

## **Governance, Legal and Compliance Policy**

Reviewed: February 2026

### **PART ONE**

#### **General Statement of Policy, Duties & Responsibilities**

##### **1.1 Policy Statement**

Vertex Learning Hub is committed to operating with integrity, transparency, and accountability. Effective governance, legal compliance, and regulatory oversight are essential to ensuring high-quality learning provision, safeguarding learners, protecting stakeholders, and maintaining public confidence.

This Governance, Legal & Compliance Policy sets out how Vertex Learning Hub ensures that it meets its legal obligations, complies with regulatory and CPD requirements, and operates within a clear governance framework that supports strategic direction, quality assurance, and continuous improvement.

This policy applies to all staff, associates, contractors, learners, and stakeholders involved in or affected by the operation of Vertex Learning Hub.

This policy will be reviewed annually or sooner in response to legislative change, regulatory updates, or organisational review.

##### **1.2 Aims of the Policy**

The aims of this policy are to:

- Ensure effective governance and leadership;
- Maintain compliance with relevant legislation and regulations;
- Meet CPD and awarding organisation requirements;
- Promote ethical conduct and accountability;
- Protect learners, staff, and the organisation;
- Support continuous improvement and risk management.

### **PART TWO**

#### **Governance Framework**

##### **2.1 Governance Structure**

Vertex Learning Hub operates under a clear governance structure that provides:

- Strategic oversight and direction;
- Accountability for quality, safeguarding, and compliance;
- Clear decision-making and reporting arrangements;
- Separation of operational delivery and governance oversight where appropriate.

The governance structure may include:

- Director / Centre Lead; • Senior Management or Advisory Group (where applicable); • Designated leads for quality, safeguarding, and compliance.

## 2.2 Roles and Responsibilities

### Director / Centre Lead

The Director or Centre Lead is responsible for:

- Overall leadership and governance; • Ensuring legal and regulatory compliance; • Approving policies and procedures; • Ensuring adequate resources and systems are in place; • Monitoring organisational performance and risk.

### Senior Management / Advisory Oversight (where applicable)

Those with governance or advisory responsibilities will:

- Provide strategic challenge and support; • Monitor quality, safeguarding, and compliance; • Review performance data and risks; • Support continuous improvement.

## **PART THREE**

### **Legal and Regulatory Compliance**

#### 3.1 Legislative Compliance

Vertex Learning Hub is committed to complying with all relevant legislation, including but not limited to:

- Equality Act 2010 • Safeguarding legislation (Children Act, Care Act) • Health and Safety at Work Act 1974 • Data Protection Act 2018 and UK GDPR • Employment and contract law • Counter-Terrorism and Security Act 2015 (Prevent Duty)

Compliance responsibilities are shared across the organisation and embedded into policies, procedures, and practice.

#### 3.2 CPD and Awarding Organisation Compliance

Vertex Learning Hub will:

- Meet CPD standards and conditions of accreditation; • Comply with awarding organisation requirements where applicable; • Cooperate with audits, reviews, and inspections; • Maintain accurate and auditable records; • Act on actions or recommendations from external bodies.

## **PART FOUR**

### **Policies, Procedures and Risk Management**

#### **4.1 Policy Framework**

Vertex Learning Hub will maintain a comprehensive suite of policies and procedures covering, including:

- Safeguarding (Adults & Children); • Equality, Diversity & Inclusion; • Quality Assurance & Continuous Improvement; • Learning & Assessment; • Trainer Competence & CPD; • Health & Safety; • Complaints and Appeals; • Data Protection and Confidentiality.

Policies will be reviewed regularly and communicated to relevant stakeholders.

#### **4.2 Risk Management**

Vertex Learning Hub will:

- Identify and assess organisational risks; • Implement controls to mitigate risk; • Review risks regularly; • Escalate significant risks to senior leadership; • Use risk management to inform decision-making and planning.

## **PART FIVE**

### **Ethical Practice and Accountability**

#### **5.1 Ethical Conduct**

Vertex Learning Hub expects all staff and associates to:

- Act with honesty and integrity; • Avoid conflicts of interest; • Treat learners and colleagues with respect; • Uphold professional boundaries; • Report concerns or wrongdoing appropriately.

#### **5.2 Transparency and Accountability**

Vertex Learning Hub will:

- Maintain clear records and documentation; • Respond appropriately to complaints and appeals; • Use feedback to improve practice; • Ensure decision-making is fair and evidence-based.

## **PART SIX**

### **Monitoring, Review and Continuous Improvement**

#### **6.1 Monitoring and Assurance**

Governance and compliance will be monitored through:

- Internal audits and reviews;
- Quality assurance processes;
- Learner and stakeholder feedback;
- Performance data and risk review;
- External audit or inspection outcomes.

## 6.2 Continuous Improvement

Findings from monitoring and review will:

- Inform improvement actions;
- Be incorporated into quality improvement planning;
- Be reviewed to ensure effectiveness.

## **PART SEVEN**

### **Policy Review and Communication**

This policy will be:

- Communicated to all staff and relevant stakeholders;
- Made available on request;
- Reviewed annually;
- Updated in response to legislative, regulatory, or organisational change.

Approved by Vertex Learning Hub Management

Signed: \_\_\_\_\_

(Director / Centre Lead)

Date: \_\_\_\_\_