

SERIOUS INCIDENT REPORTING POLICY AND PROCEDURES

Introduction

1. This policy outlines the process for identifying, recording, and reporting serious incidents in accordance with the Charity Commission's guidance. Trustees have a duty to report any serious incident that has resulted, or could result, in significant harm to the Apollo Theatre's beneficiaries, volunteers, members, assets, or reputation.

Definition of a Serious Incident

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

- a. Harm to beneficiaries, volunteers, members or others
- b. Loss of the charity's money or assets
- c. Damage to the charity's property
- d. Harm to the charity's work or reputation

3. Examples include safeguarding concerns, fraud, cybercrime, data breaches, significant governance issues, or material legal disputes.

Legal and Regulatory Context

4. This policy is aligned with the requirements of the Charity Commission for England and Wales, including the guidance '[How to report a serious incident in your charity](#)' (CC47). Trustees must act promptly and cooperate with relevant authorities.

Responsibilities

5. Trustees

- a. Are ultimately responsible for ensuring serious incidents are reported
- b. Must be aware of and follow this policy

6. Designated Safeguarding Lead / Responsible Officer

- a. Coordinates incident recording and reporting
- b. Acts as the main point of contact with the Charity Commission

7. All Volunteers/members

- a. Must report any concerns or incidents to their manager or designated officer without delay

Identification and Internal Reporting

8. Any trustee, member, or volunteer who becomes aware of a potential serious incident must report it immediately to the designated officer or the Chair of Trustees. An internal incident form must be completed within 24 hours and stored securely.

Policy Review

12. This policy will be reviewed annually or after any serious incident to ensure it remains

effective and in line with regulatory guidance.

See Internal Incident Report form below. **External Reporting Procedure**

9. Once an incident is deemed serious, the following steps must be taken:

a. Notify the full board of trustees

b. Prepare a report with details of:

(1) What happened

(2) When and where it occurred

(3) Who was involved

(4) Immediate actions taken

(5) Further steps being taken to manage the incident

c. Submit the report to the Charity Commission via their online form as soon as possible

d. Notify other regulators or authorities (e.g. police, ICO) where appropriate

Record-Keeping

10. The charity will maintain a central log of all serious incidents reported internally and externally. This log will include dates, nature of the incident, actions taken, and outcomes. Confidentiality will be maintained as far as possible.

Review and Learning

11. All serious incidents will be reviewed to identify lessons learned. Trustees will consider whether policies, procedures, or practices need to be amended to prevent recurrence.

Policy Review

12. This policy will be reviewed annually or after any serious incident to ensure it remains effective and in line with regulatory guidance.

See Internal Incident Report in Appendix 1

Version 1

Next Review Nov 2026.

Appendix 1

Apollo Theatre Isle of Wight) Trust Serious Incident Report Form

CONFIDENTIAL WHEN COMPLETED – FOR INTERNAL USE ONLY

1. Incident Details

- **Date of Incident:** [DD/MM/YYYY]
- **Location:** [Specify where the incident occurred]
- **Description of Incident:**

(Provide a detailed summary of the event, including how and when it was discovered.)

- **Category:** [Financial fraud / Cybersecurity breach / Safeguarding / Governance issue / Other]

2. Impact Assessment

- **Affected Individuals or Areas:** [Describe who or what was impacted]
- **Potential Consequences:** [Reputational damage, financial loss, operational disruption]
- **Urgency Level:** [Low / Medium / High]

3. Actions Taken

- **Immediate Response:** [Detail actions taken to contain the incident]
- **Stakeholders Informed:** [List parties informed, e.g., trustees, legal advisors]
- **Preventative Measures:** [Describe long-term actions to prevent recurrence]

4. Trustee Awareness & Decision-Making

- **Trustees Notified:** [Yes / No]
- **Date of Trustee Notification:** [DD/MM/YYYY]
- **Trustee Actions & Decisions:**

(Summarize trustee discussions and decisions about the incident.)

5. External Reporting

- **Reported to Charity Commission?** [Yes / No]
- **Reference Number:** [If applicable]
- **Reported to Other Authorities?** [Police, ICO, HMRC, etc.]
- **Additional Information:** *(Any further notes, including expected follow-up actions.)*