

# Serious Incident Reporting Policy

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The Duke of Edinburgh's International Award Foundation

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Version: 1.0



## 1. Version control

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Version	Date	Author	Notes
1.0	05 August 2019	Operations	Interim policy – pending approval by International Trustees.

## 2. Relevant policies

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1. Safeguarding policy
2. Whistleblowing policy
3. Data protection policy

### 3. Contents

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## 1. Serious Incident Reporting Policy

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- 1.1. The Duke of Edinburgh's International Award Foundation (the Foundation) requires all licensed Operators of The Duke of Edinburgh's International Award (the Award) to report, as soon as possible, any serious incident, complaint and possible claim to the Foundation that may provoke significant adverse publicity or financial liability for Operator or Foundation. Licensed Operators are required to keep the Foundation informed about the progress on any of these matters.
- 1.2. If a serious incident takes place that is associated with the Award, it is important that there is prompt, full and frank disclosure to the relevant authorities and regulator in the relevant country or jurisdiction. Operators should normally report to the Foundation once the relevant authorities have been informed.
- 1.3. The responsibility for reporting serious incidents on behalf of the Foundation rests with the Foundation's International Trustees.
- 1.4. The focus of this policy is to provide licensed Operators with guidance to determine what is a serious incident, what to report, to whom and when. The primary purpose of the policy is to govern serious incident reporting within the International Award Association. If a reportable incident involves actual or alleged criminal activity, then licensed Operators must also report it to the relevant agencies in the country or jurisdiction where incident occurred.

***This policy is in development and is subject to change –any changes will be communicated to licensed Operators.***

## 2. What is a serious incident?

- 2.1. A serious incident is an adverse event, whether actual or alleged, which results in or risks significant:
  - I. harm to the Award's beneficiaries, staff, volunteers or others who come into contact with a licensed Operator of the Award
  - II. loss of the Foundation's or a licensed Operator's money or assets
  - III. damage to the Foundation's property
  - IV. harm to the Foundation, licensed Operator and/or the Award's work or reputation
  - V. systems failure and technology failure leading to significant business impact

## 3. Deciding what to report and when

- 3.1. Licensed Operators must report an actual or alleged serious incident promptly. This means as soon as is reasonably possible after it happens, or immediately after the Operator becomes aware of it.
- 3.2. The categories for reporting serious incidents are very broad and are summarised as follows:

- I. **protecting people and safeguarding incidents** – incidents that have resulted in or risk significant harm to beneficiaries and other people who come into contact with the Operator through its work. Please refer to the Foundation's Safeguarding Policy for further guidance and requirements.
- II. **financial crimes** – fraud, theft, cyber-crime and money laundering
- III. **large donations from an unknown or unverifiable source, or suspicious financial activity using the Foundation's funds**
- IV. **other significant financial loss**
- V. **major systems failure** – such as failure or major data breach with the Online Record Book, Award Community and Alumni platforms.
- VI. **links to terrorism or extremism**, including 'proscribed' (or banned) organisations, individuals subject to an asset freeze, or kidnapping of staff or Award volunteers
- VII. **other significant incidents**, such as – insolvency, forced withdrawal of banking services without an alternative, significant data breaches/losses or incidents involving partners that materially affect the Operator

6.3. The UK Charity Commission has produced a useful table to inform UK based charities on what to report in these scenarios. See [here](#).

6.4. Finally, any incident that is reported should be fully risk assessed and not made if they may cause further harm to the victim/survivors or due process and operation of the rule of law is not reasonably assured.

#### 4. Who should report

4.1. The responsibility for reporting serious incidents on behalf of a licensed Operator to the Foundation rests with the licensed signatory of the Operator:

- I. **National Award Operators or Operating Partners** - the Board of a National Award Operator or Operating Partner should be consulted and informed by the National Director before reporting to the Foundation. In practice, the National Director may report on behalf of the Board and licensed signatory.
- II. **Independent Award Centre** – the obligation rests with the licensed holder, typically a Principal or Director of the school or organisation licensed as an Independent Award Centre. In practice, the Award Coordinator should consult and inform the Senior Management Team of their organisation before reporting to the Foundation.

7.2. The responsibility for reporting serious incidents on behalf of the Foundation rests with the Foundation's International Trustees. The Foundation's Director of Operations is required to report all serious incidents to the International Trustee with designated responsibility for safeguarding, serious incidents and their oversight.

## 5. Who to report a serious incident to

- 5.1. If a serious incident takes place, it is important that there is prompt, full and frank disclosure to the relevant authorities and/or regulator in the relevant country or jurisdiction. Licensed Operators should only report to the Foundation once the relevant authorities have been informed.
- I. **National Award Operators and Operating Partners** – should report any incident to the relevant Regional Office in the first instance.
  - II. **Independent Award Centres** – should report any serious incident to the Operations Team in the first instance: [operations@intaward.org](mailto:operations@intaward.org)

## 6. Reporting criminal activity

- 6.1. If a reportable incident involves actual or alleged criminal activity then a licensed Operator must report it to the relevant agencies:
- I. **safeguarding incidents:** you should report allegations or incidents of abuse or mistreatment of people who come into contact with the Award to:
    - a) the police and obtain a crime reference number (if relevant in your country / jurisdiction), and
    - b) the local authority and other relevant Government agencies
  - II. **fraud and cyber-crime:** you should report allegations or incidents of fraud and cyber-crime to the relevant Government agency.
  - III. **theft:** you should report allegations or incidents of theft to the police and obtain a crime reference number (if relevant in your country / jurisdiction),
  - IV. **links to terrorism and extremism:** you should report links or alleged links to terrorism and extremism to the police and obtain a crime reference number (if relevant in your country / jurisdiction)

## 7. Complaints procedure

- 7.1. The Foundation recognises that there will be occasions when someone wishes to complain about how Award activities are managed, how services are delivered or due to the conduct of an Award staff member or volunteer. The complaints procedure, as set out in the International Handbook for Award Leaders is as follows.
- 7.2. In the first instance, the complainant and Award Centre or National Award Operator must try to resolve the issue informally. If this cannot occur, the following process must be followed:
1. The Foundation will designate a suitable member of staff to seek a resolution.
  2. The designated member of staff will acknowledge and confirm the complaint within 5 working days.
  3. The Foundation will seek to resolve the complaint within one month.

4. Any outcome will be provided in writing to ensure that all are correctly informed and that any review or remedial action is carried out.

10.3. If the complaint is not resolved and the complainant wishes to appeal, final resolution will be coordinated by the Foundation.

## **8. Further information**

8.1. For further information or to discuss any aspect of this policy, please contact your Regional Office or Operations Manager in the case of an Independent Award Centre.