



SUSAN DUNGWORTH
NORTHUMBRIA
**POLICE & CRIME
COMMISSIONER**

Grant Agreement

Police and Crime Commissioner for Northumbria

And

XXXXX

For 1st April 2026 to 31st March 2029

1st Floor
Victory House
Balliol Business Park
Benton Lane
Newcastle upon Tyne
NE12 8EW



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Police and Crime Commissioner for Northumbria Grant Terms and Conditions for XXXXXXXX applying with effect 1st April 2026 to 31st March 2029.

1. Introduction and definitions

1.1 In this Grant Agreement:

The “Commissioner” means the Police and Crime Commissioner for Northumbria

The “Funding Period” means the financial year from 1st April 2026 to 31st March 2029.

The “Grant” means the grant payable by the Commissioner to the Recipient under the terms of this Grant Agreement, the amount of which (the “Grant Amount”) shall not be more than £XXXXXX in the 2026-27 financial year. The Grant Amount for the 2027-28 and 2028-29 financial years will be confirmed by the Commissioner as soon as reasonably practicable before the relevant financial year begins.

The “Grant Letter” means this letter from the Commissioner to the Recipient which sets out the supplementary information in relation to the Grant.

The “Purpose” and “Activities” mean that detailed in Schedule 1.

The “Recipient” means XXXXXXXX herewith referred to as the “Recipient”.

The “Grant Manager” means any person or organisation appointed by the Commissioner to support delivery of the project and monitoring of the Grant.

A “Major Criminal Incident” means an incident where a crime:

- a. causes multiple fatalities and/or serious injuries;
- b. requires a response under one or more of the emergency services’ major incident plans; and
- c. is such that some degree of central Government support or coordinator may become necessary.

A “Serious Untoward Incident (SUI)” is defined as an event which results in serious injury, major permanent harm, or unexpected death, it can also refer to a near-miss or where the actions of the Recipient or the Commissioner are likely to be of significant public concern. Further details can be found at Schedule 5.

“Victims of Crime” means persons who have suffered harm as a direct result of:

- a. being subjected to criminal conduct; or
- b. one or more of the following circumstances:
 - i. where the person has seen, heard or otherwise directly experienced the effects of criminal conduct at the same time the conduct occurred;
 - ii. where the person’s birth was the direct result of criminal conduct;
 - iii. where the death of a close family member of the person was the direct result of criminal conduct;
 - iv. where the person is a child who is a victim of domestic abuse which constitutes criminal conduct.

A “Vulnerable Person” means a person less able to take care of themselves or protect themselves from exploitation, for example a person with mobility problems, a person with mental health difficulties, and children.

2. Terms and Conditions

2.1 Grant Offer

- 2.1.1 Subject to the Recipient complying with the terms and conditions set out in this Grant Agreement and the Grant Letter, the Commissioner offers to pay the Grant to the Recipient as a contribution toward eligible expenditure.
- 2.1.2 The Recipient acknowledges that the Commissioner agrees to pay the Grant, for the Funding Period and the Purpose specified in this Grant Agreement and Grant Letter.

2.2 Purpose and Extent of Grant

- 2.2.1 The Recipient may not use the Grant for any activities other than the Purpose as defined in Schedule 1 (the “Project”).

2.3 Amount of the Grant

- 2.3.1 The Commissioner has agreed funding up to the Grant Amount, subject to compliance by the Recipient with the terms of this Grant Agreement.

