



DoDEA REGULATION 3030.01

DoDEA INCIDENT REPORTING PROGRAM

Originating Division: Operations, Plans, Legislation, and Policy

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Releasability: Cleared for public release. Available on the DoDEA Policy Website.

Approved by: Thomas M. Brady, Director

Purpose: This Issuance establishes policy, assigns responsibilities, and outlines the requirements for submitting reportable incidents involving DoDEA students, parents/sponsors/legal guardians, and DoDEA employees (collectively known as and referred to in this Issuance as DoDEA affiliated personnel); DoDEA owned and leased property (including school buses); and violations of local host nation laws or any incident by a DoDEA student or employee that would likely involve unfavorable media coverage.

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SECTION 1: GENERAL ISSUANCE INFORMATION

1.1. APPLICABILITY. This Issuance applies to the DoDEA Headquarters Organization, the DoDEA Americas Region, the DoDEA Europe Region, the DoDEA Pacific Region, and to include all schools under the DoDEA authority, and when applicable, volunteers, students, support personnel, student teachers, contractors, and sponsors/parents.

1.2. POLICY. All events or allegations that impact school readiness, influence the health, safety, and protection of DoDEA affiliated personnel, cause damage to DoDEA facilities and property, involve violations of host nation laws, or may involve unfavorable media coverage, will be reported in accordance with this Issuance.

1.3. INFORMATION COLLECTION. This Issuance may result in the collection of information due to its policy and procedures. Any collection of information must follow all applicable Federal, DoD, and DoDEA regulations, policies, and guidance.

SECTION 2: RESPONSIBILITIES

2.1. DODEA DIRECTOR. The DoDEA Director:

- a. Establishes policy for submitting reportable incidents involving DoDEA affiliated personnel, facilities, school readiness, unfavorable media coverage, and force protection.
- b. Fulfills labor relation obligations related to incident reporting.

2.2. DODEA HEADQUARTERS CHIEF OF STAFF. Under the authority, direction, and control of the DoDEA Director, the DoDEA Headquarters (HQ) Chief of Staff:

- a. Develops the Director's Critical Information Requirements (DCIRs).
- b. Adheres to responsibilities concerning child abuse as defined in DoDEA Administrative Instruction 1356.01.
- c. Coordinates an annual trend analysis review of pre-selected incidents to the DoDEA Director not later than the end of July following the school year, and coordinate the strategy to mitigate any negative trends identified.

2.3. DODEA OPERATIONS, PLANS, LEGISLATION, AND POLICY DIVISION CHIEF. The DoDEA Operations, Plans, Legislation, and Policy Division (OPLP) Chief:

- a. Provides oversight of the DoDEA incident reporting and management system as the proponent for this Issuance.
- b. Develops and maintains the criteria and reporting procedures for Serious Incident Reports (SIRs), and is the proponent of the SIR and DCIR section in the incident reporting and management system.
- c. Provides on demand trend analysis reviews of SIRs, and DCIRs to the DoDEA Director and DoDEA HQ Chief of Staff.
- d. Participates in the annual incident trend analysis review with the DoDEA Director.
- e. Coordinates an annual review of all DoDEA incident reporting policy and procedures covered by this Issuance.

2.4. DODEA SAFETY AND OCCUPATIONAL HEALTH DIVISION CHIEF. The DoDEA Safety and Occupational Health Division Chief:

- a. Defines and publishes the criteria and reporting procedures for DoDEA Accident/Injury Reports (AIRs) in DoDEA Administrative Instruction 6055.01.

b. Provides on demand trend analysis of AIRs to the DoDEA Director and DoDEA HQ Chief of Staff.

c. Participates in the annual incident trend analysis review with the DoDEA Director.

2.5. DODEA EDUCATION STUDENT SERVICES DIVISION CHIEF. The DoDEA Education Student Services Division Chief:

a. Establishes Child Abuse Reporting (CAR) policy and procedures pursuant to DoDEA Administrative Instruction 1356.01.

b. Provides on demand trend analysis of CARs to the DoDEA Director and DoDEA HQ Chief of Staff.

c. Reviews DCIRs and SIRs for implications of problematic sexual behavior in children and youth.

d. Participates in the annual incident trend analysis review with the DoDEA Director.

2.6. DODEA INVESTIGATIONS AND INTERNAL REVIEW DIVISION CHIEF. The DoDEA Investigations and Internal Review Division Chief:

a. Reviews DCIR and SIR notifications received for indications of possible systemic issues regarding DoDEA's enterprise risk management, control, and governance processes.

b. Coordinates the response to incidents that generate external Activity reviews or investigations.

c. Participates in incident trend analysis review with the DoDEA Director.

