



Serious Incident Reporting Policy

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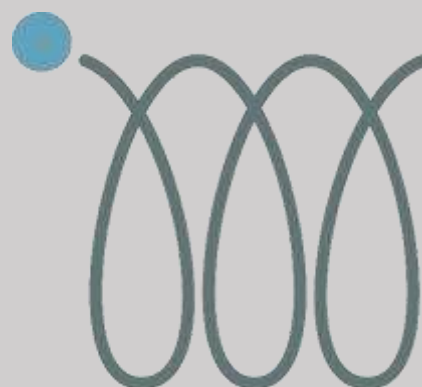
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Board of Trustees

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1. Introduction

This policy outlines how Grace Foundation identifies, reports, and manages serious incidents to comply with its legal and regulatory obligations and maintain trust with stakeholders. It ensures incidents are handled appropriately and in a way that safeguards the charity's beneficiaries, staff, and reputation.

2. Purpose and Scope

Grace Foundation is committed to transparency and accountability in its operations. We recognise the importance of identifying and reporting serious incidents promptly to the Charity Commission and other relevant authorities. This policy ensures all serious incidents are addressed effectively to protect our organisation and its stakeholders.

This policy applies to all staff, volunteers, trustees, and any representatives of Grace Foundation. It covers incidents that occur during the charity's activities or impact the charity's ability to operate.

Grace Foundation receives HR, IT, and Financial services from IMG (UK) Holdings Ltd and its subsidiary entities (collectively referred to as IMG). Any mention of IMG in relation to Grace Foundation pertains to these entities.

This policy is entirely non-contractual and does not form part of an employee's contract of employment.

3. Definitions

3.1 Serious Incident:

An event that has resulted in or risks causing significant harm to:

- Beneficiaries, staff, or volunteers.
- The charity's reputation or assets.
- The charity's ability to deliver its services.

3.2 Examples of Serious Incidents

- Safeguarding issues: Allegations of abuse or harm to a beneficiary or staff member.
- Financial irregularities: Fraud, theft, or significant loss of funds.
- Significant harm to reputation: Negative media coverage affecting public trust.
- Data breaches: Loss of sensitive personal or organisational data.
- Criminal activity: Offences involving the charity's operations or representatives.

4. Responsibilities

4.1 Trustees

- Hold ultimate responsibility for ensuring serious incidents are reported to the Charity Commission.
- Work collaboratively to assess, report, and manage incidents.

4.2 Senior Leadership Team

- Acts as the primary lead for managing and reporting serious incidents.
- Ensures the Board of Trustees is informed promptly.

4.3 Staff and Volunteers

- Have a duty to report any potential serious incidents to their line manager who in turn will notify the Executive Director or a member of the Senior Leadership Team as soon as possible. If there is a conflict of interest, a member of the Senior Leadership Team must be contacted directly.

5. Reporting a Serious Incident

5.1 Internal Reporting

Step 1: Identify the incident and notify the Senior Leadership Team immediately.

Step 2: The Senior Leadership Team will assess the incident to determine its seriousness based on Charity Commission guidelines working with the CEO.

Step 3: The incident is logged in the Serious Incident Register, detailing:

- Nature of the incident.
- Date and time it occurred.
- Actions taken so far.

5.2 Reporting to the Charity Commission

If the incident meets the threshold for reporting, the trustees must submit a Serious Incident Report via the Charity Commission's online portal.

The report will include:

- A description of the incident.
- Immediate actions taken to minimise harm.
- Long-term measures to prevent recurrence.
- Impact on the charity's operations, beneficiaries, or assets.

5.3 Reporting to Other Authorities

In certain cases, serious incidents must also be reported to:

- Police: For criminal activity.
- Local Safeguarding Board: For safeguarding concerns.
- Information Commissioner's Office (ICO): For data breaches.
- Funders or Partners: If required by agreements.

6. Managing a Serious Incident

6.1 Immediate action

- Protect any affected individuals, such as beneficiaries or staff.
- Notify the relevant stakeholders to support. (e.g., GDPR, IT).
- Secure any relevant evidence (e.g., financial records, emails).
- Notify insurers if the incident may lead to a claim.

6.2 Investigation

- Follow the relevant policy depending on nature of the incident.
- Appoint a lead investigator (e.g., Executive Director or an external party).
- Conduct a thorough investigation to:
 - Identify the root cause of the incident.
 - Assess the impact on the charity.
 - Recommend actions to address the incident and prevent recurrence.

6.3 Communication

- Inform stakeholders, such as staff, partners, or beneficiaries, where appropriate.
- The Senior Leadership Team will manage media enquiries carefully to protect the charity's reputation. The charity will use internal legal advice and press consultancy when needed.

6.4 Follow-up

- Implement recommendations from the investigation.
- Monitor the effectiveness of preventive measures.

7. Approval and Review

The Risk Register will be reviewed on an ongoing basis, and any updates will be shared at Trustees Meetings. This policy will be reviewed every two years.

Approval Date: March 2025

Next Review Date: March 2027