

COMMUNITY LIVING DURHAM NORTH
SERIOUS OCCURRENCE REPORTING

Policy No: B-21 (Service Delivery)

Effective Date: July 15, 2008

Last Revision/Review: Sept. 29/15

Rationale:

To ensure that all employees are aware that our funding Ministry has a protocol for the reporting of serious incidents, and to ensure that the staff responsible for observing the protocol are familiar with all of its detail.

Policy Statement:

Community Living Durham North will comply with the MCSS protocol for the reporting of Serious Occurrences.

Direct Support staff are required, in any emergency situation, to contact managerial personnel as quickly as possible. “Managerial personnel” means the Manager, not Team Leader, to whom one normally reports or, in his or her absence, anyone in a managerial position (see Policy B-15).

Managerial staff are responsible for complying with the Serious Occurrence protocol and for knowing all of its requirements.

Where the crisis involves a supported person whose service is funded by the Region of Durham, CLDN will also comply with its parallel Serious Occurrence protocol.

Approved by: _____ Date: _____ for the Board of Directors
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COMMUNITY LIVING DURHAM NORTH
SERIOUS OCCURRENCE REPORTING

Procedure No: B-21-1
Types of Serious Occurrence

Effective Date: July 15, 2008
Last Revision/Review: Sept. 15/13

- It is the responsibility of direct Support Staff, including Team Leaders, to generate Incident Reports, as required, and to notify a manager in the event of any significant emergency or problematic situation.
- Interpreting “problematic situation” involves some exercise of judgment, but staff should refer to Policy B-15 and it will become clear that for the purposes of internal reporting the agency has set the bar much lower than the Ministry.
- The Ministry defines a Serious Occurrence as one of the following:
 1. Death
 2. Serious Injury: a) caused by service provider b) accidental c) self-inflicted or unexplained
 3. Alleged abuse/mistreatment
 4. Missing person
 5. Disaster on premises
 6. Complaints about service standards including water quality
 7. Complaint made by or about a person or other SO re person
 8. Use of Physical Restraint.
- Anything that might remotely qualify, according to these criteria, must be reported to a manager and the manager, typically in consultation with senior managers, will determine if a Serious Occurrence needs to be filed.
- Note that a Serious Occurrence report is mandatory if a water quality test generates a negative result.
- A report is also mandatory following the use of a Physical Restraint, including a restraint that is employed properly by properly trained staff.

Procedure No: B-21-2

Filing the Initial Notification Report (Part 1)

Effective Date: August 10, 2009

Last Revision/Review: Aug. 15, 2016

- The Ministry uses a single form called the *Serious Occurrence Report*, and the incident is reported, in the first instance, by completing Part One of that form, subtitled *Initial Notification (IN) Report*.
- Serious Occurrences must be reported to MCSS within 24 hours of our becoming aware of the incident to either:

Email: ersorwest@ontario.ca

Dedicated Fax Number: 1-613-530-3633

- Serious Occurrences are generated in the AIMS database and they can only be created by managers and directors. Once created, the SO Report can be viewed by all staff who work in the relevant program site, unless it contains sensitive information and a director has blocked access.
- In completing Part One of the form:
 - Identify the supported person only with first and last initials.
 - Do not identify third parties by name. There can be staff # 1 and staff # 2 but not John and Mary. Do include the badge number of police officers involved, but do not refer to them by name. The same applies to physicians, behaviour therapists, etc.
 - The AIMS database prompts you to select either the standard version of the Serious Occurrence report, or the enhanced version.
 - Under Details of Occurrence, begin with a very brief description of the person and the service he receives; e.g. FP is a person with a dual diagnosis supported in our group living program. Proceed to describe the event, but be brief and to the point.
 - In the “Who Has Been Notified” section, MCSS expects to see Family (i.e. individual acting on behalf of the person) and Executive Director and Board President (both specified under “Other”). Although not noted on the form, a Program Director is typically involved from the point the incident is identified as a Serious Occurrence, and it is this director who will advise the ED and President.
 - Completed reports are saved within the database but not automatically. There is a Save button at the bottom left of the form.

