

Guidance on how to complete application forms 1 and 2

Introduction

1. This document provides information about how to complete application forms 1 and 2.
2. This document should be read alongside the following documents:
 - the application requirements notice¹
 - Regulatory advice 3: How to register with the OfS²

¹ See OfS, Annex A: Application requirements notice at [Supporting documents](#).

² OfS, [Regulatory advice 3: How to register with the Office for Students](#).

How do I complete application form 1 and 2?

3. As outlined in paragraph C of the application requirements notice and paragraphs 84-87 of Regulatory advice 3, the information contained in your provider's application, or provided with it, must be accurate.
4. When you access the online registration portal, you will be able to download application forms 1 and 2, which you are required to complete and upload. We have provided full details on how to access the OfS portal and download the application form at Annex D: 'How to submit an application on the portal'.
5. The application forms will not contain any pre-populated information. Providers are required to enter all information in the application forms, including basic details such as the provider name and UKPRN. All remaining fields in the form must also be completed in full.
6. The application forms are available in an Excel spreadsheet format. At the top of each section of the forms there are validation checks that tell you which information must be completed. These validation checks will show in **red** if you have not completed the required information. We provide some guidance on each section of the form. More detailed guidance and an explanation of why we are requesting this information is in the table below.

Application form 1

Application form 1 section	Notes and guidance	Why are we asking for this information?
	Submission of application This part of the form asks you to confirm that the information you have submitted is accurate and that it is being submitted on behalf of the governing body. The term 'governing body' has the meaning given in section 85 of the Higher Education and Research Act 2017 (HERA). Broadly, this will be any board of governors of the provider or any person or group of people responsible for the management of the provider/company, or an equivalent controlling body. This might be the board of directors, the trustees of a charity, for example.	Applications for registration should be made on behalf of the governing body. This is a requirement of HERA. We need to ensure that we have this confirmation to meet this requirement.
	General details This part of the form asks for general information about your provider. None of the fields in this section have been pre-populated. You must enter all required information, including the provider's name and UKPRN, and ensure that all remaining fields are completed.	We are collecting the contact information for your provider because it will appear on the OfS Register. ³ We also want to ensure that we can contact the correct person about your application – the information about the primary contact for the OfS registration process will not appear on the Register.
	Legal form This section of the form asks you to tell us about your provider's legal form, for example whether it was created by Royal Charter, Act of Parliament, or as a company limited by shares or guarantee and whether it is an exempt or registered charity: • legal form (please list all that apply) if Other, please specify: • company number (if applicable) • charity number (if applicable)	We will also use this information to check that the provider that is applying is the same as the entity for which we already hold information (for example, financial information).

³ In accordance with GOV.UK, [The Office for Students \(Register of English Higher Education Providers\) Regulations 2017](#).

Application form 1 section	Notes and guidance	Why are we asking for this information?
	VAT status This section of the form relates to your provider's VAT status. Please indicate if your provider is claiming a VAT exemption in respect of fees charged to students or for any other purpose. If your provider is claiming a VAT exemption, please explain the basis for this. This question does not apply to exempt charities. Exempt charities are therefore not required to populate this section.	We are collecting this information because it helps us to understand the financial information you give us.
	The use of the word 'university' in your title This part of the form asks you to confirm whether your provider has been granted permission to use the word 'university' in its title. We will need you to tell us the year in which permission was granted, and how it was granted, for example by: • Royal Charter • Act of Parliament • Obtaining approval for the use of the word 'university' in the name of the provider under the provisions of the Companies Act 2006 – if selecting this option, you should also submit evidence of this approval (your letter of non-objection from the Department for Education). You should submit this evidence to section 4 of the portal • Other (please specify)	We are collecting this information because it will appear on the OfS Register.⁴

⁴ In accordance with GOV.UK, The Office for Students (Register of English Higher Education Providers) Regulations 2017.

