Ryedale Environment Group

Ryedale Environment Group – Charity no 1202762

REG, Risk Management and incident reporting – General statement

REG and it's trustees is aware of risk and the main risk categories set out below and how this might impact our charity.

REG is a small charity and a full risk management system has not been put in place. This has been assessed as appropriate as we are of limited size and still wish to achieve our charitable objectives as well as making sure we are well governed. This position will be kept under review as the charity grows and a more detailed system will be considered for implementation.

REGs board of Trustees will implement a risk based decision making process based on the following

1. Identify the risks

The first step is to identify possible risks in the different areas of your charity's work.

Look at your strategy and main objectives. Think about the things that might stop you from achieving them. The Charity Commission's risk management guidance recommends grouping risks in the following way.

Governance risks

- Does your board have the right skills?
- Does your governing document allow you to make the difference you want to make?

External risks

- What are the risks to your charity's reputation? For example, negative publicity caused by poor service or working practices.
- What changes to government policy might affect your ability to achieve your objectives?

Regulatory and compliance risk

- Is there a risk of failing to comply with legislation or reporting?
- Could this damage your charity's reputation or finances?

Financial risk

- Are there financial risks that might stop you achieving your objectives? For example, are you dependent on one source of income or are your reserves low?
- Is there a risk of fraud when transferring money to a different country that has fewer regulations or financial checks?

Operational risk

- Does the organisation have the right structure and processes?
- Do you have the right staff with the right skills? Are they in the right roles?
- Do staff have the tools they need to be successful? Do they communicate effectively?
- Is the organisation's culture welcoming and inclusive?

You can use these groupings as a framework. Think about the risks alongside your strategic objectives. Remember to consider a range of possibilities in each area and explore both positive and negative outcomes.

2. Analyse the risks

Once you've identified a risk, you need to assess:

- the likelihood of the risk happening
- the impact the risk will have on the organisation if it happens.

To assess the impact of a risk, consider all the possible implications. Some of these might not be obvious. For example, one of the risks may be that you're unable to articulate the impact of your work.

- An obvious consequence of this could be a reduction in funding.
- A less obvious consequence may be that your staff become disheartened and lose focus because they can't see the difference they're making.

You should think about these together as a board and with your senior leadership team.

3. Risk scoring

As all medium to high level decisions are currently made by the board of trustees an assessment of the 'perceived' risks of decisions should be recorded as part of the decision making process.

Review of risk the management system

The review of this system should be triggered both by the passage of time and growth of the financial size of the charity at which time a more sophisticated risk management system should be considered including

- Risk Scoring system
- Prioritising
- Appetite for risk
- Risk control and risk reduction steps
- Review of controls – evidence based
- Monitor and review of system

Incident Reporting and incident log

Incidents cover a wide range of matters and for good governance. REG hold an incident log where incidents when they occur are recorded. Incidents should be reported in the first instance the event organiser/coordinator or directly to REG

Incident reporting and how to report incidents is a key part of our risk management.

Reporting and recording incidents

This section explains how to report a serious incident in REG.

Action to take - If something does go wrong, you should take *immediate* action to prevent or minimise any further harm, loss or damage

- report it to the Commission as a serious incident
- report it to the police (and/or other relevant agencies) if you suspect a crime has been committed, and to any other regulators the charity is accountable to
- plan what to say to your staff, volunteers, members, the public, the media and other stakeholders, such as funders
- review what happened and prevent it from happening again – this may include reviewing internal controls and procedures, internal or external investigation and/or seeking appropriate help from professional advisers

Information needed in the incident report

You'll also need details of the incident, including:

- date and time of the incident
- what happened?
- date and time the charity found out about the incident
- how the charity found out about the incident
- what impact the incident has had on the charity's beneficiaries, finances, staff, operations or reputation
- whether trustees are aware of the incident

Details of how your charity is handling the incident, including:

- which of the charity's policies or procedures relate to the incident and whether they were followed
- what steps the charity has taken to deal with the incident
- what steps the charity has taken to prevent similar incidents

Don't forget full contact details, including:

- your own contact details
- the charity name and, if it's registered, its registration number
- reference numbers and contact details if you've reported it to other organisations like the police
- names and registration numbers of other charities involved in the incident, if relevant

What is a serious incident?

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

- significant harm to your charity's beneficiaries, staff, volunteers or others who come into contact with your charity through its work (who are collectively referred to throughout this guidance as people who come into contact with your charity through its work)
- loss of your charity's money or assets
- damage to your charity's property
- harm to your charity's work or reputation

For the purposes of this guidance, “significant” means significant in the context of your charity, taking account of its staff, operations, finances and/or reputation.

REG will follow CC guidance in relation to incident reporting

Whistleblowing

Definition – speaking out if you suspect wrongdoing

If any trustee, officer. Member or volunteer consider there is wrongdoing it should be reported to the trustees in the first instance or if anonymity is necessary to REGs safeguarding lead……details……

The serious incident reporting framework and this guidance is for trustees. If you’re an employee of the charity and you suspect serious wrongdoing within the organisation, for example criminal offences, malpractice/misconduct or health and safety breaches, you should usually raise this with your employers first, following the charity’s whistleblowing policy if it has one.

If REG fails to deal with your concerns appropriately or you continue to suspect serious wrongdoing, you can report this to the Charity Commission – including anonymously if you wish to do so. In reporting your concerns to the Commission, you may be protected under the Public Interest Disclosure Act 1998. To find out more, read the Commission’s whistleblowing guidance.