Procedure No B-21-3

Effective Date: August 10, 2009

Filing the Follow-up Report (Part 2)

- The *Serious Occurrence Report* includes a Part 2 - *Inquiry Report (IR)*. Theoretically, the incident will have an outcome or some kind of resolution, and this will be described on this second part of the form which must be completed and filed ***within seven days of our filing the initial report.***
- Sometimes, the “full story” has not unfolded within the seven (7) day time frame and we continue to wait for a clear outcome. Regardless, submit the report on time and indicate very briefly what has occurred in the intervening time – typically, indicate that it is the last notification we expect to submit.
- In fact, it is sometimes clear even as you complete the *Initial Notification Report* that no further information will be forthcoming within 7 days. In this case, you can complete Part 1 and Part 2 together, at the outset.
- The person who submits the *Initial Notification Report* has the responsibility of also submitting the Follow-up – no later than at the seven day mark.
- A de-briefing of staff and supported persons involved should have happened in the intervening seven days, and it is one element of follow-up that MCSS will expect to see. Typically, where the incident was behavioural in nature, it is not the first such occurrence and the individual has a psychiatrist and/or a behaviourist has been assigned, etc. When this kind of support is in place, make sure reference is made to it.

Procedure No: B-21-4

Effective Date: August 10, 2009

Criteria for Enhanced Serious Occurrences

- A normal Serious Occurrence becomes an Enhanced SO under the following conditions:

<u>Normal</u>	<u>Possibly Enhanced, if...</u>
➤ Death of a supported person	Suspicious circumstances or negligence may have contributed to the death.
➤ A serious injury to a supported person	The injury is currently life-threatening, or suspicious circumstances or negligence may have contributed to the injury.

Normal

Possibly Enhanced, if...

- | | |
|--|---|
| ➤ Any alleged abuse or mistreatment of a supported person | The incident is an allegation of sexual or physical abuse where the media has become involved. |
| ➤ Missing Person | The person's age or mental capacity makes him/her especially vulnerable, or a crime is suspected to have occurred in conjunction with the person going missing (i.e. abduction, stolen vehicle, assault on staff), or CLDN contacted the police and an amber alert or a similar public awareness tactic is planned.
Note: Do not report incidents in this category as enhanced if the incident has already been resolved (e.g. missing person has returned). |
| ➤ Disaster/Disease | The incident is a lockdown relating to a serious incident occurring in one of our locations, or the incident is an outbreak of a serious contagious disease or virus, such as C. Difficile or SARS, or the incident caused major damage to one of our locations and will significantly disrupt service delivery.
Note: Do not report incidents in this category as enhanced if the incident has already been resolved (e.g. lockdown has been lifted). |
| ➤ A complaint about "the Service Provider," i.e. about service quality. | The individual or group who complained has contacted the media, or a staff member has been arrested for a serious crime that may have affected a supported person, or the complaint is about a topic that is often covered in the media. |
| ➤ A complaint made by or about a supported person and any other serious occurrences. | The incident involves serious criminal activity on the part of the person. |
| ➤ Physical restraints | Staff applied a physical restraint that resulted in a life-threatening injury. |

Procedure No: B-21-5

Effective Date: August 10, 2009

Reporting Enhanced Serious Occurrences

- During business hours, a representative of senior management will typically contact Ministry personnel to discuss the incident and whether it should be considered “Enhanced.”
- An enhanced incident needs to be faxed to a designated number within three hours of the agency becoming aware of it.

On Weekdays, Evenings and Overnights
between Sunday 9:00 pm and Friday 5:00 pm

Fax to: 1-905-868-9613

If unable to access a fax machine, then

call 1-877-669-6658 or 905-868-8900 ext 5506

On Weekends and Holidays

From Friday 5:00 p.m. to Sunday 9:00 pm and Government Holidays

Fax to: 1-866-262-8881

If unable to access a fax machine, then

call 1-877-444-0424

- After filing the Enhanced Serious Occurrence Report, it is necessary to revert to Procedure No: B-21-2 (above). The incident must now be treated as a normal Serious Occurrence and the Initial Notification Report (Part 1) must be filed.

Approved by: _____
CEO

Date: _____