

The SOR guidelines are to be used by service providers and Ministry of Children, Community and Social Services (MCCSS) staff who are directly involved in submitting and or reviewing SOR.

SOR is a process that: allows service providers to manage incidents as they occur, make records of the incidents and monitor actions taken in response to incidents in order to prevent and mitigate further incidents; and supports MCCSS in monitoring and overseeing service providers in the delivery of services.

A Serious Occurrence is an incident that:

- Requires or may require intervention and/or investigation by a service provider, MCCSS, and/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; and
  9. Disturbance, service disruption, emergency situation or disaster.

All CLFFD staff and volunteers, upon becoming aware of an incident, shall attend to the incident and any immediate health or safety needs of the individual(s) involved in the incident. Staff will contact a management staff as soon as they are able to inform them of the situation. Staff will record all information about the incident and will follow the directions of the management staff.

All CLFFD staff will be trained on the SOR p/p when they first receive training and orientation and at least once annually thereafter. Prior to the annual review, the management team will review and update the p/p as necessary.

SOR Management staff will regularly review and assess SOR patterns and trends by conducting an annual review and analysis of the SO Reports from the past year by January 31 of each year.

### **Serious Occurrence Reporting Roles and Responsibilities**

#### **Service providers are responsible for:**

- Managing any incident that occurs; (This may include medical care, first aid, calling police, Emergency personnel, relocating to a safe place, contacting management person)
- Determining whether an incident is a SO in accordance with MCCSS legislation, policy, the Guidelines and the service provider's internal SO Reporting policy;
- Complying with existing MCCSS Serious Occurrence Reporting legislation and MCCSS policy;
- Notifying MCCSS, and other parties as required, about SOs within the time frames outlined in the Guidelines;

- Ensuring that the SOR includes accurate information about the SO and individuals 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; and
- Maintaining an internal SO Reporting policy that includes the minimum requirements as stated.

**MCCSS is responsible for:**

- Reviewing SORs received from service providers, which may include seeking clarification of information within a SOR or requesting additional information/updates;
- Determining whether any further action or follow-up is required from service providers and/or MCCSS, which may include enforcement action; and
- Analyzing SO Reporting trends to help inform the development of policies, programs and best practices.

**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.

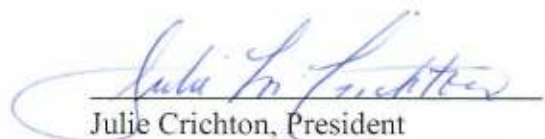
**Level 1 Serious Occurrences**

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, service providers are required to explain within the SOR why the submission was late.

  
Julie Crichton, President

SEPTEMBER 23, 2020  
Date