Corporate Governance and Board Assurance Framework

Responsible Senior Manager:	Clerk to the Corporation
Effective Date:	25th March 2026
Recommended by:	Audit Committee
Approved By:	Corporation
Date Approved:	25th March 2026
Review Period:	Every Three Years
Next Review Date:	March 2029

HAVANT & SOUTH DOWNS COLLEGE

1. Board Assurance:

The purpose of the Board Assurance Framework is to help the College determine assurance over the effectiveness of controls that it relies upon to achieve its objectives. The scope of the framework is set in the context of the College's objectives. These objectives are set out in the Strategic Plan Ambition 2030.

Board assurance is a natural extension of risk management. The HM Treasury Guidance on Assurance Frameworks (updated January 2014) defines it as: 'an assurance framework is a structured means of identifying and mapping the main sources of assurance in an organisation, and co-ordinating them to best effect' and that … 'This assurance framework should be structured and provide reliable evidence to underpin the assessment of the risk and control environment for the annual Governance Statement, supported by independent appraisal…'

The Board Assurance Framework, set out here, does this through the matrix Scheme of Delegation (**Appendix 2)** and the Business Schedule based on the Board's and the Committees' Terms of Reference (**Appendix 3). Appendix 4** sets out, for clarity, the Key Documents or Reports requiring Corporation approval.

The Treasury Guidance sets out the three lines of assurance model:

- **First Line:**

  This is operational assurance and includes areas such as good policy and performance data, KPIs, risk registers, reports on the routine system controls and other management information. It provides assurance that performance is monitored, risks identified and addressed and objectives are being achieved. Whilst this line might lack objectivity its value is that it comes from those that know the College.

- **Second Line:**

  This is oversight of management activity. It is separate from those responsible for delivery, but not independent of the College's management. It includes self-assessments, reports to Board, internal reviews and formal organisational reviews. It provides assurance on how well work is being carried out in line with set expectations and policy or regulatory considerations. It will be more objective than first line assurance but is not external.

- **Third Line:**

  This is independent and more objective assurance and focuses on independent and objective opinions on the framework of governance, risk management and control, including internal audit. Independent assurance and audit will place reliance upon assurance mechanisms in the first and second lines of defence. This enables resources to be directed most effectively, identification of areas of highest risk and gaps or weaknesses in other assurance arrangements.

Assurance mapping is a key part of the overall Board Assurance Framework as it provides the College with an improved ability to understand and confirm that we 'Do really know what we think we know'.

Assurance mapping identifies and records the key sources of assurance that inform management and the Board on the effectiveness of the key controls/processes that are relied upon to manage risk and achieve the College's objectives. This is used to inform the Audit Committee's Annual Report and to give assurance to the Corporation. An example of assurance mapping is included at Appendix 1. The mapping is reviewed termly and an update of the Assurance Map considered at each Audit Committee. Examples of types of assurance are

- **Meeting/discussion -** Often these provide opportunities to ask questions about how things are going. The assurance could be based on a person's word or notes of meetings.
- **Checks** – Can be a review of work or a walk around a site and is a quality check that something has been completed based on visual or substantive evidence.
- **Reports** - Could be regular reports, such as termly performance information or monthly finance reports that provide management information that will indicate how a control may be being applied, based on outcomes.

Assurance ratings

The following assurance ratings are used:

- **High assurance** - full assurance provided over the effectiveness of controls
- **Medium assurance** - some assurances in place, or substantial assurance in place, but controls are still maturing so effectiveness cannot be fully assessed at this time
- **Low assurance** - poor effectiveness of controls

Roles and Responsibilities

The application of the Board Assurance Framework helps management and the Corporation to consider collectively the process of securing assurance using a formal structure that promotes good organisational governance and accountability.

- **Corporation** - Collectively responsible for all decisions and must provide an opinion each year within the statement of corporate governance and internal control.
- **Audit Committee** - Provides advice to the Corporation on the status of governance, risk and internal controls.
- **Management** – The assurances they have that processes and controls are effective and that will result in achievement of corporate objectives?

The specific benefits of this embedded Board Assurance Framework include:

- Gaining a clear and complete understanding of the services delivered, the activities undertaken and the types of assurance currently obtained, and consideration as to whether they are effective and efficient;
- Identifying areas where assurance activities are not present, or are insufficient for the College's needs (assurance gaps);
- Identifying areas where assurance is duplicated, or is disproportionate to the risk of the activity being undertaken (i.e. there is scope for efficiency gains);
- Identifying areas where existing controls are failing and as a consequence the risks that are more likely to occur;
- The ability to better focus existing assurance resources; and
- Providing an evidence base to assist the College in the preparation of its annual Statement of Corporate Governance and Internal controls.

2. Risk Management Process

The risk-based approach to Board Assurance provides assurance over the key controls in place that mitigate the risks that threaten (or provide opportunity for) achievement of the College's objectives. It builds on and is aligned to the current risk management process that is set out in the separate Risk Management Policy, which includes the Governance oversite of risk

The structure of the College's risk information is split between Strategic and Operational Risk Registers, with each Governance Committee having oversight of its specific Strategic Risk Register. These registers include the following key elements in order to provide a strong foundation for the assurance to be mapped and to assist in prioritising resources:

- clear and concise risk descriptions
- risks that consider the Strategy and Accountability Statement 0bjectives
- detailed cause and effect analysis
- information on key mitigations
- 'Inherent' (gross) assessment score (before mitigation) and 'residual'(net) assessment score (after mitigation) of the risk; and
- details of planned mitigation
- Risk appetite score for each risk against which the 'residual'(net) assessment score can be measured.

