

MCCSS Serious Occurrence Reporting Guidelines Video Transcript

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1. Module 1: Introduction to the Video

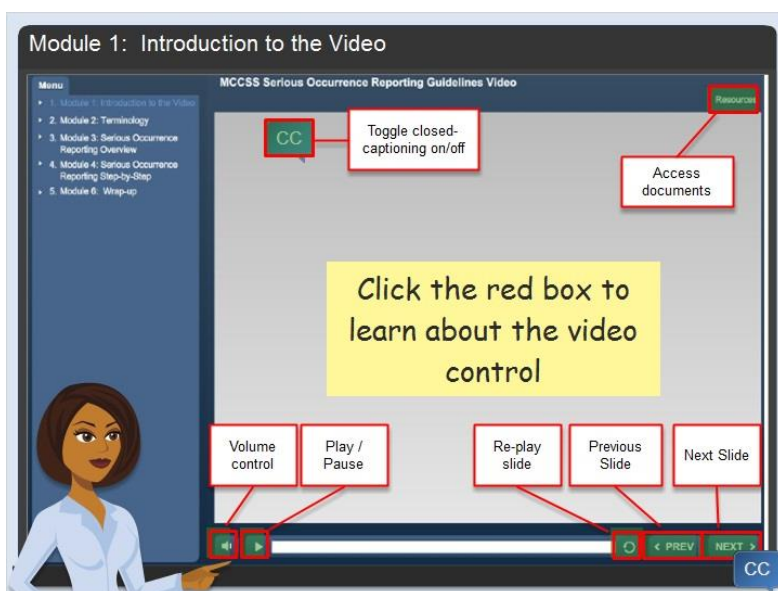
1.1 Welcome



Hello and welcome to the Ministry of Children, Community and Social Services, Serious Occurrence Reporting Guidelines video.

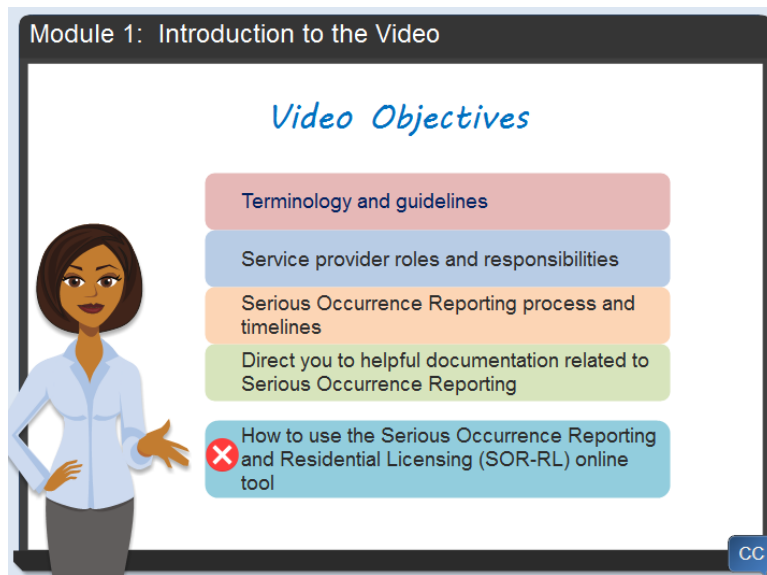
My name is Diana. I'm here today to help you understand what a Serious Occurrence is and the reporting requirements a service provider must follow in the case of a Serious Occurrence.

1.2 Navigation



Before we get started 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.

1.3 Video objectives



The purpose of this video is to answer questions about Serious Occurrences and Serious Occurrence Reporting.

You will learn terminology and guidelines related to reporting Serious Occurrences.

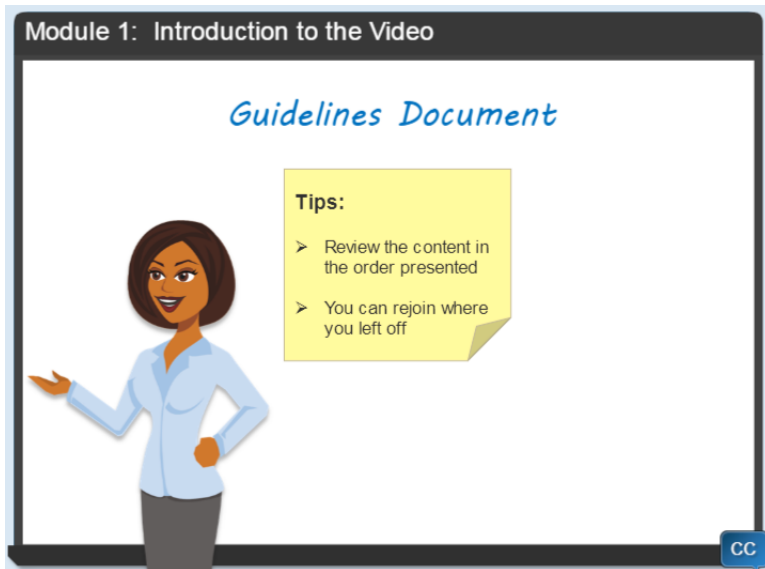
You will understand who must report a Serious Occurrence and other service provider roles and responsibilities including the creation of a Serious Occurrence policy.

You will have a detailed understanding of the step-by-step Serious Occurrence Reporting process and the reporting timelines.

You will also know where to find helpful documentation related to Serious Occurrence Reporting.

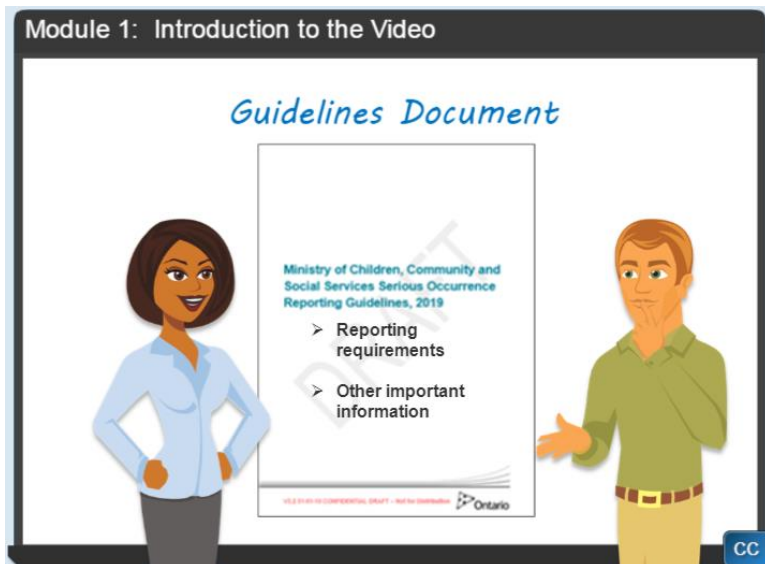
I want to mention that Serious Occurrence Reports are entered online in the Serious Occurrence Reporting and Residential Licensing tool, also known as SOR-RL. I won't be showing you how to use the online tool in this video. There is another video that you can watch that covers how to use SOR-RL to enter and manage your Serious Occurrence Reports. I'll give you more information about the video in the last module.

1.4 Guidelines Document



The menu on the left outlines how we will progress through the content. Even though you can jump from topic to topic, I suggest that you review the content in the order presented.

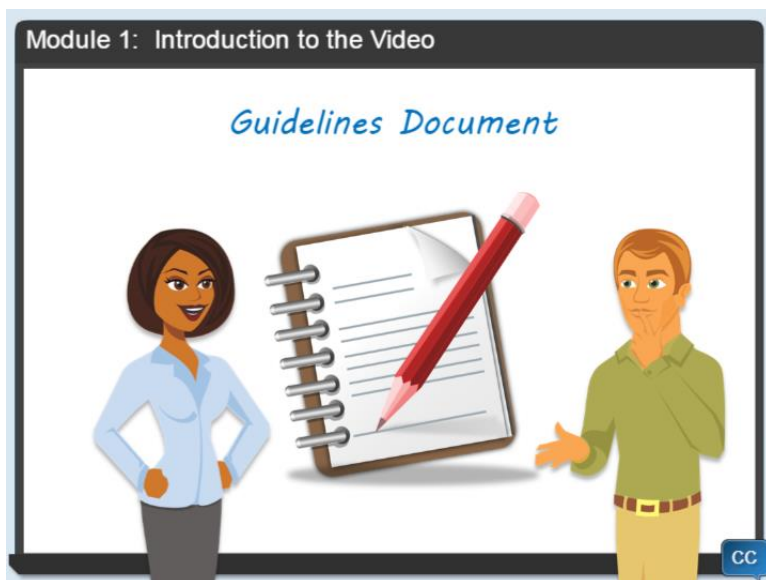
If you can't finish the video in one sitting that's okay. You can rejoin the video where you left off.



Bill: Hi Diana. My name is Bill. Should I take notes?

Hello Bill. We realize that you will not remember all the information presented in the video. It can never hurt to take notes however everything you'll learn today is documented in the MCCSS Serious Occurrence Reporting Guidelines, 2019. The Guidelines include Serious Occurrence Reporting requirements and other important information. You can open a copy of the Guidelines from the Resources link. I suggest you locate the Guidelines before you continue, in case you want to refer to it during the video.

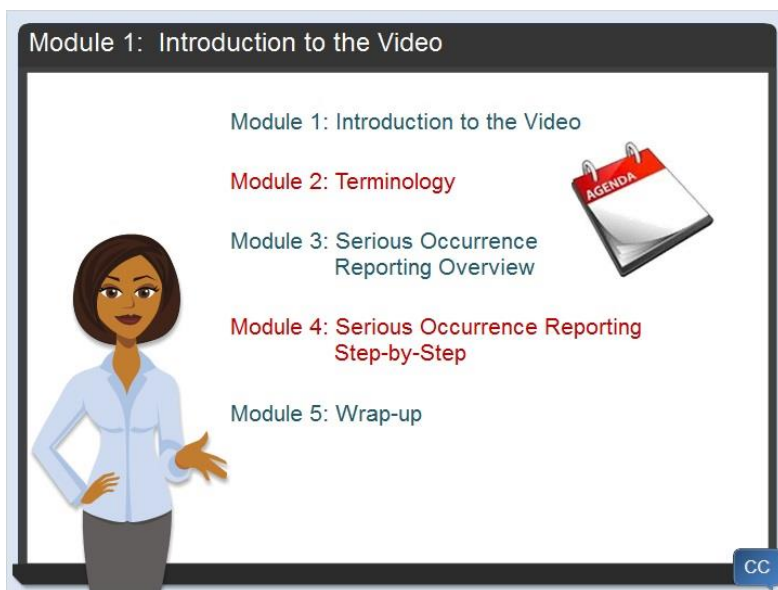
Bill: What should I do if I have questions?



