CLINICAL INCIDENT REPORTING, INVESTIGATION, RESOLUTION

Authority: Division 2.5 Health and Safety Code and Division 9 Title 22 California Code of Regulations

APPROVED: _____________________  ______________________
EMS Medical Director  EMS Administrator

1. Definitions

EMS Authority - The Director of the State EMS Authority
EMS Medical Director - The San Mateo County EMS Medical Director
EMS Agency - San Mateo County EMS Agency Administrator or designee

2. Non-clinical Issues

This policy only applies to clinical issues. Non-clinical issues are addressed in the policy entitled “EMS System Issue Resolution Process - Documentation - 1.”

3. Reporting, Investigation, and Actions

Procedures and processes for reporting, investigation, remediation and/or referral for certification/licensure actions are outlined in the flowcharts contained in this policy.

4. Licensure/Certification Actions

4.1 EMT

4.1.1 EMS Medical Director is responsible for:
- investigating clinical incidents.
- investigating potential grounds for EMT certification actions as listed in 1798.200 of the Health and Safety code.
- taking action on EMT certificates including suspension, revocation and/or placing the EMT on probation with conditions.
- determining a performance improvement plan and evaluating results upon completion of the plan.

4.1.2 If an EMT’s certificate is suspended or revoked, the EMS Medical Director will notify the EMS Authority.

Issue Date: May 30, 2002
Effective Date: May 30, 2002
Review Date: May 2004
4.2 Paramedic

4.2.1 EMS Medical Director is responsible for:

- investigating and evaluating clinical incidents.
- investigating potential grounds for actions on paramedic licensure as listed in section 1798.200 of the Health and Safety code.
- immediately suspending a paramedic’s license as outlined in section 1798.202 of the Health and Safety Code.
- notifying the State EMS Authority when a paramedic’s license has been suspended
- referring cases to the EMS Authority when initial investigation determines them to possibly meet grounds for actions on paramedic licensure as listed in section 1798.200 of the Health and Safety code.
- determining, when appropriate, a performance improvement plan and evaluating results upon completion of the plan.

4.2.2 The EMS Authority is responsible for:

- sustaining, or lifting, the EMS Medical Director’s immediate suspension of a paramedic license
- conducting investigations and taking actions on paramedic licenses

5. Determine Levels and Reporting Incidents

All clinical incidents that are Level I or Level II will be reported to the LEMSA. The following guidelines will assist providers in reporting and investigating requirements.

Level I Minor Incident

Minor deviation from established policy or protocol in which the action or inaction would unlikely to result in harm to patient.

Level II Moderate Incident

Deviation from established policy or protocol in which such action or inaction may result in harm to a patient. Multiple minor errors in a single incident or repeated minor errors within a twelve month time period.

Level III Major Incident

Deviation from established policy or protocol in which such action or inaction would likely produce harm to a patient.

An alleged incident involving physical or emotional abuse of a patient or theft.

Multiple moderate errors in a single incident or repeated moderate errors within a twelve month time period.
6. The EMS Medical Director may consult with the Provider’s Medical Director.

7. If the EMS Medical Director prescribes a Performance Improvement Plan for an EMT/Paramedic, the EMT/Paramedic may appeal to the Quality Leadership Committee which will advise the EMS Medical Director of its recommendation which will not be binding on the EMS Medical Director.
Countywide Ambulance Contractor and Its Subcontractors
Clinical Incident Review Flowchart

Incident Occurs

Report to AMR by:
Line Personnel
Supervisor
EMS Coordinator
Hospital
Private Party

AMR Triage by Clinical Coordinator and Chief of Operations - Determine Level I, II, or III and AMR logs it

Operational Issue?
No

Clinical Issue?
Yes

Go to Clinical Flowchart for Level

Interpersonal Issue?
No

Yes

Refer to Operations

Refer to Conflict Resolution Process

Alleged Criminal Issue?
No

Yes

Report to LEMSA LEMSA notify EMSA Involve Local Law Enforcement

End Process

Definitions:
Field personnel - prehospital care personnel that are employees of AMR, the JPA, CDF, or San Francisco Fire Department (at SFIA)
EMS Coordinator - Assigned EMS Coordinator (JPA, CDF, SFIA)
Supervisor - AMR Field Supervisor
LEMSA - San Mateo County EMS Agency
EMSA - State EMS Authority
Clinical Issue
Level I Specific

AMR notifies appropriate EMS Coordinator and the JPA Administrator if involved

Investigation Conducted by AMR JPA or CDF or SFIA

Educate as appropriate (AMR, JPA or CDF or SFIA)

Complete documentation of issue and send to AMR

Is this the second incident within 1 year? Yes → EMS Medical Director will write letter to EMT/Paramedic

Log in Database and Close Incident

Access reports from database at periodic intervals to see trends, etc

Review trends and other findings with QLC and MAC at periodic intervals

Do reports show areas for individual or process improvements? Yes → Formulate and implement improvements

Continue to evaluate at periodic intervals

Educate as appropriate (AMR, JPA or CDF or SFIA)

Complete documentation of issue and send to AMR

Clinical Issue
Level I Specific

AMR notifies appropriate EMS Coordinator and the JPA Administrator if involved

Investigation Conducted by AMR JPA or CDF or SFIA

Educate as appropriate (AMR, JPA or CDF or SFIA)

