

GENERAL MANUAL POLICY

APPROVED BY:



Executive Director

CATEGORY: Supports and Services

TOPIC: Serious Occurrence Reporting

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POLICY

It is Community Living Thunder Bay's policy that all occurrences of a serious, extraordinary, or unusual nature shall warrant immediate action. By applying the preceding definitions outlined by the Ministry of Community and Social Services (MCSS), CLTB is responsible for determining whether an incident is considered serious in nature.

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ENHANCED SERIOUS OCCURRENCE REPORTING

Enhanced Serious Occurrence Reporting applies when:

- emergency services, i.e., police, fire and/or ambulance services are used in response to a **significant** incident and
- or the incident will likely result in **significant** public media attention.

(Normal Serious Occurrence Reporting Procedures will be followed as per the definitions on pages 6-9.)

ENHANCED SERIOUS OCCURRENCE REPORTING PROCEDURE

- a) Staff are to notify their Team Leader, or, if after hours, the On Call Supervisor **IMMEDIATELY** of the incident.
- b) The Team Leader or On Call Supervisor will notify the Ministry's Early Alert System within **THREE HOURS** of becoming aware of the incident.

Weekdays/Evenings/Overnight	Facsimile	Voice
From Sunday 9:00 pm (2100) to Friday 6:00 pm (1800)	(705) 564-3153 1-800-263-3347	Your Program Supervisor/Advisor OR 1-800-268-6119 ext. 3275
Weekends and Government Holidays*	Facsimile	Voice
From Friday 5:00 pm (1700) to Sunday 9:00 pm (2100)	1-866-262-8881	1-877-444-0424

- c) The Team Leader or On Call Supervisor will also notify Senior Management or the Senior Manager on-call ***within the hour***.
- d) When reporting the incident to the Ministry, the Initial Notification Report will be faxed to the Ministry **as well as telephoning the Early Alert System**, leaving a voicemail stating a Serious Occurrence Initial Notification Report was faxed, the time and date of the fax, your name and telephone number.
- e) If a fax machine is not available, the Initial Notification Report headings will need to be answered over the telephone, on the Ministry's Early Alert System.
- f) Normal Serious Occurrence reporting procedures and their applicable timelines will be followed from this point. (See following.)

* New Year's Day, Family Day, Good Friday, Easter Monday, Victoria Day, Canada Day, Civic Holiday, Labour Day, Thanksgiving, Remembrance Day, Christmas Day, Boxing Day.

IDENTIFICATION OF A SERIOUS OCCURRENCE

Serious occurrences to be reported by the service provider to the Ministry are defined as follows:

1. The death of an adult who receives services from CLTB.
2. Any serious injury to an adult which occurs while participating in a service, particularly if professional medical treatment is required. Serious injuries include:
 - a) An injury caused by the service provider;
 - b) A serious accidental injury i.e., sports injury, fall, burn, etc.;
 - c) An injury to an adult supported, which is non-accidental, including self-inflicted, or unexplained.

An injury is determined to be serious if it meets at least one of the following criteria:

- Places the client's life in jeopardy
 - Produces unconsciousness
 - Results in a substantial loss of blood
 - Involves the amputation or loss of an extremity
 - Consists of serious burns to a portion of the body
 - Causes the loss of sight, hearing or ability to ambulate
 - Requires hospitalization – The hospitalization must not be scheduled in advance, i.e., a client admitted to hospital for planned surgery or test. It does not include clients being assessed and/or treated in an emergency room.
 - Is an injury of unknown origin
 - Treatment by medical professional (excluding ongoing medical treatment for a pre-existing medical condition). Professional medical treatment means that a medical professional, such as a doctor or dentist assessed the injury and prescribed a substantial course of treatment to heal it. For ongoing medical treatment of a serious or life threatening nature, there should be a Serious Occurrence Initial Notification Report provided to the Ministry.
 - Other incidents which the Association has deemed as serious such as:
 - Alleged criminal conduct
 - Police involvement
3. Any alleged abuse or mistreatment of an adult, which occurs while participating in our services, this includes all allegations of abuse or mistreatment of adults against staff, Supportive Living Providers, volunteers, temporary caregivers (respite), or anyone else alleged to have abused.

