



Ministry of
Children, Community and Social Services

SOR-RL

Serious Occurrence Reporting - Residential Licensing

SOR-RL Serious Occurrence Reporting Guide for SOR Initiators

February 2022

Document update summary

Following are the changes made to this user guide since the previous version.

Change	Starting on page
Updated PowerPoint presentations can now be uploaded as a supporting document.	
New Functionality The SOR Initiator can generate reports then work with the data in Excel.	<u>42</u>
Added The process for submitting a Manual SOR Report has been added. This process is only used if SOR-RL is temporarily unavailable.	<u>51</u>

Table of contents

1. Introduction	1
1.1. Introduction to SOR-RL	1
1.2. Using this guide	1
1.3. Information not included	1
1.4. Getting assistance	1
2. Performing the basics	2
2.1. Logging in to SOR-RL	2
2.2. What to do if SOR-RL is unavailable	3
2.3. Logging out	3
2.4. Understanding the SOR-RL home page	4
2.4.1. SOR-RL home page sample	4
2.4.2. Accessing the SOR-RL home page	4
2.4.3. Changing the role displayed	4
2.4.4. SOR-RL home page sections	4
2.4.5. SOR-RL home page symbols	5
2.5. Changing the page language	5
2.6. Accessing the menu	5
2.7. Banners	5
2.8. Identifying mandatory information	5
3. Working with serious occurrences	6
3.1. Understanding the Serious Occurrence page	6
3.2. Serious occurrence statuses	7
3.3. Reporting a serious occurrence	8
3.3.1. Introduction	8
3.3.2. Serious occurrence process flow	8
3.3.3. Step 1: Start the serious occurrence report and enter basic information	9
3.3.4. Step 2: Enter the individuals involved	12
3.3.5. Step 3: Enter the category information	15
3.3.6. Step 4: Enter who has been notified	18
3.3.7. Step 5: Enter the description and next steps	22
3.3.8. Step 6: Enter the individual's views / perspectives	23
3.3.9. Step 7: Upload supporting documents	25
3.3.10. Step 8: Sign off the serious occurrence	28
3.3.11. Step 9: Review the summary	29
3.4. Searching for a serious occurrence report	31
3.5. Viewing / updating a draft serious occurrence report	33
3.6. Viewing / updating a submitted serious occurrence	35
3.7. Revising / correcting a submitted serious occurrence report	39
3.7.1. Introduction	39
3.7.2. Process	39
3.8. Working with comments	40
3.8.1. Viewing a Ministry comment	40
3.8.2. Sending a comment to the Ministry	40

4. Generating reports	42
4.1. Introduction	42
4.2. Process	42
5. Viewing the service provider profile information	44
5.1. Introduction	44
5.2. Process	44
6. Updating your user profile	45
6.1. Introduction	45
6.2. Changing your phone number	45
6.3. Changing your password	46
6.4. Changing your security questions	47
Appendix A: Glossary	48
Appendix B: System / Functional Roles	49
Appendix C: Symbols and Icons Quick Reference	50
Appendix D: Manual Serious Occurrence Report - Business Process	51
Purpose	51
Personal Information Disclaimer	51
Reporting a New Occurrence – Service Provider	51
Updating a Manual SOR Report (if applicable)	53
Terms used in the Manual SOR template	55
Serious Occurrence Categories and Subcategories	57
Manual Serious Occurrence Report (Manual SOR)	58

1. Introduction

1.1. Introduction to SOR-RL

The Serious Occurrence Reporting and Residential Licensing system (SOR-RL) is a secure web application available to service providers to report serious occurrences with accuracy, and according to ministry requirements. This is also where service providers can keep track of the serious occurrence report (SOR) status and update the report as required.

1.2. Using this guide



This guide provides step-by-step instructions for service providers to use and navigate SOR-RL to support their management of the SOR process and communication with the ministry.

This guide will be updated as functionality is added to SOR-RL.

System users are assigned roles that determine what functions can be performed. In this guide, if a function is performed by a certain role, it will be noted as such. A list of functional roles can be found in [Appendix B: System / Functional Roles](#).

A description of SOR-RL icons can be found in [Appendix C: Symbols and Icons Quick Reference](#).

In this guide:


- Tips appear with a thumbs-up symbol 
- Important notes appear with a pin symbol 
- A cross-reference within the guide can be identified by [green underlined](#) text. Click on the link to go directly to that section.
- See [Appendix A: Glossary](#) for a list of terms and abbreviations.

1.3. Information not included

This document is a reference for using the software only; no business functions outside the system are included.

For information about business processes, see the *Serious Occurrence Reporting Guidelines, 2019*.

1.4. Getting assistance

- Click  **HELP** to get online help about the page you are on.
- For questions and technical support contact the ministry support personnel dedicated to your region.

2. Performing the basics

2.1. Logging in to SOR-RL

1. Open your browser such as Internet Explorer or Chrome.
2. Enter the following address in the **Address** area of your browser:
<https://www.sorrl.mcsc.gov.on.ca/SORRL/public/login.xhtml>

The **Log in** page appears.

3. Enter your **Login ID**.
4. Enter your **Password**.



If you have forgotten your password:

- 1) Click [Forgot password?](#). The **Forgot password?** page appears.

- 2) Enter your **Login ID**.
 - 3) Select the **Security Question** from the dropdown list.
 - 4) Enter the **Security Answer**.
 - 5) Click [Submit](#).
5. Click [Log in](#). The **Enter Verification Code** page appears.

- You will be emailed a verification code. Enter the verification **Code** from the email.



Copy and paste the code from the email.

- Click . The SOR-RL home page appears.

(SOR-RL home page options vary depending on the role selected.)



If your login attempt fails, click





then repeat step 6.

2.2. What to do if SOR-RL is unavailable



If you need to submit a Serious Occurrence Report and SOR-RL is temporarily offline, unavailable or inoperative you must submit a manual Serious Occurrence Report. For more information see page [51](#).

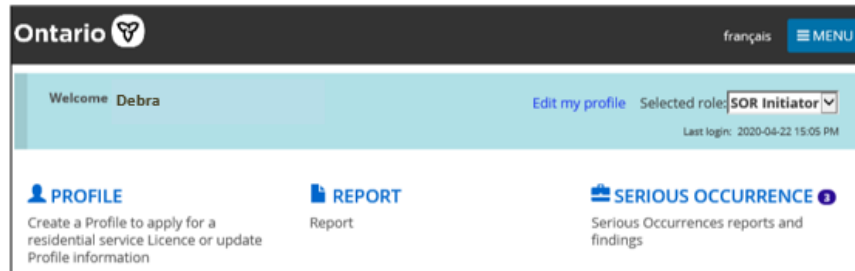
2.3. Logging out

- Click .
- Select . The **Log in** page appears.

2.4. Understanding the SOR-RL home page


2.4.1. SOR-RL home page sample

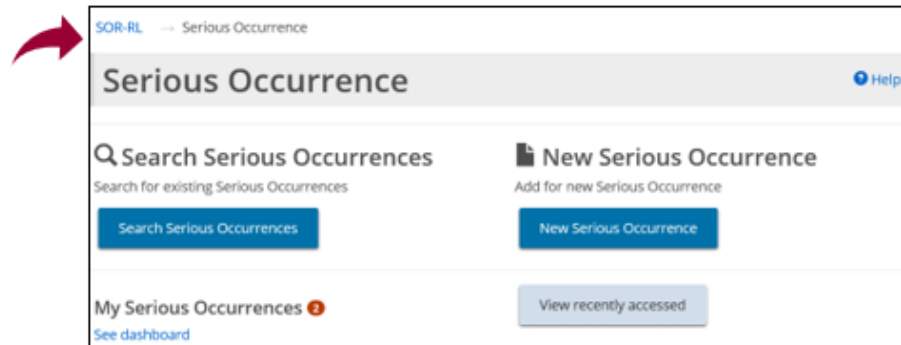
After you log in, the first page to appear is the SOR-RL home page. The items that appear on the home page will vary depending on your system access rights (role). For more information about roles see [Appendix B: System / Functional Roles](#) on page 49.



(Your page may look different)

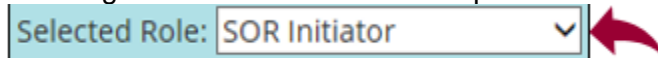
2.4.2. Accessing the SOR-RL home page

To access the SOR-RL home page from any page, select the  SOR-RL link from the menu or click the [SOR-RL](#) link at the top of the page.



2.4.3. Changing the role displayed

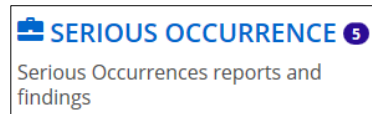
If you have been assigned more than one role, you can change the role by selecting it from the **Selected Role** dropdown arrow.



2.4.4. SOR-RL home page sections

The SOR-RL home page includes several sections such as Serious Occurrence, Profile, etc. The sections that appear in the home page are based on your system role.

2.4.5. SOR-RL home page symbols



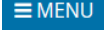
A number indicates the number of items in that section.

2.5. Changing the page language

To change the page language, click the language button.



2.6. Accessing the menu

The menu can be accessed from the top of any page by clicking .

2.7. Banners

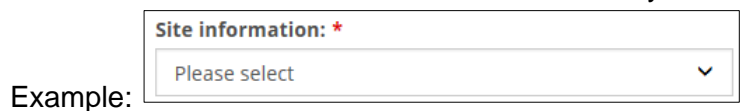
Items can be collapsed under a banner.



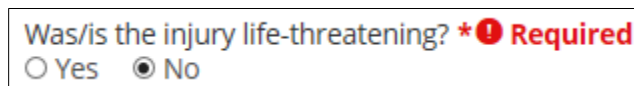
The number in the banner indicates the number of items in the list. Click the banner arrow to expand / collapse the section.

2.8. Identifying mandatory information


- A red asterisk * indicates that a field is mandatory and must be completed.




- If mandatory information is not completed, a red “! Required” message appears next to the field when you attempt to save the information.

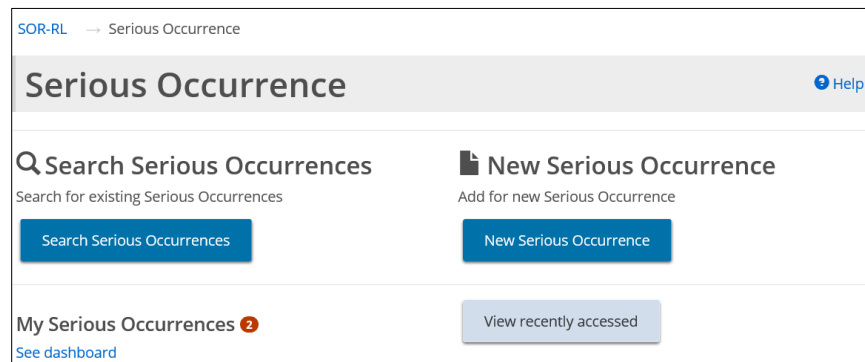


3. Working with serious occurrences

 **Important note:** Refer to the *Serious Occurrence Reporting Guidelines, 2019* document as you complete the serious occurrence report.

3.1. Understanding the Serious Occurrence page

From the SOR-RL home page, click  **SERIOUS OCCURRENCE**. The **Serious Occurrence** page appears.



Depending on the role selected, you can:

- Search for a serious occurrence;
- Add a new serious occurrence; and
- Work with serious occurrences in your dashboard.

