

Serious Occurrence Policy and Reporting Procedure

A Serious Occurrence is an incident that requires or may require intervention and/or investigation by a service provider, the Ministry of Children, Community and Social Services (MCCSS) and/or other applicable parties such as the police and falls within identified categories as noted below.

Serious Occurrence Reporting pertains to people receiving support through programs and services funded by MCCSS.

In addition to our internal reporting process “Incident /Accident Report (for People Supported) Procedure” we also report these more serious situations to the Ministry.

The following information outlines the mandatory policy and procedures:

Mandatory Timelines

Support Staff/Volunteers/Students do not report directly to the Ministry. They report immediately through their Supervisors who then process the information through the Directors, who then report through the Executive Director. The Executive Director and all Directors have the only exclusive authority to approve and sign off on Serious Occurrence reports. We use this process so that we can track information and ensure appropriate actions are taken for each situation.

When in doubt please contact your Supervisor or the emergency back-up system (On-Call) for assistance.

There are two levels of Serious Occurrence Reporting:

Level 1 – Reporting to MCCSS within one hour.

Level 2 – Reporting to MCCSS as soon as possible but no longer than 24 hours.

Therefore it is imperative that Supervisors are notified immediately.

Serious Occurrence Categories

1. Death

Always reported for residential support situations or when participating in other programs

2. Serious Injury

- a) **Any serious injury caused by the Service Provider** is reported. The judgment here is the extent of the injury. Example: An accidental fall (that resulted in a scrape or bruise) while being assisted by a support staff where there was no medical attention required would probably not be reported (unless it occurred as the result of neglect/unsafe equipment) as a serious occurrence but would be through Community Living Mississauga’s internal incident/accident reporting process.
- b) **Any serious accidental injury**, based on the seriousness of the injury, is reported. Example: Any broken or fractured bones or burns would be reported but bumps and scrapes, even if they require medical attention, would probably not be reported as a serious occurrence but would be through Community Living Mississauga’s internal incident reporting process.
- c) **Any serious non-accidental injury**, based on the seriousness of the injury, is reported. Example: Any broken or fractured bones would be reported but bumps and scrapes, even if they require medical attention, would probably not be reported as a serious occurrence but would be through Community Living Mississauga’s internal incident reporting process.

3. Serious Illness

Any illness that is:

- A life-threatening illness
- An illness requiring emergency medical services such as an unplanned surgery
- Admission to hospital

4. Serious Person's Action

- **Suicidal Behaviour:** any immediate risk of harm to the person.
- Alleged, witnessed or suspected assault that results in a serious injury to a person
- Missing persons where it is deemed to be serious or we are concerned for their safety. Refer to: Safety and Security Policy (Missing Persons) # 23
- Relinquishment of care of a person by person's family/caregiver

5. Restrictive intervention

- Use of any physical restraint or secure isolation in the absence of an established Behaviour Management Plan
- Reference Use of Physical Intervention policy

6. Abuse or mistreatment

- Any allegations of, witnessed or suspected abuse or mistreatment of an person who receives support
- Reference Abuse and Neglect Policy
- The person is receiving threats or harassment from a human trafficker

7. Error or omission

Medication error:

- Medication errors that caused serious harm or injury to the person
- A medication refusal that results in serious harm or injury to the person

Breach/potential breach of privacy and/or confidentiality:

- e.g. stolen or lost files, laptop or other documents containing disclosing information
- Emails containing disclosing information sent to wrong recipient(s)

8. Serious complaint

- 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)
- 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 about the operational, physical or safety standards of the services received by a person and is considered to be of a serious nature.

- The complaint is about a service provider, employee, director or owner being charged or arrested for a crime that may affect or has affected a person or people receiving a service.

9. Disturbance, service disruption, emergency situation or disaster

- The disturbance, service disruption, emergency situation or disaster occurs on the service provider premises or within close proximity of where the service is provided, and it interferes with the service provider to provide routine services.
- Reporting is dependent on severity. Broken pipes resulting in flooding would not be considered a disaster unless it made the location uninhabitable.
- Any situation that caused a major evacuation of a location would be reported.
- Police intervention or assistance was required based on evacuation or disruption

Training

All employees/volunteers/students are required to receive training as part of the initial orientation to Community Living Mississauga including an annual review of the Serious Occurrence Reporting Policy and Procedures.

Privacy and Confidentiality

Community Living Mississauga is committed to protecting the personal information entrusted to us.

The following are important principles to adhere to in respect to privacy and Serious Occurrence Reporting.

Principle	Procedures
Accountability	During the course of our day to day operations, Community Living Mississauga gathers and uses personal information. Such information will be carefully protected (electronic and print) in a secure manner and any use of or other dealing with this information is subject to consent. Access to SORs (Serious Occurrence Reporting) is limited to employees based on their roles and responsibilities.
Accuracy	Community Living Mississauga is committed to ensuring that SORs information is accurately recorded, complete and up-to-date to serve the purpose for which it is being used by MCCSS.
Transparency	Community Living Mississauga will make information available about our policies and practices to our collection, use or disclosure of personal information. For people supported and or legal guardians Community Living Mississauga will inform them that personal information will be shared with MCCSS as part of the Serious Occurrence reporting process.
Person's Access	Community Living Mississauga will respond to requests from people supported for access to their personal information.
Limiting Use and Disclosure	Safeguards are in place to ensure that the information is not disclosed or shared more widely than necessary to achieve the purpose for which it was gathered. Personal information will not be transferred and or shared with anyone who does not have authorization or approval to access personal information
Openness	Community Living Mississauga informs people and or legal guardians through our Expectations of Support how we manage their Personal Information. We will respond to requests from people supported for access to their personal information.
Safeguards	Personal information is kept confidential. Community Living Mississauga also take measures to ensure the integrity of the information is maintained, to prevent it being lost or destroyed such as lock or log-off work station/devices before leaving desk unattended, never write passwords or share them, etc. Access to ROR-RL (Serious Occurrence Reporting and Residential Licensing) is provided only to authorize employees involved in managing the Serious Occurrence Reporting Process.

Policy review

The Senior Management Team of Community Living Mississauga will have a standing agenda item at their meetings where any required updates to the Serious Occurrence Reporting Policy and Procedures will be reviewed and discussed quarterly.

Identification of Patterns and Trends

The Senior Management Team of Community Living Mississauga will have a standing agenda item at their meetings where any Serious Occurrence patterns and trends are reviewed and assessed quarterly based on a report generated through the MCCSS SOR-RL data base.

Annual Review

An annual review and analysis of all Serious Occurrence reports will be completed by the Senior Management team as generated through the MCCSS SOR-RL data base. Trends, patterns and identified issues will be recorded with action plans as necessary. Any significant issues or concerning

trends/patterns will be communicated to the designated MCCSS contact.