



Uttaran

Serious Incident Reporting Policy

Community Mobilization

Poverty Eradication

Environmental Justice

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Date: August 2027 Approved by on behalf of executive board	Shahidul Islam Director	Dr Nazrul Islam Chairman
Update - 1 Date: November 2020 Approved by on behalf of executive board	Shahidul Islam Director	Sarder Md. Rezaul Karim Chairman
Update - 2 Date: November 2023 Approved by on behalf of executive board	Shahidul Islam Director	Sarder Md. Rezaul Karim Chairman
Update – 3 Date: January 2026 Approved by on behalf of executive board	Shahidul Islam Director	Sarder Md. Rezaul Karim Chairman
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Serious Incident Reporting Policy

1. Scope

The purpose of this policy is to ensure that there is a systematic process for reporting, managing and learning from serious incidents that occur in Uttaran. The aim of this policy is to ensure that all serious incidents are reported to Safeguarding Focal in a timely manner, to ensure that lessons are learned and that risks are managed. A Serious Incident in the context of this procedure is defined as a situation which may seriously harm staff, beneficiaries and other stakeholders. It includes serious damage to Uttaran premises which may disrupt the delivery of services and serious breaches of confidentiality.

The Serious Incident reporting system is NOT a substitute for taking the action required under other policies.

2. Guiding Principles

The context of this policy is a commitment by Uttaran to reduce serious incidents and promote a culture of openness and learning, in line with framework for risk management, reputation management and quality assurance. The policy is designed to promote a non-punitive and proactive approach, and uses a risk based diagnostic of serious incidents to reduce the risk of incidents occurring in the future and to support staff in their learning and development.

The potential to be a serious incident is included within the scope of this policy to increase the opportunity for learning and reduce the possibility of an actual serious incident occurring.

The overriding principle of this policy is that the first priority is to ensure safe practices and every opportunity is taken to learn lessons from incidents which occur. Action under the Disciplinary procedures will only be considered where there has been wilful negligence, professional misconduct or breach of law.

The policy will ensure that senior managers are made aware of Serious Incidents quickly so that action can be taken, if necessary, to protect the reputation of the organization and its employees.

3. Serious Incident Reporting Procedures

3.1 Introduction

This policy is to be followed when a serious incident occurs. A rapid response in terms of dealing with the immediate issues, communicating the nature of the incident to senior managers and completing a diagnostic are required. The policy details the stages and timescales to be followed and includes a definition of a serious incident.

3.2 Definition of a Serious Incident

A Serious Incident in the context of this policy is defined as a situation which may seriously harm staff, people who use the service, or others, and/or involve financial irregularities. It includes serious damage to Uttaran which may disrupt the delivery of services and serious


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breaches of confidentiality. If there is uncertainty about if an incident should be categorised as serious then a report should be made.

In deciding if an incident should be defined as "serious" under this policy consideration should be given to how likely it is to produce legal, media or other interest, which if not properly managed may result in further damage or harm to those involved or damage to the Uttaran's reputation.

Definition of a Serious Incident: A Serious Incident in the context of this policy and procedure is defined as a situation which may seriously harm staff, people who use the service, or others, and/or involve serious fraudulent or financial irregularities, and is likely to produce a significant legal, media or other interest which, if not properly managed may result in further damage or harm to those involved or loss of the Uttaran's reputation or assets.

3.3 Procedure

Uttaran has a legal responsibility to report certain serious incidents under other relevant Polices. This policy is not a substitute for action required under other procedures or legal requirements.

Immediate Response

The first priority of the person in closest proximity to the serious incident is to respond to the immediate needs of the individual(s) involved and to re-establish a safe environment. If necessary the emergency services should be contacted, the environment made safe and appropriate steps taken to maintain a safe environment and protect the physical and emotional wellbeing of all those who have been involved. No aspect of the procedure should detract from this primary duty. The person responsible for these actions is the most senior person immediately available. Assistance should be sought from other members of staff if possible and necessary.

Initial Discussion

After these initial responses have been concluded, the most senior member of staff available, having evaluated the information available from the staff directly involved, will decide how serious the incident was. If the incident is serious then as soon as practicable a phone call should be made to the Director and a verbal report made on what has happened and the action taken. A serious incident notification form should be completed and returned as soon as possible, but within one working day. Serious incidents include death or serious injury to a service user, staff or member of the public, serious damage to Uttaran property, immediate, significant disruption to a Uttaran service or immediate inquiries from the press with regard to the incident.

Serious Incident Meeting

Some serious incidents may require a response from more than one section from Uttaran. HR Manager/ Safeguarding Focal receiving the initial report should consider if a Serious Incident Meeting is required. The purpose of this meeting is to share information and ensure that action taken. The timing of the meeting will be determined by a risk assessment completed.


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Investigation

If a Serious Incident Meeting is required, Uttaran Director should form an investigation committee to investigate the incident and provide a more detailed report on the circumstances of the incident and lessons to be learned. As part of the role, the member secretary of investigation committee will ensure that appropriate de-briefing of staff and support arrangements are in place.

The report may include recommendations to minimize the risk of a similar incident occurring again and any opportunities there may be for learning across Uttaran.

Review and Feedback

On receipt of the investigation committee's report, Uttaran Director will review the report and recommendations and agree a process for feeding back to staff if this is appropriate and a process for monitoring the implementation of any recommendations.

Uttaran Director will forward a copy of the investigation report to the senior management team members highlighting any opportunities for learning in other areas of Uttaran. If areas of urgent concern are identified this should be actioned immediately.

Annual Review and Dissemination

Uttaran Director will collate the lessons learned from Serious Incident Reviews on an annual basis and identify any common themes. A report will be tabled on an annual basis where dissemination of lessons learned will be agreed, for example, through the monthly coordination meeting.


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