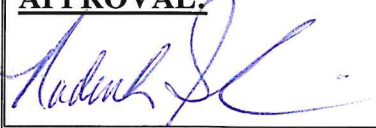




DEPARTMENT NAME: Quality Management		
SUBJECT: Incident Reporting		POLICY NUMBER: QM-043
APPROVAL: 	EFFECTIVE DATE: 1-14-2022	REPLACES : QM-043, dated 6/9/2021

I. PURPOSE: To establish Children's Network of Southwest Florida (CNSWFL) procedures for identifying and reporting information related to client risk prevention incidents.

II. REVIEW HISTORY: CFOP 215-6, dated 11/11/98 was replaced with CNSWFL's DC- 002 dated 2/17/05 and updated on 10/20/05, 12/26/07, 11/15/08, 4/16/12, 5/4/14, 8/4/16, 11/24/17, 3/12/18, 11/12/18, 11/24/2019, and 6/9/2021.

III. CONTACT: Quality Management Director, COO, or CEO

IV PERSONS AFFECTED: Children's Network staff and contracted providers.

V. POLICY:

A. It is the responsibility of all CNSWFL personnel, case management organization staff and all contracted providers to promptly report all incidents in accordance with the requirements of these procedures.

B. This reporting system does not replace existing abuse, neglect and/or exploitation reporting requirements. Allegations of abuse, neglect or exploitation must still be reported to the Florida Abuse Hotline as required by law.

C. This operating procedure does not replace the investigation and review requirement provided for in Department of Children and Families CFOP 175-17, Child Death Review Procedures.

VI. RATIONALE:

This policy provides a way to assure management of CNSWFL and other required parties are aware of critical incidents in a timely manner. It also clarifies which events must be reported.

VII. CROSS REFERENCES:

Department of Children and Families Operating Procedures 215-6, Incident Reporting and Client Risk Prevention, Florida Statutes Chapter 110, CFOP 180-4 Incidents that Require

VIII. DEFINITIONS:

A. Client injury or illness: A medical condition or injury of a client under supervision of the CNSWFL or in the custody of the Department which requires medical treatment by a licensed health care professional. A report is required if an injury is sustained or allegedly sustained due to an accident, act of abuse or other incident occurring while in the presence of, or becomes known to, an employee of the CNSWFL, staff member of a contracted agency, or caregiver.

B. Email distribution: The incident report will be distributed to all appropriate parties via email as the preferable method of transmitting. For all staff /providers with an email address domain OTHER THAN CNSWFL.org, documents submitted electronically shall be protected with a specific password to be assigned by CNSWFL for this purpose. The writer will select the appropriate email based on the case assignment as described below:

Lutheran Services (LSF_IncidentReport@cswfl.org)
Camelot North (Charlotte Co.) (NorthCamelot_IncidentReport@cswfl.org)
Camelot South (Collier, Hendry, Glades Counties)
(SouthCamelot_IncidentReport@cswfl.org)
Children's Home Society (CHS_IncidentReport@cswfl.org)
Children's Network Courtesy Supervision (ICPCOTI_IncidentReport@cswfl.org)
Children's Network (Kinship_IncidentReport@cswfl.org)

If the incident involves a reportable employee misconduct, please send to (CNSWFL_IncidentReport@cswfl.org}

C. Incident Reporting and Analysis System (IRAS): IRAS is the Department of Children & Families (DCF) web-based incident reporting system and allows for the timely notification of critical incidents, provision of details of the incident and immediate actions taken, and the ability to track and analyze incident-related details. IRAS is not a case management system and cannot be utilized to capture ongoing and specific case management information, such as the progression of events and action.

D. Licensed health care professional: For the purposes of this operating procedure, a person who is licensed to practice medicine pursuant to Chapter 458, F.S. or licensed as a nurse practitioner, pursuant to Chapter 464, F.S.

E. Theft: The act of stealing by an employee of CNSWFL or a contracted provider client.

F. Critical Incident: All client-related incidents that result in serious harm or injury to staff or other clients, or a critical incident such as an employee (or provider) felony arrest. A critical incident is the most severe type of incident that impacts the

CNSWFL to the greatest extent or as defined in DCF Region policy, ROP 215-4.

