

SOR-RL - Manual Serious Occurrence Reporting Video Transcript

Module 1: Welcome

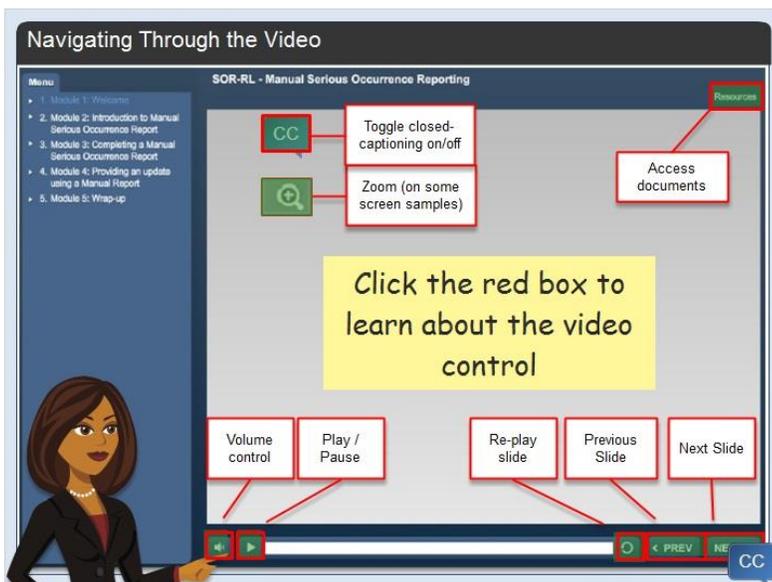
Welcome



Hello and welcome to the Serious Occurrence Reporting and Residential Licensing System training video, for manual serious occurrence reporting.

My name is Lisa. I'm here today to help you understand how to submit a serious occurrence when the Serious Occurrence Reporting and Residential Licensing online tool known as SOR-RL, is temporarily offline, unavailable or inoperative.

Navigation



Take a minute to become familiar with the video controls. Just click the red boxes to learn more. Click the next button when you are ready to begin.

Video Objectives



Let me review the objectives of this learning video.

At the end of the video you will know:

What to do when SOR-RL is temporarily offline, unavailable or inoperative.

How to complete and submit a manual serious occurrence report.

How to complete an update to any serious occurrence report using a manual report.

What to do when SOR-RL becomes available and operative again.

How the manual SOR informs the ministry and how privacy and personal information is protected.

I want to emphasize that I will not be covering any legislation, privacy considerations training, how to use the SOR-RL online tool or SOR guidelines in this video. The video is designed to acquaint you with how to report a serious occurrence and how to provide an update to an existing serious occurrence using a manual serious occurrence report process only.

Watching the Video



I would like to point out the menu on the left. It outlines how we will progress through the content that you are reviewing. You may notice that you can jump from topic to topic, however I suggest that you review the content in the order that it has been laid out for you. You can come back to review a menu item at any time.

You will find the content light and easy to follow. If you can't finish the video in one sitting that's okay. You can rejoin where you left off at any time.

One last thing before we get started, please jot down your questions or comments as you go through the video. I'll let you know where to send your questions or comments in the last module.

Bill: Hi Lisa, it's me Bill. Is it okay if I sit in on this video. I think I should know what to do if I can't submit an SOR in SOR RL.

Lisa: Of course Bill, take a seat.

Agenda



The presentation is made up of modules. Here is a brief overview of what we will be covering in each module.

We're currently in module 1.

Module 2 is the introduction where I'll explain what a manual serious occurrence report is and when to use it.

In module 3, I will demonstrate how to complete and submit a manual report to the ministry. This module will include what happens when the ministry receives a manual serious occurrence report and how it is entered in SOR-RL.

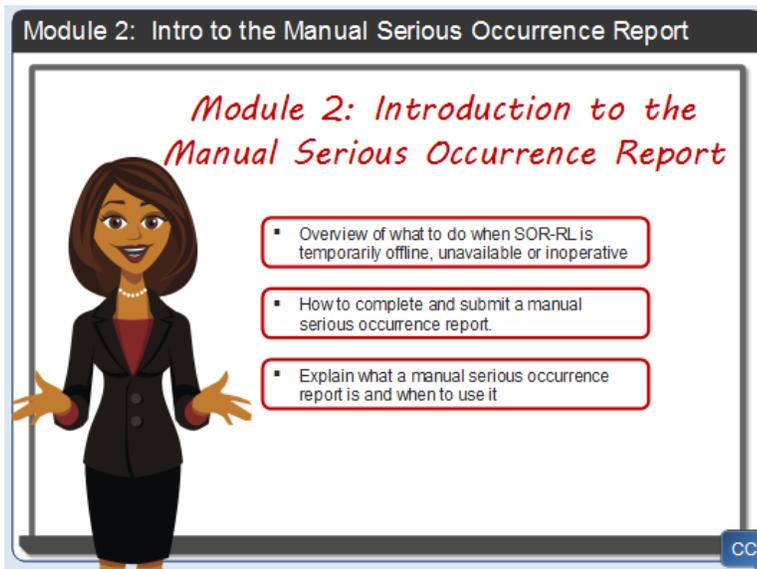
In module 4, I will demonstrate how to provide an update to an existing serious occurrence using a manual SOR and how to submit it to the ministry. This module will also include what happens when the ministry receives the update and how it is entered in SOR-RL.

In the last module I'll give you a list of additional resources and videos you can review.

Let's get started!

Module 2: Introduction to the Manual Serious Occurrence Report

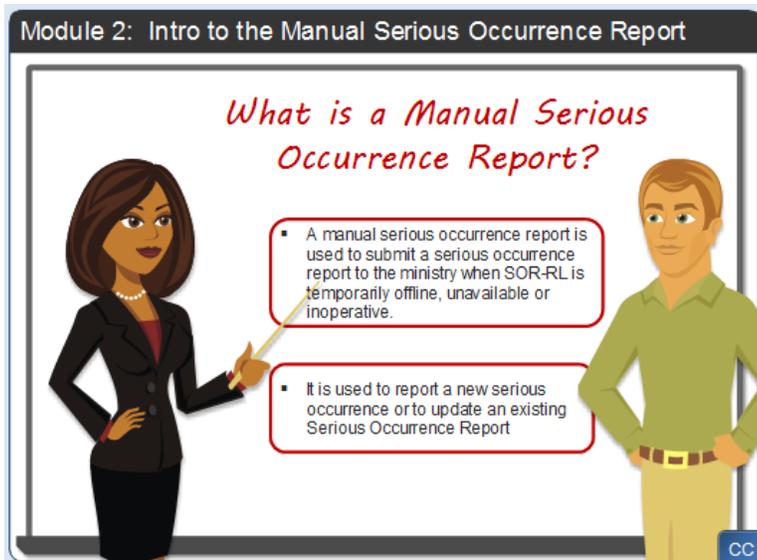
Introduction



In this module, I'll give you an overview of what to do when the SOR-RL online tool is temporarily offline, unavailable or inoperative by explaining how to complete and submit a manual serious occurrence report.

I will also explain what a manual serious occurrence report is and when to use it.

What is a Manual Serious Occurrence Report?



The Manual Serious Occurrence Report is also known as the Manual SOR. It is used to submit a serious occurrence to the ministry when SOR-RL is temporarily offline, unavailable or inoperative.

Bill: Will this happen often?

Lisa: It is not expected to happen often Bill. However, SOR-RL may not work if there are internet connection challenges, power outages or system-wide issues. A manual report will only be used when something goes wrong with SOR-RL.

Bill: What should I do if this happens?

Lisa: Good question Bill. When you are ready to submit a serious occurrence and have a problem using the SOR-RL online tool, you should take reasonable steps to identify and resolve the technical issue, such as contacting your organization's I T support if you have time to do this. If you are unable to resolve the technical issue, then you should contact your designated ministry contact to let them know about the issue.

Bill: Thanks Lisa.

Lisa: If the designated ministry contact is unable to resolve the technical issue, and SOR-RL is temporarily offline, unavailable or inoperative, a Manual SOR must be submitted to the ministry within the reporting timeframes as defined in the Serious Occurrence Reporting Guidelines also known as the SOR Guidelines. Please refer to them if you need to. You can also find a training video on the guidelines on this portal.

