

**SUBCHAPTER b: PROGRAM AND TECHNICAL SUPPORT
PROCEDURES 331: UNUSUAL INCIDENTS**

Section	Page
331.10 Purpose	1
331.20 Definitions	1
331.30 Reporting Requirements	1
a) Who is Required to Report Unusual Incidents	1
b) Mandatory Reporting	2
c) How to Report	2
d) Multiple Unusual Incidents-Same Parties Involved	3
e) Waiver of Reporting	4
f) Confidentiality	4
g) Reporting Requirements and Timelines	5
h) After hours Reporting	8
i) Other/Additional Reporting Requirements for Specific Unusual Incidents	9
331.40 Unusual Incidents Involving Children and Youth	11
331.50 Unusual Incidents Involving Employees or Facilities	11
331.60 Criminal Behavior of Foster Parents or Relative Caregivers	11
331.70 Dispositions and Reviews	11
a) “Disposition” Defined	11
b) Disposition Required for all Parties	11
c) Responsibility for Dispositions	11
331.80 Records Retention	13
331.90 Violations of this Part	13

APPENDIX A - UIR CODES

APPENDIX B - INSTRUCTIONS FOR COMPLETING CFS 119

APPENDIX C - REQUEST TO WAIVE REPORTING UNUSUAL INCIDENTS

APPENDIX D - MORNING REPORTS AND CHRONOLOGIES

UNUSUAL INCIDENTS
October 1, 2001- PT 2001.30

This page intentionally left blank.

UNUSUAL INCIDENTS
October 1, 2001 – P.T. 2001.30

Section 331.10 Purpose

Rules 331, Unusual Incidents, require Department staff and purchase of service providers to report unusual incidents as defined by those rules.

The purposes of unusual incident reporting are to:

- 1) communicate quickly about critical incidents or circumstances that present risks to children and youth, staff and others;
- 2) alert others of events and/or actions that may be required; and
- 3) track incidents for trend analysis and to determine whether modifications are needed to improve the quality of services.

Rules 331 also require the Department to maintain a system of tracking and monitoring unusual incident reports. These Procedures describe the processing of reports in the Unusual Incident Reporting (UIR) System.

Section 331.20 Definitions

Terms used in Rules 331, Unusual Incidents, are defined in Rules 331, Section 331.20, Definitions. Further explanation of the individual types of unusual incidents to be reported and their codes are contained in [Appendix A](#) of these Procedures.

Section 331.30 Reporting Requirements

The following requirements apply to unusual incidents cited in Rule Sections 331.40, 331.50 and 331.60.

a) Who is required to report unusual incidents

- 1) Employees of DCFS
- 2) Staff of Purchase of Service (POS) Providers
- 3) Contractors
- 4) Caregivers

(Caregivers are defined as persons responsible for the day-to-day care of children and youth for whom DCFS is legally responsible. Caregivers include foster parents; administrators of group homes, child care institutions, and child welfare agencies; and relative caregivers.)

UNUSUAL INCIDENTS
October 1, 2001 – P.T. 2001.30

b) Mandatory Reporting

Child welfare workers, child care workers, managers, supervisors and administrators should not pre-screen occurrences listed in Rules 331 and [Appendix A](#) of these Procedures in a manner which interferes with or prevents filing of unusual incident reports as required by Rules 331. Reports - particularly verbal ones - should be made by the person with the most accurate first-hand information regarding the incident.

POS providers may have their own internal policies and procedures for reporting unusual incidents that occur at their facilities or sites. (For example, a POS provider might have a policy requiring reporting sexual harassment as an unusual incident. However, sexual harassment would not be reported to DCFS unless it results in litigation against the facility or program.) Only those events listed in Rules and Procedures 331 must be reported to the Department on the CFS 119, Unusual Incident Report Form, within prescribed timelines regardless of any internal reporting.

c) How To Report

Upon learning that an unusual incident involving child(ren) and youth for whom DCFS is legally responsible has occurred, persons who are required to report unusual incidents shall Immediately notify the Department by telephone, fax or other electronic means. (See Section 331.30 (b) below for a determination of to whom the report should be submitted.)

Once immediate notification is made, the reporter of the incident must complete a **CFS 119, Unusual Incident Report Form** within two working days. (A copy of the **CFS 119** is attached to these Procedures.)

(When submitting UIRs by FAX, it is recommended that the sender verify that the FAX was received by the individual designated to receive it. Similarly, if a verbal alert is made via voicemail, it is recommended that this be followed-up with direct personal contact.)

When data-entered, each unusual incident report is assigned a unique Incident Number. That Incident Number will appear in email messages and faxed copies of the report as it is distributed. That Incident Number should entered on each **CFS 119-A, Unusual Incident Disposition Form**, and any other report or correspondence related to the particular unusual incident to ensure that the documents are correctly associated with the original report.

In addition to the supervisor of the assigned child welfare worker, UIRs may be distributed to persons/units who need to be made aware of specific occurrences.

UNUSUAL INCIDENTS

October 1, 2001 – P.T. 2001.30

For example:

- An unusual incident involving a child in a foster home would result in UIRs being sent to the supervisor of the assigned child welfare worker for each child or youth placed in the home.
- A copy of a UIR involving sexually problematic behavior would be sent to the SACY Coordinator.
- A UIR indicating a fifth instance of confinement or restraint within a 30-day period would also be sent to the Deputy Director of the Division of Clinical Services.
- A UIR indicating that a foster parent or relative caregiver has been arrested or convicted of a crime must also be sent to the Office of Inspector General.

d) **Multiple Unusual Incidents-Same Parties Involved**

The **CFS 119** accommodates the recording of multiple unusual incidents arising out of the same set of circumstances. Multiple incidents involving the same persons and occurring within the same 24-hour period may be recorded on the same **CFS 119**. For example, a youth in possession of a weapon caused extensive property damage; then ran away when the damage was discovered - all within a twenty-four hour period. The **CFS 119** reporting these incidents would include incident codes, at minimum, J01 (Ward on runaway/missing); J02 (Ward in possession of a weapon); and J04 (Property damage caused by ward of \$50 or more). In completing the **CFS 119**, the reporter should check all incident codes that apply to the situation. The time of the first occurrence shall be recorded in the *Date and Time of Incident* field of the **CFS 119**; the time(s) for subsequent incident(s) are then recorded in the *Narrative of the Incident* (Part 3).

Incidents of prior child abuse or sexual abuse should be reported as soon as the caregiver learns of the occurrence – regardless of when the incident occurred or the living arrangement of the child or youth at the time. Reports of prior abuse should be clearly identified as such.

Each instance of restraint or confinement must be reported as an unusual incident. Multiple incidents of restraint or confinement of the same child or youth occurring within a 24-hour period may be recorded on the same **CFS 119**. The time of the first occurrence shall be recorded in the *Date and Time of Incident* field of the **CFS 119**; the time(s) of subsequent incident(s) are then recorded in the *Narrative of the Incident*. In addition, should the same child or youth be subject to restraint or confinement, or a combination of the two, five or more times within a 30-day period, the fifth such occurrence shall be noted as such on the **CFS 119** as an additional UIR.

UNUSUAL INCIDENTS
October 1, 2001 – P.T. 2001.30

e) Waiver of Reporting

Subsection 331.40(k) provides that the Department may waive the requirement that a **CFS 119** be submitted each time an unusual incident occurs when the incidents are the repetitive behavior of a specific child or youth (e.g. one who runs away frequently) or when the incident involves an individual treatment plan (e.g. a child or youth is placed in seclusion when certain behavior occurs). Waiver of the reporting requirement requires the expressed approval of the Department and is applied on a case-by-case basis to the particular child or youth for whom the waiver is requested and approved.

See [Appendix C](#) of these Procedures for details on requesting waivers.

f) Confidentiality

Unusual Incident Reports are subject to the provisions of Part 431, Confidentiality of Personal Information of Persons Served by the Department of Children and Family Services. Any request to review/copy a UIR shall be processed in accordance with Rules and Procedures 431.

It is expected that assigned child welfare workers will file copies of the **CFS 119** and the **CFS 119-A** in the case record of the child or youth who is the subject of the report. UIRs involving foster parents or caregivers are filed in licensing records or other records involving these caregivers. UIRs involving employees are filed in personnel records as appropriate. Part 1 of the **CFS 119** identifies each person or child care facility involved in the unusual incident. A separate Part 1 (Page 1) of the **CFS 119** must be completed for each party to the UIR. The remainder of the **CFS 119** can be duplicated for inclusion in multiple records as required **provided the names of parties are not included in Part 3 (Narrative of Incident) or those names are redacted when copies of the report are reproduced.**

In completing the **CFS 119**, the **CFS 119-A** and any related reports, children and youth for whom DCFS has no legal responsibility may be identified only by using their initials to protect their identity.

Requests to release/review UIRs shall be processed in accordance with Part 431. The person responsible for maintaining the case record or the person responding to the request for information is also responsible for redacting identifying information regarding person(s) for whom release of information has not been authorized.

UIRs involving possible litigation, licensing, staff or personnel issues may be subject to statutory and regulatory restrictions. Department staff shall consult with Regional Legal Counsel prior to responding to requests to review or copy unusual incident reports. Staff of POS providers should similarly consult with legal counsel for their program or facility prior to responding to requests for access to these reports.

