

REPORTABLE EVENTS (OFS) PROCEDURE

Document Type	Procedure
Document owner	Jenny Jenkin, Secretary & Registrar Ayisha Govindasamy, Head of Governance & Planning
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Related Policies & Procedures	Public Interest Disclosures/Whistleblowing Policy

1. SCOPE AND PURPOSE

- 1.1 This Reportable Events Procedure is intended to facilitate the reporting requirement prescribed by the Office for Students (OfS) under ongoing condition of registration F3 “Reportable Event” within the OfS Regulatory Framework for Higher Education in England and the OfS Terms and Conditions for Funding of Higher Education Institutions.
- 1.2 It provides staff and students of the London School of Hygiene and Tropical Medicine (LSHTM) and any other stakeholder with an outline of the process for the escalation of any adverse event or circumstance that materially affects the business of LSHTM.

2. DEFINITIONS

2.1 Reportable Events

A Reportable Event is one which arises from or is connected with LSHTM’s activities in the UK or abroad which negatively affects LSHTM’s eligibility for registration with the OfS, LSHTM’s ability to comply with the OfS ongoing Conditions of Registration, and/or LSHTM’s eligibility for degree awarding powers or university title. See Appendix for more details of the OfS Ongoing Conditions of Registration.

3. PROCEDURE

Notification of a reportable event to the OfS

- 3.1 In order to assist LSHTM in identifying and notifying reportable events to the OfS; staff, students and stakeholders should be aware of and understand how to report potential issues.
- 3.2 Any individual involved or connected to the business of the LSHTM, should report any incident which *could* be considered “*significant*”. If there is any doubt, the default should be to notify of the incident.

- 3.3 It is not the responsibility of a reporter to determine whether a report should be made to the OfS. Reports will be assessed by the Secretary & Registrar to determine whether the criteria for a Reportable Event have been met and therefore whether a report to OfS is required.
- 3.4 In the first instance, and as soon as reasonably practicable, details of the potential issue should be submitted to the Governance Team via committees@lshtm.ac.uk. An initial assessment will then be performed, including any necessary enquiries to clarify the incident, before referring to Secretary & Registrar for assessment.
- 3.5 When making a report, the reporting individual should include the following information:
- the nature of the incident or circumstance (so far as it is possible to describe this e.g. fraud, breach of the LSHTM's governing documents, the loss of accreditation);
 - the impact or potential impact the incident or circumstance has, or could have, on LSHTM;
 - the date of the incident or circumstance, or whether the incident or circumstance is suspected;
 - the names of any individuals involved connected in the incident or circumstance;
 - whether the reporting individual reported the incident or circumstance to another individual, authority or regulatory body before making a report in accordance with this Policy or is under an obligation so to do;
 - details of any ongoing inquiries into the incident or circumstance and any actions taken to date; and
 - Whether any existing applicable School policies have been consulted (e.g. Public Interest Disclosure/Whistleblowing Policy)
- 3.6 All Reportable Events will be reported to the Audit and Risk Committee and Council.
- 3.7 All incidents will also be recorded in the Audit and Risk Committee Annual Report to the Council and the Office for Students.

4. APPENDICES

- 4.1 OfS Conditions of Registration
- 4.2 OfS Reportable Events Guidance
- 4.3 OfS Third Party Notifications