

Ministry of Children, Community and Social Services (MCCSS)

MCCSS Serious Occurrence Reporting Guidelines, 2019 – Key Enhancements

The Serious Occurrence Reporting Guidelines have been updated to provide improved clarity related to Serious Occurrence Reporting requirements, harmonize expectations across MCCSS and align with and support the reporting requirements for using the Serious Occurrence Reporting and Residential Licensing (SOR-RL) online tool.

The *MCCSS Serious Occurrence Reporting Guidelines, 2019* replace:

- The *2013 Ministry of Children and Youth Services / Ministry of Community and Social Services Serious and Enhanced Serious Occurrence Guidelines* (including the 2016 SOR Q&As & Addendum and the 2017 SOR Protocol for Placing Agencies & Outside Paid Resources); and
- The *2008 Youth Justice Services Division Serious Occurrence Reports User Guide*.

The Guidelines do not outline the processes for making submissions and tracking follow-up through the SOR-RL online tool.

The tables within this document highlight the key enhancements within the *MCCSS Serious Occurrence Reporting Guidelines, 2019*:

- Providing clarity about the purpose of Serious Occurrence Reporting;
- Providing clarity about which service providers are required to report Serious Occurrence Reports;
- Harmonizing Level 1 (formerly enhanced SO) reporting timelines across MCCSS;
- Explaining in more detail service provider and MCCSS staff roles and responsibilities;
- Enhancing requirements for service providers' internal Serious Occurrence Reporting policy;
- Providing greater clarity about the Serious Occurrence Reporting process;
- Enhancing Serious Occurrence Reporting categories and subcategories; and
- Adding the voluntary inclusion of an individual's view/perspective in the Serious Occurrence Report.

The following Serious Occurrence Reporting acronyms are used throughout this document:

- SO – Serious Occurrence
- SOR – Serious Occurrence Report
- SO Reporting – Serious Occurrence Reporting

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1. What is the purpose of Serious Occurrence Reporting?

Summary of key enhancements: The revised Guidelines introduce a consolidated definition of SO Reporting. The revised definition provides a concise, high-level description of the purpose of SO Reporting.

2013 Guidelines / 2008 YJ User Guide	MCCSS SO Reporting Guidelines, 2019
<p>2013 Guidelines: “Serious/enhanced serious occurrence reporting (SOR/ESOR) is one of many tools providing the ministries and the service provider with an effective means of monitoring the appropriateness and quality of service delivery. Monitoring includes an ongoing review of service provider practices, procedures, and training needs.”</p> <p>2008 YJ User Guide: “Youth Justice Serious Occurrence Reports (SORs) provide the Youth Justice Services Division (YJSD) and the service provider with a means of reviewing and monitoring the quality of service delivery, as well as providing a means of advising the division of all serious occurrences within the youth justice system.”</p>	<p>“SO Reporting is a process that:</p> <ul style="list-style-type: none"> • 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 or mitigate further incidents; and • Supports MCCSS in monitoring and overseeing service providers in the delivery of services.”

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2. What is a Serious Occurrence?

Summary of key enhancements: The revised Guidelines introduce a consolidated Serious Occurrence definition. The revised definition provides more detailed criteria by which service providers can assess whether an incident requires a SOR.

2013 Guidelines / 2008 YJ User Guide	MCCSS SO Reporting Guidelines, 2019
<p>2013 Guidelines: “An occurrence is serious if it falls within the definitions in these guidelines and has important or possibly dangerous consequences.”</p> <p>2008 YJ User Guide: “Serious definition: As determined by the service provider, based on young person safety/young person plan of care.”</p>	<p>“A Serious Occurrence (“SO”) is an incident that:</p> <ul style="list-style-type: none"> • Requires or may require intervention and/or investigation by a service provider, MCCSS, and/or other applicable parties (such as the police); and • Falls within one or more of the following SO categories: <ol style="list-style-type: none"> 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.”

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3. Who is required to report Serious Occurrences?

Summary of key enhancements: The revised Guidelines better clarify which service providers are required to report SORs. The service providers identified are those currently expected to submit SORs.

2013 Guidelines / 2008 YJ User Guide	MCCSS SO Reporting Guidelines, 2019
<p>2013 Guidelines: “All providers of services that are funded, licensed or operated by MCSS and/or MCYS, are responsible for delivering services that promote the health, safety and welfare of the people who are being supported. Service providers are accountable to the ministries to demonstrate that their services are consistent with relevant legislation, regulations, policy directives and/or ministry policy.</p> <ul style="list-style-type: none"> • Adults definition: <ul style="list-style-type: none"> ○ persons 18 years of age or older. ○ adult residential services, which could include a person receiving service through: <ul style="list-style-type: none"> ▪ Developmental services (DS) supported group residences; ▪ DS intensive support residences; ▪ DS supported independent living residences (SIL); DS host family residences; and, ▪ Women living in violence against women (VAW) shelters. ○ adult non-residential services, which could include persons receiving service through: <ul style="list-style-type: none"> ▪ DS community participation services and supports; ▪ Interpreter and Intervenor services; ▪ Vocational support programs; 	<p>SOs are to be reported by service providers when the SO occurs during the provision of the following services to individuals:</p> <ol style="list-style-type: none"> 1. Residential care for children or young persons, including: <ul style="list-style-type: none"> • Persons or agencies licensed to provide residential care under the <i>Child, Youth and Family Services Act, 2017</i> (CYFSA), including licensees operating foster care agencies or children's residences (e.g. youth justice facilities, secure treatment programs); • Persons or agencies funded by MCCSS to provide residential care, such as persons or agencies that provide services to children or young persons specific to mental health, respite or special needs; • MCCSS directly-operated children’s or young person’s residential providers; and • Placing agencies that place children or young persons with residential providers who are not licensed or funded under the CYFSA. 2. Residential services and supports for individuals with developmental disabilities, including: <ul style="list-style-type: none"> • Service agencies that provide and/or oversee intensive support residences, supported group living residences, host family residences, and supported independent living residences; and • Placing/case management agencies that place individuals with developmental disabilities with residential providers who are not funded directly by MCCSS under the <i>Services and Supports to Promote the Social Inclusion of Persons with Developmental</i>

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<ul style="list-style-type: none"> ▪ DS Caregiver respite services and supports; ▪ Support from an Adult Protective Service Worker (APSW); and, VAW support services (e.g., counselling, transitional and housing support program). <ul style="list-style-type: none"> • Children (non-child welfare) definition: <ul style="list-style-type: none"> ○ ages 0-18 years. ○ residential services refers to a child receiving service 24/7 from the service provider, including out-of-home respite care, residential services for children with developmental disabilities, or a child residing with his/her mother in a VAW shelter, etc. ○ non-residential services refers to a child receiving community service at the time of the incident, including counselling services, intensive behavioural intervention, applied behavioural analysis, etc. • Children (child-welfare) definition: <ul style="list-style-type: none"> ○ ages 0-21 years. ○ child must be in Children’s Aid Society (CAS) care (with the exception of category #1 – death) or receiving services pursuant to an Extended Care and Maintenance (ECM) agreement. ○ does not include children on home access visits with parents or guardians. ○ includes client on ECM or Independent Living (IL). • Participating in a service definition: <ul style="list-style-type: none"> ○ client is in direct receipt of service from a funded and/or licensed service provider and/or under the direct care of staff, volunteers, caregivers, etc. (Note: Clients receiving residential care are considered to be always participating in a service.)” 	<p><i>Disabilities Act, 2008 (SIPDDA) and/or the Ministry of Community and Social Services Act, 1990 (MCSSA).</i></p> <ol style="list-style-type: none"> 3. Residential services provided under the authority of the MCSSA, including: <ul style="list-style-type: none"> • Violence Against Women residential services; • Indigenous Healing and Wellness Strategy residential services; • Provincial Anti-Human Trafficking residential services; and • Intervenor Services residential services. 4. Child protection services from a children’s aid society (“society”) for: <ul style="list-style-type: none"> • Children and young persons who are the subject of temporary care agreements, temporary care and custody orders, or interim or extended society care orders; • Children or young persons receiving services under a Voluntary Youth Services Agreement (VYSA) or a Customary Care Agreement (CCA); and • Individuals receiving services under a Continued Care & Support for Youth (CCSY) agreement. 5. Probation services for young persons, inclusive of all young persons who receive services and support from a probation officer, and/or young persons under direct probation supervision as required by court order. 6. Any other funded service provided under the CYFSA, SIPDDA, YCJA and/or MCSSA where MCCSS deems that the service provider can reasonably be assumed to be responsible for the safety/care of individual(s) involved in the incident and/or that SO Reporting is needed for effective monitoring or oversight, including: <ul style="list-style-type: none"> • Youth Justice non-residential services (e.g. attendance centres, extra-judicial sanctions, counselling services); • Children’s special needs and respite non-residential services;
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2008 YJ User Guide: “All service providers that are funded, licensed or operated by the Ministry of Children and Youth Services (MCYS) are accountable for providing services that are consistent with relevant legislation, regulations and/or ministry policy. Service providers are required to submit Serious Occurrence Reports by ministry policy.”