UNUSUAL INCIDENTS
February 3, 2003 – P.T. 2003.04

g) Reporting Requirements and Timelines

Upon learning that an unusual incident involving children and youth for whom DCFS is legally responsible has occurred, persons who are required to report unusual incidents shall immediately notify the Department by phone, fax or by other electronic means, as follows:

1) Foster parents/relative caregivers

- Verbally alert the assigned child welfare worker of the unusual incident
- **Foster parents and relative caregivers are not expected to complete CFS 119, Unusual Incident Report Forms.** The assigned child welfare worker should discuss with the foster parent or relative caregiver those events that must be reported as unusual incidents and request that the foster parent or relative caregiver notify the assigned child welfare worker immediately should a reportable event occur. Immediacy of reporting is essential, and the foster parent or relative caregiver should be instructed to call the child welfare worker immediately rather than waiting until a scheduled visit.
- The assigned child welfare worker will
 - Complete the **CFS 119, Unusual Incident Reporting Form**, or ensure its completion within two days of the notification that an unusual incident has occurred
 - Confer with the supervisor on actions to be taken
 - Take appropriate actions or ensure that appropriate action is taken

NOTE: Each child in a foster home or home of a relative caregiver must be listed on the **CFS 119** as an involved party, and the supervisor of the assigned child welfare worker for each child will receive a copy of the UIR for disposition when the report is distributed. However, only the child welfare worker to whom the incident is reported, or the first to become aware of the incident, is required to initiate filing of an unusual incident report. If an assigned child welfare worker becomes aware of an unusual incident for which he or she has not received a UIR, that child welfare worker should initiate a report. If the report is duplicative, this will be detected and processing will continue on the first report submitted.

2) Group Home/Child Care Institution Staff (Reports involving wards/clients)

- Verbally alert the assigned DCFS or POS child welfare worker of the unusual incident
- Complete the **CFS 119, Unusual Incident Report Form**, or ensure its completion within two days of the notification that an unusual incident has occurred

UNUSUAL INCIDENTS
February 3, 2003 – P.T. 2003.04

- Forward it to the assigned child welfare worker within two days of the notifications that an unusual incident has occurred
 - Forward one copy, via Telefax, to the DCFS Office of Operations and Community Services, 312-793-7226.
 - The assigned child welfare worker will
 - Ensure that the UIR is entered into the UIR Reporting System within 5 working days of the incident
 - Confer with the supervisor on actions to be taken
 - Take appropriate actions or ensure that appropriate action is taken
- 3) Group Home, Child Care Institution, Day Care Facility (Reports with no ward/client involvement)**
- Verbally alert the appropriate DCFS Licensing Representative of the unusual incident
 - Complete the **CFS 119, Unusual Incident Report Form**, or ensure its completion within two days of the notification that an unusual incident has occurred
 - Forward the **CFS 119** to the appropriate DCFS Licensing Representative for data entry
 - The appropriate staff of the POS provider will
 - Confer with the supervisor/administrator on actions to be taken
 - Take appropriate actions or ensure that appropriate action is taken
 - The DCFS Licensing Representative will
 - Ensure that the UIR is entered into the UIR Reporting System within 5 days of the incident
 - Contact the POS provider about the report
- 4) POS Child Welfare Agency Staff (Reports involving wards/clients)**
- Verbally alert the assigned DCFS Agency Performance Monitor of the unusual incident
 - Complete the **CFS 119, Unusual Incident Report Form** or ensure its completion within two days of the notifications that an unusual incident has occurred
 - Forward it to the assigned DCFS Agency Performance Monitor for data entry
 - The assigned POS child welfare worker will
 - Confer with the supervisor on actions to be taken
 - Take appropriate actions or ensure that appropriate action is taken
 - The DCFS Agency Performance Monitor will

UNUSUAL INCIDENTS
October 1, 2001 – P.T. 2001.30

- Ensure that the UIR is entered into the UIR Reporting System within 5 working days of the incident
 - Forward a printed UIR to the supervisor of the POS staff
- 5) **In-state POS (including Child Welfare Agency, Group Home and Child Care Institution) (Reports with no ward/client involvement¹)**
- Verbally alert the appropriate Licensing Representative of the UIR
 - Complete the **CFS 119, Unusual Incident Report Form**, or ensure its completion within two days of the notifications that an unusual incident has occurred
 - forward it to the appropriate DCFS Licensing representative
 - The appropriate POS worker will
 - Confer with the supervisor on actions to be taken
 - Take appropriate actions or ensure that appropriate action is taken
 - The DCFS Licensing Representative will
 - Ensure that the UIR is entered into the UIR Reporting System within 5 working days
 - Contact the POS provider regarding the report
- 6) **DCFS managed child/client cases**
- The assigned DCFS child welfare worker will
 - Complete the **CFS 119, Unusual Incident Report Form**, or ensure its completion within two days of the notifications that an unusual incident has occurred
 - Ensure that the UIR is entered into the UIR System within 5 working days of the incident
 - Confer with the supervisor on actions to be taken
 - Take appropriate actions or ensure that appropriate action is taken
- 7) **Reports Involving DCFS Staff/Facilities (Reports with no ward/client involvement)**
- Any reporter (including DCFS or POS staff, foster parents or relative caregivers) will
 - Verbally notify the Advocacy Office for Children and Families that an unusual incident has occurred involving a staff person. The Advocacy Office can be reached at:

¹ These reports generally deal with issues that may impact licensure. Examples include but are not limited to criminal activity of foster parents/staff; robbery/burglary occurring on premises, fire/natural disaster damaged or affected facility/home; hazardous/physical condition discovered at facility; serious incident resulting in legal action by/against child care facility; threats, falsification of credentials/records; misrepresentation of services; firearms on premises.

UNUSUAL INCIDENTS
October 1, 2001 – P.T. 2001.30

Telephone: 800-232-3798
Telephone: 217-524-2029
FAX: 217-557-7278
Mailing Address: 406 East Monroe Street
Springfield, IL 62701

- The Advocacy Office will
 - Complete the **CFS 119, Unusual Incident Report Form**, if the report is received from a foster parent or relative caregiver or accept a completed **CFS 119** from anyone other than a foster parent or relative caregiver
 - Ensure that the **CFS 119** is completed within two days of the notification that an unusual incident has occurred
 - Ensure that the UIR is entered into the UIR Reporting System within 5 working days of the incident
 - Take appropriate actions or ensure that appropriate action is taken

8) Reports Involving DCFS Foster Homes (Reports with no ward/client involvement)

- Any reporter will verbally notify the appropriate regional Licensing Unit that an unusual incident has occurred involving a licensed DCFS foster home
- The Regional Licensing Unit will
 - Complete the **CFS 119, Unusual Incident Report Form**, or ensure its completion within two days of the notifications that an unusual incident has occurred
 - Ensure that the UIR is entered into the UIR System within 5 days of the incident
 - Take appropriate actions or ensure that appropriate action is taken
 - When a DCFS staff person receives a report of an unusual incident involving a child or youth to whom they are assigned, the requirement of verbal notification to the Department has been met. It is the responsibility of that DCFS staff person to complete and submit the written report (**CFS 119**) within two working days.

h) After Hours Reporting

After business hours, those incidents that are normally reported to the State Central Register shall be reported as usual. Other alerts and reporting shall be as described above on the next business day.

UNUSUAL INCIDENTS
October 1, 2001 – P.T. 2001.30

i) Other/Additional Reporting Requirements for Specific Unusual Incidents

1) Abuse or Neglect of a Ward

Reporting unusual incidents that allege child abuse of a ward or neglect of a ward to the UIR System does not relieve mandated reporters of their obligation to report the alleged child abuse or neglect to the State Central Register.

2) Death, Assault, Sexual Assault, Abduction or Kidnapping

Unusual incidents involving death, assault, sexual assault, abduction or kidnapping of a child or youth for whom the Department is legally responsible are to be reported to law enforcement authorities. If the incident occurs on the premises of a DCFS facility it must also be reported to the Office of the Inspector General (OIG) and DCFS Deputy Director of Operations and Community Services.

3) Runaway/Missing/Abducted

When it is determined that a child or youth is missing or has run away, in addition to filing the Unusual Incident Report, the assigned child welfare worker or designated person in a POS child care facility is required to make a report to local law enforcement authorities. The police report number and the date and time of the report must be included in the Narrative (Part 3) of the **CFS 119**.

If the police report number is unavailable and securing it will delay submitting the **CFS 119** beyond the 2 working day filing requirement, the narrative should indicate that the number has been requested. It shall be added to the UIR when it is received.

If the child or youth who is missing or on runaway status is either pregnant or parenting a child in their care, this should be specifically noted in the Narrative of the **CFS 119**. Also, if the young parent has taken his or her child with them, this should be included in the narrative (**regardless of whether DCFS is legally responsible for the minor's child.**)

Additionally, the assigned child welfare worker must comply with Procedures 329, Locating and Returning Missing, Runaway, and Abducted Children.

