

Policy and Procedure on Reportable Events

1. Introduction

Under Condition F3 of the Office for Students (OfS) regulatory framework '*Securing student success: Regulatory framework for higher education in England (February 2018)*' (the "Conditions of Registration") there is a requirement for Higher Education Providers to inform the OfS of reportable events.

2. Definition of a Reportable Event

2.1 A reportable event is any event or matter that, in the reasonable judgement of the OfS, negatively affects or could negatively affect:

- a. The provider's eligibility for registration with the OfS.
- b. The provider's ability to comply with its conditions of registration.
- c. The provider's eligibility for degree awarding powers, or its ability to comply with the criteria for degree awarding powers, where the provider:
 - (i) holds degree awarding powers; or
 - (ii) has submitted an application for degree awarding powers to the OfS, and for which the OfS has yet to reach a final decision.
- d. The provider's eligibility for university title, where the provider:
 - (i) holds university title; or
 - (ii) has submitted an application for university title to the OfS, and for which the OfS has yet to reach a final decision.

2.2 In determining whether or not an event has occurred, the OfS will consider whether the event or matter is material "the materiality test".

2.3 The OfS provides a non-exhaustive, illustrative list of reportable events, which includes some events that are always reportable [see [table 1](#) appended to the policy].

3. Use of Policy and Procedure on Reportable Events

The *Policy and Procedure on Reportable Events* should be invoked if any of the events listed in [table 1](#) occur. This list is not definitive, and if in doubt follow the 'Procedure for Reportable Events' ([Section 4](#)) below.

The *Policy and Procedure on Reportable Events* is not an investigative or misconduct policy and it does not replace the use of the *Whistleblowing Policy* or *Anti-Fraud Policy*. The outcome of any whistleblowing investigation or fraud investigation under these policies, depending on the seriousness and materiality, may be reported to OfS under the *Policy and Procedure on Reportable Events*.

4. Procedure for Reportable Events

4.1 If you believe that a reportable event has or will occur, you should report it to the Director of Governance, Legal and Assurance Services (GLAS) in the first instance (copied to the Deputy Director of GLAS).

4.2 The event will be reviewed and discussed with other relevant senior members of staff including the Principal to consider whether it is material and should be reported. All

matters with a financial element or financial implication will be referred to the Director of Finance for consideration and advice.

- 4.3 The Audit Committee, Finance Committee and Council (or the Chairs on behalf of Audit and Finance Committee and Council) will be consulted if it is felt that the event is significant and material to the future sustainability of SGUL.
- 4.4 There will be no lower level of materiality for reporting any event or incident arising from investigations under the Anti-Fraud Policy, but fraud over £25,000 will routinely be considered for reporting to the OfS.
- 4.5 Other events or incidents will be assessed on a case by case basis to determine whether they should be reported to OfS, this includes legal and court action.
- 4.7 The Director of GLAS will record the reasons why the referred matter (from whatever route) is considered to be/not to be a reportable event.
- 4.8 All reportable events will be notified to Audit Committee, the Internal and External Auditors, and through the Audit Committee Report, to Council, and a record will be made on the Register of Reportable Events by the Director of GLAS.
- 4.9 The Director of GLAS or the Director of Finance will be responsible for submitting Reportable Events via the OfS Portal.

5. Timing of Submitting Reportable Events

- 5.1 For events or matters that have already happened, the event or matter should be reported to the OfS within five working days of the date that the event is identified.
- 5.2 For events or matters that have yet to happen and relate to compliance with the conditions of registration or to the authorisation for degree awarding powers or university title, the event should be reported within five working days of the matter or event being identified as material or as soon as reasonably practicable thereafter and without undue delay. Events in this category might include the closure of a campus, or a likely breach of banking covenants, or not being able to meet a deadline for the submission of data.
- 5.3 For events or matters that have yet to happen and relate to eligibility for registration with the OfS, the event should be reported within five working days of the matter or event being discussed with the Council, even where details may not be firm. Events in this category might include a change of ownership or control, or a plan to cease offering higher education courses.

Other Policies

- Anti-Fraud Policy and Response Plan
- Whistleblowing Policy
- Anti-Corruption Policy and Response Plan

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