Head Start-State Preschool Division

GIM-1304.51(h)(1)_(8)v3

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<th>Procedure Title</th>
<th>Unusual Incident Reporting</th>
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<td>Effective Date</td>
<td>September 18, 2008</td>
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<td>Revised: July 1, 2016</td>
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<tr>
<td>Primary Regulation</td>
<td>45 CRF 1304.51(h)(1)</td>
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<tr>
<td>Other Regulation(s)</td>
<td>Performance Regulations 1304. 52 (i)(1)(i)-(iii) and (3)</td>
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<td></td>
<td>LACOE Board Policy 7360.5</td>
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<td>Community Care Licensing Title 22 - 101212(d)</td>
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<td>Attachment(s)</td>
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Introduction:

The Los Angeles County Office of Education (LACOE) requires delegate agencies and early childhood education providers (DA/ECEP) to notify the Head Start-State Preschool Division of any incidents reported to Community Care Licensing Division (CCLD), Department of Children and Family Services (DCFS), Public Health, police or sheriff’s departments, Child Care Food Program (CCFP), and other regulatory agencies. The sharing of information improves LACOE’s ability to communicate and collaborate with other regulatory agencies and address allegations of issues/incidents that may occur. It is vital that this information is provided to improve communication between LACOE and DA/ECEPs, facilitate joint problem solving, identify strategies that can prevent recurrence, and resolve issues before these become deficiencies or funding risks.

Background:

Previously identified as MT:09-10: RP-03, this grantee instructional memo (GIM) provides consistent expectations on reporting and tracking Unusual Incidents.
Per CCLD section 101212(d), agencies are required to report specific incidents to the division within one working day. Agencies must review the CCLD Manual of Policies and Procedures for specific requirements on reporting to CCLD. The following GIM refers to requirements for reporting unusual incidents to LACOE.

**Mandates:**

**Process:**

DA/ECEPs must report all unusual incidents as defined below. Please note that LACOE is required to submit reports on unusual incidents to the Office of Head Start (OHS). Untimely reporting to OHS may be considered in the case of a review. Therefore, it is critical that DA/ECEPs submit all unusual incidents to LACOE in accordance with the following timelines and processes. These procedures and timelines are in addition to, and do not replace, those set by CCLD, DCFS, CCFP, or other regulatory/reporting agencies.

1. All reports to LACOE must be made within 24 hours of the incident using the Unusual Incident Report tracking sheet.

2. The Unusual Incident Report tracking sheet, with all relevant information, must be emailed to [hs_doc_submission@lacoe.edu](mailto:hs_doc_submission@lacoe.edu) with a copy to the DA/ECEP’s assigned delegate liaison team leader, as well as the Interdisciplinary Services Team Program Manager for Education, Mental Health, and Disabilities, Shirley Murray, [murray_shirley@lacoe.edu](mailto:murray_shirley@lacoe.edu). The following supporting documents must be submitted as applicable:
   
   i. The Unusual Incident Report tracking sheet must be accompanied by the Unusual Incident/Injury Report (LIC 624), Facility Evaluation Report (LIC 809), or Notice of Site Visit (LIC 9213) as applicable.
   
   ii. For allegations of child abuse involving staff members or allegations are made while children are under the DA/ECEP’s care, the DCFS referral form provided at the conclusion of the investigation must also be submitted.
   
   iii. To ensure confidentiality of clients, names should not be included in the Unusual Incident Report tracking sheet or any forms submitted to LACOE.

3. Upon receiving the unusual incident report, LACOE staff will determine if follow-up is needed. If/when additional steps are necessary, LACOE will notify the DA/ECEP. The course of action will be discussed with the DA/ECEP’s director and/or designee. LACOE may require an investigation of the incident.
4. DA/ECEPs must submit updates of reported unusual incidents to ensure OHS compliance. For the following types of incidents, follow up must be submitted on the Incident Report Tracking Sheet weekly, at minimum, until the incident is resolved and all follow-up activities are completed:

   i. Lapses in Visual Supervision. DA/ECEPs must identify next steps for follow up and update weekly, at minimum, until all steps are completed. These may include any resulting disciplinary actions, CCLD investigations, training, changes in procedures, rearrangement of classroom or outdoor space, and/or other actions as applicable.