Depending upon the circumstances, serious incidents may require the completion of a Morning Report. See [Appendix D](#) of these Procedures for requirements regarding Morning Reports.

UNUSUAL INCIDENTS
October 1, 2001 – P.T. 2001.30

4) Required Notifications of Family Members

Parents, guardians, legal custodians or, (if these individuals are unavailable) the next of kin or other family member, must be notified of unusual incident reports involving death, abuse/neglect, abduction, kidnapping or unauthorized absences of more than 24 hours. In these instances Department staff will notify parents, guardians, legal custodians or other family members. When a child or youth for whom the Department is legally responsible is being cared for in a POS facility, the POS provider shall notify the next of kin or other family members of the events noted in this subsection. In the event that the persons to be notified cannot be located after diligent search, this should be noted on the **CFS 119** or **CFS 119-A**.

NOTE: if parental rights have been terminated, it is not necessary to notify the parent(s) of abuse/neglect, abduction, kidnapping or unauthorized absences. However, **it is still necessary to notify parent(s) of a child's death.**

5) Violations of Criminal Code, Theft, Destruction of Property or Weapons

Unusual incident reports, including but not limited to alleged violations of the Criminal Code of 1961, theft, destruction of state property & using or bringing a weapon onto state owned or leased property for which DCFS employees are allegedly responsible, shall be immediately reported to the DCFS Inspector General. Also, attempted bribery or an expected bribery attempt of a DCFS employee shall be immediately reported to his/her supervisor and the DCFS Inspector General.

6) Possible licensing violations

The following unusual incident reports require notification to licensing:

- A) The death of a child when service or facility-related;
- B) Accident or injury of a child requiring hospitalization;
- C) Arrest of a foster parent;
- D) Alleged commission of a felony involving any POS employee, foster parent, relative caregiver or day care provider.

UNUSUAL INCIDENTS
October 1, 2001 – P.T. 2001.30

==Section 331.40 Unusual Incidents Involving Children and Youth

==Section 331.50 Unusual Incidents Involving Employees or Facilities

==Section 331.60 Criminal Behavior of Foster Parents or Relative Caregivers

The procedures for reporting unusual incidents involving children, youth, employees, facilities, and foster parents or relative caregivers are contained in [Section 331.30](#) above. Definitions of the types of unusual incidents involving these persons and the codes used on the **CFS 119, Unusual Incident Report Form**, are contained in [Appendix A](#) of these Procedures.

Section 331.70 Dispositions and Reviews

- a) “Disposition” as defined in Rule Section 331.20 means:
- 1) activities or services have been undertaken such that risk to a child’s or other person’s health, safety or welfare have been mitigated or resolved to the point that **usual and customary** services can be provided, if appropriate;
 - 2) does not mean that the case is closed, rather it means that there is **closure with respect to the reported incident**;
 - 3) that the extraordinary circumstances reported (i.e., those beyond the customary operations, routines, relationships) have been addressed appropriately by responsible persons and recorded in a manner prescribed by the Department.
- b) All involved parties in a UIR must have a disposition that is entered onto the system. This includes every person or facility to which an involvement code has been assigned. An Unusual Incident Report will require as many dispositions as the number of parties identified as in the incident. Dispositions are to be recorded on the **CFS 119-A, Unusual Incident Disposition Form**. **A separate CFS 119-A must be completed and submitted for each party involved in the incident.**

Generally, dispositions are to be made within 30 working days of the date of the incident’s occurrence. Two types of disposition are possible. Either the immediate actions taken as contained in the narrative of Part 3 (Narrative of Incident) of the original CFS 119 were sufficient to mitigate or resolve the incident or actions or plans additional to those delineated in the narrative, Part 3, of the original CFS 119 were needed to mitigate/resolve the incident in regard to the particular party.

c) Responsibility for Dispositions

- 1) Final disposition of an unusual incident requires that a DCFS supervisor, manager or administrator, other than the original reporter, reviews the UIR and determines or agrees that the action(s) taken in response to the unusual incident are appropriate to alleviate risks to the health, safety or welfare of

UNUSUAL INCIDENTS
October 1, 2001 – P.T. 2001.30

persons involved, or that a non-case related situation has been attenuated to the extent that it is no longer extraordinary or that it has been brought to the attention of the appropriate persons for follow-up.

POS providers may submit a recommended disposition of the UIR when, in their opinion, the unusual incident has been disposed of appropriately. The recommendation shall be submitted to the person/unit to whom the original UIR was submitted on form **CFS 119-A, Unusual Incident Disposition Form**. Telephoned recommendations of disposition are unacceptable.

DCFS or POS supervisory staff or DCFS Monitoring staff are responsible for sign-off on dispositions. The person responsible for the disposition may never be the same as the reporter of the unusual incident.

- 2) **Within the 30 days** following the filing of the UIR, the person responsible for the disposition shall be:
- **For wards, clients or subjects of an investigation** – Supervisor of the assigned child welfare worker;
 - **For POS offices, facilities and staff and day care providers** – Regional Licensing Administrator;
 - **For DCFS foster homes and relative caregivers** – Regional Licensing Supervisors;
 - **For DCFS employees** – DCFS Advocacy Office Administrator; and,
 - **For Other** – as determined by the DCFS Advocacy Office on a case-by-case basis.

It is expected that most incidents will be disposed of from the UIR system **within 30 days of the initial report** by completing a **CFS 119-A, Unusual Incident Disposition Form**, for **each** of the persons or facilities assigned an involvement code on the original **CFS 119**.

The assigned child welfare worker for each child or youth identified in the original UIR as “Involved” is required to review the situation of that child or youth and provide a disposition of the unusual incident report as it relates to the child or youth for whom they are responsible.

If the foster home or relative caregiver is listed on the UIR as “Involved,” the foster home licensing representative is required to review the situation of the foster home and provide a disposition regarding the facility.

If a child welfare agency, group home or child care institution is listed as “Involved” the assigned agency and institution (A&I) licensing representative is responsible for reviewing the involvement of the facility and providing a disposition of that portion of the UIR. Day care licensing representatives are responsible for reviewing the involvement of a day care facility and providing a disposition.

UNUSUAL INCIDENTS
October 1, 2001 – P.T. 2001.30

Exceptions to the expectation that the UIR will be disposed of within 30 days are: (a) UIRs which are initially distributed with a notation that no further action is required; and (b) UIRs which result in investigation(s) by the Office of Inspector General, licensing or a law enforcement agency. When an investigation is being pursued by the Office of Inspector General, licensing or a law enforcement agency, this may be noted on the original UIR or a subsequent disposition report.

3) Disposition After 30 Days

In the event that a UIR is not disposed of within 30 days, a reminder notice will be sent to the following persons who are responsible for ensuring that a disposition of the UIR is made and reported:

- **For DCFS wards, clients or subjects of an investigation** – DCFS Field Service Manager of the assigned worker;
- **For POS wards, clients or subjects of an investigation** –DCFS Agency Performance Monitor for the assigned worker’s agency or the Gatekeeper for a residential facility;
- **For POS offices, facilities and staff** – Regional Licensing Administrator;
- **For day care facilities** - Regional Licensing Administrator
- **For DCFS foster homes, relative caregivers** – Regional Resource Manager;
- **For DCFS employees** –DCFS Advocacy Office Administrator, or as determined by DCFS Director; and,
- **For Other** – as determined by the DCFS Advocacy Office on a case-by-case basis.

==Section 331.80 Records Retention

Section 331.90 Violations of this Part

As noted in [Section 331.30](#), child welfare or child care workers, supervisors, managers and administrators should not pre-screen reports of unusual incidents in a manner which interferes with or prevents filing of reports as required by Part 331. In addition, the Department will monitor UIRs for false, frivolous or malicious reporting. Appropriate corrective action will be required where violations of Rules and Procedures 331 are identified.

UNUSUAL INCIDENTS
October 1, 2001 – P.T. 2001.30

This page intentionally left blank

UNUSUAL INCIDENTS
October 1, 2001 – P.T. 2001.30

APPENDIX A – UIR CODES

The following is a list of the codes and corresponding descriptions of events to be recorded on the **CFS 119, Unusual Incident Report Form**. In reporting an unusual incident, check as many codes as apply.

(A01) - Death, DCFS Ward

A child dies while in the legal custody or guardianship of the Department regardless of the cause of death and regardless of whether the child was supervised directly by the Department or a by a purchase of service provider.

(A02) - Death, Former Ward

A child, for whom the Department was legally responsible, dies within one year of discharge from guardianship or custody of the Department.

(A03) - Death, Non-DCFS Ward

When it becomes known that a child has died and the Department has current or prior involvement with the family, or a child has died in a licensed entity including foster home, day care center, etc. Current involvement may include a pending child abuse and neglect investigation or an open intact family service case. Prior involvement may include but is not limited to, being a subject of a previous CA/N (child abuse/neglect) investigation, or a member of a closed intact family service case.

(B01) - Sexual Abuse of a Ward

A child, for whom the Department is legally responsible, has been sexually abused by a parent or responsible caregiver, immediate family member, other person residing in the home, parent's paramour, or other person responsible for the child's welfare as defined by Department Rules 300.