The College has identified risks, which may be generated from both the internal and/or external environment, to ensure comprehensive risk management.

- **Internal risks** – those generated by the College's internal activity or inactivity. Internal risk is controlled by the internal control framework within the College and is a type of risk over which management have much greater power to mitigate and manage than with external risk.
- **External risks** – those generated by changes in the external environment. External risk is much more difficult for the College to control as it needs to be anticipated, and control and mitigating action is often reactive as opposed to preventative and may include risks that the College can only mitigate and not manage.

3. Business Continuity Management Process

The College uses Business Continuity Management which is a holistic management process that identifies potential threats to the College and the impacts to business operations those threats, if realised, might cause. It provides a framework for building organisational resilience with the capability for an effective response that safeguards the interests of key stakeholders, reputation, brand and value-creating activities. This process is expected to deliver the following two objectives for the College:

- **Business Impact Analysis (BIA)** - this activity enables the College to identify the critical processes that support its key activities, the interdependencies between processes and the resources required to operate the processes at a minimally acceptable level.
- **Risk assessment** - the goal of this requirement is to establish, implement, and maintain a formal documented risk assessment process that systematically identifies, analyses, and evaluates the risk of disruptive incidents to the College.

4. Corporate Governance

The College's Corporate Governance supports the Strategic Plan Ambition 2030, and its overall aim is to provide outstanding governance to an outstanding College.

The roles and responsibilities of the Corporation are set out in the Instrument and Articles, Standing Orders, Code of Conduct and other supporting governance policies.

4.1 Board Responsibilities:

The Board has an overall responsibility to set the strategic and operational framework within which the College is managed by the Principal and to monitor and hold the Executive Leadership Team to account to achieve the College's Strategic Plan.

The responsibilities are detailed in the Articles of Government. Specifically, the Corporation shall be responsible for the following functions:

(i) The determination and periodic review of the educational character and mission of the institution and the oversight of its activities.
(ii) Publishing arrangements for obtaining the views of staff and students on the determination and periodic review of the educational character and mission of the institution and the oversight of its activities.
(iii) Approving the quality strategy of the institution.
(iv) The effective and efficient use of resources, the solvency of the institution and the Corporation and safeguarding their assets.
(v) Approving annual estimates of income and expenditure.
(vi) The appointment, grading, suspension, dismissal and determination of the pay and conditions of service of the holders of senior posts and the Clerk, including, where the Clerk is, or is to be appointed as, a member of staff, the Clerk's appointment, grading, suspension, dismissal and determination of pay in the capacity of a member of staff; and
(vii) Setting a framework for the pay and conditions of service of all other staff.

The Corporation **shall not** delegate the following functions:

(i) The determination of the educational character and mission of the institution
(ii) The approval of annual estimates of income and expenditure
(iii) The responsibility for ensuring the solvency of the institution and the Corporation and for safeguarding their assets
(iv) The appointment or dismissal of the Principal or a senior post holder
(v) The appointment or dismissal of the Clerk
(vi) The modification or revocation of the Articles

These responsibilities are supplemented by a range of responsibilities within the College Accounts Direction and Funding Agreement/Conditions, including, the management of the College and ensuring financial viability and ensuring that there is an effective policy on risk management.

The Corporation abides by the Nolan Principles. These are:

- Selflessness.
- Integrity.
- Objectivity.
- Accountability.
- Openness.
- Honesty.
- Leadership.

The College has adopted and reports against the AoC Code of Good Governance 2023.

4.2 The Principal's Responsibilities:

- Making proposals to the Corporation about the educational character and mission of the institution and implementing the decisions of the Corporation.

- The determination of the institution's academic and other activities.
- Preparing annual estimates of income and expenditure for consideration and approval by the Corporation, and the management of budget and resources, within the estimates approved by the Corporation.
- The organisation, direction and management of the institution and leadership of the staff.
- The appointment, assignment, grading, appraisal, suspension, dismissal, and determination, within the framework set by the Corporation, of the pay and conditions of service of staff, other than the holders of senior posts or the Clerk.
- Maintaining student discipline and, within the rules and procedures provided for within the Articles, suspending or expelling students on disciplinary grounds or expelling students for academic reasons.

Further, under the College Financial Handbook the Principal is identified as the Accounting Officer and has personal responsibility, which shall not be delegated, to assure the Governing Body that there is compliance with the Handbook and all terms and conditions of funding. S/he shall advise the Governing Body in writing if any action or policy under consideration by the Board is incompatible with the College Financial Handbook.

Article 11 permits the Principal to delegate functions to any other holder of a senior post, other than:
- the management of budget and resources; and
- any functions that have been delegated to the Principal by the Corporation

The current designated senior post-holders are the Principal, Deputy Principal Curriculum & Quality and Deputy CEO Finance.