- Adult non-residential developmental services (e.g. community participation supports, adult protective services and caregiver respite services and supports);
- Provincial Anti-Human Trafficking non-residential services;
- Intervenor non-residential services (e.g. community participation supports);
- Violence Against Women non-residential services (e.g. counselling, transitional and housing support program);
- Education programs supported by service providers (e.g. Section 23 classrooms); and
- Youth Outreach Worker Program.

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4. What are the serious occurrence reporting timelines?

Summary of key enhancements: The revised Guidelines introduce harmonized reporting timelines across MCCSS. The change, which is for Level 1 (formerly enhanced SO) reporting, aligns with current practice for Youth Justice, therefore impacts all other service providers. In practice regional offices report that many service providers already report in this time frame.

2013 Guidelines / 2008 YJ User Guide	MCCSS SO Reporting Guidelines, 2019
<p>2013 Guidelines: “Service providers are required to report:</p> <ul style="list-style-type: none"> a) a serious occurrence to the ministry, within 24 hours of becoming aware of the incident, or b) an enhanced serious occurrence to the ministry, by the service provider’s Designated Authority, within 3 hours of becoming aware of the incident.” <p>2008 YJ User Guide:</p> <ul style="list-style-type: none"> • Immediate telephone report followed by written report within 1 hour for select reporting categories; and • For all other instances, a report as soon as possible, within 24 hours. <p>24 hours definition (from the 2013 Guidelines and 2008 YJ User Guide): clock starts when any staff of the service agency become aware of an incident or when the service provider deems the incident to be serious.</p>	<p>“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.</p> <ul style="list-style-type: none"> • 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. <p>For SORs submitted outside of the reporting timelines, service providers are required to explain within the SOR why the submission was late.</p> <p>Refer to each SO category (death, serious injury, serious illness, etc.) under the “what should be included in a SOR” section of the Guidelines to determine whether the SO is a Level 1 or Level 2.”</p>

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5. Service provider and MCCSS roles and responsibilities

Summary of key enhancements: The revised Guidelines clearly articulate service provider and MCCSS SO Reporting roles and responsibilities. This imbeds current practice into the guidelines and is explicitly stated to allow for greater transparency and consistency of practice.

2013 Guidelines / 2008 YJ User Guide	MCCSS SO Reporting Guidelines, 2019
<p>The 2013 Guidelines / 2008 YJ User Guide allude to SO Reporting roles and responsibilities but they are not written out in a concise list.</p>	<p>“Service providers are responsible for:</p> <ul style="list-style-type: none"> • Managing any incident that occurs; • 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 (e.g. s.84 of Ontario Regulation 156/18 under the CYFSA for licensees who operate children’s residences) 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 [noted in the Guidelines]. <p>MCCSS is responsible for:</p> <ul style="list-style-type: none"> • Reviewing SORs received from service providers, which may include seeking clarification of information within a SOR or requesting additional information/updates;

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	<ul style="list-style-type: none">• 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.”
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6. Service provider internal SO Reporting policy

Summary of key enhancements: The revised Guidelines enhance what service providers are required to include in their internal SO Reporting policy. This is detailed to provide guidance for consistency of practice.

