

Annex A: Proposed notice under section 3(5) of HERA

Proposed Notice under Section 3(5) of the Higher Education and Research Act 2017. The manner and form of an application for Office for Students (“OfS”) registration and the information to be contained in it or provided with it.

Whereas:

- A. For the purpose of assisting the OfS in performing any function, or exercising any power, conferred under any legislation, the OfS has the power under section 3(5) of the Higher Education and Research Act (HERA) 2017 to determine:
 - ‘(a) the form of an application for registration in the register (or in a particular part of the register),
 - (b) the information to be contained in it or provided with it, and
 - (c) the manner in which an application is to be submitted.’
- B. The OfS has functions which include (but are not limited to) maintaining a register of English higher education providers and assessing registration applications in accordance with section 3(3) of HERA. The OfS must establish and maintain a register (section 3(1) of HERA); the OfS must determine and publish initial registration conditions (section 5(1) of HERA); and the OfS must register an institution if it complies with section 3(3) of HERA.

Therefore:

- C. Under section 3(5) of the Higher Education and Research Act 2017, any provider that wishes to submit an application for registration in the OfS register is required to provide to the OfS or any person nominated by the OfS, the Specified Information in the Specified Time and in the Specified Manner as set out in Schedule 1 of this Notice, and
- D. The information contained in the application or provided with it must be accurate.

Definitions

- 1. “**Specified Information**” means the information set out in the column “Specified Information” of the table at Schedule 1 of this Notice and in accordance with clause D of this notice.
- 2. “**Specified Time**” means the deadline for provision of the Specified Information as set out in the column ‘Specified Time’ of the table at Schedule 1 of this notice.
- 3. “**Specified Manner**” means that the Specified Information must be provided to the OfS or any person nominated by the OfS in the manner set out in the column “Specified Manner” of the table at Schedule 1 of this notice.
- 4. “**Relevant Individual**” means all of the following:
 - a. any member of the provider’s **governing body**;
 - b. the individual proposed as the accountable officer for the purposes of ongoing condition E3;

- c. the individual(s) proposed to hold overarching responsibility for the management of the provider's financial affairs;
 - d. any **company director** of the provider;
 - e. any **company secretary** of the provider;
 - f. any individual who holds more than 25 per cent of the shares in the provider;
 - g. where the provider has a parent company, any individual who holds more than 25 per cent of the shares in that parent company; and
 - h. any individual who would have significant overarching responsibility for ensuring that the provider complies with the ongoing conditions of registration (if registered).
5. **“Control”** has the meaning given by section 1124 of the Corporation Tax Act 2010, and **‘change of control’** means a change in control so defined. Where two or more entities or individuals, by agreement or practice, exercise their rights in a coordinated way, with the result that they together have control so defined, each will be treated as having control of the provider. A provider is required to notify the OfS of any change in the individual(s) or entity(ies) who have control of the provider.

Schedule 1 Part A

Element of registration	Providers this is applicable to	Specified information	Specified time	Specified manner	Reference to consultation proposal ¹	
General	All providers	The OfS's registration application form which includes the following sections:	To be submitted with application	Via the OfS Portal	This is a current requirement as set out in Annex C of Regulatory advice 3 ²	
		Provider details				
		Application details				
		Corporate information				
		Subcontractual arrangements				
		Validation arrangements				
		Key individuals				This section may be amended in response to this consultation
		Shareholders				This section may be amended in response to this consultation
		Additional directors and trustees				This section may be amended in response to this consultation

¹ This column has been added to the proposed draft notice to refer consultation respondents to the relevant proposal in the consultation document. Where the element of registration is not part of a proposed change, reference is made to the relevant regulatory framework paragraph and regulatory advice and guidance.

² See [Regulatory advice 3: Registration of English higher education providers with the OfS](#).