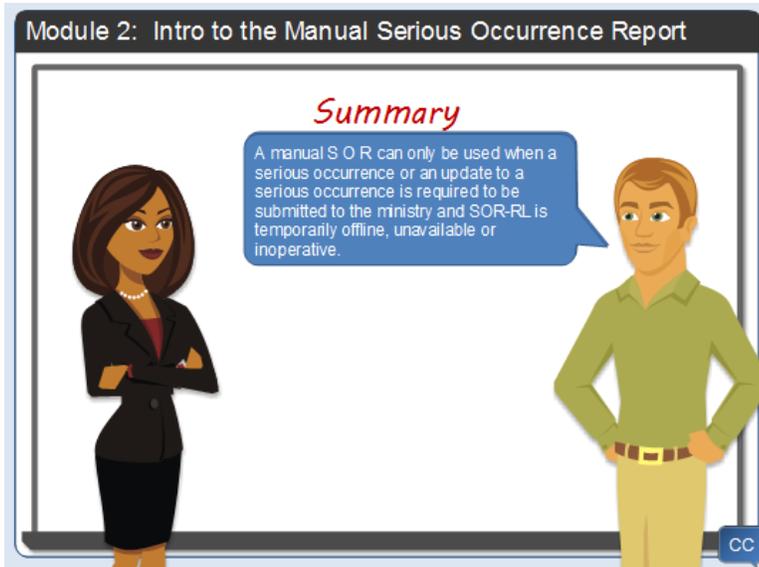
The Manual SOR can be used to report a new serious occurrence or to update an existing Serious Occurrence Report and is submitted to a ministry designate which is also referred to as the SOR Coordinator. Supporting documentation may also be submitted with the Manual SOR.

When SOR-RL is not operative for the service provider but is operative for the ministry, the designated SOR Coordinator will enter the manual SOR details into SOR-RL for the service provider and upload a copy of the Manual SOR and any other received supporting documentation.

When it is not possible for the ministry SOR Coordinator to use SOR-RL to enter the manual SOR details for the service provider, the service provider will enter all information, upload the manual SOR and upload any supporting documentation when SOR-RL becomes available.

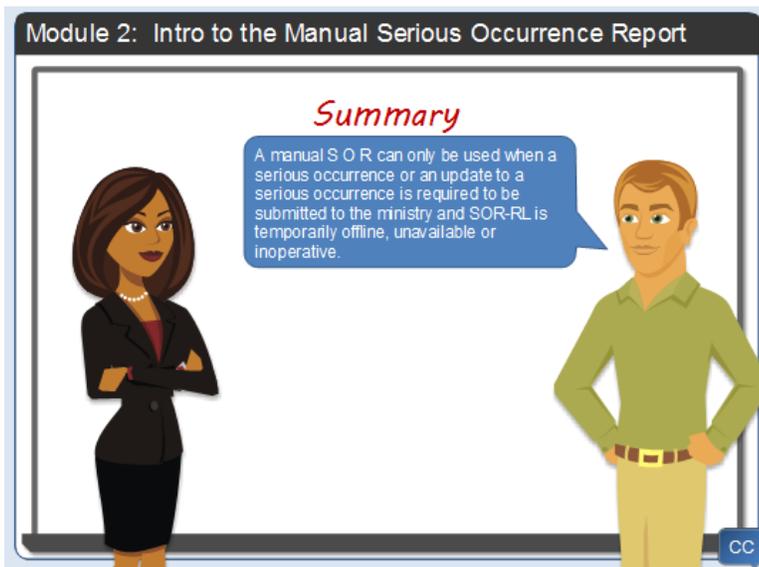
I will talk more about how to do these things in more detail later on in the video.

Summary



Bill: Lisa, let me see if I understand this correctly.

A manual SOR can only be used when a serious occurrence or an update to a serious occurrence is required to be submitted to the ministry and SOR-RL is temporarily offline, unavailable or inoperative.

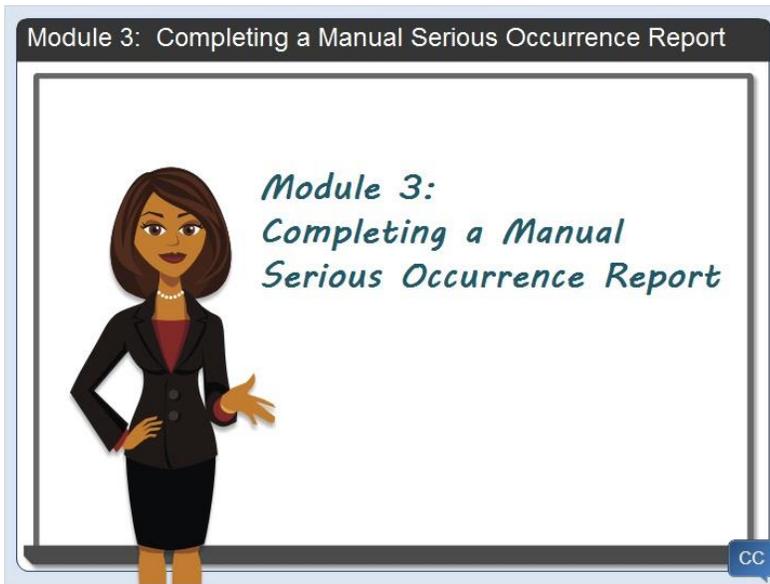


In any other circumstance, SOR-RL is the required method to use when submitting a serious occurrence or an update.

Lisa: Exactly. Let's go on and see how to complete a manual SOR.

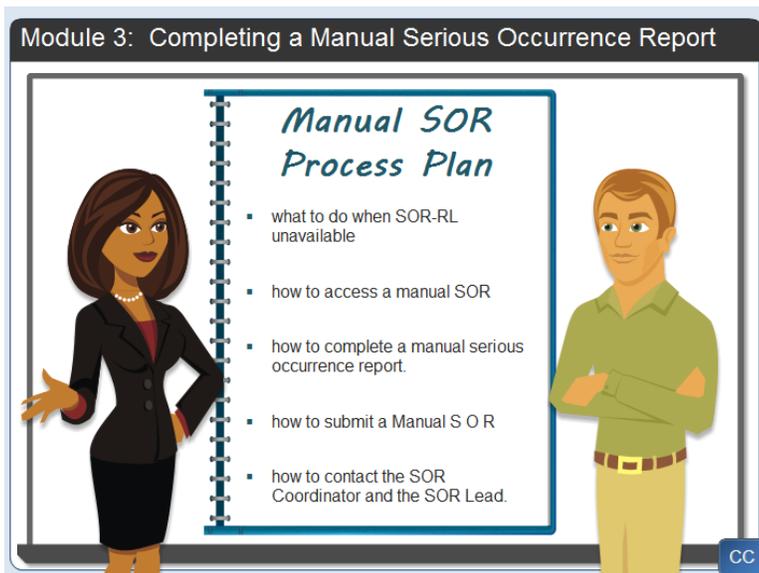
Module 3: Completing a Manual Serious Occurrence Report

Introduction



In this module, I will show you what a manual serious occurrence report looks like and how to submit one to the ministry.

Manual SOR Process Plan

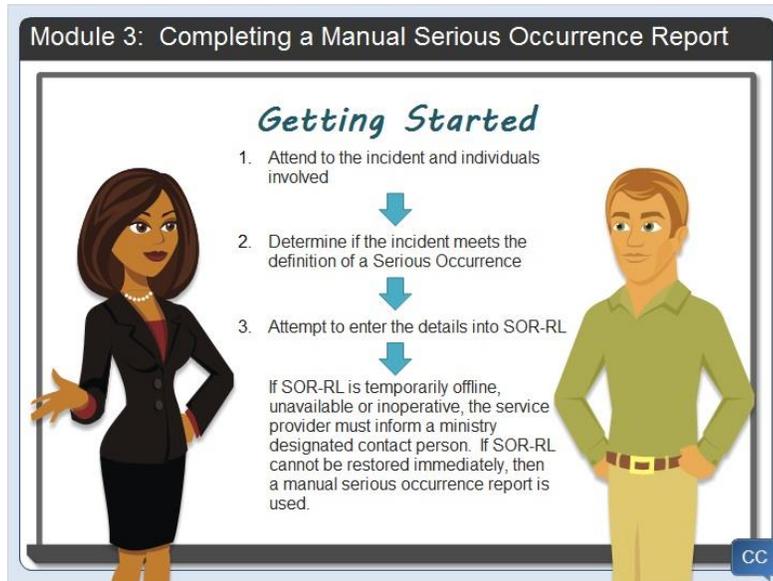


Having a Manual SOR process is a required part of the service providers policies and procedures. Staff will need to know what to do when SOR-RL is unavailable and how to access and complete a manual SOR. Policies and procedures will also need to include how to submit the Manual SOR, and how to contact the SOR Coordinator.