Jot down your questions or comments as you go through the video. I'll let you know where to send your questions in the last module.

Bill: Ok thanks Diana.

1.5 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 where I'll explain terminology and acronyms.

In Module 3, I will walk through an overview of Serious Occurrence Reporting.

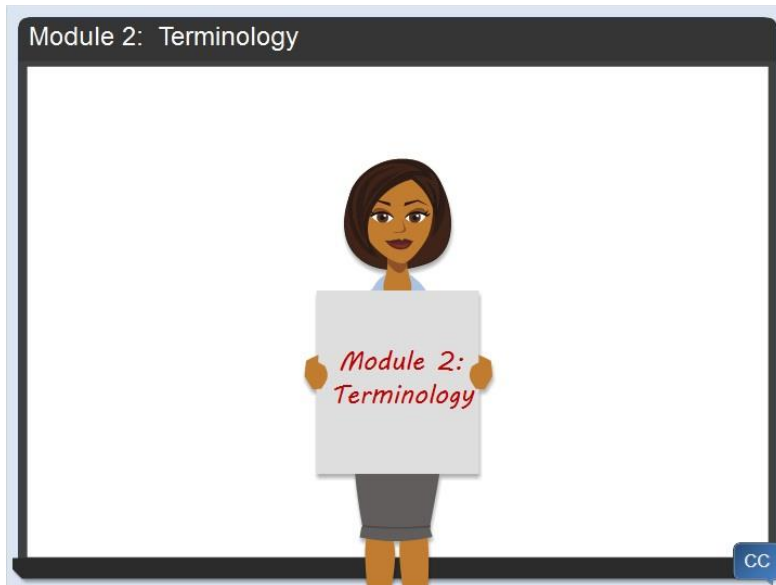
Then in Module 4 I'll go through the step-by-step Serious Occurrence Reporting process.

In the final module, I'll do a brief summary and tell you where you can get additional information and relevant documentation.

We have a lot to explore ...so let's get started!

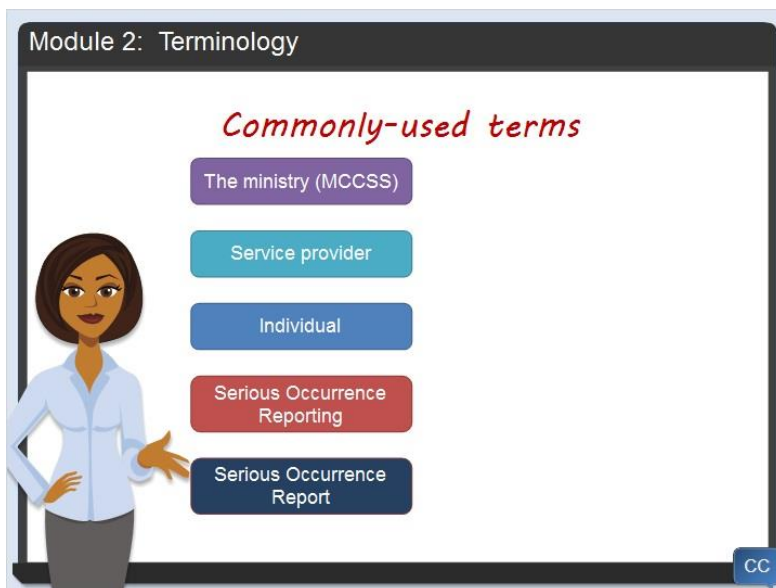
2. Module 2: Terminology

2.1 Introduction



In this short module, I'm going to define several terms and acronyms used in this video and in the documentation.

2.2 Commonly Used Terms



Here are some terms and acronyms that you will hear throughout the video and read in the Guidelines document.

Click on each term to learn more.

Module 2: Terminology

Commonly-used terms

The ministry (MCCSS)

Service provider

Individual

Serious Occurrence
Reporting

Serious Occurrence
Report

The ministry (MCCSS): The Ministry of Children, Community and Social Services is committed to promoting the health, safety and well-being of children, young persons and vulnerable adults who receive services.

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Module 2: Terminology

Commonly-used terms

The ministry (MCCSS)

Service provider

Individual

Serious Occurrence
Reporting

Serious Occurrence
Report

Service provider includes any persons or entities that are funded, licensed or directly-operated by MCCSS under the authority of the *Child, Youth and Family Services Act, 2017 (CYFSA)*, the *Services and Supports to Promote the Social Inclusion of Persons with Developmental Disabilities Act, 2008 (SIPDDA)*, and/or the *Ministry of Community and Social Services Act, 1990 (MCSSA)*.

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Module 2: Terminology

Commonly-used terms

The ministry (MCCSS)

Service provider

Individual

Serious Occurrence
Reporting

Serious Occurrence
Report

Individual means a child, young person or adult receiving MCCSS-funded, licensed or directly-operated services under the authority of the CYFSA, MCSSA and/or SIPDDA.

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Module 2: Terminology

Commonly-used terms

The ministry (MCCSS)

Service provider

Individual

Serious Occurrence
Reporting

Serious Occurrence
Report

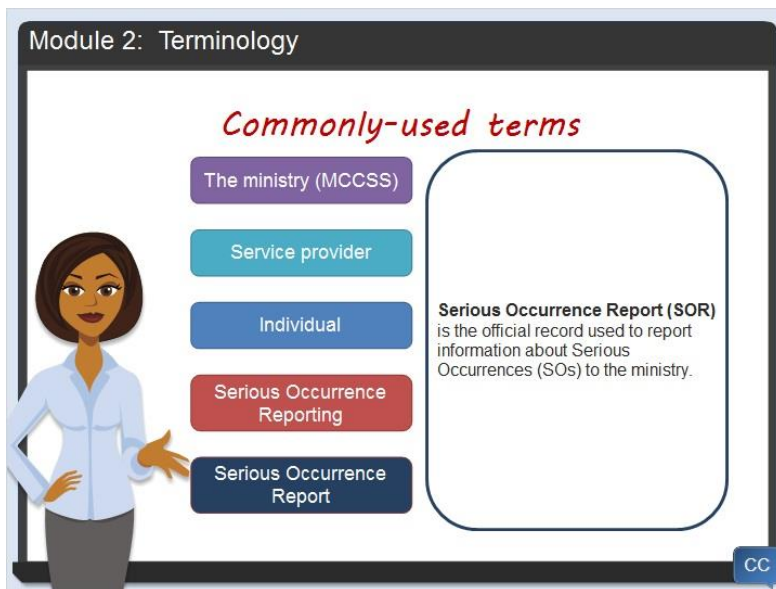
Serious Occurrence Reporting is a process that:

- Allows service providers to manage incidents as they occur, make records of incidents and monitor actions taken in response to incidents in order to prevent or mitigate further incidents; and
- Supports MCCSS in monitoring and overseeing service providers in the delivery of services.

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Module 2: Terminology

Commonly-used terms



- The ministry (MCCSS)
- Service provider
- Individual
- Serious Occurrence Reporting
- Serious Occurrence Report

Serious Occurrence Report (SOR) is the official record used to report information about Serious Occurrences (SOs) to the ministry.

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2.3 What is a Serious Occurrence?


Module 2: Terminology

What is a Serious Occurrence?

A Serious Occurrence is an incident that:

- Requires or may require intervention and/or investigation by a service provider, the ministry, and/or other applicable parties (such as the police); and
- Falls within one or more of the following Serious Occurrence categories:
 - ☐ Death;
 - ☐ Serious injury;
 - ☐ Serious illness;
 - ☐ Serious individual action;
 - ☐ Restrictive intervention;
 - ☐ Alleged, witnessed or suspected abuse or mistreatment;
 - ☐ Error or omission;
 - ☐ Serious complaint; and/or
 - ☐ Disturbance, service disruption, emergency situation, or disaster.

Tip: Refer to Appendix A of the *Guidelines* for the definition of each Serious Occurrence category.



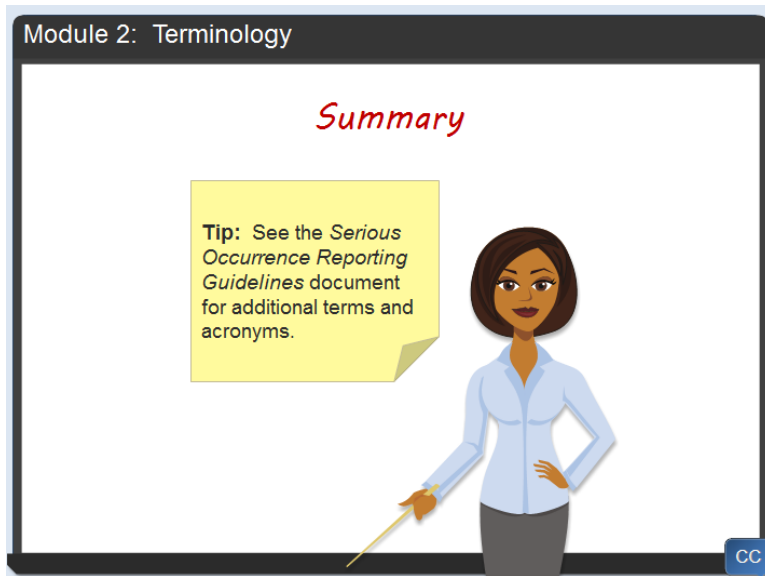
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A Serious Occurrence is an incident that:

- Requires or may require intervention and/or investigation by a service provider, the ministry, and/or other applicable parties (such as the police);
- And falls within one or more of the Serious Occurrence categories.

