NYC
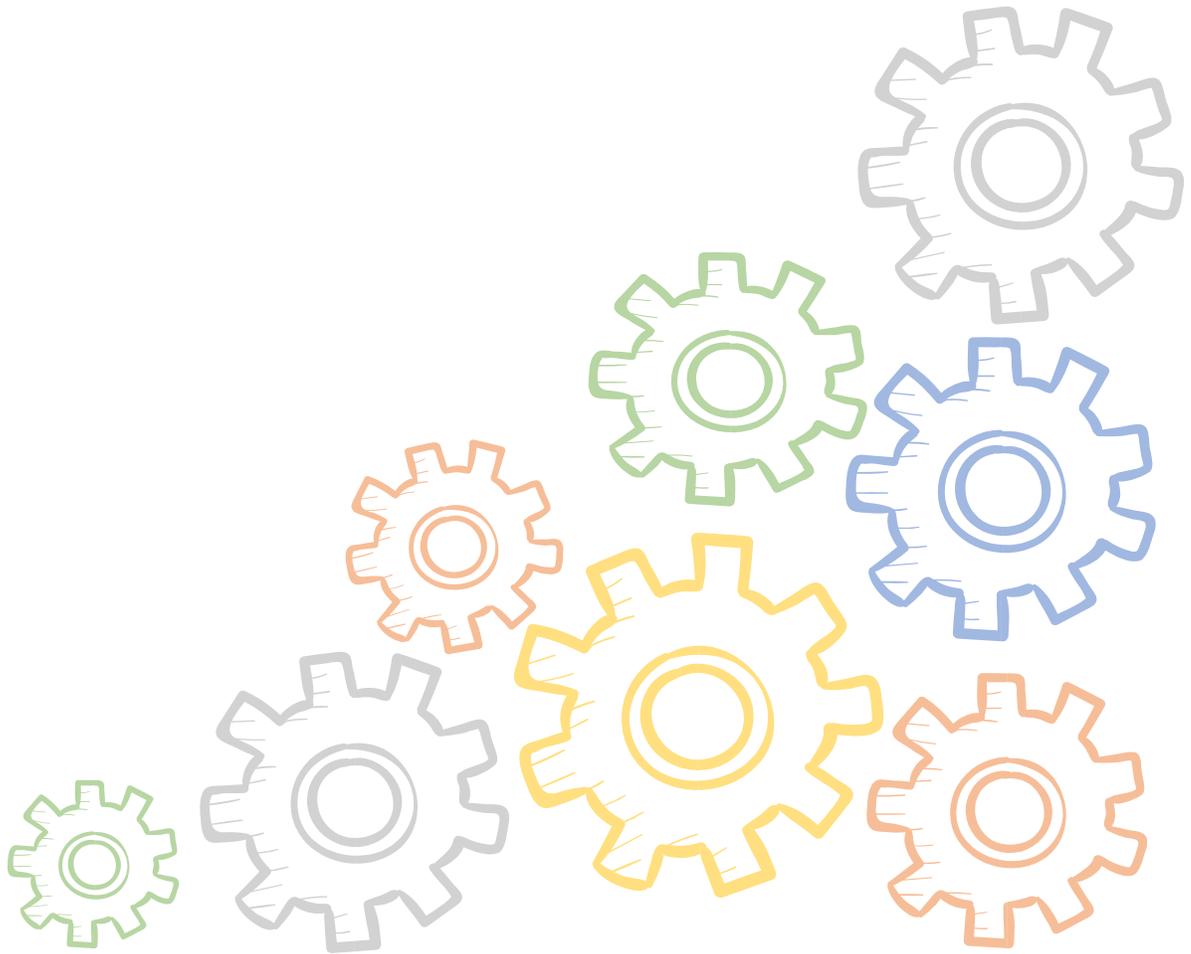
Department of Youth & Community Development

DYCD CONNECT

INCIDENT REPORTS

May 2023

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Purpose of this Guide

DYCD-funded Providers must comply with this DYCD Incident Reporting Policy and submit all Incident Reports in a timely manner through DYCD Connect, as outlined in this Guide. This Guide will provide an overview of DYCD policy and guidance around Incident Reports, including step-by-step instructions to submit Incident Reports in DYCD Connect.