Bill: It Sounds like my agency would benefit from a well thought out plan to ensure that access to the Manual SOR Business Process and Report template is available when SOR-RL is offline, inoperative or unavailable. The power might go out one day, and I want to be prepared.

Lisa: That a good idea Bill. Adding a solid plan to a serious occurrence policy and procedure will get you ready for when you may need to submit one manually.

Getting Started



Let's start by reviewing what to do when a serious occurrence happens:

Whenever a serious incident happens, a service provider should:

Attend to the incident and individuals involved.

Then, determine if the incident meets the definition of a Serious Occurrence.

If the individuals involved have been attended to and it has been determined that an incident meets the definition of a serious occurrence, a service provider should first attempt to enter the details into SOR-RL.

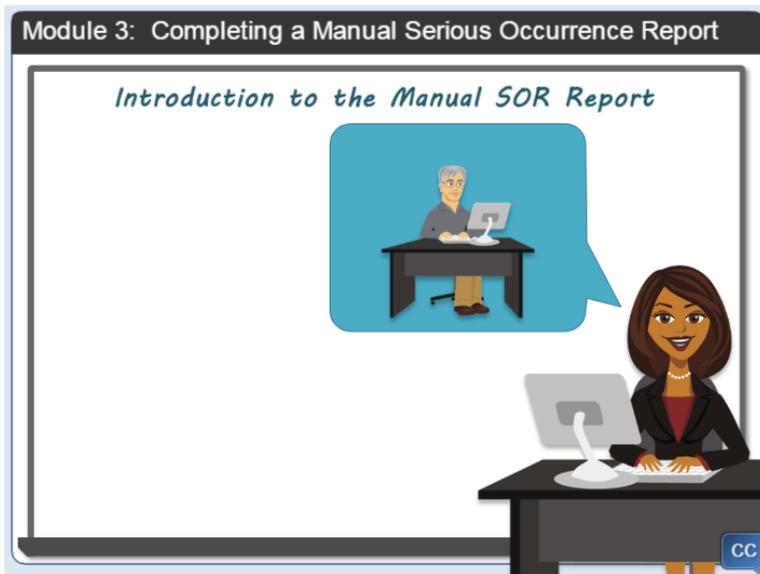
If SOR-RL is temporarily offline, unavailable or inoperative, and reasonable steps have been taken to resolve the issue, the service provider must inform the SOR Coordinator. If SOR-RL cannot be restored immediately, then a manual SOR is used to report a new serious occurrence.

Bill: What if I can't find a manual serious occurrence report template to complete or I don't know who to submit it to?

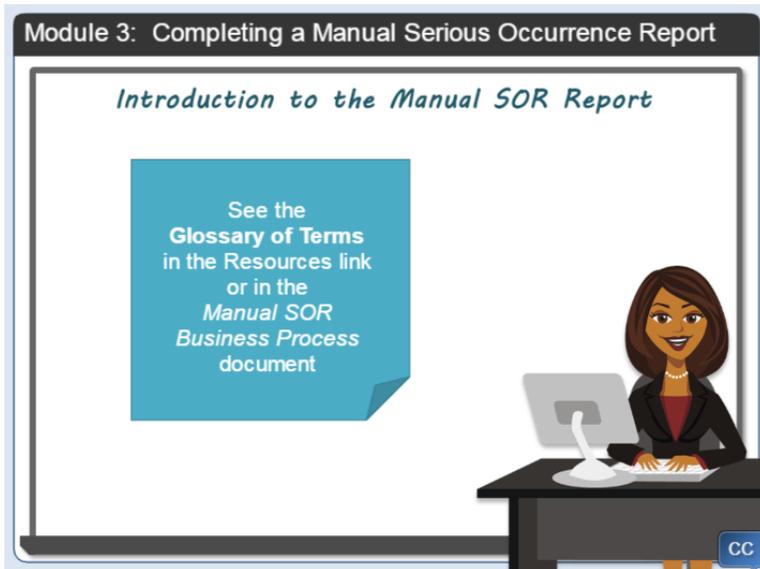
Lisa: A service provider is required to have serious occurrence reporting policies and procedures that include how to report a serious occurrence when SOR-RL is offline, unavailable or inoperative. If you can't find a Manual SOR template to use, then one can be provided to you by contacting a designated ministry SOR Lead or SOR Coordinator. In some cases, the SOR Coordinator may need to take steps to receive and record the serious occurrence information by phone.

Let's take a closer look at how to complete a new manual serious occurrence report.

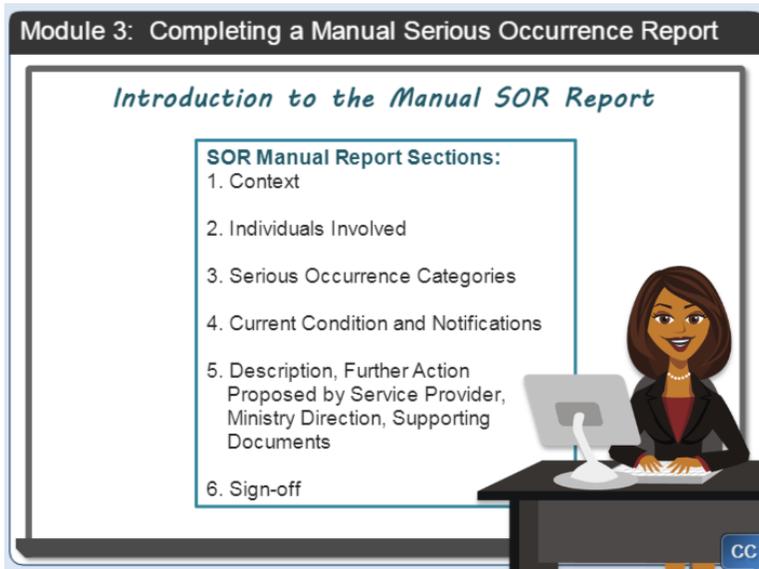
Introduction to the Report



The manual SOR can be completed by entering the details into the electronic fillable report template or you can print it off and complete it by hand.

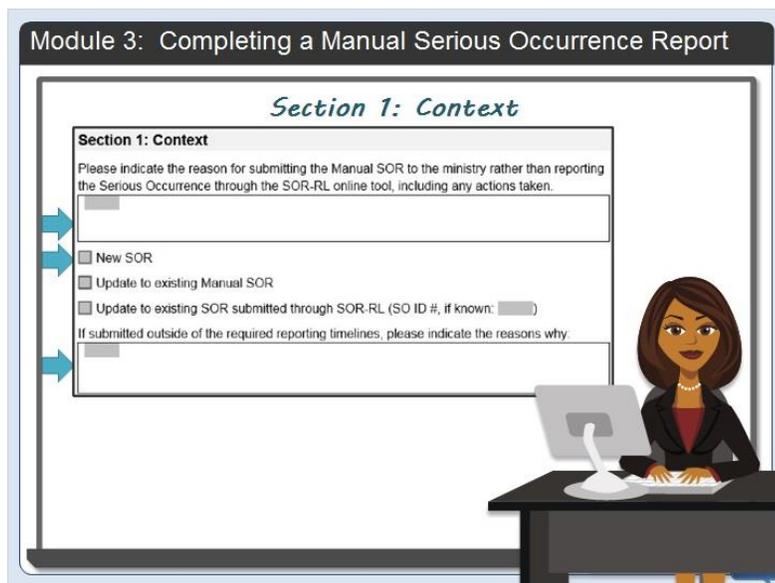


As you complete the manual SOR you may see an unfamiliar term. If this happens, please see the Glossary of Terms in the resources section of this video or in the manual SOR business process for more information.



The report template is comprised of six sections. In the next slides, I'll walk you through how to complete each section.

Section 1: Context



Section 1 provides the context of the serious occurrence. As you can see, the first part is where you include information about the reasons why a manual serious occurrence is being submitted, and what actions have been taken to resolve the technical issues.

The same report template will be used for both a new serious occurrence and for an update to an existing serious occurrence. Next, in this area, you indicate that it is a new SOR.

I will show you how to use the manual serious occurrence report to update a serious occurrence in Module 4.

Lastly, you indicate if the serious occurrence report is being reported outside of the reporting timelines.

If this is the case, it is important to include the reasons why it is being reported late.

Section 1a: Site Information

Module 3: Completing a Manual Serious Occurrence Report

Section 1a: Site Information

1a. Site Information

Region: Central East North Toronto West Youth Justice Directly Operated Facility Probation Office

Legal Name of Service Agency: _____

Program Site Name of the Service Agency: _____

Program Site Address Line 1: _____

Program Site Address Line 2: _____

TPR# (Transfer Payment Recipient number from the service contract): _____

Licence ID (for licensed children's residences and foster care programs) _____

Section 1 A is where you enter the site information details.

Starting at the top, select the region where the service provider is located.

Bill: Lisa, how do I know what provincial region my agency's program or service is located?

Lisa: You can find what region your program or service is in many ways Bill. You can try asking a colleague, find it on the MCCSS website or contact the SOR Coordinator.

Bill: Ok, thanks Lisa.

Lisa: Then you enter the legal name of the service provider.

In the next sections you enter the program site name and complete address of the service agency.

If the service provider is a government funded transfer payment agency, enter the Transfer Payment recipient number (TPR), otherwise leave this section blank.

And the last section is where you enter the licence number if the service is licensed as a children's residence, staff model homes or a foster care agency.

Section 1b: Serious Occurrence Details

Module 3: Completing a Manual Serious Occurrence Report

Section 1b: Serious Occurrence Details

1b. Serious Occurrence Details

Level of SOR:
To determine SOR levels, refer to the *MCCSS Serious Occurrence Reporting Guidelines* for definitions and reporting requirements.

Level 1 (report to Ministry within 1 hour) Level 2 (report to Ministry within 24 hours)

Date and Time of Serious Occurrence:

Date (yyyy/mm/dd): _____

Time (hh:mm xm): _____

Date and Time of becoming aware of the SO/incident being deemed an SO:

Date (yyyy/mm/dd): _____

Time (hh:mm xm): _____

Date and Time of Notification (by phone or email) to Ministry (if applicable):

Date (yyyy/mm/dd): _____

Time (hh:mm xm): _____

Ministry contact: _____

Section 1B includes the time and date of the Serious Occurrence in addition to the level of a serious occurrence.

Select whether the serious occurrence level is a level 1 or a level 2. If you are unsure about the serious occurrence levels, please see the serious occurrence reporting guidelines for definitions and reporting requirements. You can also watch a video on the serious occurrence reporting guidelines that is available in this portal.

I also want to point out that the reporting timelines have been provided next to the applicable check box so that you will know when the serious occurrence report is required to be sent to the ministry.

Next, select the date and time of the serious occurrence. This information must be recorded sequentially as indicated on the report template. For example, for the date, the entry must be the year, month and day specifically in that order. For the time, the entry must be the time by recording the hour, minutes and time of day and include AM or PM.

Next, enter the date and time of becoming aware of the serious occurrence and being deemed a serious occurrence. Again, the date and time of occurrence must be entered sequentially, as requested on the report.

Bill: I am not sure I understand that last point Lisa; can you give me an example?

Lisa: Sure Bill.

Betty hurt her leg on June 1, at 12:00 P M while on a home visit in the community. On June 2, Betty disclosed that she had an injury to her foster parents at 5:00 PM and requested to go to the hospital due to leg swelling and pain. In this example, the date and time of the occurrence is June 1, at 12:00 PM. The date and time of becoming aware of the serious occurrence and deeming it to be a serious occurrence is June 2, 2019 at 5:00 PM.

Bill: That makes sense, I understand it now.

Lisa: One last thing to remember Bill. In the example I shared, if the foster care agency contacted the

ministry at 5 p.m. by phone and then later submitted a manual SOR at 8 p.m., the manual SOR will need to provide this information by including the ministry staff person contacted, and the date and time in the space provided.

The last area in section 1B is for the date and time you notified the ministry by phone or email if applicable.

Let's move on to Section 2 of the report.

Section 2: Individuals Involved

Module 3: Completing a Manual Serious Occurrence Report

Section 2: Individuals Involved

Provide a numeric value for each involved individual and all related details. Attach additional pages as needed. Please refer to the *Manual SOR Business Process Glossary of Terms*.

Additional pages for Section 2 attached

Number of individuals involved in the occurrence

SO does not involve individuals (e.g. an SO relating to a site only)

| Individual(s) (if applicable) | Age (do not include date of birth) | Program at time of serious occurrence | Identifier (if applicable) (ex. CPIN #, DSCIS #, YOTIS #) | Legal Guardian Status (include all that apply) | Youth Justice YP Identifying Factors (if applicable) | Placing Agency (if applicable) |
|---|---------------------------------------|---------------------------------------|--|---|--|--------------------------------|
| Provide each individual with a number (e.g. Individual #1, etc.). Do not include names or initials. | | | | | | |
| Individual # (e.g. Individual #1) | | | | | | |
| Individual # | | | | | | |

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Section 2 includes the information about the individuals involved in a serious occurrence.

As we walk through this section, you will notice on this part of the template, that steps have been taken to protect privacy and confidentiality of the individual(s) involved in the serious occurrence.

Full names or initials of individuals involved in the occurrence, including residents, clients, staff persons, guardians, or other individuals who would be identifiable through the inclusion of their personal information, should not be included in the Manual SOR.

Individuals are listed numerically to protect the privacy and confidentiality of the involved individuals. It is important to keep the same numerical value for an individual as you complete the template, as this number will be requested again in various sections of the document.

Bill: This is different than when I use SOR-RL to submit a serious occurrence Lisa. Why isn't it important to protect the names of the individuals when I use SOR-RL?

Lisa: Full names are entered in SOR-RL because it has built-in privacy and security safeguards that the Manual SOR does not. Once access to SOR-RL is restored, service providers will be asked to provide detailed information. The SOR Coordinator or SOR Lead may contact you to request more information if it is needed in a secure manner such as by telephone or in person.

The manual SOR has space for three individuals. If more than three individuals are involved in the serious occurrence, please use additional pages. If you use additional pages, then this should be

marked in the checkbox provided at the top of this section.

Enter the number of individuals involved in the occurrence in this box.

If the serious occurrence is related to a site and not related to any individuals, there is a checkbox at the top of the section to indicate that a “SO does not involve individuals”. If this is the case, no information is entered in the space provided for individuals.

Let’s talk about entering the details of a serious occurrence. When there are individuals involved, the details for each individual gets added to the report in spaces provided.

As mentioned earlier, individuals added to the report will be added with a number to represent each one. It is expected that the numbers will be sequential starting with Individual 1, then 2 etc. and that the assigned number is consistent throughout the report.

In the second column, record the individual’s age with a numeric number and not by the date of birth. For example, a 13-year-old youth born July 10th should be recorded as only a 13 year old. This will help to protect the privacy and confidentiality of the individual.

Bill: What if I don’t know the individual’s age?

Lisa: You cannot leave this field blank so enter an approximate age. You will be able to update the age later.

Enter the applicable program or service at the time of the serious occurrence.

The CPIN, DSCIS or YOTIS number of the individual is entered next in the space provided if it is known.

Legal Guardian Status is next, if this is applicable. Examples are “a child in temporary care” or a “parent”.

In the next column, enter youth Justice program identifying factors if applicable. Examples include, probation services or custody placement.

Enter the placing Agency if applicable. Examples include a children’s aid society, or a community living

All details requested in this section should be completed for all the involved individuals listed.

Bill: What if my agency provides services to Youth Justice youth and non-Youth Justice youth? Do I include all the information about the involved youth on one form?

Lisa: No Bill. Just like the SOR-RL reporting requirements, Service Providers who provide services in one location for YJ youth and non YJ youth will submit the YJ youth information to the designated YJ SOR Coordinator and a separate one for the non YJ youth to the designated non YJ SOR Coordinator. There will be two different reports to protect the identity and confidentiality of the YJ youth ensuring that only a limited number of people can access this information.

Section 3: Serious Occurrence Categories

Module 3: Completing a Manual Serious Occurrence Report

Section 3: Serious Occurrence Categories

List each individual involved in the SO and identify all SO categories and subcategories applicable for each. Refer to the MCCSS Serious Occurrence Reporting Guidelines. Attach additional pages as needed.

Additional pages for Section 3 attached

SO does not involve individuals (e.g. an SO relating to a site only)

| Individual(s) (if applicable) | SO Category(s) and Subcategory(ies) |
|---|---|
| Please include all individuals (with their corresponding number) from section 2 | Please list all categories and subcategories applicable to the individual(s), according to the MCCSS Serious Occurrence Reporting Guidelines, 2019 or Manual SOR Business Process Appendix A. |
| Individual # _____ | _____ |
| Individual # _____ | _____ |

*Section 3:
Serious
Occurrence
Categories*



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Section 3 includes information about the individuals involved in the serious occurrence that were listed in the previous section and the category and sub-category of serious occurrence for every individual.

When there are more than three individuals involved additional pages are needed, there is a check box on the report at the top of this section to indicate additional pages are used.

In the first column, it is important to include all the individuals listed in section 2 again using the same represented numbers. Next, the serious occurrence category and sub-category that is applicable for each individual is recorded in column 2.

Categories and sub-categories can be found in the Serious Occurrence Reporting Guidelines and in the resources link in this video.

Section 4: Current Condition and Notifications

Module 3: Completing a Manual Serious Occurrence Report

Section 4: Current Condition and Notifications

Please indicate the current condition with respect to circumstances of each individual involved in the SO and all notifications made related to the individual. Attach additional pages as needed.

Additional pages for Section 4 attached

SO does not involve individuals (e.g. an SO relating to a site only)

| Individual(s) (if applicable) | Current Condition of Individual | Notifications |
|---|---------------------------------|--|
| Please include all individuals (with their corresponding number) from section 2 | | Please indicate all notifications made as a result of the serious occurrence. Reporting requirements and notifications vary by SOR category. Please refer to the <i>MCCSS Serious Occurrence Reporting Guidelines</i> . |
| Individual #: | | |
| Individual #: | | |

Section 4: Current Condition and Notifications



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Section 4 is where current condition or sometimes what is referred to as the current status is recorded and any notification information.

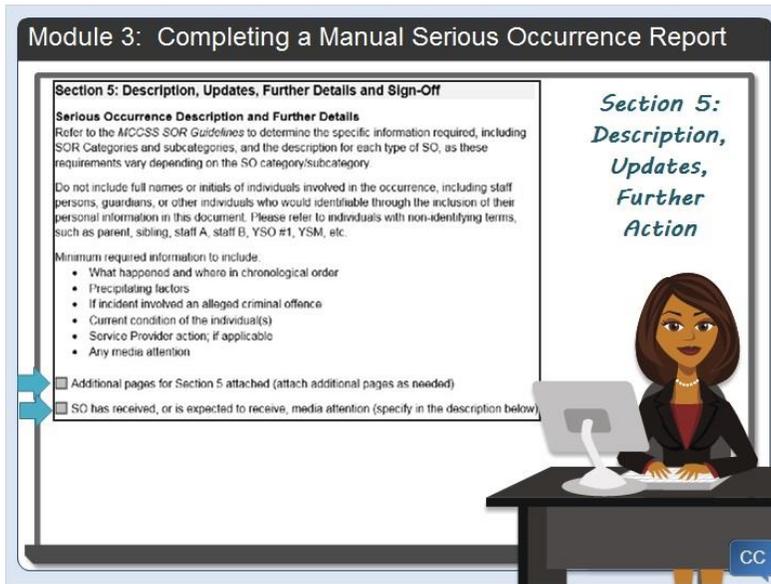
Start by entering the same identifying number for each individual involved in the serious occurrence that was listed in the previous sections.

In the second column, enter each individual's current condition. Examples are: Individual 1 is resting in hospital at this time, or Individual 2 appears to be fine.

In column 3, record any notifications made as a result of the serious occurrence. Examples are: Parent of Individual 1 was notified, or placing agency of Individual 2 was notified.

Reporting requirements and notifications vary by SOR Category. More information can be found in the Serious Occurrence Reporting Guidelines.

Section 5: Description & Further Details



Section 5 is where the description of the serious occurrence is entered.

Here are some tips to complete this section:

Do not include full names or initials of individuals involved in the occurrence, including staff persons, guardians, or other individuals who would be identifiable through the inclusion of the personal information in this section. Individuals can be referred to with non-identifying terms such as parent, sibling, staff A, youth officer A, etc.

If specific detailed information is needed, the ministry SOR Lead or SOR Coordinator may contact you in a secure manner such as by phone or in person to obtain more information at any time.

Bill: What other information might I be asked to provide Lisa?

Lisa: You may be asked to identify the names of the individuals so that they can enter it into SOR-RL. This information should not be provided by regular email to protect the privacy and confidentiality of the individuals.

If additional pages are used, remember to click the check box.

At the bottom of this section, indicate if the SO has received, or is expected to receive media attention. You'll be able to enter details of any media attention in section 5A. Let's go on and look at how to complete the rest of section 5.

Section 5a: Description of Serious Occurrence

Module 3: Completing a Manual Serious Occurrence Report

Section 5a: Description of Serious Occurrence

5a. Description of serious occurrence (see minimum requirements above)

- What happened and where in chronological order
- Precipitating factors
- If the incident involved an alleged criminal offence
- Current status or condition of the occurrence
- Service provider action; if applicable
- Any media attention



In section 5A, enter the details of the serious occurrence without using any personal or identifying information.

Be sure to include a narrative describing the following:

- What happened and where in chronological order
- Precipitating factors
- If the incident involved an alleged criminal offence
- Current status or condition of the occurrence
- Service provider action; if applicable, and
- Any media attention

Section 5b: Further action proposed by service provider

Module 3: Completing a Manual Serious Occurrence Report

Section 5b: Further action proposed by Service Provider

5b. Further action proposed by Service Provider: (Include what steps you plan to take to respond to the serious occurrence and any follow up)

- what steps are planned in response to the serious occurrence
- details of any planned follow-up actions and treatment plans in response to this occurrence



Section 5B includes any further action proposed by the service provider including what steps are planned in response to the serious occurrence. This section includes all details of any planned follow-up actions and treatment plans in response to this occurrence.

Section 5c: Direction

The slide is titled "Module 3: Completing a Manual Serious Occurrence Report" and "Section 5c: Direction". It contains a text box with the following text: "5c. Direction, if any, provided by Ministry: Include any direction provided by the ministry including the ministry staff name and method of contact". Below this text box is a list of bullet points: "specific direction provided by the ministry", "details about who was contacted and what direction was provided in addition to the date and time", "include the ministry staff person's name, position or title if it is known", and "other relevant information". To the right of the text box is an illustration of a woman with dark hair, wearing a black blazer and a red top, sitting at a desk with a laptop. A small blue "CC" icon is in the bottom right corner of the slide.

Section 5C is where the service provider enters specific direction provided by the ministry when direction is given. The details about who was contacted and what direction was provided is included here, in addition to the date and time. You can include the ministry staff person's name, position or title if it is known and any other relevant information.

Section 5d: Supporting Documents

The slide is titled "Module 3: Completing a Manual Serious Occurrence Report" and "Section 5d: Supporting Documents". It contains a text box with the following text: "5d. Supporting Documents, if any (Please list):". Below this text box is a list of bullet points: "Examples: corresponding incident report, corresponding news article or a picture." and "include details about what supporting documentation is being included". To the left of the list is a blue callout box with the text: "Supporting documentation is any document that the service provider deems necessary to support the review of the SOR or that the ministry requests to be included with the Manual SOR". To the right of the text box is an illustration of a woman with dark hair, wearing a black blazer and a red top, sitting at a desk with a laptop. A small blue "CC" icon is in the bottom right corner of the slide.

As part of your submission, you may include supporting documentation. Supporting documentation is any document that the service provider deems necessary to support the review of the SOR or that the

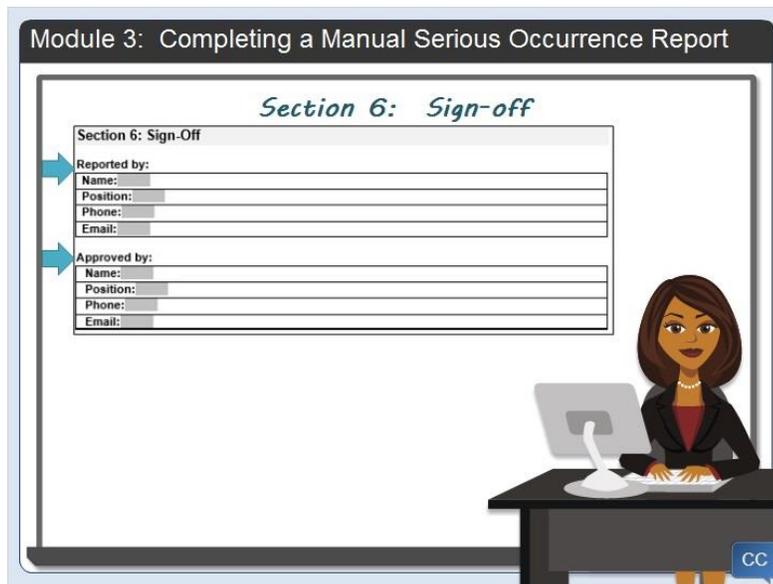
ministry requests to be included.

