



Manual of Administration

TOPIC: Administration	SUBJECT: Protocol for a Serious Occurrence	Code: AD155
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PURPOSE: To outline the protocol in reporting and dealing with a serious occurrence. A Serious Occurrence (SO) will be reported by Avenue II using a Serious Occurrence Report (SOR) to the Ministry of Children, Community and Social Services (MCCSS) when a Serious Occurrence occurs during the provision of residential services and supports or community participation supports through Avenue II.

REVIEW OF POLICY: The Executive Director shall review annually and when necessary update the Protocol for a Serious Occurrence. Prior to filing the Annual Report with the Ministry the Executive Director shall review and analyze trends to present to the Board of Directors and act accordingly with the SOR Guidelines.

TRAINING:

All management and staff will be trained on the Protocol for a Serious Occurrence upon hire and a review of the policy will occur at minimum annually thereafter.

DEFINITION OF A SERIOUS OCCURRENCE:

A Serious Occurrence is an incident that requires or may require intervention and/or investigation by a service provider, MCCSS, and/other applicable parties (i.e. Police, Fire) and falls in to one or more of the Serious Occurrence Categories.

CATEGORIES OF SERIOUS OCCURRENCE:

- Death
- Serious injury
- Serious illness
- Serious individual action
- Restrictive intervention
- Alleged, witnessed or suspected abuse or mistreatment
- Error or omission
- Serious complaint
- Disturbance, service disruption, emergency situation or disaster

Note: Each category has different information required for submission. Please refer to the Guidelines for further direction.

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SERIOUS OCCURRENCE LEVELS and TIMELINES FOR SUBMITTING:

Level 1 – Immediately notify MCCSS and submit a SOR with as much information as possible within 1 hour of becoming aware of the SO or deeming the incident to be a SO.
Level 2 – 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 an SO.

CONFIDENTIALITY (PRIVACY) BREACHES: as per agency policy HR023

ROLES AND RESPONSIBILITIES

Avenue II (the service provider):

- Managing any incident that occurs;
- Determining whether an incident is a SO in accordance with MCCSS legislation, policy, the Guidelines (Ministry of Children, Community and Social Services Serious Occurrence Reporting Guidelines, 2019) and Avenue II policy.
- Comply with existing MCCSS SOR legislation and policy;
- Notifying MCCSS and other parties as required, about SOs within the time frames outlined within the Guidelines.
- Ensuring that the SOR includes accurate information about the SO and individuals (client) 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]

Staff:

1. The individual (client) will be provided with immediate medical attention. First aid applied or 911 called when necessary for appropriate generic service (police, fire, ambulance). The individual (client) should be accompanied for medical attention when required.
2. On-Call Supervisor or Manager contacted immediately to investigate abuse or mistreatment or accusation of. (Staff may have to be removed from shift; family or advocate contacted).

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3. Appropriate steps will be taken to address/eliminate any continuing risks to the individual (client)'s health or safety.
4. Complete appropriate agency paperwork, i.e. Incident Report, Contact Sheet, Employee Injury / Near Miss Report.

MANAGER (DURING OFFICE HOURS): ON-CALL SUPERVISOR (AFTER HOURS):

1. Attend to the incident and the individual (client)s involved in the incident ensuring any immediate health or safety needs of clients and staff involved in the incident. Utilize generic emergency services where required as well as internal resources. If On-Call is responding, notify the Back-up On-Call Manager.
2. Identify yourself to medical, police and/or fire personnel if they are already on the scene.
3. Assess the situation and begin to make notes regarding the situation. Be mindful of information available such as emergency face sheet information on the individual (client) we support.
4. If necessary, relieve staff that were supporting on scene. Debriefing for all clients and staff will be arranged as required.
5. Document the situation, including names, badge number(s), police occurrence number, and contact phone numbers. Complete an agency Incident Report.
6. Notify the Director of Support Services/General Manager of the situation. If either cannot be reached directly, notify the Executive Director.

DIRECTOR OF SUPPORT SERVICES/GENERAL MANAGER:

1. Determine if the incident meets the definition of a SO by evaluating the incident against the criteria with the Guidelines, applicable MCCSS legislation/policy and Avenue II policy. If yes, notify the Executive Director of the Serious Occurrence and follow the SOR Guidelines to report.
2. Respond to the situation if required to act on behalf of the agency.
3. Review the On-Call/Manager's report for completeness and determine if the issue is a **Serious Occurrence** Level 1 or 2.
4. Brief the Executive Director on the issues.
5. In conjunction with the Executive Director, decide the next course of action and who is filing the SO.
6. In the absence of the Executive Director, act in that capacity if required.

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EXECUTIVE DIRECTOR:

1. Respond to scene if required.
2. In the event of a Director of Support Services/General Manager not being available, act in their capacity.
3. In conjunction with the Director of Support Services/General Manager, decide the next course of action.
4. If required, initiate serious occurrence reporting process as per SO Guidelines and provide updates as required.
5. Determine if further Agency investigation is required.
6. If further investigation is required, compose an investigative team.
The composition will be dependent on the situation, but efforts will be made to include the following people: a Director of Support Services/General Manager and an independent member of the community (could be a member of another agency).
The Investigative Team will compile and present a report to the Executive Director.
The Executive Director will report the findings as required and make recommendations on further actions.
7. Follow up with any Ministry or Board direction resulting from the incident.