(B02) - Physical Abuse of a ward

A child for whom the Department is legally responsible, has been physically abused by a parent or responsible caregiver, immediate family member, other person residing in the home, parent's paramour, or other person responsible for the child's welfare as defined by Department Rules 300.

(B03) - Sexual Assault of a Ward

A child, for whom the Department is legally responsible, has been the victim of a forceful threat and use of force in submitting to (carrying out) a sexual act by a person who is not the child's caregiver, immediate family member, other person residing in the home, parent's paramour, or other person responsible for the child's welfare. Examples include rape, attempted rape, date rape.

UNUSUAL INCIDENTS
October 1, 2001 – P.T. 2001.30

(B04) - Neglect of a ward

A child for whom the Department is legally responsible is not receiving proper or necessary nourishment, medical care or care otherwise indicated in Department Rules 300.

(B05) - Emotional/verbal abuse of a ward

Incidents where a caregiver attempts to control the behavior of a ward, through the use of fear, humiliation, and/or verbal assaults. It may also include rejection by the parent/caregiver, terrorizing the child through the use of threats, ignoring the child, or isolation of the child to the extent that it deprives him/her of opportunities to develop normal social relationships.

(C01) - Sexually Aggressive Behavior by a Ward

Sexually aggressive behavior involves sexual activity between two or more children that includes one or more of the children having “power” over the other child or children. This power imbalance may be due to age, size, position, physical and/or mental capacity, etc. Sexual aggression involves sexual activities such as fondling, frottage (bumping, touching, or rubbing against others for sexual satisfaction), and penetration. These activities may or may not cause visible physical injury or emotional harm to others. The activities involve aggression, force, coercion, or exploitation of another for the purpose of sexual gratification, power, or control. "Sexually aggressive behavior" may include the use of bribery, trickery, coercion, force, or weapons.

(C02) - Sexually Problematic Behavior by a Ward

Sexual behavior/misconduct that is not usual and expected which typically does not, but may, involve sexual contact with others. These behaviors include public masturbation, voyeurism, exhibitionism, etc. Such behaviors violate societal norms for what is generally acceptable behavior and reflects an interruption of normal sexual development.

(D01) - Accidental Injury/wound

In the case of a wound, a ward has unexpectedly received an injury in which the skin or other external surface is torn, pierced, or cut through unintentional means. An “injury” can encompass conditions such as burns, broken bones, severe sprains etc. For either of these conditions to be reportable the child must have required medical attention.

(D02) - Self-inflicted Injury/Wound

An injury or wound deliberately inflicted by the ward upon himself or herself and the condition requires medical attention.

(D03) - Ward Injured During Restraint

A physical injury sustained by a ward while being restrained by a responsible caregiver. The injury must have been incidental and occurred during the course of the restraint. Physical restraint means a behavior management technique involving the use of physical contact or force, characterized by measures such as arm or body holds to protect a child from injuring himself/herself or others. Examples of injuries that are likely to occur during restraint include, but are not limited to broken bones, bruises, bumps, strains and rug burns.

UNUSUAL INCIDENTS
October 1, 2001 – P.T. 2001.30

(E01) - Ward Refused Medication

A ward refuses to take his/her prescribed medication and failure to do so may jeopardize the health or well being of the child.

(E02) - Medication Dispensing Error by Staff

A ward has received an incorrect dosage of a prescription or non-prescription (over the counter) medication and there is risk to the child's ongoing health or well-being.

(E03) - Medical/Psychiatric Emergency

A situation where immediate medical/psychiatric intervention was required to address a medical problem or condition that threatened the child's health or well-being including a medication reaction.

“Medical emergency” means any urgent situation, including an adverse reaction to medication, requiring that a child or youth be seen by a physician on-site or transported to an urgent care clinic, doctor's office or hospital emergency room for immediate treatment of an episode which does not result in admission to a hospital.

“Psychiatric emergency” means a situation requiring crisis intervention by a psychiatrist or other mental health professional, in whatever setting, to reduce the risk of the child or youth to self or others.

(F01) - Ward Suspended from School

A ward has been temporarily barred from attending educational classes and access to school facilities or school bus. “Suspension” is usually for up to 10 school days, but may be longer for safety reasons as determined by school authorities.

(F02) - Ward Expelled from School

A ward has been barred from educational classes and the use of school facilities for up to two calendar years.

(G01) - Medical Hospitalization

An incident or episode has occurred where a ward has been admitted to a hospital for examination, observation or treatment for other than mental health reasons.

(G02) - Psychiatric Hospitalization

An incident or episode has occurred where a ward has been admitted to a hospital or psychiatric facility for examination, observation or treatment for mental health reasons.

(H01) - Ward Arrested, Charged with or Convicted of a Crime

Any situation where it becomes known to the reporter that a ward has recently been arrested, charged with committing a crime, or convicted of committing a criminal act as defined in the Illinois Criminal Code. A follow-up report is required in the event the ward is convicted.

UNUSUAL INCIDENTS
October 1, 2001 – P.T. 2001.30

(H02) - Foster Parent Suspected, Arrested or Convicted of a Crime

A foster parent or relative caregiver is currently suspected of committing a crime, or has been arrested or convicted of a criminal act as defined in the Illinois Criminal Code.

(H03) - DCFS/Purchase of service (POS) Employee Arrested, Charged with or Convicted of a Crime

A Department or purchase of service employee has been arrested, charged with or convicted of a criminal act as defined in the Illinois Criminal Code.

(I01) - Ward Put in Restraint

A situation where a ward is the subject of a behavior management technique involving the use of physical contact or force, characterized by arm or body holds to physically restrict the child or youth and to protect him/her from injuring self or others. Physical restraint may only be used as an intervention when a child is a threat of physical harm to self or others. “Restraint” or “Physical Restraint” is further defined in Rules 384 (Discipline and Behavior Management In Child Care Facilities).

(I02) - Ward Put in Confinement

“Confinement” means isolating a child or youth in a restricted area away from other children or staff as their behavior poses a threat of physical harm to themselves or to others. “Confinement” does not include restricting a child to an unlocked room in a foster home, relative home or day care home for a reasonable period of time (commonly known as “timeout”). “Confinement” is further defined in Rules 384 (Discipline and Behavior Management in Child Care Facilities).

(I03) - Ward Restrained/Confined 5 or More Times in 30 Days

See the definitions of “Ward put in restraint and ward put in confinement”. When a ward is restrained or confined 5 or more times within 30 days, an unusual incident report must be filed with the Department.

(J01) - Ward on Runaway/Missing

A responsible facility representative, caregiver or law enforcement becomes aware that the whereabouts of a ward are unknown.

“Missing” – means that a child or youth is absent from the residence of a caregiver or the premises of a child care facility without the knowledge or consent of the person(s) responsible for the child’s welfare, the whereabouts of the youth are unknown, and the intent to “runaway” has not been established.

“Runaway” means that a child or youth is absent from the residence of a caregiver or the premises of a child care facility without the consent of the person(s) responsible for the child’s or youth’s welfare, the whereabouts of the child or youth are unknown and the intent to runaway has been established. If the child or youth has left a note or other indication of intent to runaway, he or she shall be considered a “runaway” immediately.

UNUSUAL INCIDENTS
October 1, 2001 – P.T. 2001.30

(J02) - Ward in Possession of a Weapon

A ward has in his/her possession, an instrument that is capable of producing death or serious bodily injury when used for its intrinsic purpose or which has the potential to cause serious bodily injury or endanger a life because of the way it is used, the way it is attempted to be used or the force with which it is used. The term weapon includes but is not limited to firearms, knives, clubs and explosive devices.

(J03) - Ward Displays Physically Aggressive Behavior

A ward exhibits poor impulse/anger control or displays inappropriate actions of aggression toward others. The behavior of the ward presents a risk to the child or others.

(J04) - Property Damage by a Ward

An incident has occurred where actions of a ward resulted in damage to the property of others and there is potential liability claim against the Department for damages of fifty dollars or more.

(J05) - Suicide Attempt by a Ward

A ward intentionally, but unsuccessfully, attempted to take his/her own life.

(J06) - Suicide ideation / threat by a ward

A ward expresses or conveys to a caregiver or others a mental image of committing suicide.

(J07) - Suspected Alcohol or Substance Abuse by a Ward

Suspected alcohol or substance abuse means that a caregiver or others have reason to believe that a child or youth has illegally consumed alcohol; used or is using cannabis or a controlled substance (as defined by the Illinois Controlled Substance Act [720 ILCS 570]) without a physician's prescription, or is using or has used inhalants or other substances intended to have an intoxicating or hallucinogenic effect or which could result in clinical dependency.

(K01) - Robbery/Burglary Occurred on Premises

This applies to both DCFS and purchase of service facilities. Self-Explanatory

(K02) - Fire/Natural Disaster Damaged or Affected Facility/Home

Natural disaster means those situations caused by nature that are a significant threat of harm to the safety of employees or clients in either a Department or purchase of service provider facility/home. Natural disasters include tornado, flood, earthquake, and severe winter storms. Utility emergencies such as gas leaks are included in this category. To be reported as an unusual incident, customary operations, routines or relationships at the facility/home must be disrupted.

UNUSUAL INCIDENTS
October 1, 2001 – P.T. 2001.30

(K03) - Hazardous/Physical Condition Discovered at Facility

A dangerous condition exists in a child-care facility and presents a threat to the physical well being of children, staff, or other persons at the facility. This category usually pertains to the condition of the physical plant, grounds, or to materials, implements or weapons stored in or around the facility.

(K04) - Serious Incident Resulting in Legal Action By/Against Child Care Facility

Any incident involving a ward, employee of the Department or a child care facility where legal proceedings have been, or may be, initiated against the Department or a child care facility by either the ward, employee or facility.

(L01) - Kidnapping/Abduction of a Ward

A child or youth for whom the Department is legally responsible is seized and detained unlawfully by a person without the consent of either the caregiver or guardian.

(L02) - Identification of a Parenting Ward or Discovery of a Ward's Pregnancy

Parenting ward includes both females and males for whom the Department is legally responsible regardless of whether the ward's child remains in the custody of the ward.

(L03) - Media Involvement/Media Inquiry

This means any incident that could have media impact that is other than part of a planned public education or similar effort. Such incidents include, but are not limited to those which involve a child or youth for whom the Department is legally responsible, persons served by the Department, child care facilities licensed by the Department, staff of the Department or a purchase of service provider, or litigation affecting a purchase of service provider.

(L04) - Ward Victim of Assault

Situations in which threats, assaults, and/or physical contact places a ward in reasonable fear (apprehension) of receiving or actually receiving great bodily harm from another individual without legal justification; for example, being held up at knife point.

(L05) - Threats Made Against DCFS/POS Staff or Facility, Including Bomb Threats, Firearms, or Riot/Mob Action

Threat means an act that is communicated to inflict physical, emotional or any other harm to an individual or that subjects an individual to physical confinement or restraint. Riot and/or mob action refers to situations in which two or more persons are gathered with the intent to do harm to a person or persons in a Department or purchase of service provider building or property.

(L06) - Ward Involved in Accident

A child, for whom the Department is legally responsible, experiences an unexpected and undesirable event that poses a threat to the ward's physical safety and well-being. Examples include, but are not limited to, car accidents, sports accidents, falls within a facility or during a field trip.

UNUSUAL INCIDENTS
October 1, 2001 – P.T. 2001.30

(L07) - Falsification of Credentials or Records

This applies to both Department and purchase of service providers.

“Falsification of credentials” means that a job applicant or employee of the Department or a purchase of service provider submits a job application, academic records, employment record, license or certification, or similar document to establish eligibility for employment, continued employment, or determining the individual’s eligibility for an appointment, reassignment, promotion, leave or other employment decisions that falsely states the qualifications or achievements of the individual.

“Falsification of records or statements” includes an act of misrepresentation, falsification or omission of any fact, whether written or verbal. Records include, but are not limited to, client or case records, court testimony, vouchers, personnel records, and time and attendance records.

(L08) - Misrepresentation of Services or Cost of Services Provided

This applies to both Department and purchase of service providers.

“Misrepresentation of services” means that services to a person served by either the Department or a purchase of service provider are reported as having been provided when they have not been provided or that they were provided for a period or under conditions other than those reported. Such misrepresentation may occur in reports to the Department, the courts, auditors or others acting on behalf of the Department.

“Misrepresentation of the costs of services” means the actual costs to provide service are intentionally inflated to produce a larger billing or payment than one is entitled to for the services provided. “Misrepresentation of the cost of services” may include deliberately understating the cost of providing services in order to gain advantage in a competitive bidding situation.

(L09) - Violation of a Court Order

Incidents in which an order relating to a ward or Department client issued by a court, whether juvenile, criminal or civil, is violated which places the ward’s safety and well-being in jeopardy. Examples include violations of Orders of Protection prohibiting contact with wards, failure to render court ordered services, etc.

(L10) - Report Against DCFS or POS Worker Involving a Ward

Any report in which an employee of either the Department or a purchase of service provider is alleged to have put a ward's safety or well-being in jeopardy. More than likely one of the other types of unusual incidents previously described will also be deemed appropriate.

UNUSUAL INCIDENTS
October 1, 2001 – P.T. 2001.30

(L11) - Employee, other than Law Enforcement Officer, Has Firearms on Premises

This pertains to both the Department and private agency purchase of service providers. Any incident where a firearm is brought onto facility property, including parking lots (other than by a law enforcement officer) threatens the safety of employees, clients, or the general public. “Firearm” includes handgun; sawed-off shotgun; sawed-off rifle; any other firearm small enough to be concealed upon the person, briefcase, purse, state-owned or private vehicle; semiautomatic firearm; machinegun; rifle; shotgun; spring gun; and stun gun.

(L12) - Bribery or Attempted Bribery of a DCFS Employee

Any instance in which a DCFS employee accepted, is given, offered, or promised something such as money or favor to influence the employee’s judgment or conduct in the performance of official duties.

UNUSUAL INCIDENTS
October 1, 2001 – P.T. 2001.30

APPENDIX B

INSTRUCTIONS FOR COMPLETING CFS 119, UNUSUAL INCIDENT REPORT FORM

The **CFS 119** contains **Required** fields that must be completed in order to register an incident with the UIR System. It is essential that these **Required** fields be completed accurately to assure proper registration of the incident and distribution of the report to the appropriate person(s).

The **CFS 119** consists of five Parts:

- Part 1- *Persons and Facilities Involved in the Incident*

Information in this section is completed for each person or facility that experienced the unusual incident or its aftermath. Where the unusual incident involves a foster home or a relative home, the “involved” children or youth includes all wards residing in the home. A computer-generated copy of the UIR will be sent to the assigned child welfare worker for each child or youth since the event will impact each child or youth in some manner.

Each person involved in an incident must be assigned an Involvement Code. Involvement Codes are assigned by the reporter completing the **CFS 119**, and are selected from the following:

- IN** = Investigation (no service case)
- CO** = Open child case (DCFS or POS)
- CX** = Closed child case (DCFS or POS)
- FO** = Open family case (DCFS or POS)
- FX** = Closed family case (DCFS or POS)
- PL** = POS (staff, offices and facilities including foster and relative homes and day care providers)
- DL** = DCFS foster home
- ED** = Employee, DCFS
- OT** = Other (none of the above)

Name and involvement codes are required for each person or facility registered in Part 1 of the **CFS 119**. If the unusual incident involves a child or youth in a foster home or the home of a relative caregiver, each child or youth in the home must be listed separately and assigned an involvement code. The assigned child welfare worker(s) for each child or youth will receive a copy of the UIR so that they can be aware of a significant event impacting a child or youth in their caseload.

For open/closed child and family intact cases, the most recent worker and assigned agency are required fields. For children in placement, the name and address of the current location and living arrangement code are required fields.

UNUSUAL INCIDENTS

October 1, 2001 – P.T. 2001.30

To protect the confidentiality of non-ward minors, they may be identified by initials only.

If the unusual incident involves a possible violation of licensing standards or a child care facility is registered as an involved party to the incident, the Provider ID# is required. Distribution of the UIR will include licensing, and licensing will assume an active role in the review and disposition of the UIR.

Witnesses, sources of information regarding the incident or facility contacts who were not directly involved in the incident but who may be helpful in following-up on the incident are not listed in Part 1 of the **CFS 119**. Rather, such persons should be included in the Narrative of Incident (Part 3).

“Incident Occurred in” is a required field. Record the type of setting where the incident happened.

- Part 2 -Type of Incident

Listed in Part 2 of the **CFS 119** are the events that must be reported as unusual incidents. These incidents are further described in [Appendix A](#) of these Procedures. At least one of the incidents listed in Part 2 of the **CFS 119** must be checked in order to file an unusual incident report. It is not uncommon for one episode to involve multiple incident types. The reporter should check all incident types that apply to a particular situation. Where multiple incidents, or repetitions of the same incident, involving the same child or youth, occur with the same 24-hour period, a single **CFS 119** may be used to report the incidents. In such cases, the recurrences and their times should be recorded in the narrative report of the incident(s).

It should be noted that there are reports required by various Department policies that are not currently processed through the UIR System. Only those events listed in Procedures 331, [Appendix A](#) should be reported on the **CFS 119**.

- Part 3 –Narrative of Incident

Part 3 requires a narrative summary of the incident being reported. This summary should include the date and time of the incident, as well as details such as who witnessed the incident; who can provide additional details, if needed. Also, whenever the report involves a child who is missing, kidnapped or abducted, the narrative should include that a report was made to local law enforcement and include the number of that report.

NOTE: if the police report number is unavailable and securing it will delay submitting the **CFS 119** beyond the 2 working day filing requirement, the narrative should indicate that the number has been requested and then added to the UIR when it is received.

UNUSUAL INCIDENTS October 1, 2001 – P.T. 2001.30

If necessary, additional page(s) may be added to complete the narrative. It is important that the narrative accurately report the incident in as concise a manner as possible so that recipients of the report can assess the degree of risk involved and appropriate response(s) to the incident. Details not critical to report may be recorded in the case record or other reports generated as a result of the UIR.