Service providers should only include documents that are directly relevant to the SOR.

Examples of supporting documentation is a corresponding incident report, news article or picture. There may be other types of documents that are deemed to be important.

In this section, it is necessary to include the details about what supporting documentation is being included.

Section 6: Sign-off



You can see that there are two parts to the sign off section of this report for service providers. The “Reported By” area is used to record the details of who has completed the manual serious occurrence report.

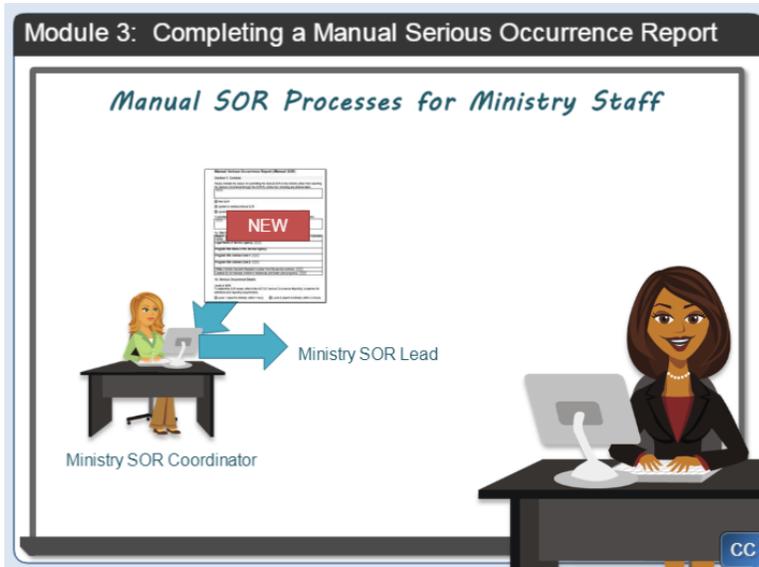
The “Approved By” area is used to record the details of who has approved the completed manual serious occurrence report.

Approving a manual SOR is not mandatory but many service providers have internal policies and procedures that require an approval by a senior person prior to submitting it to the designated SOR Coordinator.

If the service provider does require a manual SOR to be approved through an internal process, then the details of who approved the manual report is recorded.

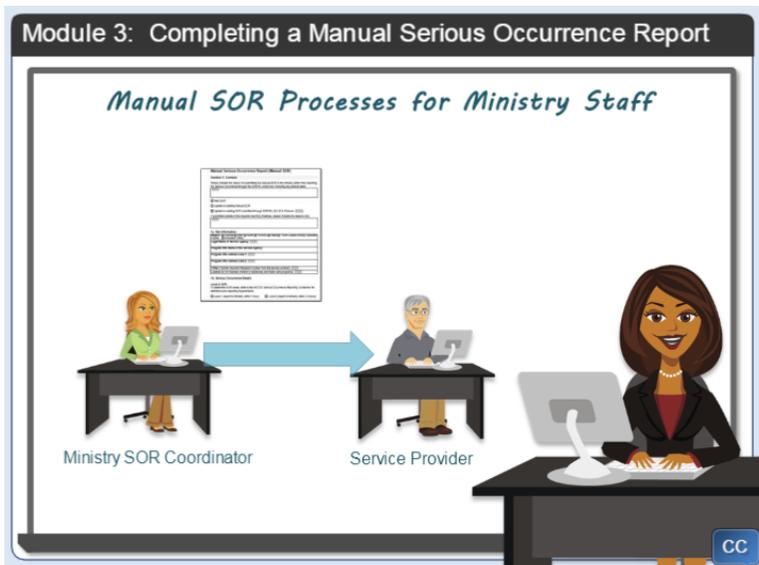
coordinator, and the non Y J youth information will be only provided to the designated non Y J SOR Coordinator. These are two separate reporting processes.

Manual SO Processes for Ministry Staff



Let's talk more about what happens when the ministry receives a manual SOR.

If the ministry has access to SOR-RL, the ministry SOR Coordinator will enter the details of a new serious occurrence in SOR-RL on behalf of the service provider. The individuals' names will be entered as xxx and if the age was not provided, the SOR coordinator will enter the approximate age. The service provider will be able to update the information when SOR-RL is available. The manual SOR and any supporting documents will be uploaded to SOR-RL as a document under "further details". SOR-RL will notify the applicable parties through the system, such as notifying the SOR Lead.



If an update is submitted for a new manual serious occurrence, the ministry SOR Coordinator will enter the updated details in SOR-RL on behalf of the service provider. Once again, the updates to the

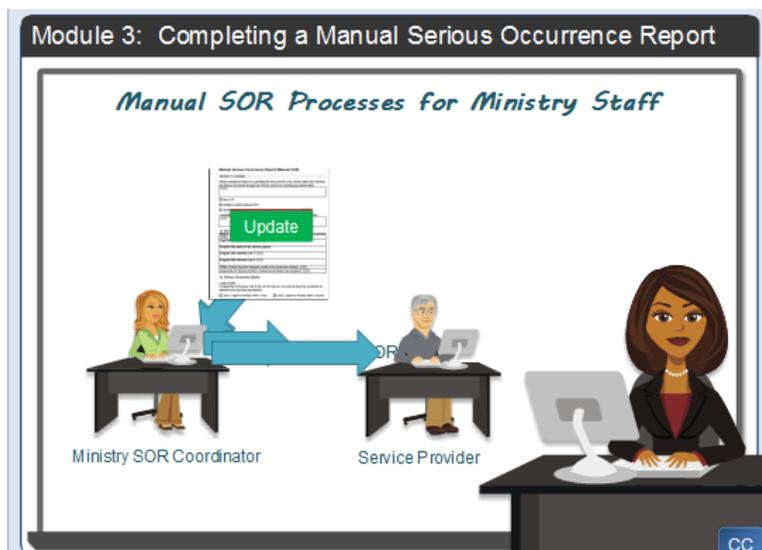
manual SOR and any supporting documents will be uploaded to SOR-RL under “further details”.

When SOR-RL becomes available, the ministry will re-assign the SOR Initiator role to the service provider. This involves contacting the SOR-RL Central Support Services to make a formal request to change the SOR Initiator role to the Service Provider. When this is completed, the SOR Coordinator will inform the service provider and the SOR Lead that the change has occurred.

Next, the service provider will need to review and provide edits or updates to what has been entered into SOR-RL by the ministry SOR Coordinator or the SOR Lead. The service provider may also choose to upload any supporting documents under “further details”.

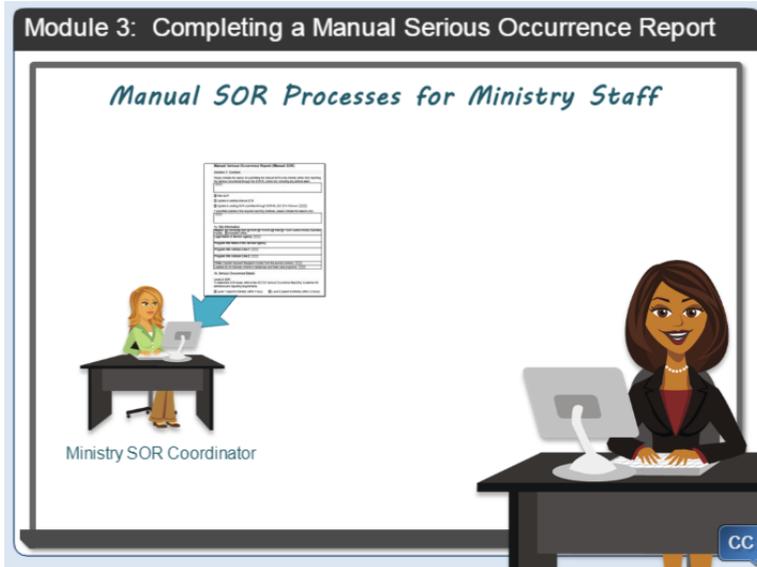
The service provider will continue to provide updates in SOR-RL until the ministry deems the SOR to not require any further updates

Manual SOR Processes for Ministry Staff



Bill: Lisa...I wonder what happens if SOR-RL is also not working for the ministry?

Lisa: Good question Bill. If the ministry cannot access SOR-RL, the manual SOR will become the only accessible source of information. All actions taken by the ministry will be recorded as a supporting document in addition to manual SOR. The ministry SOR Coordinator will ensure that all required parties are notified of the Manual SOR details in an alternative manner.

