

## Annex E: Annual assurance return template for completion

1. This return is to be submitted as part of the annual accountability returns exercise and its purpose is to confirm that each higher education institution (HEI) has met its obligations to HEFCE under the Memorandum of Assurance and Accountability. 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, for 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 they are 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** .....

Part 1	Yes/No/Comment
Can you confirm that in this period the institution has met its responsibilities to HEFCE (the conditions of grant) as set out in the Memorandum of Assurance and Accountability?	
Please indicate whether the institution has been able to comply with the Concordat to support research integrity.	

<p>Please confirm that:</p> <p>a. Your institution has reviewed its arrangements for identifying and addressing early signs of student concerns or complaints;</p> <p>b. A report of this review, including analysis of any high frequency or particularly serious complaints, has been scrutinised by the relevant governance body within the institution; and</p> <p>c. Any early signs of issues or complaints identified in the report have, or are being, addressed.</p>	
<p>Please confirm that any Teaching and/or Research Capital Investment Funding you received in 2014-15 has been spent within the year for the purposes intended.</p>	
<p>If you have received funding for very high cost science, technology, engineering and mathematics subjects, please confirm that your institution has maintained provision of taught programmes in these disciplines.</p>	
<p>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?</p>	
<p>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 57 of the Memorandum of Assurance and Accountability? If so, please provide details.</p>	

This is to confirm that the data and annual accountability returns submitted to HEFCE conform to the requirements of the Memorandum of Assurance and Accountability. The data has 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 Memorandum of Assurance and Accountability, paragraphs 10 to 17 in Annex E); 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 .....