2.4 Timing of the Grant

- 2.4.1 The Grant will usually be paid in two instalments per financial year in accordance with Schedule 2, dependent upon receipt **by the due date** of a payment request in the form of Annex A and the supporting monitoring information set out at Schedule 3. Failure to provide the necessary information by the due date will result in payment being delayed until all of the necessary information is provided.
- 2.4.2 In order for any Grant payment to be released, the Commissioner will require the Recipient to:
 - a. have signed and returned a copy of this Grant Agreement to the Commissioner
 - b. have provided the appropriate bank details
 - c. have submitted any requested monitoring information and this information is satisfactory for monitoring purposes
 - d. be in compliance with the terms and conditions of this Grant Agreement
- 2.4.3 The Commissioner reserves the right to withhold all or any payments of the Grant if the Commissioner has reasonably requested information / documentation from the Recipient and this has not been received by the Commissioner in the timescales reasonably required.
- 2.4.4 The Recipient must promptly notify and repay immediately to the Authority any money incorrectly paid to it either as a result of an administrative error or otherwise.

2.5 Eligible and Ineligible Expenditure

2.5.1 Eligible expenditure consists of payments by the Recipient for the Purpose. Eligible expenditure is net of VAT recoverable by the Recipient from HM Revenue and Customs and gross of irrecoverable VAT.

2.5.2 The Recipient may not in any circumstance claim for any cost or payment from the following non-exhaustive list of Ineligible Expenditure below:

- a. lobbying, which means the use of the Grant to attempt to influence parliament, government, or influence legislative or regulatory action;
- b. using the Grant to directly enable one part of government to challenge another on topics unrelated to the agreed Purpose of the Grant;
- c. using the Grant to petition for additional funding;
- d. expenses for entertaining, specifically aimed at exerting undue influence to change government policy;
- e. input VAT reclaimable by the Grant Recipient from HMRC; or
- f. payments for activities of a party political or exclusively religious nature.

2.5.3 Other examples of Ineligible Expenditure include:

- a. Contributions in kind;
- b. Interest payments or service charge payments for finance leases;
- c. Gifts;
- d. statutory fines, criminal fines or penalties, civil penalties, damages or any associated legal costs;
- e. payments for work or activities which the Grant Recipient, or an Organisation, has a statutory duty to undertake, or that are fully funded by other sources;
- f. bad debts to related parties;
- g. payments for unfair dismissal or other compensation;
- h. depreciation, amortisation or impairment of assets owned by the Recipient;
- i. entertaining (for this purpose means anything that would be a taxable benefit to the person being entertained, according to current UK tax regulations);
- j. the acquisition or improvement of assets by Recipient; and
- k. liabilities incurred before the commencement of the Funding Period unless agreed in writing by the Commissioner.

2.5.4 The Recipient shall account for all expenditure on an accruals basis. This requires the cost of goods or services to be recognised when the goods or services are received, rather than when they are paid for.

2.6 Managing the Grant

2.6.1 Each party must notify the other of:

- a. the nominated person who will act as the party's authorised representative; and
- b. the contact details of the authorised representatives and any deputies.

2.6.2 The Commissioner requires the Recipient to submit in-year monitoring information as detailed in Schedule 3.

2.6.3 The Commissioner may, in addition, ask the Recipient to clarify information provided to her or to any Grant Manager. If so, the Recipient shall comply with any reasonable request within a reasonable time.

2.6.4 An end of year financial monitoring report (also referred to as the “outturn statement”) shall be submitted by the Recipient to the Commissioner by the 14th April following the end of each financial year in the Reporting Period. This report must:

- a. be in the format set out in Annex B
- b. be signed by the Recipient’s Chief Finance Officer;
- c. have submitted a completed and satisfactory schedule 3 setting out the outcomes achieved with the grant; and
- d. Contain a detailed breakdown of expenditure for the entire Funding Period.

2.6.5 The Commissioner may, in addition, ask the Recipient to provide her with forecast outturn information for the financial year end. If so, the Recipient shall comply with any reasonable request.

2.6.6 The Recipient must notify the Commissioner as soon as reasonably practicable of its knowledge of the same if and when an underspend is forecast.

2.6.7 The Recipient must notify the Commissioner as soon as reasonably practicable if it suspects service provision to be at risk or it is likely to stop providing support to service users, and what mitigating action is being taken to address the risk.