3.2. Serious occurrence statuses

The serious occurrence report status will change. Following are the serious occurrence statuses:

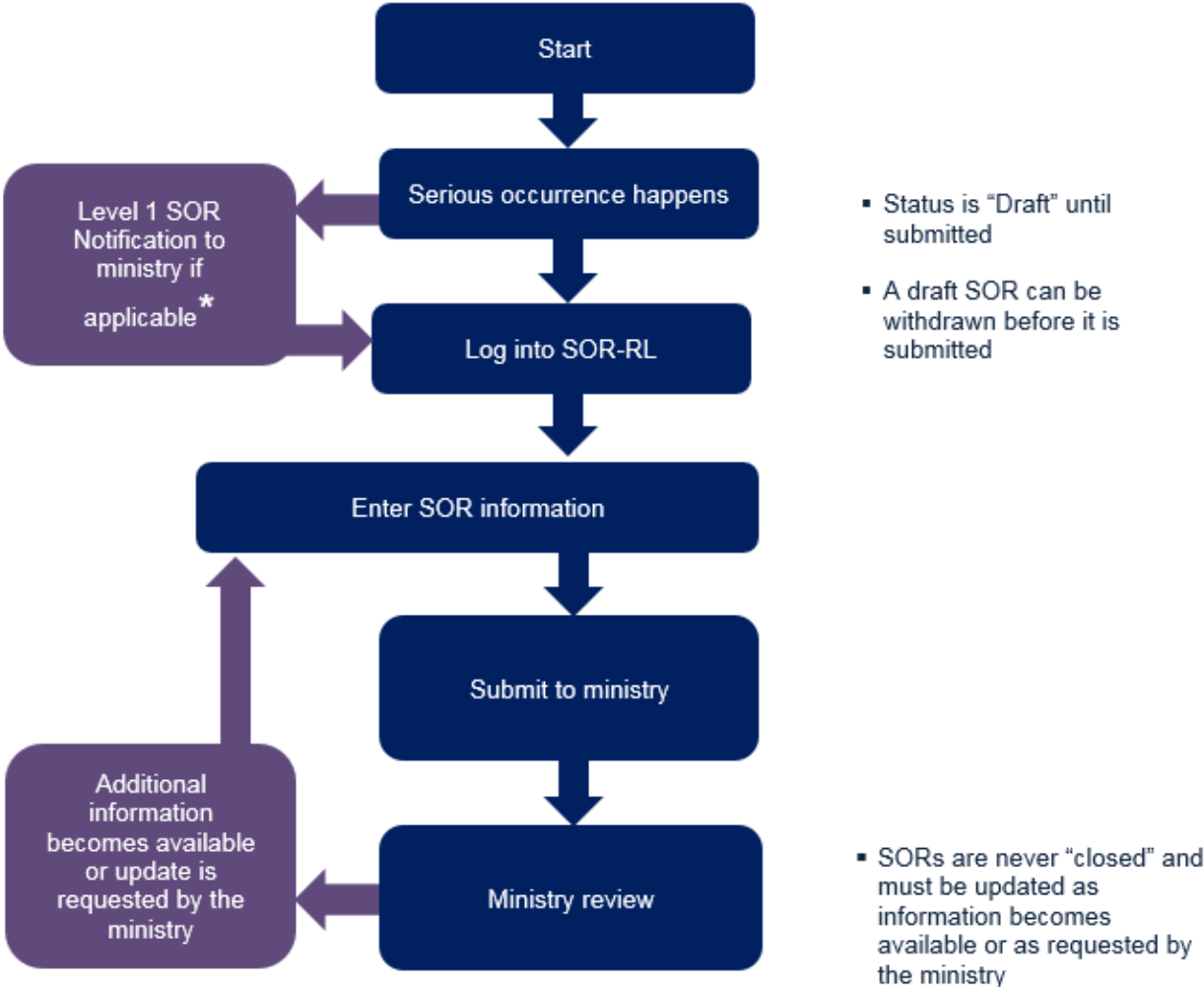
Status	Description
Additional information/revision required	The ministry requires additional information or a revision.
Draft	<ul style="list-style-type: none"> ▪ The SOR has not yet been submitted. ▪ The report can be updated, withdrawn or submitted.
No further action required	The ministry has determined that no further action is required.
Not a valid serious occurrence	The ministry has determined that this is not a serious occurrence.
Under Ministry review	<ul style="list-style-type: none"> ▪ The ministry is currently reviewing the serious occurrence report. ▪ Only some changes can be made by the SOR Initiator.
Update required	The ministry requires an update.
Withdrawn	The serious occurrence report has been withdrawn by the service provider.
Deemed duplicate	The serious occurrence report has been deemed a duplicate.

3.3. Reporting a serious occurrence

3.3.1. Introduction


A serious occurrence is entered by an SOR Initiator.


3.3.2. Serious occurrence process flow

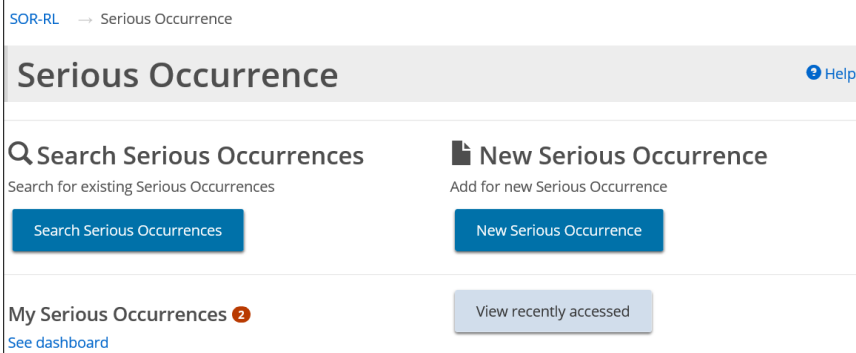


* When the ministry is notified of a Level 1 serious occurrence, the notification is entered into SOR-RL.

3.3.3. Step 1: Start the serious occurrence report and enter basic information

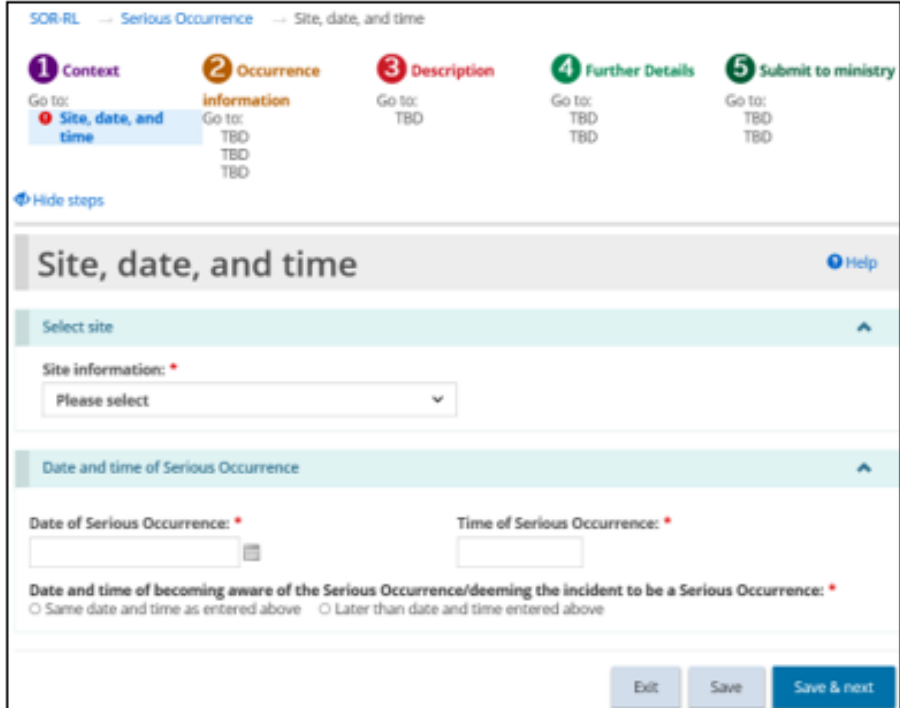
 As you work on your serious occurrence report click **Save** to save your entries. You can open your draft report and continue working on it. See page [33](#) for details.

1. Click  **SERIOUS OCCURRENCE**. The **Serious Occurrence** page appears.







2. Click **New Serious Occurrence**. The **Site, date and time** page appears.


Steps
section



 **Tips:**

- Look at the steps to monitor your progress.
- Symbols indicate the status of each section. A green checkmark  indicates that the information is complete. A red exclamation mark  indicates that information is missing and must be completed before you can submit the serious occurrence.
- To quickly go to a step: click the step link.
- To hide the list of steps: click  [Hide steps](#).
- To show the list of steps: click  [Show steps](#).

3. Select the **Site** that the serious occurrence report relates to from the dropdown list.

 **Note to service providers that operate a shared site (licensed to provide youth justice services and non-youth justice services):** You will only see one site in the list. When you complete the information about the individual involved and answer the question about the Program (at time of occurrence), SOR-RL will route the SOR to Youth Justice or Non-Youth Justice.

 **If you cannot find the relevant site in the dropdown menu:**
 (1) Select “Site can’t be found” from the **Site Information** dropdown list.




- (2) Select the **Region** from the dropdown list.
- (3) Answer the remaining question.

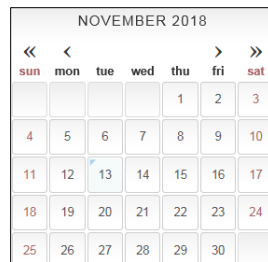
4. Select / enter the **Date of the Serious Occurrence**.

**Tips:**

- **To enter a date manually:** Type the date in **yyyy/mm/dd** format.

- **To enter a date using the calendar:**

- (1) Click  . A calendar appears.



- (2) Scroll to the month using the arrow buttons. To change the year, click the chevron << >> arrow.
- (3) Select the date.

5. Enter the **Time of the Serious Occurrence**.

Time of Serious Occurrence:



Type the date in **hh:mm** format using a **24-hour clock** or indicate **am** or **pm**.

Example:

Time of Serious Occurrence:


6. Answer the question regarding the date and time of when you became aware of the serious occurrence.
7. If you selected “Later than date and time entered above”, enter the date and time you became aware of the serious occurrence.
8. Click **Save & next** . The **Individuals involved** page appears.

3.3.4. Step 2: Enter the individuals involved



For SORs involving more than one individual, Step 2 must be completed for each individual.

The screenshot shows the 'Individuals involved' step in the SOR-RL reporting process. At the top, there are five numbered steps: 1. Context, 2. Occurrence, 3. Description, 4. Further Details, and 5. Submit to ministry. Step 2, 'Occurrence', is currently active and highlighted. Under 'Go to:' for Step 2, there are three sub-options: 'Individuals involved' (which is selected and highlighted in blue), 'Categories', and 'Notifications'. Below the steps, there is a 'Hide steps' link. The main content area is titled 'Individuals involved' and contains a message: 'No individuals have been added.' Below this message is an 'Add' button. At the bottom of the page, there are four buttons: 'Back', 'Exit', 'Save', and 'Save & next'.

1. If the **Individuals Involved** page is not on your screen, click the **Individuals Involved** link from the steps section.
2. Click . The **Add individual** page appears.

Add Individual Help

Individual ^

First name: * **Last Name: ***

Date of birth: *

Gender: *
 Male Female X

Program (at time of occurrence)
 Anti-Human Trafficking Community Supports ([Show all](#))
 Autism (Child)
 Child and Youth Mental Health
 Developmental Services – Adult ([Show all](#))
 Child Protection Services
 Developmental Services – Child ([Show all](#))
 Children's Treatment and Rehabilitation Services
 Complex Special Needs (Child)
 Indigenous Healing and Wellness Strategy ([Show all](#))
 Interpreter Services
 Intervenor Services
 Violence Against Women
 Youth Prevention Initiatives

DSCIS #: **CPIN # (Person reference number):**

Does this individual have a Placing Agency? *
 Yes No Unknown at this time

Does this individual have a Youth Justice Probation Officer or will one be assigned to them? *
 Yes No

Legal guardian status (Check all that apply) *
 Child in extended society care
 Interim society care
 Temporary care agreement
 Continued care and support for youth
 Customary care
 In parental/guardian(s) care
 Legally independent adult
 Office of the public guardian and trustee
 Other

(Your page may look different)

3. Enter the first and last names of the individual involved in the serious occurrence.



Be sure to enter the individual's legal names.




The ministry may approve different levels of personal information to be applied. For example, YJ Services should report full first name and first initial of the last name. VAW, IHWS and PATCO first initial of first name and first initial of last name only. If you have questions about the level of personal information required, consult your ministry representative.

4. Enter the individual's Date of birth.
5. Select the Gender.
 - If not stated or unknown: Select X.**
6. Select the Program (at the time of the occurrence).


Notes:

- If you are unsure of the program type at the time of the occurrence, select the one that is most appropriate from the list. For example, a child who is placed in residential services, if the placing agency is the Children’s aid society, select Child Protection.
- To expand a section to show the options click [\(show\)](#).
- For individuals who were accessing a Youth Justice program at the time of the serious occurrence, the individual’s youth justice identifying factors will be selected.
- For individuals who were accessing a non-Youth Justice program at the time of the serious occurrence, the program that the individual was receiving at the time of the incident will be selected.


Note to service providers that operate a shared site (Youth Justice and Non-Youth Justice):

Program (at time of occurrence) *

Please select...

Youth Justice YP Identifying Factors

Non Youth Justice

- If “Youth Justice YP Identifying Factors” is selected, the SOR will go to YJ.
- If “Non Youth Justice” is selected the SOR will go to NJ.
- The SOR will go to YJ if there are multiple individuals involved and one has selected “Youth Justice YP Identifying Factors”.
- If there are no individuals involved, the SOR will automatically go to YJ.

7. Click [Save & return](#). The individual’s name appears in the table.

Individuals involved Help

Individuals ^



[Add](#)

Individual name	Placing Agency	DSCIS #	CPIN #	Date of birth (yyyy-mm-dd)	Gender	Action
Doe, Jane				2005-01-01	F	

Back Exit Save Save & next

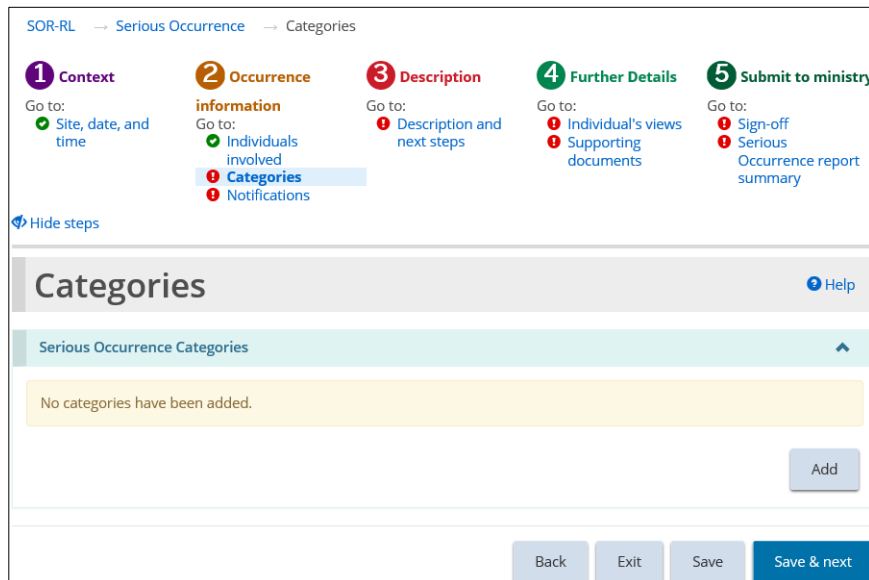
(Your page may look different)

 **Tips:**

- **To make a correction:** Click 
- **To remove the entry:** Click 

8. Multiple individuals can be identified in one serious occurrence report. To add another individual, complete steps 1 to 7 above.
9. Click **Save & next**. The **Categories** page appears.

3.3.5. Step 3: Enter the category information



SOR-RL → Serious Occurrence → Categories

1 Context
Go to:
✔ Site, date, and time

2 Occurrence information
Go to:
✔ Individuals involved
❗ **Categories**
❗ Notifications

3 Description
Go to:
❗ Description and next steps

4 Further Details
Go to:
❗ Individual's views
❗ Supporting documents

5 Submit to ministry
Go to:
❗ Sign-off
❗ Serious Occurrence report summary

[Hide steps](#)


Categories [Help](#)

Serious Occurrence Categories [^](#)

No categories have been added.

[Add](#)

[Back](#) [Exit](#) [Save](#) [Save & next](#)

 **The service provider must determine which SOR category, or categories should be reported for each individual involved in the incident.**

 **The SOR cannot be submitted to the ministry until at least one category is added for each individual involved in the incident.**

1. If the **Categories** page is not on your screen, click the [Categories](#) link from the top of the page.
2. Click **Add**. The **Add type of Serious Occurrence** page appears.



3. Select who the serious occurrence is **Related to** from the dropdown list. If the SOR relates to the site (e.g. fire at the site), select “Not applicable” from the dropdown list.
4. **Select the category of the Serious Occurrence** from the dropdown list.
5. Sub-categories / questions may appear depending on your choices. All questions must be answered.
6. Click **Save & return**. The category appears in the table.

Display order	Individual name	Category	Subcategory	Type	Level	Action
	Doe, Jane	Serious individual action	Unusual, suspicious or unauthorized individual absence	An individual under the age of 16 who is missing/absent without permission or is missing/absent under unusual or suspicious circumstances	2	

- Based on answers to the questions, the system will record the level.**
- **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.





 **Tips:**


- **To make a correction:** Click 
- **To remove the entry:** Click 

7. Repeat steps 1 to 6 above for all reportable sub-categories for each individual involved in the SOR.

Categories Help


Serious Occurrence Categories ^


Display order	Individual name	Category	Subcategory	Type	Level	Action
↑↓	Doe, Jane	Serious individual action	Unusual, suspicious or unauthorized individual absence	An individual under the age of 16 who is missing/absent without permission or is missing/absent under unusual or suspicious circumstances	2	 
↑↓	Doe, Jane	Serious injury	Self-harm		2	 

8. The categories can be reordered to provide a sequence of events. Click the blue up/down arrows  as required.
9. Click Save & next. The **Notifications** page appears.

3.3.6. Step 4: Enter who has been notified

This section indicates the notifications required

 Depending on the SOR information entered, there may be required notifications by the Service Provider. SOR-RL will prompt for information about each required notification.

1. If the **Notifications** page is not on your screen, click the [Notifications](#) link from the steps section.
2. Click . The **Add Service Provider notification** page appears.

3. Select who the notification is **Related to** from the dropdown list.

4. **Select the type of notification** from the dropdown list. The questions that appear will vary depending on your choices.



In the case where SOR-RL requires a parent / guardian notification for a client that does not require it (e.g. Legally independent adult, Interim society care”:

- (1) Select the type of notification: “Parent(s)/Legal guardians(s)”.
- (2) Click the “Notification was not made due to no applicable parent or guardian” checkbox.

Notification was not made due to no applicable parent or guardian

Please explain: *

- (3) A text box appears where you enter the reason that notification is not necessary.
5. Answer the questions that appear.

SOR-RL → Serious Occurrence → Notifications → Add service provider notification

Add Service Provider notification Help

Notification details

Related to: *

Jane Doe

Notifications to be made

Type	Categories
Parent(s) / Legal guardian(s)	<ul style="list-style-type: none"> Serious injury - Self-harm Unusual, suspicious or unauthorized individual absence - An individual under the age of 16 who is missing/absent without permission or is missing/absent under unusual or suspicious circumstances

Select the type of notification: *

Parent(s) / Legal guardian(s)

Category notified about (Select all that apply) *

Unusual, suspicious or unauthorized individual absence - An individual under the age of 16 who is missing/absent without permission or is missing/absent under unusual or suspicious circumstances (Initial submission, May 04, 2020)

Serious injury - Self-harm (Initial submission, May 04, 2020)

First name: *

Last name: *

Date of notification: *

Time of notification: *

Notification was attempted but unable to reach parent/guardian

Notification was not made due to contraindication

Notification was not made due to no applicable parent or guardian

Cancel Save Save & add another Save & return

6. To add another notification:

- 6.1. Click **Save & add another**.
- 6.2. Repeat steps 3 to 6.

7. Click **Save & return**. The notification(s) appears in the table.

Notifications Help



Who needs to be notified by Service Provider ^

For whom? ⓘ	Type	Categories	
<input type="button" value="Add"/>			

Who has been notified by service provider ^

For whom? ⓘ	Type	Categories	Date of notification (yyyy-mm-dd)	Action
Doe, Jane	Parent(s) / Legal guardian(s)	<ul style="list-style-type: none"> Serious injury - Self-harm Unusual, suspicious or unauthorized individual absence - An individual under the age of 16 who is missing/absent without permission or is missing/absent under unusual or suspicious circumstances 	2020-05-04	✎

Tips:

- **To make a correction:** Click 
- **To remove the entry:** Click 

8. Click Save & next. The **Description and next steps** page appears.

3.3.7. Step 5: Enter the description and next steps

<p>1 Context</p> <p>Go to:</p> <ul style="list-style-type: none"> <input checked="" type="radio"/> Site, date and time <p>Hide steps</p>	<p>2 Occurrence</p> <p>information</p> <p>Go to:</p> <ul style="list-style-type: none"> <input checked="" type="radio"/> Individuals involved <input checked="" type="radio"/> Categories <input checked="" type="radio"/> Notifications 	<p>3 Description</p> <p>Go to:</p> <ul style="list-style-type: none"> <input checked="" type="radio"/> Description and next steps 	<p>4 Further Details</p> <p>Go to:</p> <ul style="list-style-type: none"> <input type="radio"/> Individual's views <input type="radio"/> Supporting documents 	<p>5 Submit to ministry</p> <p>Go to:</p> <ul style="list-style-type: none"> <input type="radio"/> Sign-off <input type="radio"/> Serious Occurrence report summary
--	--	--	--	--

Description and next steps [Help](#)

Summary of occurrence ▲

Serious Occurrence description *

Required information to include:

- Precipitating factors that led to the incident and what efforts were made to de-escalate the situation;
- What happened and where in chronological order;
- Service provider response to the incident/action taken;
- Whether the incident involved a criminal offence;
- If EMS or the police were called/involved in the incident;
- Current status of the incident;
- Current condition (i.e. health and safety) of individuals involved in the incident;
- Services and supports being provided to individuals involved in the incident; and
- Further action/follow-up to be taken (where applicable) by the service provider, such as information on how the service provider plans to mitigate, reduce or prevent incidents from occurring in the future.

Use non-descriptive identifiers (such as Individual #1 and Individual #2; Parent A and Parent B, etc.) when referencing individuals.

Please refer to section 2.3.2 of the 2019 MCCSS SOR Guidelines for SO description requirements for the Serious Injury category.

Please refer to section 2.3.4 of the 2019 MCCSS SOR Guidelines for SO description requirements for the Serious Individual Action category.

Has this Incident resulted in any media attention? *

Yes No

Further details ▲

Further action proposed by service provider:

Direction, if any, provided by Ministry:

Is this expected to be the only/last report submitted for this occurrence? *

Yes No

1. If the **Description and next steps** page is not on your screen, click the [Description and next steps](#) link from the steps section.
2. Enter a description about the serious occurrence with the required information listed on the screen. Instructions in red are for certain SOR categories and/or sub-categories that require specific information in the written description.

**Tips:**

- You can type notes or copy and paste text into notes fields.
- There is a maximum number of characters allowed (usually 3,500 characters). As you type the text, the counter will indicate the number of characters. If you reach the limit, it is suggested that you type the information as a document and attach it. Make a note in this field indicating the name of the document.

3. Click **Save & next**. The **Individual's View** page appears.

3.3.8. Step 6: Enter the individual's views / perspectives

SOR-RL → Serious Occurrence → Individual's view

1 Context Go to: Site, date, and time

2 Occurrence information Go to: Individuals involved, Categories, Notifications

3 Description Go to: Description and next steps

4 Further Details Go to: **Individual's views**, Supporting documents

5 Submit to ministry Go to: Sign-off, Serious Occurrence report summary

Hide steps

Individual's view

Views/perspectives

No individual's views have been added.

Add

Back Exit Save **Save & next**

This page is used to record the views and perspectives for all clients involved in the incident.

1. If the **Individual's view** page is not on your screen, click the [Individual's views](#) link from the steps section.
2. Click **Add**. The **Add individual's views / perspectives** page appears.

3. Select the **Related Client**.
4. Enter the **Individual's views / perspectives**.

**Tips:**

- You can type notes or copy and paste text into notes fields.
- There is a maximum number of characters allowed (usually 3500 characters). As you type the text, the counter will indicate the number of characters. If you reach the limit, it is suggested that you type the information as a document and attach it. Make a note in this field indicating the name of the document.

