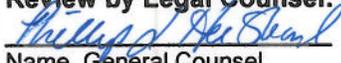


District of Columbia Department of Health Incident Reporting and Investigation		PROCEDURE 350.10 Implementing Office: Office of the Director Training Required: Yes Originally Issued: January 17, 2014 Revised/Reviewed:
Approved by:  Name, Agency Director	Review by Legal Counsel:  Name, General Counsel	Effective Date: 2/4/14 Valid Through Date:

I. Authority	Reorganization Plan No. 4 of 1996, Mayor's Order 1997-42
II. Reason for the Policy	Risk management is a core responsibility for every employee. This policy exists to provide guidance to DOH management and employees on reporting incidents, as well as provide information regarding the incident investigation process.
III. Applicability	This policy applies to all DOH employees, contracted staff, volunteers, interns, and summer youth employees; as well as contractors, grantees, and sub-grantees authorized to use DOH resources, to include supplies, equipment, or facilities.
IV. Policy Statement	The DOH Office of Risk Management (DOHORM) is charged with acting as a liaison between the Department of Health and the District of Columbia Office of Risk Management. DOHORM establishes standards for receiving, reviewing, investigating, and coordinating corrective action for risk-related events. Any employee who violates this policy may be subject to disciplinary action, up to and including termination.
V. Definitions & Acronyms	DOH: District of Columbia Department of Health DCORM: District of Columbia Office of Risk Management, in the Executive Office of the Mayor DOHORM: Department of Health Office of Risk Management
VI. Contents	A. Introduction B. Incident Reporting C. Incident Investigation
VII. Procedures	A. Introduction: All DOH employees have a role to play in risk management. When an employee experiences or observes an unsafe act or working condition, it is his/her responsibility to report the situation to the appropriate supervisor and/or to the DOH Risk Manager. Similarly, when an employee is in a position of responsibility, such as managing other staff members, it is his/her responsibility to ensure that District, DOH, and all other applicable laws, regulations, policies, procedures, and practices are followed closely. In both cases, the employee is responsible for reducing potential exposure of the District

Government to financial liability. This mission is accomplished through timely reporting, investigation, and remediation of incidents.

Every DOH employee is encouraged to report waste, fraud, abuse, or mismanagement. An employee who witnesses such behavior should report it to his/her supervisor, the DOH Risk Manager, or the District of Columbia Office of the Inspector General.

B. Incident Reporting

DOHORM manages the processing and investigation of Incident Reports (IR). Whenever a risk-related event occurs, an Incident Report must be prepared and filed with the DOH Risk Manager.

An incident is any significant occurrence or event which is different from routine or varies from established procedure. Incidents include, but are not limited to:

1. death;
2. injury (accident, apparent or alleged physical contact/altercation/fight);
3. threats or verbal abuse (verbal statements intended to cause fear of imminent physical harm, trespassing, stalking, harassment);
4. serious facility issues (pests/vermin, utility outages lasting longer than 1 hour, fire/safety hazards);
5. employee misconduct/fraud/waste/abuse;
6. theft/burglary/destruction of DOH assets (facilities, vehicles, etc.);
7. fire/bomb threats;
8. automobile accidents;
9. destruction of property;
10. verbal statements or physical contact of an inappropriate or sexual nature; or
11. any incident that a reasonable person would believe poses a risk to the health or safety of DOH staff, program participants, or the public.

Incidents may constitute either an incurred loss (such as a vehicle accident) or a potential exposure to loss (such as failure of a security alarm system) or some combination of the two (such as a workplace violence event, where some loss may already have been incurred but where additional loss may still be prevented). Any incident involving actual or potential loss, such as damage to a computer or the loss of an office key should be reported using the DOH Incident Report Form.

Procedures:

Upon observing, experiencing, or learning of an incident, employees should prepare and email the DOH Incident Report Form as soon as possible but no later than 24 hours or the next business day after the incident occurred. Certain incidents may be of such a nature that they require immediate in-person or telephone notification to a supervisor before the written report is prepared.

When completing the DOH Incident Report form, employees must:

- 1) Use the electronic Incident Report form, which can be obtained from the DOH Risk Manager.
- 2) Fill out the form completely, or for sections where information is unknown or unavailable, type "unknown" or "N/A."
- 3) Email a copy of the report to his or her direct supervisor with a copy to the DOH Risk Manager. In certain situations the employee may, using his or her best judgment, email a copy of the report directly to the DOH Risk Manager.

C. Incident Investigation

The Risk Manager evaluates the Incident Report and either investigates the incident without the assistance of another office, initiates an investigation in coordination with another DOH office (such as Facilities Management, Labor Relations, etc.), or determines, based on the information reported, that the incident does not require investigation. The incident report (and any subsequent investigation reports) may be subsequently forwarded to DCORM as a possible claim against the District Government or retained by DOHORM in the event action is required in the future.

