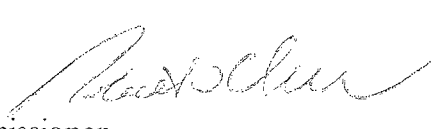


NEW YORK CITY
DEPARTMENT OF HOMELESS SERVICES

PROCEDURE NO. 08-003

(Replaces Procedure 03 - 003)

Subject	Applicable To	Effective Date
Criteria for Reporting Incidents	All DHS Directly Operated or Funded Facilities/Programs Serving Homeless Individuals and Families	October 9, 2007

Administered By	Approved By
Commissioner First Deputy Commissioner Chief of Staff Deputy Commissioners for Administration, Adult Services, Family Services, FMD, and Security Associate Commissioner for Operations, Adults Services and Family Services Program Administrators	 Commissioner

PURPOSE

The timely and accurate communication of incidents and emergencies affecting Department clients, staff, and guests is essential to maintaining a safe and healthy environment. The purpose of this policy directive is to establish uniform criteria and formats for reporting incidents occurring in any Department of Homeless Services (DHS) directly operated or funded shelter facility or program serving homeless individuals or families.

INTRODUCTION

The Department of Homeless Services is responsible for maintaining records for and reporting on incidents involving residents of DHS facilities in accordance with all applicable provisions of Title 18, including Parts 491.8(f) (6), (7) and (8), and 900.11(a) (5) and (6) of the New York State Codes, Rules and Regulations. This policy sets uniform criteria for what is reported as well as when and how reports are made and distributed.

DEFINITIONS

The following are definitions relating to the incident reporting procedure.

Priority One Incidents are the most serious and urgent. Priority One incidents include:

- Homicide, suicide, or death on site
- Attempted homicide, attempted suicide, assault resulting in life-threatening injury, or accident resulting in life-threatening injury (including drug overdose)

- Use of a firearm
- Rape, attempted rape, or sexual assault
- Arrest for alleged child abuse or emergency transport of child for medical treatment due to suspected child abuse
- Fire, disaster, or other environmental concern that involves a life-threatening injury or the evacuation of an entire site as directed by emergency personnel or FDNY response
- Riot, bomb threat, hostage taking/abduction, or missing children
- Unscheduled on-site presence of the press or elected official
- Assault or threatening behavior that results in life-threatening injury or accident resulting in life-threatening injury (including overdoes)
- Arrest of DHS staff on site
- Heating, water, electrical failure, or other environmental issue (i.e. asbestos, lead, radon), that is expected to last more than 4 hours

Priority Two Incidents include problems that are not immediately life-threatening or dangerous, but still must be reported promptly, so that agency administrators are informed of the incident and can resolve the matter within appropriate time frames:

- Physical fights that do not result in arrest
- Allegations of: rape, attempted rape or sexual assault that do not result in arrest
- Arrest of a client, staff, or visitor for criminal activity occurring in the facility, including harassment, intimidation or victimization (i.e. stealing, extortion, loan sharking)
- Incidents that occur off shelter premises (including client deaths) and/or involve persons known to be current shelter clients and that would otherwise be classified as Priority One
- Child abuse that is reported and results in the removal of children by ACS, but no arrests are made
- Theft or vandalism of property valued at \$1500 or more
- Domestic violence that results in the victim pressing charges, arrest of the assailant and/or the relocation of the victim
- Intentional fire setting or damage to facility equipment by a client
- Possession, use, or sale of drugs or alcohol on premises resulting in suspension of a client
- Possession of a firearm

Priority Three Incidents include unusual occurrences that need to be recorded and reviewed for possible corrective action:

- On-site incidents that are not classified as Priority One or Priority Two, but occur in the shelter involving clients, staff, visitors or property, including: thefts, physical fights, personal injury, minor property damage, and/or evacuations
- Off-site incidents involving clients and/or staff that affect community quality of life, including: thefts, physical fights, personal injury, minor property damage, and/or evacuations
- Removal, via EMS, of any client for any reason other than a Priority One or Priority Two event

Special Cases:

- If NYPD, FDNY or EMS has been called, and is not responding within a reasonable time, immediate notification must be made to at least the appropriate Associate Commissioner for guidance and assistance.

- In confirmed or suspected cases of contagious disease (i.e. chickenpox, Hepatitis A, tuberculosis, measles, meningitis), the Associate Commissioner must alert the Agency Medical Director immediately.

E-mail Alert, an alert will be sent out by the 24-hour desk (Ops Desk) in the event of a Priority One event. The E-mail Alert should include the following information.

- Division
- Incident Type
- Facility and address
- Borough
- Reported by (staff member making the report to Ops Desk)
- Call back number for staff person
- Description of Incident
- Actions Taken
- Emergency Responders
- Current Status

Contact Tree: Commissioner, First Deputy Commissioner, Executive Deputy Commissioner, Chief of Staff, Deputy Commissioner(s), Director of Communications, Associate Commissioner(s), Assistant Commissioner of Security, Agency Medical Director, any other relevant senior staff (e.g. FMD)

Incident Report: *Appendix A*

Quick Guide: *Appendix B*

REPORTING/COMMUNICATION PROCESS

All DHS and funded agency staff and security are responsible at all times for reporting all incidents to the appropriate Shift Supervisor or Program Director. The reporting process for any incident is dependent on the incident's priority categorization.

Priority One Reporting Process:

- DHS and funded agency staff must call the DHS Program Administrator within 30 minutes of becoming aware of a Priority One incident.
- DHS Program Administrator will decide whether or the incident is appropriately categorized.
- DHS Program Administrator must contact the DHS Ops Desk to apprise staff of incidents within the timeframe outlined in the Quick Guide in *Appendix B*.
- DHS Ops Desk staff will call the Associate Commissioner, if appropriate. The Associate Commissioner will determine if it is appropriate to contact the Deputy Commissioner.
- DHS Program Administrator shall periodically update the Ops Desk, as necessary. Within 30 minutes of receipt of an update from the Program Administrator the Ops Desk staff will send an updating email to the contact list.
- DHS and funded agency staff must fax or email the completed incident report to the DHS Program Administrator within 24 hours of the incident.

- Designated DHS Program or facility staff will enter all incident reports into the IR Database within 48 hours of receiving it by fax or email.
- DHS Program Administrator will send copies of the Incident Report, along with copies of the original e-mail alert, to the DHS Ops Desk, within 72 hours of the of the initial Priority One notification being issued.

Priority Two and Priority Three Reporting Process:

- DHS and funded agency staff must fax or email Priority Two and Three Incident Reports to the DHS Program Administrator within 24 hours of the incident occurring.
- DHS Program Administrator will decide if incident is appropriately categorized as a Priority Two or Priority Three.
- DHS Program Administrator shall notify the Associate Commissioner within 24 hours of receiving notice of the incident, if appropriate and the Associate Commissioner will use their own discretion on whether to call Deputy Commissioner or other appropriate staff.
- The Associate Commissioner will ensure that incident reports are entered into IR Database within 48 hours of receiving notice of the incident, and will notify the Ops Desk of the incident.

ROLES/RESPONSIBILITIES

DHS staff and funded agency staff are responsible for reporting incidents that occur a) within and in the immediate vicinity (on the grounds) of the facility, and b) off-site when staff or clients are involved.

Program Administrators are responsible for monitoring the reporting process. They will assign follow-up as necessary and ensure that corrective action plans are developed and implemented. Program Administrators will ensure that facilities under their purview have taken the following appropriate actions:

- *Log Recording:* All incidents should be noted in the facility logbook, pursuant to the Log Recording Procedure, where applicable.
- *Case Recording:* Case notes and copies of IR-1's must be placed in the files of clients involved in incidents.
- *M-100* must be filed in the case of all thefts of Department property from Department facilities.
- *Suspension of Services:* For Adult Shelter clients, all necessary approvals have been obtained and the suspension has been entered into SCIMS.
- *Reporting to OTDA:* OTDA notification must be made in accordance with governing regulations. (State notifications will be reviewed by the Associate Commissioner/Chief of Staff monthly.)

Program Administrators should be the primary communicator with the Ops Desk. Program Analysts and field staff should not contact the Ops Desk directly.

DHS Ops Desk staff will maintain an incident file for each shelter. The Ops Desk will ensure that all notices are correct, Incident Reports are entered into the database, and will work with the Program Administrator to ensure corrections or updates are made in a timely manner.