5. Click **Save & return**. The individual's views / perspectives appears in the list.

Individual name	Views/perspectives	Action
Doe, Jane	x	

**Tips:**

- To make a correction: Click
- To remove the entry: Click

6. Click **Save & next**. The **Supporting documents** page appears.

3.3.9. Step 7: Upload supporting documents

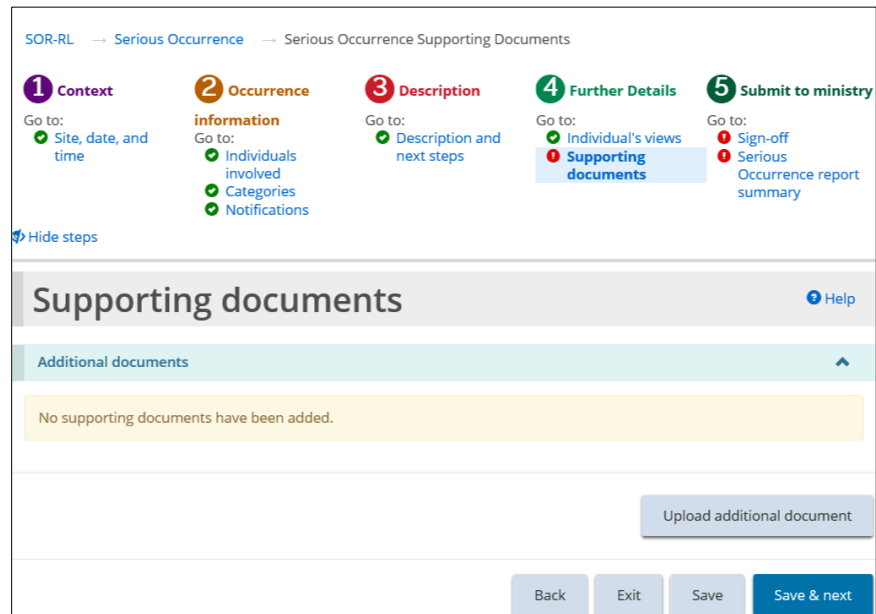
Introduction

- You can upload supporting documents that relate to the serious occurrence.
- The following types of files can be uploaded:
 - ✓ Graphics: .gif, jpeg, png, pdf
 - ✓ Documents: pdf, rtf, doc, docx, plain text, ppt
 - ✓ Spreadsheets: xls, xlsx
 - ✓ Email: msg

If the document is larger than 10MB, it must be split it into smaller files and uploaded separately. Consult with the ministry if you have questions about large files.

- Do not email attachments to the ministry.

Process

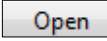



1. If the **Supporting Documents** page is not on your screen, click the [Supporting Documents](#) link from the steps section.
2. Click [Upload additional document](#). The **Supporting documents** page appears.

3. Enter the **Document type**.
4. Enter a description of the document in the **Comments** field.
5. Click **Choose File**. The **Choose File to Upload** page appears.
6. Select the document.
7. Click **Open**.
8. Click **Save & return**. The document appears in the **Additional documents** list.

To view the contents of an attached document:

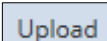
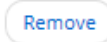


- (1) Click the blue file name link. A message appears.

- (2) Click . The document opens.
- (3) When you are done, click close .

To make a correction:

- (1) Click . The **Upload Supporting Documents** page appears.
- (2) Make the correction.
- (3) Click .

To remove the document:

- (1) Click .
- (2) Click . A confirmation message appears.
- (3) Click .
- (4) Click .

To add another document: Repeat steps 1 to 8 above.

9. Click . The **Sign-Off** page appears.

3.3.10. Step 8: Sign off the serious occurrence

1 Context
Go to:
● Site, date, and time

2 Occurrence information
Go to:
● Individuals involved
● Categories
● Notifications

3 Description
Go to:
● Description and next steps

4 Further Details
Go to:
● Individual's views
● Supporting documents

5 Submit to ministry
Go to:
● **Sign-off**
● Serious Occurrence report summary

Hide steps

Sign-off

Print Help

Serious Occurrence report submission sign-off

Documented outside of SOR-RL by (if relevant):

Name: Bob Bbbb

Position: SOR Initiator

Telephone Number: (999) 999-9999 Ext:

Email: sorinit_033@mailinator.com

Approved by:

First name:

Last name:

Position:

Telephone Number: Ext:

Email:

Back Exit Save Save & next

The service provider may require a manager sign-off before the submission of the serious occurrence report to the ministry can be made.

1. If the **Sign-off** page is not on your screen, click the [Sign-off](#) link from the steps section.
2. Enter the name and contact information of the person approving the report.
 - 📌 **“Documented outside of SOR-RL by” information cannot be changed.**
3. Click **Save & next**. The **Serious occurrence report summary** page appears.

3.3.11. Step 9: Review the summary



Personal information is masked automatically by SOR-RL.

1 Context
Go to:
✔ Site, date, and time

2 Occurrence information
Go to:
✔ Individuals involved
✔ Categories
✔ Notifications

3 Description
Go to:
✔ Description and next steps

4 Further Details
Go to:
✔ Individual's views
✔ Supporting documents

5 Submit to ministry
Go to:
✔ Sign-off
Serious Occurrence report summary

Hide steps

Serious Occurrence report summary

+ Show all Print Help

Serious Occurrence report summary

Site, date, and time

Individuals involved

Categories

Notifications

Description and next steps

Individual's view

Supporting documents

Sign-off

Back Exit Withdraw Submit

1. If the **Serious occurrence report summary** page is not on your screen, click the [Serious Occurrence report summary](#) link from the steps section.
2. Review the information in the serious occurrent report.

**Tips:**

- **To see the information under the heading:** Click the heading arrow.



To see information under a blue section sub-heading: Click the sub-heading or click **+Show All** to expand all sections.

- **To show all:** Click the blue **+Show All** link.
- **To withdraw the serious occurrence report:**

- (1) Click **Withdraw**
- (2) A confirmation window appears.
- (3) To continue click **OK**. To cancel the action, click **Cancel**.

- Print the report if required.




To print the entire report:

- Click . A print dialog box appears.
- Select the print options.
- Click .

To print the report for a certain individual:


- Open the **Individuals involved** section.

Individuals involved					
Individual name	Placing Agency	DSCIS #	CPIN #	Date of birth (yyyy-mm-dd)	Gender
Doe, Jane (See Individual Summary)				2005-01-01	Female

- Click the [See Individual Summary](#) link of the individual you want to print. (The Individual Summary is a copy of the SOR but limited to only the category and notifications related to the specific client as well as the general description and fields of the SOR.)
- Click [+Show All](#). Only the selected individual appears in the **Individuals involved** section.
- Click . A print dialog box appears.
- Select the print options.
- Click .
- Click  to return to the **Summary** page.

- Click . The **Serious occurrence confirmation** page appears.


Serious Occurrence Confirmation

[+Show all](#)  [Help](#)

Serious Occurrence Confirmation ^

Your Serious Occurrence report (SO202000424) has been successfully submitted.

You are required to provide updates as new information arises and/or at any time as requested by the Ministry, and no later than seven business days after the initial reporting.

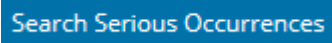


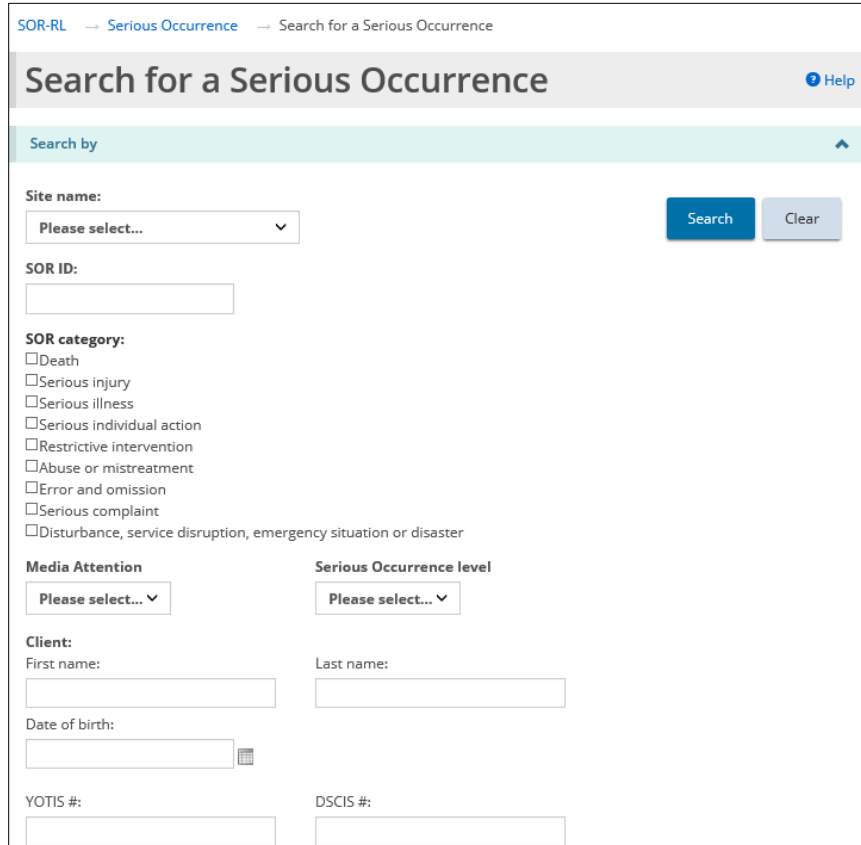
- Click .

3.4. Searching for a serious occurrence report



If you are looking for a serious occurrence that you worked on recently, click 

1. Access the **Serious Occurrence** page.
2. Click . The **Search By** page appears.




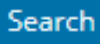
(Partial page sample only)

3. Select / enter the search criteria.




Tips:

- **To find all serious occurrences:** leave the search criteria blank.
- **To narrow down the search results:** use the different fields based on the criteria of your search (e.g. site, date of SOR, status etc.)
- **Search criteria is not case-sensitive.** You can enter criteria in UPPER or lower case.
- **To clear the search criteria:** click 

4. Click . The search results appear in a table below the search criteria.



Search results

Total item(s): 4 Item(s) per page:

SOR ID 	Site name	Address	Categories	SOR Lead	Status	Last update date: (yyyy-mm-dd)	Action
SO202000426	Bbbb site	2 Main Anytown	<ul style="list-style-type: none"> • Serious individual action Unusual, suspicious or unauthorized individual absence • Serious injury Self-harm 		Draft	2020-05-04	Select
SO202000424	Bbbb site	2 Main Anytown	<ul style="list-style-type: none"> • Serious illness Other disease, illness, or infection 	Qrst, Debra	Under Ministry review	2020-05-01	Select Update
SO202000048	Bbbb site	2 Main Anytown	<ul style="list-style-type: none"> • Serious complaint About an individual receiving a service 	Qrst, Debra	Under Ministry review	2020-01-23	Select
SO202000046	Bbbb site	2 Main Anytown	<ul style="list-style-type: none"> • Serious injury Accidental 	Qrst, Debra	Not a valid Serious Occurrence	2020-01-16	Select

[Search](#) [Clear](#) [Back](#) [Exit](#)


Tips:


- **To sort by a column:** Click the column heading. To sort in the opposite direction, click the heading again.
- A symbol appears indicating if the list is sorted in ascending order  or descending order .
- After you expand a section 10 items appear. Click the per page arrow [Per Page](#) to change the number of items per page to 10, 25 or 50.
- If there is more than one page of results, a page indicator appears at the bottom of the list. Click the page number you want to go to or click [Next](#) to scroll by page.

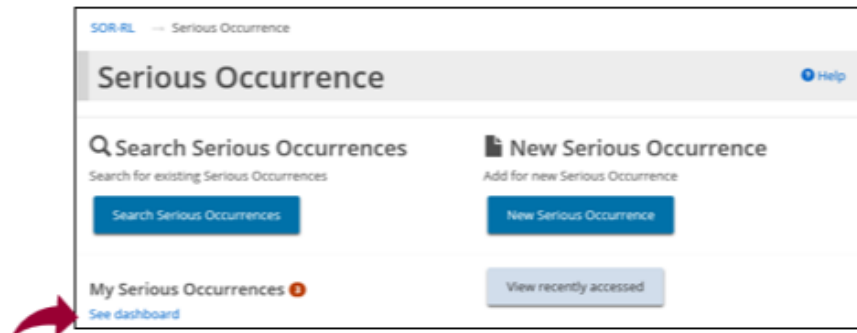
To view a serious occurrence report: Click [Select](#).

To update a serious occurrence report: Click [Update](#).

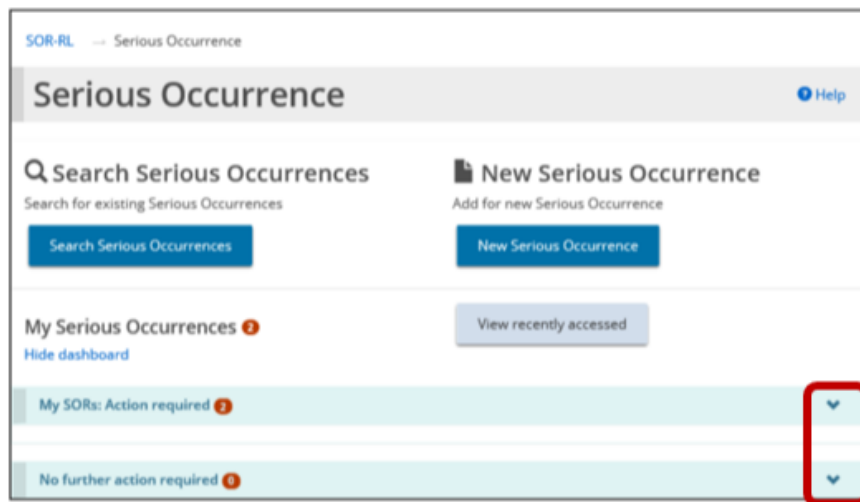
3.5. Viewing / updating a draft serious occurrence report

 A draft report is a serious occurrence report that has not yet been submitted. If you have already submitted the report, see the next section for directions on viewing / updating.