Critical Incidents to be Reported:

1. Adult Death – An individual 18 years old or older whose life terminates while receiving services, during an investigation, or when it is known that an adult died within thirty (30) days of discharge from a treatment facility. For the Adult Protective Services program, deaths that are a result of the vulnerable adult's documented condition are not subject to critical incident reporting requirements. The manner of death is the classification of categories used to define whether a death is from intentional causes, unintentional causes, natural causes, or undetermined causes. The final classification of an adult's death is determined by the medical examiner. However, in the interim, the manner of death will be reported as one of the following:

- a. Accident: A death due to the unintended actions of one's self or another.
- b. Homicide: A death due to the deliberate actions of another.
- c. Suicide: The intentional and voluntary taking of one's own life.
- d. Undetermined: The manner of death has not yet been determined.
- e. Unknown: The manner of death was not identified or made known.

If an adult's death involves a suspected overdose from alcohol and/or drugs, or seclusion and /or restraint, additional information about the death will need to be reported in IRAS.

2. Child-on-Child Sexual Abuse - Any sexual behavior between children which occurs without consent, without equality, or as a result of coercion. This applies only to children receiving services from the Department, CNSWFL, or by a licensed contract provider, i.e. children in foster care placements, residential treatment, etc.

3. Child Arrest - The arrest of a child in the custody of the Department.

4. Child Death - A child whose life terminates due to or allegedly due to an accident, act of abuse, neglect, or other incident occurring while in the presence of an employee, in a CNSWFL operated or contracted facility or services center, while under the supervision of the CNSWFL or in the custody of the Department when a death review is required pursuant to Department of Children and Families operating procedure 175-17, Child Death Review Procedures. See Section IX. A. 4. for procedures related to child deaths.

5. Elopement\ Missing Child - When the whereabouts of a child in the custody

of the Department and under the supervision of the CNSWFL are unknown and attempts to locate the child have been unsuccessful. The unauthorized absence beyond four hours or other time frames as described by the Children's Network policy QM-006.

6. Employee Arrest - The arrest of an employee of CNSWFL or contracted, subcontracted, or licensed service provider for a civil or criminal offense. Concerns of employee criminal activity shall be reviewed for a referral to the Office of the Inspector General for further investigation. Special attention should be paid to arrests made for a potentially disqualifying offense, or arrests which occurred while in the performance of an employee's official duties.

7. Employee Misconduct - Work-related conduct or activity of the Department's contracted, subcontracted, or licensed service provider that results in potential liability for the Department; death or harm to a client; or results in a violation of statute, rule, regulation, or policy. This includes, but is not limited to, misuse of position or state property; falsification of records; failure to report suspected abuse or neglect; contract mismanagement; or improper commitment or expenditure of state funds. Concerns of employee criminal activity shall be reviewed for a referral to the Office of the Inspector General for further investigation

8. Escape - The unauthorized absence of a client who is committed by the court to a State mental health treatment facility pursuant to Chapter 916 or Chapter 394, Part V, Florida Statutes.

9. Security Incident- Unintentional - An unintentional action or event that results in compromised data confidentiality, a danger to the physical safety of personnel, property, or technology resources; misuse of state property or technology resources; and/or denial of use of property or technology resources. This excludes instances of compromised client information. Concerns of employee criminal activity shall be reviewed for a referral to the Office of the Inspector General for further investigation.

10. Significant Injury to Clients_ Injuries to clients of CNSWFL, subcontracted providers, or in the custody of the Department experiencing a severe medical condition or injury in a treatment/service program that requires immediate medical or surgical evaluation or treatment in a hospital emergency department to address and prevent permanent damage or loss of life.

11. Significant Injury to Staff_ Any serious bodily trauma received by a staff member as a result of work-related activity that requires immediate medical or surgical evaluation or treatment in a hospital emergency department to prevent permanent damage or loss of life.

12. Suicide Attempt - A potentially lethal act which reflects an attempt by an individual to cause his or her own death as determined by a licensed mental health

professional or other licensed healthcare professional. Note that these incidents should only be reported if the attempt happened while the client was in the physical custody of the Department or a Department contracted service provider, or was receiving child welfare, substance abuse, or mental health services at the time of the incident.

13. Sexual Abuse/Sexual Battery -Any allegation of unsolicited or nonconsensual sexual activity involving a client under supervision including but not limited to oral, anal, or vaginal penetration by, or union with, the sexual organ of another or the anal or vaginal penetration of another by any other object, excluding an act done for a bona fide medical purpose. For the purposes of this operating procedure, a client is defined as a dependent child in out-of-home care or receiving services in the home, or treatment facility for the provision of mental health and/or substance abuse services.

G. Other Incidents:

Any major event not previously identified as a reportable critical incident but has, or is likely to have, a significant impact on client(s), the Department, CNSWFL or its provider(s). These events may include but are not limited to:

- (1) Human acts that jeopardize the health, safety, or welfare of clients such as kidnapping, riot, or hostage situation;
- (2) Bomb or biological/chemical threat of harm to personnel or property involving an explosive device or biological/chemical agent received in person, by telephone, in writing, via mail, electronically, or otherwise;
- (3) Theft, vandalism, damage, fire, sabotage, or destruction of state or private property of significant value or importance;
- (4) Death of an employee or visitor while on the grounds of the Department or one of its contracted or licensed providers;
- (5) Significant injury of a visitor (who is not a client) while on the grounds of the Department or one of its contracted, designated, or licensed providers; or,
- (6) Events regarding Department clients or clients of contracted or licensed service providers that have led to or may lead to media reports.
- (7) Or events that DCF, Suncoast Region or CNSWFL has determined that these incidents are important to our overall risk management processes and/or may be indicative of issues needing to be addressed.

IX. PROCEDURES:

A. Critical Incidents Requiring Immediate Notification:

1. In responding to an incident, an employee's first obligation is to ensure the health, safety, and welfare of all individuals involved.

2. The Department of Children and Families and the Children's Network of Southwest Florida shall receive notification immediately, or within timeframes commensurate with the criticality of events. The Incident Report Form shall be received no later than three hours from the incident, of the following critical incidents, as defined in this procedure and ROP 215-4 revised February 8, 2012.

- Client Death (see paragraph IX. A 4.)
- Child-on-Child Sexual Abuse
- Sexual Abuse/Sexual Battery
- Potential Media Coverage

3. Upon receiving oral or telephonic notification of any critical incident requiring immediate notification, the supervisor / manager should, in an abundance of caution, notify the Children's Network CEO, COO (if not available, notify the CFO) and DCF's Community Development Administrator immediately but at the latest within three hours so that appropriate steps can be initiated to mitigate the situation in advance of a more detailed review of the facts. If the incident occurs after business hours, the CEO should be called immediately.

4. Client Death

a. Child deaths that fall within the scope of CFOP 175- 17, Child Death Review Procedures, are reported according to the requirements of Section 10(b) of that procedure. This requires immediate oral notification followed by written notification within one working day for:

- 1) any child death that involves allegations of abuse or neglect, or
- 2) any child death discovered during the course of an investigation,
or
- 3) any child who was receiving protection services at the time of death.

b. When a death review is required pursuant to CFOP 175-17, Child Death Review Procedures, all child deaths should be considered a critical incident requiring immediate notification to the Department.

c. When reporting a client death in the IRAS (see ROP 215-4), the manner of death will be one of the following:

- 1) Accident- A death due to the unintended actions of one's self or another.

- 2) Homicide- A death due to the deliberate actions of another.
- 3) Natural Expected- A death that occurs as a result of, or from complications of a diagnosed illness for which the prognosis is terminal.
- 4) Natural Unexpected- A sudden death that was not anticipated and is attributed to an underlying disease either known or unknown prior to the death.
- 5) Suicide-The intentional and voluntary taking of one's own life.
- 6) Undetermined- The manner of death has not yet been determined.
- 7) Unknown- The manner of death was not identified or made known.

B. Critical Incidents Requiring Routine Notification

1. In responding to an incident, an employee's first obligation is to ensure the health, safety, and welfare of all individuals involved.
2. Immediately, but no later than one hour from the occurrence of the incident as described in the definitions, every employee of the CNSWFL or contract provider is responsible for reporting such an event, first, by notifying his/her immediate supervisor of the incident orally or by telephone, then, by completing the Incident Report form (Exhibit #B). In the event the direct supervisor is unavailable, the employee is to continue up the chain of command until the employee is able to reach a supervisor or manager and provide that individual with an oral report of the reportable incident in advance of the preparation of the written incident report.
3. **Within 2 hours of the incident, the supervisor shall notify the next level** in his or her chain of command. This notification shall take place by telephone or face-to-face.
4. **Within 8 business hours of the incident, the incident report shall be transmitted to the Quality Management Department of CNSWFL** as a password protected document, as defined on page 2, paragraph VIII. B.Email distribution.
5. Within 24 hours, or by close of the next business day, CNSWFL staff is responsible for entering the incident into the IRAS system.
6. If the incident occurs outside of working hours, the CNSWFL Quality Management Department, the Department's Community Development Administrator and the client's child welfare case manager (if applicable) should be notified as soon as possible by phone, email or fax the next working day unless the incident is one requiring immediate notification. The electronic report notification may be extended to 9:00am the following workday at the discretion

of the quality management department, based upon the need for immediate intervention.

7. In addition, all incident reports should be reviewed and transmitted directly to the CNSWFL's Quality Management Department, the Department's Community Development Administrator and the client's child welfare case manager (if applicable) by the employee's immediate supervisor, if available, by utilizing the appropriate email address listed on page 2, paragraph VIII. B. If the supervisor is not available, the employee should transmit the form to the CNSWFL's Quality Management Department, the Department's Community Development Administrator and the client's child welfare case manager (if applicable) by password protected electronic scanning (preferred), facsimile transmission device, or hand deliver, if practical.

8. A copy of the incident report shall be maintained in the employee's work unit by the unit supervisor. Unrelated children will need to be listed on a separate incident report, (i.e. if two or more clients are involved in an incident and they are not related, a separate incident report will be done for each child involved). In order to preserve confidentiality, use initials for clients other than the one who is the subject of the report.

9. Upon receipt and review of the incident report by the CNSWFL, a determination will be made for the need for follow-up.

10. All alleged sexual misconduct events and missing children should include notification to Law Enforcement completed by the CWCM.

11. Missing children

a. The incident report will include the missing child police report #, date & time when the law enforcement agency was contacted to report the missing child event. Report to law enforcement must be made no later than 4 hours from date & time of the child's whereabouts became unknown. If there are exigent circumstances (QM-006 Section VIII. g; a situation that requires immediate action such as a child younger than 13 years of age, over 13 with mental health concerns, abduction, medical issues, human trafficking victim, etc.) law enforcement must be contacted immediately. If none of these circumstances apply the caregiver / provider can wait up to 4 hours to notify Law Enforcement while completing efforts to locate the child. The person completing the Incident Report form is responsible for obtaining information of the efforts made to locate the child if the report to law enforcement was made by someone else.

b. An incident report must be completed and sent within 8 hours of the incident to the Department's Community Development Administrator and the CNSWFL's Quality Management Department for children who have been reported as missing. If there are exigent circumstances the incident report on the child must be emailed immediately. Refer to Policy QM-006 for complete

instructions on missing children reporting.

c. The Child Welfare Case Manager must notify law enforcement, Parents, Guardian Ad litem, Attorney Ad litem, therapist, the child's Juvenile Probation Officer (JPO), United States Customs and Border Protection and the Department of State, if the child is known or believed to be out of the country and Child Welfare Legal Services within 24 hours from discovery or within 4 hours if a pickup order is needed in court.

12. Certain incidents as defined in CFOP 180-4, dated 10/29/2007, shall be reported to the Office of Inspector General as described in Exhibit #A, in addition to CNSWFL.

C. All critical incidents shall be included on the Incident Reporting and Analysis System (IRAS) as required by ROP 215-4. The Incident Report shall be transmitted within 24 hours of the incident (or sooner, as requested) to the Department's Community Development Administrator, Children's Network Chief Operating Officer, appropriate Child Welfare Case Managers and contracted service providers. Report shall include as much specific information as is known at the time; follow up and/or corrective action information shall be transmitted as appropriate or requested by the Quality Management Department. During evening hours or weekends, the electronic report notification may be extended to 9:00am the following workday at the discretion of the Quality Management Department, based upon the need for immediate intervention. **All critical incidents (matching a corresponding reportable category) shall be documented in FSFN including the action steps completed as a follow up to gain control of the situation. FSFN notes shall also include a Supervisory consultation occurring within 30 days of a critical incident that addresses whether all actions have been taken to remediate the matter, identify any remaining action steps, and prevent future occurrences.**

D. As soon as the written incident report is available, it should be transmitted to the CNSWFL's Quality Management Department and the Department's Community Development Administrator. Upon receipt, the document will be reviewed for completeness and coordination of appropriate corrective action and follow-up to protect the client from further risk or injury and to manage activities to control the situation.

E. Requests for copies of incident reports

1. Any request by the public or media for a copy of an Incident Report should be directed to the Executive Assistant to the CEO in order to assure all legal requirements are met.
2. CNSWFL's CEO or designee will collaborate with the Communications Officer at the Department of Children and Families to coordinate pertinent information that would be released under public records law. Information will, at a minimum, answer the following questions: who; what; when; and where.
3. Contract managers and licensing personnel should review and consider incident

reports for the 12 months prior to renewal when re-licensing a home or facility or renewing a contract.

4. Subsequent requests for corrective action plans, status reports or additional information may be initiated on an individual basis as determined by the situation.

X. **EXHIBITS**

A. Reporting to the Office of the Inspector General

B. Incident Report Form - Most current format found at:

<https://www.childnetswfl.org/sites/default/files/images/Reports/Incident%20Report/Incident%20Report-Revised%201-2020%202.pdf>



Policy and Procedures

EXHIBIT #A

REPORTING TO THE OFFICE OF THE INSPECTOR GENERAL

Per CFOP 180-4 (dated October 29, 2007), the incidents listed below may warrant a full investigation by the Office of the Inspector General (OSIG). As such, they shall be reported to the IG by the Regional Managing Director or designee. This shall occur no later than two days of discovery by staff in the region, unless a different timeframe is specified. Notification may be made by completing a Notification/Investigation Request (form CF 1934 (electronic version in eForms)) and emailing the request to the Office of Inspector General. A request for investigation can also be made by mailing the completed form to the Office of Inspector General, 1317 Winewood Boulevard, Building 5, 2nd Floor, Tallahassee, Florida, 32399-0700; or via fax at (850) 488-1428. The report should be accompanied by other relevant backup documentation (e.g., police report). Accompanying documents may need to be submitted subsequent to the initial report in order to meet the specified notification time frame.

1. Employee negligence that results in client injury, abuse, neglect or death immediately upon verification by the district or program office;
2. Fraud;
3. Theft;
4. Breaches of confidential information by an employee, unless inadvertent and self-reported (e.g., revealing a reporter's name, providing confidential documents to unauthorized persons, access of client files for non-business reasons, providing information from client files such as medical or benefits information, etc) immediately upon confirmation by the district;
5. Falsification of official records (e.g., intentional alteration of state documents, misrepresentation of information during an official proceeding, intentional falsification of client case records, case notes, client contact reports, visitation records, or client home visits, creating false and fictitious files, etc.);
6. Misuse of position or state property, employees, equipment or supplies for personal gain or profit (e.g., soliciting on state time and state property, conspiracy to conceal missing state property, misuse of the Internet to conduct personal business as defined by policy, etc.);
7. Failure to report known or suspected neglect or abuse of a client;
8. Improper expenditure or commitment of public funds;
9. Computer related misconduct (e.g., accessing FLORIDA, Florida Safe Families Network (FSFN) system files of clients when there is no direct business involvement with the client, accessing inappropriate or pornographic web sites, sending threatening or harassing messages; misuse of email, etc.);
10. Miscellaneous (e.g., retaliation, unauthorized weapon on state property, criminal arrest of employee, etc.);
11. Any violation under §435, F.S., Title XXXI, Employee Screening, that would result in disqualification from client contact duties (e.g., convicted of murder, manslaughter, assault and battery, kidnapping, false imprisonment, sexual battery, theft, robbery, child abuse, abuse and neglect of an elderly or disabled adult, sale of a controlled substance, resisting arrest, contributing to delinquency of a minor, or other disqualifying offense); or, any other wrongdoing that would be a violation of statute, rule, regulation or policy, etc.