2.7. DODEA SECURITY MANAGEMENT DIVISION CHIEF. The DoDEA Security Management Division Chief:

a. Reviews DCIRs and SIRs regarding force protection, security, law enforcement, and misconduct of DoDEA employees.

b. Develops response plans as necessary to address security and force protection concerns.

c. Participates in incident trend analysis review with the DoDEA Director.

2.8. DODEA COMMUNICATIONS DIVISION CHIEF. The DoDEA Communications Division Chief:

a. Monitors media coverage of events involving DoDEA.

- b. Provides the DoDEA Director a communications strategy to address negative fallout or positive outcomes, and helps develop strategies to mitigate unfavorable media coverage.
- c. Participates in incident trend analysis review with the DoDEA Director.

2.9. DODEA FACILITIES CHIEF. The DoDEA Facilities Chief reviews SIRs and DCIRs that involve DoDEA buildings, grounds, vandalism of property, unscheduled utility outages, elevator malfunctions, and unsecure buildings due to inoperable components or systems, and makes repairs or otherwise address the situation.

2.10. DODEA REGION DIRECTORS FOR STUDENT EXCELLENCE. The DoDEA Region Directors for Student Excellence:

- a. Ensure the DoDEA District and Community Superintendents adhere to DoDEA incident reporting policies and procedures.
- b. Participate in incident trend analysis reviews with the DoDEA Director and ensures strategies to mitigate negative trending incidents are implemented.

2.11. DODEA DISTRICT AND COMMUNITY SUPERINTENDENTS. The DoDEA District and Community Superintendents:

- a. Ensure DoDEA School Principals adhere to DoDEA incident reporting policies and procedures.
- b. Designate internal routing scheme of incident reports at their discretion, while adhering to end state reporting timelines in this Issuance.
- c. Ensure each reporting official is trained to submit compliant incident reports.
- d. Participate in incident trend analysis reviews with the DoDEA Director and, at their discretion, conduct internal trend analysis to gauge the effectiveness of mitigation strategies.

2.12. DODEA SCHOOL PRINCIPALS. The DoDEA School Principals:

- a. Act as the primary reporting official for incidents occurring in their respective school.
- b. Will appoint in writing their respective Assistant Principal and, if authorized, a DoDEA Administrative Officer to document and submit incident reports in the incident reporting and management system.
- c. Ensure each incident report submitted is complete and within the reporting timelines stipulated in this Issuance.

d. Ensure reportable incident information is shared only with personnel who have a role-based need-to-know.

e. Follow reporting guidelines established by host nation, local law enforcement, and Federal policies.

f. May authorize athletic trainers working after normal duty hours, to provide a draft injury report to the school nurse, who will in-turn submit the final AIR in the incident reporting and management system.

2.13. DODEA SCHOOL NURSES. DoDEA School Nurses will submit AIRs.

SECTION 3: INCIDENT REPORTING GENERAL INFORMATION

3.1. GENERAL REPORTING GUIDANCE. Incident reports are submitted on any event meeting the criteria of a DCIR, SIR, AIR, or CAR as defined in this Issuance, following the procedures noted in the Incident Reporting Case Management System. Additionally:

a. Reports are processed through the DoDEA Incident Reporting Case Management System using:

(1) Role-based privileges to access stand-alone business process modules (i.e., DCIR, SIR, AIR, and CAR), and region specific incidents.

(2) A repository of policies, regulations, references, and guidance specific to processing the type of incident being reported.

(3) Forms and worksheets required to document the incident, and electronically route it through specified channels.

b. All DoDEA personnel involved in incident reporting will safeguard personally identifiable information (PII) in accordance with DoD Instructions 5400.11 and 5400.16. Protected health information will be safeguarded in accordance with Section 1320d-6 of Title 42, United States Code.

c. All incidents citing criminal misconduct or inappropriate behavior are treated as allegations pending conclusive findings.

d. Follow up reports may be required by the DoDEA HQ Chief of Staff, DoDEA Region Directors for Student Excellence, DoDEA District and Community Superintendents and the DoDEA HQ staff proponent of the incident.

3.2. DIRECTOR'S CRITICAL INFORMATION REQUIREMENTS. DCIRs are time-sensitive events impacting the immediate or near term health, welfare, and/or safety of DoDEA affiliated personnel. DCIRs are submitted as soon as practical, but no later than four (4) hours after the incident is brought to the attention of the DoDEA first-line supervisor. DCIRs are submitted to the DoDEA Director, DoDEA Region Directors for Student Excellence, DoDEA HQ Chief of Staff, and DoDEA OPLP Chief, via email using a "Who, What, When, Where, and Why" format. When deemed appropriate, the DoDEA Region Directors for Student Excellence or DoDEA Region Chief of Staff has the discretion to call the DoDEA Director or DoDEA HQ Chief of Staff to report a DCIR.