Providers are required to submit all Incident Reports in DYCD Connect, *where the incidents will be reviewed and tracked by DYCD.*

DYCD Incident Reporting Policy & Guidance

What Constitutes an Incident that Must be Reported to DYCD?

DYCD-funded Providers must report to DYCD any incident which potentially impacts the health, safety, or well-being of an individual, property, and/or the operation of a DYCD-funded program, and any incident which stems from or is otherwise related to DYCD-funded programming.

Examples of Incidents that must be reported include but are not limited to the following:

a. Bodily injury (e.g., any cuts, bruises, broken ankle, torn ACL, or serious laceration, loss of consciousness), threats to an individual's well-being, self-abusive behavior, or injuries resulting from property damage, shootings, fires, and anything resulting in hospitalization.

b. Child abuse (actual and suspected), including incidents that may be sexual in nature, human trafficking, and occurrences involving inappropriate touching or breaching of personal boundaries, and inappropriate communications, including unauthorized social media activities, as outlined in DYCD's **Social Media Policy** for DYCD Providers, photos, and videos;

c. Incidents for which Emergency Medical Services and/or Police are called, and incidents which may attract media interest;

d. Lapses in the supervision of children; and

e. Any other incident which falls into the definition of Incidents in the Incident Details Section.

Note: New York State School-Age Child Care regulations require that any signs of illness including allergic reactions and anaphylaxis, communicable diseases, and injuries will be documented in a separate log maintained by the provider.

These examples are meant to illustrate common types of incidents, not to serve as a comprehensive list.

Minor occurrences need not be reported; for example, incidents typical of childhood (e.g., a scraped knee from a fall) or otherwise minor (e.g., an isolated and non-serious verbal altercation) need not be reported to DYCD.

DYCD Connect Incident Report & Communication Guidelines

Critical Incident Communication: For critical incidents, Providers must notify the DYCD Program Team of an incident <u>as soon as possible</u>, and within 24 hours, ideally via e-mail, or by phone call. Providers should have contact information for the specific DYCD staff connected to their contracts. Safety takes precedence, and notifying DYCD should not delay or otherwise interfere with responding directly to Incidents.

Critical incidents include those involving the following:

a) The New York City Police Department (NYPD), where the incident is of a serious nature.
b) Emergency Medical Services (EMS), where there may be serious injury.
c) Inappropriate conduct on the part of program staff (e.g., alleged sexual conduct with a program participant or youth at a program location, or violation of DYCD's social media Policy).

DYCD Connect Incident Report: For all incidents, Providers must submit a detailed DYCD Incident Report Form **in DYCD Connect** <u>within 72 hours (three calendar days)</u> of an Incident.

Failure to adhere to this policy may result in Corrective Action taken by DYCD.

Incident Guidance for Providers

Incident Reporting Tips:

a. Providers should work with DYCD in addressing and resolving Incidents. However, it is ultimately the Providers' responsibility to resolve Incidents.
b. Incidents must be reported to DYCD even if the employee involved is no longer working in the program.
c. If an Incident involves participants or staff in more than one program type (e.g., an SYEP participant staffing a COMPASS summer camp), all DYCD units must be notified.

This section covers the additional notifications that Providers must make in specific situations:

1. **Statewide Central Register:** In cases of actual or suspected child abuse or maltreatment by a parent or person legally responsible for a child, Providers must report such Incidents to the [New York Statewide Central Register of Child Abuse and Maltreatment](#) (SCR). Reporting to the SCR should always take precedence over reporting to DYCD. **[Get more information](#)** here about child abuse and neglect.