Element of registration	Providers this is applicable to	Specified information	Specified time	Specified manner	Reference to consultation proposal ¹
Use of sensitive term 'University' or 'University College'	Any provider proposing to be registered with a name containing 'University' or 'University college' in its business, or trading, name, under the Companies Act are sensitive terms	A letter of non-objection from the Department for Education to use of this sensitive term in the provider's business/trading name ³	To be submitted with application	Via the OfS Portal	This is a current requirement as set out in Annex C of Regulatory advice 3
General	All providers	<p>A diagram showing the provider's corporate structure and ownership. The diagram should:</p> <ul style="list-style-type: none"> include all legal and beneficial owners of the provider (direct and indirect) including the ultimate beneficial owner, whether individuals or corporate entities include any trusts with ownership interests (direct or indirect) in the provider together with an explanation of what ownership interests the trust has and the nature of the trust, including whether it is owned by any other legal or natural person and who its beneficiaries are illustrate the provider's position alongside its parent and subsidiary undertakings (where it has these), as defined by the Companies Act 2006 include other entities that fall under a common parent undertaking to the provider applying to be registered 	To be submitted with application	Via the OfS Portal	Part 3: Proposal 2d (diagram showing corporate structure and ownership)

³ The process for seeking this letter is as described in government guidance, [Use of university, polytechnic and higher education in business and company names \(other than for university and university college title\)](#) - GOV.UK.

Element of registration	Providers this is applicable to	Specified information	Specified time	Specified manner	Reference to consultation proposal ¹
		<ul style="list-style-type: none"> illustrate the relationship between all individuals and entities shown 			
General	All providers	<ul style="list-style-type: none"> A completed investigations declaration form (Appendix 4) 	To be submitted with application	Via the OfS Portal	Part 3: Proposal 3 (historical and current investigations)
A1	Providers applying in the Approved (fee cap) category that will, if OfS registration is granted, have students on courses subject to the regulated undergraduate tuition fee regime and intending to charge higher fees	<ul style="list-style-type: none"> An access and participation plan that meets the requirements set out in OfS Regulatory notice 1⁴ Supporting information about fees, targets and investment as set out in OfS Regulatory notice 1 	To be submitted with application	Via the OfS Portal	This is a current requirement as set out in Annex C of Regulatory advice 3
A2	Providers applying in the Approved (fee cap) category and intending to charge basic fees and Providers in the Approved category	<ul style="list-style-type: none"> An access and participation statement and a link to where this is published 	To be submitted with application	Via the OfS Portal	This is a current requirement as set out in Annex C of Regulatory advice 3
B7	All providers	<ul style="list-style-type: none"> A quality plan which explains for each of the requirements in conditions B1, B2 and B4 what the provider's plans and processes are for achieving compliance with each requirement, and any evidence which it considers demonstrates 	To be submitted with application	Via the OfS Portal	This is a current requirement as set out in Annex C of Regulatory advice 3

⁴ See [Regulatory notice 1: Access and participation plan guidance](#).

Element of registration	Providers this is applicable to	Specified information	Specified time	Specified manner	Reference to consultation proposal ¹
		<p>compliance with the requirements set out in Annex H of Regulatory advice 3⁵</p> <ul style="list-style-type: none"> Detailed supporting evidence as set out in Annex H of Regulatory advice 3⁶ An itemised list of each piece of supporting evidence submitted as set out in Annex H of Regulatory advice 3⁷ 			
B8	All providers	<ul style="list-style-type: none"> Provider information form in the template provided at Annex J of Regulatory advice 3⁸ 	To be submitted with application	Via the OfS Portal	This is a current requirement as set out in Annex C of Regulatory advice 3
B8	All providers	<ul style="list-style-type: none"> Final or draft course documentation which will be determined from the information submitted by the provider in the provider information form on the template in Annex J of Regulatory advice 3⁹ Where a provider has delivered or is delivering courses that are intended to be provided if registered, and there is evidence of student achievement in relation to those courses, evidence of student achievement in assessed work 	This information will be requested by the OfS when the provider is referred for a quality and standards assessment. The OfS will write to the provider to advise what information should be submitted This	Via the OfS Portal	This is a current requirement as set out in Annex C of Regulatory advice 3

⁵ See [Regulatory advice 3: Registration of English higher education providers with the OfS](#).

⁶ See [Regulatory advice 3: Registration of English higher education providers with the OfS](#).

⁷ See [Regulatory advice 3: Registration of English higher education providers with the OfS](#).

⁸ See B8 provider template at: [Regulatory advice 3: Registration of English higher education providers with the OfS](#).

⁹ See B8 provider template at: [Regulatory advice 3: Registration of English higher education providers with the OfS](#).