   ii. Violation of Personal Rights. DA/ECEPs must identify next steps for follow up and update weekly, at minimum, until all steps are completed. These include parent notification, incident investigation, any resulting disciplinary actions, CCLD investigations, training, mental health services offered, if appropriate, and/or changes in procedures.

   iii. Injuries Requiring Medical Attention. At minimum, DA/ECEPs must provide weekly follow up on the physical condition of the child and re-entry status to the classroom. If accommodations or treatment plans are necessary to return to the classroom, this must be included as follow-up activity.

Note: Reporting follow-up activities in the tracking sheet does not replace ChildPlus data entry. For any follow-up services, activities need to be documented in ChildPlus per the applicable ChildPlus manual.

**Incidents to Report:**

Incidents that **must** be reported include, but are not limited to:

1. All incidents required to be reported by CCLD Title 22- 101212 (d)(1):
   a. Death of any child from any cause.
   b. Any injury to any child that requires medical treatment.
   c. Any unusual incident or child absence that threatens the physical or emotional health or safety of any child.
   d. Any suspected physical or psychological abuse of any child.
   e. Epidemic outbreaks.
f. Poisonings.
g. Catastrophes.
h. Fires or explosions that occur in or on the premises

2. Type A violation citations by CCLD (violations that have a direct and immediate risk to the health, safety, or personal rights of those in care).

3. Type B violation citations by CCLD (violations that without correction could become an immediate risk to the health, safety, or personal rights of clients).

4. Lapses in visual supervision. (See GIM on Care and Supervision).

5. Suspected child abuse reports.

6. Allegations of personal rights violations (staff-to-child or child-to-child).

7. Any unusual incident, police, or criminal activity that threatens the physical or emotional health or safety of any child, parent, or staff, including shootings, school lockdowns, community violence, or encounters with unauthorized individuals on-site. Property damage or theft.

8. Malfunctions in utility services (water shut-off, gas leaks, power outages, etc.) that require services to children to be stopped or altered for any period of time.


10. Injuries that require medical treatment (staff, parent, or child).

11. Other medical emergency.

12. Health Department, CACFP, or other regulatory body deficiencies.

13. Child placed on modified schedule.


Examples of incidents that do not have to be reported include but are not limited to:

1. “Ouch” reports, for example, if a child trips and scrapes knees.
2. Children with established medical conditions that need treatment in the classroom, for example, needed to use inhaler for asthma, etc.

3. Natural disasters with no adverse consequences to the DA/ECEP, such as an earthquake that produced no damage.

4. If a site or program closes for a regularly scheduled event, such as staff development or a holiday.

The above-mentioned policy and procedures must be incorporated into each DA/ECEP’s reporting procedures. LACOE tracks unusual incidents to ensure staff has access to current information on incidents at DA/ECEP facilities. Incidents involving lapses in care and supervision or any type of violation of children’s personal rights by Head Start staff will be closely monitored and factored into LACOE’s risk assessment of DA/ECEPs. To prevent these incidents, DA/ECEPs must develop written procedures, train staff and parents at least annually, and conduct ongoing monitoring of classrooms to ensure policies are being adhered to. In the event incidents do occur, LACOE expects that the DA/ECEP administration will take disciplinary and corrective actions, as well as ensure program policies and procedures are in place to address them and are cross-referenced in related procedures. (See LACOE GIM – Guidelines for Ensuring Care and Supervision.)

DA/ECEPs must also ensure their board policies reflect zero tolerance for lapses in care and supervision, as required by LACOE Board Policy 7360.5.

**NOTE:** DA/ECEPs must treat care and supervision issues as unusual incidents. If a Type A licensing violation is cited subsequent to reporting the initial incident, the DA/ECEP MUST also report the Type A citation as a new incident. This includes forwarding all related documentation to LACOE.

Multiple infractions may lead to further actions as described under *Enforcement Actions* of the LACOE Contract.

**Resources:**

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