



GENERAL MANUAL POLICY

APPROVED BY:

Executive Director

CATEGORY: Supports and Services

TOPIC: Serious Occurrence Reporting

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POLICY

This policy intends to provide guidance for the identification and notification of Serious Occurrences. All providers of services that are funded, licensed or operated by the Ministry of Children, Community & Social Services (MCCSS) who deliver any direct service are required to report all Serious Occurrences to the Ministry within 1 hour (Level 1) or 24 hours (Level 2). These services include children under the *Child and Family Services Act (CFSA)* and adults with a developmental disability under the *Services and Supports to Promote the Social Inclusion of Persons with Developmental Disabilities Act, 2008*.

Serious Occurrence Reporting is one of many tools providing MCCSS and Community Living Thunder Bay (CLTB) with an effective means of monitoring the appropriateness and quality of service delivery.

RATIONALE:

MCCSS is committed to promoting the health, safety and well-being of persons who receive service.

Serious Occurrence Reporting is a process that:

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

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PROCEDURE:

A Serious Occurrence Report (SOR) is the official record used to report information about Serious Occurrence to MCCSS.

A Serious Occurrence (SO) is an incident that:

- Requires or may require intervention and/or investigation CLTB, MCCSS, and/or other applicable parties (such as the police); and
- Falls within one or more of the following SO categories:
 1. Death
 2. Serious injury
 3. Serious illness
 4. Serious individual action
 5. Restrictive intervention
 6. Alleged, witnessed or suspected abuse or mistreatment
 7. Error or omission
 8. Serious complaint
 9. Disturbance, service disruption, emergency situation or disaster

CLTB is responsible for:

- Managing any incident that occurs
- Determining whether an incident is a SO in accordance with MCCSS legislation, policy, the Guidelines and this policy
- Complying with existing MCCSS Serious Occurrence Reporting and MCCSS policy
- Notifying MCCSS, and other parties as required, about SOs within the time frames for Level 1 (1 hour) and Level 2 (24 hours) SOs
- Ensuring that the SOR includes accurate information about the SO and people involved in the SO
- Demonstrating to MCCSS, and other parties as appropriate, that SOs have been managed in accordance with any requirements, or demonstrating that work is underway to meet requirements
- Monitoring SO Reporting trends and utilizing SO data to assess compliance with requirements, develop strategies to reduce or prevent SOs, identify staff training needs, and/or evaluate program/service effectiveness

Timelines for submitting Serious Occurrence Reports:

Based on the type of incident, a SO is designated as either a Level 1 or a Level 2. The level indicates the timeframe in which the SO must be reported to MCCSS.

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Level 1 Serious Occurrences

Immediately notify MCCSS and submit a SOR within **1 hour** of becoming aware of the SO or deeming the incident to be a SO.

Level 2 Serious Occurrences

Submit a SOR as soon as possible but no later than **24 hours** of becoming aware of the SO or deeming the incident to be a SO.

For SORs submitted outside of the reporting timelines specified in the Guidelines, CLTB will be required to explain within the SOR why the submission was late.

Serious Occurrence Reporting Process:

Step 1: Attend to the incident and people involved in the incident

Upon becoming aware of an incident, the employee report the incident to the Director/Team Leader as soon as possible after attending to any immediate health or safety needs of person(s) involved in the incident.

Step 2: Determine if the incident meets the definition of a SO

After the incident has been attended to, the Director/Team Leader will evaluate the incident against the criteria within the Category-Specific Reporting Requirements of this policy, and applicable MCCSS legislation/policy, to determine whether the incident is a SO.

The Category-Specific Reporting Requirements do not constitute an exhaustive list of all Serious Occurrences that must be reported to MCCSS. In addition to what is stated in this section and any applicable MCCSS legislation or policy, Directors/Team Leader are expected to use their professional judgment in determining whether an incident involving a person(s) receiving a service is sufficiently serious to warrant a SOR.

Step 3: Determine the category for reporting

Once an incident is identified as a SO, the Director/Team Leader will determine which category or categories the SO should be reported under.

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Step 4: Determine the timeline for reporting

Once the SO category or categories have been identified, the Director/Team Leader will determine which timeframe the SO must be reported to MCCSS under (either Level 1 or Level 2).

Step 5: Submit an initial SOR to MCCSS:

All SORs are to be submitted through the SOR-RL online tool.

Initial SORs must include, at a minimum:

- CLTB site information
- The date and time of the SO
- The date and time of becoming aware of the SO/deeming the incident to be a SO (if different from date and time of the SO)
- The SO category or categories
- A description of the SO
- Who has been notified about the incident
- Whether any initial actions have been taken by CLTB in response to the incident
- Whether the incident resulted in any media attention, and whether CLTB expects there to be any media attention in the future
- Whether the initial SOR is expected to be the only/last report submitted for the SO

The Director/Team Leader must immediately notify MCCSS about Level 1 SOs. The initial notification should be a brief description of the incident, including:

- The type of incident (e.g. Death, Serious Injury, Serious Illness, etc.)
- The approximate date and time of the incident
- The approximate number of people involved
- Whether any of the people involved have immediate health or safety needs, and what CLTB is doing to address these needs

Step 7: MCCSS initial response to the SOR

Once MCCSS has received the initial SOR from CLTB, MCCSS will review the submission and may contact CLTB to:

- Seek clarification of any information submitted
- Request information submitted to be corrected, including having CLTB change the SO category selected if it is not correct or remove any unnecessary personal information
- Request additional information about the SO
- Request or direct that additional action to be taken by CLTB, including enforcement action.

Step 8: Provide updates (where applicable)

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Until MCCSS deems that no further action is required from CLTB with respect to the SO, CLTB will be required to provide updates as new information becomes available about the SO and no later than 7 business days after submitting the initial SOR.

Updates are required at a minimum every 7 business days thereafter until MCCSS deems that no further action is required from CLTB.

MCCSS may request updates at any time.

Step 9: Determining when no further action is required

MCCSS will review each SOR to determine when no further action is required from CLTB with respect to the SO, which includes checking that CLTB:

- Filled out all required fields
- Made all required notifications
- Has undertaken all further action or follow-up, as requested; and
- Met all SOR requirements

A SOR that is flagged in SOR-RL a “no further action required” can be updated at any time as new information becomes available or at the request of MCCSS.

Inclusion of a Person’s View/Perspective:

When a SO involves a person, CLTB should include the person’s view/perspective of the SO in the SOR. To the extent possible, the person’s view/perspective should be in the person’s own words.

CLTB must ensure that the person has provided their informed consent to having their view/perspective included in a SOR.

As noted above, CLTB is required to report SOs to MCCSS within the timelines for Level 1 (1 hour) and Level 2 (24 hours) SOs. A person’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 person to obtain the information on the person’s view/perspective.

If CLTB is unable to include the person’s view/perspective on the SOR, an explanation should be given as to why.

Category-Specific Reporting Requirements:

There are specific reporting requirements for each SO category. CLTB is required to report SORs and is expected to adhere to the reporting requirements listed below. The examples supplied in each category

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are meant for illustrative purposes only and do not constitute an exhaustive list of incidents considered to be SOs.

1. DEATH

Report a Death as a SO when:

- the death of a person occurs while receiving a service

Determine the Death SO reporting timeline:

- All Death SOs are Level 1 and are to be reported within 1 hour of becoming aware of the SO or deeming the incident to be a SO

Preliminarily assess the Death SO subcategory:

- a. Suicide
- b. Violence/Homicide
- c. Accidental
- d. Choking, fall, falling object, fire, motor vehicle accident, poisoning (i.e. alcohol, etc.), or other (specify)
- e. Known illness or other natural cause
- f. Unknown cause (i.e. the reason for death is unknown at the time of submitting the SOR or the Coroner has classified the death as Undetermined)

Include in the Death SO description (in addition to general SO description requirements):

- Apparent cause of death
- Whether there was anyone present at the time of death/any witnesses to the death
- Witness accounts of the death (where applicable/known)

Notify the following persons/entities about the Death SO (in addition to general SO notification requirements):

- The Coroner:

When a person who resides in a supported group living residence or an intensive support residence under the SIPPDA dies

Where a person dies while

- a. a patient of a psychiatric facility;
- b. committed to a correctional institution;
- c. committed to a place of temporary detention under the *Youth Criminal Justice Act* (Canada); or

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- d. committed to secure or open custody under section 24.1 of the *Young Offenders Act* (Canada), whether in accordance with section 88 of the *Youth Criminal Justice Act* (Canada) or otherwise, whether or not the person was on the premises or in actual custody of the facility, institution or place

Where a person dies while being restrained and while committed or admitted to a secure treatment program; or

When there is reason to believe a deceased person has died

- a. as a result of violence, misadventure, negligence, misconduct, or malpractice
- b. by unfair means
- c. during pregnancy or following pregnancy in circumstances that might reasonably be attributable thereto
- d. suddenly and unexpectedly
- e. from disease or sickness which was not treated by a legally qualified medical practitioner
- f. from any cause other than disease
- g. under such circumstances as may require investigation

2. SERIOUS INJURY

Report a Serious Injury as a SO when:

- A person receiving a service incurs a serious injury which requires unscheduled medical attention from a regulated health professional and/or unplanned hospitalization.

Determine the Serious Injury SO reporting timeline:

Level 1:

- A life-threatening injury
- An injury caused by a service provider
- An injury requiring emergency medical services

Level 2:

All other serious injury SOs.

Determine the Serious Injury SO subcategory:

- a. Accidental
- b. Choking, fall, falling object, fire, motor vehicle accident, poisoning (i.e. alcohol, etc.), or other (specify)
- c. Aggressive behaviour (e.g. physical altercation between persons)

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- d. Self-harm (including injuries sustained during a suicide attempt)
- e. Unknown cause (e.g. the reason for injury is unknown at the time of submitting the SOR or there are conflicting accounts regarding how the injury was sustained)
- f. During a physical restraint
- g. Other (specify)

Include in the Serious Injury SO description (in addition to general SO description requirements):

- How the injury was sustained/type of injury;
- Date(s) and time(s) the person was taken to see a regulated health professional and/or to the hospital, and date and time of release;
- Name of the hospital(s) and/or clinic(s) where the person was taken;
- Who was involved in the injury (where applicable);
- Whether there was anyone present at the time of the injury/any witnesses to the injury, and witness accounts of the injury (where applicable/known); and
- Whether any treatment was provided by a regulated health professional, and whether any follow-up treatments are required or expected.

3. SERIOUS ILLNESS

Report a Serious Illness as a SO when:

- An person receiving a service incurs a serious illness or has an existing serious illness which requires unscheduled medical attention from a regulated health professional and/or unplanned hospitalization.

Determine the Serious Illness SO reporting timeline:

Level 1:

- A life-threatening illness; or
- An illness requiring emergency medical services

Level 2:

All other serious injury SOs.

Determine the Serious Illness SO subcategory:

- a. Mental health (e.g. a person is taken to the hospital due to mental health concerns)
- b. Communicable disease
- c. Other disease, illness or infection
- d. Unknown cause (i.e. cause of illness is not known at time of submitting the SOR)

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Include in the Serious Illness SO description (in addition to general SO description requirements):

- Type of illness (where known);
- How the illness was sustained (where known);
- Date(s) and time(s) the person was taken to see a regulated health professional and/or to the hospital, and date and time of release;
- Name of the hospital(s) and/or clinic(s) the person was taken to;
- Whether there was anyone present at the time of the onset of the illness;
- Whether any treatment was provided by a regulated health professional, and whether any follow-up treatments are required or expected; and
- For communicable disease SOs, confirmation of preventative measures taken by CLTB to stop the spread of the disease, and any follow-ups recommended by and/or conducted with public health officials (where applicable).

Notify the following persons/entities about the Serious Illness SO (in addition to general SO notification requirements):

- The North Bay Parry Sound District Health Unit:
When a supported group living residence or intensive support residence suspects that a person living in the residence has or may have a disease of public health significance or is or may be infected with an agent of a communicable disease.

