

# **Serious Incident Reporting Policy**

**The Duke of Edinburgh's International Award China**

10 Feb 2020

Version: 1.0

## 1. Serious Incident Reporting Policy

- 1.1. The Duke of Edinburgh's International Award China (the Award in China) 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 Award in China that may provoke significant adverse publicity or financial liability for Operator or the Award in China. Licensed Operators are required to keep the Award in China 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. Operators should normally report to the Award in China once the relevant authorities have been informed.
- 1.3. 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 jurisdiction where incident occurred.

## 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 Award in China's or a licensed Operator's money, assets or property.
  - III. harm to the Foundation, the Award in China, licensed Operator and/or the Award's work or reputation.
  - IV. 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 Award in China’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 Award in China’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.

3.3. Finally, any incident that is reported should be fully risk assessed and not made public 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 Award in China rests with the licensed signatory of the Operator:

The obligation rests with the license holder, typically a Principal or Director of the school or organisation licensed as Award Centre, Open Award Centre or Recognized Activity Provider. In practice, the Award Coordinator should consult and inform the Senior Management Team of their organisation before reporting to the Award in China.

## 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 jurisdiction. Licensed Operators should only report to the Award in China once the relevant authorities have been informed.

**Award Centres, Open Award Centres, Recognized Activity Providers** – should report any serious incident to the Operations Team in the first instance:  
[operations@intawardchina.cn](mailto:operations@intawardchina.cn)

## 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 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 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 jurisdiction).

## 7. Complaints procedure

- 7.1. The Award in China 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.

In the first instance, the complainant and the involved parties must try to resolve the issue informally. If this cannot occur, the following process must be followed:

1. The Award in China 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 Award in China 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.
- 7.2. If the complaint is not resolved and the complainant wishes to appeal, final resolution will be coordinated by the Award in China.

## 8. Further information

- 8.1. For further information or to discuss any aspect of this policy, please contact [operations@intawardchina.cn](mailto:operations@intawardchina.cn)