2.6.8 The Commissioner may request the Recipient to adapt service provision to meet emerging demand. If so, the Recipient will endeavour to accommodate the request.

2.7 Records to be kept

2.7.1 The Recipient must keep a record of all expenditure funded by the Grant and retain all accounting records for the Funding Period for a period of at least 7 years after the end of the Funding Period. Accounting records include: original invoices, receipts, minutes from meetings, accounts and any other relevant documentation.

2.7.2 The Recipients should provide:

- a. an annual, written statement, signed by the Recipient’s Chief Finance Officer, of how the money was spent; and
- b. a signed undertaking that that recipient will retain such documents for the period prescribed above.

2.7.3 The funds provided under this Grant Agreement may not be used to purchase capital items.

2.7.4 The Recipient must keep a register of all Fixed Assets with the value of £1,000 or over purchased using the Grant. The Recipient will provide a copy of the register to the Commissioner upon request.

2.8 Lawful conduct, equal opportunities and activities funded by the Grant

- 2.8.1 This Grant Agreement shall be subject to and construed in accordance with English Law and subject to the exclusive jurisdiction of the courts of England and Wales. This does not limit the Commissioner's right to commence legal proceedings in any other court of competent jurisdiction, including concurrent proceedings.
- 2.8.2 The Recipient must ensure that all reasonable steps have been taken to ensure that it and anyone acting on its behalf complies with any applicable law for the time being in force (so far as binding on the Recipient).
- 2.8.3 The Recipient must only claim for any cost or payment that is considered Eligible Expenditure, as outlined at Section 2.5.
- 2.8.4 All services provided with funds from this grant must be free, confidential and non-discriminatory.
- 2.8.5 Where applicable, the Recipient should operate in line with Cabinet Office's Code of Conduct for Recipients of Government Grants¹.

2.9 Breach of Grant Conditions

- 2.9.1 If the Recipient fails to comply with **any** of the conditions set out in this Grant Agreement, or if any of the events mentioned in Clause 2.9.2 occur, then the Commissioner may reduce, suspend, or withhold Grant payments, or rescind the Grant Agreement and/or require all or any part of the Grant paid to be repaid. The Recipient must repay any amount required to be repaid under this condition within 30 days of receiving the demand for repayment.
- 2.9.2 The events referred to in Clause 2.9.1 are as follows:
- a) The Recipient purports to transfer or assign any rights, interests or obligations arising under this Grant Agreement without the agreement in advance of the Commissioner;
 - b) Any information provided in the application for the Grant (or in a claim for payment) or in any subsequent supporting correspondence is found to be incorrect or incomplete to an extent which the Commissioner considers to be material;
 - c) The Recipient takes inadequate measures to investigate and resolve any reported irregularity;
 - d) The Recipient changes the nature of its operations to an extent which the Commissioner considers to be significant or prejudicial to the Purpose.
- 2.9.3 It is hoped that most difficulties encountered by the Recipient can be overcome with the advice and support of the Commissioner. In the event that it becomes necessary to take steps to enforce the terms and conditions of this Grant Agreement, the Commissioner will write to the Recipient giving particulars of its concern or of any breach of a term or condition of the Grant.

¹ Cabinet Office – Code of Conduct for Recipients of Government Grants. Accessed [here](#).

2.9.4 The Recipient must act within 30 days (or earlier, depending on the severity of the problem) to address the Commissioner's concern or rectify the breach, and may consult the Commissioner or agree with it an action plan for resolving the problem. If the Commissioner is not satisfied with steps taken by the Recipient to address its concern or rectify the breach, it may take steps to withhold or suspend the further payment of Grant, or rescind this Grant Agreement and to recover in full or in part Grant funds already paid.

2.10 Dispute Resolution

2.10.1 The parties shall negotiate in good faith any dispute that arises during the Funding Period or relating to the Grant.

2.10.2 All disputes and complaints (except for those which relate to the Commissioner's right to withhold funds or terminate the Agreement) shall be referred in the first instance to the Commissioner's Grant Manager.

2.10.3 If the dispute cannot be resolved between the Commissioner and Recipient within 20 Working Days then the matter will be escalated to formal meeting between the OPCC Director responsible for commissioning and the Recipient's Chief Executive (or equivalent).

2.10.4 Without prejudice to any other rights or remedies that the Commissioner may have, it may seek injunctive or other appropriate relief for sufficiently serious, time-critical, actual or anticipated Breach.

2.11 Funding Period and Termination

2.11.1 The Commissioner does not commit to renew or continue financial support to the Recipient after the Funding Period.

2.11.2 The Commissioner may terminate this Agreement if Government funding for the commissioning of victims services routed through the Commissioner is reduced.

2.11.3 The Agreement may be terminated upon a change in or abolishment of the Commissioner's function, or transfer of the Commissioner's responsibilities to another legal entity.

2.11.4 The Commissioner may terminate this Agreement forthwith by serving a written notice on the Recipient if:

- a) the grant or any part of it is being used for any purpose other than the purpose set out in this Agreement;
- b) The Recipient has consistent unsatisfactory performance
- c) The Recipient has made any false, incorrect or misleading statement in order to obtain this grant or has been involved in any illegal activity or improper act in its administration;
- d) The Recipient has failed to remedy any breach of this Agreement within 28 days (or such other period as the Commissioner agrees in writing) of being served with a notice pointing out the breach requiring its rectification

2.11.5 Should the Government direct this Grant Agreement to be terminated before the end of the Funding Period, the Recipient must assist the Commissioner with exit planning to ensure a smooth closure of the funded Activities.

2.12 Amendments to the Grant Agreement

2.12.1 This Grant Agreement and the Grant Letter set out the entire agreement between the parties. They replace all previous negotiations, agreements, understandings and representations between the parties, whether oral or in writing.

2.12.2 Any amendments to this Grant Agreement and/or the Grant Letter shall only be valid if they are in writing and signed by an authorised representative of both parties.

2.13 Data Protection Legislation

2.13.1 The Recipient must ensure that all personal data, including that of victims, family members and, in the context of restorative justice services, offenders is processed in accordance with Data Protection Legislation.

2.13.2 Where the Recipient is a data controller/processor for the purposes of the Data Protection Legislation, they must comply with all the requirements of that legislation in relation to their functions or obligations under this Grant Agreement.

2.13.3 When commissioning services, the Recipient must take all reasonable steps to ensure that any person from whom services are commissioned complies with the Data Protection Legislation when processing personal data in connection with those services.

2.14 Freedom of Information

2.14.1 Where applicable, the Recipient and the Commissioner are required to comply with the Freedom Of Information Act 2000 (the "FOI Act"), any subordinate legislation made under the FOI Act and any guidance issued by the Information Commissioner.

2.14.2 The Recipient agrees to assist and cooperate with the Commissioner to enable the Commissioner to comply with her obligations under the FOI Act whenever a request is made for information which relates to or arises out of this Grant Agreement.

2.15 Transparency

2.15.1 The Recipient acknowledges that the Commissioner shall disclose payments made against this grant of value £25k and above, in accordance with the Government's transparency agenda.

2.15.2 No information shall be disclosed if such disclosure would be in breach of the Data Protection Act, or is exempted from disclosure under the Freedom of Information Act.

2.15.3 The Commissioner is required by the Elected Local Policing Bodies (Specified Information) Order 2011 to publish information as to each crime and disorder grant made by it, subject to the exemptions set out in the Order.

2.16 Publicity and Promotion

2.16.1 All publicity and promotion surrounding the award of this grant and any subsequent promotions should be arranged and agreed between the Commissioner and the Recipient.

2.16.2 All promotional material, external resources and presentations must include the Police and Crime Commissioners logo.

2.16.3 The Recipient must acknowledge the Police and Crime Commissioner as a key funder on their website.

2.16.4 The Recipient must proactively promote their service offer across relevant agencies and partners across the geographical areas that the Recipient has stated their activities will serve, ensuring referral routes and criteria for referrals are understood by potential referrers and the public.

2.17 Insurance

2.17.1 The Recipient will ensure that it has such insurance in place as is necessary for the normal conduct of its activities. Where it is necessary for the Recipient to purchase additional insurance cover in order to perform its obligations under this Grant Agreement, the Recipient will ensure that it has all relevant insurance in place prior to the start of the grant funding period.

2.18 Liability and indemnity

2.18.1 Neither party may limit its liability for personal injury or death caused by negligence, fraud or fraudulent representation.

2.18.2 The Recipient agrees to indemnify the Commissioner for any costs, claims, damage or losses which arise as a result of negligence by the Recipient or out of any breach by the Recipient of any terms of this Grant Agreement.

2.19 Recipient Personnel

2.19.1 The Recipient must ensure that all members of its staff comply and must take all reasonable steps to ensure that any other person involved in the use of the Grant complies with the Grant Agreement.

2.19.2 The Recipient must ensure that all members of its staff and any other personnel delivering the Activities receives appropriate training.

2.19.3 The Recipient shall ensure that:

- a. any person employed or engaged in delivering the Activities has undertaken a criminal-records check by a recognised disclosure service; and
- b. no person who discloses that they have a relevant conviction or is found by the Recipient to have a relevant conviction (whether as a result of a police check,

through the criminal records disclosure check, or otherwise) is employed or engaged in the provision of the Activities without the Commissioner's prior written consent.

- 2.19.4 Where delivery of the Activities involves any direct contact with Vulnerable Persons, the Recipient shall take all reasonable steps to ensure their safety. The Recipient shall obtain the written agreement of the legal carer or guardian before any direct contact is made with a Vulnerable Person or, if this is not possible, as soon after direct contact is made as possible.
- 2.19.5 The Recipient shall ensure that any person employed or engaged in the delivery of Activities involving any direct contact with Vulnerable Persons has undertaken a criminal-records check by a recognised disclosure service, for example, the Disclosure and Barring Service. The Grant Recipient shall ensure that no person who discloses that they have a relevant conviction or is found by the Recipient to have a relevant conviction (whether as a result of a police check or through the criminal records disclosure check or otherwise) is employed or engaged in the delivery of Activities involving any direct contact with Vulnerable Persons without the Commissioner's prior written consent.
- 2.19.6 The Recipient shall have an appropriate written policy and carry out a set of procedures in place at all times to safeguard Vulnerable Persons, which must include procedures to check the backgrounds of all persons who may have direct contact with any Vulnerable Person and share the detail of this with the Commissioner.

2.20 Supporting victims in Northumbria

- 2.20.1 Referrals made to the Recipient's service by the core victim referral and assessment service in Northumbria should be prioritised to help ensure a coordinated service for Victims of Crime.
- 2.20.2 The Recipient should endeavour to connect Victims of Crime with support at the earliest opportunity.
- 2.20.3 The Commissioner is not responsible for ensuring support for any referrals or cases the Recipient has open at the end of the Funding Period and beyond. The Recipient must ensure any referrals or cases they can no longer provide support to after the Funding Period ends are referred or signposted on to an appropriate alternative provision.

2.21 Environmental Requirements

- 2.21.1 The Recipient shall perform the Funded Activities in accordance with the Government's environmental policy, which is to conserve energy, water, wood, paper and other resources, reduce waste and phase out the use of ozone depleting substances and minimise the release of greenhouse gases, volatile organic compounds and other substances damaging to health and the environment.
- 2.21.2 The Recipient shall pay due regard to the use of recycled products, so long as they are not detrimental to the provision of the Activities or the environment, to include

the use of all packaging, which should be capable of recovery for re-use or recycling.

2.21.3 The Recipient shall take all possible precautions to ensure that any equipment and materials used in the provision of the Activities do not contain chlorofluorocarbons, halons or any other damaging substances, unless unavoidable, in which case the Commissioner shall be notified in advance of their use. The Recipient shall endeavour to reduce fuel emissions wherever possible.

2.22 Complaints

2.22.1 The Recipient shall ensure that all service users are able to access a complaints procedure which enables them to raise complaints and to obtain appropriate redress.

2.22.2 The Recipient shall provide written updates within 14 Working Days of any request by the Commissioner on all complaints received relevant to this Grant Agreement, including:

- a summary of complaint;
- the date the complaint was made;
- the remedial action proposed;
- the outcome of the remedial action; and
- the date when the complaint was resolved

2.23 Major Criminal Incidents

2.23.1 Under the terms of this Grant Agreement the Recipient (as with all grant recipients) will be expected to offer services to victims of crime in the Northumbria area in the event of a crime related Major Criminal Incident.

2.24 Serious Untoward Incidents (SUI)

2.24.1 The Recipient is to ensure that arrangements are in place to report and manage all SUIs, and staff are appropriately trained in incident reporting and management.

2.24.2 SUIs are to be reported to the Commissioner via the process stated at Schedule 5.

2.25 Victims Code of Practice

2.25.1 The Recipient must ensure that their service is operating in line with the Victims Code of Practice² where relevant.

² Ministry of Justice – Victims’ Code of Practice. Accessed [here](#).

ACCEPTANCE OF GRANT

XXX accepts the offer of a Grant of a maximum of £XXXX in the 2026-27 financial year as contained in this Grant Agreement and agrees to comply with the terms and conditions of the Grant on which the offer is made.

On behalf of XXXX:

Project Manager/Project Contact

Signature:	
Name:	
Date:	
Position:	

The Recipient's Chief Finance Officer

Signature:	
Name:	
Date:	
Position:	

Recipient's address (registered address of organisation)

Address:	
Postcode:	

Bank details for grant payment

Bank name:	
Branch name:	
Sort code:	
Account name:	
Account number:	
Address:	
Post code:	

Signed on behalf of the Police and Crime Commissioner for Northumbria:

Signature:	
Name:	
Date:	
Position:	

OPCC Use:

Payment instructions:

Agresso codes:		Cost centre	Account code (1)	Account code (2)	Project code	Supplier code

SCHEDULE 1 – THE PROJECT

Purpose and activities of the funding

To commission victim services and award grants from the Police and Crime Commissioners funding. Section 9 of the Police Reform and Social Responsibility Act 2011 provides the Commissioner with powers to award crime and disorder reduction grants that contribute to the Commissioner's crime and policing objectives as outlined in the Police and Crime Plan 2025-29.

The aim of this grants programme is to support the crime and policing objective "Priority 4: Reducing Violence Against Women and Girls" and "Priority 6: Victims and Justice".

This grant shall provide victims of crime support services to help them cope with, and as far as possible, recover from the effects of the crime.

This grant is to be used for the activities agreed by the Commissioner that were set out in the application form, or any form of written documentation submitted to the Commissioner detailing the activities to be delivered with this grant.

Key deliverables

By accepting the terms and conditions of this grant you are required to provide the key deliverables and outcomes as set out in your application form. Any variance from this should be discussed and agreed with the Office of the Police and Crime Commissioner prior to any divergence from the original project outline.

External assurance

This grant will be audited as part of the Commissioner's annual audit programme. The scope of the audit will be to ensure that the funds have been consumed as recorded under Annex B, and in accordance with the terms and conditions of the grant agreement.

SCHEDULE 2 – PAYMENT SCHEDULE

Payment Reference	Period: From	To	Payment Amount	Payment date*
1	April 2026	September 2026	XXXXXX	April 2026
2	October 2026	March 2027	XXXXXX	October 2026
3	April 2027	September 2027	TBC	April 2027
4	October 2027	March 2028	TBC	October 2027
5	April 2028	September 2028	TBC	April 2028
6	October 2028	March 2029	TBC	October 2028

*Subject to Clause 2.4.

SCHEDULE 3 – MONITORING INFORMATION REQUIREMENTS

The Commissioner requires monitoring information to be provided on a quarterly basis.

Submission of the quarterly monitoring information is required on or before the 14th day following the end of each quarter in the Funding Period. A full list of deadline dates is provided at Schedule 4.

The quarterly monitoring template will be provided via email. This template must be used for reporting on this Grant.

The submission of an End of Year Financial Monitoring Report is also required in addition to the Quarter 4 monitoring report at each end of each financial year in the Funding Period – the template for this form can be found at Annex B in this grant agreement.

SCHEDULE 4 – OVERVIEW OF KEY DATES

The table below summarises in one place the deadlines for key funding documents to be returned to the OPCC.

DATE	DOCUMENT(S) TO BE SUBMITTED TO OPCC
ASAP	<ul style="list-style-type: none"> • Entire grant agreement with completed and signed Acceptance of Grant' page • Completed and signed Annex A payment request form (to release first payment of 2026-27)
14 th July 2026	<ul style="list-style-type: none"> • Schedule 3 Q1 monitoring report
14 th October 2026	<ul style="list-style-type: none"> • Schedule 3 Q2 monitoring report • Completed and signed Annex A payment request form (to release second payment of 2026-27)
14 th January 2027	<ul style="list-style-type: none"> • Schedule 3 Q3 monitoring report
14 th April 2027	<ul style="list-style-type: none"> • Schedule 3 Q4 monitoring report • Annex B End of Year Financial Monitoring Report for 2026-27 • Completed and signed Annex A payment request form (to release first payment of 2027-28)
14 th July 2027	<ul style="list-style-type: none"> • Schedule 3 Q1 monitoring report
14 th October 2027	<ul style="list-style-type: none"> • Schedule 3 Q2 monitoring report • Completed and signed Annex A payment request form (to release second payment of 2027-28)
14 th January 2028	<ul style="list-style-type: none"> • Schedule 3 Q3 monitoring report
14 th April 2028	<ul style="list-style-type: none"> • Schedule 3 Q4 monitoring report • Annex B End of Year Financial Monitoring Report for 2027-28 • Completed and signed Annex A payment request form (to release first payment of 2028-29)
14 th July 2028	<ul style="list-style-type: none"> • Schedule 3 Q1 monitoring report
14 th October 2028	<ul style="list-style-type: none"> • Schedule 3 Q2 monitoring report • Completed and signed Annex A payment request form (to release second payment of 2028-29)
14 th January 2029	<ul style="list-style-type: none"> • Schedule 3 Q3 monitoring report
14 th April 2029	<ul style="list-style-type: none"> • Schedule 3 Q4 monitoring report • Annex B End of Year Financial Monitoring Report for 2028-29

SCHEDULE 5 – SERIOUS UNTOWARD INCIDENTS

Definition

A Serious Untoward Incident (SUI) can be defined as **an event which results in serious injury, major permanent harm, or unexpected death**. The Commissioner regards a **Serious Untoward Incident** as an incident or accident or near-miss where a person accessing a service, member of staff, or member of the public suffers serious injury, major permanent harm or unexpected death and where the actions of the Recipient or the Commissioner are likely to be of significant public concern.

The occurrence of a serious incident demonstrates weaknesses in a system or process that need to be addressed to prevent future incidents leading to avoidable death or serious harm. The definition below sets out circumstances in which a serious incident must be declared. Every incident must be considered on a case-by-case basis using the description below. Inevitably, there will be borderline cases that rely on the judgement of the people involved and it will be expected that the Recipient holds discussion with the Grant Manager.

- An event defined as a serious incident although not necessarily resulted in serious harm or death.
- An incident (or series of incidents) that prevents, or threatens to prevent, an organisation's ability to continue to deliver an acceptable quality of services.
- Acts and/or omissions occurring as part of an intervention (including in the community) funded by the Commissioner that results in:
 - Unexpected or avoidable death of one or more people. This includes suicide/self-inflicted death; and homicide by a person in receipt of mental health care
 - Unexpected or avoidable injury to one or more people that has resulted in serious harm
 - Unexpected or avoidable injury to one or more people that requires treatment by a healthcare professional in order to prevent the death of the service user; or serious harm
 - Actual or alleged abuse; sexual abuse, physical or psychological ill-treatment, or acts of omission which constitute neglect, exploitation, financial or material abuse, discriminative and organisational abuse, self-neglect, domestic abuse, human trafficking and modern day slavery where the service did not take appropriate action/intervention to safeguard against such abuse occurring; or where abuse occurred during the provision of the funded service / intervention. This includes abuse that resulted in (or was identified through) a Serious Case Review (SCR), Safeguarding Adult Review (SAR), Safeguarding Adult Enquiry or other externally-led investigation, where delivery of the intervention /service caused/contributed towards the incident.

Northumbria OPCC SUI Process

- The Recipient must notify the Grant Manager (Commissioner's Grant Manager) of the SUI within 24 hours of the incident occurring via the SUI reporting form (supplied below).
- **Within 14 days of the incident occurring, the Recipient will carry out an investigation of the incident.** The Grant Manager will notify the Grant Recipient as soon as practicable if they:

- Determine that the incident does not meet the Commissioner's SUI definition* and therefore the process does not need to be carried out
 - Request actions in addition to the incident investigation
- At the 14-day point, the Recipient will provide an update to the Grant Manager, which will include notification of any high-risk issues or failures.
- A report regarding the investigation will be provided to the Grant Manager within 28 days, which will include findings and recommendations. If required, the Grant Manager/Commissioner may request further information or actions after submission of the report.
- The Grant Recipient will carry out and monitor any actions and recommendations arising from the investigation report.

NORTHUMBRIA OPCC SUI REPORTING FORM

PRIVATE & CONFIDENTIAL

Incident details:	
SUI number	
Date and time of incident	
Location of incident	
Type of incident (if death include cause of death if known)	
Description of incident	
Care afforded to client involved immediately prior to the incident	

Action taken:	
Immediate actions taken as a result of the incident including support to staff	
Action plan for further actions, including timescales and progress to date	

SUI form completed by:	
Name	
Job title	
Date	

ANNEX A – PAYMENT REQUEST

Funding will be released in as per the payment schedule at Schedule 1. Submission of this payment request form is required before the release of each payment.

Grant Recipient: XXXXX	Grant Stream: Police & Crime Commissioner for Northumbria
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Period: XXXXX	Resource (£)
(1) Total funding awarded this financial year (XXXX)	£XXXXXX
(2) Request for funding this period	£XXXXXX

Please only request funding for your expected forecast expenditure up until the end of the funding period.

Please note: it is important to ensure your figures in Annex A are consistent with your quarterly grant monitoring returns at schedule 3.

MONITORING INFORMATION REQUIREMENTS

Where monitoring information, as set out in schedule 3, is a requirement for the period the payment is requested for, please confirm what has been attached to this payment request form.

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CONFIRMATION BY GRANT RECIPIENT

I confirm that on the basis of the information provided in this report, progress and costs are accurate and in compliance with the terms and conditions of the Grant Agreement:

Signature:			
Name (printed):		Date:	
Position:			

OPCC Northumbria sign off:

Signature:						
Name		Date:				
Position:						
Agresso codes:		Cost centre	Account code (1)	Account code (2)	Project code	Supplier code