4. SERIOUS INDIVIDUAL ACTION

Report a Serious Individual Action as a SO when:

- Suicidal behaviour: A person receiving a service attempts suicide, utters a suicidal threat of a serious nature or utters a suicidal threat that results in the person being placed on suicide watch.
- Alleged, witnessed or suspected assault: A person receiving a service is assaulted or is accused of assaulting someone.
- Contraband/safety risk: A person receiving a service is suspected to be, or is discovered to be, in possession of a substance or object that: a) is prohibited by legislation or policies and procedures, b) has the potential to cause injury or death, and/or c) is deemed by CLTB to be a significant danger or concern.
- Inappropriate/unauthorized use of information technology (IT): A person receiving a service uses IT in an inappropriate and/or unauthorized way that: a) has or could result in criminal charges, and/or b) is or could be a threat to the health, safety or well-being of the person, other people or the public.
- Unusual or suspicious absence: A person receiving a service is discovered to be absent, or is missing/absent under unusual or suspicious circumstances.
- Serious charges: A person receiving a service incurs serious charges
- Relinquishment of care/threat of relinquishment of care: a) the family/primary caregiver of

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an adult with a developmental disability receiving a service relinquishes care of the person, b) the family/primary caregiver of an adult with a developmental disability threatens to relinquish care, or c) another person (e.g. a staff, volunteer, etc.) suspects that relinquishment of care may occur.

Determine the Serious Individual Action SO reporting timeline:

Level 1:

Suicidal Behaviour: Threat to the health and safety of the person or immediate risk of harm to the person.

Alleged, witnessed or suspected assault: Any assault that results in serious injury to the person or CLTB staff.

Contraband/safety risk: The contraband/safety risk:

- Has the potential to cause injury or death;
- Is being actively investigated by the police and/or MCCSS; or

Inappropriate/unauthorized use of information technology: The information technology usage results in or could result in criminal charges, the usage is tied to engagement in prostitution or human trafficking, or the usage is a threat to public safety.

Unusual or suspicious absence: The absence poses a serious concern about the person's immediate safety or poses a serious public safety concern.

Serious charges: New charges that represent a significant individual or public safety concern.

Relinquishment of care/threat of relinquishment of care: Relinquishment of care by family/primary caregiver(s) has been fulfilled.

Level 2:

All other serious individual action SOs.

Determine the Serious Individual Action SO subcategory (where applicable):

a. Suicidal behaviour:

- Attempt
- Threat that results in placement on suicide watch

b. Alleged, witnessed or suspected assault:

- Person on person (i.e. young person on young person receiving the same service, child on child receiving the same service, adult on adult receiving the same service, etc.)
 - Alleged aggressor, alleged victim or unknown
- Person on staff
 - Alleged aggressor, alleged victim or unknown

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- Person on other (specify)
 - Alleged aggressor, alleged victim or unknown
- c. Contraband/safety risk:
- Weapons
 - Narcotics/illegal substances
 - Fire setting (including arson)
 - Other items that pose a threat to the safety of the person, other persons, staff, CLTB operations and/or the public, and/or are used with the intent to cause harm to the person or others, including the possession of items contrary to policy, procedures and/or standards.
- e. Unusual or suspicious absence:
- Missing/absent under unusual or suspicious circumstances under the age of 16
 - Missing/absent under unusual or suspicious circumstances over the age of 16

Include in the Serious Individual Action SO description (in addition to general SO description requirements):

Suicidal Behaviour:

- Whether the suicidal behaviour resulted in an injury
- Whether the person was taken to see a regulated health professional and/or a non-regulated health professional (such as a traditional Indigenous healer) and/or to the hospital, and if so:
 - The name of the hospital and/or clinic where the person was taken;
 - The date and time of going to the hospital and/or clinic; and
 - Whether any treatment was provided by a regulated health professional and/or non-regulated health professional (such as a traditional Indigenous healer), and whether any follow-up treatments are required or expected.
- If the person was placed on suicide watch, the status of the suicide watch
- Information on debriefing conducted with the person, staff, and others as applicable
- Whether any persons receiving a service witnessed the suicidal behaviour, and if so, information on debriefing
- Services and supports that are being provided for the person (where applicable), including actions taken to prevent future incidents

