

# Serious incident reporting

## Policy statement



United Kingdom  
Mathematics Trust

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As a charity, UKMT 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, members of staff, etc.
- 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 harm 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, members of 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 The Charity Commission guidance on what to report is available [here](#) and examples of what to report are [here](#).

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

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

3.1 Anyone carrying out work on behalf of the UKMT, including the Board of Trustees, volunteers, members of staff are required to identify and report any serious incidents which occur, and act to minimise risk where appropriate. The action required is detailed in Appendix A point 1.

3.2 The Executive Director, Chair of Risk and Compliance Board 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.

3.3 The Executive Director is responsible for ensuring that action has been taken to minimise ongoing risk and to carry out Appendix A.

### **4. Compliance**

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

### **5. Transparency**

5.1 The Executive Director will report any Charity Commission Serious Incident Reports at each meeting of the Board of Trustees or sooner if deemed appropriate by the Chair of Board of Trustees and to the Risk and Compliance Board Committee.

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

6.1 This policy statement should be read alongside all our other policies, procedures and related documents, including but not limited to:

- [Risk Policy](#)
- [Safeguarding Policy](#)
- [Health & Safety Policy](#)

6.2 This Policy is owned by the UKMT's Risk and Compliance Board Committee and will be reviewed by the Board of Trustees.

## Appendix A: How to report a serious incident

1. When a volunteer has identified or been notified of a serious incident, they must immediately report to a member of staff, who will then report it immediately to the Executive Director. When a member of staff has identified or been notified of a serious incident, it must be immediately reported to the Executive Director.
2. The Executive Director is responsible for the immediate action taken to minimise any ongoing risk which may require delegation to staff or volunteers, and may include:
  - Prevent or minimise any further harm, loss or damage in line with the applicable UKMT policies
  - 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 staff, volunteers, members, the public, the media and other stakeholders, such as funders.
3. The Executive Director will immediately review the incident to determine if it is potentially serious.
4. If deemed serious, the Executive Director will inform the following individuals (referred to as the 'Serious Incident Group'):
  - Executive Director;
  - Chair or delegated Trustee;
  - Professional Legal Advisor.

If any of the above are subject to the serious incident then this will be delegated to the Deputy Director or Vice Chair, or other appropriate nominee.
5. Should the Group agree that the incident needs to be reported to the Charity Commission, the Executive Director 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). The Serious Incident Group may choose to bring in any of the Board Committee Chairs, DSL and professional advisor engaged by UKMT with applicable expertise as part of the Serious Incident Group.
6. The report will be submitted to the Serious Incident Group for approval, within two working days (where possible) of the decision to report being made.
7. The report will be approved either by the Executive Director or the Chair of the Board of Trustees within one further working day (where possible), and submitted to the Charity Commission by the Executive Director or their nominee via the online form (2).
8. The Serious Incident Group will also ensure that the insurers are informed.
9. The Board of Trustees will be informed as detailed in section 5.1.
10. At each meeting of the Risk and Compliance Board Committee the Executive Director or nominee will report on any Charity Commission Serious Incident reports, including the actions taken to mitigate ongoing risks or recurrence.

(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>