4.3 Committees/Working Groups:

The Board is required to establish an Audit Committee and a Search Committee and may establish any other committees for any purpose or function other than those assigned elsewhere in the Articles to the Principal and may delegate powers to such committees, the Chair or the Principal. The number of members of a committee and the terms on which they are to hold and to vacate office, shall be decided by the Board and these are enshrined in the relevant committee terms of reference. Membership of committees may include persons who are not members of the Corporation.

The Corporation has set in place a committee model for its governance. This model will be kept under constant review to ensure that it is fit for purpose and supports the Corporation's strategic aims. The current standing committees are:
- Audit
- Finance & Resources
- Curriculum, Quality & Learning
- Remuneration
- Search & Governance
- Estates Strategy Group (ESG) – Time limited working Group with specific delegated powers enshrined in ToR established to oversee implementation of the HSDC Estates Strategy.

In addition, there is provision for an Appeals Committee to be established where appeals are heard by the Board.

Each Committee has terms of reference which include an outline of the annual schedule of business for the committee and indicate the scope of the Committee's work.

Each Senior Management Team member has a Committee within their remit to which they report and provide assurance.

The Corporation receives independent advice from the Clerk to the Corporation. This is a Senior Post Holder position appointed by the Board.

The Corporation annually sets its governance schedule and elects its Chair, Vice Chair and Committee Chairs each year and the process for which is set out in its Standing Orders.

The Corporation has a scheme of delegation, see **Appendix 2** and an annual business schedule, see **Appendix 3**. These are used to help manage the Governance arrangements and inform the annual Governance Business Schedule.

The Corporation will at least annually review the quality of governance through a self-assessment which will be considered by the Search and Governance Committee before being recommended to the Corporation.

An external review of Governance will be completed at least 3 yearly. This and the annual self-assessment reviews will provide assurance and areas for action which will be reflected in the Governance Action Plan.

The Corporation has in place a succession plan and will look to continually recruit to refresh and improve the Board and its committees. Co-opted Governors will be appointed where their knowledge and experience would improve the work of the Committee that they are appointed to.

This succession plan will provide assurance that the governance team has the skills and knowledge needed to both have oversight and help develop the College. This recruitment will be supported by external agencies where required.

There is a programme of governor induction, and additional Board and governor development will be carried out annually. A schedule of this development will be recorded and assessed as part of the self-assessment process, providing assurance that the governance team has received regular and appropriate development.

Appendix 1 – Example Strategic Risk Assurance Mapping

Assurance Items	Responsible Officer	Strategic Plan Link	1st Line of Assurance	2nd Line of Assurance	3rd Line of Assurance	Assurance RAG Rating
Failure to be financially viable	Deputy CEO Finance		• Financial Strategy • Financial Forecast • Regularity Manual and financial policies and procedures including clear lines of accountability and authorisation limits • Management Accounts • Financial records and control accounts • Financial Sustainability & Growth Strategic Risk Register	• Finance & Resources Committee review of management accounts • Corporation review of management accounts • Corporation approval of budget and financial forecast • Corporation approval of Financial Strategy • Finance & Resources review of finance strategic risk register	• External Audit • Internal Audits of key financial controls • DfE Financial Health Rating	High
Failure to develop a curriculum that meets stakeholder expectations	Deputy Principal Curriculum & Quality		• Curriculum Strategy • Accountability Statement & Action Plan • Student Success & Progression Strategic risk register	• Curriculum Strategy Update termly reports to CQL Committee • Annual review of curriculum strategy by governors at May Conference • Corporation review of management accounts • Corporation approval of budget and financial forecast.	• Internal Audit of recruitment, retention and marketing • External Audit • Ofsted	Medium

Assurance Items	Responsible Officer	Strategic Plan Link	1st Line of Assurance	2nd Line of Assurance	3rd Line of Assurance	Assurance RAG Rating
Failure to maintain a good reputation, student experience and outcomes	Deputy Principal Curriculum & Quality and Executive Director HR & CS		• Quality Strategy • Quality Team • Quality processes • Student Success and Progression Risk Register • Marketing/PR	• Student voice questionnaires • Self-Assessment • QIP • Quality Reports to CQL	• Ofsted • QAA • Internal Audit	Medium
Failure to recruit and retain a high- quality team, including governors	ED HR & CS and Clerk to the Corporation		• Recruitment policy • Professional development • Appraisal • Governor succession plan • Governor Development and Inductions • Pay Strategy • Staff wellbeing • Staff Wellbeing and Development Strategic Risk Register	• Governance SAR • People & OD SAR • Reports to F&R Committee • Staff questionnaires • Student voice questionnaires • Governor SAR questionnaires • Staff exit interviews	• Internal Audit • External Review of Governance	Medium
Failure to implement the Estates Strategy	Deputy CEO Finance		• Estates Strategy • Project plans • Project Management Consultant (PMc) • Project operational risk registers	• Estates Strategy Group (ESG) reports • Estates Strategy Management (ESM) reports • Project plan reports	• Internal Audit • Funding requirement audits	Medium

Appendix 2 – Scheme of Delegation

The Scheme of Delegation shows the level of delegated responsibility and functions that are given to the Corporation and its main Committees

Key - Column shaded: An inappropriate level for taking the decision in question.

TASKS: ↓	Corporation	DELEGATED RESPONSIBILITY						
		Audit	Finance & Resources	CQL	Estates Strategy Group (ESG)	Search & Governance	Remuneration	Accounting Officer/CEO
FINANCIAL:								
To annually approve the Budgets (capital and revenue) and Financial Forecast	X		X (Recommend to Corp)					X
To regularly monitor income and expenditure	X		X					X
To annually approve the audited Financial Statements and Annual Report for the year ending 31 July	X	X (Statement of Corp Governance & Management Letter)	X (draft figures)					X
To annually review and comply with all the requirements specified in the Financial Regulations and Financial Handbook/Directive, to include the requirement to ensure regularity, propriety and value for money.	X	X	X					X
To regularly review and ensure compliance with the covenants set by the funders and any funding banks	X		X					X
To ensure the solvency of the institution and the Corporation and safeguarding of its assets	X		X					X
To be able to assure the DfE and all funding bodies that the Corporation is meeting the high standards of probity in the management of public funds.	X							X
To appoint the Accounting Officer/CEO	X							
To appoint the designated Chief Financial Officer/DCEO	X							
To oversee the application of the College's Financial Regulations and Financial Procedures			X					
To consider and advise the Corporation on any relevant taxation issue, investments and borrowing, seeking the advice of external advisors			X					
To regularly review and approve the Estates Strategy of the Corporation	X				X			

TASKS: ↓	Corporation	DELEGATED RESPONSIBILITY						
		Audit	Finance & Resources	CQL	Estates Strategy Group (ESG)	Search & Governance	Remuneration	Accounting Officer/CEO
AUDIT & RISK MANAGEMENT:								
To advise on the adequacy and effectiveness of the College's systems of internal control and its arrangements for risk management, control and governance processes, and securing economy, efficiency and effectiveness (value for money);		X						
To oversee the internal audit, external audit and risk management processes and report on the effectiveness of the internal control system including the system for the management of risk		X						
To advise the Corporation on the appointment, reappointment, dismissal and remuneration of the financial statements auditor and the internal audit service	X	X (Recommend to Corporation)						
To consider and advise on the audit strategy and annual audit plans for the internal audit service	X	X (recommend to Corporation)						
To regularly review the Corporate Risk Register and risk management processes and the Board Assurance Model	X	X						
Committees to regularly review the strategic risk register relevant to its area of responsibility, reporting changes in upward trend or emerging risks to the Audit Committee			X	X	X			
To produce an annual report, which includes advice on the effectiveness of the risk management, internal control framework, governance and efficiency, effectiveness and economy processes, and any significant matters arising from the work of the internal audit service, the funding auditors (where appointed) and the financial statements auditor.	X	X						
To approve the annual reports of the Audit Committee, Internal and External Audit Services for the academic year	X							
To ensure that all allegations of fraud and irregularity are properly followed up and the lessons learned acted upon as necessary	X	X						

TASKS: ↓	Corporation	DELEGATED RESPONSIBILITY						
		Audit	Finance & Resources	CQL	Estates Strategy Group (ESG)	Search & Governance	Remuneration	Accounting Officer/CEO
STAFFING MATTERS:								
Annual appraisal/performance of the CEO and Clerk to the Corporation	X						X	
Annual appraisal/performance of the Deputy Principal Curriculum & Quality and the Deputy CEO Finance and any other Senior Post Holders that the Corporation appoints	X						X (as recommended by CEO)	X
Appointment/Suspension/dismissal and terms of conditions of Senior Post Holders	X						X	
Annual remuneration review and Annual Remuneration Report of Senior Post Holders	X						X	
Annual pay review and set the overall terms and conditions of all staff groups in the College except Senior Post Holders	X		X					
To review staff satisfaction through staff surveys and other staff engagement mechanisms			X					X
To regularly review and approve the People & Organisational Development Strategy of the Corporation	X		X (recommend to Corporation)					X
To regularly review HR issues, relevant policies and EDI considerations			X				X (for SPHs)	X

TASKS: ↓	Corporation	DELEGATED RESPONSIBILITY						
		Audit	Finance & Resources	CQL	Estates Strategy Group (ESG)	Search & Governance	Remuneration	Accounting Officer/CEO
STUDENTS, CURRICULUM & QUALITY:								
To monitor and review the achievement of strategic objectives and KPIs in relation to the quality of learning and teaching and in particular, curriculum delivery and outcomes, challenging and agreeing remedial actions when required				X				
To monitor and review performance against the quality strategy and internal and external targets, performance projections and peer group benchmarks and set appropriate targets for the forthcoming academic year, challenging and agreeing remedial actions in relation to performance when required.				X				
To receive the views on curriculum and quality issues of all stakeholders, in particular using the range of student voice reporting (employer, parent, student surveys) to inform, review and develop strategies				X				
To receive progress reports on the implementation of Quality Improvement Plans and any other formal evaluation reports related to the quality and achievement of learning across the provision to further inform and develop Quality Improvement Plans and strategies				X				
To agree and review progress against the College Quality Improvement Plan	X			X				X
To regularly review and approve the Curriculum Strategy of the Corporation	X			X				X
To review the validated outcomes of annual Self- Assessment Report, identifying significant changes in results, emerging trends and risk in relation to future performance and recommend the report to the Corporation for approval	X			X				
To approve the validated outcomes of the annual Self-Assessment	X			X				
To approve the validated outcomes of annual Risk-based Monitoring and Enhancement reports on behalf of the OfS/QAA	X			X				
Review the results of stakeholder surveys and improvement plans in response to the results				X				
Maintain an overview of performance and achievement against any relevant external accreditations				X				
To approve the College's annual fee policy/framework	X		X					

TASKS: ↓	Corporation	DELEGATED RESPONSIBILITY						
		Audit	Finance & Resources	CQL	Estates Strategy Group (ESG)	Search & Governance	Remuneration	Accounting Officer/CEO
GOVERNANCE:								
To draw up governing documents and any amendments thereafter, as detailed in the Instrument and Articles and Standing Orders	X					X		
To hold a Corporation meeting and Committee meetings as often as they may be required and as a minimum as set out in the terms of reference	X	X	X	X	X	X	X	
To maintain a Register of Governor/Members' Interests	X					X		
Annually review the Committee's Terms of Reference		X	X	X	X	X	X	
Annually review and approve the Standing Orders, Code of Conduct and Committee's Terms of Reference	X					X (recommend to Corporation)		
To elect the Chair and Vice-Chair(s) of the Corporation annually	X							
To elect the Chair and Vice-Chair of Committees of the Corporation annually		X	X	X	X	Vice-Chair of Corp is Chair	Vice-Chair of Corp is Chair	
To appoint new Governors to the Corporation and/or Members of its Committees	X					X (recommend to Corporation)		
To provide the appropriate training, guidance and support to the Governors of the Corporation and/or Members of its Committees	X					X		
To annually review the effectiveness of performance and ability to innovate for the Governance Self-Assessment	X					X		

Appendix 3 – Business Schedule

Corporation Board Meetings	Owner	Term 1	Term 2	Term 3
Policy & Strategy Review for those matters reserved for the Board (in line with the policy schedule)	Document Owners	√	√	√
Principal Report	CEO/Principal	√	√	√
Progress Review of Strategic Objectives	Executive Leadership Team	√	√	√
Committee Termly Reports	Clerk to Corporation/Chairs	√	√	√
Management Accounts and Financial Dashboard	Deputy CEO Finance	√	√	√
Strategic Risk Register	Executive Leadership Team	√	√	√
Approval of College Performance Indicators	CEO/Principal	√		
Annual Safeguarding Report and review of policies	Deputy Principal Curriculum & Quality	√		
Annual Equity & Inclusion Report	Executive Director HR & Corporate Services	√		
Self-Assessment Report	Deputy Principal Curriculum & Quality	√		
Review & approve Quality Improvement Plan from SAR	Deputy Principal Curriculum & Quality	√		
Approval of Financial Statements	Deputy CEO Finance	√		
Pay Award Decision	Executive Director HR & CS		√	
Audit Committee Annual Report	Clerk to the Corporation & Chair of Audit	√		
Annual Health and Safety Report	Deputy CEO Finance	√		
Business Continuity Plan review	Deputy CEO Finance	√		
Approve Internal Audit Plan	Deputy CEO Finance	√		
Approve Annual Report on Risk Management	Deputy CEO Finance	√		
Annual Accounts	External Auditors	√		
Approval of Budget	Deputy CEO Finance			√
Approval of Financial Forecast	Deputy CEO Finance			√

Audit Committee	Owner	Term 1	Term 2	Term 3
Financial Statements and Management Reports	External Auditors	√		
Regularity Self-Assessment	Deputy CEO Finance	√		
Audit Committee Annual Report to the Corporation	Clerk to the Corporation/Chair of Audit	√		
Internal Audit Annual Report	Internal Auditors	√		
Annual Report on Risk Management	Deputy CEO Finance	√		
Annual Gifts & Hospitality Report	Deputy CEO Finance	√		
Review of Performance and consideration of appointment/reappointment of External Auditors	Deputy CEO Finance		√	
Financial Handbook and Accounts Direction Review of implications for the College	Deputy CEO Finance		√	
Value for money report	Deputy CEO Finance			√
Review of performance and consideration of appointment/reappointment of Internal Auditors	Deputy CEO Finance			√
Annual review and evaluation of Audit Committee	Clerk to the Corporation			√
Financial Statements Audit Plan	External Auditors			√
Review of internal audit needs assessment, draft Strategic and internal audit Annual Plan	Internal Auditors			√
Review Business Continuity Plan	Deputy CEO Finance			√
Policy and strategy Review (in line with policy schedule)	Document Owners	√	√	√
Internal Audit Reports	Internal Auditors	√	√	√
Review of Audit recommendations implementation	Deputy CEO Finance	√	√	√
Cybersecurity, DPO, GDPR Report	Director IT Services	√	√	√
Notification of incidents of actual or attempted fraud and/or Whistleblowing	Clerk to the Corporation	√	√	√
Review Strategic Risk Register	Deputy CEO Finance	√	√	√

Curriculum, Quality & Learning Committee	Owner	Term 1	Term 2	Term 3
Annual Self-Assessment and QIP - Curriculum	Deputy Principal Curriculum & Quality	√		
Annual Self-Assessment and QIP – Business Support	Executive Director HR & CS	√		
Annual Safeguarding Report	Deputy Principal Curriculum & Quality	√		
Annual Equity & Inclusion Report	Deputy Principal Curriculum & Quality	√		
HE Annual Quality Assessment Return	Deputy Principal Curriculum & Quality	√		
Termly Curriculum Strategy Progress Update	Deputy Principal Curriculum & Quality	√	√	
Termly Safeguarding Action Plan Update	Deputy Principal Curriculum & Quality		√	√
Termly EDI Action Plan Update	Deputy Principal Curriculum & Quality		√	√
Annual Curriculum Development Strategy Review, including areas of opportunity	Deputy Principal Curriculum & Quality			√
Annual review and evaluation, terms of reference, ASB and operation of the committee	Clerk to the Corporation			√
Annual review of College's Quality Strategy & Quality Cycle	Deputy Principal Curriculum & Quality			√
Presentation by curriculum area	Deputy Principal Curriculum & Quality	√	√	√
Review of strategic KPIs and Risk Register related to Student Success & Progression	Deputy Principal Curriculum & Quality	√	√	√
Curriculum Development Dashboard	Deputy Principal Curriculum & Quality	√	√	√
Curriculum & learner experience score card (data dashboard)	Deputy Principal Curriculum & Quality	√	√	√
QIP Progress Review	Deputy Principal Curriculum & Quality	√	√	√
Update on Key Current Performance Issues, including: • Learner voice/satisfaction/Student Unions • Analysis of complaints • Student destinations • Attendance & retention		√	√	√
Termly Report of HE Advisory Group (HEAG)	Deputy Principal Curriculum & Quality	√	√	√
Policy and Strategy Review (in line with policy schedule)	Document Owner	√	√	√
National Developments (including Ofsted updates & curriculum reform etc.)	Deputy Principal Curriculum & Quality	√	√	√

Finance and Resources Committee	Owner	Term 1	Term 2	Term 3
ALL:				
Review Risk Register for Financial Sustainability & Growth and Staff Wellbeing & Development	Deputy CEO Finance / ED HR & CS	√	√	√
Progress review of Strategic objectives for Financial Sustainability & Growth and Staff Wellbeing & Development	Deputy CEO Finance / ED HR & CS	√	√	√
Policy and strategy Review (in line with policy schedule)	Document Owner	√	√	√
Annual review and evaluation of terms of reference, ASB and operation of the Committee	Clerk to the Corporation			√
FINANCE:				
Management Accounts & Financial Dashboard	Deputy CEO Finance	√	√	√
Financial Statements for year ending 31 July	Deputy CEO Finance	√		
Annual Report Discretionary Learner Support	Finance Manager/ DCEO Finance	√		
Consideration of annual pay review	Deputy CEO Finance		√	
Review of financial forecast	Deputy CEO Finance			√
Review of Budget for following year	Deputy CEO Finance			√
Review of Tuition Fees for following year	Finance Manager/ DCEO Finance		√	
Annual Review of Financial Regulations	Deputy CEO Finance			√
Annual Report on Offsite Activities	Finance Manager/ DCEO Finance			√
Estates Management, Health & Safety and Environmental Sustainability:				
Annual Health and Safety Report	Head of Estates/ DCEO Finance	√		
Termly Estates Management & H&S Report	Head of Estates/ DCEO Finance	√	√	√
Termly environmental sustainability progress update	Deputy CEO Finance	√	√	√
Resources (IT, HR, Marketing + Student Enrolment):				
Annual Review of IT Strategy	Director of ITS/ED HR & CS			√
Annual Review of HR Strategy	Executive Director HR & CS			√
Annual EDI Report (from a staff perspective)	Executive Director HR & CS	√		
Termly IT Update	Director of ITS/ED HR & CS	√	√	
College Marketing & Student Enrolment Report	Executive Director HR & CS	√	√	√
People & Organisational Development Termly Report	Executive Director HR & CS	√	√	√

Search & Governance Committee	Owner	Term 1	Term 2	Term 3
Review of membership position i.e. vacancies and membership of corporation committees	Clerk to the Corporation	√	√	√
Review of previous year's attendance statistics	Clerk to the Corporation	√		
Annual Report of the Search & Governance Committee	Clerk to the Corporation	√		
Annual Report on Governor Training	Clerk to the Corporation	√		
Outcomes of Chair's 360° appraisal	Vice-Chair/Clerk to the Corporation	√		
Update on actions related to Governance SAR/QIP/EBR	Clerk to the Corporation	√	√	
Review outcomes of Governance Skills Audit	Clerk to the Corporation		√	
Annual Report on key themes arising from Governor appraisal/Chair 1:1 meetings	Chair/Clerk to the Corporation			√
Outcomes of Governance Self-Assessment & Action Plan	Clerk to the Corporation			√
Annual Review of key Governance Documents	Clerk to the Corporation			√
Risk Register re Governance – not currently included in the RR	Clerk to the Corporation	√	√	√
Annual Review of Link Governors for following year	Clerk to the Corporation			√
Annual Committee Review and Evaluation (terms of reference, ASB and operation)	Clerk to the Corporation			√

Remuneration Committee	Owner	Term 1	Term 2	Term 3
Review of any issues related to senior postholders (as required)	Principal	√		√
Annual Performance Review of Senior Post Holders and the Clerk	Chair/Principal	√		
Annual review of pay and conditions for Senior Post Holders and the Clerk	Chair	√		
Objectives for the coming year for Senior Post Holders and the Clerk	Chair	√		
Updates to relevant policies & procedures affecting Senior Post Holders	Clerk	√		
Annual Report of the Remuneration Committee	Clerk	√		
Annual Senior Post Holder Remuneration Statement for previous year (Principal & CEO only)	Clerk	√		

Appendix 4 – Documents Requiring Corporation Approval:

The Corporation is responsible for approving the following documents. These documents will be reviewed initially by the responsible individual, with appropriate consultation, and will be considered for approval by the Corporation at appropriate meetings as laid out in the Annual Schedule of Business.