2. **Department of Education (DOE) Reporting:** Any Provider delivering services in a NYC Public School Building must complete a [User Organizational Incident Report Form](#) when

incidents occur, and submit it to the Principal or designated administrator and the School Safety Agent (SSA) on duty. Any Incident that happens must be reported to the school Principal or designee within 24 hours of the occurrence. Providers must immediately notify the Principal, and the School Safety Agents if one is on duty, of all health, safety, and medical incidents including, but not limited to criminal and non-criminal incidents. Please note that for programs located in DOE facilities, notification to DOE does not suffice as notification to DYCD.

3. **Department of Health and Mental Hygiene (DOHMH) Reporting:** Any Provider operating with a **NYS School-Age Child Care (SACC) registration** is required to notify their registrar when a safety, medical or criminal Incident occurs. Any Incident that happens must be reported to DOHMH within 24 hours of the occurrence.

4. **Insurance Reporting:** Providers should review their insurance policies to determine whether it is necessary to report the Incident to their insurance carrier. In addition,
   - Providers enrolled in the **City's Central Insurance Program** must also email the completed Incident Report Form to cip@dycd.nyc.gov.
   - SYEP participants are covered for Worker's Compensation via the New York City Department of Youth and Community Development. If a participant has been injured while participating in assigned work activities, the worksite supervisor must inform the Provider so the appropriate Worker's Compensation documents can be completed.

This section covers incident report records and press inquiries:

Records: Providers must maintain a record of all Incident reports and a record of actions taken to address Incidents. Such records should be maintained for at least six years after the final payment or expiration or termination of the DYCD Agreement. Such records are subject to DYCD review and audit.

Incident Report Requests: Identifying information of other participants involved in an incident must be redacted. When determining whether to share a completed DYCD Incident report with a participant's parents or representatives, Providers are encouraged to consult with DYCD.

Press Inquiries: Providers should notify their DYCD Program Team of any media inquiries related to an Incident. Providers are encouraged to coordinate with DYCD in responding to such inquiries.

How to Submit an Incident Report

Who can Submit/View an Incident Report in DYCD Connect?

Within DYCD Connect, all Provider users (Provider Administration, Program Director, and Case Manager) can submit, edit, and view Incident Reports for any program to which they have access. Make sure you are assigned as a **Team Member** to the workscope connected to your program site. Additional information is available in the **User Access Guide**.

Note: You will be able to view the report once it has been submitted. If you are facing challenges submitting or viewing an Incident Report, you may contact your DYCD Program Team.

Creating a New Incident Report

To create a new Incident Report, follow these steps:

Step 1: Log onto the Participant Tracking System/Evaluation & Monitoring System (PTS/EMS) using your DYCD Connect account from the **DYCD Connect Homepage**. Access your workscope by navigating to the 'CBO Dashboard' in PTS/EMS.

    a. Click on ⌄ next to the title of the dashboard at the top left of the page.

    b. Click on 'CBO Dashboard' from the drop-down options.

    c. Click on the Workscope Name to open your workscope.
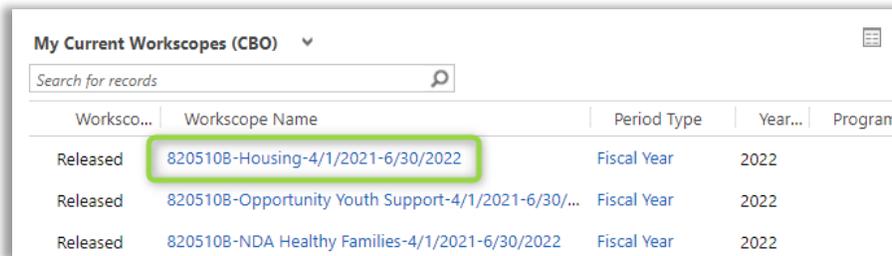
NOTE: If your workscope does not appear on the list, contact a Provider Administrator at your CBO for assistance. Additional information is available in the **User Access Guide**.

Step 2: Upon opening the workscope, you will see a navigation pane on the left side of your screen. This is called the **Workscope Switchboard**. Click on the **Evaluations** section of the workscope, then **Incident Reports.**

A table appears displaying Incident Reports submitted during the program period (e.g., fiscal year, school year).

