## Annex F: Template for producing a self-assessment on management and governance

| Provider’s name:  Provider’s UKPRN: |
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| Your management and governance arrangements  *Briefly describe here your management and governance arrangements and how these are appropriate for your size and complexity as an English higher education provider.*  *This should include a description of your legal form and governance structure and how you oversee partnership arrangements where you are the lead provider.*  *In this section, you should describe the following:*   * *details of control (including geographical location of control) and ownership of your organisation* * *details of any group structure* * *geographical spread of locations you operate at, including whether any of these are overseas* * *size of your organisation in terms of numbers of staff, students, turnover, total net assets* * *number and type of partnerships.*   *For example:*  *‘We are a medium sized provider with £xx turnover, xx students, xx staff. We are incorporated in England and are a wholly owned subsidiary of [name] a company also incorporated and based in England.*  *‘We have three subsidiary companies a, b, c, all based in England.*  *‘Our group structure looks like this [structure chart].*  *‘We have the following governing documents…*  *‘These set out that…*  *‘The body with ultimate decision making powers is…*  *‘It delegates responsibility for a, b, c to x, y, z*  *‘These arrangements are appropriate for the size and complexity of our organisation because…’*  *In this section, you might want to make reference to the following:*   * *governing documents* * *committee structures* * *delegation arrangements* * *validation and franchise agreements where you are the lead provider* * *governance arrangements for any satellite/overseas campuses.*   *You do not need to submit any of these additional documents with your self-assessment but we may ask to see these if we are not satisfied that you meet the condition, or if you are also applying for degree awarding powers.* |
| Self-assessment of your management and governance arrangements  *Explain here how your management and governance arrangements are adequate and effective. An arrangement is ‘adequate’ if it is capable of delivering a stated or implied objective and ‘effective’ if it is delivering its stated or implied objective.*  *If you follow a code of governance you can also use this as evidence by describing:*   * *the name, date and version of any governance code you follow* * *how long you have used the code, how you monitor use of the code in your governance arrangements and how you review the effectiveness of arrangements* * *outcomes of the most recent effectiveness review of your governing body and any of its committees (where appropriate).*   *For example:*  *‘We follow the [name of code] published [date]*  *‘We have used this code for x years and conduct a review of compliance every [review period]. Reviews are conducted by y and the results implemented by z.’*  *‘This code is appropriate because…’*  *‘We do not meet the following elements of the code… because… but have the following alternative arrangements which we believe are appropriate because…’*  *‘The most recent review showed…’*  *Or:*  *‘We don’t use a code of governance because…’*  *‘We believe our management and governance arrangements are adequate because…’*  *‘We believe they are effective because…’*  *You do not need to submit any additional documents with your self-assessment but we may ask to see further evidence if we have any concerns that you do not satisfy the condition or if you are also applying for degree awarding powers.* |

| Public interest governance principles  *Explain here how your governing documents uphold the public interest governance principles relevant to your application (see list of principles below). Where your chosen code of governance does not meet all of the relevant public interest governance principles you will need to demonstrate how you meet the remaining principles.* | |
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| Standard public interest governance principles: applicable to all providers | |
| **Academic freedom:** Academic staff at an English higher education provider have freedom within the law:   * + to question and test received wisdom; and   + to put forward new ideas and controversial or unpopular opinions;   without placing themselves in jeopardy of losing their jobs or privileges they may have at the provider. | *For example:*  *‘This is covered by our compliance with our chosen governance code which sets out…’*  *Or:*  *‘Academic freedom is set out in xx document which states…’*  *Or:*  *‘Academic freedom is not yet covered in our governing documents. To amend this we will… by [date].’* |
| **Accountability:** The provider operates openly, honestly, accountably and with integrity and demonstrates the values appropriate to be recognised as an English higher education provider. | *For example:*  *‘This is covered by our compliance with our chosen governance code which sets out…’*  *Or:*  *‘Accountability is set out in xx document which states…’*  *Or:*  *‘Accountability is not yet covered in our governing documents. To address this we will… by [date].’* |
| **Student engagement:** The governing body ensures that all students have opportunities to engage with the governance of the provider, and that this allows for a range of perspectives to have influence. |  |
| **Academic governance:** The governing body receives and tests assurance that academic governance is adequate and effective through explicit protocols with the senate/academic board (or equivalent). |  |
| **Risk management:** The provider operates comprehensive corporate risk management and control arrangements (including for academic risk) to ensure the sustainability of the provider’s operations, and its ability to continue to comply with all of its conditions of registration. |  |
| **Value for money:** The governing body ensures that there are adequate and effective arrangements in place to provide transparency about value for money for students and (where a provider has access to the student support system or to grant funding) for taxpayers. |  |
| **Freedom of speech:** The governing body takes such steps as are reasonably practicable to ensure that freedom of speech within the law is secured within the provider. |  |
| **Governing body:** The size, composition, diversity, skills mix, and terms of office of the governing body is appropriate for the nature, scale and complexity of the provider. |  |
| **Fit and proper:** Members of the governing body, those with senior management responsibilities, and individuals exercising control or significant influence over the provider, are fit and proper persons. |  |
| **Additional public interest governance principle: providers authorised with degree awarding powers** | |
| **Records:** Where degree awarding powers are solely contained in the provider’s governing documents, and no order either under section 76 of the Further and Higher Education Act 1992, or under the Higher Education and Research Act 2017 exists, the provisions setting out those powers must be retained and may not be altered without the consent of the Office for Students. |  |
| **Additional public interest governance principles: providers in receipt of financial support** | |
| **Independent members of the governing body:** There must be at leastone external member of the governing body who is independent of the provider, and whose term of office is normally limited to a maximum of three terms of three years or two terms of four years. For providers with large governing bodies, or more complex legal forms, additional independent members may be appropriate. |  |
| **Regularity, propriety and value for money:** The governing body ensures that there are adequate and effective arrangements in place to ensure public funds are managed appropriately, in line with the conditions of grant and the principles of regularity, propriety and value for money, and to protect the interests of taxpayers and other stakeholders. This also applies to any funds passed to another entity for the provision of facilities or learning and teaching, or for research to be undertaken. |  |