The purpose of an investigation is to obtain facts sufficient to enable DOH to (1) determine whether the allegations are substantiated and (2) decide what action, if any, should be taken in response to substantiated allegations. Investigations typically involve gathering documentary information such as photographs, diagrams, policies, procedures, records, invoices, correspondence, etc., as well as interviewing individuals with knowledge of the incident. Interviewees may include the individual who reported the incident, those with knowledge of some aspect of it, and/or individuals who are the subject of the investigation.

An employee who is asked for an interview is required by District personnel regulations to cooperate with an official investigation. Employees who are members of a union with a contract with the

District Government may have rights related to participation in an official investigation. Employees should contact their union representative for additional information regarding their rights.

For DOH investigations, the Risk Manager may prepare an investigative report based on interviews and other information gathered during the investigation. The investigation report shall include a factual narrative of the incident, information regarding the cause, and any corrective action taken subsequent to the incident. Relevant documentary information shall be cited in the investigation report and all documentary information associated with the investigation file. The investigation report shall include the investigator's determination of whether the allegations are substantiated and recommendations for changes in policy, procedure, or behavior.

Conceptually, responsive action may be divided into three broad categories:

Corrective Action:

Corrective action includes those steps taken to minimize the likelihood of recurrence. Examples of corrective action include establishing or revising policies and procedures, providing training, or implementing internal controls to ensure appropriate oversight. Responsible managers may decide to take corrective action even when the allegations cannot be substantiated to avoid the risk of similar allegations in the future.

Remedial Action:

Remedial action includes those steps to redress wrongs when improper conduct or system deficiencies adversely impact the complainant or others. This may include forwarding claims for property damage to DCORM for further action or acknowledging or apologizing to a resident who experienced poor customer service.

Personnel Action:

In the context of an investigation, disciplinary action is any action short of criminal prosecution taken against an employee found to have engaged in improper conduct. Disciplinary action runs the spectrum from training and additional supervision to removal or dismissal from employment. Personnel action must be carried out in accordance with the District Personnel Manual (DPM) and/or any relevant Collective Bargaining Agreement (CBA).

Procedures:

1. Within one business day of receiving an Incident Report, or as

soon as practicable, the DOH Risk Manager will review the report and determine whether an investigation is necessary. Certain incidents may be of such a nature that they require the immediate initiation of an investigation. The DOH Risk Manager shall determine whether immediate action is needed to prevent additional harm before the investigation begins; such as:

- Reporting imminent threats to health and safety (Building security, the Metropolitan Police Department, Washington Gas, Pepco, etc.)
 - Reporting physical hazards to DOH Facilities Management (spills, broken handrail, malfunctioning elevators, unlocked doors)
2. The DOH Risk Manager, using his or her best judgment, may elect to coordinate with another office within DOH to carry out an investigation.
 3. Within three days of receiving the Incident Report, or as soon as practicable, the DOH Risk Manager will initiate an investigation, if appropriate.
 - The DOH Risk Manager shall carry out his or her investigation in a discreet and confidential manner to ensure the Department receives trustworthy information in an atmosphere free from coercion.
 - The DOH Risk Manager shall explain to each interviewee that DOH prohibits retaliation against employees who report unusual incidents, fraud, waste, or abuse or participates in the investigation of such allegations, and that acts of retaliation should be reported immediately. However, if an employee is found to have acted in a manner that warrants discipline, any such discipline for his or her actions shall be carried out in accordance with the DPM or CBA.
 4. A final investigation report shall be prepared within 60 days of the initial report of the incident, or as agreed with the DOH Chief Operating Officer.
 5. The Chief Operating Officer shall provide a copy of the investigation report to the Senior Deputy Director of the relevant administration where the incident occurred. It is the responsibility of the Senior Deputy Director to oversee, or delegate authority to appropriate staff within his or her administration for implementation of responsive action.
 6. The DOH Risk Manager shall forward DOH Incident Reports or Incident Investigation Reports to DCORM in accordance with any policies, procedures, or guidance issued by that Office.

	<p>7. If information arises to suggest the possibility of criminal or civil misconduct, or if employees do not cooperate with an official investigation, the Chief Operating Officer may refer the Incident Report or Incident Investigation report to DOH Human Resources, DC Human Resources, the Office of the Inspector General, the Office of the Attorney General, or the Metropolitan Police Department for further review.</p>
VII. Contacts	Risk Manager - 202-442-5846
VIII. Related Documents, Forms and Tools	DOH Incident Report Form