Step 3: Click on the "**+**" sign on the right side of the table to create a new Incident Report. A new window will open.
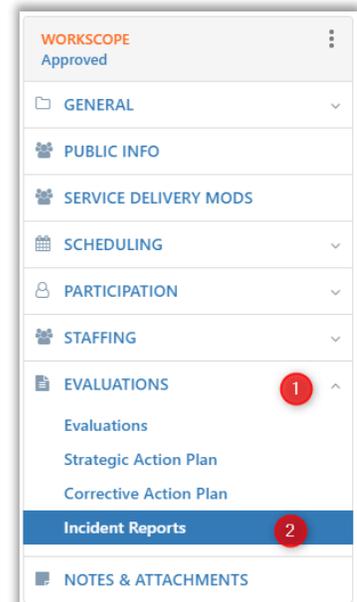
Completing an Incident Report

To submit an Incident Report to DYCD, you must complete all required fields marked with an *. Skip any fields marked with the 🔒 icon, which are either pre-populated by the system, updated upon submission, or completed based on the Program Manager's response to the Incident. You will also notice the following message at the top of the Incident Report window:

> ℹ️ Note: Grid list controls (e.g. Other Persons Involved, Services Notified...) will be available only after the form is saved.

This message lets you know you can only complete the following sections of the Incident Report after you have saved the form:

1. **Other Persons Involved in the Incident**
2. **Emergency Services Notified**
3. **Property Losses**

Take a moment to review the **Instructions** message, referenced in the section below, which provides reminders of key Incident Reporting policies.

> **INSTRUCTIONS**
>
> 1. **Timeline:** Submission of an Incident Report Form in DYCD Connect within three days of an Incident
> 2. In addition, email notification must be sent to your DYCD Program Manager as soon as possible, and within 24 hours, of an incident of a serious nature, including those involving:
>   - NYPD or other investigative units
>   - EMS, where there may be serious injury
>   - Inappropriate conduct on part of program staff, volunteers, or mentors (e.g. alleged sexual contact with a program participant or youth at program location or violation of Social Media Policy).
> 3. **Notice to Insurance Carrier:** Providers should review their insurance policies to determine whether it is necessary to report the Incident to their insurance carrier.
> 4. Any missing or additional information must be provided as soon as it becomes available. To make modifications or additions after submission, please contact DYCD Program Manager to unlock the form.
> 5. Please review DYCD's Incident Reporting Policy for further incident reporting requirements.

Incident Types Section

When completing an Incident Report, you must identify what type of incident occurred. There are eight options. Hover your mouse cursor over **Incident Type** and click on the icon [🔍] Select the option from the list that most closely fits the nature of the Incident:

Incident Type	Description	Examples
Abuse	Any Incident in which a non-participant (in the case of Workforce programs, this could be the participant) engages in inappropriate verbal, sexual, or physical contact with the potential or intent to harm a participant.	Staff member or other adult inappropriately touches a participant; allegations of parent abusing participant.
Behavior	Any inappropriate or problematic verbal or physical behavior, accidental or purposeful.	Participant reports suicidal ideations or self-harm; participant throws a sharp object at another participant or berates a staff member; participant is vaping or in possession of vaping materials.
Fighting	A verbal or physical dispute between two or more participants or individuals where all parties involved appear to be aggressors.	Participant A verbally assaults Participant B and Participant B then retaliates and hits Participant A.
Injury	Any Incident where there is a physical collision between a participant and another individual or inanimate object that has the potential to do bodily harm to a participant.	Trip and fall accidents; participant accidentally running into walls; participants colliding with one another; unintentional contact between participants in recreational activities. Includes cuts or bruises as it relates to the participant's programmatic activity.
Medical	An episode involving physical illness on the part of a participant, that is not due to collision with an individual or inanimate object.	Asthma; stomach pain; difficulty with breathing; loss of consciousness; allergic reactions; accidental swallowing of inedible objects; bee stings, heat exertion.

