

## **Compliance (Data) Committee Terms of Reference**

### **Delegated Powers**

Compliance Committee is a sub-committee of the Executive Board and has delegated powers from Executive Board.

### **MEMBERS**

#### **Ex officio members:**

Senior Information Risk Owner (SIRO) – chair  
University Data Protection Officer (Information Governance Manager, Cervus+)  
Director of Support and Operations  
Head of Information Security  
Director of Research, Innovation and Impact (or nominee)

#### **IN ATTENDANCE**

Head of Assurance and Operations, Cervus+  
RIS head of Assurance  
Information Governance Officer and Deputy DPO, Cervus+  
Cervus+ Internal Audit Consultant  
Committee secretary

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### ***Risk based Assurance***

1. To receive a summary report on the data risk environment, identifying emerging trends or risks out of appetite and hold individual areas to account on their management of risk.
2. To receive matters escalated to the Compliance (Data) Committee from the other two sub-committees or Executive Board.
3. To escalate to EB any risk outside risk appetite that cannot be treated, tolerated, transferred or terminated.
4. To review internal audits and other assurance activity against areas under the remit of the Compliance (Data) Committee including monitoring progress with addressing significant findings.
5. To receive reports on incidences and breaches relevant to this Committee and to escalate significant ones to Executive Board which may impact on Our Data performance metrics.
6. To receive reports from the Freedom of Information Review Panel and approve the membership of the panel.

### ***Performance Setting and Monitoring***

7. To make recommendations to the Executive Board for targets and objectives, including KPIs and lead indicators, based upon Our Data Policy Statement and other strategic KPIs and lead indicators.
8. To monitor performance against KPIs and lead indicators and escalate to EB any significant non-performance where this impacts on University level KPIs.
9. To monitor and review the adequacy of the University's arrangements for communication, training, consultation and co-operation on operational matters under the remit of the Our Data Policy, including Equality, Diversity and Inclusion and Marketing and Recruitment.

### ***Policy Statements and Procedures***

10. To review annually the Our Data Policy Statement for recommendation to Executive Board (for approval).
11. To approve procedures and other supporting documentation under Our Data Policy.

***Projects and Programmes Process***

12. To approve low category projects (using discretion to refer to Executive Board for approval where required).
13. To consider in-year medium and high category project feasibility and business cases for recommendation to Executive Board.

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**PROCEDURES**

**Quorum**

The quorum shall be half of its members. In the case of an equal vote, the Chair shall have a casting vote.

**Frequency of Meetings**

Four times a year

**Reporting Arrangements**

A report is provided by this Committee quarterly to Executive Board.

**Decision making outside of meetings**

Decisions may exceptionally be taken by Chair's action. At the discretion of the Chair, decisions may also be passed by email circular, or similar electronic means, provided all members are copied into the electronic exchange.

In such instances, for such a decision to be valid, not less than 75% must reply to the Secretary to confirm their agreement. The Secretary shall forward a compilation of responses to the Chair and shall confirm to all members that the decision has been passed. A copy of the decision signed by the Chair shall be treated as properly passed by a meeting duly convened and held.

The date of the decision shall be the date upon which the Secretary confirms to all members that it has been passed. The Secretary shall be responsible for ensuring that decisions made by email are reported to the next meeting and for retaining an appropriate record.