



STATE OF CONNECTICUT

DEPARTMENT OF SOCIAL SERVICES

OFFICE OF LEGAL COUNSEL, REGULATIONS, AND ADMINISTRATIVE HEARINGS
55 FARMINGTON AVENUE • HARTFORD, CONNECTICUT 06105

To: Department of Social Services Staff

From: Sonia Worrell Asare, Legal Director

Date: January 8, 2019

Re: Incident Reporting Policy and Procedures

Introduction: DSS is committed to keeping the workplace safe and secure. To that end, it is important to identify incidents that occur in order to identify risks and prevent recurrence. In addition, it is critical for DSS to retain video footage that may be available that documents the incident, both to learn how to better protect individuals at the agency and also for the agency to defend itself in the event of any legal action that may be brought resulting from the incident.

Policy: Department of Social Services (“DSS”) staff who witness or become aware of an incident concerning DSS employees and individuals who are not DSS employees must report all incidents and request a copy of the video surveillance of such incidents from the State of Connecticut Department of Administrative Services (“DAS”), as set forth in the procedures described herein.

As will be explained in more detail, DSS employees are required to (1) complete a DSS W-6 Form to report all incidents that they observe or of which they become aware; and (2) submit the completed form to the designated Office Manager at the workplace within 48 hours of observing or learning about the incident. The Office Manager or other designated person must, immediately upon receipt of the form, scan and send the form, along with an email, to DAS requesting that DAS send a copy of the surveillance video of the incident to the DSS Office of Legal Counsel as soon as possible. Because the surveillance video is retained for only 30 days, it is important for the Office Manager to send the DSS W-6 Form with the email requesting the surveillance video to DAS as soon as possible after receiving it from the person who observed or has knowledge of the incident.

What is an Incident? An incident is any event or circumstances that could have led, or did lead, to harm, loss or damage to people, property, environment or reputation.

It includes any event or occurrence that may result in a claim being filed against DSS or the State of Connecticut. The claim may be in state or federal court; at the state's Office of the Claims Commissioner; Commission on Human Rights and Opportunities, Workers Compensation Commission; or any other entity that has jurisdiction to adjudicate claims against DSS or the state. It also includes any suspected criminal activity that could lead to a criminal investigation if referred to the appropriate law enforcement agency.

An incident may involve a variety of individuals lawfully or unlawfully on the premises including, but not limited to, clients, friends, relatives or other individuals accompanying a client to a DSS office; visitors; bystanders; trespassers; and, employees.

An incident may occur anywhere -- on DSS leased or state-owned property, for example, inside central office or inside a regional office; and near or adjacent to such property, for example in the parking lot of the offices and on the sidewalk in front of the property.

Procedures:

1. Any DSS staff who observes an incident or is told about an incident by someone who is not a DSS staff person must complete a DSS W-6 Form as soon as possible and not later than 24 hours after observing or being told about the incident. **If possible, please be sure to include on the form the approximate time of the incident and be as detailed as possible when completing the form.**
2. The DSS staff person must give the DSS W-6 Form to the appropriate Office Manager.
3. The Office Manager shall scan the DSS W-6 Form and send it, along with a cover email requesting a copy of the surveillance video that captures the incident and at least 30 minutes preceding and following the incident (or a longer time, depending on the circumstances), **to DAS at DAS.StatewideSecurityUnit@ct.gov with a copy to Ray Philbrick at Raymond.Philbrick@ct.gov (DAS) and Dan Butler at Daniel.Butler@ct.gov (DSS).** This must be done by the Office Manager as soon as possible and not later than 24 hours after receiving the DSS W-6 Form from the DSS staff person. **Remember that DAS retains the video surveillance for only 30 days.**
4. Per the instructions on the DSS W-6 Form, the Office Manager shall also send a copy of the form to DSS, Facilities Operations Unit, 55 Farmington Avenue, Hartford, CT 06105.

5. DAS will send the DSS Office of Legal Counsel a copy of the video surveillance footage from all cameras in the incident area that may have reasonably captured any portion of the incident.
6. DSS shall store the copy of the video surveillance footage and the DSS W-6 Form in a secure location for at least 18 months from the date of incident or in accordance with a record retention schedule, whichever is longer, or longer if it receives notice of a claim, potential claim or other request to preserve evidence.

Please direct any questions you have about this policy to Sonia Worrell Asare at 860-424-5104.

INSTRUCTIONS FOR COMPLETING SECURITY/SAFETY INCIDENT REPORT

- Check what type of incident occurred, e.g., theft, accident, vandalism, etc.
- List your name, address, and phone number.
- Give appropriate dates for when the incident occurred and when you reported it to the police.
- Give Police Officer's or State Trooper's name and case number.
- List name, address, and phone number of witnesses.
- Give clear concise explanation of what occurred (who, what, where, when and how) and sign.
- Have your Office Manager complete the items below and sign.

Please forward completed form to Operations Unit within 48 hours of occurrence.

Office Manager's report of investigation:

Office Manager's suggestions to prevent reoccurrence:

Office Manager's Signature

Date

The operations unit will review and acknowledge receipt of the completed incident report. Recommendations for closure of incident will be made when appropriate.