3.3. SERIOUS INCIDENT REPORTS. SIRs are submitted on an alleged or suspected incident resulting in consequences greater than those normally addressed through routine administrative actions. SIRs are normally initiated at the school level and submitted by the DoDEA School Principal, DoDEA School Assistant Principal, or designated DoDEA Administrative Officer, within two (2) business days after the event is brought to the attention of

the DoDEA first-line supervisor, and in accordance with procedures found in DoDEA Regulation 4700.04 and DoDEA Procedural Guide 5760.01-01. DoDEA District Officers and DoDEA District Chiefs of Staff may also submit SIRs under the same reporting timelines.

3.4. ACCIDENT INJURY REPORTS. AIRs are submitted in accordance with DoDEA Administrative Instruction 6055.01, on accidents, injuries, and hazardous conditions impacting DoDEA students and employees, school readiness, facilities, and school grounds, within five (5) business days after the event is brought to the attention of the DoDEA first-line supervisor. A DoDEA employee fatality, in-patient hospitalization, amputation, or loss of an eye or eyesight must be reported within twelve (12) hours of the incident. Additionally:

a. Submit an AIR to document corrections and/or strategies to correct systemic safety hazards and complement reporting requirements and policies of the U.S. Department of Labor Occupational Safety and Health Administration, local law enforcement, host nations, local community, and supported military installations.

b. Submit an AIR to document corrective action to prevent future injuries, even if no injury occurred (commonly referred to as a near-miss incident).

3.5. CHILD ABUSE REPORTS. CARs are submitted in accordance with DoDEA Administrative Instruction 1356.01, on any incidents of suspected or alleged child abuse and neglect to DoDEA HQ. Additionally:

a. A CAR must be submitted electronically via encrypted email or through the DoDEA incident reporting Case Management System within twenty-four (24) hours of the occurrence or notification of the incident.

b. In accordance with Section 20341 of Title 34, United States Code, DoDEA teachers, teacher's aides or assistants, school counselors and guidance personnel, school officials, and school administrators are covered professionals mandated to participate in the protection of children by promptly reporting all suspected or alleged child abuse and neglect, to FAP and the local Child Welfare Services (CWS) agency if available. The DoDEA employee must also inform their first line supervisor.

GLOSSARY

G.1. ACRONYMS.

| | |
|------|-----------------------------------------------|
| AIR | Accident Injury Report |
| CAR | Child Abuse Report |
| CWS | Child Welfare Services |
| DCIR | Director Critical Information Requirement |
| FAP | Family Advocacy Program |
| HQ | Headquarters |
| OPLP | Operations, Plans, Policy & Legislation |
| OSHA | Occupational Safety and Health Administration |
| PII | personally identifiable information |
| SIR | Serious Incident Report |

G.2. DEFINITIONS. Unless otherwise noted, these terms and their definitions are for the purpose of this Issuance.

accident/injury. An event that happens by chance or that is without apparent or deliberate cause, unexpectedly, and unintentionally, resulting in damage or injury.

child abuse. Physical injury, sexual maltreatment, emotional maltreatment, deprivation of necessities, or combinations for a child by an individual responsible for the child's welfare under circumstances indicating that the child's welfare is harmed or threatened. The term encompasses both acts and omissions on the part of the responsible person.

CWS. CWS is protective services, including foster care, to ensure ongoing and active collaborative case management between the respective courts, CWS, foster care agencies and FAP.

covered professionals. A person who, while engaged in a professional capacity or activity on Federal land or in a federally operated (or contracted) facility, learns of facts that give reason to suspect that a child has suffered an incident of child abuse, shall as soon as possible make a report of the suspected abuse to an agency as designated in this Issuance.

DCIR. Events determined by the DoDEA Director warranting immediate or as soon as practical notification to the DoDEA HQ Chief of Staff. Typical incidents include death of DoDEA affiliated personnel, unscheduled school delays, closures or evacuations, pandemics, emergency service response due to injury or property damage, severe weather or natural disasters, inpatient

admission to a hospital, amputation or blindness, employee misconduct, missing staff and/or students, issues of force protection, negative media or command interest, and criminal behavior committed by a DoDEA student or employee.

DoDEA affiliated personnel. DoDEA students, parents/sponsors/legal guardians, contract and government employees.