1. Click  **SERIOUS OCCURRENCE**.



2. Click [See dashboard](#). The page expands.



- The dashboard page is divided into sections.
 - To expand a section, click the section down arrow.
3. A table appears showing all serious occurrences, regardless of the status. Draft serious occurrences appear separately.

My SORs: Action required 3

Action required Item(s) per page: 10

Total item(s): 3

Level / SOR ID	Site name/Address	Incident date (yyyy-mm-dd)	Categories	SOR Submitted by	Status	Due date (yyyy-mm-dd)	Act
SO202000424	Bbbb site, 2 Main, Anytown	2020-04-30	• Serious illness Other disease, illness, or infection	SORINIT_033@MAILINATOR.COM	Under Ministry review	2020-05-07	
SO202000048	Bbbb site, 2 Main, Anytown	2020-01-16	• Serious complaint About an individual receiving a service	SORINIT_033@MAILINATOR.COM	Under Ministry review	2020-01-24	

Drafts 1

Drafts Item(s) per page: 10

Total item(s): 1

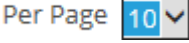

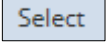
Level / SOR ID	Site name/Address	Incident date (yyyy-mm-dd)	Categories	Action
SO202000426	Bbbb site, 2 Main, Anytown	2020-05-04	• Serious individual action Unusual, suspicious or unauthorized individual absence • Serious injury Self-harm	Select

The following table describes the two section headings:

Section heading	Description
My SORs: Action Required	<p>This section displays serious occurrences that require an action from the logged-in user.</p> <p>This section lets you view or update an item.</p>
No further action required	<p>This section displays serious occurrences where no further action is required.</p> <p> A serious occurrence report can be updated by the service provider and/or the ministry at any time.</p>

Tips:

- **To sort by a column:** Click the column heading.
- **To sort in the opposite direction:** Click the heading again.
- A symbol appears indicating if the list is sorted in ascending order or descending order .

- After you expand a section 10 items appear. Click the per page arrow  to change the number of items per page to 10, 25 or 50.
 - If there is more than one page of results, a page indicator appears at the bottom of the list. Click the page number you want to go to or click  to scroll by page.
4. Click .
 5. Continue updating the serious occurrence as outlined in section [3.3 Reporting a serious occurrence](#) starting on page [8](#).

3.6. Viewing / updating a submitted serious occurrence



If you have not submitted the serious occurrence report, see the previous section.

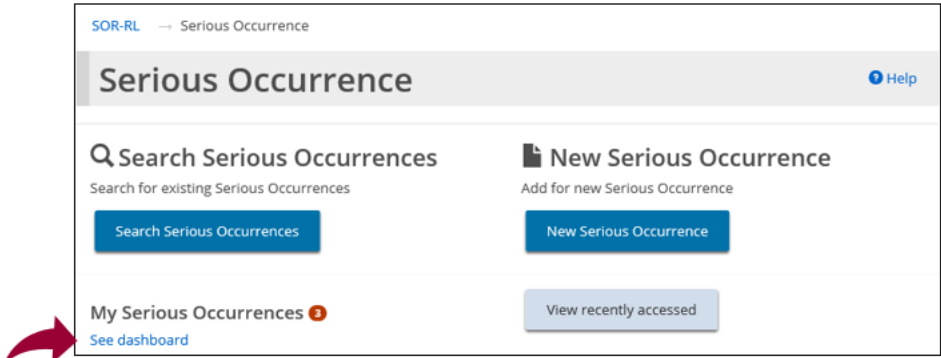
Once an initial serious occurrence report has been submitted, the service provider is unable to edit the information submitted, unless additional information or revisions are requested by the ministry. Service providers have the “requirement to provide updates as new information arises and/or at any time as requested by the ministry, and no later than seven business days after the initial reporting, and every seven days ongoing until no further action is required by the Ministry”

The initial SOR and the updates will be timestamped and labelled with the user who submitted the update.

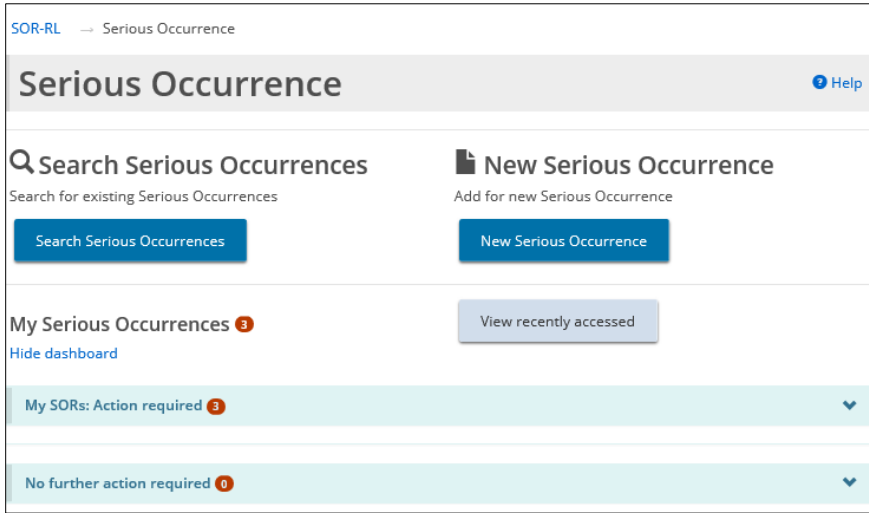
Although information cannot be edited unless requested by the ministry, at any time, you can:

- ✓ Add another individual
- ✓ Add another category
- ✓ Add a notification
- ✓ Add a comment in the **Description and Next Steps** section

1. Click  **SERIOUS OCCURRENCE**. The **Serious Occurrence** menu appears.

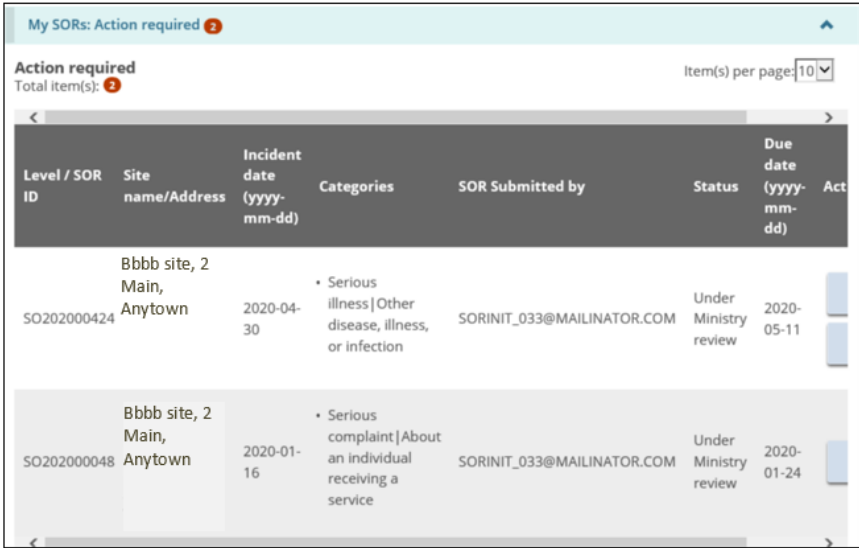


2. Click the [See dashboard](#) link. The dashboard page appears.

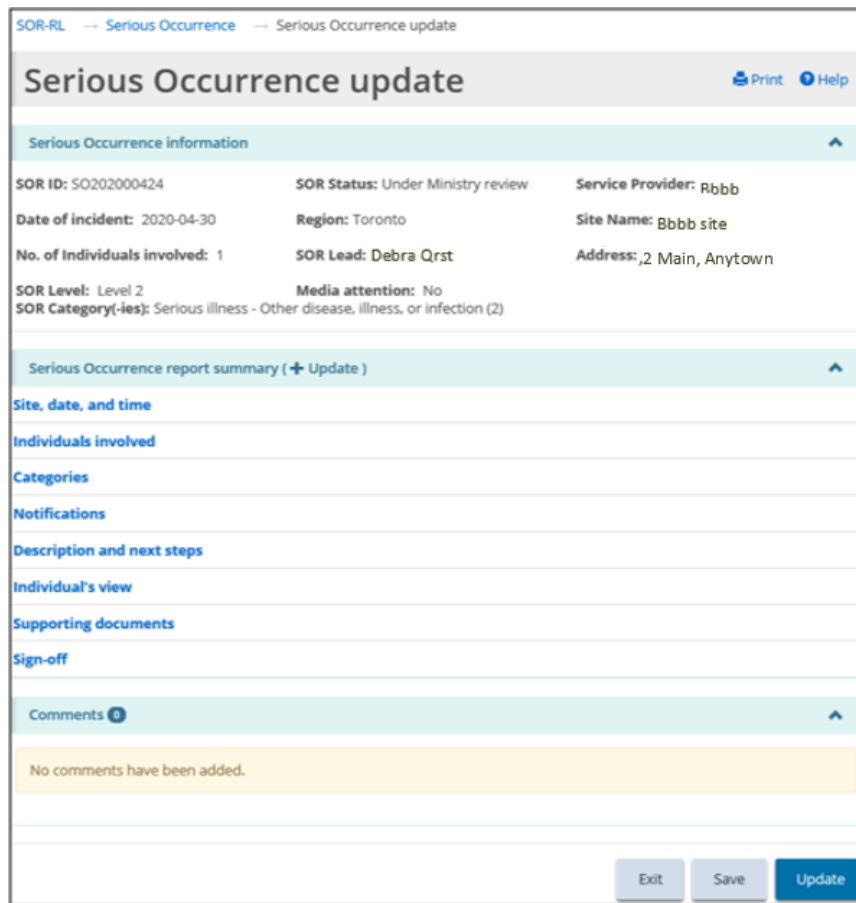


- The dashboard is divided into sections.
- To expand a section, click the section down arrow.

3. Expand the **My SORs: Action required** section.



4. Click . The **Serious Occurrence Update** page appears.



SOR-RL → Serious Occurrence → Serious Occurrence update

Serious Occurrence update Print Help

Serious Occurrence Information

SOR ID: SO202000424 SOR Status: Under Ministry review Service Provider: Rbbb
 Date of incident: 2020-04-30 Region: Toronto Site Name: Bbbb site
 No. of Individuals involved: 1 SOR Lead: Debra Qrst Address: ,2 Main, Anytown
 SOR Level: Level 2 Media attention: No
 SOR Category(-ies): Serious illness - Other disease, illness, or infection (2)

Serious Occurrence report summary (+ Update)

Site, date, and time
 Individuals involved
 Categories
 Notifications
 Description and next steps
 Individual's view
 Supporting documents
 Sign-off

Comments 0

No comments have been added.

Exit Save Update

5. Click . The sections expand.




Most sections have a blue link that you can click to view the information.

Notifications

Service Provider notifications

Individual name	Type	Categories	Date (yyyy-mm-dd)	Action
Bbbb, Bob	Parent(s) / Legal guardian(s)	• Serious illness - Other disease, illness, or infection	2020-04-30	
	Reasons	Description	Contact name	Time of notification
			Jan Bbbb	10:00 AM

[Add](#)

To add another item: Click the applicable  button.

6. Click the [Description and next steps](#) link.

Description and next steps
Serious Occurrence description

Initial SOR
2020-04-30

Update *

0/3500

Initial SOR
2020-04-30

Has this incident resulted
in any media attention? No

Has there been any media attention since your last submission? *

Yes No

Further action proposed by Service Provider:

Initial SOR
2020-04-30

Update

Is this expected to be the only/last report submitted for this occurrence? *

Yes No

(The fields displayed will be different depending on the type of serious occurrence.)

7. Update the **Serious occurrence description** section.
8. Answer the other questions that appear.
9. Update the **Further action proposed by service provider** section.
10. When you are done, click **Update**. A confirmation message appears.
11. Click **OK**. A confirmation message appears.
12. Click **Exit**.

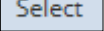
3.7. Revising / correcting a submitted serious occurrence report

3.7.1. Introduction

A submitted serious occurrence report cannot be revised or corrected unless the ministry changes the status of the report to “Additional information / revision required”. Contact the ministry to change the status.

Level / SOR ID	Site name/Address	Incident date (yyyy-mm-dd)	Categories	SOR Submitted by	Status	Due date (yyyy-mm-dd)	Action
SO202000426	Bbbb, 2 Main, Anytown	2020-05-04	<ul style="list-style-type: none"> • Serious individual action Unusual, suspicious or unauthorized individual absence • Serious injury Self-harm 	SORINIT_033@MAILINATOR.COM	Additional information/revision required	2020-05-12	Select

3.7.2. Process

1. Click . The **Serious Occurrence report summary** page appears.
2. Scroll down to the **Comments** section and make note of the revisions required.
3. Make the corrections required.
4. Click the [Serious Occurrence report summary](#) link.
5. Scroll down to the **Comments** section then enter Comments to the Ministry.

Please add any questions back to the ministry here. All updates or next steps regarding the Serious Occurrence Report should be made on the update page, following submission of changes.

Comments to Ministry *

6. Click . The report **Status** changes to “Under Ministry review”.

3.8. Working with comments

3.8.1. Viewing a Ministry comment

The SOR Initiator will receive an email if the ministry enters a comment about the serious occurrence report in SOR-RL.

1. Open the serious occurrence. The **Serious occurrence report summary** appears.
2. Scroll down to the **Comments** section.

Comment	Date added	Added by	Action
Please verify time of serious occurrence.	2020-05-05 08:48 AM	Qrst, Debra(SOR Lead)	

Please add any questions back to the ministry here. All updates or next steps regarding the Serious Occurrence Report should be made on the update page, following submission of changes.

Comments to Ministry:

Add

Exit Save Update

3.8.2. Sending a comment to the Ministry



The SOR status must be “Update required”.

Site name/Address	Incident date (yyyy-mm-dd)	Categories	SOR Submitted by	Status	Due date (yyyy-mm-dd)	Action
Bbbb, 2 Main, Anytown	2020-05-04	<ul style="list-style-type: none"> • Serious individual action Unusual, suspicious or unauthorized absence • Serious injury Self-harm 	SORINIT_033@MAILINATOR.COM	Update required	2020-05-12	<input type="button" value="Select"/> <input type="button" value="Update"/>



To add more information or to make a revision, see [3.6 Viewing / updating a submitted serious occurrence on page 35](#).

1. Click Update to open the serious occurrence. The **Serious occurrence report summary** appears.

2. Scroll down to the **Description and next steps** section.
3. Enter the updated information.
4. Scroll down to the **Comments** section.

Comment	Date added	Added by	Action
Please verify time of serious occurrence.	2020-05-05 08:48 AM	Qrst, Debra(SOR Lead)	

Please add any questions back to the ministry here. All updates or next steps regarding the Serious Occurrence Report should be made on the update page, following submission of changes.

Comments to Ministry:

5. Enter the **Comments to Ministry**.
6. Click .
7. Click . A confirmation message appears.

4. Generating reports

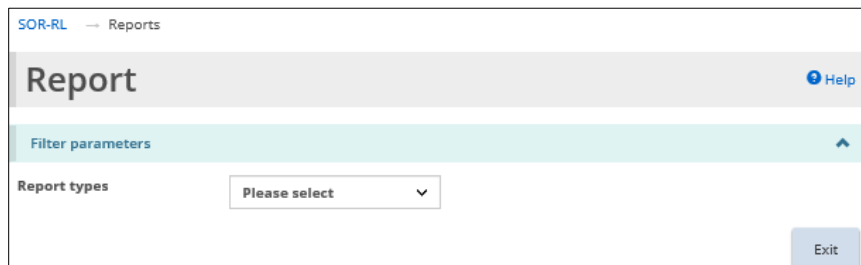
New functionality

4.1. Introduction

The SOR Initiator can generate several reports. The generated report appears in Microsoft Excel where the SOR Initiator can format and work with the data.

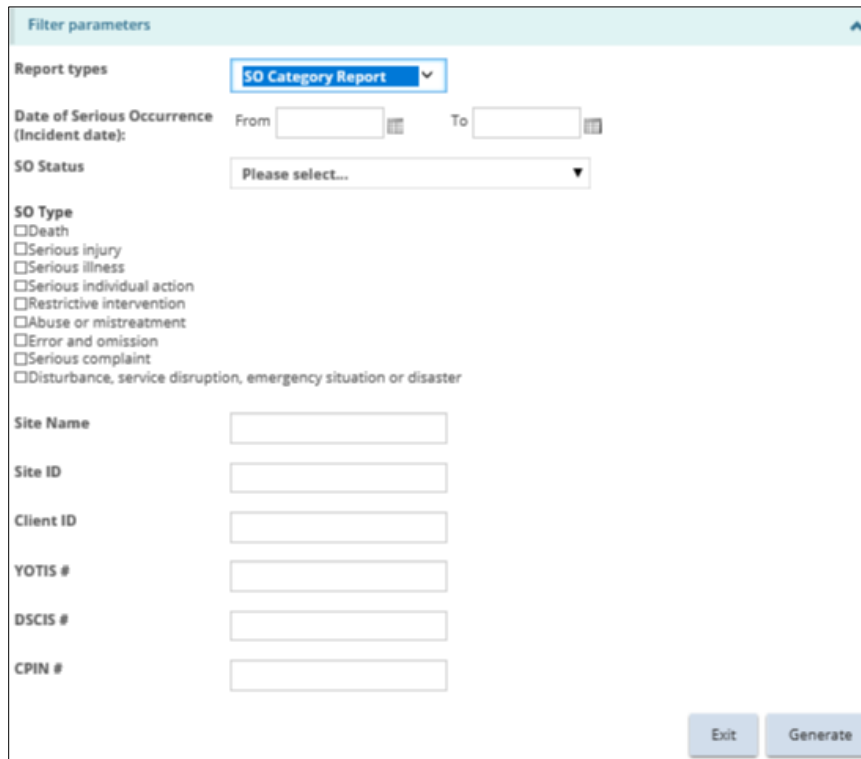
4.2. Process

1. Click  . The **Report** page appears.



The screenshot shows the 'Report' page in the SOR-RL system. The page title is 'Report' and it includes a 'Filter parameters' section. The 'Report types' dropdown menu is set to 'Please select'. There is an 'Exit' button in the bottom right corner.

2. Select the **Report type** from the dropdown list. The **Filter parameters** section appears.



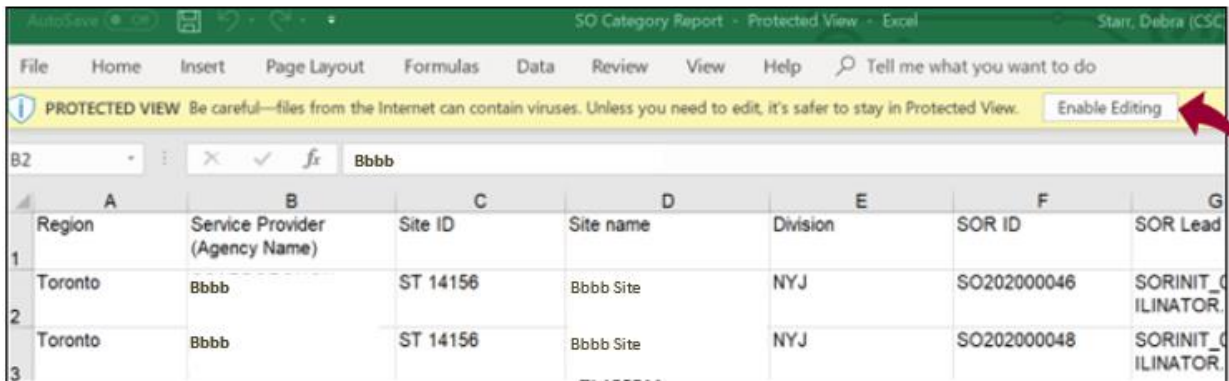
The screenshot shows the 'Filter parameters' section in the SOR-RL system. The 'Report types' dropdown is set to 'SO Category Report'. The 'Date of Serious Occurrence (Incident date)' section has 'From' and 'To' date pickers. The 'SO Status' dropdown is set to 'Please select...'. The 'SO Type' section has several checkboxes: Death, Serious injury, Serious illness, Serious individual action, Restrictive intervention, Abuse or mistreatment, Error and omission, Serious complaint, and Disturbance, service disruption, emergency situation or disaster. The 'Site Name', 'Site ID', 'Client ID', 'YOTIS #', 'DSCIS #', and 'CPIN #' sections each have a text input field. There are 'Exit' and 'Generate' buttons in the bottom right corner.

(The filter parameters that appear vary according to the report type selected.)

3. Enter/select the filter parameters.
4. Click .
5. A message appears.



6. Click . The report appears in a protected (read-only) Excel spreadsheet.



7. Click .
8. Save the file and work with the spreadsheet as you would normally in Excel.


 **You must close the report before running another report in SOR-RL; only one report can be open at a time.**

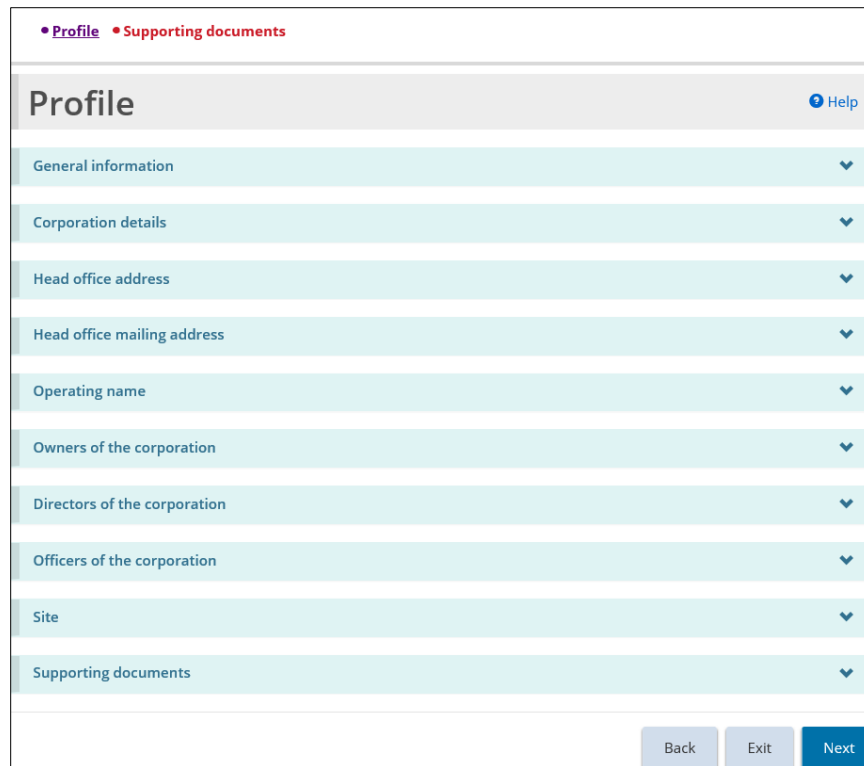
5. Viewing the service provider profile information

5.1. Introduction


The profile includes information about the corporation such as the address, operating name, owners, directors, officers, etc. There can also be supporting documentation such as incorporation papers.

5.2. Process

1. From the SOR-RL home page, click  **PROFILE**. The **Profile** page appears.



The screenshot shows a web interface for a 'Profile' page. At the top, there are two tabs: 'Profile' (selected) and 'Supporting documents'. Below the tabs is a header section with the title 'Profile' and a 'Help' link. The main content area consists of several expandable sections, each with a downward arrow: 'General information', 'Corporation details', 'Head office address', 'Head office mailing address', 'Operating name', 'Owners of the corporation', 'Directors of the corporation', 'Officers of the corporation', 'Site', and 'Supporting documents'. At the bottom right of the page, there are three buttons: 'Back', 'Exit', and 'Next'.

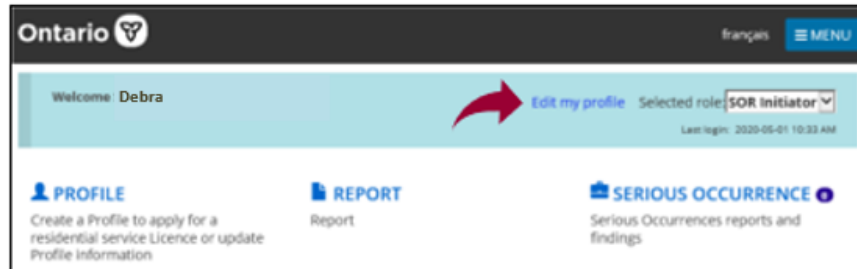
2. Expand the banners to see the details.
3. Make changes as required.
4. Click .

