

**GOVERNANCE  
PLAN  
EASMTERN  
REGION ROOF  
TRAINING GROUP  
& EASMTERN  
REGION  
TRAINING.  
2023-2024**

**VERSION 2.x**

## ERRTG & ERT MASMTER GOVERNANCE PLAN

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### APPROVAL SIGNATURES

I understand the Governance Plan describes roles and responsibilities for businesses. I have read and understand the Governance Plan and will fulfill the role identified for me by my signature below.

NAME, DEPARTMENT TITLE	SIGNATURE	PROJECT ROLE	DATE
Clive Coote		Managing Director	13/9/2022
Jennifer Ball		Quality and Compliance Lead	13/09/2022
Kate Rupp		Apprenticeship and Schools Lead	2/6/2023
Aaron Buckles		Relationship Manager	13/09/2022
Richard Patient		Governor	30/5/2023
Ken Brown		Governor	30/5/2023
Michael Prigmore		Governor	30/5/2023

### DOCUMENT REVISION HISTORY

The following table tracks when and what changes are made to the Governance Plan.

REVISION NUMBER	DATE OF RELEASE	AUTHOR	SUMMARY OF CHANGES
0001	5 <sup>th</sup> March 2022	Clive Coote	1 <sup>SMT</sup> draft
002	13/09/2022	Clive Coote	Reviewed/RoTAP Achieved
003	2/6/2024	Jennifer Ball	Updated SMT Team

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### **1. INTRODUCTION**

Eastern Region Roof Training Group and eastern Region Training are implementing this Governance Plan to ensure compliance and to add structure to the businesses.

For the apprenticeships and traineeships to be successful, decisions must be made timely, at the right level of authority for the distinct types of delivery. A well-defined and active governance structure has been shown to result in more efficient and effective teams, improved results, reduced risks, and better resource utilisation. The defined process is intended to benefit the contact delivery by:

- Ensuring decisions are made timely at the appropriate project level.
- Ensuring the contracts maintain on program with appropriate funding.
- Providing Strategic leadership and direction.
- Fostering a culture of accountability and transparency.
- Providing oversight and guidance to improve the potential for success.

To achieve these objectives, we must have a documented, Structured approach to decision-making.

### **2. OVERVIEW**

A Governance Plan documents the approach to how decisions will be made on delivery contracts. It also defines roles and responsibilities, and the timeframe in which decisions must be made. When a party wants to appeal a decision, an agreed upon escalation and appeal process is used. Those are also described in this Governance Plan.

The purpose of the Governance Plan is to describe the overall governance and decision-making process for the Eastern Region Roof Training Group Ltd and Eastern Region Training Ltd and its stakeholders.

### **3. DOCUMENT MAINTENANCE**

This document will be reviewed annually and updated as needed. This document contains a revision history log. When changes occur, the version number will be updated to the next increment along with the date, and the owner making the change and change description will be recorded in the revision history log of the document.

### **4. SCOPE OF PLAN**

The plan describes who, by role, is responsible for making decisions, approving contract variations, establishing new contracts, approving deliverables, and making decisions for the businesses. It also specifies thresholds above which issues must be escalated to a higher level of

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authority. Should parties want to appeal a decision within their area of expertise, the plan includes an appeal process.

### 5. SUCCESS CRITERIA FOR PLAN

This Governance Plan will be considered successfully implemented if decisions are made by the appropriate person in authority on a timely basis.

### 6. INTENDED AUDIENCE AND DOCUMENT USE

The Managing Director, Finance Manager, Quality & Compliance Manager, Head of Commercial Training, Vocational team members, Administration staff should be familiar with the governance process and their role in it, as described in this plan. The plan is also for the use of anyone who wants to know how and when decisions will be made relating to apprenticeships and traineeships, especially if they want to provide input.

#### 6.1 REFERENCED DOCUMENTS

The following documents are referenced in this deliverable:

- SAR & QIP
- Business development plan
- ESFA specification

Centre documents that are referenced or otherwise used to build this Governance Plan may be found here: ***Shared Drive/Data/Quality management/***

### 7. ROLES AND RESPONSIBILITIES

To ensure decisions are made timely to achieve these objectives and deploy a system that includes all needed scope, clear roles and responsibilities must be defined and made known to all involved. The purpose of defining that early on is to ensure issues do not languish because Senior members do not know who may make the decision. One person may fulfill more than one role.

