A](#)) form to ensure compliance with federal and state regulations.
3. Any employee misconduct or violation of statute or policy reported in an Unusual Incident Report shall be forwarded to DCS Employee Relations, who will contact the author of the report to request additional information.
4. Unusual Incident Reports shall be submitted according to the time frames set forth in Section V (B).
5. Copies of the Unusual Incident Report shall be retained for five years after any related case is closed.
6. Some information on the Unusual Incident Report is considered confidential and shall not be released outside the Department without specific written approval of the DCS RM.
7. Although loss, damage, or theft of a DCS employee's personal property must be reported in an Unusual Incident Report, there is no coverage provided for loss, damage, or theft of any employee's personal property.

B. Reporting Time Frames

1. The reporting supervisor shall immediately contact DCS RM for any

incidents involving a DCS employee death:

- a. that is work-related; or
 - b. that occurs on or in state property (owned or leased).
2. An Unusual Incident Report form shall be submitted according to the following time frames:

Type of Incident	When to Report
<ul style="list-style-type: none"> • Death • Loss of Eye • Loss of Limb 	<p>Immediately: Must be reported to OSHA within 8 hours of the incident.</p>
<ul style="list-style-type: none"> • Work related injury or illness • Exposure to blood-borne pathogens • Injury to a client or the general public on state property • Property damage expected to exceed \$10,000 • Data loss • Fraud, Waste, or Abuse 	<p>Within 24 hours of the incident.</p>
<ul style="list-style-type: none"> • All other claims or incidents 	<p>Within 48 hours of the date of the incident.</p>

3. Regions may implement additional reporting requirements; however, submission of the Unusual Incident Report to DCS RM shall not exceed these time frames.
4. DCS RM is responsible for submitting required documents to the Arizona Department of Administration (ADOA) Risk Management Section in a timely manner.

C. Investigations

1. Regions and location Building Liaisons or designees may recommend that certain incidents be referred to the Office of Real Estate for investigation.
2. DCS RM reserves the right to investigate those incidents that present a high degree of risk, liability, or recurrence. All work-related employee deaths shall be investigated by a committee that shall be assembled by the DCS RM.

3. When warranted, DCS RM shall assemble an Unusual Incident investigation committee. All Unusual Incident investigations shall be conducted in accordance with appropriate Department policies and confidentiality rules.
4. DCS Human Resources Employee Relations shall be responsible for administrative inquiries for unusual incidents involving employee misconduct, or violations of statute or policy.

VI. PROCEDURES

A. General Information

1. Immediately after an unusual incident occurs, the employee most closely involved makes a verbal report of the incident to his/her supervisor. This report includes the following information:
 - a. person(s) involved in the incident(s)
 - b. nature of the incident(s)
 - c. location of the incident(s)
 - d. description, date and time of the incident(s)
 - e. witnesses to the incident(s)
2. The employee's supervisor (hereafter, the *reporting supervisor*):
 - a. completes an Unusual Incident Report for incidents involving DCS employees;
 - b. distributes the Unusual Incident Report via email to each of the following areas in accordance with the time frames outlined in Section V (B):
 - i. DCS Risk Management

Site Code: C010-21

Outlook mailbox: OpRiskManagement@azdcs.gov;

- ii. Program Manager and Program Administrator;
 - iii. Assistant Director of Business Operations.
- c. If the unusual incident involves employee misconduct, or violations of statute or policy, contact HR Employee Relations at EmployeeRelations@azdcs.gov

B. Reporting Time Frames

1. For incidents that involve work-related injury, illness, or death of an employee, staff must immediately report the incident by calling DCS RM at (602) 542-3185. The reporting supervisor ensures that the Unusual Incident Report is completed and submitted to DCS Risk Management before the end of the workday.

When the work-related illness, injury, or death of an employee occurs after normal business hours or on a weekend, staff contacts Corvel at 602-542-WORK (9675) or 1-800-837-8583.

2. For all other incidents, the Unusual Incident Report form is submitted:
 - a. as soon as possible, but no later than 24 hours after the incident, for:
 - i. a work-related injury or illness, including exposure to bloodborne pathogens (refer to *Bloodborne Pathogens* policy, [DCS 02-04](#));
 - ii. an injury to a client or a member of the public on or in state property (owned or leased);
 - iii. significant property damage expected to exceed \$10,000;
 - iv. data loss;
 - v. fraud, waste, or abuse.
 - b. within 48 hours after the incident for all other claims or incidents;

- c. to ensure compliance with the time frames identified in Section V (B) (2), after normal business hours or on a weekend staff complete the Unusual Incident Report and submit it via email to the OpRiskManagement@azdcs.gov mailbox.

C. Special Reporting for Incidents Involving Death

1. For incidents involving the death of an employee, the reporting supervisor immediately contacts:
 - a. DCS Risk Management at (602) 542-3185;
 - b. The Program Manager, Program Administrator, and Assistant Director of Business Operations.
2. For incidents involving the death of an employee, or any incident that may give rise to a large liability claim, DCS Risk Management/Human Resources notifies the following:
 - a. Office of the Director or Assistant Director of Business Operations;
 - b. Office of the Attorney General;
 - c. Arizona Department of Administration (ADOA) Risk Management Section;
 - d. Arizona Industrial Commission; and
 - e. Arizona Department of Occupational Safety and Health (ADOSH).

D. Investigations

1. The reporting supervisor may recommend that an investigation take place by sending an email to Risk Management at OpRiskManagement@azdcs.gov.
2. The Program Manager, Program Administrator, or Assistant Director of Business Operations reviews the recommendation and determines whether to forward the incident for investigation to DCS RM.

3. Upon request for an investigation or determination by the DCS RM that an investigation is warranted, DCS RM assembles an investigation committee:
 - a. the standing investigation committee is comprised of the assigned DCS RM staff (chair of the committee) and the DCS RM Administrator;
 - b. depending upon the nature of the incident, staff with specific expertise are added to the committee, as appropriate, to investigate and review all incidents involving employees.
4. After the investigation, DCS RM issues a report to the Program Manager, Program Administrator, or Assistant Director of Business Operations who originated the Unusual Incident Report, for action and implementation of any recommended corrective action(s).
5. The originating Program Manager, Program Administrator, or Assistant Director of Business Operations takes appropriate action to prevent a recurrence of similar incidents.
6. When the originating Program Manager, Program Administrator, or Assistant Director of Business Operations requires assistance from the DCS RM or other sources, they document in the Unusual Incident Report:
 - a. their request; and
 - b. any development of corrective action plans to prevent a recurrence of similar incidents.
7. DCS Employee Relations manages administrative inquiries for incidents involving employee misconduct, or violations of statute or policy.

VI. FORMS

[*Unusual Incident Report \(DCS-1125A\)*](#)