

LASE Regulatory and Compliance Board

1. Constitution

- 1.1. The Vice Chancellor and Chief Executive Officer has established a committee known as the Regulatory and Compliance Board (RCB), which reports to the Vice-Chancellor's Executive (VCE). It has one subcommittee: the Health, Safety and Wellbeing Committee, which operates as the University Group's Health and Safety Committee.

2. Scope

- 2.1. The Regulatory and Compliance Board is responsible for overseeing and ensuring the University Group's compliance with legal and regulatory requirements in areas which are not the responsibility of other University Group executive committees. The areas covered by the Board include:

- UK Visa and Immigration (UKVI) compliance;
- Health, Safety and Wellbeing (delegated to the Health, Safety and Wellbeing Committee);
- Prevent duty;
- Protect duty (Martyn's Law);
- Safeguarding (including with respect to apprenticeships);
- Other compliance areas which may be assigned to the Board by VCE.

- 2.2. The Regulatory and Compliance Board oversees the development and implementation of the University Group's strategic approaches to the compliance areas within its remit. It reviews and approves regulations, policies and procedures to ensure the University Group's compliance with legal and regulatory requirements. It monitors compliance risks and approves action plans to address risks, setting and monitoring targets and KPIs to ensure compliance with legal and regulatory requirements. The Board may establish and oversee working groups to support its work.

3. Membership

- 3.1. The membership shall be as follows:

Ex Officio

- Group Chief Operating Officer (Chair)
- Group University Secretary (Vice-Chair)
- Group Chief Estate and Facilities Officer or nominee
- Group Chief People Officer or nominee
- Group Chief Student Officer or nominee
- Associate Director of Health and Safety Services (Greenwich)
- Head of Health, Safety and Environmental Sustainability (Kent)
- Head of Visa Compliance (Greenwich)
- Student Immigration Compliance Manager (Kent)
- General Counsel (Greenwich)
- Deputy Director, Legal and Compliance Services (Kent)
- 3 x Deputy Vice-Chancellors and Provosts or nominees

- 3.2. For the Regulatory and Compliance Board, the quorum is one third of the current

membership.

4. Attendance at meetings

- 4.1. At the discretion of the Chair, other staff who are not members of the Board may be invited to attend on an ad hoc basis for specific items where their attendance can inform and support the Board.

5. Frequency and format of meetings

- 5.1. The Regulatory and Compliance Board will normally meet five times in an academic year. The Chair may call additional meetings if necessary.
- 5.2. Meetings will be held either in-person, via electronic means (e.g. online) or via a hybrid format, as determined by the Chair. The Board may also decide matters by email circulation. In between meetings of the Board, the Chair of the Board is empowered to decide matters falling within the Board's remit by chair's action; matters decided by chairs action shall be reported to the next meeting of the Board.

6. Delegated Authority

Under the University Group's Executive Delegation Framework, the Board is authorised by the Vice-Chancellor to approve:

- 6.1. Regulations, policies, procedures and good practice relating to areas within the Board's remit. Ensure adherence to legal and regulatory requirements and best practice;
- 6.2. Plans to implement the University Group's strategies and ensure compliance with legal and regulatory requirements in the areas within the Board's remit;
- 6.3. Regularly review risks in the compliance areas within the Board's remit. Approve action plans to mitigate risks risk and improve performance, escalating risks to VCE where appropriate;
- 6.4. Establish and oversee projects to ensure compliance with legal and regulatory requirements;
- 6.5. Establish and monitor KPIs and targets to ensure compliance with legal and regulatory requirements;
- 6.6. Training and communication plans in the areas falling within the Board's remit;
- 6.7. UKVI: operational decisions related to the University Group's sponsor licence. Any decisions which have major implications for the University's international recruitment strategy to be referred to VCE;
- 6.8. UKVI: English language qualifications adopted by the University Group to meet the entry criteria for international students to enter the University Group;
- 6.9. Establish working groups to be overseen by the Board or its sub-committee and approve their membership and terms of reference.

7. Other Duties

The other duties of the Board shall be to:

Health, Safety and Wellbeing

- 7.1. Oversee the work of the Health, Safety and Wellbeing Committee and consider any matters referred to it by the Committee. Make recommendations to VCE in respect of the terms of reference and membership of the Committee;
- 7.2. Review the annual report on health and safety from the Health, Safety and Wellbeing Committee prior to its consideration by Vice-Chancellor's Executive (VCE), the Audit and Risk Committee and the Board of Governors;
- 7.3. Review strategic action plans and KPIs related to health, safety and wellbeing recommended by Health, Safety and Wellbeing Committee for approval by Vice-Chancellor's Executive (VCE);
- 7.4. Develop and review the University Group's emergency response and business continuity plans and monitor their effectiveness, ensuring that training and communication is in place;

UKVI compliance

- 7.5. Ensure that operational processes and controls are effective and meet the requirements of the University Group's UKVI License to recruit staff and students from outside the UK across all visa types;
- 7.6. Monitor the University Group's performance against UKVI's Basic Compliance Assessment and associated metrics, taking any necessary actions to ensure compliance;
- 7.7. Ensure staff across the University have access to appropriate information and guidance regarding their responsibilities with regard to UKVI compliance and that these responsibilities are understood. Ensure good communication on UKVI issues with the Colleges and Professional Services;
- 7.8. Ensure the University Group is appropriately prepared for any UKVI audit visits and oversee the preparation for audits;
- 7.9. Maintain and regularly review the University Group's UKVI risk register. Approve action plans to mitigate risks, escalating risks to VCE where appropriate. Oversee and manage risks relating to UKVI compliance aspects of any collaborative partnerships providing access to the University Group's sponsor license;

Prevent duty and Protect duty

- 7.10. Develop and monitor the University Group's Prevent risk assessment and action plan. Approve the Prevent duty annual report prior to its consideration by VCE, the Audit and Risk Committee and the Board of Governors;
- 7.11. Oversee actions in response to the Protect duty (Martyn's Law). Ensure that risk assessments are in place and monitor action plans to mitigate risks;

Safeguarding

- 7.12. Monitor the effectiveness of the University Group's arrangements for safeguarding. Consider anonymised statistics on ongoing and closed safeguarding cases, including any themes and lessons learnt;
- 7.13. Ensure that safeguarding requirements related to apprenticeships are met, co-ordinating with the Apprenticeships Management Committee;

General

- 7.14. Review new legislative requirements and regulations in the areas within the Board's remit, assess their implications and where necessary consider changes to or new policies and procedures;
- 7.15. Regularly scan the HE sector and other organisations for best practice and innovation in areas within the Board's remit which are worth considering for implementation. Provide a forum for sharing information and good practice;
- 7.16. Oversee any working groups established by the Board and ensure their effectiveness. Consider any proposals/recommendations from them;
- 7.17. Ensure active consideration of equality, diversity and inclusion in the conduct of the Board's business;
- 7.18. Have particular regard to the importance of freedom of speech and academic freedom in the committee's business, acting in accordance with the commitments in the University Group's Freedom of Speech Code(s) of Practice.

8. Reporting Procedures

- 8.1. The Regulatory and Compliance Board reports as follows:

- Frequently: through provision of the minutes of each meeting to the next meeting of the VCE. Additionally, an oral report (normally by the Chair/Vice-Chair) is delivered (along with other committee reports) as an item on VCE agendas;
- Periodically: via other policies, reports, plans and progress updates which it reviews and/or recommends for approval within the business cycle and its terms of reference;
- Ad hoc: where urgent Group-wide matters require direct escalation to the VCE for decision or discussion.

9. Secretarial Arrangements

- 9.1. The meeting will be clerked by the Group's University Secretary or their nominee.

10. Review

- 10.1. The Board will review its own effectiveness annually and in greater depth at a minimum of every three years. Reviews may be performed as part of wider governance effectiveness reviews;
- 10.2. These terms of reference will be reviewed annually to ensure their effectiveness and any amendments recommended to VCE for approval.

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