

SERIOUS INCIDENT REPORTING POLICY

1. Summary

- 1.1 The University is an exempt charity, and is expected to report any serious incidents to its charity regulator. This statement sets out what constitutes a serious incident, how the University meets its obligations, and the role of students and staff in the reporting of serious incidents.
- 1.2 In summary, students are asked to report any serious incident to their course tutor or Dean, and the University Secretary and Registrar. Members of staff are asked to report any serious incident to their manager or Director of Human Resources, or the Chief Financial Officer, or the University Secretary and Registrar, depending on the type of incident involved (see below). If in doubt, the University Secretary and Registrar can be contacted or any other senior manager.

2. Serious Incidents – Definition

- 2.1 A serious incident is one which has resulted in, or could result in, a significant loss of funds or a significant risk to the University's property, work, beneficiaries or reputation. HEIs must report serious incidents at the time when they are identified. At its most basic level, an incident is serious if the University considers it to be serious. Indicators of this could include the involvement of the police or a regulatory agency, the seniority (level of responsibility) of the person involved, disciplinary proceedings against staff, or reports to the senior management team, Audit Committee or Governors.
- 2.2 It is a requirement of the Memorandum of Assurance and Accountability (MAA) that the accountable officer for the University (the Vice-Chancellor), in agreement with the governing body, or in urgent cases the Chair, must report serious incidents to the OfS at the time when they are identified. In view of the public interest, for incidents of suspected or actual fraud where the sums involved are greater than £25,000, the University will consider whether police involvement will be required.
- 2.3 The University is required to report the following serious incidents:
 - loss of assets through fraud, theft or other cause where the value of the loss is in excess of £25,000;
 - donations of more than £25,000 from unknown donors, or where the source cannot be verified;
 - abuse or mistreatment of a charitable beneficiary involved in activities of the HEI
 - disqualification of a trustee;
 - known or alleged links (other than for bona fide academic reason) with proscribed organisations or terrorism; this applies to trustees, staff, students, or anyone else associated with the University.
- 2.4 Any report under the terms of the MAA is considered by OfS to be a serious incident report, even if the loss, fraud or theft is less than £25,000 but reveals systematic weaknesses of concern beyond the institution; is novel, unusual or complex; there might be public interest because of the nature of the loss or the people concerned. In addition, there may be other incidents which should be reported.

3. Loss of Assets through Fraud, Theft or other Cause

All members of staff are responsible for reporting details immediately to the Chief Financial Officer (or Associate Director of Finance) or Director of Human Resources or University Secretary and Registrar if they suspect or believe that there is evidence of irregular or improper behaviour, such as theft, bribery and corruption, or that a fraud may have been committed. The matter will then be dealt with under the Anti-Fraud policy or the Bribery Act policy as appropriate.

4. Donations from Unknown Donors or Unverifiable Sources

- 4.1 The University will not accept gifts from unknown donors, or where the source cannot be verified. The responsibility for accepting a gift up to £100,000 lies with the Director of Development; For gifts between £100,000 - £250,000, responsibility for acceptance also lies with the Director of Development (in consultation with the relevant College Pro Vice-Chancellor and / or Deputy Vice Chancellor). For gifts between £250,000 and £1,000,000, the Vice-Chancellor's approval is required. Responsibility for the acceptance of gifts over £1,000,000 rests with the Ethics Committee. Final decision-making authority on the acceptance of larger gifts (over £2,000,000) lies with the Court of Governors (the University's governing body).
- 4.2 All gifts and donations above the specified delegation limits or which are judged by the Vice-Chancellor to need further consideration and ethical review will be referred to the Ethics Committee and ultimately (in cases above the delegation limits) to the Court of Governors for final decision. Other persons are not authorised to accept gifts and donations on behalf of the University under any circumstances.
- 4.3 Although the responsibility for deciding whether to accept a gift or donation on behalf of the University would ultimately still lie with the relevant senior manager (or group), all staff should be aware of the risks inherent in accepting donations and gifts, including the possibility of bribery and corruption, and that the onus will be on them to report any doubts they may have to their manager or the University Secretary and Registrar, in case acceptance would be inappropriate. Should a problem be subsequently identified due to acceptance from an inappropriate source, the appropriate senior manager should consult the University Secretary and Registrar.

5. Abuse or Mistreatment of Vulnerable Beneficiaries

- 5.1 The University has decided that the following are the University's beneficiaries:
- (i) the University's students;
 - (ii) members of the public visiting the University's galleries;
 - (iii) the beneficiaries of any outreach work or placements undertaken by staff and students.
 - (iv) The beneficiaries of the University's subsidiary charities.

From within the above categories, the following could potentially be classed as vulnerable:

- a) students under 18;
 - b) students and members of the public with a disability;
 - c) beneficiaries of any outreach/community/placement work where the beneficiaries are children, disabled adults or the elderly;
 - d) beneficiaries who might be subjected to serious discriminatory misconduct.
- 5.2 Members of staff should report any suspected abuse or mistreatment of a vulnerable individual to their manager, Dean or Head of Service who should liaise with the University Secretary and Registrar. Students should report any concerns to their tutor or Dean and the University Secretary and Registrar.

6. Disqualification of a Trustee (Governor)

Should a member of staff or a student become aware of a potential flaw in a governor's ability to be a trustee, they should contact the University Secretary and Registrar.

7. Links With Terrorism or Proscribed Organisations

- 7.1 All staff and students have the right to work, study and live without fear of intimidation, harassment and threatening or violent behaviour. The University wishes to ensure that academic freedom cannot be exploited to damage the legitimate freedoms of others.
- 7.2 At the same time, the University is required to report any known or alleged links (other than for bona fide academic reasons) with proscribed organisations or terrorism. This applies to trustees (governors), staff, students, or anyone else associated with the University.
- 7.3 In the case of proposed legitimate research by students and staff carrying a potential legal risk, the advice of the University's General Counsel must be sought in advance by the student or member of staff undertaking the research and his/her agreement to proceed obtained.
- 7.4 Members of staff should report any concerns in relation to possible terrorist links (e.g. publications, potential inappropriate use of University premises) to the University Secretary and Registrar who will take the appropriate action.
- 7.5 Students should report any concerns to their tutor or Dean and the University Secretary and Registrar.

Relevant Policies

Acceptance of Gifts and Donations Policy
Prevent Policy
Bribery Act Policy

Enquiries to: Governance Office: governance@arts.ac.uk
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