CONFIDENTIALITY

Information about client-related incidents is governed by DHS rules of confidentiality and may only be discussed/released with a written release of information from the client and/or the approval of DHS Legal. All requests and approvals for release of information (other than media) will be channeled through DHS Legal. All inquiries from the media will be forwarded by the Associate Commissioner to the Director of Communications. All inquiries from elected officials and/or advocates will be forwarded to the Assistant Commissioner of Government and Community Relations. Under no circumstances is any information to be released by any DHS or funded agency staff without authorization from the Legal Division or the Director of Communications.

MISCELLANEOUS

Questions concerning this Directive should be directed to the Chief of Staff.

NYC DEPARTMENT OF HOMELESS SERVICES INCIDENT REPORT

PRIORITY CODE: ☐ 1 ☐ 2 ☐ 3

DIVISION: ☐ Adults ☐ Families ☐ Adult Families

Date: _____ Day of Week: _____ Time: _____

Facility Name: _____ Facility Code: _____ Type of Incident: _____

PERSONS INVOLVED: V=Visitor S=Staff C=Client V=Victim W=Witness O= Other

V-S-C	V-W-O	Last Name	First Name	Sex	HA/ADC #	SSN	Age	DOB

BRIEF DESCRIPTION OF INCIDENT: (Who, what, where, when) Attach additional sheets if necessary

IMMEDIATE ACTION TAKEN: (By on-site staff responding to the incident)

EMERGENCY RESPONDERS: (NYPD - DHSPD - EMS – FDNY- ACS) List all that apply

Responder	Time Called	Time Arrived	Name	Badge	Unit	Comments

INJURIES:

Name	Type of Injury	Removed to Hospital <input type="checkbox"/> Yes <input type="checkbox"/> No	Hospital

CLIENT STATUS:

Name	Suspended/Sanctioned	# of Days	Date	Transferred	To

TO: _____ FAX #: _____ FROM: _____ PHONE #: _____

This facsimile transmission may contain confidential or privileged information which is only for use by the individual or entity to which the transmission is addressed. If you are not the intended recipient, you are hereby notified that any disclosure, dissemination, copying or distribution of this transmission is in error. Please notify us by telephone immediately so that we can arrange for the return of the document. *Form DHS-1 Revised December 2006*

RESIDENT STATEMENT ATTACHED, WHEN APPLICABLE.

☐ Resident statement attached.

☐ Resident declined to comment.

☐ Other _____

Report Prepared By/Signature: _____ Title: _____ Date: _____

Report Reviewed By/Signature: _____ Title: _____ Date: _____

☐ Security/Peace Officer Report Attached

REVIEW/RECOMMENDATION: *To be completed by DHS Staff*

INDICATORS: *To Be Completed by DHS Staff*

<input type="checkbox"/> ACS	<input type="checkbox"/> Arrest	<input type="checkbox"/> Bomb	<input type="checkbox"/> Child	<input type="checkbox"/> Death	<input type="checkbox"/> DV
<input type="checkbox"/> Drugs	<input type="checkbox"/> Fire				
<input type="checkbox"/> Firearm	<input type="checkbox"/> Medical	<input type="checkbox"/> Violence	<input type="checkbox"/> Sexual	<input type="checkbox"/> Staff	<input type="checkbox"/> Theft

Signature of DHS Program Analyst

Date: _____

DISPOSITION/FINAL ACTION TAKEN: *To Be Completed by DHS Program Administrator*

Signature of DHS Program Administrator

Date: _____

DATE REPORT RETURNED TO FACILITY (CLIENT SUSPENSIONS ONLY): _____

TO: _____ FAX #: _____ FROM: _____ PHONE #: _____
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- Child abuse that is reported and results in the removal of children by ACS, but no arrests are made
- Fire, disaster, or other environmental concern that involves a life-threatening injury or the evacuation of an entire site as directed by emergency personnel
- Riot, bomb threat, hostage taking/abduction, or missing children
- Unscheduled on-site presence of the press or elected official

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- Fires, which result in an FDNY response, that may involve injury, extensive property damage, or relocation of clients.
- Assault or threatening behavior that does not result in life-threatening injury, but has resulted in a suspension of the client (Adult System) and/or transfer of the client (Adult and Family Systems)
- Physical fights that do not result in arrest
- Allegations of: rape, attempted rape or sexual assault that do not result in arrest
- Domestic violence that results in the victim pressing charges, arrest of the assailant and/or the relocation of the victim
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