Take a minute and review the categories listed on the slide.

2.4 Summary

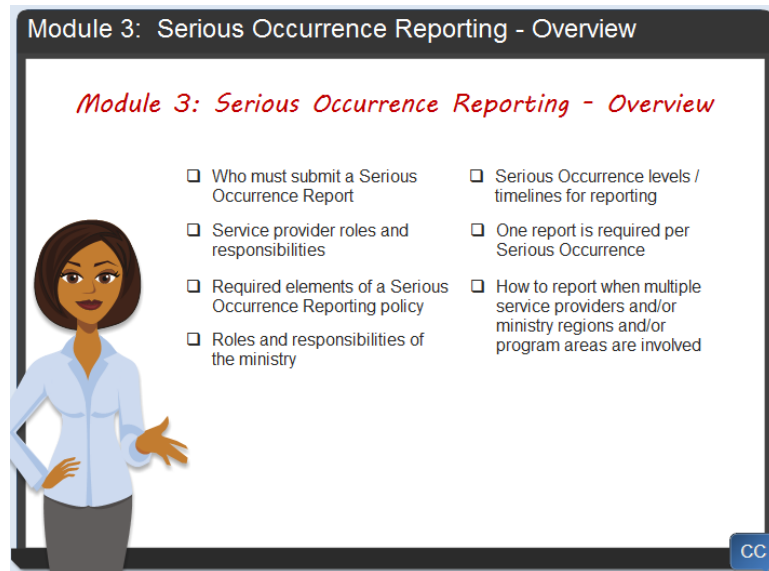


In this module I explained several terms that you'll see and hear in the video. There are additional terms and acronyms explained in the *Serious Occurrence Reporting guidelines* document.

Let's start looking at Serious Occurrence Reporting.

3. Module 3: Serious Occurrence Reporting Overview

3.1 Introduction



In this module we are going to explore the components to consider when reporting a Serious Occurrence.

I'll start by describing who must submit a Serious Occurrence Report.

I'll explain the service provider Serious Occurrence Reporting roles and responsibilities.

I'll list the required elements of a service provider's Serious Occurrence Reporting policy.

I'll briefly outline the ministry's Serious Occurrence Reporting roles and responsibilities.

I'll explain Serious Occurrence levels and how they determine the reporting timelines.

I'll explain that one report is required per Serious Occurrence.

Then I'll explain how to report a Serious Occurrence when multiple service providers and or ministry regions and/or program areas are involved.

3.2 Who is required to report Serious Occurrences?

Module 3: Serious Occurrence Reporting - Overview

Who is required to report Serious Occurrences?

Serious Occurrences are to be reported by service providers when the Serious Occurrence occurs during the provision of the following services to individuals:

- Residential care for children or young persons
- Residential services and supports for individuals with developmental disabilities
- Residential services provided under the authority of the MCSSA
- Child protection services from a children's aid society
- Probation services for young persons
- Any other funded service provided under the CYFSA, SIPDDA, *Youth Criminal Justice Act* (YCJA) and/or the MCSSA

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Serious Occurrences are to be reported by service providers when the Serious Occurrence occurs during the provision of the following services to individuals:

- Residential care for children or young persons provided under the authority of the CYFSA.
- Residential services and supports for individuals with developmental disabilities provided under the authority of the SIPDDA.
- Residential services provided under the authority of the MCSSA.
- Child protection services from a children's aid society for children in care or children who are the subject of care agreements.
- Probation services for young persons.
- Any other funded service provided under the CYFSA, SIPDDA, *Youth Criminal Justice Act* (YCJA) and/or the MCSSA.

Click on each service to learn more. Click next when you are done.

Residential care for children or young persons, including:

- Persons or agencies licensed to provide residential care under the CYFSA, including licensees operating foster care agencies or children's residences (e.g. youth justice facilities, secure treatment programs);
- Persons or agencies funded by the ministry to provide residential care, such as persons or agencies that provide services to children or young persons specific to mental health, respite or special needs;
- Ministry directly-operated children's or young person's residential providers; and
- Placing agencies that place children or young persons with residential providers who are not licensed or funded under the CYFSA.

Residential services and supports for individuals with developmental disabilities, including:

- Service agencies that provide and/or oversee intensive support residences, supported group living residences, host family residences, and supported independent living residences; and
- Placing/case management agencies that place individuals with developmental disabilities with residential providers who are not funded directly by the ministry under the SIPDDA and/or MCSSA.

Residential services provided under the authority of the MCSSA, including:

- Violence Against Women residential services;
- Indigenous Healing and Wellness Strategy residential services;
- Provincial Anti-Human Trafficking residential services; and
- Intervenor Services residential services.

Child protection services from a children's aid society ("society") for:

- Children and young persons who are the subject of temporary care agreements, temporary care and custody orders, or interim or extended society care orders;
- Children or young persons receiving services under a Voluntary Youth Services Agreement (VYSA) or a Customary Care Agreement (CCA), and
- Individuals receiving services under a Continued Care & Support for Youth (CCSY) agreement.

Probation services for young persons, inclusive of all young persons who receive services and support from a probation officer, and/or young persons under direct probation supervision as required by court order.

Any other funded service provided under the CYFSA, SIPDDA, *Youth Criminal Justice Act* (YCJA) and/or MCSSA where the ministry deems that the service provider can reasonably be assumed to be responsible for the safety/care of individual(s) involved in the incident and/or that SO Reporting is needed for effective monitoring and/or oversight, including:

- Youth Justice non-residential services (e.g. attendance centres, extra-judicial sanctions, counselling services);
- Children's special needs and respite non-residential services;
- Adult non-residential developmental services (e.g. community participation supports, adult protective services and caregiver respite services and supports);
- Provincial Anti-Human Trafficking non-residential services;
- Intervenor non-residential services (e.g. community participation supports);
- Violence Against Women non-residential services (e.g. counselling, transitional and housing support program);
- Education programs supported by service providers (e.g. Section 23 classrooms); and
- Youth Outreach Worker Program.


3.9 Service Provider Roles and responsibilities

Module 3: Serious Occurrence Reporting - Overview

Service Provider Roles and Responsibilities

Service providers are responsible for:

- ✓ Managing any incident that occurs;
- ✓ Determining whether an incident is a Serious Occurrence in accordance with ministry legislation, policy, the Guidelines and the service provider's internal Serious Occurrence Reporting policy;
- ✓ Complying with existing ministry Serious Occurrence Reporting legislation (e.g. s. 84 of Ontario Regulation 156/18 under the CYFSA for licensees who operate children's residences) and policy;
- ✓ Notifying the ministry, and other parties as required, about Serious Occurrences within the timeframes outlined in the Guidelines;



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As you saw in the previous slide, service providers are responsible for reporting a Serious Occurrence. Let's take a closer look at their roles and responsibilities.

Service providers are responsible for:

- Managing any incident that occurs;
- Determining whether an incident is a Serious Occurrence in accordance with ministry legislation, policy, the Guidelines and the service provider's internal Serious Occurrence Reporting policy.
- Complying with existing ministry Serious Occurrence Reporting legislation (e.g. s. 84 of Ontario Regulation 156/18 under the CYFSA for licensees who operate children's residences) and policy
- Notifying the ministry, and other parties as required, about Serious Occurrences within the time frames outlined in the Guidelines.


3.10 Service Provider Roles and responsibilities

Module 3: Serious Occurrence Reporting - Overview

Service Provider Roles and Responsibilities

Service providers are responsible for:

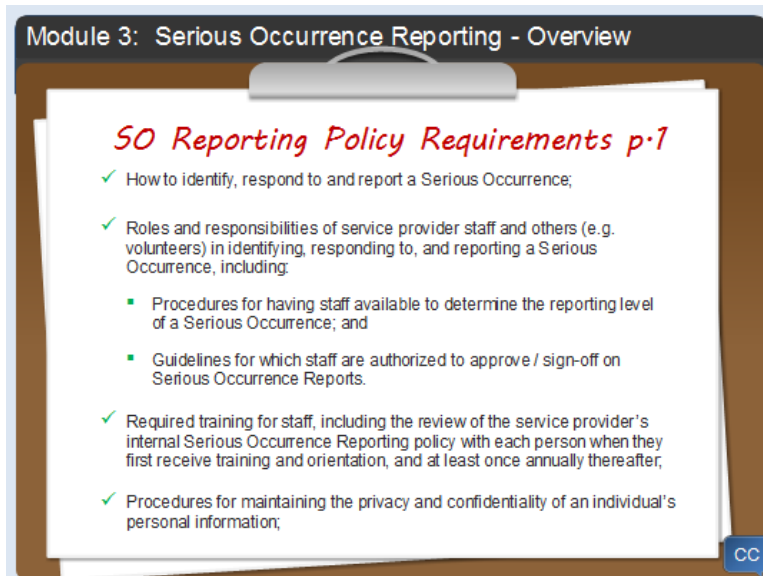
- ✓ Ensuring that the Serious Occurrence Report includes accurate information about the Serious Occurrence and individuals involved in the Serious Occurrence;
- ✓ Demonstrating to the ministry, and other parties as appropriate, that Serious Occurrences have been managed in accordance with any requirements, or demonstrating that work is underway to meet requirements;
- ✓ Monitoring Serious Occurrence Reporting trends and utilizing Serious Occurrence data to assess compliance with requirements, develop strategies to reduce or prevent Serious Occurrences, identify staff training needs, and/or evaluate program/service effectiveness; and
- ✓ Maintaining an internal Serious Occurrence Reporting policy that includes the minimum requirements.



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- Ensuring that the Serious Occurrence Report includes accurate information about the Serious Occurrence and individuals involved in the Serious Occurrence.
- Demonstrating to the ministry, and other parties as appropriate, that Serious Occurrences have been managed in accordance with any requirements, or demonstrating that work is underway to meet requirements;
- Monitoring Serious Occurrence Reporting trends and utilizing Serious Occurrence data to assess compliance with requirements, develop strategies to reduce or prevent Serious Occurrences, identify staff training needs, and/or evaluate program/service effectiveness; and
- Maintaining an internal Serious Occurrence Reporting policy that includes the minimum requirements. I'll talk about that next.