FAP. A program designed to address prevention, identification, evaluation, treatment, rehabilitation, follow-up, and reporting of family violence as defined in accordance with Volume 2 of DoD Manual 6400.01. The term FAP includes any “appropriate FAP Office” to include an office designated by the military installation as the FAP designee for purposes of receiving a report of child abuse or neglect (e.g., law enforcement desk and hospital emergency room).

force protection. Preventive measures taken to mitigate hostile actions against DoD personnel (to include family members), resources, facilities, and critical information.

law enforcement. Any of a number of agencies chartered and empowered to enforce U.S. laws in the United States or territory (or political subdivision) of the United States, a federally recognized Native American tribe or Alaskan Native Village.

near-miss. An incident that requires corrective action to prevent future injuries, even if no injury occurred.

need-to-know. A criterion used in security procedures that requires the custodians of information to establish, prior to disclosure, that the intended recipient must have access to the information to perform his or her official duties.

OSHA. A national public health agency part of the United States Department of Labor, established to set and enforce safety standards that ensure healthy workplace conditions for all employees.

PII. Information that can be used on its own or with other information to identify, contact, or locate a single person, or to identify an individual in context.

protected health information. Protected health information including demographic information, relates to an individual’s past, present, or future physical or mental health or condition.

reportable incident. An occurrence or allegation of an event caused by either human action or natural phenomena, involving serious incidents, accidents/injury, child abuse, loss of, or other risks to property, or sensitive information.

reporting timelines. Period in which an incident must be reported. A DCIR must be submitted within four (4) hours or as soon as practical, of first-line supervisor notification of the event, a SIR must be submitted within two (2) school business days of first-line supervisor notification of the event, an AIR must be submitted within five (5) school business days of first-line supervisor notification of the event, however a DoDEA employee fatality, in-patient hospital admission,

amputation, loss of an eye or eyesight, must be reported within twelve (12) hours of the incident. A CAR must be submitted within twenty-four (24) hours of first-line supervisor notification of the event.

serious incident. An event or allegation that impacts school readiness, or the health, safety, and security of DoDEA affiliated personnel, facilities, and property resulting in consequences greater than those normally addressed through routine administrative or preventive maintenance actions.

REFERENCES

- DoD Instruction 5400.11, “DoDEA Privacy and Civil Liberties Programs,” January 29, 2019
- DoD Instruction 5400.16, “DoD Privacy Impact Assessment (PIA) Guidance,” July 14, 2015, as amended
- DoD Manual 6400.01, Volume 2, “Family Advocacy Program (FAP): Child Abuse and Domestic Abuse Incident Reporting System,” August 11, 2016
- DoDEA Administrative Instruction 1356.01, “DoDEA Family Advocacy Program Process for Reporting Incidents of Suspected Child Abuse and Neglect,” November 5, 2018
- DoDEA Administrative Instruction 6055.01, “DoDEA Safety Program.” November 27, 2017
- DoDEA Regulation 4700.04, “Serious Incident Reporting,” June 20, 2016
- DoDEA Procedural Guide 5760.01-01, “Serious Incident Reporting Procedures,” August 24, 2016
- United States Code, Title 34, Section 20341
- United States Code, Title 42, Section 1320d-6

APPENDIX

APPENDIX 1: INTERNAL CONTROLS EVALUATION CHECKLIST

| CHECKLIST ITEM | YES/NO |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------|
| Is all protected health information sent via encrypted email or through the CAC enabled DoDEA Incident Reporting Case Management System? | |
| Is all information that can be used on its own or with other information to identify, contact, locate a single person, or identify an individual in context sent via encrypted email or through the CAC enabled DoDEA Incident Reporting Case Management System? | |
| Are DCIRs submitted as soon as practical, but no later than four (4) hours after the incident is brought to the attention of the DoDEA first-line supervisor through the CAC enabled DoDEA Incident Reporting Case Management System? | |
| Are SIRs submitted within two (2) business days after the event is brought to the attention of the DoDEA first-line supervisor through the CAC enabled DoDEA Incident Reporting Case Management System? | |
| Are AIRs submitted within two (2) business days after the event is brought to the attention of the DoDEA first-line supervisor through the CAC enabled DoDEA Incident Reporting Case Management System? | |
| Are CARs submitted electronically via encrypted email or through the CAC enabled DoDEA Incident Reporting Case Management System within twenty-four (24) hours of the occurrence or notification of the incident? | |
| Are all appropriate agencies notified of incidents involving child abuse? i.e., FAP, CWS and/or Law Enforcement. | |