2013 Guidelines / 2008 YJ User Guide	MCCSS SO Reporting Guidelines, 2019
<p>2013 Guidelines: “Service providers shall have their own policies and procedures for staff.</p> <p>Service providers must certify their compliance to this requirement by completing the related section within the Annual Summary & Analysis Report. At a minimum, the serious/enhanced serious occurrence policies and procedures should address:</p> <ul style="list-style-type: none"> • how to identify a serious/enhanced serious occurrence (i.e., which of the eight SOR/ESOR categories applies); • how to respond to a serious/enhanced serious occurrence; and • how to report an occurrence. <p>Agencies shall have procedures in place to ensure a Designated Authority is available at all times to determine when an incident may require Enhanced Serious Occurrence Reporting.”</p>	<p>“Service providers are to have an internal SO Reporting policy that includes, at a minimum:</p> <ul style="list-style-type: none"> • How to identify, respond to and report a SO; • Roles and responsibilities of service provider staff and others (e.g. volunteers) in identifying, responding to, and reporting a SO, including: <ul style="list-style-type: none"> ○ Procedures for having staff available around-the-clock to determine the reporting level of a SO; and ○ Guidelines for which staff are authorized to approve/sign-off on SORs; • Required training for staff, including the review of the service provider’s internal SO Reporting policy with each person when they first receive training and orientation, and at least once annually thereafter; • Procedures for maintaining the privacy and confidentiality of an individual’s personal information; • Procedures for reviewing and updating the service provider’s internal SO Reporting policy; • Procedures for regularly reviewing and assessing SOR patterns/trends; • Procedures for conducting an annual review and analysis of all SORs for each calendar year:

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	<ul style="list-style-type: none">○ The annual review and analysis should identify any issues, trends or patterns and detail actions planned or undertaken in response to any issues or concerning trends/patterns uncovered through the annual review and analysis;○ The service provider shall maintain a record of the annual review and analysis, which is to be made available to MCCSS upon request; and○ Any significant issues or concerning trends/patterns that arise from the review and analysis of SORs shall be communicated to the service provider's designated MCCSS contact(s), and the communication shall include strategies to address the identified issues or concerning trends/patterns.”
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7. The SO Reporting process

Summary of key enhancements: The revised Guidelines clarify the process for identifying, responding to and reporting a SO. This is detailed to provide guidance for consistency of practice.

2013 Guidelines / 2008 YJ User Guide	MCCSS SO Reporting Guidelines, 2019
<p>“Responding to a Serious/Enhanced Serious Occurrence</p> <p>When a serious/enhanced serious occurrence has occurred, the service provider responds and reports as follows:</p> <ol style="list-style-type: none"> 1. Provide the client with immediate medical attention, as needed. As well, address any continuing risks to the health or safety of the client, other clients and/or others present. 2. In the event of a death of a client, in addition to notifying MCYS and/or MCCSS, service agencies must comply with the reporting requirements of the <i>Coroner’s Act</i>, and any other legislated requirements from MCCSS/MCYS, including the Child Death Reporting and Review Joint Directive. 3. If there is reason to suspect that a client has been abused (and/or in need of protection, in the case of a child): <ul style="list-style-type: none"> • contact the Children’s Aid Society (CAS) and/or police, as per the duty to report requirements under the <i>Child and Family Services Act</i> (the person who has reasonable grounds to suspect that a child is or may be in need of protection is legally obligated to report it to the CAS), or • For agencies funded under the <i>Services and Supports to Promote the Social Inclusion of Persons with Developmental Disabilities Act, 2008</i>, where a service agency suspects any alleged, suspected or witnessed incidents of abuse of a person with a developmental disability may constitute a criminal offence, contact police immediately. 	<p>Step 1: Attend to the incident and individuals involved in the incident</p> <p>Upon becoming aware of an incident, service providers shall attend to the incident and any immediate health or safety needs of individual(s) involved in the incident.</p> <p>Step 2: Determine if the incident meets the definition of a SO</p> <p>After attending to the incident, 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 is a SO.</p> <p>Step 3: Determine the category for reporting</p> <p>Once an incident is identified as a SO, the service provider will determine which category or categories the SO should be reported under.</p> <p>Step 4: Determine the timeline for reporting</p> <p>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).</p> <p>Step 5: Initial notification to MCCSS about Level 1 SOs</p> <p>Service providers must immediately notify MCCSS about Level 1 SOs. The initial notification should be a brief description of the incident, including:</p> <ul style="list-style-type: none"> • The type of incident (e.g. death, serious injury, serious illness, etc.);

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<p>4. Report the incident to the person designated by the service agency, explaining who was affected, what, when and where it happened.</p> <p>Reporting a Serious/Enhanced Serious Occurrence</p> <p>When an serious/enhanced serious occurrence has occurred, the service provider responds and reports as follows (See Appendix B, Summary of Responsibility):</p> <ol style="list-style-type: none"> 1. Service providers are required to report: <ol style="list-style-type: none"> a. a serious occurrence to the ministry, within 24 hours of becoming aware of the incident, or b. an enhanced serious occurrence to the ministry, by the service provider's Designated Authority, within 3 hours of becoming aware of the incident. 2. Complete and submit the Initial Notification Report (INR). Specify persons only by an identifier (e.g., their first and last initials). Refer to others involved in non-identifying terms, e.g., first and last initials only, staff 'A'/staff 'B', etc. (Do not include internal agency incident reports.) The name of the organization should be consistent with the legal name of the service agency. 3. Inform the parent/guardian, and if applicable, the person or agency who placed the client, the emergency contact person for an adult with a developmental disability, unless notification is contraindicated, e.g., the person is alleged to have abused the client or the DS adult requests that family not be notified. 4. Within seven business days of submitting the Initial Notification Report, complete and submit the Inquiry Report (IR). Submit the IR within seven business days, even if information and/or actions have yet to be completed. Include an explanation that a further follow-up report will be provided. 5. The ministry may request additional information from the service provider. The ministry may also initiate its own review, depending on the circumstances. 	<ul style="list-style-type: none"> • 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. <p>Step 6: Submit an initial SOR to MCCSS</p> <p>Level 1 Serious Occurrences</p> <ul style="list-style-type: none"> • Submit a SOR within 1 hour of becoming aware of the SO or deeming the incident to be a SO. <p>Level 2 Serious Occurrences</p> <ul style="list-style-type: none"> • 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. <p>All SORs are to be submitted through the Serious Occurrence Reporting and Residential Licensing (SOR-RL) online tool.</p> <p>Initial SORs must include, at a minimum:</p> <ul style="list-style-type: none"> • 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;
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Service providers may submit a completed IR, in lieu of an INR, if they do so within 24 hours of the occurrence and all necessary action has been taken and documented.”

- 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.

Step 7: 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.

Step 8: 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.

Step 9: Determining when no further action is required

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	<p>MCCSS will review each SOR to determine when no further action is required from the service provider, which includes checking that the service provider:</p> <ul style="list-style-type: none">• Filled out all required fields;• Made all required notifications;• Has undertaken all further action or follow-up, as requested; and• Met all SO requirements. <p>Please note: A SOR that is flagged in SOR-RL as “no further action required” can be updated at any time as new information becomes available or at the request of MCCSS.</p>
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8. General reporting requirements & privacy considerations

Summary of key enhancements: The revised Guidelines consolidate all general SO Reporting requirements and introduce enhanced general reporting requirements for both service provider and MCCSS use in program delivery and planning.

2013 Guidelines / 2008 YJ User Guide	MCCSS SO Reporting Guidelines, 2019
<p>The 2013 Guidelines and 2008 YJ User Guide outline some of the general reporting requirements that are asked for on the 2013 SOR-ESOR Form and YJ SOR Template.</p>	<p>Enhanced general reporting requirements include, for example:</p> <ul style="list-style-type: none"> • An individual’s first and last name, program at time of occurrence, legal guardian status, etc. • Detailed information on what should be included in the SO description. <p>The updated Guidelines outline privacy principles that service providers must abide to when managing SORs that contain personal information.</p>

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9. Category-specific reporting requirements

Summary of key enhancements: The revised Guidelines harmonize the SO Reporting categories across MCCSS and adjust/enhance some of the categories. Categories have been expanded and include sub-categories that will assist with clear reporting requirements for both service provider and MCCSS use in program delivery and planning.