Immediate Actions Checklist

In addition to the narrative summary of the unusual incident, Part 3 of the **CFS 119** includes a checklist of **immediate** actions taken. It is expected that upon learning of an unusual incident the recipient will act immediately to ameliorate possible risks to the health, safety or welfare of a child or youth, staff or others. The Immediate Actions Checklist captures the most common responses to unusual incidents and provides the recipients of the report a “ready-reference” to what has already been done so that they can determine what else is required to respond to the situation. Some actions, such as “ward examined or treated by medical staff” may actually dispose of the unusual incident. More often they are interim measures undertaken while more substantive actions can be determined. Certain responses require further explanation in the narrative.

- Part 4 –Reporter of Incident

It is expected that child welfare staff will make most reports to the UIR System. Foster parents and relative caregivers are expected to report unusual incidents to the assigned child welfare worker. The child welfare worker becomes the reporter of the incident. In group homes and child care institutions, facility policy may determine whether UIRs are reported by child care staff or other professional staff. The name and job title of the person making the report and the date the **CFS 119** is completed are required fields in Part 4.

- Part 5 –For POS Agency/Facility UIR Processing

This section of the **CFS 119** is for the convenience of POS providers and completion is not required on the copy of the **CFS119** submitted to the Department.

UNUSUAL INCIDENTS
October 1, 2001 – P.T. 2001.30

This page intentionally left blank.

UNUSUAL INCIDENTS
October 1, 2001 – P.T. 2001.30

APPENDIX C - REQUEST TO WAIVE REPORTING UNUSUAL INCIDENTS

Rules 331 provides for the requirement to report unusual incidents to be waived under procedures prescribed by the Department. That responsibility has been delegated to the Division of Clinical Services.

Waivers can be approved only for individual children, and not for a residential unit or program. In order to request an exception to the Department's unusual incident reporting requirements, one of the following conditions must be true:

- The child has a repetitive behavior or behaviors that require intervention, but are usual and customary for this child.
- The incident, which would otherwise be reportable, is addressed in the child's Individual Treatment Plan.

Waivers that would result in a violation of DCFS Rules 384, Discipline and Behavior Management in Child Care Facilities, the accreditation standards of the Council on Accreditation for Children and Family Services (COA), the reporting requirements of the Abused and Neglected Child Reporting Act (ANCRA), the Criminal Code, or any other state or federal regulations or standards will not be approved.

REQUESTS TO WAIVE DCFS REPORTING REQUIREMENTS

Requests to waive the Department's requirement to report unusual incidents must be completed by the clinical supervisor or clinical administrator responsible for oversight of the child's treatment. The **CFS 119-W, UIR Waiver Request Form** (attached) must be submitted to the Division of Clinical Services along with the following documents: Mental Health Assessment, Psychological Evaluation, Medical Evaluations and Reports, Individual Treatment Plan (ITP), ITP Review Summaries, along with any other clinical information that should be considered. Within five working days of receiving the UIR Waiver Request, the Division of Clinical Services will contact the submitting agency by telephone as the first step in the review process.

WAIVER REVIEW PROCESS

The Division of Clinical Services is responsible for reviewing all requests to waive the Department's reporting requirements for unusual incidents and for notifying providers of the determination that is made. Approval to waive reporting requirements is issued for a specified period of time, not to exceed six months, with higher risk behaviors subject to more frequent reviews. Providers will be informed in writing of the determination made by the Clinical Division within fourteen days of the receipt of a request to waive reporting requirements.

UNUSUAL INCIDENTS
October 1, 2001 – P.T. 2001.30

UIR Waiver requests should be submitted to:

DCFS Division of Clinical Services
James R. Thompson Center
100 W. Randolph, 6-100
Chicago, IL 60601

APPROVAL PERIOD / RENEWAL

Providers may request an extension of the approval period of a waiver by resubmitting the UIR Waiver request form and attachments. The request for extension needs to be made two weeks prior to the expiration date.

If there is a change in placement for the child or youth for whom a waiver is approved, the new placement provider must submit a new waiver request within five working days of the change in placement. If a new waiver request is not submitted within this five-day period, the new placement provider is responsible for reporting all unusual incidents in accordance with Rules 331.

UNUSUAL INCIDENTS
October 1, 2001 – P.T. 2001.30

TYPES OF UNUSUAL INCIDENT REPORTS

<p><i>Death</i></p> <p>A01 Death, DCFS ward A02 Death, former DCFS ward A03 Death, non-DCFS ward</p> <p><i>Abuse and Neglect</i></p> <p>B01 Sexual abuse of a ward B02 Physical abuse of a ward B03 Sexual assault of a ward B04 Neglect of a ward B05 Emotional/verbal abuse of a ward</p> <p><i>Sexually Aggressive Children and Youth</i></p> <p>C01 Sexually aggressive behavior by a ward C02 Sexually problematic behavior by a ward</p> <p><i>Injury</i></p> <p>D01 Accidental injury/wound requiring medical attention D02 Self inflicted injury/wound requiring medical attention D03 Ward injured during restraint</p> <p><i>Medical/Psychiatric</i></p> <p>E01 Ward refuses prescription medication E02 Medication dispensing error E03 Medical/psychiatric emergency</p>	<p><i>Education</i></p> <p>F01 Ward suspended from school F02 Ward expelled from school</p> <p><i>Hospitalization</i></p> <p>G01 Medical hospitalization G02 Psychiatric hospitalization</p> <p><i>Criminal Act</i></p> <p>H01 Ward arrested, charged with or convicted of a crime H02 Foster parent arrested, charged with or convicted of a crime H03 DCFS/POS employee arrested, charged with or convicted of a crime</p> <p><i>Behavior Management</i></p> <p>I01 Ward put in restraint I02 Ward put in confinement I03 Ward restrained/confined 5 or more times in 30 days</p> <p><i>Behavioral Issues</i></p> <p>J01 Ward on runaway/missing J02 Ward in possession of a weapon J03 Ward displays physically aggressive behavior J04 Property damage by ward of \$50 or more J05 Suicide attempt by ward J06 Suicide ideation/threat by ward J07 Suspected alcohol or substance abuse by a ward</p>	<p><i>Facility/Caregiver</i></p> <p>K01 Robbery/Burglary occurred on premises K02 Fire/Natural Disaster damaged or affected facility/home K03 Hazardous/Physical condition discovered at facility K04 Serious incident resulting in legal action by/against child care facility</p> <p><i>Other</i></p> <p>L01 Kidnapping/abduction of a ward L02 Identification of parenting ward or discovery of a ward's pregnancy L03 Media involvement/media inquiry L04 Ward victim of assault L05 Threats made against DCFS/POS staff or facility and including bomb threats, firearms or riot/mob action, etc. L06 Ward involved in an accident L07 Falsification of credentials or records L08 Misrepresentation of services or cost of services provided L09 Violation of a court order L10 Report against DCFS or POS worker involving a ward L11 Employee, other than law enforcement officer, has firearm on premises L12 Bribery or attempted bribery of a DCFS employee</p>
--	--	--

Note: Approval to waive reporting unusual incidents is limited to the incident types that appear in bold print.

UNUSUAL INCIDENTS
October 1, 2001 – P.T. 2001.30

This page intentionally left blank.

UNUSUAL INCIDENTS
October 1, 2001 – P.T. 2001.30

APPENDIX D - MORNING REPORTS AND CHRONOLOGIES

As described in this Appendix, Morning Reports are a unique means of reporting unusual incidents requiring immediate notification and response. Morning Reports are in addition to the reporting of unusual incidents via the CFS 119 as described elsewhere in Procedures 331.

A. Purpose

Critical events often occur in the course of providing services to children and families. When these events happen, appropriate Department staff must be made aware in order to react appropriately and expediently. Swift and accurate completion of the **CFS 114, Morning Report** form is imperative as it enables the appropriate Deputy Director to immediately review the situation and determine whether additional steps are needed to ensure the safety of the children, including siblings. This will also enable the appropriate Communications staff person to respond in an informative and timely manner to the news media and to other persons requesting information.

The Morning Report is a required document which triggers an immediate response to a high priority case/incident as described below and contains information available at that time. The Chronology is a more detailed, thoughtful follow-up report of DCFS involvement in the case. A Chronology should be written upon the request of the Office of Communications, the Advocacy Office for Children and Families, or other involved Executive staff.

B. Events Requiring the Completion of the CFS 114, Morning Report

The **CFS 114** must be accurately completed and distributed by DCFS or Purchase of Service agency (POS) direct service staff (others may also be required to complete a morning report) within four hours of notification of one of the following events:

- The death or serious injury of a child with current or prior DCFS involvement. “Serious Injury” means any injury that results in hospitalization.
- A case in which DCFS has received an inquiry from the news media.

UNUSUAL INCIDENTS
October 1, 2001 – P.T. 2001.30

A process has been established whereby staff can distribute this information through Outlook on their computers using a designated distribution list. In order to assure complete and consistent documentation of information, the **CFS 114** template is accessible on the SACWIS “T” drive.

Upon completion of the **CFS 114**, the form shall be attached to an e-mail distribution list called “Morning Report” through Outlook under the Global Address Book. The Morning Report distribution list is a list of individuals that includes Executive staff as well as persons identified by Executive staff that need to have access to this information. Staff of a POS agency without access to the Department’s email system must fax the **CFS 114** to the Office of the Director listed at the bottom of page 3 of the **CFS 114**. Upon receipt, the Office of the Director shall distribute the completed **CFS 114** to the appropriate individuals and Executive staff.

When an incident occurs which requires a DCFS or POS direct service worker and supervisor to complete and submit a **CFS 114**, a sequence of steps must be taken immediately. The sequence is listed below.

1) Death or Serious Injury to a Child with Current or Prior DCFS Involvement

- DCFS and POS staff, upon becoming aware of the situation, should immediately notify the State Central Register (SCR) at 1-800-252-2873 (if not originally notified of the situation by SCR) and the Office of Communications at 312/814-6847. SCR has been provided with a list of phone and pager numbers for Director’s Office staff.
- State Central Register (SCR) notifies the Director’s Office and contacts the Office of Communications to provide any additional information that may be available.
- Within four hours of becoming aware of the situation, DCFS and/or POS staff must submit the **CFS 114**. Depending on the situation, DCP will provide current and past investigative information and/or the assigned DCFS or POS child welfare staff will provide the chronological summarization of any child welfare involvement, past or current, known at that time. If not known at that time, the information will be contained in the more detailed Chronology that will follow if requested by the Office of Communications, the Advocacy Office for Children and Families, or the Executive Staff.

NOTE: The completed **CFS 114** must be attached to an e-mail distribution list through Outlook using the Global Address Book listing for “Morning Report” or faxed to the Office of the Director.

UNUSUAL INCIDENTS
October 1, 2001 – P.T. 2001.30

2) Media Inquiry

- The DCFS or POS staff member who has been contacted by the media must immediately notify the Office of Communications at 312/814-6847. If it is after business hours, the DCFS Chief of Communications must be notified. SCR has the phone and pager number for reaching this staff person.
- The Office of Communications will determine if a Morning Report needs to be submitted.
- If a Morning Report is requested, the report must be submitted within four hours of the request using the **CFS 114, Morning Report Form**. Depending on the situation, DCP provides the current and past investigative information and/or the assigned DCFS or POS child welfare staff is responsible for providing the chronological summarization of any child welfare involvement, past or current.
- The completed **CFS 114** must be attached to an e-mail distribution list through Outlook using the Global Address Book listing for “Morning Report” or faxed to the Office of the Director.

C. The CFS 114, Morning Report Form

The following information shall be included in the **CFS 114, Morning Report Form**. In an effort to avoid duplication of information, the phrase “same as above” may be used when relevant.

1) Summary

- what happened
- why this case received immediate attention
- evidence regarding the incident

2) Child Information & Protective Custody Information

- name
- date of birth
- CYCIS case ID number
- protective custody information, PC taker, date, time, etc.
- alleged cause of death or serious injury
- detailed relationship history with DCFS
- legal history

UNUSUAL INCIDENTS
October 1, 2001 – P.T. 2001.30

- list of all CANTS reports; including dates, status, allegations(s), involved person
- last known contact with the child or family by DCFS or the POS agency
- current location and status of the siblings or other children residing in the home, as well as placement information if the children are in placement
- next steps planned

3) Parent/Guardian Information

- name
- date of birth
- relationship to the child
- relationship history to DCFS
- criminal history, if any

4) Alleged Perpetrator Information

- name
- relationship to the child
- relationship history to DCFS
- criminal history, if any

5) Other Relevant Information

- others present at the time

6) Media Inquiry

- name of news source(s) that have made inquiries
- name of news person(s) that have made inquiries
- reason(s) why you may expect additional media calls

The Chronology

Chronologies, when requested, **must follow the morning report by noon of the next day.** Whereas the **CFS 114 Morning Report** form triggers an immediate response and gathering of information, the purpose of the chronology is to provide more comprehensive, relevant historical information. CERAP information, a complete summary of services provided to the family, and last contact with the family and/or child must be included in the chronology.

ILLINOIS DEPARTMENT OF CHILDREN AND FAMILY SERVICES

POLICY GUIDE 2015.12

**Unusual Incident Reporting of
DCFS involved Workplace Violence**

DATE: August 4, 2015
TO: All DCFS Employees
FROM: George H. Sheldon, Acting Director
EFFECTIVE: Immediately



I. PURPOSE

This Policy Guide is to inform DCFS employees of an additional Unusual Incident Reporting (UIR) system requirement. For the purpose of this Policy Guide, "DCFS Employees" means those employees paid directly by the Department and includes persons employed by the Department through Personal Service Contracts and employee contracts. "DCFS involved Workplace Violence" will be added as incident type code **L14**. "DCFS involved Workplace Violence" will be reported in the UIR System only when a DCFS Employee is involved. **Procedures 331, Unusual Incidents Reporting** will be revised in the near future.

II. USERS

The only users of this Policy Guide are DCFS employees as defined herein.

III. WORKPLACE VIOLENCE

"Workplace Violence" is defined as an act of verbal or physical violence, in a work setting, against a coworker, supervisor, provider, client, or member of the general public. A "work setting" is defined as any location, either permanent or temporary, where an employee performs any work-related duty.

For an incident to qualify for "DCFS involved Workplace Violence" the incident must involve a DCFS employee as a victim or perpetrator.

DCFS employees will immediately report any occurrence of Workplace Violence, as defined in this policy guide, through the current UIR system. The **CFS 119, Unusual Incident Report Form** has been updated accordingly. DCFS employees will now use **Incident Type Code L14, DCFS involved Workplace Violence** on the **CFS 119, Unusual Incident Report Form** to report "DCFS involved Workplace Violence".



IV. UIR REPORTING

Rules 331, Unusual Incidents, requires Department staff and purchase of service providers to report unusual incidents as defined by those rules in a manner prescribed by the Department in **Procedures 331, Unusual Incidents**.

- a) The purpose of unusual incident reporting is to:
 - 1) Communicate quickly about critical incidents or circumstances that present risks to children and youth, staff and others;
 - 2) Alert others of events and/or actions that may be required; and
 - 3) Track incidents for trend analysis and to determine whether modifications are needed to improve the quality of services.
- b) **Only DCFS employees** are required to report incidents of "DCFS involved Workplace Violence".

After an incident of "DCFS involved Workplace Violence", a DCFS employee must immediately notify their supervisor or administrator. Once immediate notification is made, the DCFS employee or supervisor must complete a **CFS 119, Unusual Incident Report Form**, no later than **48 hours** of the incident notification. Multiple incidents involving the same persons and occurring within the same 24-hour period may be recorded on the same **CFS 119**.

- c) UIR Disposition

"Disposition" as defined in Rule 331, Section 331.20 means: 1) activities or services have been undertaken such that risk to a child's or other person's health, safety or welfare have been mitigated or resolved to the point that usual and customary services can be provided, if appropriate; 2) does not mean that the case is closed, rather it means that there is closure with respect to the reported incident; and 3) that the extraordinary circumstances reported (i.e., those beyond the customary operations, routines, relationships) have been addressed appropriately by responsible persons and recorded in a manner prescribed by the Department.

A UIR must have a disposition completed within 14 days of the reported incident by completing a **CFS 119-A, Unusual Incident Disposition Form**. A **CFS 119-A** shall be completed on all parties listed on the **CFS 119**. The Administrator of the employee involved in the "DCFS involved Workplace Violence" shall review the **CFS 119** and consult the Office of Employee Services, Labor Relations, to help ensure that the disposition resolves the incident. The completed **CFS 119-A** shall be data entered into the DCFS UIR system by the Administrator of the employee involved in the "DCFS involved workplace violence"

Immediate notification to the Administrator's Supervisor shall occur if the **CFS 119-A** is not submitted within 14 days of the reported incident. The Administrator's Supervisor shall review the **CFS 119** and consult the Office of Employee Services, Labor Relations, to help ensure that the disposition resolves the incident. The Administrator's Supervisor shall submit the **CFS 119-A** to designated data entry staff for entry into the DCFS UIR system.

V. QUESTIONS

Questions regarding this Policy Guide may be directed to the Office of Child and Family Policy at 217-524-1983 or via Outlook at "OCFP – Mailbox". Non Outlook users may e-mail questions to cfpolicy@idcfs.state.il.us.

VI. FILING INSTRUCTIONS

File this Policy Guide immediately following **Procedures 331, Unusual Incidents**.

VII. REVISED FORMS

CFS 119, Unusual Incident Report Form

This form can be accessed on the DCFS Website and the T-Drive.

This page is intentionally left blank.

DEPARTMENT OF CHILDREN AND FAMILY SERVICES

Policy Guide 2014.17

Unusual Incident Reporting

DATE: December 12, 2014

TO: All DCFS and Private Agency Child Welfare Staff and Supervisors, Purchase of Service Providers, Child Care Facilities, and Contractors

FROM: Bobbie Gregg, Acting Director *Bobbie Gregg*

EFFECTIVE: Immediately

I. PURPOSE

The purpose of this Policy Guide is to inform staff and providers of revised requirements to the Unusual Incident Reporting (UIR) system and to add a new Human Trafficking code. This policy guide is to remind staff and providers of the requirement to report, who has to report, and when to report unusual incidents regarding a child the Department is legally responsible for. This guide also informs workers of what Human Trafficking is and how to report it. The UIR Procedures will be revised in the near future.

