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Association for Promoting Retreats

Serious Incident Reporting Policy

1. Purpose

This policy outlines the procedures for identifying, reporting, and managing serious incidents within the Association for Promoting Retreats (APR). It ensures compliance with our charity regulator's guidelines and promotes transparency and accountability.

This guidance is based on that issued by the Charity Commission (England and Wales) but goes beyond it to take into consideration wider issues within the APR and also other regulators. Links to the guidance issued by OSCR and CCNI are in the regulatory guidance section below (Section 9).

2. Applicability

This policy applies to all Trustees, other volunteers, employees, contractors, and third-party representatives of the APR. Its requirements should be reflected in other policies and procedures, agreements and contracts, as necessary.

3. Definition of a Serious Incident

A serious incident is an adverse event, whether actual or alleged, which results in or risks significant:

- Harm to the charity's beneficiaries, staff, volunteers, or others who come into contact with the charity through its work
- Loss of the charity's money or assets
- Damage to the charity's property
- Harm to the charity's work or reputation

4. Investigating an Incident

Any incident that causes an injury or harm should be investigated. For serious incidents it may be necessary to have it formally investigated, or even be investigated by external authorities. However, even if it is only minor and only requires an informal review by line management, the following process should be followed:

- Identify what happened and the extent of any injury or harm
- Assess if there is a serious incident, or other, reporting requirement



- Identify the cause and, in particular, if a mistake was made by someone, and/or there was a weakness in policy or procedures
- Identify what reasonable steps should be taken to prevent or at least mitigate the risk of it happening again, who should take these steps, and a timescale for doing so.

5. Responsibility to Report

The responsibility for reporting serious incidents rests with the APR Board of Trustees. Trustees may delegate the task to an employee or professional adviser, but they retain ultimate responsibility for ensuring timely and accurate reporting.

6. What to Report

Incidents that must be reported include, but are not limited to:

- Fraud, theft, or significant financial loss
- Significant harm to Trustees, beneficiaries, staff, or volunteers
- Major governance issues
- Any other incident that could seriously impact the APR's reputation or operations

The main categories of reportable incident are:

- 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 charity through its work
- Financial crimes – fraud, theft, cyber-crime and money laundering.
- Large donations from an unknown or unverifiable source, or suspicious financial activity using the charity's funds
- Other significant financial loss.
- Links to terrorism or extremism, including 'proscribed' (or banned) organisations, individuals subject to an asset freeze, or kidnapping of staff
- 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 charity.

Examples of what should and should not be reported are contained in the Charity Commission (England & Wales) – [Serious Incident Examples Table – Deciding What to Report](#).

7. How to Report

- **Initial Report:** As soon as a serious incident is identified, it must be reported to the Charity Commission via email at rsi@charitycommission.gsi.gov.uk. The report should include:
 - What happened
 - How the APR is dealing with the incident
 - Any steps taken to prevent a recurrence.



- **Follow-Up Report:** Provide updates as the situation develops and when the incident is resolved.

8. Other Reporting

- **Emergency Services:** The APR will always dial 999 to inform the Police and/or Emergency Services if there is an immediate threat of harm or serious damage to property. The APR will normally inform the Police in the event of suspected or actual criminal activity, serious injury or death, or if an incident poses a significant risk to public safety, such as a bomb threat or large-scale disturbance.
- **Charity:** All serious incidents and any that might be criminal in nature or result in a claim or complaint are to be reported to the APR Board of Trustees and our insurers (currently Zurich Insurance). We will seek advice from professional advisers where and when it is appropriate to do so.
- **Other Regulators:** In addition, depending on the nature of the incident, there may be a requirement to notify other UK regulators. Below is a non-exhaustive list of some:
 - **Disclosure and Barring Service (DBS):** If an individual has been dismissed or removed from working with children or vulnerable adults (or would have been if they had not left first) because they harmed or posed a risk of harm, or there are concerns that an individual may pose a risk of harm to children or vulnerable adults.
 - **Care Quality Commission (CQC):** If the incident occurs in a healthcare setting, such as a hospital, care home, or clinic.
 - **Ofsted (Office for Standards in Education, Children's Services and Skills):** If the incident involves Safeguarding issues or affects the welfare of children and young people.
 - **Department for Education (DfE):** For significant incidents that may impact the operation of educational institutions.

9. Regulatory Guidance

- Charity Commission (England & Wales) – [Serious Incident Examples Table – Deciding What to Report](#)
- Charity Commission E&W – [How to report a serious incident in your charity](#)
- OSCR (Scotland) – [Raise a Concern](#)
- CCNI (Northern Ireland) – [Serious incident reporting: a guide for charity trustees](#)
- HSE – [legal recording and reporting accidents](#)
- HSE – [RIDDOR](#)
- HSE – [RIDDOR Index](#)
- DCMS – [Guidance on reporting safeguarding concerns in a charity](#)

APR Trustees
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