This document is being deployed to accomplish the following objectives:

*Increase apprenticeship numbers by 30%*

*Increase customer satisfaction by 25%*

*Increase employer engagement by 50%*

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Table 7-1: ROLES AND RESPONSIBILITIES

ROLE	RESPONSIBILITY
Managing Director	<ul style="list-style-type: none"> <li>• Ultimate decision-maker.</li> <li>• Makes decisions on policy and scope change.</li> <li>• Assist with business planning.</li> <li>• Guide and mentor Staff to complete data entry accurately and timely in their respective areas.</li> <li>• Identify and communicate potential conflicts.</li> <li>• Ensure resources are made available.</li> <li>• Communicates changes to operating procedures.</li> <li>• Continuously develop the business to meet the needs of the business.</li> <li>• Ensure compliance with HMRC.</li> <li>• Provide support to all employees.</li> <li>• Ultimate responsibility for success of governance of financial Data.</li> </ul>
Apprenticeship and schools Lead	<ul style="list-style-type: none"> <li>• Makes decisions on budgets and costings.</li> <li>• Facilitates open communication regarding financial matters with the appropriate members of the team.</li> <li>• Removes obstacles that could impede success.</li> <li>• Ensures decisions are relayed to the MD.</li> <li>• Ensures resources are made available to implement timely decisions.</li> <li>• Ensures Safeguarding is embedded into the culture of the company.</li> <li>• Makes decisions within span of control.</li> <li>• Assists in setting policy direction.</li> </ul>
Quality and Compliance Lead	<ul style="list-style-type: none"> <li>• Removes obstacles within span of control that could impede success.</li> <li>• Provides Strategic direction and support to MD.</li> <li>• Ensure compliance issues are dealt with swiftly, that we have a system for quality control. Safeguarding is embedded into the culture of the company.</li> <li>• Makes decisions on issues that relate to the companies' policies and procedures.</li> <li>• Escalates issues to the MD for decision.</li> <li>• Meets every month with Senior team to provide status.</li> </ul>
Relationship Manager	<ul style="list-style-type: none"> <li>• Make daily decisions based on direction provided by the MD.</li> <li>• Ensure training data is available.</li> <li>• Ensure our customers' demands are being met.</li> <li>• Presents training agenda items to the Senior team.</li> <li>• Meets monthly with the MD to validate priorities, review direction, and ensure appropriate communication is occurring.</li> </ul>

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ROLE	RESPONSIBILITY
	<ul style="list-style-type: none"> <li>• Implements the marketing Strategy</li> </ul>
Vocational team	<ul style="list-style-type: none"> <li>• Actively participate as dictated by roles.</li> <li>• Complete work accurately and timely.</li> <li>• Ask questions if policy or procedure is confusing.</li> <li>• Make recommendations for improving the policies, procedures, and practices that impact the delivery program</li> </ul>
External Governance Board	<ul style="list-style-type: none"> <li>• Supports the SMT to deliver a business plan that promotes the delivery of a quality apprenticeship.</li> <li>• Acts as a critical friend to challenge and stretch the aims and objectives of the SMT.</li> <li>• Supports the SMT to deliver quality education within funding rules and maximize best use of funding.</li> <li>• Supports the SMT to remain compliant with regulatory bodies.</li> </ul>
Vocational Administrator	<ul style="list-style-type: none"> <li>• Develops and ensures appropriate apprenticeship and trainee data is ready when needed.</li> </ul>
Independent Verification and from EQA	<ul style="list-style-type: none"> <li>• Report audit analysis to the QA for action.</li> </ul>
External Stakeholders	<ul style="list-style-type: none"> <li>• No decision-making role but may influence contract delivery by influencing the Senior Team.</li> </ul>
Government Stakeholders	<ul style="list-style-type: none"> <li>• ESFA will audit contract compliance and provide feedback.</li> <li>• Ofsted will audit Management and Leadership, Safeguarding, Learning Delivery and Resources and provide feedback.</li> </ul>

## 8. GOVERNANCE SMSTRUCTURE

The Senior Management Team (SMT) and Governance Board have been established to guide the business in fulfilling its contractual, financial, and moral obligations. The Senior Management Team is defined as all the senior company members.

ERRTG and ERT are further organised in several layers of teams to provide for efficient two-way flow of ideas, information, and decisions. Below is a description of the process, criteria, and timeframe by which decisions will be made on the project. A pictorial representation of this Structure may be found in Appendix B: Project Organisation Chart.

### 8.1. SENIOR MANAGEMENT TEAM

The Senior management team and board of governance is the highest level of decision making for ERRTG & ERT.

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### **8.1.1. PURPOSE OF THE SENIOR MANAGEMENT TEAM**

The Senior Management Team (SMT) and governance board exist to ensure both ERRTG & ERT meet its objectives. The SMT has the ultimate responsibility to ensure the success of commercial courses, schools, PRU's, apprenticeships and funded delivery. To monitor progress against goals and KPI's, the SMT meets to establish policy, review the delivery Status, ensure decisions align with the triple constraints (prioritisation of scope, schedule, budget), and to make decisions that have been escalated for resolution.

These responsibilities are carried out by performing the following functions:

- Monitoring and review Status against objectives.
- Review contracts and reports.
- If necessary, approving budget or policy changes.
- Confirming that Strategies to address major risks to the business success have been identified, budgeted, and executed.
- Resolving issues escalated from lower-level entities.
- Aiding other team members when required.

### **8.1.2. VOTING RIGHTS**

#### **Consensus Model**

The SMT and governance board has chosen to use the consensus model approach to ERRTG and ERT in decision making. The MD will Listen to the rationale of the SMT, but the MD will have the final say on most matters relating to the businesses.

### **8.1.3. MEETING FREQUENCY**

The SMT shall meet at least once a month and or as called by members of the SMT.

The governance board will meet at least two times per academic year or as called by members of the board.

### **8.1.4. ADMINISMTRATION**

- Develop an agenda based on input from SMT and governance board members.
- Where necessary, take a few minutes.
- Provide Existing minutes.
- Ensuring conference call capability such as Teams exists for any SMT or board members who cannot personally attend, to participate or via telephone.



### 8.2. TEAM MEMBERS

Team Members, which may include Vocational, Technical, Program, Data, and Training provide input to the SMT on aspects of the business impact from their respective areas. The Team Members must ensure they are reviewing and analyzing deliverables timely and providing Constructive feedback to improve the chances of success.

### 9. LEVEL OF AUTHORITY

It is important for all parties to know their levels of authority, as well as the levels of authority for others on the business. The following Table 9-1 defines those levels of authority for this project.

Table 9-1: LEVELS OF AUTHORITY

GOVERNANCE GROUP	LEVEL OF AUTHORITY
Team Members	Changes within own area, or that are agreeable to other team members, which do not adversely impact project budget or schedule.
Apprenticeship and Schools Lead (A&SL)	Changes that may be accommodated within the overall budget and schedule of the business. The A&SL has the authority to make senior level decisions.
MD	Overall authority.
Head of Quality & Compliance	Changes that are required to ensure the ERRTG & ERT is compliant with our Stakeholders, Government bodies to include policy related changes and procedures.
Senior Management Team	To agree business and policy changes.
Relationship Manager	Changes that may be accommodated within the overall budget and schedule of the business
Board of Governance	Offer advise and guidance on business and policy actions and challenge appropriately.

### 10. ISSUE ESCALATION AND RESOLUTION

Business challenges that arise should be addressed at the Lowest level and at the earliest opportunity before they escalate. Issues should be addressed within a specified timeframe so that they do not overwhelm a program of learning, the business needs, or a team member.

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Table 10-1, below, identifies the role, a trigger that could necessitate the escalation of an issue, the process to escalate issues, the timeframe in which the issue must be escalated, and the timeframe for resolution of the issue.

Table 10-1: ISSUE ESCALATION AND RESOLUTION

DECISION MAKER	TRIGGER	PROCESS	TIMEFRAME TO ESCALATE	TIMEFRAME TO RESOLVE
<i>MD</i>		<i>Bring to attention to SMT &amp; Governance Board</i>	<i>Raise within two business days of identification.</i>	<i>Expect resolution within ten business days.</i>
<i>Apprenticeship and Schools Lead</i>	<i>Risk to the businesses</i>	<i>Bring to attention of the MD.</i>	<i>Raise within two business days of identifying.</i>	<i>Expect resolution within ten business days.</i>
<i>Head of Quality and Compliance</i>	<i>New policy issues or non-compliance</i>	<i>Bring to attention of either the MD or Senior Management Team via scheduling an SMT meeting.</i>	<i>Raise within two business days of identifying.</i>	<i>Expect resolution at next SMT meeting, or identification of next Steps to ensure resolution.</i>
<i>Board of Governance</i>		<i>Address at board meeting.</i>	<i>N/A</i>	<i>Resolve within ten calendar days of it being brought to SMT attention.</i>
<i>Relationship Manager</i>	<i>Risks to the businesses</i>	<i>Bring attention to either the MD, Finance Manager or Quality Compliance Manager</i>		<i>Resolve within five business days</i>

### **11. APPEAL PROCESS**

Any Stakeholder or Team Member may appeal a decision made by the SMT. To appeal a decision, the Stakeholder or Team Member must raise their concern with the decision to the entity that made the decision for the purpose of better understanding why the decision was made, and to discuss the impact of the decision in their own area or if they feel it will be detrimental to the business. If the Stakeholder wants to appeal the decision, the Stakeholder or Team Member must provide in writing because they are appealing and provide hard facts to support their views to overturn a judgement. The SMT has final say on all appeals.

### **12. ASSUMPTIONS**

When this Governance Plan was developed, there are some unknowns. To combat the unknowns to the greatest extent, a list of assumptions is developed so that as decisions are made, the business re-visits decisions that were based on assumptions that have since changed. The Governance Plan Strategies, activities, and methods are predicated upon the following assumptions:

1. All members of the governance process will participate and fulfil their roles.
2. RoTAP is achieved.
3. ERRTG or ERT does not lose key members of Staff due to resignation, dismissal, or ill health (*See continuity plan*)

**APPENDIX A. TABLE OF FIGURES**

Table B-1: ROLES AND RESPONSIBILITIES ..... 3

APPENDIX B. BUSINESS ORGANISATION CHART