2013 Guidelines / 2008 YJ User Guide	MCCSS SO Reporting Guidelines, 2019
<p>2013 Guidelines categories:</p> <ol style="list-style-type: none"> 1. Death 2. Serious injury 3. Alleged, witnessed or suspected abuse 4. Missing person 5. Disaster on premises 6. Complaint about operational, physical or safety standards 7. Complaint made by or about a client or any other serious occurrence 8. Restraint of a client. <p>2008 YJ User Guide:</p> <ol style="list-style-type: none"> 1. Death 2. Serious injury/illness or attempted suicide 3. Escape/unlawfully at large (UAL) (custody) 4. Major disturbance/emergency situation 5. Media attention 6. Disaster on premises 7. Alleged abuse/mistreatment 8. Improper detainment/release 9. Serious complaint 10. New serious charges that may prompt media attention 11. Use of restraint 12. Other incident considered serious. 	<p>MCCSS SO Reporting Guidelines, 2019 categories and subcategory definitions:</p> <p>1. Death:</p> <ul style="list-style-type: none"> • The death of an individual occurs while receiving a service; or • A child dies where the child, or their family, received services from a society at any time in the 12 months prior to the child’s death. <p>2. Serious injury:</p> <ul style="list-style-type: none"> • An individual receiving a service incurs a serious injury which requires unscheduled medical attention from a regulated health professional and/or unplanned hospitalization. <p>3. Serious illness:</p> <ul style="list-style-type: none"> • 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. <p>4. Serious individual action:</p> <ul style="list-style-type: none"> • <u>Suicidal behaviour:</u> An individual receiving a service attempts suicide, utters a suicidal threat of a serious nature or utters a

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	<p>suicidal threat that results in the individual being placed on suicide watch.</p> <ul style="list-style-type: none">• <u>Alleged, witnessed, or suspected assault</u>: An individual receiving a service is assaulted or is accused of assaulting someone.• <u>Contraband/safety risk</u>: 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.• <u>Inappropriate/unauthorized use of information technology (IT)</u>: 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.• <u>Unusual, suspicious or unauthorized individual absence</u>: An individual receiving a service is discovered to be absent, and their absence is unauthorized, or the individual is missing/absent without permission, which includes:<ul style="list-style-type: none">○ A young person who has escaped lawful custody○ A young person who is unlawfully at large (UAL)○ An individual who is missing/absent without permission or is missing/absent under unusual or suspicious circumstances.• <u>Serious charges</u>: An individual receiving a service incurs serious charges.• <u>Relinquishment of care/threat of relinquishment of care</u>: 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.
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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

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- 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 a young person detained in a youth justice secure custody/detention facility.
- A mechanical restraint is used on a child in a secure treatment program.
- Where there is a plan of treatment or a plan for the use of a Personal Assistance Service Device (PASD) for the use of a mechanical restraint on a child or young person, and the mechanical restraint is used contrary to or outside of the purpose of such plan.
- 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; or

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- There are new allegations of historical abuse or neglect of a child or young person 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.
- 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 or released from a secure treatment program.
- 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, or is in contravention of the YCJA.

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, CYFSA, 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.

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	<ul style="list-style-type: none">• A complaint is made about the operational, physical or safety standards of the services received by an individual. <p>9. Disturbance, service disruption, emergency situation or disaster:</p> <ul style="list-style-type: none">• 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. <p>The updated Guidelines enhance category-specific reporting requirements, such as what should be included in the SO description and who must be notified about the SO for each category.</p>
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10. Inclusion of an individual’s view/perspective in the SOR

Summary of key enhancements: The revised Guidelines clearly state that, where applicable/possible, service providers should include in SORs the view/perspective of individuals involved in the SO. This has been added as a general expectation in keeping with the intent of legislation and regulations as well as in response to public calls to action to put the individual rights/needs in the forefront.

2013 Guidelines / 2008 YJ User Guide	MCCSS SO Reporting Guidelines, 2019
<p>The 2013 SOR-ESOR Form asks for an individual’s view/perspective to be included in a SOR when a physical restraint is used.</p>	<p>“When a SO involves an individual, service providers should include the individual’s view/perspective of the SO in the SOR. To the extent possible, the individual’s view/perspective should be in the individual’s own words.</p> <p>Service providers must ensure that the individual has provided their informed consent to having their view/perspective included in a SOR.</p> <p>Please note: Service providers are required to report SOs to MCCSS within the time frames outlined in the Guidelines. An individual’s view/perspective does not need to be submitted immediately but every effort to include this information should be made.</p> <p>Also include in this section who completed the debriefing with the individual to obtain the information on the individual’s view/perspective.</p> <p>If the service provider is unable to include the individual’s view/perspective on the SOR, an explanation should be given as to why.”</p>