Application form 1 section	Notes and guidance	Why are we asking for this information?
	Degree awarding powers This part of the form asks you to tell us whether your provider holds degree awarding powers. Note: Taught degree awarding powers give UK higher education providers the right to award taught degrees up to and including Level 7. Research degree awarding powers give UK higher education providers the right to award both taught and research degrees up to and including Level 8, and research masters' degrees at Level 7. Application for degree awarding powers This part of the form also asks whether you intend to apply for degree awarding powers.⁵ If you do intend to apply for degree awarding powers, please complete this section and indicate: • What type of degree awarding powers you expect to apply for: ○ Foundation degrees only (Level 5 of the Framework for Higher Education Qualifications – FHEQ. Note: only available to further education colleges) ○ Awards up to and including bachelor degree only (up to and including Level 6) ○ All taught awards (up to and including Level 7) ○ Research awards (research masters' at Level 7 and Level 8. Note: option only available if applying for Full DAPs) • What type of authorisation do you expect to apply for:	We are collecting this information because it will appear on the OfS Register.⁶ If you intend to apply for degree awarding powers, we will assess your application for registration first. We may need to request additional information from you as we assess your application.

⁵ We have published further information about applying for [degree awarding powers](#) (OfS).

⁶ In accordance with GOV.UK, [The Office for Students \(Register of English Higher Education Providers\) Regulations 2017](#).

Application form 1 section	Notes and guidance	Why are we asking for this information?
	○ New DAPs ○ Full DAPs	
	Summary of higher education provision This part of the form asks you to provide a representative sample (up to 15 courses) of the higher education courses that your provider intends to offer, including any pathways courses. Please include the name of the qualification and the name of the course for each example.	We are collecting this information to assess the eligibility of new providers to register with the OfS.
	Registration category This part of the forms asks you to indicate whether you are applying to be registered in the Approved (fee cap) or in the Approved category. You must select only one option as you cannot apply to be registered in more than one category. Please also answer the supplementary questions relating to each category of registration: If you are applying in the Approved (fee cap) category, please confirm whether: • You intend for qualifying persons on qualifying courses to access student support up to the higher amount. • You intend for qualifying persons on qualifying courses to access student support up to the basic amount. • You do not intend to charge fees to qualifying persons on qualifying courses. If you are applying in the Approved category, please confirm whether: • Your application is solely for the purpose of your students accessing disabled students allowance.	We are collecting this information to ensure that you have submitted all the evidence required for the category of registration your provider is applying for. This information will appear on the OfS Register.⁷

⁷ In accordance with GOV.UK, [The Office for Students \(Register of English Higher Education Providers\) Regulations 2017](#).

Application form 1 section	Notes and guidance	Why are we asking for this information?
	- You intend for qualifying persons on qualifying courses to access student support up to the basic amount. This means your students will be able to access tuition fee loans up to the basic amount for eligible courses. - You intend to charge fees to qualifying persons on qualifying courses. This information will determine whether you need to submit evidence for condition A2 or not. You should answer 'yes' to only one of the three options above.	
	Subcontractual arrangements This section of the form asks you to tell us about any subcontractual arrangements that you have, or plan to have, with another provider for the delivery of higher education. A subcontractual arrangement is defined as follows: a relationship based on a formal contract, in which a body with degree awarding powers (the lead provider) allows another provider (the delivery provider) to deliver all, or part, of a programme which has been designed, approved and owned by the degree awarding body. The lead provider or subcontracting provider retains overall control of the programme's content, delivery, assessment and quality assurance arrangements. This is also sometimes described as a franchise arrangement. If you are in a subcontractual arrangement where you are the lead provider, or have plans for such arrangements, please provide a list of all such arrangements using UKPRNs where available.	We are collecting this information because it will appear on the OfS Register.⁸

⁸ In accordance with GOV.UK, [The Office for Students \(Register of English Higher Education Providers\) Regulations 2017](#).

Application form 1 section	Notes and guidance	Why are we asking for this information?
	If you are in a subcontractual arrangement where you are the delivery provider, or have plans for such arrangements, please provide a list of all such arrangements using UKPRNs where available. Please search for all UKPRNs on the UKRLP website: www.ukrlp.co.uk/.	
	Validation arrangements This section of the form asks you to tell us whether you are, or intend to be, a member of any validation arrangements. A validated course is a module or programme which a degree awarding body approves to contribute, or lead, to one of its awards. The validated course is delivered by the provider that designed it and students on the course normally have a direct contractual relationship with that provider and not the validating provider. The validating provider remains responsible for the academic standards of the award granted in its name. If you validate, or plan to validate, higher education at another provider, please provide a list of all providers where such arrangements are in place, or planned, at the time of your application, using UKPRNs where available. If you do not have your own degree awarding powers, please confirm whether any of the higher education you deliver, or plan to deliver, is validated by an awarding body and, if so, provide a list of such bodies, using UKPRNs where available. Please search for all UKPRNs on the UKRLP website: www.ukrlp.co.uk/. If you do not yet deliver higher education and do not have any validation arrangements in place, please leave this section blank and	We are collecting this information because it will appear on the OfS Register.⁹

⁹ In accordance with GOV.UK, [The Office for Students \(Register of English Higher Education Providers\) Regulations 2017](#).

Application form 1 section	Notes and guidance	Why are we asking for this information?
	set out in your self-assessment of management and governance and in your quality plan your intentions in this respect (for example, if you are currently seeking a validation arrangement or intend to apply for DAPs). We ask you to provide this information as context to your application – it is not a requirement to have a validation arrangement in place in order to apply for registration with the OfS.	

Application form 2

Application form 2 section	Notes and guidance	Why are we asking for this information?
Privacy notice	On this tab we have provided a link to the privacy notice which you must read before completing application form part 2. The privacy notice includes information about how the OfS collects and processes personal data about individuals with whom the OfS deals with, to perform our statutory functions, to operate as a public body. You must confirm that every individual whose details you have included on this form has consented in writing to our holding and processing their personal data for the purpose of our regulation of your provider, and that you will provide us with a copy of that consent on request.	The reason for seeking consent is to ensure that any individual whose personal information is being held and processed is aware that this information is being passed to the OfS, and the purpose for which the information is being used.
Named roles	We have provided definitions of the named roles below. This section of the form asks you to provide information about all relevant individuals including those with named roles appointed at your provider: • your nominated accountable officer • the chair of your governing body • person with overarching responsibility for financial management • independent member of the governing body	We are collecting this information to understand who the key individuals and relevant individuals at your provider are, and to assess whether relevant individuals are fit and proper persons, as defined in condition E9.

Application form 2 section	Notes and guidance	Why are we asking for this information?
	• company secretary • individuals with significant overarching responsibility for ensuring that the provider complies with the ongoing conditions of registration (if registered) Your nominated accountable officer ‘Accountable officer’ means a senior officer at the provider, who should normally be the head of the provider, vice-chancellor, principal, chief executive or equivalent. An accountable officer who is not the most senior officer of the provider would only be accepted where the OfS considers that there is sufficient reason for this, for example, if the provider has a number of activities not all of which are related to its higher education provision, and there is a senior officer who is not the overall CEO but is responsible for the higher education activities. Please provide all the information requested for this individual. Chair of governing body This is the person responsible for leading the governing body, or equivalent. The term governing body has the meaning given in section 85 of HERA.¹⁰ Please provide all the information requested for this individual. Person with overarching responsibility for financial management The OfS recognises that a number of individuals may be responsible for the day-to-day compliance with ongoing conditions of registration, however, the term ‘significant overarching responsibility’ refers specifically to those in senior roles with ultimate accountability for ensuring compliance across the organisation. This is likely to be executive leaders or nominated compliance officer(s) and while more than one individual may meet these criteria in large providers, it	

¹⁰ See GOV.UK, [Higher Education and Research Act 2017](#).

Application form 2 section	Notes and guidance	Why are we asking for this information?
	should not extend to the broader staff base or operational teams. Please provide all the information requested for the individual who has overarching responsibility for financial management in your provider. This may be the same individual as the accountable officer. Independent member of the governing body Independent member means an external member of the provider's governing body who is independent of the provider. If your provider wants to be registered in the Approved (fee cap) category, please provide all the information requested for this individual. Company secretary Company secretary means any individual that a company would be required to include in its register of its secretaries under section 275(1) of the Companies Act 2006. If you have a company secretary at your provider, please provide all the information requested for this individual. If you do not have a company secretary, please state this by leaving this section blank. Individuals with significant overarching responsibility for ensuring that the provider complies with the ongoing conditions of registration (if registered) The OfS recognises that a number of individuals may be responsible for the day-to-day compliance with ongoing conditions of registration, however, the term 'significant overarching responsibility' refers specifically to those in senior roles with ultimate accountability for ensuring compliance across the organisation. This is likely to be executive leaders or nominated compliance officer(s) and while more than one individual may meet these criteria in large providers, it should not extend to the broader staff base or operational teams.	

Application form 2 section	Notes and guidance	Why are we asking for this information?
	If only your nominated accountable officer will have this responsibility, you may leave this section blank. All other relevant individuals All other relevant individuals means any individual who meets the definition of a relevant individual given in E9.10 of condition E9 and are not listed in the Directors and trustees or Shareholders tabs. If they have a named role, list all that apply or N/A if they don't have a specific named role. This table should be used to capture all members of the governing body or any instances where there is more than one person in a named role (please add columns if required).	
Directors or trustees	Company director means any individual that a company would be required to include in its register of its directors under section 162(1) of the Companies Act 2006. Trustees has the meaning given by section 177 of the Charities Act 2011 – trustees are the people who have the general control and management of the administration of a charity. Please provide all the information requested for these individuals. If you have more than ten directors/trustees, please enter the information requested for the additional directors/trustees on the 'Additional directors and trustees' section The application form asks you to provide details of other organisations where key individuals have directorships/trusteeships. The application form only enables you to add two organisations. Where a key individual has more than two other directorships/trusteeships, we suggest that you provide this additional information in an annex to your application, and submit in a Word document in section 4 of the portal. You only need to provide the name of the individual, and the company/charity name and company/charity number. Please also ensure that the name of your provider is included at the start of this document. If you do need to do this, please write in the box on the	We are collecting this information to understand who the relevant individuals at your provider are, and to assess whether relevant individuals are fit and proper persons, as defined in condition E9.

Application form 2 section	Notes and guidance	Why are we asking for this information?
	application form ('see attached annex') rather than completing the rows for that individual. You do not need to provide personal email addresses and telephone numbers for key individuals, but you must include name, date of birth and any additional directorships or trusteeships. We require the name and date of birth to positively identify the individuals to undertake our fit and proper persons assessment. This information will be used solely for this purpose. You can include a corporate email address and telephone numbers. Additional directors or trustees Please provide all the information requested for these individuals. If you have more than ten directors or trustees, please enter the information requested for the additional directors or trustees. The application form asks you to provide details of other organisations where key individuals have directorships/trusteeships. The application form only enables you to add two organisations. Where key individuals have more than two other directorships or trusteeships, we suggest that you provide this additional information in an annex to your application, and submit in a Word document in section 4 of the portal. You only need to provide the name of the individual, and the company or charity name and company or charity number. Please also ensure that the name of your provider is included at the start of this document. If you do need to do this, please write in the box on the application form ('see attached annex') rather than completing the rows for that individual.	
Shareholders	In this section of the form, we are asking for information about your main shareholders, whether these are individual or companies. Your main shareholders are defined as any individual or company shareholders who hold more than 25 per cent of the shares in the provider, either by value or by voting rights. For entities not limited by	We are collecting this information to understand who the relevant individuals at your provider are, and to assess whether relevant individuals are fit and proper persons, as defined in condition E9.

Application form 2 section	Notes and guidance	Why are we asking for this information?
	shares, the same threshold of more than 25 per cent ownership should be applied. If this information does not apply to your organisation, you do not need to complete this section of the form. Information about individual shareholders/members Please provide information for all shareholders who hold more than 25 per cent of the shares in the provider. If this does not apply to your organisation you do not need to complete this section of the form. Corporate shareholders We only require you to provide information in this section if you have any corporate shareholders who hold more than 25 per cent of the shares in the provider. You do not need to provide personal email addresses and telephone numbers for key individuals; a corporate email address and telephone number may be provided instead but you must include name, date of birth and any additional directorships or trusteeships. We require the name and date of birth to positively identify the individuals to undertake our 'fit and proper persons' assessment. This information will be used solely for this purpose.	