Supervision	An Incident in which a participant, who requires supervision, is unaccompanied by an adult.	Participant leaves the building without permission; staff leaves a participant behind on a field trip; participant runs away from home. Participant is left alone in a place of business.
Theft	Theft can be defined as an incident or intentional act in which property is taken without permission or consent.	Participant's personal property is missing. Participant takes personal property of someone else.
Other	Select this option if no pre-defined type of Incident matches your case.	Parent altercation with school staff, site closures due to uncontrolled happenings.

In addition, under the section entitled *Incident Details*, make sure to complete the following fields:

- **Incident Date & Time:** *Complete the date and time the incident occurred.*
- **Incident Location:** *Fill in the specific location of the incident (e.g., classroom, gym, worksite).*
- **Incident Occurred During Program Hours?** *Select whether or not this incident occurred when your program was in session.*

Department of Education (DOE) Site Details Section

If the incident occurred in an NYCDOE Building, select 'Yes' for the field "Is Incident at DOE Site? *"
The **School Name** field will appear.

Use the search bar to find and select the name of the school where the incident occurred. Based on the DOE school selected, the School Number field will automatically populate.

Tip: Add an *****asterisk to your search term to broaden your results.
For example, instead of searching for PS 214, search *214.

Persons Involved in Incident Section

Complete the information for the **Primary Person** involved in the Incident. This includes the person's role in the Incident (e.g., participant/client, staff, witness).

After saving the Incident Report, use the **Other Persons Involved** table to indicate all other individuals who were involved and/or witnessed the Incident. Click on the **+** icon to add one or more other persons.

In the new window that pops up, complete data entry in the required fields, then click [SAVE & CLOSE].

Incident Description Section

Use the *Incident Description* section to describe the Incident in complete detail. Use the *Follow-up Actions* section to list any actions your program has taken since the Incident occurred.

Notified Parties Section

Specify whether the parent/guardian was notified. For adult participants, you may select N/A. If the incident occurred in a DOE building, you must also indicate whether the principal was notified. Provide a justification if the principal was not notified.

If your program contacted one or more of the following services, also make sure to complete the **Services Notified** section of the report.

- Emergency Medical Services (EMS)
- Police Department (NYPD)
- Administration for Children's Services (NYC ACS)
- Statewide Central Register (SCR)
- Fire Department (FDNY)
- New York State Justice Center
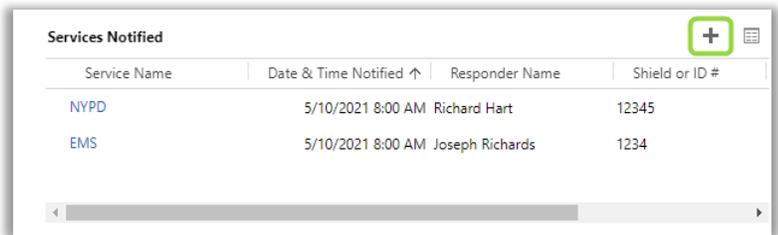
This section is only available after saving the incident report. Click on the "**+**" icon to add a service type.

A new window pops up—complete data entry in the required fields. Providers are required to collect the Responder Name and Shield or ID# when contacting these services. Click on [SAVE & CLOSE] once finished.
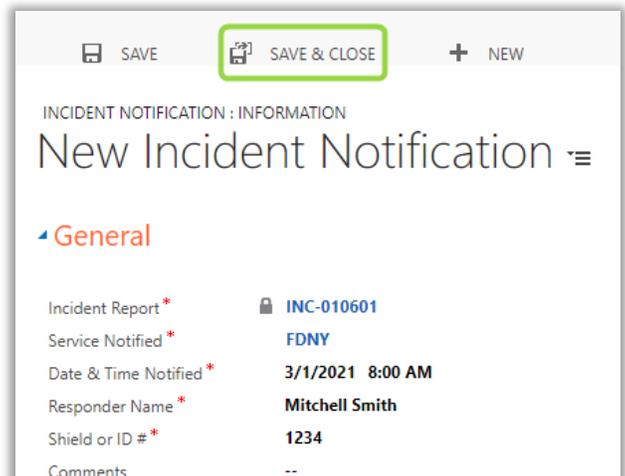
Property Losses Section