Element of registration	Providers this is applicable to	Specified information	Specified time	Specified manner	Reference to consultation proposal ¹
		and associated records of this achievement should be submitted as described in Annex I of Regulatory advice 3	information is to be submitted within five working days of the OfS's request		
B7, B8	Any provider that is referred for a quality and standards assessment as part of the assessment of its registration application	<ul style="list-style-type: none"> • Proof of payment, by the agreed deadline, of the fee for the OfS's quality and standards assessment 	<p>Providers will need to provide this when referred for a quality and standards assessment. The OfS will write to the provider to confirm when it requires this.</p> <p>Proof of payment It is to be submitted within ten working days of the OfS's request</p>	Via the OfS Portal	New requirement. If a provider does not pay for a quality and standards assessment (if it is referred for one) the OfS cannot proceed with its assessment and may therefore refuse registration
C5 (subject to adopting the proposals in this consultation relating to condition C5)	All providers	<ul style="list-style-type: none"> • Template contract(s) that set out terms and conditions for the provision of higher education. This must include all of the following that apply to the provider's circumstances: <ul style="list-style-type: none"> ○ template contract(s) between the provider and any students it will teach; ○ template contract(s) between other parties and any students 	To be submitted with application	Via the OfS Portal	Part 1: Proposal 6 (treating students fairly)

Element of registration	Providers this is applicable to	Specified information	Specified time	Specified manner	Reference to consultation proposal ¹
		<p>the provider will teach. This includes:</p> <ul style="list-style-type: none"> ▪ template contract(s) between students the provider will teach and any other higher education provider, where the provider seeking registration is delivering higher education on behalf of that provider (for example, through a subcontractual arrangement); ▪ relevant extracts of template contracts between apprentice students and their employer where there are specific terms and conditions related to the higher education that will be delivered by the provider seeking registration. <ul style="list-style-type: none"> ○ template contract(s) between the provider and any students that will be taught by another party on the provider's behalf; ○ template contract(s) between other parties and students that will be taught by those parties on the provider's behalf. 			

Element of registration	Providers this is applicable to	Specified information	Specified time	Specified manner	Reference to consultation proposal ¹
		<p>These template contracts must include terms related to any tuition fees payable and any additional costs that may apply (including but not limited to additional fees to re-sit exams).</p> <ul style="list-style-type: none"> Any template contracts (including terms and conditions) between a student and the provider for the following ancillary services or facilities (where the provider offers these and there is a separate contract that students are required to sign): <ul style="list-style-type: none"> library services disability support packages scholarships accommodation sports facilities Any policy (or policies) relating to the circumstances in which the provider may make changes to: <ul style="list-style-type: none"> courses (including changes to material components or content of a course, changes to subjects offered and course closure) qualifications to be awarded (including circumstances where a validating partner has withdrawn validation) modes of study (including full-time, part-time, online and hybrid provision, and including measures to address the needs of specific student groups, including accessibility needs) 			

Element of registration	Providers this is applicable to	Specified information	Specified time	Specified manner	Reference to consultation proposal ¹
		<ul style="list-style-type: none"> ○ teaching location and facilities (including closure of a campus, building or other facilities, and including measures to address the needs of specific student groups, including accessibility needs) ○ course fees and other related fees or charges (for example, additional fees to re-sit exams) • Complaints process(es) related to the provision of higher education - where there are different processes for different categories of student, all must be submitted • Any policy (or policies) that set out the terms for refund and compensation for higher education students • A completed initial condition C5 declaration form (see Appendix 1) • A completed initial condition C5 submission checklist (see Appendix 2) 			
D	All providers	<ul style="list-style-type: none"> • Financial and student number tables in the template provided by the OfS which must be completed in compliance with the OfS guidance for providers about the financial information required for registration¹⁰ 	To be submitted with application	Via the OfS Portal	This is a current requirement as set out in Regulatory advice 3 and 'Guidance for providers

¹⁰ See 'Guidance for providers about the financial information required for registration' at [Regulatory advice 3: Registration of English higher education providers with the OfS](#).