6. Updating your user profile

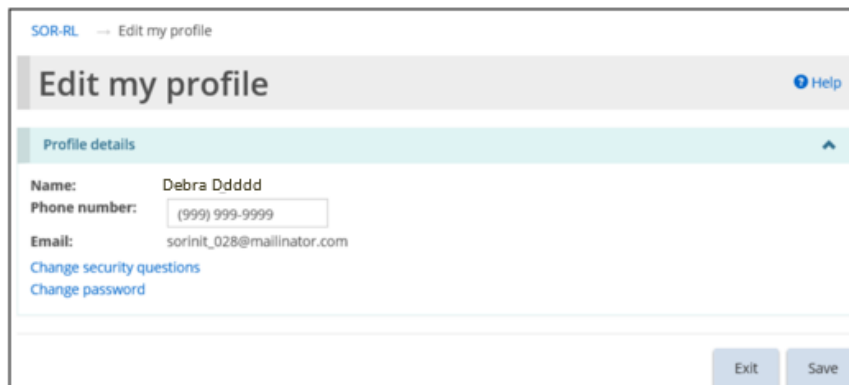
6.1. Introduction

Your user profile includes your email address, phone number, password and security questions. It is important that you keep your phone number up-to-date.

6.2. Changing your phone number



1. From the SOR-RL home page, click [Edit Profile](#). The **Edit my profile** page appears.





2. Update your phone number.
3. Click .

6.3. Changing your password

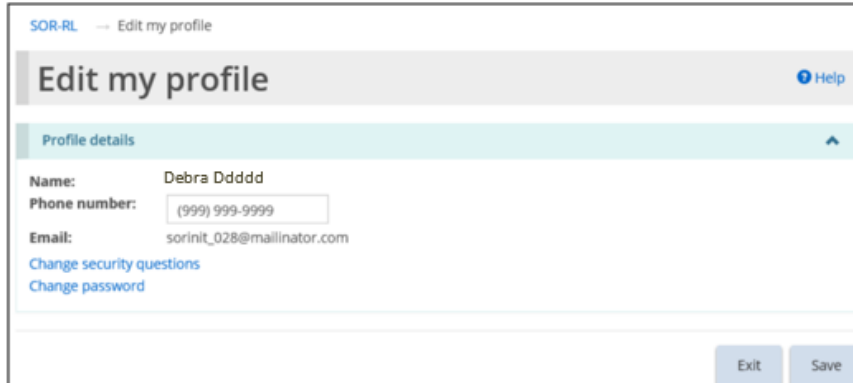
1. From the SOR-RL home page, click [Edit Profile](#). The **Edit my profile** page appears.

2. Click [Change password](#). The **Change password** page appears.

3. Enter your **Current password**.
4. Select a **Security question** from the dropdown list.
5. Enter the **Security answer**.
6. Enter the **New password**.
 -  **The password must be at 8 to 20 characters in length and contain:**
 - ✓ At least one UPPERCASE letter, AND
 - ✓ At least one lowercase letter, AND
 - ✓ At least one number, AND
 - ✓ At least one special character. () ! _ @ # \$ % ^ & * +
7. Type the new password again in the **Confirm new password** field.
8. Click .

6.4. Changing your security questions

1. From the SOR-RL home page, click [Edit Profile](#). The **Edit my profile** page appears.



SOR-RL → Edit my profile

Edit my profile [Help](#)

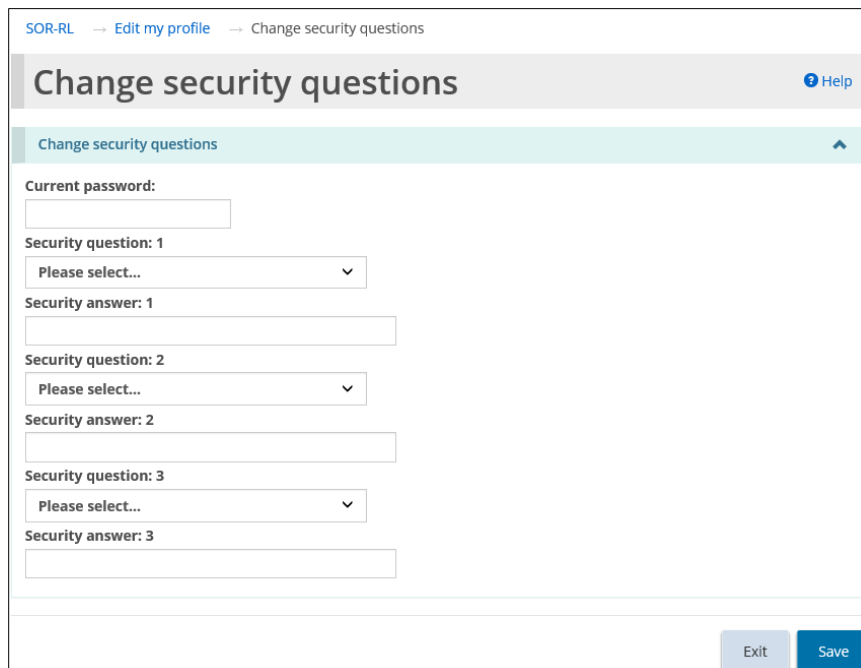
Profile details [^](#)

Name: Debra Ddddd
Phone number: (999) 999-9999
Email: sorinit_028@mailinator.com

[Change security questions](#)
[Change password](#)

[Exit](#) [Save](#)

2. Click [Security question](#). The **Change Security questions** page appears.



SOR-RL → Edit my profile → Change security questions

Change security questions [Help](#)

Change security questions [^](#)

Current password:

Security question: 1
Please select... [v](#)

Security answer: 1

Security question: 2
Please select... [v](#)

Security answer: 2

Security question: 3
Please select... [v](#)

Security answer: 3

[Exit](#) [Save](#)

3. Enter your **Current password**.
4. Select the **Security question**.
5. Enter the **Security answer**.
6. Repeats steps 4 and 5 for all three questions.
7. Click [Save](#) .

Appendix A: Glossary

Term	Definition
CPIN	Child Protection Information Network
DSCIS	Developmental Services Consolidated Information System
LRA	Local Registration Authority
Ministry	Ministry of Children, Community and Social Services
NY	Non Youth Justice
Shared site	A service site that is licensed under the CYFSA to provide children's residential care, and that provides youth justice services and non-youth justice services under the same licence.
SO	Serious Occurrence
SOR	Serious Occurrence Report
SOR-RL	Serious Occurrence Reporting and Residential Licensing System
YJ	Youth Justice
Y-OTIS	Youth Offender Tracking Information System
YJSD	Youth Justice Service Division

Appendix B: System / Functional Roles

Role	Functions
Service Provider Administrator	<ul style="list-style-type: none"> ▪ Manage and view users ▪ Update individual / corporate profile and add supporting documents ▪ Search for and view serious occurrence reports ▪ View dashboard
Site Designate	<ul style="list-style-type: none"> ▪ Search for and view / update serious occurrence reports ▪ View dashboard ▪ Update profile
SOR Initiator	<ul style="list-style-type: none"> ▪ Create a serious occurrence report ▪ Search for and view / update serious occurrence reports ▪ View dashboard ▪ Update profile

Appendix C: Symbols and Icons Quick Reference

Symbol	Description
	Edit entry
	Delete entry
	Use calendar to select a date
	Re-order entries
	Table sorted in ascending order by the field indicated
	Table sorted in descending order by the field indicated
Per Page 	Number of lines appearing on a page
	Expand / collapse banner
	A number indicates the number of items in that section
	Information in the section is complete
	Information is missing from the section.
 HELP	Get online help about the page you are on.
	Close window
*	Mandatory field.
SOR-RL	Access the SOR-RL home page
 	Toggle the language to French / English
 Hide steps	Hide steps at top of section
 Logout	Exit SOR-RL
 MENU	Access menu options
 Print	Open print dialog box
 Show steps	Show steps at top of section
 Update	Expand sections

Appendix D: Manual Serious Occurrence Report - Business Process

Added

Purpose

The Manual Serious Occurrence Report (Manual SOR) is used by Service Providers to submit a serious occurrence report (SOR) to the ministry when the Serious Occurrence Reporting-Residential Licensing (SOR-RL) online tool is temporarily offline, unavailable or inoperative. A Manual SOR must be submitted within the reporting timeframes as defined in the *Ministry of Children, Community and Social Services Serious Occurrence Guidelines* (MCCSS SOR Guidelines).

The Manual SOR can be used to report a new serious occurrence or to update an existing SOR.

Services providers must make reasonable efforts to inform their designated SOR Lead or SOR Coordinator when they become aware that the SOR-RL online tool is temporarily offline, unavailable or inoperative for use.

For more information about reporting a serious occurrence, Service Providers can refer to the *MCCSS SOR Guidelines* or contact their designated MCCSS corporate or regional office.

Personal Information Disclaimer

Full names or initials of individuals involved in the occurrence, including residents, clients, staff persons, guardians, or other individuals who would be identifiable through the inclusion of their personal information, should not be included in the Manual SOR Report. SOR-RL has built-in privacy and security safeguards that the Manual SOR does not. Once access to SOR-RL is restored, Service Providers will be asked to provide this information.

Reporting a New Occurrence – Service Provider



A copy of the Manual Serious Occurrence Report template is available on page [51](#) of this guide, however it is suggested that you complete the online template located at:

<https://www.iaccess.gov.on.ca/native/EXTMANUALSORFILLABLEFORMEN>



As you work on the report, see page [55](#) for a list of terms and page [57](#) for a list of categories and sub-categories.

1. Attend to the incident and individuals involved.

2. Determine if the incident meets the definition of a Serious Occurrence (SO).
3. Determine the category and sub-category for reporting, according to the *MCCSS SOR Guidelines*. A list of the Serious Occurrence categories and subcategories can also be found on page [57](#).
4. Determine the appropriate level of the SO. Refer to the *MCCSS SOR Guidelines* for guidance on determining whether the incident meets the definition of a Level 1 SOR. Every SO is designated as either a “Level 1” or a “Level 2” based on the circumstances and has an associated time frame in which the SO must be reported to MCCSS.
 - **Level 1:** Immediately notify the ministry designate and submit an SOR within 1 hour of becoming aware of the SO or deeming the incident to be an SO.
 - **Level 2:** Submit an 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.
5. Complete the Manual SO report providing as much detail as possible in the specified data fields. For SORs submitted outside of the prescribed reporting timelines, Service Providers are required to provide a reason for the late submission within the Manual SOR. See page [58](#) for a copy of the Manual SOR Report template or click the following link to go directly to the online Manual SOR Report template:
<https://www.iaccess.gov.on.ca/native/EXTMANUALSORFILLABLEFORMEN>
<https://www.iaccess.gov.on.ca/native/EXTMANUALSORWFILLABLEFIELDSFR>



Service Providers should be mindful of privacy and confidentiality when completing a Manual SOR and comply with applicable legislative and policy requirements.

6. Provide the completed Manual SOR to the ministry SOR designate by phone, fax or by email. It is recommended that the subject line of any fax or email submission include details such as “Manual SOR” and the “Service Provider name”.

For sites providing multiple services in one location such as a YJ services and Non-YJ services, the YJ youth information will only be provided to the designated YJ SOR Coordinator or YJ SOR Lead. There will be two different reports to protect the identity and confidentiality of the YJ youth ensuring that only a limited number of people can access this information.

7. When the ministry receives a Manual SOR, the designated SOR Coordinator will enter the SOR details into SOR-RL on behalf of the Service Provider, if it is possible to do so. The SOR Coordinator will ensure that all required party(ies) such as the SOR Lead is notified.

If possible, a copy of the Manual SOR report and any updates will be uploaded by the SOR Coordinator as a supporting document under the “Further Details” section in SOR-RL.

The following files types can be uploaded as supporting documents:

- Graphics: gif, jpeg, png, pdf
- Documents: pdf, rtf, doc, docx, ppt, plain text
- Spreadsheets: xls, xlsx

If the SOR Coordinator is not able to enter the Manual SOR in SOR-RL, for example if SOR-RL is temporarily unavailable to the ministry, then the Service Provider will enter all the information into SOR-RL once it becomes available.

