

Incidents and Findings Notification Procedure

Purpose

Directly taken from HS/ECEAP Standards, contract, or guidance Discussion points/researching options

This procedure provides information regarding why, when and how to report incidents and findings to PSESD.

Guidance

PSESD places the highest priority on the safety and security of all program participants and operations. Reporting is required from our funders for: [significant incidents affecting the health and safety of program participants](#), [circumstances affecting the financial viability of the program](#), [breaches of personally identifiable information](#), and [program involvement in legal proceedings](#). The list below is not a definitive list due to the varying characteristics of each situation. When unsure about whether to report, notify PSESD.

Standards of Conduct

PSESD's Early Learning program has three Standards of Conduct Policies: Child Abuse and Neglect, Active Supervision, and Confidentiality. [These policies outline expectations of staff behavior and list prohibited actions that endanger the health and safety of program participants](#). These Standards of Conduct must be followed at all times, and failure to follow them is reportable under the Reporting Policy. [For violations of Standards of Conduct in relationship to a reported incident, refer to the Personnel Management Policy and contract regarding disciplinary action of staff, consultants and volunteers.](#)

Health and Safety – Significant Incidents and Findings:

1. Police, fire or emergency call and/or response
2. Lockdowns/modified lockdowns/intruders, due to activity on premises or in area (send lockdown procedure)
3. Failure of active supervision in any environment
4. Release of a child to an unauthorized adult (ECEAP may have a Policy Waiver to release to persons over 12)
5. Serious injuries requiring medical attention
6. Errors made regarding food allergies, breastmilk or formula, and medication administration
7. Concerns about classroom safety or conditions of the physical environment
8. Inappropriate classroom management or treatment of children
9. Transportation issues including inspection findings
10. Custody or restraining orders that have been violated

Program Operations – Significant Incidents and Findings:

- A. Circumstances affecting financial viability of the program
- B. Breaches of personally identifiable information
- C. Program involvement in legal proceedings
- D. Investigations and findings from any type of audit or review, including child care licensing
- E. Serious issue that has potential for media coverage
- F. Racism or civil rights violations (may use this Procedure or Community Complaint Policy)
- G. Persistent staff absences, understaffing or turnover
- H. Any charge or conviction against a staff, volunteer or consultant
- I. CPS report related to a staff, volunteer, consultant or report on child/family that increases danger
- J. Suspicion that an employee improperly recorded a family's eligibility criteria, or that a family provided false information in order to enroll
- K. Staff member investigated, suspended, background check disqualified, terminated or put on administrative leave
- L. Parent or Community Complaint

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To report an incident or finding, use the following steps:

- 1. IMMEDIATE NOTIFICATION:** Immediately send an email to INCIDENTS@psesd.org. If it is an emergency, please contact one of the staff listed below by calling or texting your “name” and the word “incident”. We will respond back to acknowledge that an initial report has been made and may gather additional information and/or identify immediate next steps. We will also notify the Program Manager for Site Support and applicable Team Manager*.
 - Nelly Mbajah: XXX-XXX-XXXX
 - Talena Dixon: XXX-XXX-XXXX
 - Kay Lancaster: XXX-XXX-XXXX
- 1. WITHIN 24 HOURS:** Complete an *Incident and Findings Notification Form* and email it to INCIDENTS@psesd.org. All information in the report needs to be de-identified. For example use Child ID numbers only, identify families in association with the Child ID and name as “mom” or “dad” etc, and use initials for staff members along with their title such as “teacher ML.”
- 2. NEXT STEPS:** The assigned Team Manager* will connect with the Center Director to identify next steps such as additional information needed, further investigation, technical assistance, etc.
- 3. ACTION PLAN:** The Team Manager* and Center Director will consider who needs to be involved in order to resolve the incident and will create a written plan of action.
 - A Corrective Action Plan will be initiated as needed.
 - Follow-up monitoring will be initiated as needed.
- 4. DOCUMENTING RESOLUTION:** The Center Director and the Team Manager* will document all action taken until incident has been resolved.
- 5. PSESD FOLLOW-UP:** PSESD may institute a Risk Assessment as a result of one incident or finding, or for ongoing concerns. Risk Assessment, incidents, findings, ongoing concerns or failure to report may result in a Corrective Action Plan, temporary suspension of services, or contract termination.

*Program Managers with content expertise related to the incident or finding may also be involved.

Related Documents

Active Supervision Procedure & Plan
Child Abuse Neglect Procedure & Form
Community Complaint Policy
Incidents and Findings Report Form
Personnel Policy

Reporting Policy
Safe Arrival and Departure Policy & Agreement
Emergency Treatment and Consent Form
Standards of Conduct Policies: Active Supervision,
Child Abuse & Neglect, Confidentiality