This section is only available after saving the incident report. Click on the "**+**" icon to indicate any property losses associated with the incident.
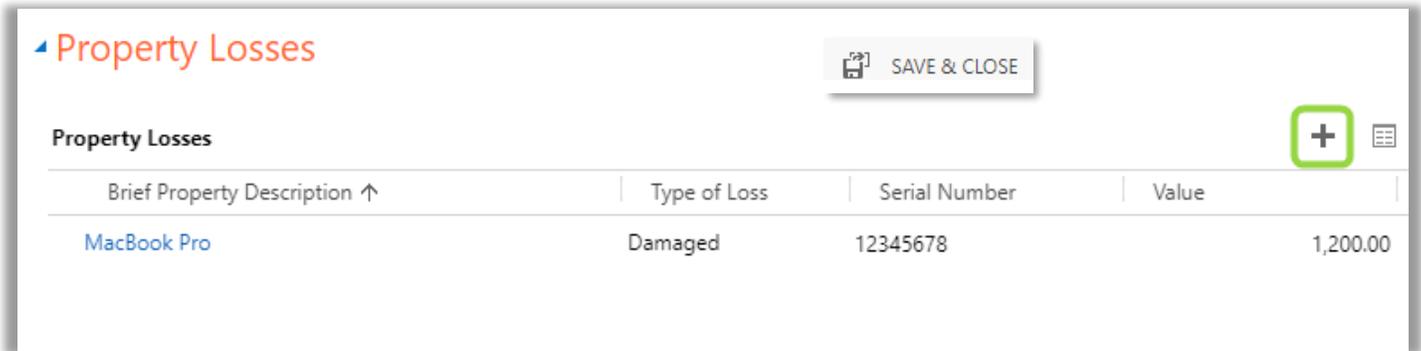
A new window pops up. Complete data entry in the required fields, including a brief property description and type of loss (e.g., damaged, stolen). Click   .
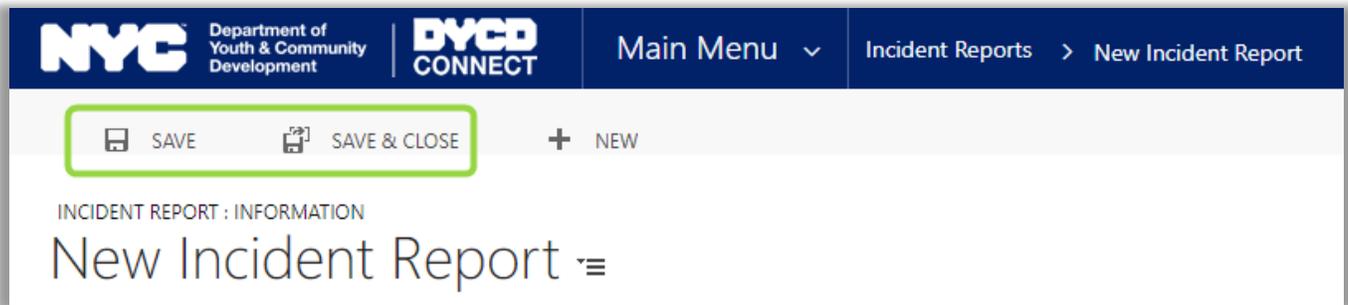
Saving the Incident Report

Once you have completed all required fields, make sure to save the Incident Report. You may also click **Save and Close** and return to the draft Incident Report later.

The system will generate a unique **Incident Code** for this report. At this stage, the Incident Report **has not been submitted** to DYCD**.**

Additional options should now be visible in the Incident Report window.

- **Deactivate –** Delete the draft Incident Report
- **Submit –** Submit the Incident Report to DYCD
- **Incident Report –** Opens a new window, allowing you to generate and print/export a copy of your Incident Report

Once you have saved the Incident Report, you can now complete the following sections:

1. **Other Persons Involved in the Incident**
2. **Emergency Services Notified**
3. **Property Losses**

Deactivating Incident Reports in Draft Status

Providers should review any draft incidents and deactivate them if they will not be submitted to DYCD. Providers may deactivate incident reports in draft status that may have been created in error.

