

## Annex E: Model annual assurance return from institutions

1. This return is to be submitted as part of the annual accountability returns exercise, the timetable for which will be specified annually in a circular letter. The purpose of the return is to confirm that each higher education institution (HEI) has met its obligations to HEFCE under the Financial Memorandum, and with the Concordat to support research integrity. The return also confirms that the institution is complying with its duties as a charity, thus enabling HEFCE to fulfil its responsibility as principal regulator.
2. The return is in two parts.
  - a. Part 1 should be signed by the accountable officer of all HEIs.
  - b. Part 2 is not required from HEIs that either are not a charity or are registered with and make an annual return directly to the Charity Commission. For all other HEIs, Part 2 should be signed by the accountable officer, unless he or she is not a trustee, in which case it should be signed by an appropriately authorised trustee. The return should normally have been approved by the governing body.

**Institution** .....

**Year ended** .....

<b>Part 1</b>	
Can you confirm that in this period the institution has met its responsibilities to HEFCE (the conditions of grant) as set out in the Financial Memorandum?	
Please indicate whether the institution has been able to comply with the research integrity Concordat (or if not, whether it has been working towards compliance)	
Have there been any changes of senior officer in the period that have not been reported to HEFCE, including to the chairs of the governing body and audit committee or the heads of finance and internal audit?	
Have there been any material adverse changes that should have been notified during the period or to date that now need to be brought to our attention in line with paragraph 18 and Annex B, paragraphs 14 to 17, of the Financial Memorandum? If so, please provide details.	

## HEFCE 2014/20 Annual accountability returns 2014

This is to confirm that the data and annual accountability returns submitted to HEFCE conform to the requirements of the Financial Memorandum and published guidance. The data have been subject to effective oversight and management review. Quality assurance has been provided to the audit committee, which in turn has been able to provide assurance to the governing body and myself as accountable officer.

Signed ..... Print name .....

Date .....

### Part 2

I confirm that, in all material respects, the institution has conducted its affairs during the year in accordance with its status as a charity.

Apart from material adverse changes (see Part 1), the institution either:

- has reported any serious incidents (as defined in the Financial Memorandum Annex B, paragraphs 14 to 17 and Annex H, paragraphs 8 to 11); or
- now attaches a report of serious incidents not previously reported.

I confirm that the institution continues to maintain accurate and up-to-date records of all its paragraph 28 connected exempt charities and is in a position to make information about them available to HEFCE on request.

Or

I confirm that the institution has no paragraph 28 connected exempt charities.

**[Delete whichever statement does not apply.]**

Signed as a trustee on behalf of all of the trustees:

Signed ..... Print name .....

Date .....