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Incident Report Flow Process

Note:

- The originator of the report will always select “SUPPLEMENTAL” report type.
- The supervisor will identify one report as the “PRIMARY REPORT”. When no one staff member can account for the entire incident, the supervisor writes a “SUPERVISOR SUMMARY” report, summarizing the incident in its entirety. The Supervisor Summary report will account for the incident details and an overview in the “Incident Details” section.
- If the supervisor requires revisions the report will be rejected and sent back to the originator. Once their revisions are completed the report will flow to the Secretary.
- The secretary role assigns an “EPISODE NUMBER” located in a Google Doc.
- The secretary will forward that Incident Report to the APD.
- The APD will review and either accept or request revisions to the report. If revisions are required they will reject the report and send it to the originator.
- The APD disseminates the incident reports to the Chain of Command and the Case Manager. Policy 05-15, allows the incident report to be disseminated within 3 business days (by the close of business on the 3rd day). All Level 2 incidents require either written or verbal notification to the Case Manager and APD within 24 hours. All level 1 incidents require immediate notification to all members of the Chain of Command. Contact must be made with a live person.
INITIAL REPORT

Access Adobe LiveCycle through the DJJS Incident Report icon and select the “DJJS” folder.

All highlighted RED areas must be filled in before the originator is able to “Complete” the report.

BASIC INFORMATION SECTION:

This section automatically fills in the originator’s name, Employee Identification Number (EIN), Date of the Incident and Time of the incident.

FACTORS OF THE EVENT SECTION:

This section determines the severity classification of the incident. The Event Table: Action, Results and Response delineates from the least severe to the most severe. This section is based on the Levels of Severity that are located in the Incident Report Reference Guide. This guide is accessible by way of the policy and procedure section of the DHS website: http://hspolicy.utah.gov. (DJJS Policy 05-15A Incident Report Reference Guide)

The Add Factor button allows the originator to select additional incident factors. This section may be revised by the supervisor. If an item is not completely visible, hover your cursor and a text box will appear with a description of the factor.

INCIDENT INFORMATION SECTION:

The “Preparer Title” and “Facility/Program” will auto fill. The Facility/Program can be adjusted by using the drop down box. The originator will select “Supplemental” or “Addendum” as the Report Type. The
supervisor is responsible to identify if a report will be assigned as the “Primary” report. Division functions are represented within the “Facility/Program Function”.

The following section describes how to identify a contracted provider within the “Facility/Program Function”.

**CONTRACTED PROVIDER:**

Select “Other” to reveal new field and identify the contracted provider.
1. In “Facility/Program Function” select “Other” and identify the provider by name in the “Other Function” text box.

2. “Juvenile Assigned Placement” identifies the type of provider (e.g. proctor home, group home or independent living).

3. “Location” of where the incident occurred. This section includes an “other not listed” option and text field.

INCIDENT DETAILS:

<table>
<thead>
<tr>
<th>Incident Details</th>
</tr>
</thead>
<tbody>
<tr>
<td>Description</td>
</tr>
<tr>
<td>Detailed description of the non-routine, unusual, or potentially threatening event that occurred. Incident Reports are to be completed by the end of the shift when the incident occurred, or within 24 hours when approved by a supervisor. Incident reports do not replace other required documentation (e.g. progress, CARE, shift log notes). The description should be clear, concise, accurate, specific and as detailed as possible. The writer should describe events as objectively, factually, and as accurately as possible.</td>
</tr>
</tbody>
</table>

Answer all questions that apply to the incident. When completing the question/detail sections make sure to CHECK ALL THAT APPLY to the incident. This portion of the incident report is critical for data collection.

Was the incident gang-motivated? (Data point, no drop down box)

PHYSICAL INTERVENTION USED DETAILS:
This section is consistent with DJJS Policies: 05-07 Use of Physical Intervention, 05-06 Use of Restraint Devices, and 05-17 Specialized Interventions.

ASSAULT DETAILS:

*Note the header of each list and complete according to the correct circumstance.

INJURY DETAILS:
Was there an injury? [ ] Yes  [ ] No

Injury Details

Cause Of Injury
Accident - recreation

Add Cause

What Was Done
Facility Nurse was contacted by telephone and she directed staff to transport Resident Doe to the nearest hospital emergency room (ER).

Description Of Injury and Name Of Juvenile(s) Injured
While Cottage A residents were playing basketball, Resident John Doe, tripped and hit his head on the basketball court floor. The basketball court is located in the outdoor recreation area by Cottage A. Resident Doe reported that he hit his head "hard" and currently has a headache and is tired. Resident Doe

Was facility medical staff available? [ ] Yes  [ ] No  [ ] N/A: Medical Staff Not Required

Was facility medical staff available? Identify correct action regarding facility medical (No drop down box). This is a Performance based Standard (PbS).

COFINEMENT DETAILS:

Confinement Details

[ ] Isolation  [ ] Confinement  [ ] Self Time Out

Date In  Apr 20, 2015  Date Out

Time In  12:00:00 PM  Time Out

Juveniles Confinement/Isolated

<table>
<thead>
<tr>
<th>Individual's Name</th>
<th>Age</th>
<th>Sex</th>
<th>Race</th>
<th>Ethnicity</th>
<th>Case #</th>
</tr>
</thead>
</table>

Add Individual

Recreation Time

Programming time

Move the cursor over the event in question to display a "description box" if needed.

This section is consistent with DJJS Policy 05-05 Use of Confinement. When a youth remains confined after your shift or completion of an incident report, the supervisor is responsible to complete the “Date Out” and “Time Out” portion of this section.
CONTRABAND DETAILS:

This section is consistent with DJJS Policy 05-10 Contraband and 05-09 Evidence. When identifying an illegal substance, the description should be generalized, for example: a green leafy substance within a small clear plastic bag.

SEXUAL INVOLVEMENT DETAILS:

This section may parallel sections within the Utah State Code.

OUTSIDE ENTITY DETAILS:

DCFS contacts require an Intake case number. When possible include a phone number or email.
GRAMA DETAILS:

This section will commonly be used when law enforcement request records as part of their investigation of an incident. This is mainly used as a chain of custody for documentation. A GRAMA Specialist is responsible for the release of GRAMA records that are not usually provided immediately to a responding law enforcement agency.

SUICIDE BEHAVIOR DETAILS and SELF HARM:

This section includes a drop down box to identify the following:
- Suicide Watch based on Clinician/Assessment,
- Suicide Ideation,
- Suicide Planning,
- Suicide Behavior – minor injury,
- Suicide Behavior- major injury,
- Suicide Complete.

When a youth engages in self harm that is not deemed to be suicide behavior, select the appropriate means of determination (e.g. Clinician, SPS).

NOTE: self-harm shall be addressed in the injury section.
Adobe Live Cycle Instructions

AWOL DETAILS:

Was there an AWOL?  

- [ ] Yes
- [ ] No

AWOL Details

- [ ] Law Enforcement Contacted
- [ ] Juvenile Returned On Their Own
- [ ] Warrant Obtained
- [ ] Placed on NCIC

ATTACHMENT DETAILS:

Currently Adobe LiveCycle is unable to attach documents to the incident report. All attachments shall be identified so the Chain of Command are aware of the supporting items attached to the incident.

Are there attachments?  

- [ ] Yes
- [ ] No

Attachments Details

- [ ] Diagram
- [ ] Letters
- [ ] Evidence
- [ ] Pictures
- [ ] Surveillance Video
- [ ] Medical/Clinical Assessment
- [ ] Other

Details

COMPLETE AND SIGNATURE SECTION:

The supervisor of the originator will be automatically identified. This section can be adjusted to a designee. If the designee is not within the drop down box. The originator will select “Other (Not Listed)” and type in their email address. Once the report is finished, select in the lower right hand corner.