Key Document or Report	Reason for Corporation Approval
Access and Participation Statement or Plan	Section 12 HE and Research Act 2017 for colleges in England registered with OfS
Accountability Statement	Skills and Post-16 Education Act
Annual Budget	Instrument and Articles of Government: Article 3 and Article 9
Audit Committee Terms of Reference	Article 6
Audit Committee Annual Report to the Corporation	College Financial Handbook
Board Risk Appetite	FE & Sixth-Form College Corporations: Governance Guide
Borrowing Approval	Instrument and Articles of Government: Article 3 and Article 9
Code of Conduct for Governors	Clause 11 of the Instrument
Code of Practice for Student Union	Education Act 1994
Code of Practice on Freedom of Speech	Section 1 HE (Freedom of Speech) Act 2023 for HE providers in England registered with OfS or Section 43 Education (No.2) Act 1986 for institutions who are not
Complaints Policy and Procedure	DfE procedure for complaints against providers
Data Protection and Confidentiality Policy	GDPR
Disciplinary Procedure for all staff including senior post holders and the Clerk. To include rules relating to the conduct of staff	Articles of Government, KCSiE
Equity Diversity & Inclusion (EDI) Policy, Annual Report & Action Plan	Equality Act 2010 and Accountability Agreement
Financial delegation and financial regulations including procedures for procurement and contracting	Articles of Government, Financial Memorandum, College Financial Handbook, Framework and Guide for External Auditors and Reporting Accountants of Colleges
Financial Statements	College Financial Handbook, Managing Public Money guidance
Financial Statements Audit Management Letter	Framework for Auditors & Reporting Accountants of Colleges
Financial Statements Auditors Engagement Letter	Framework for Auditors & Reporting Accountants of Colleges
Framework for determining pay and conditions of senior post holders and the Clerk	Article 3
Framework for setting pay and conditions of all staff other than senior post holders and the Clerk	Article 3
Freedom of Information Policy	All public authorities much have a publication scheme under the Freedom of Information Act 2000

Key Document or Report	Reason for Corporation Approval
Gender Pay Gap Report	Equality Act 2010 (Gender Pay Gap Information) Regulations 2017
Governor Training Policy, including induction for new governors, including Mentoring guidance for new governors	FE and Sixth Form College Corporations: governance guide
Grievance Procedure for all staff	Article 16
Harassment and Bullying Policy	Public sector equality duties and the preventative duty under the Equality Act 2010
Health & Safety Policy	H&S at Work Act 1974
Internal Audit Service Audit Needs Assessment and Plans	Framework for Auditors & Reporting Accountants of Colleges
Internal Audit Service Engagement Letter	Framework for Auditors & Reporting Accountants of Colleges
Internal Auditors Annual Report	Framework for Auditors & Reporting Accountants of Colleges
Letter of Representation - Financial Statements Audit and Regularity Audit	Financial Statements Auditor Requirement
Local Skills Improvement Plan (LSIP) Contribution Report	Skills and Post-16 Education Act 2022 Requirement
Marketing Policy (including provision of KIS and WIS for any undergraduate courses)	OfS requires KIS and WIS (key and wider information set)
Money laundering/prevention of fraud/prevention of bribery Policy	Bribery Act 2010
Pensions – statement on the exercise of discretionary function in connection with the LGPS including policy on awarding added years and early retirement	Regulation 66 of the LGPS (Administration Regulations 2008)
Policy for assessment and allocation of financial support, covering access, transport, childcare and residential support and referring to equal opportunities	DfE Funding rules on adult education and apprenticeships
Policy for attendance of non-committee members at committee meetings and publication of minutes (within Standing Orders)	Article 8
Policy on conflicts of interest and register of interests	Instrument, Clause 11, Charities Act 2011
Policy for determining fees	Article 19
Policy on preventing people being drawn into terrorism, including information sharing agreements with local authority and police	Counter Terrorism & Security Act 2015 s.26
Privacy notice for students, employees, workers and contractors	GDPR
Quality Strategy	Instrument of Government
Recruitment of ex-offenders and secure handling of disclosure information	If a “registered body” with the Disclosure and Barring Service
Regularity Self-Assessment Questionnaire & Managing Public Money Return	Framework for Auditors & Reporting Accountants of Colleges; College Financial Handbook, Managing Public Money guidance
Risk Management Policy	To be lodged with annual financial return to DfE