Complete documentation of issue and send to AMR

Is this the second incident within 1 year? Yes → EMS Medical Director will write letter to EMT/Paramedic

Log in Database and Close Incident

Access reports from database at periodic intervals to see trends, etc

Review trends and other findings with QLC and MAC at periodic intervals

Do reports show areas for individual or process improvements? Yes → Formulate and implement improvements

Continue to evaluate at periodic intervals

End Process
Clinical Issue
Level II Specific

Supervisor/EMS Coordinator may take appropriate emergency action

AMR sends Flash Report ASAP to LEMSA & EMS Medical Director
AMR Corporate
JPA, or CDF, or SFIA if Fire Service

Investigation Conducted by
LEMSA
AMR
JPA or CDF or SFIA who will make a recommendation to Medical Director

EMS Medical Director’s Decision

No Merit
Log in Database and Close Incident

Performance Problem
Performance Improvement Plan
EMS Medical Director will respond in writing to EMT/Paramedic

Process Problem
Refer to Appropriate Entity for Corrective Action e.g. MAC, Ops, QLC

Go to Performance Improvement Plan
Clinical Issue
Level III Specific

1. Supervisor may take appropriate emergency action.

   AMR sends Flash Report ASAP to EMS & EMS Medical Director
   AMR Corporate
   JPA, or CDF, or SFIA if Fire Service

2. EMS Medical Director determines whether to refer to EMSA

   Option to Suspend and Notify EMSA or Notify EMSA Only

3. Investigation Conducted by LEMSA
   AMR
   JPA or CDF or SFIA
   who will make a recommendation to Medical Director

4. Medical Director’s Decision

   - No Merit
     Log in Database and Close Incident
   - Process Problem
     Refer to Appropriate Entity for Corrective Action e.g. MAC, Ops, QLC
   - Performance Problem
     Performance Improvement Plan
     EMS Medical Director will respond in writing to EMT/Paramedic
   - EMT certification or Paramedic licensure action possibly warranted

5. EMS Medical Director option to suspend license and notify EMSA or notify EMSA only

   EMS Medical Director conducts certificate review process

6. Notify AMR and JPA or CDF or SFIA if involved
Clinical Incident Review Flowchart

Incident Occurs

Report to SSF by:
Line Personnel
EMS Coord.
Hospital
Private Party

SSF Triage by EMS
Coordinator or Administrative
EMS Bat. Chief -
Determine Level I, II, or III
and log it.

Clinical Issue? No

Operational Issue? No

Interpersonal Issue? No

Alleged Criminal Issue Yes

Yes

Go to Clinical Flowchart for Level

Refer to SSF or County EMS Operations Committee as appropriate

Refer to Conflict Resolution Process

Report to LEMSA
LEMSA notify EMSA
Involve Local Law Enforcement

Yes

End Process

Definitions:
SSF - City of South San Francisco Fire Department
Field personnel - prehospital care personnel that are employees of AMR, the JPA, CDF, or South San Francisco Fire Department
EMS Coordinator - SSF Assigned EMS Coordinator
LEMSA - San Mateo County EMS Agency
EMSA - State EMS Authority
Clinical Issue
Level I Specific

SSF notifies LEMSA

Investigation
Conducted by SSF

SSF educate as appropriate

Complete documentation of issue

Is this the second incident within 1 year?

Yes → EMS Medical Director will write letter to EMT/Paramedic

No → Log in SSF Database and Close Incident

Access reports from database at periodic intervals to see trends, etc

Review trends and other findings with LEMSA and MAC at periodic intervals

Do reports show areas for individual or process improvements?

Yes → Formulate and implement improvements

No → Continue to evaluate at periodic intervals

End Process
Clinical Issue
Level II Specific

SSF sends Flash Report ASAP to EMS & EMS Medical Director

Investigation Conducted by LEMSA
SSF who will make a recommendation to Medical Director

EMS Medical Director's Decision

No Merit
Log in Database and Close Incident

Process Problem
Refer to Appropriate Entity for Corrective Action e.g. MAC, Ops, SSF

Performance Problem
Go to Performance Improvement Plan

EMS Medical Director will respond in writing to EMT/Paramedic
SSF sends Flash Report ASAP to LEMSA & EMS Medical Director

EMS Medical Director determines whether to refer to EMSA

Yes

Option to Suspend and Notify EMSA or Notify EMSA Only

No

Investigation Conducted by LEMSA and SSF who will make a recommendation to Medical Director

Medical Directors' Decision

EMT certification or Paramedic licensure action possibly warranted

Notify SSF

EMS Medical Director conducts certificate review process

EMT

No Merit

Process Problem

Performance Problem

Log in Database and Close Incident

Refer to Appropriate Entity for Corrective Action e.g. MAC, Ops, SSF

Performance Improvement Plan

EMS Medical Director will respond in writing to EMT/Paramedic

Go to Performance Improvement Plan
Clinical Quality Management: FLASH REPORT

Notice: This report is intended for the San Mateo County EMS Agency’s Prehospital Quality Assurance process and is not to be included in the patient’s medical record. Do not refer to this report in the patient’s medical record.

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