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4. Any situation where an adult is missing, in accordance with Ministry requirements, otherwise, where CLTB considers the matter to be serious.

Any person in the care of a Residential Program who has been missing for 24 hours or more must be reported to the police and Ministry. The Serious Occurrence will include information pertaining to the person's risk level to self and others, previous history of going missing and attempts to locate the person and any precipitating events prior to them missing such as state of mind.

The ministry shall be notified **immediately** by telephone or email once the missing person has been found.

Phone ~ 1-800-265-1222 ext. 3218
Email ~ NR.SOMaintenance@css.gov.on.ca

When reporting the return of a missing client, please indicate the client's name; date the client went missing; date and time the client returned; the agency's name as well as your name and the contact number.

5. Any disaster on the premises where a service is provided, that interferes with daily routines, i.e.,
- fire
 - flood
 - power outage
 - gas leak
 - carbon monoxide
 - infectious disease (where public health officials are involved)
 - lockdown, etc.
6. Any complaint concerning the operational, physical or safety standards of the service that is considered by CLTB to be of a serious nature, i.e.,
- adverse water quality
 - hazardous/dangerous substances (poisons/flammables)
 - serious medication error
 - missing or stolen files
 - neighbourhood complaint about noise or physical appearance of the property (only where municipal authorities are involved), etc.
7. Any complaint made by or about an adult or any other serious occurrence concerning an adult that is considered by CLTB to be of a serious nature, i.e.,
- police involvement with a client (client charged by police)
 - serious assault by a client against staff, peers or community member
 - serious assault by a non-caregiver against client (friend, another client, stranger)
 - hospitalization i.e., pneumonia, suicidal ideation, drug or alcohol overdose, medical ailment (excluding regularly occurring doctor visits related to an ongoing

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- medical problem and any medical ailment occurring as a part of the aging process)
 - inappropriate disciplinary techniques, i.e., excessive, non-sanctioned
 - complaints arising from sexual contact between clients
8. A serious occurrence report must be completed and submitted after the use of any physical restraint of a resident or a residence funded under the Services and Supports to Promote the Social Inclusion of Persons with Developmental Disabilities Act 2008, that provides group living supports to adults with developmental disabilities, *that results in a) no injury, b) injury, c) allegation of abuse*. The SO must include information as per described in the Ministry guidelines.

If there is any doubt as to whether an incident is a Serious Occurrence or not, the Director of Supports and Services will contact the Ministry for direction.

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SERIOUS OCCURRENCE RESPONSE – IMMEDIATE ACTIONS

1. The adult supported by CLTB shall be provided with immediate medical attention when warranted.
2. Appropriate steps shall be taken to address any continuing risks to the adult's health and safety or the health and safety of other adults involved.
3. Ensure that the local coroner is notified immediately in all cases involving death, regardless of location (e.g. hospital) or circumstances (e.g., 'Do Not Resuscitate' order was in effect, or death not considered questionable).
4. The staff or any other person witnessing or having knowledge of the occurrence shall report the matter to their Team Leader, another Manager at CLTB or On Call Supervisor who will direct an inquiry into the serious occurrence.

FAILURE TO REPORT A SERIOUS OCCURRENCE WILL RESULT IN DISCIPLINARY ACTION.

5. The Team Leader or designate shall immediately begin a serious incident inquiry process in accordance with the following steps: (The purpose of the inquiry is to gather information regarding the actual or alleged occurrence(s).)
 - All persons having knowledge of the occurrence shall make themselves available to the Team Leader until they have been directed that there is no need for their further involvement.
 - The inquiry information gathered by the Team Leader or designate will form the basis of the later Serious Occurrence Report, and therefore should include as many of the following details as possible at this time:
 - 1) Description of the occurrence
 - 2) Allegations by adult supported (if applicable)
 - 3) Date, time, place where it occurred
 - 4) Time occurrence was deemed a serious occurrence
 - 5) Reason for the occurrence (if known)
 - 6) People involved
 - 7) Action taken
 - 8) Current status
 - 9) Parties notified: Coroner in all cases of death; Police, as applicable; Parents/others, as appropriate; the emergency contact person for an adult with a developmental disability
 - 10) Further action recommended:
 - a) specific to immediate situation; and/or
 - b) related to potential underlying factors (e.g. review of particular internal policy/procedure, review of program/treatment plan for adult supported, staff training need, modification to physical plan, etc.)