Users will receive an email if an incident report is left in draft status and is not submitted for more than 72 hours. The reminder email will be sent to the user who created the incident report, copying the DYCD Program Manager (if assigned on the workscope). Below is the message that will be sent:

> Reminder: You have an unsubmitted DYCD Incident Report: INC-00000
>
> To: User who created Incident report
>
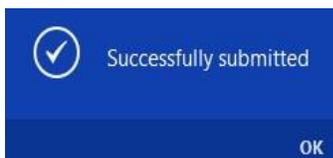> Copy: Program Manager assigned on workscope
>
> This is an alert that you have an outstanding incident report in draft status that was created more than 72 hours ago and has not been submitted to DYCD. Per DYCD's incident reporting policy, incident reports must be submitted in DYCD Connect within three days of an incident. Please login to DYCD Connect, complete the Incident report, and submit it for DYCD's review as soon as possible. If the incident report was created in error and should not be submitted to DYCD, you may go to the incident report and click the deactivate button at the top of the page.

Submitting the Incident Report

After reviewing your Incident Report and ensuring all required/optional fields are complete, the last step is to submit the Incident Report to your DYCD Program Manager. Click on the SUBMIT button at the top of the page.
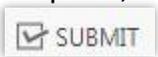
A confirmation message will appear, letting you know that you cannot modify the Incident Report after submission. Click **OK** to proceed.

> This incident report will be locked and no modifications will be allowed after submission. To make modifications or additions after submission, please contact DYCD Program Manager to unlock the form.
>
> Do you want to submit and finish now?
>
> OK   CANCEL

If the submission was successful, you will receive the following notification:

> ✓ Successfully submitted
>
> OK
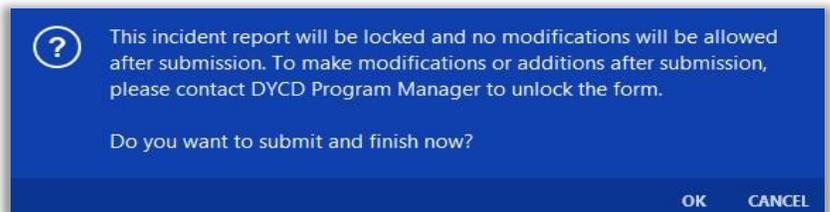
Responding to DYCD Follow-Up

After submitting the Incident Report to your DYCD Program Manager for review, a timestamp of your submission will be recorded in the Status section of the Incident Report. You can also refer to this section to see whether your DYCD Program Manager has opened the Incident Report.

If your program is not required to take any additional steps, no further action is required in DYCD Connect. However, your DYCD Program Manager may perform additional actions related to the Incident Report and/or request follow-up from your program.

See who completed the Incident Report and when.

Updates when your Program Manager unlocks, closes and/or re-opens the form

Updates when your Program Manager opens and reviews your Incident Report

Status

Report Status	🔒 Submitted
Is Critical?	🔒 Yes
Submitted By	🔒 DYCD ProviderAdmin02
Submitted On	🔒 5/20/2021 12:46 PM
Unlocked By	🔒 --
Unlocked On	🔒 --
Closed By	🔒 --
Closed on	🔒 --
Re-opened by	🔒 --
Re-opened on	🔒 --
Program Manager	🔒 DYCD ProgramManager02
DYCD Acknowledged?	🔒 Yes
Acknowledged By	🔒 DYCD ProgramManager02
Date DYCD Acknowledged	🔒 5/20/2021 12:47 PM

DYCD Program Managers may perform any of the following actions:

- **Modify the Incident Report**
- **Incident Reports Marked as Critical**
- **Corrective Action Plans (CAP) Related to Incident Reports**
- **Follow Up on an Incident Report**

These actions are explained in detail below.

Modify the Incident Report

If you need to modify a submitted Incident Report, contact your DYCD Program Manager. They will be able to unlock the Incident Report on your behalf. In DYCD Connect, the 'Report Status' field will update to 'Unlocked' to allow for edits. To resubmit the Incident Report, follow the same process to submit the Incident.

✈ Incident Reports ˅

Status will display 'unlocked'

✓	Incident Code ↑	Report Stat... ▼	Workscope	Program Area ▼	Program Type ▼
	INC-000006	Unlocked	COMPASS Elementary-9/1/2...	Compass	COMPASS Elementary

Incident Reports Marked as Critical

Depending on the severity of the Incident, your DYCD Program Manager may notify DYCD's Office of the General Counsel. In this case, your Program Manager will mark the Incident as 'Critical.' Your Program Manager will follow up with your program's key contacts if additional action or information is required. Critical incidents will display 'Yes' on the 'Is Critical?' field in the Incident Report page.


This alone does not require you to take any additional action. Your Program Manager will follow up with you if additional action or information is required.

Corrective Action Plans Related to Incident Reports

Depending on the circumstances, DYCD may initiate a Corrective Action Plan (CAP) associated with the incident. This CAP occurs outside of a typical performance evaluation schedule.
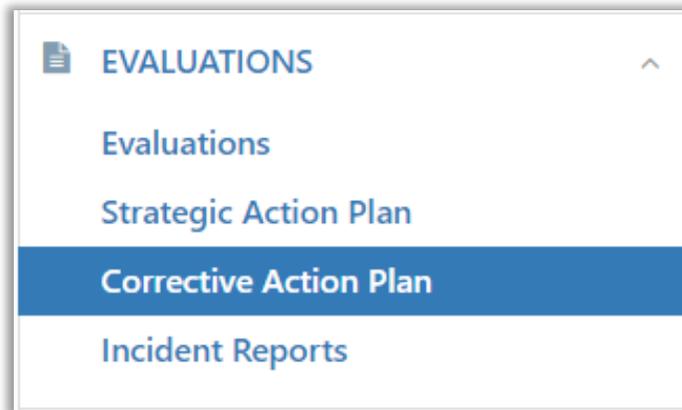
After DYCD initiates and submits the CAP to your program, it will appear in the CAP section of your workscope and related dashboards. Please refer to the EMS User Guide for more information on reviewing and responding to Corrective Action Plans. The Guide may be found in the Document Library in DYCD Connect in the Universal Documents section.

Follow-Up on an Incident Report

Following an incident, DYCD may determine that a site visit is required (e.g., to monitor progress towards resolving a major safety issue). Your program will receive an Incident Evaluation, which falls outside of the regular evaluations that occur in EMS. The evaluation will be visible in the Evaluations section of your workscope.

Print/Export an Incident Report

After you have saved the Incident Report, click on [INCIDENT REPORT] at the top of the Incident Report window. The system will generate a print preview of your incident report. You may print a copy for your records and/or export the file to your computer. The printed record should be maintained in a secure place.

DYCD Connect Help Center

If you have any questions or concerns, please submit a ticket or request help via the DYCD Connect Help Center. You may navigate to the Help Center directly from the banner at the top of DYCD Connect by clicking on the question mark as shown below.
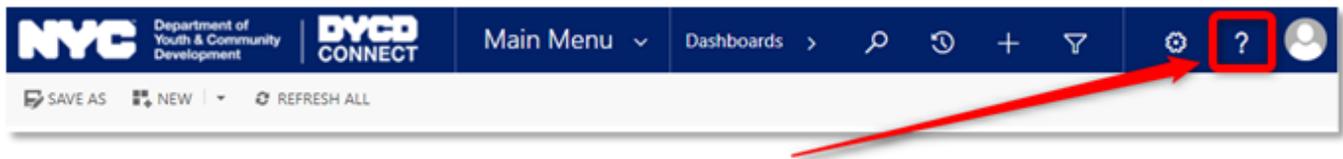
NOTE: Any questions about the Incident Reporting policy should be directed to your DYCD Program Manager or Deputy Director.

Alternatively, you may submit a ticket through the Help Center on the DYCD Connect homepage.