Element of registration	Providers this is applicable to	Specified information	Specified time	Specified manner	Reference to consultation proposal ¹
		<ul style="list-style-type: none"> Detailed commentary to accompany the financial and student number tables to explain the data you have provided which must be completed in compliance with the OfS guidance for providers about the financial information required for registration¹¹ If financial support is being guaranteed to the provider by a third party, a legally binding obligation of financial support from that third party that meets the requirements set out in paragraphs 403 to 407 of the OfS's regulatory framework¹² and audited financial statements for the previous three years for that third party 			about financial information required for registration'
D	All providers	<ul style="list-style-type: none"> Financial scenario planning, accompanying commentary and mitigating actions (in a template that will be provided by the OfS specifying the scenarios to be planned for subject to the outcomes of this consultation) 	To be submitted with application	Via the OfS Portal	Part 3: proposal 2a (financial scenario planning)
D	All providers	<ul style="list-style-type: none"> Updated financial and student number tables in the template provided by the OfS which must be completed in compliance with the OfS guidance for 	A provider will need to submit this information once the quality and standards	Via the OfS Portal	Part 3: proposal 2b (updated financial and student numbers table)

¹¹ See Guidance for providers about the financial information required for registration' at [Regulatory advice 3: Registration of English higher education providers with the OfS](#).

¹² See [Regulatory framework for higher education in England](#).

Element of registration	Providers this is applicable to	Specified information	Specified time	Specified manner	Reference to consultation proposal ¹
		<p>providers about the financial information required for registration¹³</p> <ul style="list-style-type: none"> Detailed commentary to accompany the financial and student number tables to explain the data you have provided as set out in the guidance for providers about the financial information required for registration 	<p>assessment is complete.</p> <p>The OfS will write to notify the provider that this information is required.</p> <p>It is to be submitted within 60 working days of the OfS's request</p>		
D	Providers that have been in operation and providing higher education for more than three years	<ul style="list-style-type: none"> Full audited (and where providers have subsidiaries consolidated) financial statements for the three most recent years. Audited financial statements must be prepared on the basis of the Financial Reporting Standard 102 (FRS 102) or the International Reporting Standards (IFRS) and include all of the following: <ul style="list-style-type: none"> A 'Statement of financial position' (balance sheet) A 'Statement of comprehensive income' incorporating profit or loss for the period and items of other comprehensive income A 'Statement of changes in equity' or a 'Statement of income and retained earnings' or a 'Statement of changes in reserves' 	To be submitted with application	Via the OfS Portal	This is a current requirement as set out in Regulatory advice 3 and 'Guidance for providers about financial information required for registration'.

¹³ See Guidance for providers about the financial information required for registration' at [Regulatory advice 3: Registration of English higher education providers with the OfS](#).

Element of registration	Providers this is applicable to	Specified information	Specified time	Specified manner	Reference to consultation proposal ¹
		<ul style="list-style-type: none"> ○ A 'Statement of cash flows' ○ Notes to the financial statements ○ Be signed by the provider's external auditor and by its chief executive 			
	Providers that have been in operation and providing higher education for fewer than three years	<ul style="list-style-type: none"> • Full audited (and where providers have subsidiaries consolidated) financial statements for as many of the last three years as the provider has been providing higher education. Audited financial statements must be prepared on the basis of the Financial Reporting Standard 102 (FRS 102) or the International Reporting Standards (IFRS) and include all of the following: <ul style="list-style-type: none"> ○ A 'Statement of financial position' (balance sheet) ○ A 'Statement of comprehensive income' incorporating profit or loss for the period and items of other comprehensive income ○ A 'Statement of changes in equity' or a 'Statement of income and retained earnings' or a 'Statement of changes in reserves' ○ A 'Statement of cash flows' ○ Notes to the financial statements ○ Be signed by the provider's external auditor and by its chief executive 	To be submitted with application	Via the OfS Portal	This is a current requirement as set out in Regulatory advice 3 and 'Guidance for providers about financial information required for registration'.

Element of registration	Providers this is applicable to	Specified information	Specified time	Specified manner	Reference to consultation proposal ¹
	All providers	<ul style="list-style-type: none"> Audited financial statements (and where providers have subsidiaries consolidated) for any financial years that are completed after the provider's initial submission of its registration application. Audited financial statements must be prepared on the basis of the Financial Reporting Standard 102 (FRS 102) or the International Reporting Standards (IFRS) and include all of the following: <ul style="list-style-type: none"> A 'Statement of financial position' (balance sheet) A 'Statement of comprehensive income' incorporating profit or loss for the period and items of other comprehensive income A 'Statement of changes in equity' or a 'Statement of income and retained earnings' or a 'Statement of changes in reserves' A 'Statement of cash flows' Notes to the financial statements Be signed by the provider's external auditor and by its chief executive 	To be submitted within nine months of the provider's financial year end	Via the OfS Portal	Part 3: Proposal 2c (audited financial statements)
E7 (subject to adopting the proposals in this consultation relating to condition E7)	All providers	<ul style="list-style-type: none"> The following documents which meet the definitions set out in proposed initial condition E7A <ul style="list-style-type: none"> All documents that establish the provider and set out the rules governing how the provider is constituted and governed Governing body documents Risk and audit documents 	To be submitted with application	Via the OfS Portal	Part 2: Proposal 2 (direct assessment of a set of governing documents)

Element of registration	Providers this is applicable to	Specified information	Specified time	Specified manner	Reference to consultation proposal ¹
		<ul style="list-style-type: none"> Decision-making documents Conflict of interests policy Any other documents (including shareholder agreements) which contain rules which govern the operation of the provider's governing body 			
E7 (subject to adopting the proposals in this consultation relating to condition E7)	All providers	<ul style="list-style-type: none"> A business plan that meets the requirements set out in proposed initial condition E7B 	To be submitted with application	Via the OfS Portal	Part 2: Proposal 3 (a clear and comprehensive business plan)
E7 (subject to adopting the proposals in this consultation relating to condition E7)	All providers	<ul style="list-style-type: none"> Any policies and/or procedures that explain how the provider ensures individuals are fit and proper, including at least one of a description of its procedures for checking relevant individuals are fit and proper or a policy that sets this out A declaration (in a template that will be provided by the OfS) stating whether the provider is aware of any indicative matters as listed in E7D.2 and E7D.4 of proposed initial condition E7 for any Relevant Individuals The full name, contact details (email address and phone number), date of birth (day/month/year) of each of the provider's Relevant Individuals (as set out in the registration application form) 	To be submitted with application	Via the OfS Portal	Part 2: Proposal 5 (individuals must be fit and proper)

Element of registration	Providers this is applicable to	Specified information	Specified time	Specified manner	Reference to consultation proposal ¹
E7 (subject to adopting the proposals in this consultation relating to condition E7)	All providers	<ul style="list-style-type: none"> • A completed “Provider fraud and public funding declaration form” using the template provided by the OfS (Appendix 3) • Any document(s) that identify risks and corresponding mitigations relating to the prevention of fraud and protection of public funds (for example a risk register or relevant excerpts from a risk register) • Any document(s) that set out the provider’s internal control processes relating to the prevention of fraud and protection of public funds • A whistleblowing policy • An anti-bribery policy • Any other documents (including any policies or procedures) that set out how the provider prevents fraud or the inappropriate use of public funds 	To be submitted with application	Via the OfS Portal	Part 2: Proposal 6 (fraud and misuse of public funds)

Schedule 1 Part B

Providers this is applicable to	Specified Information	Specified time	Specified manner	Reference to consultation proposal
All providers	Any of the following matters: <ol style="list-style-type: none"> Any change to the identity of any Relevant Individual at the provider according to the definition in proposed initial condition E7. The legal entity applying for registration ceasing to exist. A merger of the provider with another registered or unregistered higher education provider. 	After submission of the provider’s registration application and prior to the OfS making a final decision about the provider’s registration application, and within 28 working days of the provider becoming	Via the OfS Portal	Part 3: Proposal 4 (matters to report)

	<ul style="list-style-type: none"> d. A change to the provider's legal or beneficial ownership. e. A change of control of the provider. f. A change in the provider's legal form. g. Amendments to the governing documents submitted by the provider in connection with its registration application h. An acquisition by the provider of another entity i. A notification to the provider of the opening of an investigation of the provider or any Relevant Individual at the provider by, or on behalf of, any awarding organisation, awarding body, professional body, regulatory body, funding body, statutory body, enforcement body, public body or other higher education provider. (This includes but is not limited to any notification to the provider that a third party is investigating the provider in relation to a possible fraud, financial irregularity or the inappropriate use of public funds, or that a third party has made a finding that the provider has committed fraud). j. The provider resolving to cease carrying on its business principally in England. k. The provider resolving to fully or substantially cease providing higher education, or if it was applying for registration as a provider in prospect, resolving to no longer provide higher education in future. l. A notification to the provider that its awarding organisation or awarding body is to withdraw from the arrangement. m. Termination of a partnership arrangement, whether in the UK or internationally. Establishment of a new partnership arrangement, whether in the UK or internationally. n. For a provider with a legally binding obligation of, or which otherwise receives, financial support 	<p>aware of the Specified Information</p>		
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	<p>underpinning its financial viability and sustainability, the withdrawal of the obligation or that financial support (including as a result of a change of ownership or control of the provider, even where the new owner will offer a similar obligation or financial support), or an adverse change in the counterparty's financial position or other standing that could affect its suitability as a counterparty.</p> <p>o. Any notification from a provider's external auditor that it has concluded that the provider is not a going concern, or any assessment by the provider's trustees or directors that the provider is not a going concern.</p>			
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Appendix 1 of Annex A: Initial condition C5 declaration form

Please place an X in the relevant box.		YES	NO
In a context that directly or indirectly relates to the provision of education and Ancillary Services , has the provider been subject to findings under any of the matters listed a. to d.	a. non-compliance with Consumer Protection Law , as found by a UK court or Competent Authority ;		
	b. the offence provided for in section 214(1) of the Education Reform Act 1988 (unrecognised degrees);		
	c. the offence provided for in section 76(6) of the Companies Act 2006 (failure to comply with a Secretary of State direction to change a company name);		
	d. the offence provided for in section 1198 of the Companies Act 2006 (name giving misleading indication of activities).		
<p>If you have answered 'yes' to any of the above questions, please provide further details below. This should include a summary of the circumstances and, where relevant, any mitigations that have been put in place following the adverse finding.</p> <p>Please note: if the answer is 'yes' to any of the above questions, unless the provider can otherwise demonstrate that it has addressed any issues related to the offences to the satisfaction of the OfS, the provider will not satisfy the requirements of initial condition C5</p>			

Please refer to initial Condition C5 (treating students fairly) for definitions of the following terms:

- **Ancillary Services**
- **Consumer Protection Law**
- **Competent Authority**

I declare that the information provided above is true and correct to the best of my knowledge.

Name of provider:

Name of individual making declaration:

Signature:

Appendix 2 of Annex A: Initial condition C5 checklist

Proposed initial condition C5 submission checklist

I confirm that I have submitted the following documents:	
<p>Template contract(s) that set out terms and conditions for the provision of higher education, including terms related to any tuition fees payable and any additional costs that may apply (including but not limited to additional fees to re-sit exams).</p>	<p>Choose at least one the following options (and all that apply):</p> <ul style="list-style-type: none"> ▪ I have submitted template contract(s) between my provider and any students my provider will teach <input type="checkbox"/> ▪ I have submitted template contract(s) between other parties and any students my provider will teach (select as appropriate): <ul style="list-style-type: none"> ○ template contract(s) between students my provider will teach and any other higher education provider, where my provider is delivering higher education on behalf of that provider (for example, through a subcontractual arrangement) <input type="checkbox"/> ○ relevant extracts of template contract(s) between apprentice students and their employer, where there are specific terms and conditions related to the higher education that will be delivered by my provider <input type="checkbox"/> ▪ I have submitted template contract(s) between my provider and any students that will be taught by another party on my provider's behalf <input type="checkbox"/> ▪ I have submitted template contract(s) between another party and students that will be taught by that party on my provider's behalf <input type="checkbox"/> <p>Please include any additional information you consider to be relevant (or otherwise leave blank): Click or tap here to enter text.</p>
<p>Template contracts (including terms and conditions) between students and my provider for the provision of ancillary services or facilities (where my provider offers these and there is a separate contract that students are required to sign)</p>	<p><u>Library services:</u></p> <p>Choose one of the following options:</p> <ul style="list-style-type: none"> ▪ Yes <input type="checkbox"/> ▪ My provider does not offer these services (or they are offered by a third party on my provider's premises) <input type="checkbox"/> ▪ My provider offers these services but there is no separate contract that students are required to sign <input type="checkbox"/> <p>Please include any additional information you consider to be relevant (or otherwise leave blank): Click or tap here to enter text.</p>

