



Serious Incident Policy

1. Introduction

1.1 Purpose

Prompt recording and reporting of incidents is a fundamental aspect of successful risk management and good governance. It promotes a constructive response to potentially serious incidents and should help to mitigate their effect. Effectively managing such events is of fundamental importance in protecting the best interests of the Club and its employees, volunteers and members.

More broadly, it helps us as a Club to identify trends and areas where we could benefit from improving our practices, and to ensure that the Club's culture and key values of respect and inclusivity are upheld at all times.

1.2 Scope

This policy outlines:

- (i) the definitions of a serious incident and harassment; and
- (ii) specific requirements for recording and reporting serious incidents.

1.3 Policy Governance

This policy is reviewed on at least an annual basis by the Management Committee.

2. Definitions

2.1 Serious incident

A serious incident is an occurrence of an event (for example, as a result of a failure to comply with one of the Club's rules or policies) which leads to or has the potential to lead to unintended consequences having a material adverse impact for the Club, its members, its volunteers, or its employees. A serious incident may also be referred to as an 'incident', an 'error', or in circumstances of non-compliance with contracts, laws or regulatory rules, a 'breach'.

A near miss event is one which could have resulted in serious incident but did not materialise through good fortune or other circumstances.

Serious incidents can have one or more impacts including:

- Financial – for example, financial losses or gains such as a breach of a contract to which the Club is a party (including but not limited to employment contracts);
- Laws, rules and regulations – cases where legal or regulatory requirements (which might include law or regulation which is generally applicable to the Club's activities, such as in relation to data protection, health & safety regulations, or employment law, but also includes rules and regulations of leagues or competitions in which the Club takes part) have not been met which may carry potential for regulatory scrutiny, censure or fines;

- Reputational – where the Club’s culture & values, reputation, and/or relationships with either the cricket or wider community are impacted.

2.2 Harassment

Harassment by a person(s) over another person(s) is deemed by the Club to be a serious incident and is defined as conduct which has the purpose or effect of violating a person’s dignity, or creating an intimidating, hostile, degrading, humiliating or offensive environment.

Employees, volunteers and members of the Club have the right to report any incident of harassment through the formal process detailed below.

3. Identification & initial response

The Club considers the prompt identification and escalation of serious incidents, and near misses as an indicator of a positive organisational culture. Any member, volunteer or employee of the Club can and should identify any issue that may be considered a serious incident or near miss. Upon identification, a serious incident or near miss should be notified as soon as possible to: (i) in the case of an employee, their line manager (or, if the employee does not feel comfortable in raising the issue with their line manager, to any member of the Management Committee); or (ii) in all other cases, any member of the Management Committee, who will inform the Company Secretary so that the incident can be formally recorded.

As soon as reasonably possible after initial notification, the Management Committee will appoint a Responsible Person, who must complete the Serious Incident Report template (see Appendix 1). As much information as possible should be entered into the Serious Incident Report. Guidance can be sought from the Management Committee where required.

4. Investigation and reporting

After the Serious Incident Report has been submitted, further investigation may be required in order to determine and address the cause(s). This will be co-ordinated by the Management Committee and records of findings and actions taken should be maintained by updating the Serious Incident Report as necessary. Findings and agreed action, will be communicated to the employee, volunteer or member who raised the serious incident and where appropriate to the Club’s membership.

5. Personal Data Breaches

The Club has additional reporting responsibilities under applicable laws and regulations for incidents involving Personal Data. All incidents potentially involving the loss or destruction of Personal Data should be reported in accordance with this policy.

“Personal Data” means any data which relates to an identified or identifiable natural person, in particular by reference to an identifier such as a name, an identification number, location data, an online identifier or to one or more factors specific to the physical, physiological, genetic, mental, economic, cultural or social identity of that natural person.

If either the Club, or a data processor engaged by the Club, experiences a material data protection breach involving the accidental or unlawful destruction, loss, alteration, unauthorised disclosure of, or access to, Personal Data, then the Club must notify the Information Commissioners Office (“ICO”) of that breach without undue delay and, where feasible, within 72 hours of having become aware of it.

CARLTON CRICKET CLUB - SERIOUS INCIDENT REPORT

INCIDENT (Y/N)

NEAR MISS (Y/N)

Incident Overview			
Name of incident:			
Reported by:			
Responsible Person: <i>The individual appointed by the Management Committee, responsible for managing the incident to resolution.</i>			
Was this caused by an internal failure or by a third party?			
Date of incident:			
Identified by:			
Date identified:			
<p>If deemed appropriate by the Management Committee or during the investigation by the Responsible Person, formal written statement(s) will be taken from relevant parties, agreed & signed by them and be attached to this Report.</p> <p>Incident description: <i>Provide as much information as possible as to the circumstances surrounding the incident, including:</i></p> <ul style="list-style-type: none"> <i>what should have happened vs what did happen;</i> <i>when and where did this happen;</i> <i>what caused it;</i> <i>how and when was it identified and by which individual;</i> <i>what was the result/impact of the incident</i> 			
Impact			
Provide details of the impact of this incident			
Financial			
Is there a financial impact?			
Regulatory (incl. legal)			
Were any laws or regulatory rules breached? <i>For example, employment law, Equality Act, Club Health & Safety policy breaches; contractual breaches; data protection breaches.</i>			
Reputational			
Have any complaints been received as a result?			
Response			
Corrective Action(s) taken: <i>Please provide details of all actions taken to resolve the incident, including reporting back to the person raising the incident the findings and where appropriate, any further action to be taken</i>			
Action	Owner	Status	Target Date / Date Completed
Preventative Action(s) taken: <i>Please provide details of all actions taken to prevent recurrence of the incident</i>			
Action	Owner	Status	Target Date / Date Completed