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- If on the basis of the inquiry, there is reason to suspect that an adult has been abused the Team Leader or designate shall ensure immediate contact with:
 - a) The Director of Supports and Services, Police, as appropriate and in accordance with applicable CLTB policies/procedures.

REPORTING PROCESS – WITHIN 24 HOURS

When a serious occurrence is deemed to have taken place, CLTB shall ensure that:

1. Within 24 hours, the Ministry regional/corporate office as applicable is informed. The Executive Director or designate will complete and submit the **Serious Occurrence Initial Notification Report**.

The report shall identify any adults with developmental disabilities involved by their first name and the first initial of their last name. Any other party will be referenced to by using non-identifying terms, (e.g., first and last initials only, staff 'A'/staff 'B', etc.).

Weekdays ~ Fax Initial Notification immediately and no later than 24 hours from occurrence to 1-705-564-9557 / 1-800-263-3347 ;

Weekends, Holidays & Statutory Holidays ~ call Serious Occurrence After Hours Phone Number (1-866-262-8881 or 1-877-444-0424 (voice))

Within 24 hours the parent/guardian/advocate and, where applicable, the person or agency who placed the adult and the emergency contact person for the individual are informed by the Team Leader, Monty Parks Centre Coordinator or On-call Team Leader, unless immediate notification is contra-indicated (e.g. the person to be notified is alleged to have abused the adult supported).

REPORTING PROCESS – WITHIN SEVEN (7) BUSINESS DAYS:

After the initial notification to the Ministry, the **Serious Occurrence Inquiry Report**, signed by the Executive Director or designate must be submitted to the Ministry regional/corporate office as applicable, within seven (7) business days.

Note: The primary focus of the Serious Occurrence Inquiry Report is the record of service provider actions from an accountability perspective (i.e., were the actions taken appropriate, complete, consistent with legislation/policy? etc.). However, there is the potential for not all desired information to be obtained, or incident review/follow-up actions completed, within the required seven-day period. When a Serious Occurrence Report is completed as a result of the use of a physical restraint, the client's views must be contained in the Serious Occurrence Report, taking into consideration the client's capacity to communicate his or her views.

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As such, the Serious Occurrence Inquiry Report will be submitted within the seven-day period, even if there is incomplete information and/or actions have yet to be completed. In such cases, an explanation will be included along with a clear indication that a supplementary follow-up report to the Ministry regional/corporate office will be required, in accordance with approved timelines. If required, the regional /corporate office may also initiate its own or other Ministry review.

The Ministry will be required to acknowledge receipt of every Serious Occurrence Inquiry Report including the Ministry's decision regarding the need for additional information from the service provider, additional action by the service provider and/or the need for a Ministry review. The Ministry will also be required to document the date and medium of acknowledgement (e.g., telephone, fax, electronic.)

ANNUAL SUMMARY & ANALYSIS REPORTS

An annual summary and analysis report of all serious occurrences will be developed by the Executive Director or designate and provided to the Ministry regional or corporate office, as applicable.

This report, which is submitted annually, will reflect the serious occurrence record from the previous one-year period based on the fiscal period of April 1st to March 31st of each year. Specifically, the report will be submitted by the end of the first month following the reported one-year period, using the standard MCSS Annual Summary & Analysis Report form.

The annual report will be reviewed by the Ministry as CLTB's management of serious occurrences, including CLTB's analysis of any patterns which suggest a need for training, support or internal policy modifications, and the identified steps to address any of these needs. Upon reviewing the report, the Ministry may also identify possible issues or actions that could require follow-up by CLTB, and/or more general information that could inform ongoing Ministry policy work.

In the event of any follow-up action being requested after review of the annual report by the Ministry, the Executive Director or designate will submit an outcome report upon completion of the identified action.