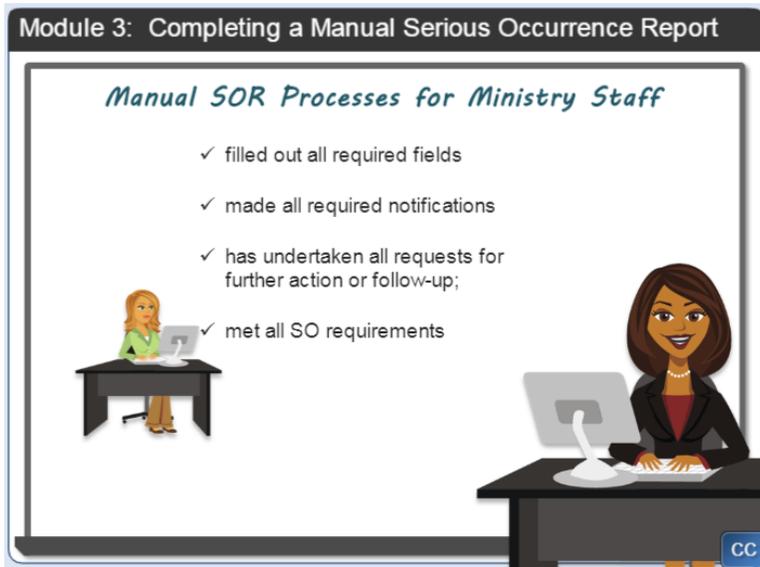


When SOR-RL is back online, the ministry will inform the service provider and the manual SOR and all associated supporting documentation will be uploaded to SOR-RL by the SOR Coordinator.

Then the service provider will enter all the details of the serious occurrence, including any updates and may choose to upload the manual SOR or other documentation.



Once again, the service provider will continue to provide updates in SOR-RL until the ministry deems the SOR to not require any further updates.

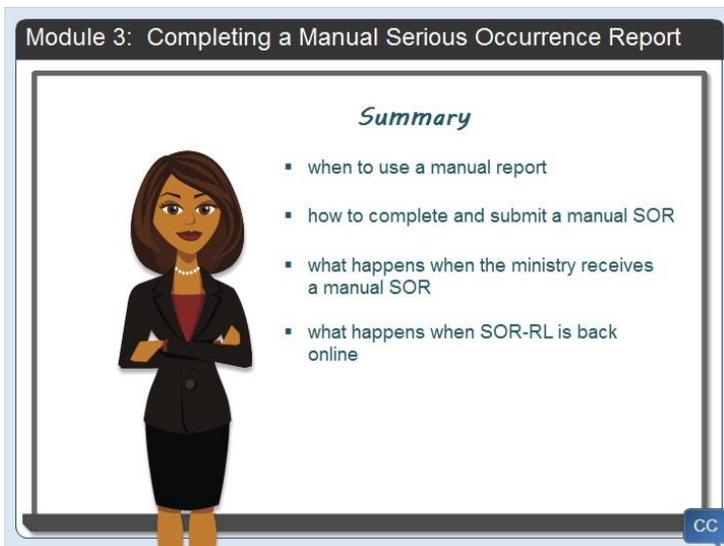


The ministry will determine when no further action is required. The SOR Lead will review each SOR to determine when no further action is required from the Service Provider. This includes checking that the Service Provider:

- filled out all required fields;
- made all required notifications;
- has undertaken all requests for further action or follow-up; and
- met all SO requirements.

It is important to note that what I described is the anticipated process to be used by the ministry when receiving a manual SOR. However, in some cases, the steps described may be completed differently because local office practices may vary by region or by corporate office.

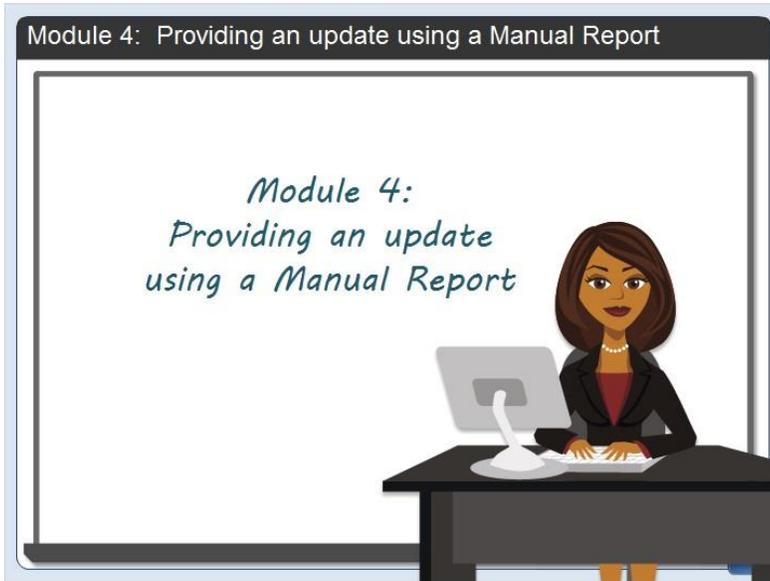
Summary



In this module, you learned when to use a manual report, how to complete and submit a manual report, what happens when the ministry receives a manual SOR and what happens when SOR-RL is back online.

Module 4: Providing an update using a Manual Report

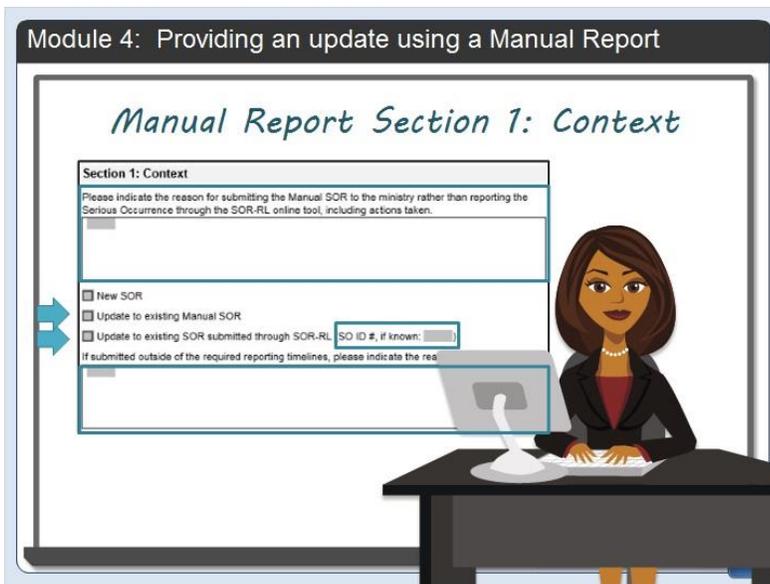
Introduction



If SOR-RL is offline, unavailable or inoperative when an SOR update is required, or when new information becomes available, service providers must complete the Manual SOR to provide the update and submit it to the designated ministry SOR Coordinator. A Manual SOR update must be submitted within the reporting timeframes as defined in the Serious Occurrence Guidelines.

In this short module I'll explain how to submit an update with a manual SOR.

Manual Report Section 1: Context



Section 1 of the manual SO report provides the context of the serious occurrence.

Bill: Lisa I remember reviewing this part of the form earlier in the video.

Lisa: Yes, you are correct Bill. You will find that the process on how to complete and submit a new manual SOR is the same process as submitting an update for a serious occurrence. You can review this information again in module 3.

If you recall, when SOR-RL is temporarily offline, unavailable or inoperative, and reasonable steps have been taken to resolve the issue, the service provider must inform the SOR Coordinator. If SOR-RL cannot be restored immediately, then a manual serious occurrence report is used to report an update to a serious occurrence.

Let's look again at the first part of the form which includes information about the reasons why a manual serious occurrence is being submitted.

In the case of an update, you would select either the update to existing Manual SOR checkbox, or the update to existing SOR submitted through SOR-RL checkbox. If you select the second checkbox, you should enter the SO ID number if known.

Next, I would like to point out that there is a place to document whether the update to the serious occurrence is being submitted outside of the reporting timelines. It is important to include the reasons why if it is being submitted late.

The manual SOR is to be completed with all the details even if the original SOR was submitted through SOR-RL previously. Service providers should be mindful of privacy and confidentiality when completing a Manual SOR, and when providing updates making sure to comply with applicable legislative and policy requirements.

If the ministry has access to SOR-RL, the ministry SOR Coordinator will enter the details of the updated serious occurrence in SOR-RL on behalf of the service provider. In order to do this, the ministry will contact SOR-RL Central Support Services to reassign the SOR so that the ministry can become the SOR Initiator. When this is completed, the SOR Coordinator will inform the ministry SOR Lead of the change. The manual SOR updates and any supporting documentation will be uploaded to the SOR-RL as a document under "further details". SOR-RL will notify the required parties through the system automatically.

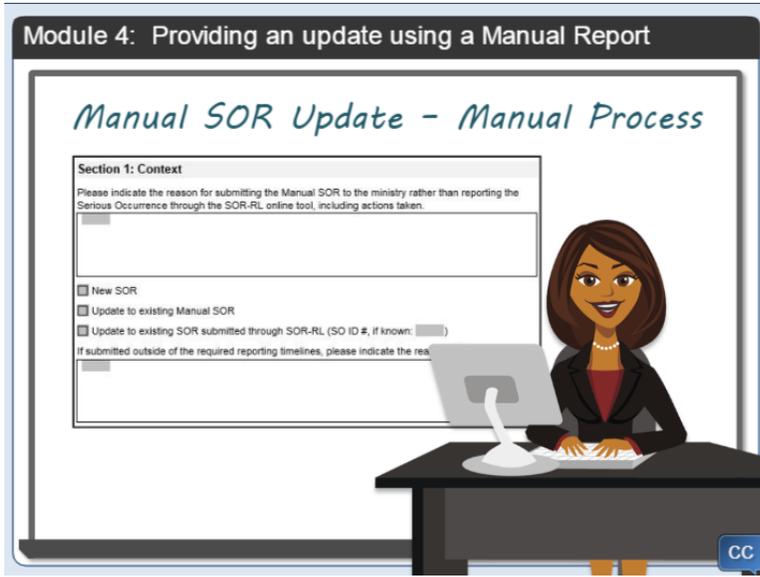
If more updates are provided manually, the ministry SOR Coordinator will continue to enter the updated information provided in SOR-RL on behalf of the service provider.

The Service Provider will inform the SOR coordinator when SOR-RL becomes available and the SOR coordinator will take steps to return the role of SOR Initiator to the service provider by contacting SOR-RL Central Support Services. When this is completed, the SOR Coordinator will inform the service provider and SOR Lead that the change has occurred.

The service provider will need to review and provide edits or updates to what has been entered to SOR-RL by the ministry SOR Coordinator. The service provider may also choose to upload any supporting documents under "further details".

The service provider will continue to provide updates in SOR-RL until the ministry deems the SOR to not require any further updates.

Manual SOR Update – Manual Process



When the ministry also does not have access to SOR-RL, the manual SOR and any supporting documentation will become the only accessible source of information. All actions taken by the ministry will be recorded as a supporting document to the manual SOR update. The ministry SOR Coordinator will ensure that all parties are notified in an alternative manner and will record all actions taken.

Bill: I understand now, why service providers must provide all the serious occurrence details in the Manual SO Report when providing an update to an existing serious occurrence even when it was originally entered into SOR-RL.

Lisa: That is right Bill. The ministry may not be able to access SOR-RL to see the important information and related details.

The Service Provider will inform the ministry when SOR-RL is back on line, or the ministry may inform the service provider depending on who knows first. The manual SOR update and any associated supporting documents will be uploaded to SOR-RL by the SOR Coordinator and inform the SOR Lead.

Then the service provider will enter any other details or make changes to the information in SOR-RL. The service provider may also choose to upload the manual SOR update or other documents as supporting documentation.

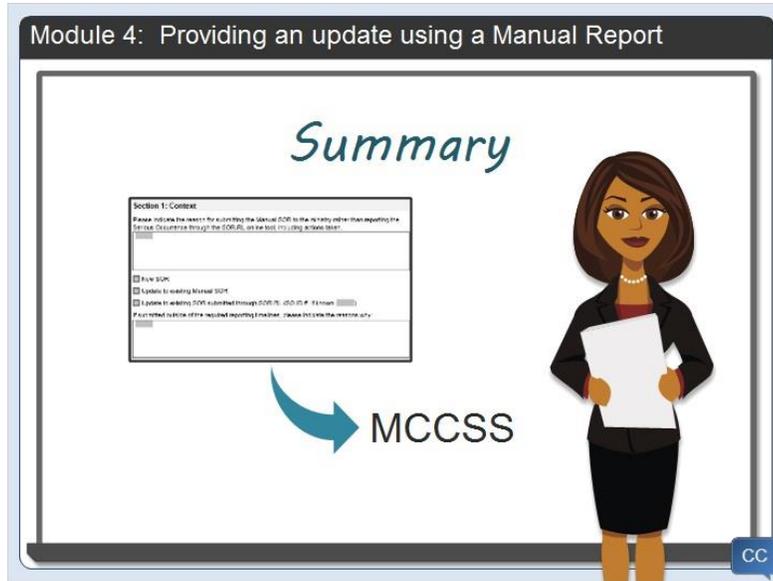
Until the ministry deems that no further action is required from the service provider with respect to the SO, service providers are required to provide updates as new information becomes available about the SO and no later than 7 business days after submitting the initial SOR. The ministry may request updates at any time.

The ministry will determine when no further action is required. The SOR Lead will review each SOR to determine when no further action is required from the Service Provider. This includes checking that the Service Provider:

- filled out all required fields;
- made all required notifications;
- has undertaken all requests for further action or follow-up; and
- met all SO requirements.

It is important to note that what I described is the anticipated process to be used by the ministry when receiving a manual SOR update. However, in some cases, the steps described may be completed differently because local office practices may vary by region or by corporate office.

Summary



In summary, if SOR-RL is offline, unavailable or inoperative when an SOR update is required, or when new information becomes available, service providers must complete the entire Manual SO Report and submit it to the designated regional or corporate office.

If the ministry has access to SOR-RL, the ministry will enter the details of the serious occurrence in SOR-RL on behalf of the service provider. The manual SOR and any supporting documents will also be uploaded to SOR-RL.

If the ministry does not have access to SOR-RL, the manual SOR will become the only accessible source information. All actions taken by the ministry will be recorded as supporting documentation.

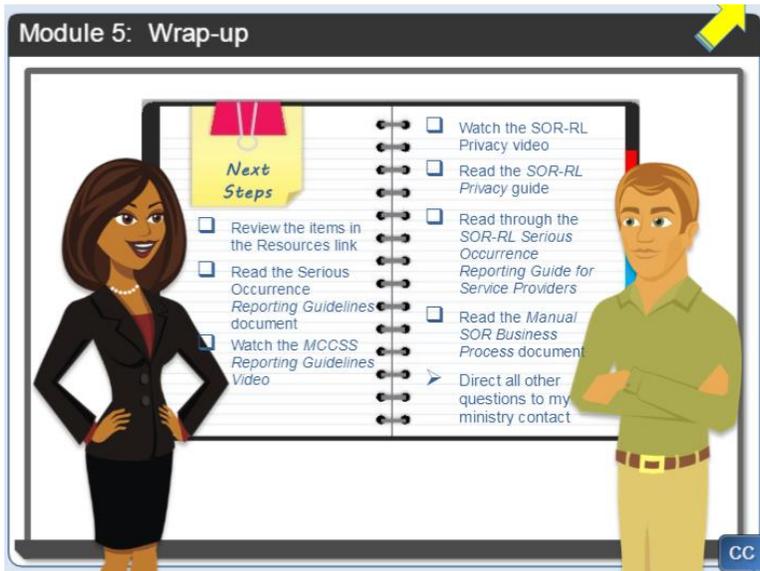
When SOR-RL is back online or operative, the manual SOR and all supporting documentation will be uploaded to SOR-RL by the ministry.

The service provider will be able to make edits and changes in SOR-RL and may choose to upload the manual SOR or other supporting documents.

The service provider will continue to provide updates in SOR-RL until the ministry deems it to not require any further updates.

Module 5: Wrap-up

Next Steps



Lisa: Thank you for taking the time to review the video. I hope that you found it helpful.

Bill: Yes, it was very informative. Lisa, what do you suggest that I do next?

Lisa: Well Bill, I would suggest that you review the items I've posted in the Resources link at the top corner of the screen. In the resources link you'll find a glossary of terms and Appendix A that includes the categories and subcategories of a serious occurrence.

You will also benefit from reviewing a variety of documents and videos available on the portal. This includes the Serious Occurrence Reporting Guidelines and video, the SOR-RL Privacy video and guide, the SOR-RL Serious Occurrence Reporting Guide for Service Providers and the Manual SOR Business Process document.

These guides along with this video will help you to have a better understanding of when and how to submit a manual serious occurrence report.

If you still have questions, please contact your local ministry regional or corporate office designate.

I hope to see you again soon.

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