Alleged, witnessed or suspected assault:

- Whether the assault resulted in an injury
- If the police were called, describe the police involvement (e.g. did the police attend a CLTB site, are police laying charges, etc.)
- Whether the person was taken to see a regulated health professional and/or to the hospital, and if so:
 - The name of the hospital and/or clinic where the person was taken;
 - The date and time of going to the hospital and/or clinic; and

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- Whether any treatment was provided by a regulated health professional, and whether any follow-up treatments are required or expected.
- Any efforts that have been taken to keep persons involved in the assault separate, safe, etc.

Contraband/safety risk:

- Type of contraband/safety risk
- Did CLTB complete a search of the site to ensure no further contraband is in the possession of any persons receiving a service
- Whether the contraband has been properly disposed of (as appropriate)

Inappropriate/Unauthorized Use of Information Technology:

- Type of inappropriate/unauthorized use
- Whether the use was via CLTB information technology, the person's personal information technology, or other
- Actions taken by CLTB to mitigate or prevent future occurrences

Unusual or Suspicious Absence:

- Describe whether the person poses a serious risk to themselves or others (e.g. the person is without their daily medication, the person has history of suicidal behaviour, etc.)
- Actions taken to locate the person
- Type of absence/how the person became absent
- Indicate whether the person has a prior history of being missing/absent under unusual or suspicious circumstances
- Person's state of mind before becoming absent (where known)
- Information on where staff were at the time of the person becoming absent
- Indicate when the person has returned/is located.

Serious Charges:

- List the new charges
- Detail the events that led to the charges (where known)
- Detail any media attention that is anticipated or has occurred as a result of the new charges
- Court dates (where known)

Relinquishment of Care/Threat of Relinquishment of Care:

- Indicate who relinquished care or who is threatening to do so
- Describe the plan for the person going forward (e.g. new placement, supports provided, etc.)
- Reason for relinquishment of care (service breakdown, increased support required, emergency situation, etc.)

Notify the following persons/entities about the Serious Person Action SO (in addition to general SO notification requirements):

Suspicious or Unusual Absence:

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- The police, in accordance with requirements in legislation or policy (see, for example, s. 84(3) of O. Reg. 156/18 under the CYFSA).

5. RESTRICTIVE INTERVENTION

Report a Restrictive Intervention as a SO when:

Physical restraint:

- A physical restraint is used on a child or young person who is receiving a service. Any use of a physical restraint on a child or young person while receiving a service is to be reported as a SO.
- A physical restraint is used on an adult with a developmental disability who is receiving a service in circumstances where:
 - The physical restraint was used with an adult with a developmental disability to address a crisis situation when positive interventions have proven to be ineffective, where:
 - A person with a developmental disability is displaying challenging behaviour that is new or more intense than behaviour that has been displayed in the past and the person lacks a behaviour support plan that would address the behaviour, or the behaviour intervention strategies that are outlined in the person's behaviour support plan do not effectively address the challenging behaviour;
 - The challenging behaviour places the person at immediate risk of harming themselves or others or causing property damage; and
 - Attempts to de-escalate the situation have been ineffective.
 - The physical restraint was used with an adult with a developmental disability who was displaying challenging behaviour (either as part of the person's behaviour support plan or in a crisis situation) and the physical restraint resulted in the injury to the person who was restrained, and/or the staff person(s) who employed the use of the physical restraint, and/or anyone else in the vicinity where the physical restraint took place; or
 - The physical restraint was used with an adult with a developmental disability who was displaying challenging behaviour (either as part of the person's behaviour support plan or in a crisis situation) and the physical restraint resulted in an allegation of abuse.

Determine the Restrictive Intervention SO reporting timeline:

Level 1:

Any restrictive intervention that:

- Contravenes MCCSS legislation, regulations and/or policy
- Resulted in physical impairment/injury and/or emotional harm of the person
- Resulted in treatment by a regulated health professional, requiring emergency medical services
- Was administered by an unauthorized person

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Level 2:

All other restrictive intervention SOs.

Include in the Restrictive Intervention SO description (in addition to general SO description requirements):

- Reason for the use of a restraint
- Approvals received for use of restraint (where applicable)
- Where applicable, the imminent threat that led to the use of a restraint (e.g. risk of self-harm, risk of harming another person, risk of harming staff, risk of harming a community member, risk of significant damage to property, etc.)
- Any injuries to persons involved (including staff, volunteers, etc.)
- If treatment was provided by a regulated health professional, and whether any follow-up treatments are required or expected
- Less intrusive measures used before the restraint, including attempts to de-escalate the situation
 - If no less intrusive measures or de-escalation method was used, explain why not.
- The initials of all staff involved
- Description of staff monitoring that occurred while the person was in a restraint
- Any pertinent information on the person's actions while in a restraint
- A description of person and staff de-briefing, including date and time that debriefings occurred
 - If no de-brief was conducted, explanation why not.
- Witness accounts (where applicable)
- Where applicable, explanation of verbal or written debriefing for other persons who witnessed the use of a restraint
- Where applicable, information on whether there was a plan of care/plan of treatment/plan for the use of a behaviour support plan in place prior to the use of the restraint, and what the next steps are (e.g. review of the plan, etc.)

6. ABUSE OR MISTREATMENT

Report Abuse or Mistreatment as a SO when:

- There are allegations of abuse or mistreatment, abuse or mistreatment (witnessed or otherwise), or suspected abuse or mistreatment of an person receiving a service which occurred, or is alleged to have occurred, while the person was receiving a service; or
- There are new allegations of historical abuse or neglect of a child or young person receiving a service.

Determine Abuse or Mistreatment SO reporting timeline:

Level 1:

Any allegations of, witnessed or suspected abuse or mistreatment where:

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- There is an immediate threat to the health, safety or well-being of the person or others;
- A current CLTB staff, volunteer, etc. is implicated in the alleged, witnessed or suspected abuse or mistreatment of a person; or
- The person is receiving threats or harassment from a human trafficker.

Level 2:

All other alleged, witnessed or suspected abuse or mistreatment SOs.

Determine Abuse or Mistreatment SO subcategory:

- a. Physical abuse
 - Alleged, witnessed or suspected
- b. Emotional harm
 - Alleged, witnessed or suspected
- c. Neglect
 - Alleged, witnessed or suspected
- d. Exploitation (e.g. financial abuse, human trafficking)
 - Alleged, witnessed or suspected
- e. Emotional harm
 - Alleged, witnessed or suspected

Include in the Abuse or Mistreatment SO description (in addition to general SO description requirements):

- Who the allegations are being made against (CLTB, another person, other person working with the person, family member, etc.);
- Who the allegation was disclosed to (staff, volunteer, etc.);
- When the alleged incident occurred (i.e. while receiving a service or historically);
- What steps are being taken to ensure the safety and/or support of the persons involved e.g., alternative staffing, counselling, medical attention, etc.;
- Whether the person requires medical attention/any injuries sustained;
- Whether the alleged abuse or mistreatment requires investigation, is under investigation, has been investigated and verified, or has been investigated but not verified; and
- The outcome/results of any investigation (where applicable). Please do not include any information that could impact an ongoing investigation.

Notify the following persons/entities about the Abuse or Mistreatment SO (in addition to general SO notification requirements):

- The police, when there are allegations of abuse or mistreatment of an adult with a

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developmental disability that may constitute a criminal offence, or there are allegations of abuse or mistreatment of a young person.

- A society, when there are reasonable grounds to suspect that a child is in need of protection (see Section 125, “Duty to report child in need of protection”, of the CYFSA for full requirement).
- The Office of the Independent Police Review Director (OIPRD), when the allegations are made against a police officer.

7. ERROR OR OMISSION

Report an Error or Omission as a SO when:

Medication errors:

There is a medication error involving the prescribing, transcribing, dispensing, administration and/or distribution of medication(s) to a person receiving a service.

Improper detention, commitment or release:

- A young person who is receiving a service is improperly detained in or released from a youth justice custody/detention facility (i.e. contrary to a court order or contrary to the proper administration of applicable legislation).
- A child who is receiving a service is improperly committed to or released from a secure treatment program.

Privacy breach (real or potential):

There is a breach or a potential breach of privacy and/or confidentiality, including any instance/suspected instance when personal information of a person who is receiving a service has been collected, used, stolen, lost or disclosed without authority (in accordance with applicable legislation or MCCSS/CLTB policy) that results in serious harm or risk of serious harm to the person and/or others, or is in contravention of the YCJA.

Determine the Error or Omission SO reporting timeline:

Level 1:

Medication error: Any error that resulted or may result in physical or psychological impairment of the person or has or may threaten the person’s health or safety, requiring immediate medical attention.

Improper detainment/commitment/release: All instances.

Breach/potential breach of privacy and/or confidentiality: The person has been seriously harmed or is at risk of serious harm as a result of a breach of personal information.

Level 2:

All other error and omission SOs

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Include in the Error or Omission SO description (in addition to general SO description requirements):

Medication error:

- Type of medication error
- General description of the medication (e.g. pain medication, antidepressant, etc.)
- How staff became aware of the error
- Any injuries, side effects or potential side effects
- Indicate whether the person requires medical attention/treatment from a regulated health professional, and confirm the person's medical needs have been/are being addressed
- Indicate whether a health professional has been contacted for guidance in responding to/monitoring the person's condition and medical needs (i.e. pharmacist, telehealth, doctor, etc.)
- Confirm medication administration policies and procedures have been reviewed with staff (where applicable)

Improper detainment/commitment/release:

- Reason for improper detainment/commitment/release (e.g. court, administrative or police error, etc.)
- Person's location (if known)
- Date and time of improper detainment/commitment/release, and total length of time person was improperly detained/committed/released
- Legal detainment/commitment/release date
- For improper release, information on when person has returned or is apprehended

Breach or potential breach of privacy/confidentiality:

- Nature of the breach
- Description of what information was disclosed through the breach
- Steps taken by CLTB to address breach and prevent re-occurrence (e.g. retrieve the breached information, conduct an internal investigation, institute a change in procedures, etc.)
- Where applicable, confirmation that the affected person was notified of their rights to make a complaint to the Information and Privacy Commissioner (IPC), and indicate whether the IPC was contacted
- Whether the affected person was notified of the breach/potential breach, and if not, why not.
 - Examples of medication errors include missed dose, wrong dose, wrong medication, wrong time (more than 1 hour before or after prescribed time), dose taken by wrong person/given to wrong person, dose preparation error, or loss of or missing medication.
 - Report medication refusals under Category 2: Serious Injury, Self-Harm subcategory when there is a significant health or safety risk associated with a person refusing to take their medication.

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- Examples of a breach or potential breach include but are not limited to: a) a staff's laptop is stolen with an person's files on it, b) CLTB computer system has been hacked and personal information has been stolen, c) an person's personal information is posted on social media, d) hard copy materials that contain an person's personal information are left in a public place.

8. SERIOUS COMPLAINT

Report a Serious Complaint as a SO when:

- A complaint is made by or on behalf of a person who is receiving a service regarding the alleged violation of their rights (e.g. under the Canadian Human Rights Act, Canadian Charter of Rights and Freedoms, Ontario Human Rights Code, CYFSA, etc.).
- A complaint is made by or on behalf of a person receiving a service regarding a violation of their privacy rights (i.e. improper collection, use or disclosure of the person's personal information).
- A complaint is made by or about a person who is receiving a service that CLTB considers to be of a serious nature.
- A complaint is made about the operational, physical or safety standards of the services received by a person.

Determine the Serious Complaint SO reporting timeline:

Level 1:

The complaint is about a CLTB employee being charged or arrested for a crime that may affect or has affected a person or persons receiving a service.

Level 2:

All other serious complaint SOs.

Determine the Serious Complaint SO subcategory:

a. Rights-based complaint:

- Privacy-related (e.g. a person receiving a service makes a complaint about a potential or confirmed breach of privacy or confidentiality)
- Human rights-related (e.g. a person receiving a service makes a complaint about alleged discrimination from CLTB and/or CLTB employees)

b. Service-related complaint:

- Operational (e.g. a complaint about staff competence, a previous incident that

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- happened at a CLTB site, etc.)
- Physical environment (e.g. a complaint about noise levels where municipal authorities are involved, loitering, upkeep of a CLTB site, etc.)
 - Safety standards (e.g. improper storage of hazardous/dangerous substances, such as toxic cleaners or lamp oil)
- c. Complaint about a person receiving a service
- d. Other (specify)

Include in the Serious Complaint SO description (in addition to general SO description requirements):

- What the complaint is
 - Who is making the complaint
 - Who the complaint is against
 - Who the complaint affects and how it affects them
 - What is being done to address the complaint
 - Information about the complaint being reported through other complaints processes, where applicable (e.g. the Information and Privacy Commissioner for privacy-related complaints)
 - Information on CLTB review of the complaint and its resolution
 - Any impact on CLTB and/or persons receiving a service
- If the complaint is about the CLTB specifically, report it under Operational in the “service-related complaint” subcategory.
 - Service-related complaints and complaints about a person or persons receiving a service can be from a person(s) receiving a service, parents, neighbours, community members, volunteers, etc.

9. DISTURBANCE, SERVICE DISRUPTION, EMERGENCY SITUATION OR DISASTER

Report a Disturbance, Service Disruption, Emergency Situation or Disaster as a SO when:

- The disturbance, service disruption, emergency situation or disaster occurs on CLTB premises and it interferes with CLTB’ ability to provide routine services.

Determine the Disturbance, Service Disruption, Emergency Situation or Disaster SO reporting timeline:

Level 1:

- The CLTB Emergency Preparedness Plan was activated in response to an incident that threatened the health or safety of persons or others

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- The incident is or was perceived to be a significant danger to or concern of the community
- There was/is a site evacuation because of this incident
- There was/is a site lockdown because of this incident
- Police intervention or assistance was/is required

Level 2:

All other disturbance, service disruption, emergency situation or disaster SOs.

Determine the Disturbance, Service Disruption, Emergency Situation or Disaster SO subcategory:

- a. Adverse water quality
- b. Fire
- c. Flood
- d. Natural disaster
- e. Power outages (e.g. an outage that causes a significant disruption to services, and outage of an essential IT system, etc.)
- f. Gas leak
- g. Carbon monoxide
- h. Abduction
- i. Infectious outbreak (where public health officials are involved; e.g. an outbreak of bed bugs, influenza, etc.)
- j. Riot
- k. Stand-off
- l. Hostage taking
- m. External threat (e.g. bomb threat, CLTB computer system has been hacked, etc.)
- n. Other (specify)

Include in the Disturbance, Service Disruption, Emergency Situation or Disaster SO description (in addition to general SO description requirements):

- Who was involved in the incident
- Whether there were any injuries to persons, staff or others present
- Whether a crisis resolution team and/or other crisis intervention processes were activated/deployed
- Indicate if CLTB Emergency Preparedness Plan or other emergency plan has been activated, including transition to alternative supports
- Include details about person(s) safety, number of persons affected, as well as details about staff safety and number of staff affected
- For infectious outbreak, confirmation of preventative measures taken by CLTB to stop the spread of the outbreak (such as site shut downs, etc.), and any follow-ups conducted with

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public health officials (where applicable)

- Indicate whether there is any property damage or repairs needed to the CLTB site, and current condition of the site (where applicable)
- Evacuation details (where applicable)

Notify the following individuals/entities about the Disturbance, Service Disruption, Emergency Situation or Disaster SO (in addition to general SO notification requirements):

- The Thunder Bay District Health Unit:
When a supported group living residence or intensive support residence suspects that a person living in the residence has or may have a disease of public health significance or is or may be infected with an agent of a communicable disease.

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.