II. PRIMARY USERS

Primary users of this Policy Guide are DCFS and Private Agency Child Welfare Staff and Supervisors, Purchase of Service Providers, Child Care Facilities, Contractors, and Caregivers.

III. UIR REPORTING

Rules 331, Unusual Incidents, requires employees of the Department, Purchase of Service providers and child care facilities to report unusual incidents as defined by those rules in a manner prescribed by the Department in **Procedures 331, Unusual Incidents**. Additionally, caregivers of children for whom the Department is legally responsible are required to immediately report unusual incidents to the Department or POS caseworker assigned to the children.

- a) The purposes of unusual incident reporting are to:
 - 1) Communicate quickly about critical incidents or circumstances that present risks to children and youth, staff and others;
 - 2) Alert others of events and/or actions that may be required; and



- 3) Track incidents for trend analysis and to determine whether modifications are needed to improve the quality of services.
- b) Who is required to report:
- 1) Employees of DCFS
 - 2) Staff of Purchase of Service (POS) Providers
 - 3) Contractors
 - 4) Caregivers (Caregivers are defined as persons responsible for the day-to-day care of children and youth for whom DCFS is legally responsible. Caregivers include foster parents; administrators of group homes, child care institutions, and child welfare agencies; and relative caregivers.)

Upon learning that an unusual incident involving child(ren) and youth for whom DCFS is legally responsible has occurred, persons who are required to report unusual incidents shall immediately notify the Department by telephone, fax or other electronic means. Once immediate notification is made, the reporter of the incident must complete a **CFS 119, Unusual Incident Report Form** no later than **48 hours** of the incident notification. Multiple incidents involving the same persons and occurring within the same 24-hour period may be recorded on the same **CFS 119**.

Note: Foster parents and relative caregivers are not expected to complete the **CFS 119, Unusual Incident Report Forms**. The assigned Permanency Worker should discuss with the foster parent or relative caregiver those events that must be reported as unusual incidents and request that the foster parent or relative caregiver notify the assigned Permanency Worker immediately should a reportable event occur.

c) UIR Disposition

“Disposition” as defined in Rule Section 331.20 means: 1) activities or services have been undertaken such that risk to a child’s or other person’s health, safety or welfare have been mitigated or resolved to the point that **usual and customary** services can be provided, if appropriate; 2) does not mean that the case is closed, rather it means that there is **closure with respect to the reported incident**; 3) that the extraordinary circumstances reported (i.e., those beyond the customary operations, routines, relationships) have been addressed appropriately by responsible persons and recorded in a manner prescribed by the Department.

All involved parties in a UIR must have a disposition achieved within **14 days** of the reported incident. All completed **CFS 119-A** forms must be data entered into the DCFS UIR system. If disposition is not submitted within 14 days of the reported incident immediate notification to the Area Administrator must occur. The Area Administrator must review Unusual Incident Report with the assigned Permanency Worker and Supervisor.

DCFS staff should submit the **CFS119-A** to designated data entry staff for entry into the DCFS UIR system. POS agencies submit the **CFS119-A** to the Agency Monitoring unit for entry into the DCFS UIR system. Residential providers should submit the **CFS 119-A** to the supervisor of the ward's Permanency Worker for entry into the DCFS UIR system.

A copy of the **CFS 119-A** must be filed in the appropriate case file along with the original **CFS 119, Unusual Incident Report Form**.

IV. HUMAN TRAFFICKING

Federal law defines severe forms of trafficking of persons as: sex trafficking in which a commercial sex act is induced by force, fraud, or coercion, or in which the person induced to perform such act has not attained 18 years of age; or the recruitment, harboring, transportation, provision, or obtaining of a person for labor or services through the use of force, fraud, or coercion for the purpose of subjection to involuntary servitude, peonage, debt bondage or slavery. (22 USC 7102(8))

Workers will immediately report any occurrence of human trafficking through the current UIR system. The **CFS 119, Unusual Incident Report Form** has been updated accordingly. Workers will now use code L13 on the **CFS 119, Unusual Incident Report Form** to report Human Trafficking.

V. QUESTIONS

Questions regarding this Policy Guide may be directed to the Office of Child and Family Policy at 217-524-1983 or via Outlook at OCFP – Mailbox. Non Outlook users may e-mail questions to cfpolicy@idcfs.state.il.us.

VI. FILING INSTRUCTIONS

File this Policy Guide immediately following **Procedures 331, Unusual Incidents**.

VII. ATTACHMENTS

CFS 119, Unusual Incident Report Form
CFS 119-A, Unusual Incident Disposition Form

This page intentionally left blank

DEPARTMENT OF CHILDREN AND FAMILY SERVICES

Distribution: X & Z

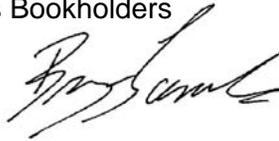
POLICY GUIDE 2003.09

**LOCAL LAW ENFORCEMENT INTERVENTIONS
WITH WARDS IN RESIDENTIAL CARE**

RELEASE DATE: August 12, 2003

TO: DCFS and Purchase of Service Staff of Residential Facilities and Rules
and Procedures Bookholders

FROM: Bryan Samuels



EFFECTIVE DATE: Immediately

I. PURPOSE

The purpose of this procedure is to establish guidelines to be used by Department and Purchase of Service (POS) staff of Institutions and Group Homes when calling local law enforcement regarding a DCFS ward.

II. PHILOSOPHY

Defining circumstances in which the use of local law enforcement intervention is appropriate with wards is essential to help ensure that the results of the intervention are positive for the ward. Inappropriate use of law enforcement will not yield positive results, and in some situations may prove to be harmful to wards, as well as cause negative attitudes within law enforcement. All youth deserve consistent consequences for their behavior in an effort to guide them toward patterns of healthy, appropriate behaviors. It is important to understand that residential treatment programs work with seriously emotionally disturbed clients who can often be violent. There is a potential for employees working in these facilities to get hurt in the course of their work.

III. MISSING, RUNAWAY AND ABDUCTED CHILDREN

Guidelines for utilization of local law enforcement are in Procedures 329, Locating and Returning Missing, Runaway and Abducted Children.

IV. DEPARTMENT NOTIFICATION OF LOCAL LAW ENFORCEMENT INTERVENTION

Whenever it is necessary to seek local law enforcement intervention regarding a ward, residential staff shall immediately notify the Department by:



- completing an Unusual Incident Report in accordance with Procedures 331, Unusual Incidents; and

- making a verbal report to the Office of the DCFS Guardian (312/814-8600) immediately or, if after hours, on the next business day.

V. MANDATORY USE OF LOCAL LAW ENFORCEMENT INTERVENTION WITH A WARD

Local law enforcement authorities must always be called in the following circumstances:

- There is immediate danger of serious bodily injury or death of an individual. “Serious” means grave in quality, character, or manner.
- Evidence or allegations of sexual misconduct of a ward or staff member
- Motor vehicle theft
- Discovery of:
 - Firearm or firearm ammunition - See Administrative Procedure #18, Possession of Firearms and Firearm Ammunition by a DCFS Ward.
 - Explosives – Immediately evacuate the area. Do not handle the material.

VI. DISCRETIONARY USE OF LOCAL LAW ENFORCEMENT INTERVENTION WITH A WARD

Local law enforcement authorities may be called in the following situations:

- To request immediate help in a dangerous situation to maintain safety for all residents
- Physical aggression toward others that is not provoked and results in an injury to the victim
- A documented individualized pattern of aggression that is not responsive to conventional behavior management techniques
- Use of an offensive or defensive combat instrument other than firearms in the context of an aggressive act that results in an injury requiring medical attention
- If a program confiscates contraband substances from a ward
- Firesetting

VII. SUPERVISORY APPROVAL

Supervisory approval is required for all non-immediate police interventions. It is important to remember that many situations do not require an immediate call to the police. The supervisor will determine whether police intervention is warranted within 24 hours of being notified of the incident.

Supervisors should consider the following criteria as part of their decision making process:

- The ward’s history
- The ward’s intent
- The ward’s individual treatment plan

- The ward's caseworker's perspective
- The probation officer/parole officer's perspective
- The seriousness of the incident
- The victim's desire regarding law enforcement intervention
- The existence of peer juries and other alternative programs

VIII. RESTRICTIONS ON THE USE OF LOCAL LAW ENFORCEMENT

Local law enforcement intervention shall never be used:

- As a form of discipline
- When the act of aggression is displayed in the context of a physical intervention, e.g. restraint or seclusion
- As an alternative to seclusion or physical intervention
- For a non-emergency situation to control the environment

IX. LIMITATION OF THIS POLICY GUIDE

Nothing in this Policy Guide shall limit the right of a victim to call the police.

X. QUESTIONS

Questions regarding this Policy Guide should be directed to the Office of Child and Family Policy at 217/524-1983.

XI. FILING INSTRUCTIONS

File this Policy Guide directly behind Procedures 331, Unusual Incidents, in your policy manual.

This page intentionally left blank.