When the ministry and the Service Provider are unable to access SOR-RL, the Manual SOR is the only accessible source of information should be treated as an official SO Report. The ministry will manually record all recommendations and actions taken to address the serious occurrence and keep a record of the date and time of each interaction. The SOR Coordinator will upload the Manual SO report, any updates and all received documentation when SOR-RL becomes operative.

8. Once the Service Provider can access SOR-RL, they will notify the SOR Coordinator and/or SOR Lead.


If the SOR Coordinator was able to enter the Manual SOR report details and upload a copy of the report to SOR-RL, a request to the SOR-RL User Support Centre will be made by the SOR Coordinator to re-assign the SOR back to the Service Provider so they can assume the role of SOR Initiator. The SOR Coordinator will ensure that the SOR Lead is also made aware of this change.

Upon receiving notification from the SOR Coordinator that the Manual SOR has been transferred back to the Service Provider, the Service Provider will verify that the information in SOR-RL is correct and that the Manual SOR report(s) has been uploaded into SOR-RL.

The Service Provider will be able to make corrections, add new information and upload the Manual SOR report and/or any other update(s) if needed. Further updates will continue in SOR-RL until the ministry determines that no further action is needed. In addition, the ministry may request updates at any time.

Updating a Manual SOR Report (if applicable)

1. If SOR-RL is offline, unavailable or inoperative when a SO update is required, or when new information becomes available, Service Providers must complete the Manual SOR to provide update(s) and submit the report to the appropriate ministry designate (see step 6 in the previous section). The Service Provider must include as much detail as possible when providing an update using a Manual SOR. It is important to mark the checkbox indicating that the report is an update and include the SOR-RL Identification number if it is known.

 **Service Providers should be mindful of privacy and confidentiality when providing a Manual SOR update and comply with applicable legislative and policy requirements.**

For agencies providing multiple services in one location such as a YJ services and non YJ services, the YJ youth information will only be provided to the designated YJ SOR Coordinator or YJ SOR lead. There will be two different reports generated to protect the identity and confidentiality of YJ youth ensuring that only a limited number of people can access this information.

When the ministry receives an update to a serious occurrence using a Manual SOR, the SOR Coordinator will make a request to the SOR-RL User Support Centre to re-assign the SOR so that the SOR Coordinator can assume the role of SOR Initiator. The SOR Coordinator will ensure that the SOR Ministry Lead is also made aware of this change.

When possible, a copy of the Manual SOR update(s) will be uploaded by the SOR Coordinator as a supporting document under the “Further Details” section in SOR-RL.

The following files types can be uploaded as supporting documents:

- Graphics: gif, jpeg, png, pdf
- Documents: pdf, rtf, doc, docx, ppt, plain text
- Spreadsheets: xls,xlsx

If the SOR Coordinator is not able to enter the Manual SO updates to SOR-RL, then the Service Provider will enter all the information into SOR-RL once it becomes available.

When the ministry and the Service Provider are unable to access SOR-RL, the update provided using a Manual SOR becomes the only source of accessible information and is the official SO Report. The ministry will manually record all recommendations and actions taken to address the serious occurrence including any updates and will record the date and time of each interaction. The SOR Coordinator will upload all Manual SO reports, updates and all received documentation when SOR-RL becomes operative.

2. The Service Provider will inform the SOR Coordinator and/or SOR Lead when they have access to SOR-RL.
 - 2.1. If an update to a Manual SOR was uploaded and entered to SOR-RL by the SOR Coordinator, then a request to the SOR-RL User Support Centre will be made to re-assign the SOR back to the Service Provider so they can resume the role of SOR Initiator.
 - 2.2. The SOR Coordinator will notify the Service Provider and the SOR Lead that the SOR has been transferred back to the Service Provider.
 - 2.3. The Service Provider will verify that the information in SOR-RL is correct and that the Manual SOR update report(s) has been uploaded into SOR-RL.

- 2.4. The Service Provider will enter any additions, corrections, and updates in SOR-RL and upload the Manual SOR report if needed.
- 2.5. Until the SOR Lead deems that no further action is required from the Service Provider, Service Providers are required to provide updates in SOR-RL as new information becomes available and no later than 7 business days after submitting the initial SOR. In addition, the ministry may request updates at any time.

Terms used in the Manual SOR template

The following terms are used within the Manual SOR template.

Legal Guardian Status:

- Child in extended society care
- Interim society care
- Temporary Care Agreement
- Continued Care and Support for Youth
- Customary Care
- In Parental/Guardian(s) Care
- Legally independent adult
- Office of the Public Guardian and Trustee
- Other (Please specify)

Ministry Contact or Designate: Depending on the program or service type, a designated ministry contact will be assigned by region, corporate office and/or by program service.

Supporting Documents: Any supporting documentation that the Service Provider or the ministry deems necessary to support the review of the SOR. Examples of a supporting document (but not limited to) are the Manual Serious Occurrence report, media or news report or a corresponding incident report.

SOR Coordinator: The ministry staff who has system administrative tasks of maintaining SOR Lead portfolios. Other roles include:

- Monitor SOR submissions for backlog of ministry review / actions
- Assigns submitted SORs
- Manual entry of faxed SORs (non-YJSD) into SOR-RL on behalf of service provider
- For YJ Services-YJSD Centralized Coordinator or the YJSD Centralized Support has the same role

SOR Initiator: The ministry staff or the service provider responsible to enter the serious occurrence in SOR-RL.

SOR Lead: The ministry person who is assigned and is the responsible staff for reviewing and performing follow-up with service providers on SORs. Other roles include:

- Upload contentious issue reports, any documentation to SOR-RL
- Redaction of information
- For YJ Services-YJSD Centralized Coordinator or the YJSD

Centralized Support has this role.

Youth Justice YP Identifying Factors:

- Open Custody
- Open Detention
- Secure Custody
- Secure Detention
- Probation
- Probation Detention
- Extrajudicial Sanctions
- Extrajudicial Measures
- Community Programs

Serious Occurrence Categories and Subcategories

Category	Subcategories
Death	<ul style="list-style-type: none"> ▪ Suicide ▪ Violence/homicide ▪ Accidental - Choking, fall, falling object, fire, motor vehicle accident, poisoning (i.e. alcohol, etc.), or other (specify) ▪ Known illness or other natural cause ▪ Unknown cause
Serious injury	<ul style="list-style-type: none"> ▪ Accidental - Choking, fall, falling object, fire, motor vehicle accident, poisoning (i.e. alcohol, etc.), or other (specify) ▪ Aggressive behaviour ▪ Self-harm ▪ Unknown cause ▪ During a physical restraint, mechanical restraint, or placement in a secure de-escalation room ▪ Other (specify)
Serious illness	<ul style="list-style-type: none"> ▪ Mental health ▪ Communicable disease ▪ Other disease, illness or infection ▪ Unknown cause
Serious individual action	<ul style="list-style-type: none"> ▪ Suicidal behaviour ▪ Assaults ▪ Contraband/safety risk ▪ Inappropriate/unauthorized use of information technology (IT) ▪ Unauthorized individual absence ▪ New serious charges ▪ Relinquishment of care/threat of relinquishment of care ▪ Other (specify)
Restrictive intervention	<ul style="list-style-type: none"> ▪ Physical restraint ▪ Mechanical restraint ▪ Secure de-escalation
Abuse or mistreatment	<ul style="list-style-type: none"> ▪ Physical abuse ▪ Emotional harm ▪ Neglect ▪ Exploitation ▪ Sexual abuse
Error or omission	<ul style="list-style-type: none"> ▪ Medication error ▪ Improper detainment/commitment ▪ Improper release ▪ Breach or potential breach of privacy/confidentiality
Serious complaint	<ul style="list-style-type: none"> ▪ Rights-based ▪ Service-related

Manual Serious Occurrence Report (Manual SOR)

Section 1: Context

Please indicate the reason for submitting the Manual SOR to the ministry rather than reporting the Serious Occurrence through the SOR-RL online tool, including any actions taken.

--

- New SOR
- Update to existing Manual SOR
- Update to existing SOR submitted through SOR-RL (SO ID #, if known: _____)

If submitted outside of the required reporting timelines, please indicate the reasons why:

--

1a. Site Information

Region: <input type="checkbox"/> Central <input type="checkbox"/> East <input type="checkbox"/> North <input type="checkbox"/> Toronto <input type="checkbox"/> West <input type="checkbox"/> Youth Justice Directly Operated Facility <input type="checkbox"/> Probation Office
Legal Name of Service Agency:
Program Site Name of the Service Agency:
Program Site Address Line 1:
Program Site Address Line 2:
TPR# (Transfer Payment Recipient number from the service contract):
Licence ID (for licensed children’s residences and foster care programs):

1b. Serious Occurrence Details

Level of SOR:

To determine SOR levels, refer to the *MCCSS Serious Occurrence Reporting Guidelines* for definitions and reporting requirements.

- Level 1 (report to Ministry within 1 hour) Level 2 (report to Ministry within 24 hours)

Date and Time of Serious Occurrence:

Date (yyyy/mm/dd):	
Time (hh:mm xm):	

Date and Time of becoming aware of the SO/incident being deemed an SO:

Date (yyyy/mm/dd):	
Time (hh:mm xm):	

Date and Time of Notification (by phone or email) to Ministry (if applicable):

Date (yyyy/mm/dd):	
Time (hh:mm xm):	
Ministry contact:	

Section 2: Individuals Involved

Provide a numeric value for each involved individual and all related details. Attach additional pages as needed. Please refer to the Manual SOR Business Process Glossary of Terms.

Additional pages for Section 2 attached

Number of individuals involved in the occurrence

SO does not involve individuals (e.g. an SO relating to a site only)

Individual(s) (if applicable) Provide each individual with a number (i.e. Individual #1, etc.). Do not include names or initials.	Age (do not include date of birth)	Program at time of serious occurrence	Identifier (if applicable) (ex. CPIN #, DSCIS #, YOTIS #)	Legal Guardian Status (include all that apply)	Youth Justice YP Identifying Factors (if applicable)	Placing Agency (if applicable)
Individual # (e.g. Individual #1)						
Individual #						
Individual #						

Section 3: Serious Occurrence Categories

List each individual involved in the SO and identify all SO categories and subcategories applicable for each. Refer to the *MCCSS Serious Occurrence Reporting Guidelines*. Attach additional pages as needed.

- Additional pages for Section 3 attached
- SO does not involve individuals (e.g. an SO relating to a site only)

Individual(s) (if applicable) Please include all individuals (with their corresponding number) from section 2	SO Category(ies) and Subcategory(ies) Please list all categories and subcategories applicable to the individual(s), according to the <i>MCCSS Serious Occurrence Reporting Guidelines, 2019 or Manual SOR Business Process Appendix A</i> .
Individual #	
Individual #	
Individual #	

Section 4: Current Condition and Notifications

Please indicate the current condition with respect to circumstances of each individual involved in the SO and all notifications made related to the individual. Attach additional pages as needed.

- Additional pages for Section 4 attached
- SO does not involve individuals (e.g. an SO relating to a site only)

Individual(s) (if applicable) Please include all individuals (with their corresponding number) from section 2	Current Condition of Individual	Notifications Please indicate all notifications made as a result of the serious occurrence. Reporting requirements and notifications vary by SOR category. Please refer to the <i>MCCSS Serious Occurrence Reporting Guidelines</i> .
Individual #		
Individual #		
Individual #		

Section 5: Description, Updates, Further Details and Sign-Off

Serious Occurrence Description and Further Details

Refer to the *MCCSS SOR Guidelines* to determine the specific information required, including SOR Categories and subcategories, and the description for each type of SO, as these requirements vary depending on the SO category/subcategory.

Do not include full names or initials of individuals involved in the occurrence, including staff persons, guardians, or other individuals who would be identifiable through the inclusion of their personal information in this document. Please refer to individuals with non-identifying terms, such as parent, sibling, staff A, staff B, YSO #1, YSM, etc.

Minimum required information to include:

- What happened and where in chronological order
- Precipitating factors
- If incident involved an alleged criminal offence
- Current condition of the individual(s)
- Service Provider action; if applicable
- Any media attention

- Additional pages for Section 5 attached (attach additional pages as needed)
- SO has received, or is expected to receive, media attention (specify in the description below)

5a. Description of serious occurrence (see minimum requirements above)

5b. Further action proposed by Service Provider: (Include what steps you plan to take to respond to the serious occurrence and any follow up)

5c. Direction, if any, provided by Ministry: Include any direction provided by the ministry including the ministry staff name and method of contact

5d. Supporting Documents, if any (Please list):

Section 6: Sign-Off

Reported by:

Name:

Position:
Phone:
Email:

Approved by:

Name:
Position:
Phone:
Email: