



TITLE	POLICY NUMBER	
Unusual Incident Reporting (Employee)	DCS 02-12	
RESPONSIBLE AREA	EFFECTIVE DATE	REVISION
Business Operations; Business Services Administration	Oct. 14, 2016	9

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 their outside business.

Act of violence: An intentional, reckless act that includes, but is not limited to, unwanted or hostile behaviors such as hitting, shoving, punching, slapping, stabbing, or kicking. It also includes intimidating or menacing behavior such as stalking or engaging in verbal comments or physical actions which are intended to frighten, coerce, or threaten.

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 or ORE: 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/herself 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.

Peer Support Response: The empathetic response to a DCS employee who has experienced work-related stress and fatigue, or a threatening, disturbing, or traumatic incident. The responder is a volunteer Workforce Resilience Peer Support Team member who has experience in managing work-related stress and has received specialized training in peer support.

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 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. trade secrets, business secrets, proprietary information, and attorney-client privileged information.

Safety Analysis Review Team (SART): The DCS team responsible for tracking, reviewing, and coordinating the Multi-Disciplinary Team (MDT) review of all critical incidents, and if needed, a subsequent Systemic Critical Incident Review (SCIR).

State: The State of Arizona.

Systemic Critical Incident Review (SCIR): A formalized process conducted by the Safety Analysis Review Team that reviews all critical incident cases received by DCS to identify and analyze systemic issues and generate recommendations for improvements. Critical incident cases are those involving child fatalities, near fatalities, or cases identified by DCS Administration.

Threat: A declaration of intent to harm, now or in the future, by inflicting physical, emotional or any other harm to an individual. It may be made directly or indirectly and communicated in person, online or by phone. It includes words, racial slurs, gestures, or displays of weapons which are perceived by the employee as a clear and tangible threat to their safety and which may cause fear, anxiety, or inability to perform job functions.

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 conditions 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): A portal in SharePoint 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, including a family's home, 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 Safety Committee: A working group consisting of representatives of Risk Management, Human Resources, and Field Operations that oversees Department safety initiatives. The Committee is selected by, and reports to, the executive leadership team.

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 unusual incidents involving employees shall be reported using the [Unusual Incident Report](#) portal in SharePoint 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 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.
8. DCS Risk Management shall convene a Workplace Safety Committee that incorporates employee involvement and feedback to identify, evaluate, and mitigate the effects of workplace threats and violence.
9. DCS recognizes that unusual incidents such as threats and acts of violence are very stressful and traumatic. To promote the emotional and psychological well-being of its employees, DCS offers a Peer Support Response from the [Workforce Resilience Peer Support Program](#) and also

encourages employees to avail themselves of the [Employee Assistance Program](#).

B. Reporting Time Frames

1. The appropriate manager in the applicable employee's chain of command shall immediately contact DCS RM for any incidents involving a DCS employee death that:
 - a. is work-related, or
 - b. occurs on or in state property (owned or leased).
2. An Unusual Incident Report shall be submitted according to the following time frames:

Type of Incident	When to Report
• Death • Loss of Eye • Loss of Limb	Immediately: Must be reported to OSHA within 8 hours of the incident.
• Act of violence • Threat	Immediately
• 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, including loss or theft of social security cards and birth certificates of children in out-of-home care • Fraud, Waste, or Abuse •	Within 24 hours of the incident. NOTE: Risk Management shall report loss or theft of social security cards and birth certificates of children in out-of-home care to the DCS Privacy Officer.
• All other claims or incidents	Within 48 hours of the date of the incident.

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. Departmental Review of Unusual Incidents

1. Regions and location Building Liaisons or designees may recommend that certain incidents be referred to the Office of Real Estate for further exploration.
2. The Chief Operations Office or Deputy Director of Administration may request that Safety Analysis Review Team (SART) conduct a critical incident review, if appropriate. If SART determines that a Systemic Critical Incident Review (SCIR) is necessary, that review shall be conducted in accordance with the [Critical Incidents](#) policy (Chapter 7, Section 18).
3. DCS RM may conduct further inquiry into those incidents that present a high degree of risk, liability, or recurrence. All work-related employee deaths shall be reviewed by the Workplace Safety Committee that is headed by DCS RM.
4. When warranted, the Workplace Safety Committee shall conduct inquiries regarding unusual incidents in accordance with appropriate Department policies and confidentiality rules.
5. DCS Human Resources Employee Relations shall be responsible for administrative inquiries about 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 submits an Unusual Incident Report. If the employee is unavailable or unable to submit the Unusual Incident Report, the employee's supervisor may submit it, and the employee will submit an additional one when they return to work. 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); and
 - e. witnesses to the incident(s).
2. If the unusual incident involves employee misconduct, or violations of statute or policy, the supervisor of the employee submitting the Unusual Incident Report (who is copied on the Unusual Incident Report in SharePoint) shall contact HR Employee Relations at EmployeeRelations@azdcs.gov.

B. Reporting Time Frames

1. For incidents that involve an act of violence, threat, work-related injury, illness, or death of an employee, staff must immediately report the incident by emailing Risk Management at OpRiskManagement@azdcs.gov. The Unusual Incident Report must be completed and submitted to DCS Risk Management before the end of the workday.
 - a. Whenever a work-related illness, injury, or pathogen exposure of an employee occurs, the affected employee (or the employee's supervisor, with the affected employee present if they are able) shall immediately contact Corvel at 800-685-2877.
 - i. Even if an employee does not believe they have been physically harmed or injured as a result of the incident, the employee shall call Corvel to receive medical guidance about managing potentially delayed effects, even if the incident occurred after hours or on a holiday or weekend.
2. For all other incidents, the Unusual Incident Report 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 the DCS [*Bloodborne Pathogens Exposure Control Plan*](#));
 - 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. Special Reporting for Incidents Involving Death

1. For incidents involving the death of an employee, the appropriate manager in the employee's chain of command immediately contacts:
 - a. DCS Risk Management at OpRiskManagement@azdcs.gov;
 - 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. Departmental Review of Unusual Incidents

1. The appropriate manager in the chain of command of the employee who submitted the Unusual Incident Report may recommend that a more comprehensive review 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 to DCS RM for further analysis.
3. Upon request for greater scrutiny of the incident or determination by DCS RM that a more comprehensive review is warranted, DCS RM notifies the Workplace Safety Committee of the impending review and keeps the Committee apprised of the status of the review through its conclusion.
4. After the review, 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 the 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.

E. Workplace Safety Committee

1. The Workplace Safety Committee (hereafter, the *Committee*) is comprised of the DCS RM Manager (chair of the Committee), the DCS RM Administrator, a representative of Human Resources, and representatives from the field as selected by the Assistant Director of Field Operations.
2. Depending on the nature of the incident, staff with specific expertise may be added to the Committee, as appropriate, to examine and review all incidents involving employees.
3. The Committee shall:
 - a. meet quarterly to identify, review and analyze UIRs from the field that contain issues pertaining to actual or potential safety, threats, and acts of violence;
 - b. establish protocols and guidelines to enhance employee safety which may include:
 - i. addressing ways to assess risk and safety prior to meeting with an individual/family;
 - ii. recommending teamed responses in certain situations such as cases where risk factors such as domestic violence, a history of assault, threats, or criminal convictions involving weapons;
 - iii. documenting information regarding volatile/potentially dangerous individuals and home/neighborhood circumstances into Guardian to alert other Department staff to potentially dangerous situations.
 - c. identify technology, physical measures, and other innovations that can expand the plan to promote the safety of

Department employees.

F. Response Protocols for Threats and Acts of Violence

1. Risk Management shall escalate threat/violence-related UIRs to executive leadership, as well as all of those that describe police involvement, physical or psychological attacks, repeat offenders, and those in which the Program Manager requests a security advisory.
2. After reviewing a UIR that describes threats or acts of violence, RM shall contact the employee to inquire if they believe their safety is in jeopardy. RM will offer assistance and discuss options, which may include filing a police report. If the employee chooses to file a police report, the UIR shall be updated to include that information. Related actions taken by RM may include:
 - a. posting a security advisory that includes a name, date of birth, and photograph of the individual whose behavior has been deemed threatening or dangerous;
 - i. A *red* advisory is requested by a Program Manager and pertains to an individual who has been escorted out of a DCS office by police or security, and/or whose threats resulted in a UIR that was elevated to executive leadership.
 - ii. A *yellow* advisory is requested by a Program Manager and pertains to an individual who is entering DCS property to receive services, but whose threats have raised concerns about employee safety.
 - b. assisting employees with filing injunctions against harassment.
3. DCS employees may choose to remove their personal information from public access databases by petitioning the Superior Court in their county of residence. Information can be found at: <https://www.azcourts.gov/selfservicecenter/Forms/Personal-Information-Redaction>. See the DCS [Personal Information Redaction](#) policy for further

guidance.

4. Program Managers and Supervisors shall conduct immediate confidential discussion with employees who have been subjected to threats/acts of violence to determine whether a case transfer should be considered due to the level of danger or animosity. They shall also reach out to other employees who may be experiencing vicarious trauma related to threats/acts of violence experienced by their co-workers to help them cope with any anxieties.
5. Confidential information regarding threats/acts of violence shall not be shared with anyone unless such disclosure is necessary to protect other employees. At its discretion the Department may issue a memorandum that describes the Department's response to a particular threat/act of violence to ensure safety, accuracy of information, reduction of employee stress, and clarification of future action steps.

VII. LINK TO REPORT

[Unusual Incident Report](#)