



Charles County Department of Emergency Services STANDARD OPERATING PROCEDURES

Section 100 - General Rules & Administration

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S.O.P. # 100.40	Non Medical Incident / Event Investigations	
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100.40.01 Purpose

This policy provides guidelines on how non-medical / non-clinical events are to be investigated, and what kind of supportive documentation is required. Proper application of fair and consistent policy regarding how to receive initial reports and investigate events will result in a fair, reasonable and unbiased decision process.

100.40.02 Policy

This policy is based on the rules and regulations contained the Charles County Government Personnel Policy and Procedures Manual. This policy is intended to explain the steps that will be taken to receive, investigate, document and resolve an event or incident.

100.40.03 Definitions

1. ***Coaching (Oral Counseling)*** - a non-disciplinary action that values supportive discussion with the employee on the need to engage in better behavioral choices.
2. ***Counseling (Record of Conversation)*** - a written, and acknowledged, account of an interaction between a supervisor and employee. It is not a disciplinary action, but is a first step option to put an employee on notice that performance or behavior is unacceptable and must be modified.

100.40.04 Reporting

All employees are responsible for reporting events that jeopardize our mission, impact the health, safety or welfare of persons or result in damage to property. Typically, a lieutenant will receive the initial report, alert the platoon captain and begin the investigation. It is imperative that a detected event or complaint is acted upon immediately, investigated with deliberate resolve and concluded expeditiously.

Initial Report Investigation: Field personnel will report adverse events to an on-duty lieutenant at first opportunity. The lieutenant will coordinate with the on-duty platoon captain and begin investigating the event. Documentation must include, at a minimum, the date, time and location of the event, detailed summary, identity of individual or crew(s) involved and witnesses, circumstances and facts surrounding the alleged event including timelines, written statements from all parties and related forms. If applicable include necessary diagrams, evidence, photographs, video, weather and road conditions. When appropriate, preserve the scene.



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This collection and compilation of data must be completed before the end of the duty shift. When necessary, crew(s) will be taken out of service to facilitate the timely completion of this initial report investigation process.

If the concern is initiated or brought forth by an external complainant, the employee receiving the complaint should collect and forward the complainant's contact information to an on-duty lieutenant.

Root Cause Analysis: Conducting a thorough investigation that identifies root causes will help to prevent similar events from happening again. A successful root cause analysis identifies all root causes – there are often more than one. Brainstorming, checklists, logic/event trees, timelines, sequence diagrams, and causal factor identification are often used to support the root cause analysis. Regardless of the combination of tools chosen, these tools are to be used to answer four important questions: • What happened; • How did it happen; • Why did it happen; and • What needs to be corrected?

Workflow: all adverse events are routed through the Assistant EMS Chief as follows:

1. Completed documentation associated with an event / investigation will flow to the division chief and be distributed as outlined below.
 - a. Events involving Prohibited Conduct, Protocol Violations, and Standard of Care Deviations will be forwarded to the Jurisdictional Medical Director and the Captain for Quality Management and Standards.
 - b. Events involving threats to health and/or safety, personal injury or property damage will be forwarded to the DES Health and Safety Officer.
 - c. Exposures to Bloodborne Pathogens and/or other communicable diseases will be forwarded to the designated Infection Control Officer.
 - d. Violations of Charles County Government or departmental policy unrelated to clinical performance or protocols will be resolved by the platoon captain and lieutenant that took the initial report.
 - e. Customer/stakeholder complaints will be forwarded to and resolved by the on-duty platoon captain.
 - f. The findings of events that warrant disciplinary action are forwarded, through the Chief, to the Director and Deputy Director for resolution. The initial report documents, investigative findings, recent past performance / behavioral documentation and any recommendation(s) are to be included in the transmittal.

100.40.05 Documentation

1. An *Employee Conference Form* or other approved documentation must be completed and signed by the employee when an employee is the subject of counseling or disciplinary action.
2. Employees who are potentially the subject of a disciplinary action must be interviewed and given the opportunity to address the concerns. This meeting must be documented and acknowledged.

100.40 Non Medical Event Investigations-MLL TWR 11-16-21 v2 - signed

Final Audit Report

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