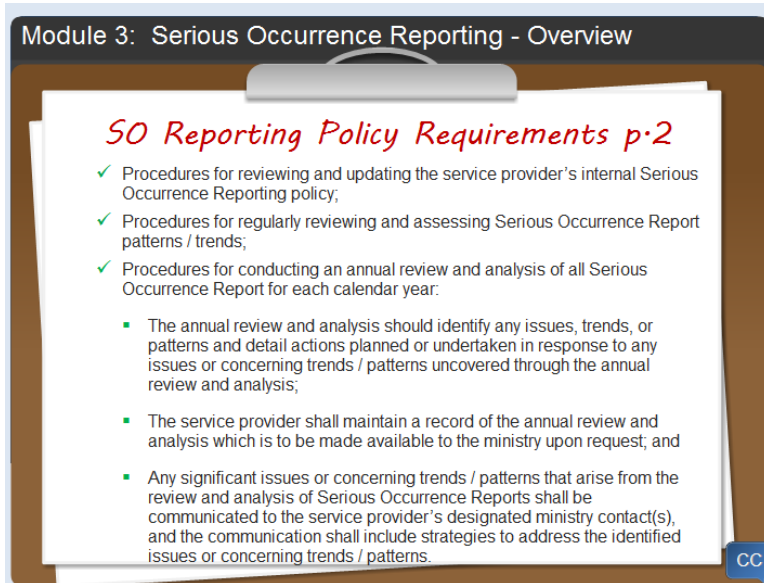
3.11 Serious Occurrence Reporting Policy Requirements



Service providers are required to have an internal Serious Occurrence Reporting policy that includes, at a minimum:

- How to identify, respond to and report a Serious Occurrence;
- Roles and responsibilities of service provider staff and others (e.g. volunteers) in identifying, responding to, and reporting a Serious Occurrence, including:
 - o Procedures for having staff available to determine the reporting level of a Serious Occurrence; and
 - o Guidelines for which staff are authorized to approve/sign-off on Serious Occurrence Reports;
- Required training for staff, including the review of the service provider's internal Serious Occurrence Reporting policy with each person when they first receive training and orientation, and at least once annually thereafter;
- Procedures for maintaining the privacy and confidentiality of an individual's personal information;

3.12 Serious Occurrence Reporting Policy Requirements



- Procedures for reviewing and updating the service provider's internal Serious Occurrence Reporting policy;
- Procedures for regularly reviewing and assessing Serious Occurrence Report patterns/trends;
- Procedures for conducting an annual review and analysis of all Serious Occurrence Reports for each calendar year:
 - The annual review and analysis should identify any issues, trends, or patterns and detail actions planned or undertaken in response to any issues or concerning trends/patterns uncovered through the annual review and analysis;
 - The service provider shall maintain a record of the annual review and analysis which is to be made available to the ministry upon request; and
 - Any significant issues or concerning trends/patterns that arise from the review and analysis of Serious Occurrence Reports shall be communicated to the service provider's designated ministry contact(s), and the communication shall include strategies to address the identified issues or concerning trends/patterns.

3.13 Ministry roles and responsibilities

Module 3: Serious Occurrence Reporting - Overview

Ministry Roles and Responsibilities

- Reviewing Serious Occurrence Reports received from service providers, which may include seeking clarity on information within a Serious Occurrence Report or requesting additional information/updates;
- Determining whether any further action or follow-up is required from service providers and/or the ministry, which may include enforcement action; and
- Analyzing Serious Occurrence Reporting trends to help inform the development of policies, programs and best practices.

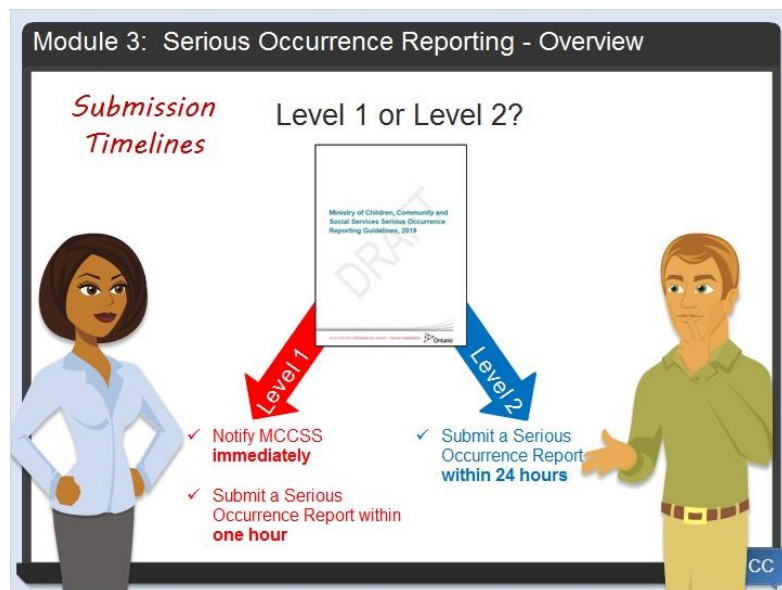


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The Ministry of Children, Community and Social Services also has important roles. The ministry is responsible for:

- Reviewing Serious Occurrence Reports received from service providers, which may include seeking clarity on information within a Serious Occurrence Report or requesting additional information/updates
- Determining whether any further action or follow-up is required from service providers and/or the ministry, which may include enforcement action; and
- Analyzing Serious Occurrence Reporting trends to help inform the development of policies, programs and best practices.

3.14 Submission Timelines



Bill: Diana, thanks for explaining my reporting responsibilities. I don't think you said how much time I have to report a Serious Occurrence.

Well Bill, the timeline depends on the type of Serious Occurrence. A Serious Occurrence is designated as either a "Level 1" or a "Level 2".

The service provider determines the Serious Occurrence level based on the Guidelines. It is explained in the "Category-specific requirements" section under "What should be reported as a Serious Occurrence".

Because it is a lengthy topic with many scenarios I won't be covering that in the video today, but you should definitely become familiar with that section of the guidelines.

So Bill, getting back to your timelines question.

If it is a Level 1 Serious Occurrence, you must notify the ministry immediately and submit a Serious Occurrence Report within one hour of becoming aware of the Serious Occurrence or deeming the incident to be a Serious Occurrence.

In the case of a Level 2 Serious Occurrence, you must submit a Serious Occurrence report as soon as possible, but no later than 24 hours of becoming aware of the Serious Occurrence or deeming the incident to be a Serious Occurrence.

Bill: Ok thanks for clarifying that. I'll take a look at the guidelines when I get back to my office.

3.15 Submitting one Serious Occurrence Report per Serious Occurrence

Module 3: Serious Occurrence Reporting - Overview

Submitting one Serious Occurrence Report per Serious Occurrence

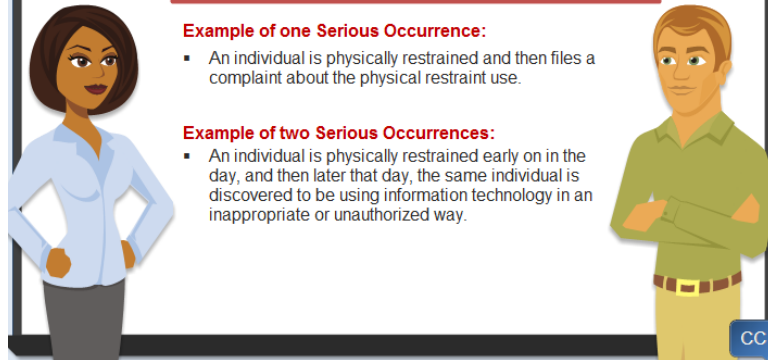
Service providers must submit one Serious Occurrence Report for each Serious Occurrence.

Example of one Serious Occurrence:

- An individual is physically restrained and then files a complaint about the physical restraint use.

Example of two Serious Occurrences:

- An individual is physically restrained early on in the day, and then later that day, the same individual is discovered to be using information technology in an inappropriate or unauthorized way.

A woman with dark hair wearing a light blue button-down shirt and grey pants stands on the left. A man with light brown hair wearing a green polo shirt and tan pants stands on the right. They are positioned in front of a large screen that displays the text and examples. A small blue 'CC' logo is in the bottom right corner of the screen.

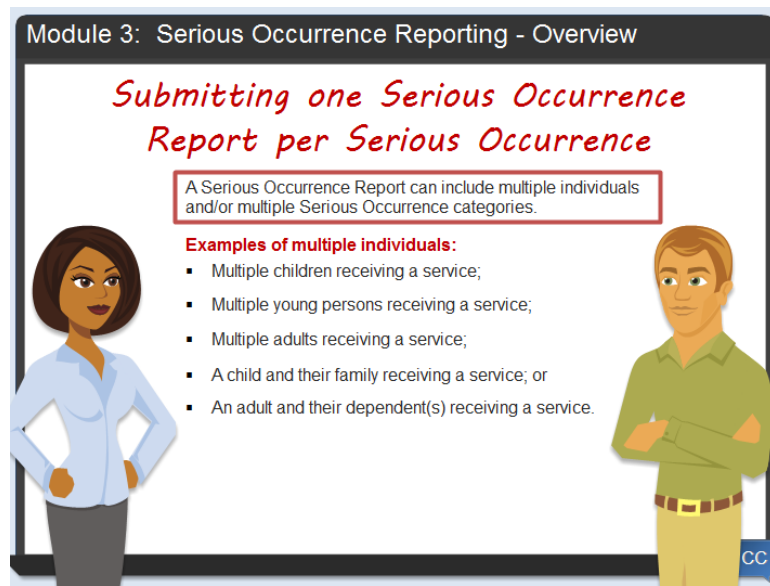
Diana: Service providers must submit one Serious Occurrence Report for each Serious Occurrence.

Bill: Diana, for multiple incidents that occur within a similar timeframe, how do I determine when one Serious Occurrence has ended and a new Serious Occurrence has started?

When multiple incidents occur consecutively, and the incidents are related (for example, an individual is physically restrained and then files a complaint about the physical restraint use), consider these incidents to be one Serious Occurrence and report them as one Serious Occurrence Report.

If however, for example, an individual is physically restrained early on in the day, and then later that day, the same individual is discovered to be using Information Technology in an inappropriate or unauthorized way, these incidents are two separate Serious Occurrences and thus two Serious Occurrence Reports would need to be submitted.

3.16 Submitting one Serious Occurrence Report per Serious Occurrence



A Serious Occurrence Report can include multiple individuals and/or multiple Serious Occurrence categories.

Bill: Can you give me some examples of multiple individuals?

Sure, multiple individuals could mean:

- Multiple children receiving a service,
- Multiple young persons receiving a service,
- Multiple adults receiving a service;
- A child and their family receiving a service or
- An adult and their dependent(s) receiving a service.

Bill: So in my example of two individuals discovered to be in the possession of contraband, I would include the names of the two individuals involved.


That's correct.

3.17 Submitting one Serious Occurrence Report per Serious Occurrence

Module 3: Serious Occurrence Reporting - Overview

Submitting one Serious Occurrence Report per Serious Occurrence

Individual	Category	Sub-category
1	Serious Individual Action	Individual on Individual Assault
	Restrictive Intervention	Physical Restraint
2	Serious Individual Action	Individual on Individual Assault
	Restrictive Intervention	Physical Restraint
	Serious Injury	Aggressive Behaviour



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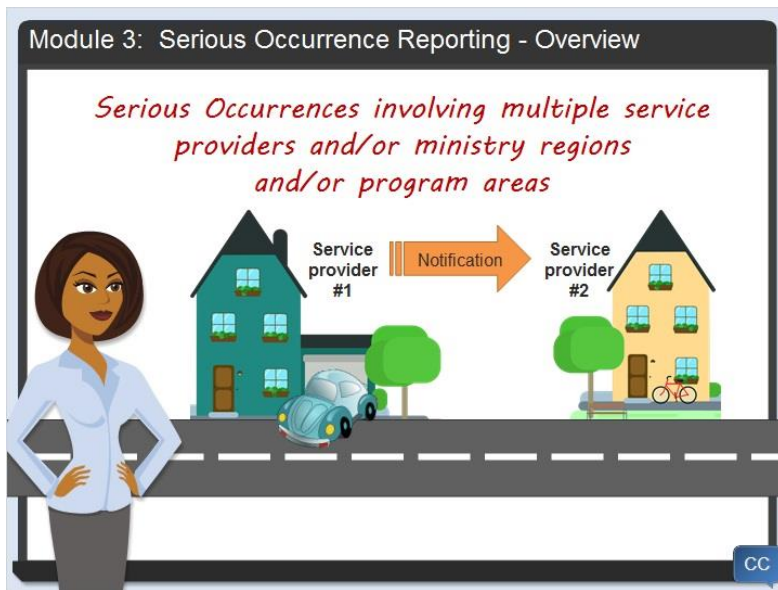
Let's walk through a more complicated scenario.

A young person in a youth justice secure custody facility is involved in a physical altercation with another young person in the facility. Both individuals are physically restrained. One of the individuals is seriously injured as a result of the altercation and requires emergency medical services.

In one Serious Occurrence Report, the service provider would record:

- The information of the two individuals that were involved in the altercation
- The following Serious Occurrence categories and subcategories for individual #1:
 - Serious Individual Action, subcategory: Individual on Individual Assault
 - Restrictive Intervention, subcategory: Physical Restraint
- The following Serious Occurrence categories and subcategories for individual #2:
 - Serious Individual Action, subcategory: Individual on Individual Assault
 - Restrictive Intervention, subcategory: Physical Restraint
 - Serious Injury, subcategory: Aggressive Behaviour

3.18 Serious Occurrences involving multiple service providers and/or ministry regions and/or program areas

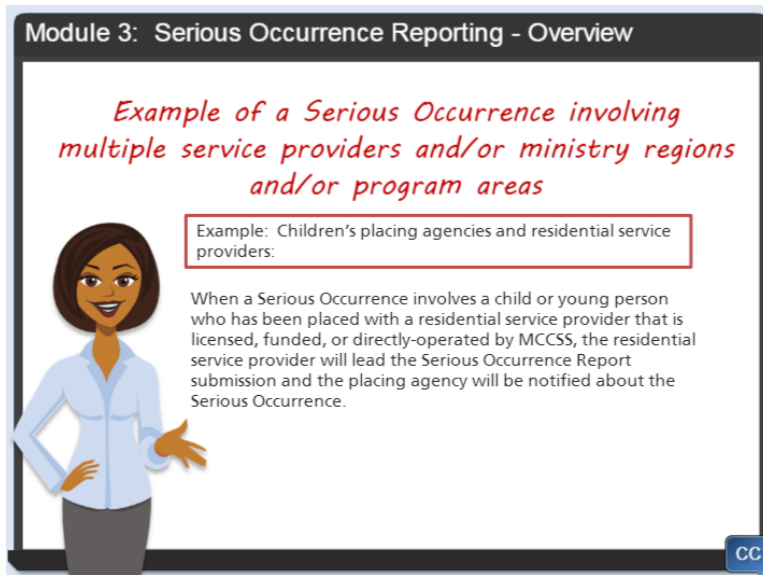


When a Serious Occurrence involves an individual, the individual may be in receipt of services from more than one service provider and/or be involved with more than one ministry region or program area. Where this is the case, the service provider with primary responsibility for the individual at the time of the Serious Occurrence will lead the Serious Occurrence Report submission.

Other service providers and/or ministry regions/program areas that require information about the individual's involvement in the incident should be notified about the Serious Occurrence, and where appropriate, provided with a copy of the Serious Occurrence Report.

Let's look at some examples where multiple service providers are involved.

3.19 Serious Occurrences involving multiple service providers and/or MCCSS regions and/or program areas

A presentation slide titled "Module 3: Serious Occurrence Reporting - Overview". It features a woman in a blue shirt and grey pants on the left. The main text is in red: "Example of a Serious Occurrence involving multiple service providers and/or ministry regions and/or program areas". A red-bordered box contains the text: "Example: Children's placing agencies and residential service providers:". Below this, black text states: "When a Serious Occurrence involves a child or young person who has been placed with a residential service provider that is licensed, funded, or directly-operated by MCCSS, the residential service provider will lead the Serious Occurrence Report submission and the placing agency will be notified about the Serious Occurrence." A small blue "CC" logo is in the bottom right corner.

Module 3: Serious Occurrence Reporting - Overview

Example of a Serious Occurrence involving multiple service providers and/or ministry regions and/or program areas

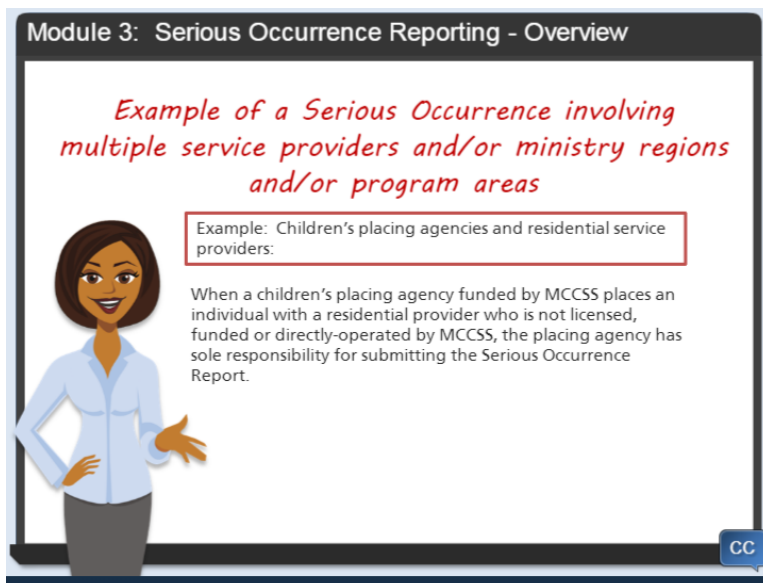
Example: Children's placing agencies and residential service providers:

When a Serious Occurrence involves a child or young person who has been placed with a residential service provider that is licensed, funded, or directly-operated by MCCSS, the residential service provider will lead the Serious Occurrence Report submission and the placing agency will be notified about the Serious Occurrence.

CC

Let's look at examples of children's placing agencies and residential service providers.

When a Serious Occurrence involves a child or young person who has been placed with a residential service provider that is licensed, funded, or directly-operated by MCCSS, the residential service provider will lead the Serious Occurrence Report submission and the placing agency will be notified about the Serious Occurrence.

A presentation slide titled "Module 3: Serious Occurrence Reporting - Overview". It features a woman in a blue shirt and grey pants on the left. The main text is in red: "Example of a Serious Occurrence involving multiple service providers and/or ministry regions and/or program areas". A red-bordered box contains the text: "Example: Children's placing agencies and residential service providers:". Below this, black text states: "When a children's placing agency funded by MCCSS places an individual with a residential provider who is not licensed, funded or directly-operated by MCCSS, the placing agency has sole responsibility for submitting the Serious Occurrence Report." A small blue "CC" logo is in the bottom right corner.

Module 3: Serious Occurrence Reporting - Overview

Example of a Serious Occurrence involving multiple service providers and/or ministry regions and/or program areas

Example: Children's placing agencies and residential service providers:


When a children's placing agency funded by MCCSS places an individual with a residential provider who is not licensed, funded or directly-operated by MCCSS, the placing agency has sole responsibility for submitting the Serious Occurrence Report.

CC

When a children's placing agency funded by MCCSS places an individual with a residential provider who is not licensed, funded or directly-operated by MCCSS, the placing agency has sole responsibility for submitting the Serious Occurrence Report.

Module 3: Serious Occurrence Reporting - Overview

Example of a Serious Occurrence involving multiple service providers and/or ministry regions and/or program areas



Example: Children's placing agencies and residential service providers:


Children's placing agencies and residential service providers - missing person and end of a placement agreement: When a child or young person placed with a residential service provider who is licensed, funded, or directly-operated by MCCSS goes missing, the residential service provider will lead the Serious Occurrence Report submission and the placing agency will be notified about the Serious Occurrence.

CC

Children's placing agencies and residential service providers - missing person and end of a placement agreement: When a child or young person placed with a residential service provider who is licensed, funded, or directly-operated by MCCSS goes missing, the residential service provider will lead the Serious Occurrence Report submission and the placing agency will be notified about the Serious Occurrence.

Module 3: Serious Occurrence Reporting - Overview

Example of a Serious Occurrence involving multiple service providers and/or ministry regions and/or program areas



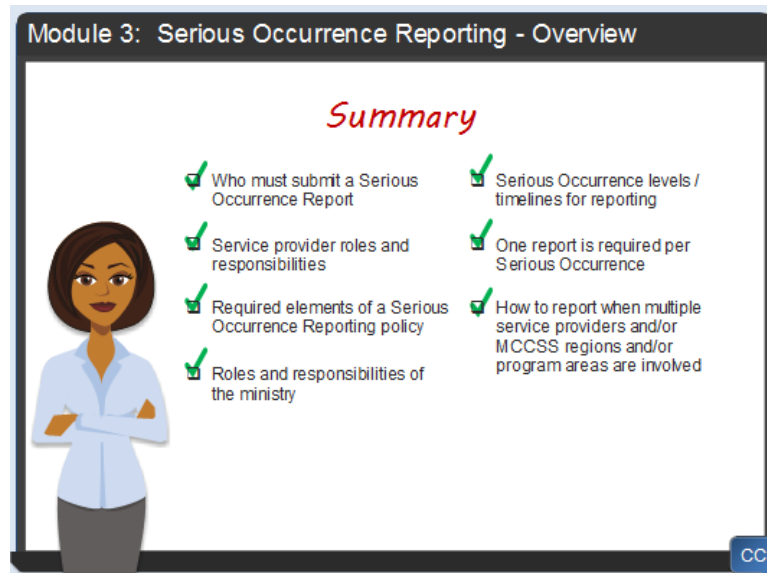
Example: Children's placing agencies and residential service providers:

If the child or young person remains missing and the placing agency or residential service provider end the placement agreement, the responsibility of the Serious Occurrence Report will transfer from the residential service provider to the placing agency.

CC

If the child or young person remains missing and the placing agency or residential service provider end the placement agreement, the responsibility of the Serious Occurrence Report will transfer from the residential service provider to the placing agency.

3.20 Summary



Wow. That was a lot of important information. Here is a summary of what we covered:

I explained who must submit a Serious Occurrence Report.

I outlined the various service provider Serious Occurrence Reporting responsibilities.

We looked at the required elements of a service provider's internal Serious Occurrence Reporting policy.

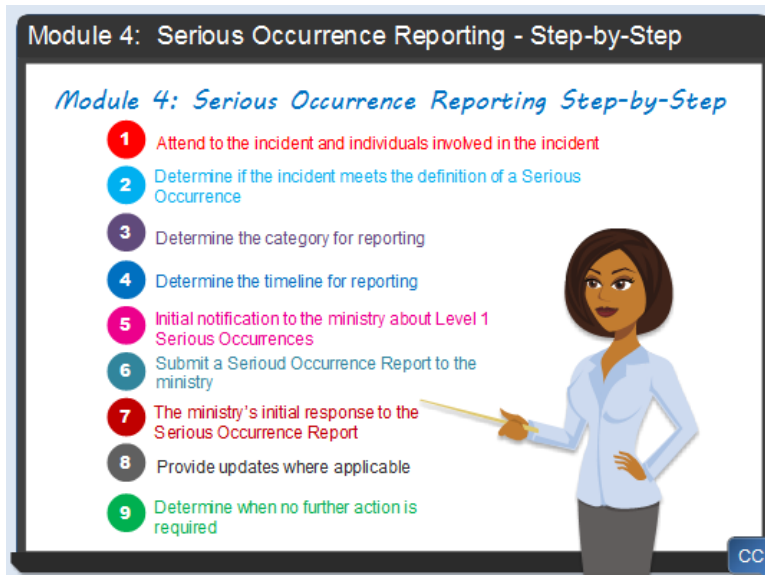
I also showed you the Serious Occurrence Reporting roles and responsibilities of the ministry.

We talked about levels and that submission timelines are based on the level.

And lastly, I outlined that one report is required per Serious Occurrence and how to report when multiple service providers and/or ministry regions and/or program areas are involved

4. Module 4: Serious Occurrence Reporting Step-by-Step

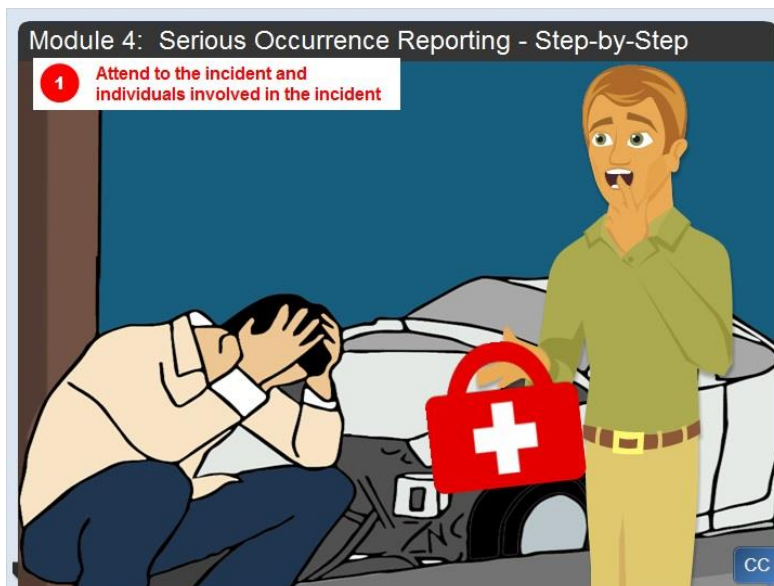
4.1 Introduction



In this module I'm going to walk through the nine steps involved in the Serious Occurrence Reporting process. I'm also going to explain what the ministry does as well.

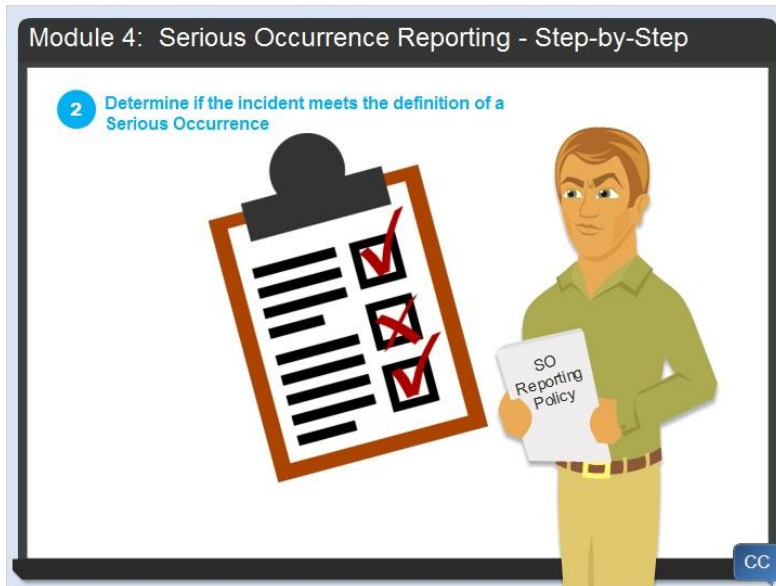
Take a minute and read the steps. Click next when you are ready to go on to step 1.

4.2 Step 1: Attend to the incident and individuals involved in the incident



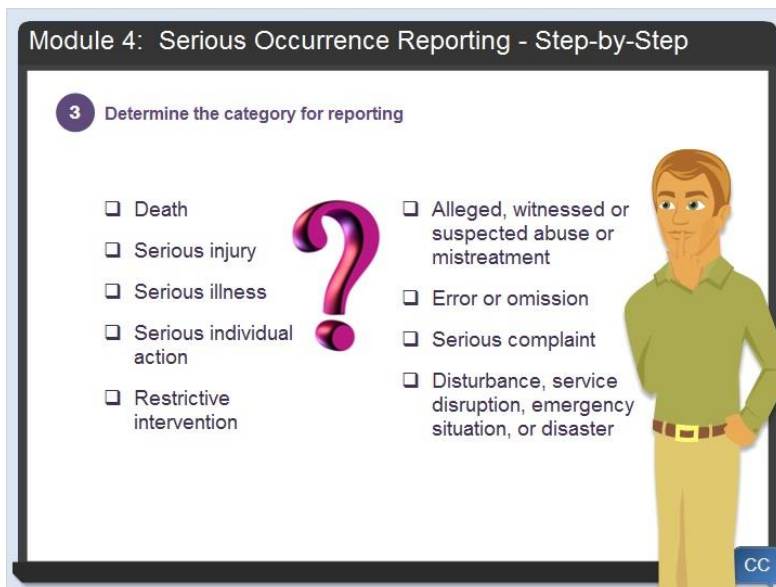
As soon as you become aware of an incident, you must attend to the incident and any immediate health or safety needs of individuals involved.

4.3 Step 2: Determine if the incident meets the definition of a Serious Occurrence



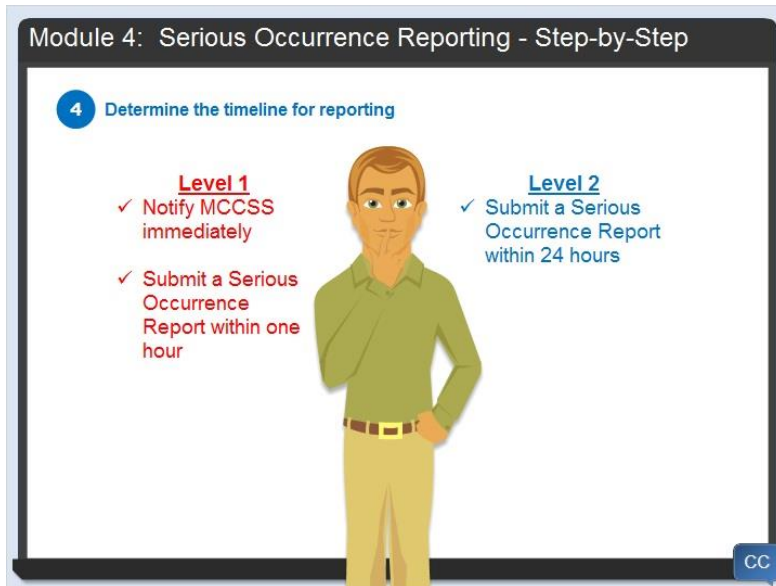
The next step is to determine whether the incident is a Serious Occurrence. You should use the criteria outlined in the Guidelines, applicable ministry legislation and policy and your internal Serious Occurrence Reporting policy to determine this.

4.4 Step 3: Determine the category for reporting



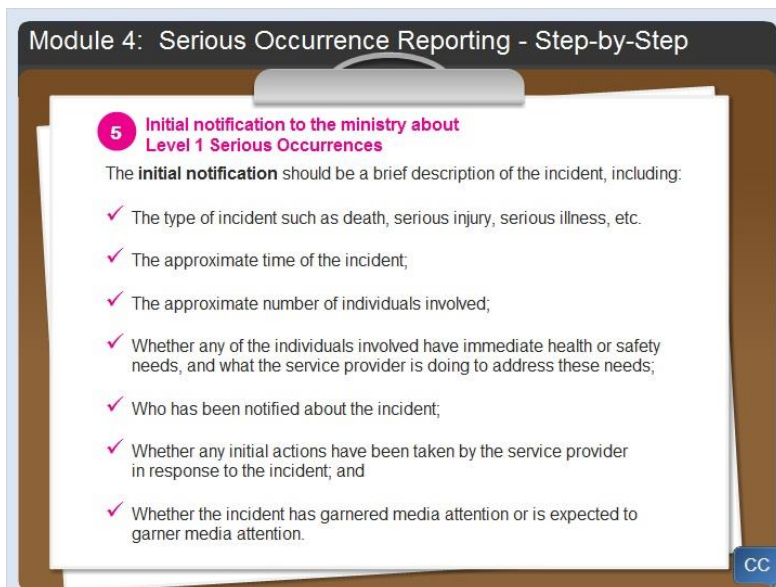
Once the incident is identified as a Serious Occurrence, you must determine which category or categories the Serious Occurrence should be reported under. We discussed categories in Module 2 so I won't go into detail, but here is a list of the categories for your reference.

4.5 Step 4: Determine the timeline for reporting



Once the Serious Occurrence category or categories have been identified, you will be able to determine if this is a Level 1 or Level 2 Serious Occurrence. Based on the level, you can determine the reporting timeline. We spoke about timelines in module 3. Here are the timelines for each level.

4.6 Step 5: Initial notification to the ministry



Someone from your organization must immediately notify the ministry about a Level 1 Serious Occurrence

The initial notification should be a brief description of the incident, including:

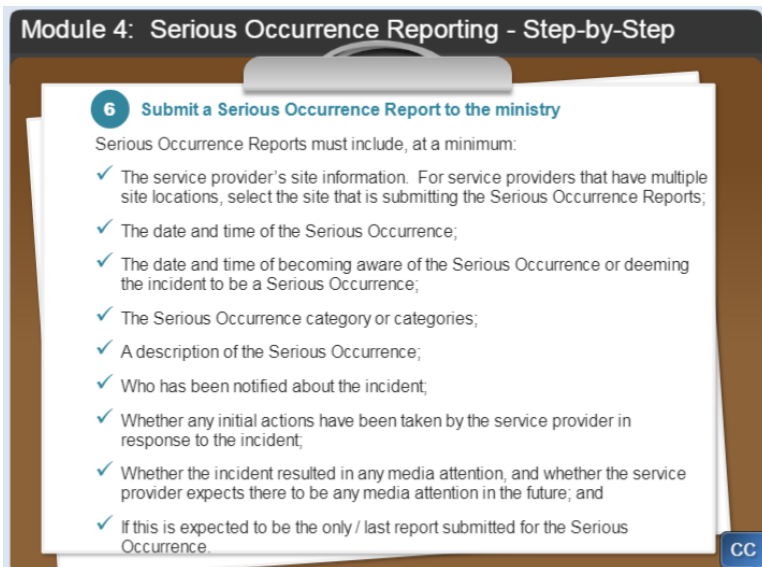
- The type of incident such as death, serious injury, serious illness, etc.
- The approximate time of the incident;
- The approximate number of individuals involved;
- Whether any of the individuals involved have immediate health or safety needs, and what the

- service provider is doing to address these needs;
- Who has been notified about the incident;
- Whether any initial actions have been taken by the service provider in response to the incident; and
- Whether the incident has garnered media attention or is expected to garner media attention.

4.7 Step 6: Submit a Serious Occurrence Report to the ministry



At the beginning of the video I mentioned that all Serious Occurrence Reports are submitted through the Serious Occurrence Reporting and Residential Licensing online tool (SOR-RL).

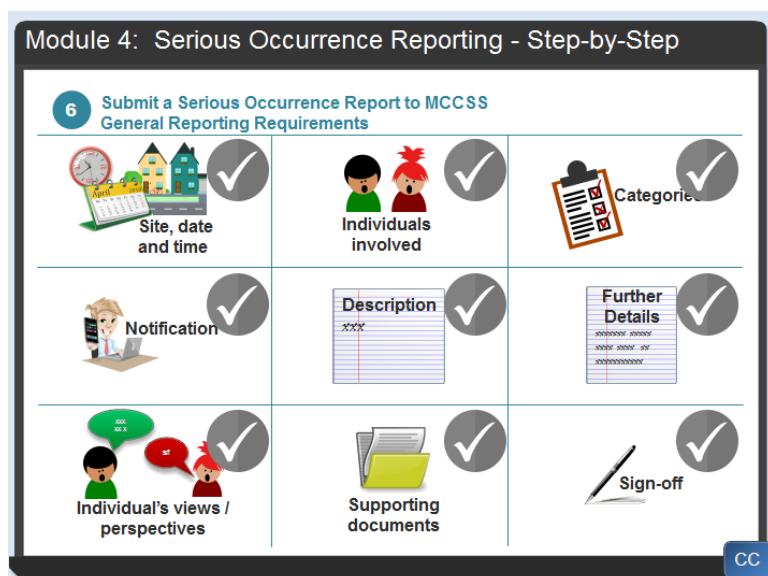


The ministry knows that you may not have all the required information available for your initial report however, initial Reports must include, at a minimum:

- The service provider's site information. For service providers that have multiple site locations, select the site that is submitting the Serious Occurrence Reports.

- The date and time of the Serious Occurrence
- The date and time of becoming aware of the Serious Occurrence or deeming the incident to be a Serious Occurrence (if different from date and time of the Serious Occurrence);
- The Serious Occurrence category or categories;
- A description of the Serious Occurrence;
- Who has been notified about the incident;
- Whether any initial actions have been taken by the service provider in response to the incident;
- Whether the incident resulted in any media attention, and whether the service provider expects there to be any media attention in the future; and
- If this is expected to be the only or last report submitted for the Serious Occurrence.

4.8 General reporting requirements



A service provider can include the following information on their Serious Occurrence Report. Click each box to see the details. Click next when you are ready to continue.

6 Submit a Serious Occurrence Report to MCCSS General Reporting Requirements



- ✓ Site information (for service providers that have multiple site locations, report the site that is submitting the Serious Occurrence Report)
- ✓ Date and time of the Serious Occurrence
- ✓ Date and time of becoming aware of the Serious Occurrence / deeming the incident to be a Serious Occurrence (if different from date and time of Serious Occurrence)

6 Submit a Serious Occurrence Report to MCCSS General Reporting Requirements



The type of Serious Occurrence, including:

- ✓ The categories and subcategories that relate to an individual or individuals
- ✓ The categories and subcategories that relate to a Serious Occurrence event.
- ✓ Where the Serious Occurrence occurred:
 - At the service provider's site
 - In the community
 - While admitted to hospital
 - With an individual's parent / guardian
 - At pre-admission (reportable under the Serious Injury or Serious Illness categories for youth justice service providers only).

In addition to the general reporting requirements, there are specific reporting requirements for each Serious Occurrence category. See the *Serious Occurrence Reporting Guidelines* document for more information.

6 Submit a Serious Occurrence Report to MCCSS General Reporting Requirements



Individuals involved in the Serious Occurrence, including the following information about each individual:

- ✓ First and last name;
- ✓ Date of birth;
- ✓ Gender (male, female or X-other);
- ✓ Program(s) at time of occurrence, such as Child Protection Services or Anti-Human Trafficking Community Supports (where applicable);
- ✓ Youth Offender Tracking Information System (Y-OTIS) number, Developmental Services Consolidated Information System (DSCIS) number, and/or Child Protection Information Network (CPIN) personal reference number (where applicable/available);
- ✓ Placing agency (where applicable);
- ✓ Probation officer (where applicable for young persons); and/or
- ✓ Legal guardian status (where applicable), such as a child in extended society care.

6

Submit a Serious Occurrence Report to MCCSS General Reporting Requirements

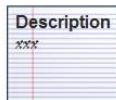


Notification

- ✓ A child or young person's parent/guardian, unless notification is contraindicated (i.e. there is an allegation against the parent/guardian, the service provider has reasonable grounds to believe the individual would be at risk of harm if the parent/guardian were notified, the notification could undermine an investigation, the child or young person is their own legal guardian, etc.);
 - If a child or young person's parent/guardian is not contacted, indicate the reason in the SOR.
- ✓ Placing agency or entity that placed the individual (where applicable);
- ✓ Probation officer (where applicable);
- ✓ Emergency contact person for an adult with a developmental disability;
- ✓ Emergency medical services (EMS) or police having jurisdiction in the area where the service is being provided (where applicable);
- ✓ A society (where applicable);
- ✓ Coroner (where applicable);
- ✓ The Ontario Ombudsman (where applicable or required);
- ✓ MCCSS personnel (where applicable); and/or
- ✓ Other service providers or MCCSS regions/program areas that require information about the SOR (where applicable).

