

Henry, Duke of Cleveland Charity
Registered charity No. 221407
Member of the Almshouse Association (No. 1360)

Serious Incident Policy

1. Purpose and Scope

This Serious Incident Policy outlines the Henry, Duke of Cleveland Charity's commitment to promptly identify, manage, and report any serious incidents to the UK Charity Commission as required by charity law. A serious incident is defined as an adverse event, whether actual or alleged, that results in significant harm to people, loss of assets, damage to property, or harm to the charity's reputation or its work.

2. Definition of a Serious Incident

Serious incidents include, but are not limited to:

- Harm to people: Harm to the charity's beneficiaries, staff, volunteers, or others who come into contact with the charity
- Loss of money or assets: Financial loss through fraud, theft, or other means
- Damage to property: Serious damage to the charity's property, premises, or equipment
- Reputation or work: Damage to the charity's reputation or ability to deliver its objectives effectively

3. Examples of Serious Incidents

The following are examples of situations that may be considered serious incidents and thus require reporting:

- Fraud, theft, or other financial irregularities
- Abuse or mistreatment of staff, volunteers, or beneficiaries
- Significant data breaches that could compromise the privacy or safety of individuals
- A trustee or senior manager being disqualified from their role
- Links to terrorism or extremism
- Insolvency or significant financial distress

4. Reporting Procedure

If a serious incident occurs, the following steps must be taken:

Internal Notification: The incident should be reported immediately to the Chair of the Trustees. If the Chair is unavailable, another designated trustee should be notified.

Trustee Notification: The Chair of the Trustees will inform the full Body of Trustees of the incident to determine the necessary course of action.

Assessment of Severity: The Trustees will assess the incident in line with the Charity Commission's guidelines to determine if it meets the threshold for serious incident reporting.

5. External Reporting to the Charity Commission

If an incident is deemed reportable to the Charity Commission, the report must include:

- Incident details: A description of the incident, including the type and extent of harm, loss, or damage.
- External Reporting: Whether the incident has been reported to other relevant regulators or statutory bodies (e.g., the police or Information Commissioner's Office).
- Media or Public Communication: Details of any media or public statements prepared or released in response to the incident.
- Reporting on Behalf of Multiple Charities: If applicable, confirmation of authority to report on behalf of more than one charity, including any formal authoriaation from these charities.

6. Record Keeping and Incident Review

The Clerk will maintain a record of all serious incidents reported, including actions taken and lessons learned. Following each incident, the Trustees will review and update relevant policies and procedures to mitigate the risk of recurrence.

7. Annual Reporting

The Charity will include an overview of serious incidents in its annual report, as per Charity Commission requirements, while ensuring confidentiality and sensitivity to those affected.

8. Training and Awareness

All staff, volunteers, and trustees will be trained on this policy to ensure they understand their responsibilities in identifying, escalating, and reporting serious incidents.

9. Policy Review

This policy will be reviewed annually or after any significant incident to ensure compliance with Charity Commission guidelines and best practices.

10. Approval

This policy has been approved by the Body of Trustees of The Henry, Duke of Cleveland Charity:

Signature:

Position:

Date: