

AVP Stoke Serious Incident Reporting Policy and Procedure

1. Policy Statement

AVP Stoke is committed to upholding the highest standards of governance, integrity, and safety. In line with Charity Commission guidance, this policy sets out how AVP Stoke identifies, manages, and reports serious incidents that could harm people, the charity, or its reputation.

This policy is designed to:

- Ensure serious incidents are recognised and dealt with appropriately.
 - Fulfil legal duties to report relevant incidents to the Charity Commission.
 - Protect beneficiaries, staff, volunteers, and the reputation of AVP Stoke.
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2. What is a Serious Incident?

A serious incident is an adverse event that results in or risks significant:

- Harm to people who come into contact with AVP Stoke (e.g., safeguarding concerns)
- Loss of charity funds or assets
- Damage to property or the charity's reputation
- Harm to the work of the charity, including criminal activity, fraud, or cyber-attacks
- Governance failure

Examples include:

- A safeguarding incident involving a child or adult at risk
- Significant financial loss (theft, fraud, major donation misuse)
- Data breach involving personal or sensitive information
- A serious injury or death during a charity activity
- A serious governance dispute or mass resignation of trustees

3. Responsibilities

Trustees have a legal duty to:

- Protect the charity's assets, people, and reputation.
- Take appropriate action and report serious incidents to the Charity Commission promptly.

Designated Safeguarding Lead (DSL): Daniel Stevenson

Deputy DSL: Angela Smith

They are responsible for safeguarding-related reporting but must also notify the board of trustees.

4. Internal Reporting Procedure

1. Recognise the Incident

Anyone involved in AVP Stoke (staff, volunteer, trustee) must immediately inform the DSL or a trustee of any incident they believe may be serious.

2. Record the Details

Use AVP Stoke's Incident Report Form to record:

- What happened
- Who was involved or affected
- Date, time, location
- Immediate actions taken
- Supporting evidence (emails, witness statements, etc.)

3. Initial Assessment

The Chair of Trustees and DSL will assess the seriousness, urgency, and impact.

4. Take Action

Immediate safeguarding, legal, or disciplinary actions must be taken as appropriate.

5. Reporting to the Charity Commission

If the trustees determine that the incident is serious and reportable, they will:

- Submit a report to the Charity Commission using its online serious incident reporting form.
- Act promptly—ideally within a few days of the incident.
- Provide updates as the situation develops or is resolved.

Link to reporting form:

<https://ccforms.charitycommission.gov.uk/report-a-serious-incident/>

6. Reporting to Other Agencies

Depending on the nature of the incident, the charity may also be required to report to:

- Police (criminal activity)
- Local authority (safeguarding)
- Information Commissioner’s Office (data breaches)
- Health and Safety Executive (injuries, accidents)

AVP Stoke will comply with all relevant statutory reporting duties.

7. Confidentiality and Data Protection

All reports will be handled sensitively and confidentially in line with UK GDPR and data protection law. Access to reports will be restricted to those who need to know.

8. Learning and Review

Following resolution, trustees will:

- Review what went wrong and why
- Record lessons learned

- Make changes to prevent recurrence
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9. Monitoring and Review of Policy

This policy will be reviewed annually or sooner if legislation or Charity Commission guidance changes.

Last reviewed: 1st January 2025