Please choose the supervisor to whom this incident report should go for approval. If the supervisor is not listed, select “Other (Not Listed)” and enter the email address of your supervisor in the field that appears.

- Supervisor: Other (Not Listed)  
- Other:  
- tjorgessa@utah.gov

Signatures

- Originator Signature: Tara Jorgenson  
- EIN:  
- Date: Jul 21, 2015
The originator’s supervisor or designee will receive a notification of a completed incident report by the originator.

**Incident Report Revisions:**

If revisions are required by the supervisor, the incident report will be rejected and sent back to the originator. The revision requested will be located in the “Supervisor Reject Reason”.

If the form needs revision and you are rejecting it, you must provide an explanation below:

Supervisor Reject Reason

The originator will receive an email if revisions are required. It is critical for all Division staff to be diligent in reviewing their email account.

**SAVING AN INCOMPLETE INCIDENT REPORT**

When an incident report is not completed and saved within the Adobe LiveCycle system. The incomplete document is located in the “To Do” section “Draft” tab.

**OUT OF THE OFFICE**

To identify a proxy for incident reports, select “PREFERENCE” in the upper right hand corner of Adobe LiveCycle. This tab opens to “Manage Out of Office”.

**NOTE:** A PROXY will NOT receive an incident report notification email. The proxy shall be responsible to diligently access Adobe LiveCycle’s “To Do” list.
SUPERVISOR RESPONSIBILITIES

The supervisor will receive an email notification of a completed incident report.

1. Login into Adobe LiveCycle and open the “TO DO” tab.
2. REVIEW report details.
3. Identify if the Incident Level is correct.

CONFINEMENT DETAIL: if a juvenile was placed in confinement and the “Date Out” and “Time Out” is blank. Fill in this the details of this section.
**PRIMARY REPORT** (NEW PROCESS): The originator of the incident report will select “Supplemental” or “Addendum” as the report type. For data purposes, the supervisor is responsible to identify and select the “PRIMARY REPORT”. The Primary Report is based on the report that contains ALL aspects of the incident and accounts for all of the areas pertinent to data collection. If no one staff member is able to report on the entire incident the supervisor will NOT select a Primary Report and will be responsible to write a “SUPERVISOR SUMMARY” report accounting for all the details of the incident.

When the incident report review is complete and revisions are required, document revisions in the “Supervisor Rejection Reason”, Identify the “Secretary” or designee, “Sign”, and click on the “Needs Revision” button. Sending the report back to its originator.

When the incident report does not require revisions:
Adobe Live Cycle Instructions

- Identify the “Secretary” (or designee),
- “Sign” the report
- Click on the “Accept” button.
- This action will notify the “Secretary”, through email, that an incident report is ready for the “Episode Number”.

**NOTE:** Once the report is identified as either “Accepted” or “Needs Revision”, it will flow back to the originator or to the secretary.
SECRETARY/DESIGNEE RESPONSIBILITIES

The secretary/designee will receive an email notification of the completed incident report.

1. Login into Adobe LiveCycle and open the “TO DO” tab.
2. Access Google Drive and select the facility/program function, and facility/program tab.
3. Complete the following:
   - Date “Episode Number” was assigned,
   - Secretary name that assigned the “Episode Number”,
   - Employee(s) involved in the incident,
   - Juveniles identified on the incident report,
   - The incident report level of severity,
   - Description of the incident (e.g. AWOL, Physical intervention, self-harm, suicide behavior)
   - Number of Primary/Supplemental/Addendum/Supervisor Summary reports assigned to the Episode Number. (i.e. 1 “Primary” report and 4 staff “Supplemental” reports totaling 5 reports with the same “Episode Number”.)
Adobe Live Cycle Instructions

- Identify all supporting documentation, including but not limited to: video surveillance, photographs, any outside entities documentation. This documentation will be emailed to all necessary entities in the Chain of Command. Adobe LiveCycle is unable to attach documentation at this time.
- Identify when a Medical/Clinical Report is attached to the Episode Number.
- The “IB/QA Report” section is for the Internal Investigations Bureau or Quality Assurance follow up. The “External File” is to notify the Program Director that the supporting documentation is contained in an Internal Investigations Bureau external file.

4. Once the secretary/designee obtains the Episode Number from Google Drive, this number will be used in the “Episode Number” section of the incident report. The Episode Number will be assigned to all incident reports associated to the incident event.
5. Identify the APD or designee and the incident report.

NOTE: The secretary/designee can revise the “Incident Information” section.
ASSISTANT PROGRAM DIRECTOR
RESPONSIBILITIES

1. The APD will receive an email notification of the completed incident report. The **Subject Title** of the email includes the Incident Report **EPISODE NUMBER**. This will prompt Google to bundle all incident reports with the same subject title.

2. Login into Adobe LiveCycle and open the “**TO DO**” tab.
3. **REVIEW** report details.
4. When the incident report review is complete and revisions are required, document revisions in the “APD Reject Reason” and click on the “Needs Revision” button. This action sends the report back to its originator. The originator will receive an email notification to make the revision.
5. When revisions are not required, the APD will complete the After Action Response Checklist:

6. Identify the APD’s Action from the drop down list. The list includes:
   - No Further Action
   - Critical Incident Debriefing Team (Completed report consistent with Policy 05-12A De-briefing Team Report).
   - Individualized Incident Response (Review conducted by APD with individual staff, may include an improvement plan and/or disciplinary action.)
   - Administrative Internal Investigation (Initiated by Division Director. Report completed by the Internal Investigations Bureau).

7. APD will identify the Program Director, Case Manager, YPA and any other appropriate entity. This section requires the correct email address. JJS investigations will be automatically be notified of all level 1 and 2 incidents.
CASE MANAGEMENT RESPONSIBILITIES

Facility:
1. When responding to an incident that occurred within a Division facility/program, complete a “Supplemental” incident report.
2. During the flow process, the case management secretary or designee will contact the facility/program to obtain the “EPISODE NUMBER”. This is an essential step to connect the Case Manager’s incident response and follow up information with the facility/program incident reports.
3. Case Management will receive all facility/program incident reports consistent with Policy 05-15.

Contracted Providers:
1. When responding to an incident involving a contracted provider, the case manager will complete a “Supplemental” incident report accounting for the details of the incident. For data purposes, it is critical that the incident report accounts for all of the details involved in the incident.
2. Case Management may need to account for an incident that will not be required to go through the flow process. The “Follow up – Case Manager” report does not go through the flow process. If this report is used by the Case Manager they are responsible to contact the Secretary/Designee to obtain and assign an “Episode Number”. The case manager is also required to send the completed incident report to their APD and others within the Chain of Command.

<table>
<thead>
<tr>
<th>Report Type</th>
<th>Facility/Program Function</th>
</tr>
</thead>
<tbody>
<tr>
<td>Primary Report</td>
<td>Supplemental</td>
</tr>
<tr>
<td>Addendum</td>
<td>Supervisor Summary</td>
</tr>
<tr>
<td>Follow up - Case Manager</td>
<td>Follow up - Administration</td>
</tr>
</tbody>
</table>
Contracted Provider:

Incident Report:

1. In “Facility/Program Function” select “Other” and identify the provider in the “Other Function” section.
2. Juvenile Assigned Living Unit identifies the type of provider, for example: proctor location, group home or other. (Discuss if this should be a YIB, YAC...)
3. Location is where the incident occurred. When a youth absconds, were they at work, school, at the proctor home etc...

When Case Management receives a level 1 or 2 incident report from a contracted provider, which does not require case management follow up, they will forward the incident report electronically through email to Quality Assurance and the Internal Investigations Bureau. This process is consistent with the Incident Report Reference Guide and Division Policy 05-15.