Key Document or Report	Reason for Corporation Approval
Risk Register	FE & Sixth-Form College Corporations: Governance Guide
Rules concerning misconduct (including academic misconduct such as cheating and plagiarism), including procedures for suspension and expulsion	Article 18, Accountability Agreement
Safeguarding Policy	Education Act 2001 s.175; Safeguarding Vulnerable Groups Act 2006 as amended from September 2012 by Protection of Freedoms Act 2012
Self-Assessment Report (& Quality Improvement Plan)	Education Inspection Framework
Subcontracting & Partnership Arrangements Policy	DfE Funding Standards and Funding Rules for 16-18 Study Programmes and Apprenticeships
Scheme of Delegation/committee terms of reference	Article 4
Slavery and human trafficking statement	Annual statement if college has annual turnover of £36million, Section 54 Modern Slavery Act 2015
Standing Orders	Clauses 12, 13 and 14 of the Instrument
Statement of arrangements for obtaining views of staff and students on matters for which Corporation is responsible	Article 3(1)(aa)
Student Absence Policy, including sickness and lateness (in relation to students from outside the UK and students aged 14-16)	UKVI Student Sponsor Guidance

CORPORATION AND COMMITTEE STRUCTURE

EXECUTIVE LEADERSHIP TEAM

STAFF COMMITTEES AND GROUPS

CURRICULUM, QUALITY & LEARNING COMMITTEE

RECOMMENDS FOR APPROVAL:

- College Quality Strategy
- Accountability Statement
- College Curriculum Strategy
- College Admissions Policy
- Compliments, Comments & Complaints Policy
- Student Voice Policy
- All HE related strategies and policies
- HE QAA Report & QIP
- HSDC Self-Assessment Report & Quality Improvement Plan
- College Child Protection & Safeguarding Policies
- Prevent Strategy & Policy
- College Equity & Inclusion Policy as it applies to Students.
- Inclusion Policy & Local Offer
- SU Constitution

FORMALLY APPROVES UNDER DELEGATED POWERS:

- Student Disciplinary Policy (Support for Change) inc. HE
- Teaching & Learning & Work-Related Learning Policies inc. HE
- Arrangements for quality assurance of provision inc. HE
- Policy on academic misconduct inc. HE
- Student Support policies inc. HE.
- Arrangements for the operation of the Student Union.

AUDIT

RECOMMENDS FOR APPROVAL

- Appointment of auditors
- Auditors' Annual Report
- Annual Report of the Audit Committee
- Audit Strategy
- Annual Audit Plans
- Risk Management Strategy

FORMALLY APPROVES UNDER DELEGATED POWERS

- Considers performance review of Auditors
- Anti-Fraud and Anti-Bribery Policies
- Public Interest Disclosure (Whistleblowing Policy)

ESTATES STRATEGY GROUP

Time limited working Group with specific delegated powers enshrined in ToR.

REMUNERATION

RECOMMENDS FOR APPROVAL

- Framework for setting pay and conditions for SPHs, including Grievance/ Disciplinary Policies
- Pay and remuneration for Principal/Deputy Principals/Clerk
- Annual appraisal for SPHs and the Clerk
- Principal's & Deputy Principal's Objectives
- Clerk's Objectives

FINANCE & RESOURCES

RECOMMENDS FOR APPROVAL:

- Annual Budget and Financial Forecasts
- Approval of major expenditure as per limits in Financial Regulations
- Approval of annual Financial Statements and related documents
- Approval of the Capital/Estates Strategy.
- Approval of IT Strategy
- Health and Safety Policy (including Learner H&S)
- Marketing Strategy including engagement with Stakeholders and related strategies
- Employer Engagement Strategy & Plans
- Financial Regulations
- Fees Policy

- HR Strategy
- Pay & conditions framework for all staff (except SPHs), including annual pay award
- Framework for setting pay and conditions for staff
- Approval of Disciplinary and Grievance Procedures
- Equity, Diversity & Inclusion Policies as it applies to staff
- Freedom of Information Act Policy

FINANCE & RESOURCES

FORMALLY APPROVES UNDER DELEGATED POWERS

- Framework for setting tuition fee and fee remissions policy including discretionary learner support funds
- Business Continuity Plan
- Data Protection Policy and procedures
- IT Policies
- Estates policies in accordance with the Estates Strategy & Capital plans
- Environmental Sustainability Policy
- Sub-Contracting Policy
- Educational Visits & Off-Site Activities Policy

- Anti- Harassment and Anti-Bullying Policy
- Information and Consultation in the workplace
- Arrangements for obtaining staff views
- Pay Policy and Procedures in accordance with Corporation framework
- Staff recruitment and selection policies
- Staff retirement policy including flexible retirement
- Professional Development for Staff
- Redundancy Policy and Procedures
- Capability Policy
- Family Friendly Policies
- Absence Policy, including ill-health
- Safer Recruitment
- Ownership and Use of IP Policy
- Overseas Work
- Pensions Discretionary Policy
- Staff Code of Conduct

SEARCH & GOVERNANCE

RECOMMENDS FOR APPROVAL

- Any key changes to existing governance framework
- Amendments to the I&A and Standing Orders
- Appointment of Governors
- Governance related policies

FORMALLY APPROVES UNDER DELEGATED POWERS

- Governor Link Scheme
- Governors' Training & Development Policy
- Arrangements for effective committee membership