6

Submit a Serious Occurrence Report to MCCSS General Reporting Requirements



Description

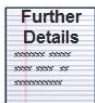
The description of the Serious Occurrence, including:

- ✓ Precipitating factors that led to the incident and what efforts were made to de-escalate the situation;
- ✓ What happened and where in chronological order;
- ✓ Service provider response to the incident/action taken;
- ✓ Whether the incident involved a criminal offence;
- ✓ If EMS or the police were called/involved in the incident;
- ✓ Current status of the incident;
- ✓ Current condition (i.e. health and safety) of individuals involved in the incident;
- ✓ Services and supports being provided to individuals involved in the incident; and
- ✓ Further action/follow-up to be taken (where applicable) by the service provider, such as information on how the service provider plans to mitigate, reduce or prevent incidents from occurring in the future.

Indicate whether the incident resulted in media attention, and if so, the date/time of the media attention, the media outlet that reported the incident, and any relevant media links that do not include unnecessary personal information.

6

Submit a Serious Occurrence Report to MCCSS General Reporting Requirements



Further Details

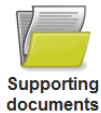
- ✓ Next steps, including:
 - Any further action proposed by the service provider
 - Direction, if any, provided by MCCSS.
- ✓ If the Serious Occurrence Report was submitted outside of the MCCSS required reporting timelines, an explanation as to why the Serious Occurrence Report was late.
- ✓ From the service provider's understanding, whether the Serious Occurrence Report being submitted is expected to be the only or last submission, and if the Serious Occurrence Report is not expected to be the last submission, an explanation as to why.
 - MCCSS may require further follow-up or action from the service provider at any time.

6 Submit a Serious Occurrence Report to the ministry
General Reporting Requirements



- When a Serious Occurrence involves an individual, service providers should include the individual's view/perspective of the Serious Occurrence in the Serious Occurrence Report. To the extent possible, the individual's view / perspective should be in the individual's own words.
- Service providers must ensure that the individual has provided their informed consent to having their view / perspective included in a Serious Occurrence Report.
- An individual's view/perspective does not need to be submitted immediately but every effort to include this information should be made.
- Also include in this section who completed the debriefing with the individual to obtain the information on the individual's view/perspective.
- If the service provider is unable to include the individual's view/perspective on the Serious Occurrence Report, an explanation should be given as to why.

6 Submit a Serious Occurrence Report to MCCSS
General Reporting Requirements



- Any supporting documents that the service provider feels are necessary to support the review of the Serious Occurrence Report or that MCCSS requests to be attached to the Serious Occurrence Report.
- Only upload files that are directly relevant to the Serious Occurrence.



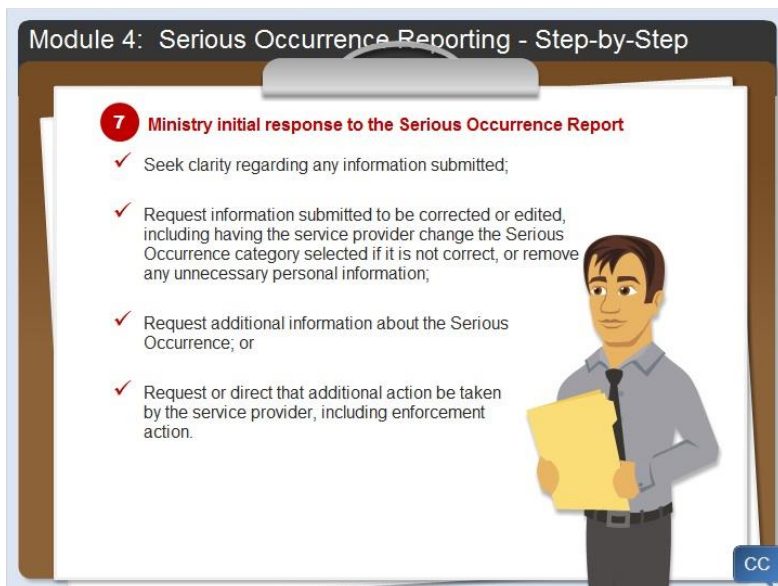
6 Submit a Serious Occurrence Report to MCCSS
General Reporting Requirements



Service provider sign off of the Serious Occurrence (where required as per each service provider's Serious Occurrence Reporting policy), including:

- ✓ Who the Serious Occurrence was prepared by, their position and contact information.
- ✓ Who the Serious Occurrence was approved by, their position and contact information.

4.18 Step 7: Receive the ministry initial response to the Serious Occurrence Report



Once the ministry has received the initial Serious Occurrence Report from the service provider, the ministry will review the submission and may contact the service provider to:


- Seek clarity regarding any information submitted;
- Request information submitted to be corrected or edited, including having the service provider change the Serious Occurrence category selected if it is not correct, or remove any unnecessary personal information.
- Request additional information about the Serious Occurrence; or
- Request or direct that additional action be taken by the service provider, including enforcement action.

4.19 Step 8: Provide updates

Module 4: Serious Occurrence Reporting - Step-by-Step

8 Provide updates where applicable

- Until the ministry deems that no further action is required from the service provider with respect to the Serious Occurrence, service providers are required to provide updates as new information becomes available about the Serious Occurrence and no later than seven business days after submitting the initial Serious Occurrence Report.
- Updates are required at a minimum every seven business days thereafter until the ministry deems that no further action is required from the service provider.
- The ministry may request updates at any time.



CC

Until the ministry deems that no further action is required from the service provider with respect to the Serious Occurrence, service providers are required to provide updates as new information becomes available about the Serious Occurrence and no later than 7 business days after submitting the initial Serious Occurrence Report.

Updates are required at a minimum every 7 business days thereafter until the ministry deems that no further action is required from the service provider.
The ministry may request updates at any time.


4.20 Step 9: The ministry reviews the Serious Occurrence Report for completeness

Module 4: Serious Occurrence Reporting - Step-by-Step

9 Determine when no further action is required

The ministry will review each Serious Occurrence Report to determine when no further action is required from the service provider, which includes checking that the service provider has:

- ✓ Filled out all required fields;
- ✓ Made all required notifications;
- ✓ Undertaken all further action or follow-up, as requested; and
- ✓ Met all Serious Occurrence Reporting requirements.



CC

The ministry will review each Serious Occurrence Report to determine when no further action is required from the service provider, which includes checking that the service provider has:

- Filled out all required fields

- Made all required notifications
- Undertaken all further action or follow-up, as requested; and
- Met all Serious Occurrence Reporting requirements

4.21 Summary exercise

Module 4: Serious Occurrence Reporting - Step-by-Step

Drag and drop the nine reporting steps into the correct order. Click the **Submit** button to check your answer.

1. Attend to the incident and individuals involved
2. Determine if the incident meets the definition of a Serious Occurrence
3. Determine the category for reporting
4. Determine the timeline for reporting
5. Initial notification to the ministry if the Serious Occurrence is a Level 1
6. Submit an initial Serious Occurrence Report to the ministry
7. Ministry provides initial response to the Serious Occurrence Report
8. Provide updates where applicable
9. The ministry determines when no further action is required

Instead of a summary I thought I'd have you do a review exercise.

Drag and drop the steps into the correct order. Click the submit button to check your answer. After your third try the system will show you the correct order.

Correct Order
Attend to the incident and individuals involved
Determine if the incident meets the definition of a Serious Occurrence
Determine the category for reporting
Determine the timeline for reporting
Initial notification to the ministry if the Serious Occurrence is a Level 1
Submit an initial Serious Occurrence Report to the ministry
Ministry provides initial response to the Serious Occurrence Report
Provide updates where applicable
The ministry determines when no further action is required

Feedback when correct:

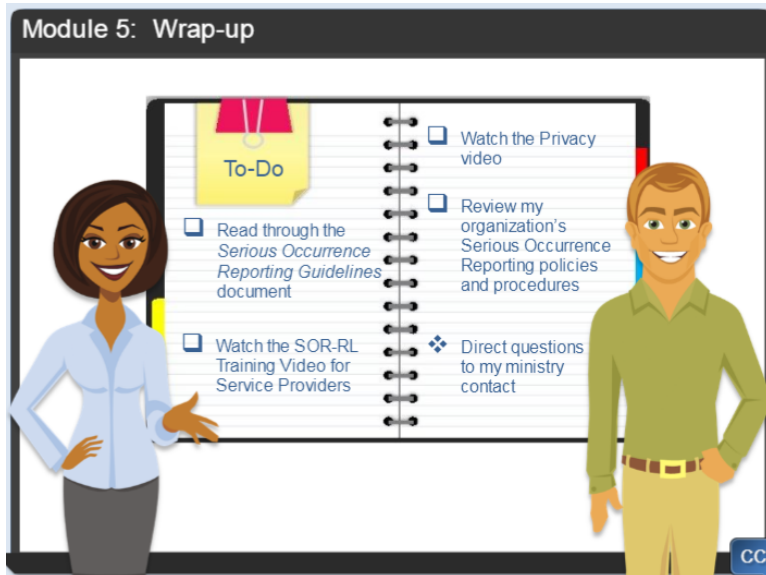
That's right!

Feedback when incorrect:

Here is the correct order:

5. Module 6: Wrap-up

5.1 Next Steps



I hope you enjoyed the video.

Bill: Yes, it contained a lot of important information. Diana, what do you suggest that I do next?

Diana: My first suggestion is to become familiar with the Serious Occurrence Reporting Guidelines document I told you about earlier. As I mentioned, it contains everything we looked at in the video plus more information on what needs to be included in a Serious Occurrence Report.

Then I suggest you watch the SOR-RL Training Video for Service Providers to learn how to submit and update Serious Occurrence Reports, and go through the privacy training as well.

You should also review your organization's policies and procedures that outline the steps you should take when an incident occurs.

If you still have questions, talk to your colleagues, your manager, and reach out to your ministry representative if you are not clear on what you need to do when a Serious Occurrence happens.

Bill: Will do.

Diana: I hope to see you again soon.

5.2 Blank slide