

## Serious Incident Reporting Policy

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**The Duke of Edinburgh's Award Foundation Bangladesh**



## 1. Purpose

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The purpose of this policy is to ensure that there is a systematic process for reporting, managing and learning from serious incidents. The aim is to ensure that all serious incidents are reported to the Foundation in a timely manner, to ensure that lessons are learned and that risks are managed.

The policy sets out a positive, non-punitive approach to the reporting of serious incidents, and is one element of a proactive framework for risk management, reputation management and quality assurance.

This policy applies to all staff and volunteers and members of The Duke of Edinburgh's Award Foundation Bangladesh (the DEA Bangladesh).

## 2. Definition

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A serious incident requiring investigation is defined by the Charity Commission as an incident that results in, or risks, significant:

- harm to the DEA Bangladesh's work, beneficiaries, staffs, volunteers or reputation;
- loss of the DEA Bangladesh's money or assets; or/and
- damage to the DEA Bangladesh's property.

The following list of examples of incidents which fall within in the definition of "serious incident":

- significant financial loss to the DEA Bangladesh (including through fraud or theft);
- significant sums of money or other property donated to the DEA Bangladesh from an unknown or unverified source;
- serious criminality and/or illegal activity within or involving the DEA Bangladesh (including fraud and money laundering);
- deliberately using the belongings of the DEA Bangladesh for significant private advantage;
- where the DEA Bangladesh's independence is seriously called into question;

- other significant non-compliance, breaches of trust or abuse that otherwise impact significantly on public trust and confidence in the DEA Bangladesh.

### **3. Guiding Principles**

The context of this policy is a commitment by the DEA Bangladesh to reduce serious incidents and promote a culture of openness and learning. The policy uses a risk based diagnostic of serious incidents to reduce the risk of incidents occurring in the future and to support staffs in their learning and development.

The overriding principle of this policy is that the first priority is to ensure safe practices and every opportunity is taken to learn lessons from incidents which occur. Action under the disciplinary procedures will only be considered where there has been willful negligence, professional misconduct or breach of law.

The policy will ensure that higher authority is made aware of Serious Incidents quickly so that action can be taken, if necessary, to protect the reputation of the DEA Bangladesh and its employees.

### **4. Reporting Procedures**

If an individual becomes aware of an incident, this must be reported to the Executive Committee via National Director/Programme Manager. Together they must determine whether this constitutes a 'Serious Incident' and needs to be reported to the Board of Trustees and the Foundation.

- In the event that the incident is not deemed to constitute a serious incident or is a 'near miss', details will be reported to National Director/Programme Manager.
- Upon deciding that the incident does constitute a 'Serious Incident' the employee or volunteer should raise and discuss the issue in monthly Executive Committee meeting.
- The Chairman of Executive Committee will then notify the Board of Trustees.
- The Executive Committee has overall responsibility for the investigation, recording and formulation of an action plan to deal with the serious

incident. During investigation the Board of Trustees will be kept fully informed of progress by the Chairman of Executive Committee

- The Executive Committee will liaise with the Board of Trustees and decisions will be made as to who reports the Serious Incident.
- The serious incident will be reported to the Foundation by the Chairman of the Board of Trustees or the Chairman of Executive Committee on behalf of the Board of Trustees.
- The Chairman of the Board of Trustees (Chairman of Executive Committee, in cases) will act as the point of contact with the Foundation and will coordinate any further requests for information as part of their on-going investigation.

## **5. Learning from Serious Incidents**

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It is vital that once the Executive Committee has concluded its investigation, the findings are fully implemented and an evaluation report is produced, so the DEA Bangladesh can demonstrate that it has learned from the incident and can reassure the Board of Trustees and the Foundation that it has:

- investigated the incident so as to clearly identify the nature, scope and impact of the incident;
- taken steps to cease/mitigate the impact of the incident, whether on the DEA Bangladesh or on beneficiaries; and
- learnt lessons from the incident, i.e. identifying and taking steps to prevent similar incidents from occurring in the future.
- The Executive Committee will produce an implementation plan and present the evaluation report to the Board of Trustees meeting. A timetable for this will be agreed on a case by case basis.