



Update on legal compliance reporting

Outcome requested:	Audit and Risk Committee is asked to consider an update on legal compliance reporting.
Executive Summary:	<p>Previous legal compliance reporting to Audit and Risk Committee has followed an approach and timing established several years ago under the HEFCE regulatory framework. There is now an opportunity to refresh and reinvigorate our approach in the context of the OfS regulatory framework alongside recent work to strengthen reporting on institutional compliance risks. The purpose of this paper is to generate discussion on the Committee’s preferred approach for legal compliance reporting going forwards.</p> <p>The Committee’s terms of reference in relation to legal compliance are:</p> <p><i>to consider an annual report on exceptions to legal and statutory compliance from the Executive, and request follow up action, including investigation and reporting where identified.</i></p> <p>In addition to reporting on compliance exceptions and issues, it is proposed that future reports include insights from a rolling programme of engagement between the University’s Legal Counsel and compliance leads. This could cover topics such as the effectiveness of controls, the compliance culture and institutional learning. The first report in this format would be brought to the Committee in March 2024.</p>
QMUL Strategy: strategic aim reference and sub-strategies [e.g., SA1.1]	Good governance supports all aspects of the strategy
Internal/External regulatory/statutory reference points:	Audit and Risk Committee terms of reference Office for Students regulatory framework
Strategic Risks:	Compliance risks
Equality Impact Assessment:	N/A
Subject to prior and onward consideration by:	N/A
Confidential paper under FOIA/DPA	No

Timing:	N/A
Author:	Jonathan Morgan, Chief Governance Officer and University Secretary
Date:	08 November 2023
Senior Management/External Sponsor	Jonathan Morgan, Chief Governance Officer and University Secretary

Legal compliance reporting

1. Previous legal compliance reporting to Audit and Risk Committee has followed an approach and timing established several years ago under the HEFCE regulatory framework. There is now an opportunity to refresh and reinvigorate our approach in the context of the OfS regulatory framework alongside recent work to strengthen reporting on institutional compliance risks. The purpose of this paper is to generate discussion on the Committee's preferred approach for legal compliance reporting going forwards.
2. The Committee's terms of reference in relation to legal compliance are:

to consider an annual report on exceptions to legal and statutory compliance from the Executive, and request follow up action, including investigation and reporting where identified.
3. In addition to reporting on compliance exceptions and issues, it is proposed that future reports include insights from a rolling programme of engagement between the University's Legal Counsel and compliance leads. This could cover topics such as the effectiveness of controls, the compliance culture and institutional learning. The first report in this format would be brought to the Committee in March 2024.
4. The Committee's schedule of business also provides scope for deep dives on compliance issues. Potential topics for consideration include:
 - information governance;
 - freedom of speech and academic freedom
 - consumer protection
 - export controls
 - in-country engagement with international applicants.
5. The Committee is asked to discuss the approach to legal compliance reporting going forward and to agree priorities for compliance areas to be considered.