

# Serious incident reporting

## Policy statement



United Kingdom  
Mathematics Trust

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As a charity, we are expected to report serious incidents as soon as we are aware of them. Failure to do so could result in further investigation and punitive sanctions from the Charity Commission.

Reporting a serious incident demonstrates that we have identified a risk to our property, work, beneficiaries or reputation, and that we are taking appropriate action to manage it.

## 1. The purpose and scope of this policy statement

- 1.1 This policy outlines our approach to identifying, investigating and reporting serious incidents to the Charity Commission.
- 1.2 It explains what is meant by a serious incident and when and how we will report to the Charity Commission.
- 1.3 This policy applies to anyone carrying out work on behalf of the UKMT, including the Board of Trustees, volunteers, paid staff and agency staff.
- 1.4 Charity Law requires trustees to complete a declaration about whether any serious incidents have taken place as part of the Annual Return.
- 1.5 The Charity Commission also requires us to report to them all serious incidents of high risk as soon as possible.

## 2. What are UKMT expected to report?

- 2.1 A 'serious incident' is an incident which has resulted or could result in a significant loss of funds or a significant risk to our property, work, beneficiaries or reputation.
- 2.2 Incidents which are considered to be serious include, but are not limited to, the following:
  - Fraud, theft or other significant loss;
  - Any actual or suspected criminal activity within or involving the UKMT;
  - A large donation from an unknown or unverified source;
  - Links to terrorism or to any organisation that's 'proscribed' due to terrorist activity;
  - A disqualified person acting as a trustee;
  - Not having 'vetting' procedures in place to check the suitability of prospective employees or volunteers;
  - Where our actions are called into question due to acting outside our statutory remit or inappropriate use of funds; or
  - Other significant non-compliance, breaches of trust or abuse that otherwise impact significantly on public trust and confidence in the UKMT and charities generally.

2.3 In addition to the list of 'serious incidents', we are also expected to report an incident if:

- The incident is also reported to the police or other statutory agencies (unless it is a technical or minor issue that poses little or no risk);
- The UKMT, or volunteers, paid staff or agency staff in connection with their role within the UKMT, are the subject of a police or other statutory agency investigation;
- If decided that the incident presents a serious or significant risk to the UKMT, or beneficiaries, reputation or assets;
- The internal risk assessment of the incident concludes that we should act to avoid a serious or significant risk to the charity, our beneficiaries, reputation, services or assets; or
- Our professional advisers have advised us to notify the Charity Commission of the incident.

2.4 Appendix A details the process to report a serious incident.

2.5 After consideration by the Board of Trustees, a serious incident should be reported through the [Charity Commission's online form](#).

### **3. Roles and Responsibilities**

- 3.1 UKMT Executive Director, Chair of Risk and Compliance Committee and Chair of Board of Trustees are responsible for providing assurance that appropriate mitigating action has been taken and oversee that all relevant incidents are reported to the Charity Commission immediately and in the annual declaration form.
- 3.2 The Senior Leadership Team is responsible for managing any serious incident as part of the Serious Incident Group.
- 3.3 Responsible Manager is any manager who is alerted to the issue and is responsible for ensuring that the incident is reviewed immediately with the Executive Director to determine if it is serious.
- 3.4 The Executive Director is responsible for overseeing that action has been taken to minimise ongoing risk and confirming with all Committee Chairs on a quarterly basis that all incidents have been reported and are included in the annual return.
- 3.5 The Senior Leadership Team maintains a log of all incidents (serious or not and including near-misses), records any lessons learnt and submit figures to the Board of Trustees.
- 3.6 Anyone carrying out work on behalf of the UKMT, including the Board of Trustees, volunteers, paid staff and agency staff is required to identify and report any serious incidents which occur, and act to minimise risk where appropriate.

### **4. Compliance**

4.1 If UKMT fails to report a serious incident, the Commission may interpret non-disclosure as mismanagement and may take regulatory action.

### **5. Transparency**

5.1 UKMT will report on our incidents (and near misses) at each meeting of the Board of Trustees.

### **6. Policy Governance and Related Policies**

6.1 This Policy is owned by the UKMT's Risk and Compliance Committee and will be reviewed and recommended for approval to the Board of Trustees.

6.2 This policy statement should be read alongside all our other policies, procedures and related documents, including:

- Risk Policy

6.3 This Policy is owned by the UKMT's Risk and Compliance Committee and will be reviewed and recommended for approval to the Board of Trustees.

## Appendix A: How to report and manage serious incidents process

1. If you are a volunteer, member of paid staff or agency staff and you have identified or been notified of a serious incident, it must be immediately reported to the line manager or Committee Chair, or the Executive Director in their absence.
2. If you are a member and you have identified or been notified of a serious incident, it must be immediately reported to the Committee Chair (the responsible manager) or Executive Director in their absence.
3. It is important that you and the responsible manager take immediate action to minimise any ongoing risk (this may include commissioning an investigation, in accordance with the internal investigation policy). Specifically, to:
  - Prevent or minimise any further harm, loss or damage
  - Report it to the Commission as a serious incident
  - Report it to the police (and/or other relevant agencies) if you suspect a crime has been committed, and to any other regulators the charity is accountable to
  - Plan what to say to your staff, volunteers, members, the public, the media and other stakeholders, such as funders.
  - Review what happened and prevent it from happening again – this may include reviewing internal controls and procedures, internal or external investigation and/or seeking appropriate help from professional advisers
4. The responsible manager will immediately review the incident with the Executive Director to determine if it is serious.
5. If deemed serious, the responsible manager will inform the following individuals (referred to as the 'Serious Incident Group', or the 'Group'):
  - Executive Director;
  - Senior Leadership Team;
  - Trustee;
  - Chair of Risk and Compliance Committee.
6. Should the Group agree that the incident needs to be reported to the Charity Commission, the relevant person will be asked to coordinate the drafting of a report, using the Charity Commission's detailed guidance on reporting serious incidents to identify what must be included (1).
7. The Group will also ensure that the insurers are informed and legal advice obtained if appropriate.
8. The report will be submitted to the Group for approval, within two working days (where possible) of the decision to report being made.
9. The report will be approved either by the Executive Director or the BoT Chair within one further working day (where possible), and submitted to the Charity Commission by the Chair of Risk and Compliance Committee via the online form(2).

(1) <https://www.gov.uk/guidance/how-to-report-a-serious-incident-in-your-charity>

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