

Serious Occurrence categories

1. Death:

- The death of an individual occurs while receiving a service;

2. Serious injury:

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

3. Serious illness:

- An individual 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.

4. Serious individual action:

- Suicidal behaviour: An individual receiving a service attempts suicide, utters a suicidal threat of a serious nature or utters a suicidal threat that results in the individual being placed on suicide watch.
- Alleged, witnessed, or suspected assault: An individual receiving a service is assaulted or is accused of assaulting someone.
- Contraband/safety risk: An individual 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 the service provider to be a significant danger or concern.
- Inappropriate/unauthorized use of information technology (IT): An individual 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 individual, other individuals or the public.
- Unusual, suspicious or unauthorized individual absence: An individual receiving a service is discovered to be absent, and their absence is unauthorized, or the individual is missing/absent without permission.
- Serious charges: An individual receiving a service incurs serious charges.
- Relinquishment of care/threat of relinquishment of care: a) the family/primary caregiver of an adult with a disability receiving a service relinquishes care of the individual, b) the family/primary caregiver of an adult with a developmental disability receiving a service threatens to relinquish care, or c) another individual (e.g. a staff, volunteer, etc.) suspects that relinquishment of care may occur.

5. Restrictive intervention:

- 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 individual 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.
- Mechanical restraint:
 - A mechanical restraint is used on an adult with a developmental disability contrary to the individual's behaviour support plan, the provisions of Ontario Regulation 299 under the SIPDDA and/or the policy directives (2.0 – Supporting People with Challenging Behaviour) under the SIPDDA.
 - Secure de-escalation (or secure isolation/confinement time-out):
 - An individual receiving a service is placed in a secure de-escalation (or secure isolation/confinement time-out) room. Any placement in such settings is to be reported as a SO.

6. Abuse or mistreatment:

- There are allegations of abuse or mistreatment, abuse or mistreatment (witnessed or otherwise), or suspected abuse or mistreatment of an individual receiving a service which occurred, or is alleged to have occurred, while the individual was receiving a service;

7. Error or omission:

- There is a medication error involving the prescribing, transcribing, dispensing, administration and/or distribution of medication(s) to an individual receiving a service.
- There is a breach or a potential breach of privacy and/or confidentiality, including any instance/suspected instance when personal information of an individual who is receiving a service has been collected, used, stolen, lost or disclosed without authority that results in serious harm or risk of serious harm to the individual and/or others.

8. Serious complaint:

- A complaint is made by or on behalf of an individual 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, etc.).
- A complaint is made by or on behalf of an individual receiving a service regarding a violation of their privacy rights (i.e. improper collection, use or disclosure of the individual's personal information).
- A complaint is made by or about an individual who is receiving a service that the service provider

considers to be of a serious nature.

- A complaint is made about the operational, physical or safety standards of the services received by an individual.

9. Disturbance, service disruption, emergency situation or disaster:

- The disturbance, service disruption, emergency situation or disaster occurs on the service provider premises or in the case of residential care, the place where residential care is provided, or within close proximity of where the service is provided, and it interferes with the service provider or foster parent's ability to provide routine services.

CLFFD staff will:

- 1) Will attend to the incident /situation and any immediate health or safety needs of individual(s) involved in the situation.
- 2) Determine if the incident/situation meets the definition of a Serious Occurrence (SO)
After attending to the incident/situation, service providers will evaluate the incident against the criteria within the Guidelines, applicable MCCSS legislation/policy and the service provider's internal SO Reporting policy to determine whether the incident/situation is a SO. They will then contact management staff to report the possible serious occurrence.

Serious Occurrence Reporting Initiators/ Management staff will:

- 3) Once an incident/situation is identified as a SO, the service provider will determine which category or categories the SO should be reported under.
- 4) Once the SO category or categories have been identified, the service provider will determine which time frame the SO must be reported to MCCSS under (either Level 1 or Level 2).
- 5) Service providers must immediately notify MCCSS about Level 1 SOs. The initial notification should be a brief description of the incident/situation, including:
 - The type of incident/situation (e.g. death, serious injury, serious illness, etc.);
 - The approximate date and 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.
- 6) Level 1 Serious Occurrences 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.

All SORs are to be submitted through the SOR-RL online tool. Initial SORs 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 SOR);
- 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 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
- Whether the initial SOR is expected to be the only/last report submitted for the SO.

Please note: In circumstances where SOR-RL is unavailable for use, service providers shall submit SORs using a method approved by MCCSS.

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

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

SOR Initiators will Provide updates (where applicable)

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


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

MCCSS may request updates at any time.

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

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


Alanna J. Barr, CEO


Date: