



Non-Compliance Policy

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Definitions

Non-compliance: Is the failure to comply with regulatory and business rules and regulations including Company policy and procedures.

The Learn and Move Group: Includes all legal entities, employees and contractors associated with The Learn and Move Group.

Compliance Management Model: Non-Compliance policy, processes and activities which govern Compliance at The Learn and Move Group.

Authorities: Such as the Department for Education, Ofsted, HMRC, Local Authorities, Health and Safety Executive, Association for Physical Education, Sport England, Governing bodies for sports.

Regulators: Means a relevant authority with obligations to enforce an Act, Regulation, Code or License that imposes constraints or obligations on The Learn and Move Group.

1. Purpose of this Policy

The purpose of this Policy is to set a consistent process for the effective management, recording and reporting of non-compliances. The Compliance Manager is responsible for the categorisation of non-compliances to form a report of Non-Compliance Reports (NCR's), which helps to identify operational breakdowns and target improvement measures.

An enhanced control environment significantly reduces the likelihood of incurring larger operational impacts in the future. Timely identification and reporting of non-compliances assists The Learn and Move Group to:

- understand the underlying cause of a non-compliance;
- implement an appropriate resolution to remedy the non-compliance and prevent a recurrence;
- improve business operations to maximise performance;
- Improve and enhance employee performance;
- and ensure we meet our regulatory obligations in relation to breach reporting.

2. Scope of this Policy

This policy applies to all employees and subcontractors of The Learn and Move Group. This policy is not a stand-alone document but is supported by operational policies, procedures and processes. This policy will remain in force until notification is issued of the policy being superseded by an appropriately approved new version.

The scope of the Policy extends to obligations imposed by:

- Statutory and regulatory requirements;
- Learn and Move Group policies, standards, procedures and compliance plans;
- Relevant industry codes of conduct and practice notes;
- Reasonable community expectations and accepted community ethical standards

3. Policy Review Cycle

This Policy is to be reviewed on an annual basis or when there is a significant change to the business, which may impact this policy.

4. Responsibilities

In relation to management of non-compliance the following responsibilities exist:

4.1 Management

Managers must consistently convey the message that The Learn and Move Group is committed to meeting its compliance obligations and provide an environment, which embraces active identification and notification of potential non-compliances for appropriate assessment. Managers are required to encourage employees to identify and report non-compliances to ensure effective operational risk management across The Learn and Move Group. Managers are responsible for ensuring appropriate training is identified, organised and delivered (including the maintenance of training records) for their respective departments.

4.2 Compliance Manager

The Compliance Manager is responsible for the Compliance Management Model and associated policies and procedures, including the ongoing maintenance and training requirements. The role is also responsible for reviewing non-compliance reports that are added to the non-compliance database and

associated reporting requirements.

4.3 All employees

All employees are responsible for identifying and then reporting non-compliances through the online web link in accordance with this Policy. All employees need to work towards ways to improve our compliance performance. All employees must be trained with respect to the importance and application of compliance in their daily business conduct. All employees have an ongoing responsibility to report all incidents of non-compliance. Incidents of willful non-compliance with this Policy are considered to be serious and will be dealt with in accordance with the Company's normal disciplinary process which may lead to dismissal.

5. Non-Compliance Reporting Requirements

5.1 Identification of Non-Compliance

On identification of a non-compliance the employee must report the matter immediately, or as soon as possible, through the online web link ([Non-compliance report form](#)), for the Compliance Manager to review.

5.2 Record Keeping

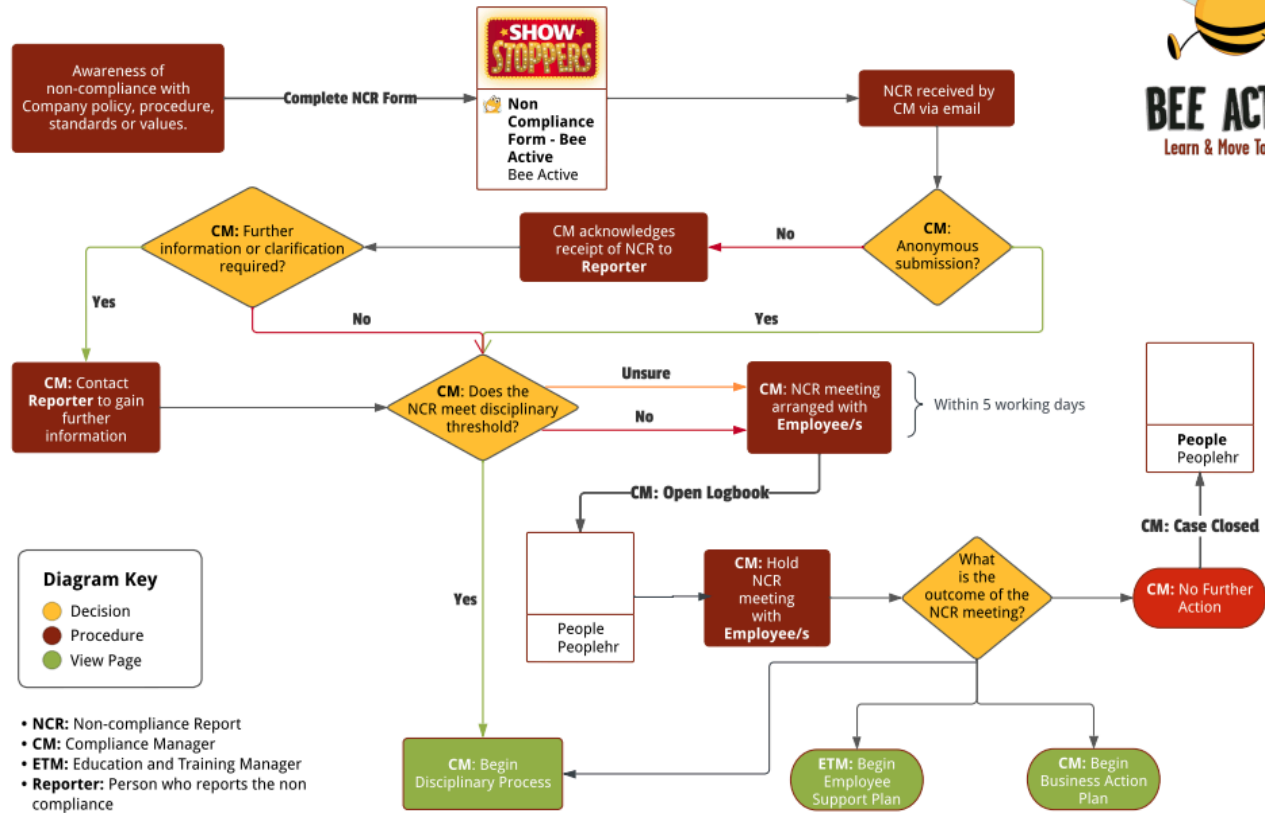
As part of the The Learn and Move Group Compliance Management Model, the Compliance Manager will;

- maintain a non-compliance database;
- provide reporting to the Management team.

All non-compliance reports will be kept on the Company file indefinitely

6. The Process

Non-Compliance Process



7. Non-Compliance Assessment and Outcomes

Non-compliance is assessed in relation to the risk to the business, its customers and/or its employees and in relation to Company values, policies and procedures.

The three major risks of non-compliance to businesses are hefty fines, reputation damage and/ or legal action. Other major risks include injury to staff or participants, a safeguarding concern, loss of business or operational disruptions.

Relevant action will be taken once the non-compliance report has been reviewed and risk determined. Recurrence of the same non-compliance incident may also lead to the outcome being escalated.

Possible outcomes for employees from a non-compliance include;

- Disciplinary against the employee concerned
- A Business Action Plan
- An Employee Support Plan
- No further action.

8. Training and Awareness

Management must ensure that the employees of their department are trained with respect to their responsibilities, the importance of compliance, the way in which the compliance process works and their responsibilities with regard to the operational procedures. Employees must be made aware of their responsibilities of the reporting of non-compliance.

9. Related Policies

([Learn and Move Group Policies](#))