	<div data-bbox="694 150 1426 689"> <p><u>Disability support packages</u></p> <p>Choose one of the following options:</p> <ul style="list-style-type: none"> ▪ Yes <input type="checkbox"/> ▪ My provider does not offer these services (or they are offered by a third party on my provider's premises) <input type="checkbox"/> ▪ My provider offers these services but there is no separate contract that students are required to sign <input type="checkbox"/> <p>Please include any additional information you consider to be relevant (or otherwise leave blank): Click or tap here to enter text.</p> </div> <div data-bbox="694 689 1426 1232"> <p><u>Scholarships</u></p> <p>Choose one of the following options:</p> <ul style="list-style-type: none"> ▪ Yes <input type="checkbox"/> ▪ My provider does not offer these services (or they are offered by a third party on my provider's premises) <input type="checkbox"/> ▪ My provider offers these services but there is no separate contract that students are required to sign <input type="checkbox"/> <p>Please include any additional information you consider to be relevant (or otherwise leave blank): Click or tap here to enter text.</p> </div> <div data-bbox="694 1232 1426 1774"> <p><u>Accommodation</u></p> <p>Choose one of the following options:</p> <ul style="list-style-type: none"> ▪ Yes <input type="checkbox"/> ▪ My provider does not offer these services (or they are offered by a third party on my provider's premises) <input type="checkbox"/> ▪ My provider offers these services but there is no separate contract that students are required to sign <input type="checkbox"/> <p>Please include any additional information you consider to be relevant (or otherwise leave blank): Click or tap here to enter text.</p> </div> <div data-bbox="694 1774 1426 2038"> <p><u>Sports facilities</u></p> <p>Choose one of the following options:</p> <ul style="list-style-type: none"> ▪ Yes <input type="checkbox"/> ▪ My provider does not offer these services (or they are offered by a third party on my provider's premises) <input type="checkbox"/> </div>
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	<ul style="list-style-type: none"> My provider offers these services but there is no separate contract that students are required to sign <input type="checkbox"/> <p>Please include any additional information you consider to be relevant (or otherwise leave blank): Click or tap here to enter text.</p>
<p>Policy (or policies) relating to the circumstances in which my provider may make changes to:</p> <ul style="list-style-type: none"> courses (including changes to: material components or content of a course, changes to subjects offered and course closure) qualifications to be awarded (including circumstances where a validating partner has withdrawn validation) modes of study (including full-time, part-time, online and hybrid provision, and including measures to address the needs of specific student groups, including accessibility needs) teaching location and facilities (including, closure of a campus, building or other facilities and including measures to address the needs of specific student groups, including accessibility needs) course fees and other related fees or charges (for example, additional fees to re-sit exams) 	<p>Yes <input type="checkbox"/></p>
<p>Complaints process(s) related to the provision of higher education - where there are different processes for different categories of student, I have included all of these in my submission</p>	<p>Yes <input type="checkbox"/></p>
<p>Policy (or policies) that set out the terms for refund and compensation for higher education students</p>	<p>Choose at least one of the following options (and all that apply):</p> <ul style="list-style-type: none"> I have submitted the refund and compensation policies of my provider <input type="checkbox"/> I have submitted the refund and compensation policies of another higher education provider <input type="checkbox"/> I have submitted other refund and compensation policies <input type="checkbox"/>

	Please include any additional information you consider to be relevant (or otherwise leave blank): Click or tap here to enter text.
Completed initial condition C5 declaration form	Yes <input type="checkbox"/>

Appendix 3 of Annex A: Fraud and public funding declaration

D Please place an X in the relevant box	YES	NO
1. Within the last 60 months, has the provider been convicted of the offence provided for in section 199 of the Economic Crime and Corporate Transparency Act 2023?		
2. Within the last 60 months, has a Relevant Person made a final decision which has directly or indirectly revoked the provider's access to, or required the provider to repay, Relevant Public Funds on grounds relating to a Relevant Fraud Offence and/or the Inappropriate Use of such funds?		
3. Within the last 60 months has the provider received a conviction described in question 1, or a decision described in question 2 in relation to another legal entity that the OfS considers to have been operating substantially the same higher education business as the provider?		
<p>If you have answered yes to any of the above questions, please provide further details below. This should be a summary of the circumstances and, where relevant, any mitigations that have been put in place following the event.</p> <p>Please note: if the answer is 'yes' to any of the above questions, the provider will be deemed not satisfy the requirements of initial condition E7 unless there are exceptional circumstances which demonstrate, in the OfS' judgement, that the provider nevertheless has a satisfactory track record in relation to receiving and/or accessing public funds"</p>		

I declare that the information provided above is true and correct to the best of my knowledge.

Name of provider:

Name of individual making declaration:

Signature:

Please refer to initial Condition E7 (effective governance) for definitions of the following terms:

- **Relevant Person**
- **Relevant Public Funds**
- **Relevant Fraud Offence**
- **Inappropriate Use**

Appendix 4 of Annex A: Investigations declaration form

Investigations into the provider

In the 60 months preceding the date of the provider's OfS registration application, has the provider been subject to any investigation, by or on behalf of, any of the bodies listed in the table below?

Type of body	Yes [please tick]	No [please tick]
Awarding organisation		
Awarding body		
Professional body		
Regulatory body		
Funding body		
Statutory body		
Enforcement body		
Public body		
Other higher education provider		

In the 60 months preceding the date of the provider's OfS registration application means:

- any investigation that was concluded within the 60 months preceding the date of the provider's OfS registration application (regardless of when it was opened).
- any investigation that was opened within the 60 months preceding the date of the provider's OfS registration application and is not yet concluded, that is, is still open or where the outcomes are still pending.

If you have answered 'yes' please provide further information for each investigation into the provider as follows.

For any investigation into the provider, a brief description of the scope or subject matter of the investigation as notified to the provider by or on behalf of the investigating body:

For any investigation into the provider that has been concluded, a brief description of the outcomes or findings of the investigation, including any sanctions or penalties applied. Include if no findings were made.

For any investigation into the provider that is not yet concluded, that is, are still open or where the outcomes are still pending, a brief description of the status of the investigation.

For any investigation into the provider, a brief description of the scope or subject matter of the investigation as notified to the provider by or on behalf of the investigating body:

For any investigation into the provider that has been concluded, a brief description of the outcomes or findings of the investigation, including any sanctions or penalties applied. Include if no findings were made.

For any investigation into the provider that is not yet concluded, that is, are still open or where the outcomes are still pending, a brief description of the status of the investigation.

For any investigation into the provider, a brief description of the scope or subject matter of the investigation as notified to the provider by or on behalf of the investigating body:

For any investigation into the provider that has been concluded, a brief description of the outcomes or findings of the investigation, including any sanctions or penalties applied. Include if no findings were made.

For any investigation into the provider that is not yet concluded, that is, are still open or where the outcomes are still pending, a brief description of the status of the investigation.

[illegible]

Investigations into relevant individuals

In the 60 months preceding the date of the provider's OfS registration application, has any Relevant Individual at the provider been subject to any investigation, by or on behalf of any of the bodies listed in the table below?

You do **not** need to disclose the identity of the Relevant Individual(s) in this declaration. If you answer 'yes' the OfS will seek further information during its assessment of your registration application.

Type of body	Yes [please tick]	No [please tick]
Awarding organisation		
Awarding body		
Professional body		
Regulatory body		
Funding body		
Statutory body		
Enforcement body		
Public body		
Other higher education provider		

'Relevant Individual' means

- any member of the provider's governing body
- the individual proposed as the accountable officer for the purposes of ongoing condition E3
- the individual(s) proposed to hold overarching responsibility for the management of the provider's financial affairs
- any company director of the provider
- any company secretary of the provider
- any individual who holds more than 25% of the shares in the provider;
- where the provider has a parent company, any individual who holds more than 25% of the shares in that parent company; and
- any individual who would have significant overarching responsibility for ensuring that the provider complies with the ongoing conditions of registration (if registered).

I declare that the information provided above is true and correct to the best of my knowledge.

Name of provider:

Name of individual making declaration:

Signature: