



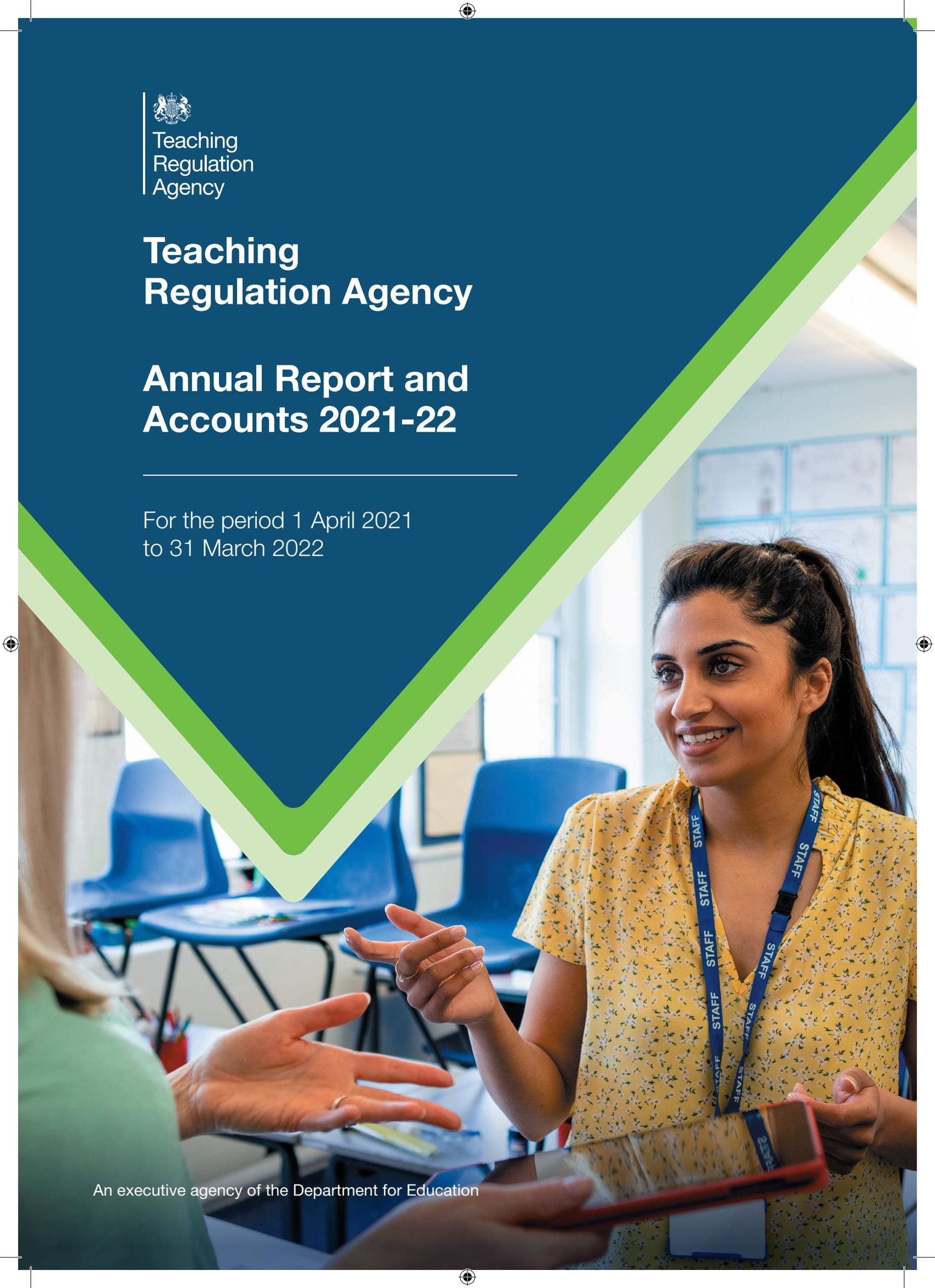
Teaching  
Regulation  
Agency

# Teaching Regulation Agency

## Annual Report and Accounts 2021-22

For the period 1 April 2021  
to 31 March 2022

An executive agency of the Department for Education



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## Annual Report and Accounts 2021-22

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An executive agency of the Department for Education

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# Performance Report

# Performance Overview

## Overview

This annual report and accounts (ARA) cover the operation of the Teaching Regulation Agency (TRA or the Agency), as an executive agency of the Department for Education (DfE or the Department), for the year ending 31 March 2022.

## Accounting Officer's review

The Agency has continued to support employers, schools and headteachers with safeguarding responsibilities. We also, on behalf of the Secretary of State for Education, act as the competent authority for teaching in England.

The impact of the pandemic continued to affect operations in 2021-22. Despite these difficulties, we have responded well in delivering against our objectives throughout this period. Due to 'in-person' panels having been suspended in 2020, the Teacher Misconduct Unit (TMU) introduced virtual professional conduct panel meetings and hearings in September and November 2020 respectively. TMU continued to deliver hearings virtually and restarted 'in-person' hearings in 2021-22. TMU also instigated a Winter COVID-19 plan in 2021 to minimise the impact on hearings due to rising COVID-19 infections. The plan followed government guidance and where possible hearings were concluded virtually to minimise disruption to the planned schedule of hearings.

In 2021-22 we undertook a full review of our hearings model and implemented a longer-term model from January 2022, based on a virtual by default model with the flexibility to allow for hearings to be held in-person, in line with Regulatory and Procedural requirements. This allows greater flexibility and is in line with regulatory requirements. The model was developed in consultation with stakeholders, and the project was given a 'substantial' opinion when it was reviewed by the Government Internal Audit Agency (GIAA). TMU has continued to focus on clearing the backlog of cases affected by COVID-19, including increasing hearing capacity and recruiting additional teacher panellists.

The work of the Teacher Qualification Unit (TQU) was largely unaffected by the pandemic and continued to deliver all of its functions, including its telephone helpdesk, whilst operating remotely. From 1 April, the Agency began delivering the standalone Disclosure and Barring Service (DBS) barred list status checks through TRA services.

During 2021-22, a project reviewing the Agency's digital services and technical architecture was undertaken and made recommendations on how we can ensure our technology and services are able to deliver current objectives and new policy reforms or initiatives. Improvements have been made during 2021-22, including delivering new technology to modernise TRA Enquiry Services and enhancements to the Teacher Misconduct System with further improvements due to be implemented in 2022-23.

TRA repurposed its Senior Management Team widening attendance and remit to support the Agency in identifying and implementing cross cutting priorities, for example learning and development and workforce planning.

Informal weekly all-staff meetings have continued, more formal all staff meetings continued monthly and were used as a forum to provide information and learning opportunities to staff.



**100%**

TQU will process all QTS recommendations from ITT providers, and make the outcomes available on the central record of qualified teachers within two working days of receipt



**99.9%**

TQU will process all induction results submitted by appropriate bodies, and make the outcomes available on the central record of qualified teachers within two working days of receipt



**98.7%**

The central record of qualified teachers will be available to users for 98% of the reporting year



**100%**

100% TQU helpdesk: 100% of helpdesk emails responded to within five working days of receipt



**99.9%**

99.9% Initial Assessment: 100% of European Economic Area (EEA) and Switzerland applications initially assessed within the 20 working days service level agreement



**99.9%**

99.9% Award/Decline decision: 100% of applications completed within 90 working days for EEA, and 20 working days for OTT as specified in service level agreements

## Statement of purpose and activities

Our purpose is to support employers, schools and headteachers with safeguarding responsibilities, as set out in our 2021-24 [Corporate Plan](#).<sup>1</sup> We also, on behalf of the Secretary of State for Education (Secretary of State), act as the competent authority for teaching in England.

Teaching in England is a regulated profession, and legislation sets out the training which a teacher has to undertake in order to teach in certain settings. We are responsible for awarding qualified teacher status (QTS), and early years teacher status (EYTS) to individuals who have completed their training in England. We are also responsible for the professional recognition of teachers who have qualified outside of England. We maintain the central record of qualified teachers which provides employers the opportunity to complete pre-employment checks to ensure that they are employing teachers who are appropriately qualified for their role.

The Agency, on behalf of the Secretary of State, operates the regulatory system for teacher misconduct, as defined by [The Teachers' Disciplinary \(England\) Regulations 2012](#) and as amended by [The Teachers' Disciplinary \(Amendment\) \(England\) Regulations 2014](#).<sup>2,3</sup>

Teachers are one of the most significant factors in a child's education. The overwhelming majority are highly competent and effective, and never engage in any form of serious misconduct.

For the small minority which do, TRA is responsible for:

- investigating serious misconduct, where a teacher's alleged behaviour is fundamentally incompatible with being a teacher, and could lead to them being prohibited from teaching,
- prohibiting teachers from teaching who have been found to have committed serious misconduct.

Headteachers and governing bodies are responsible for managing teachers in relation to:

- their competence and conduct, and taking action to address underperformance,
- misconduct in their schools and relevant settings.

### Vision, mission and core principles

DfE's vision states "At our heart, we are the department for realising potential. We enable children and learners to thrive, by protecting the vulnerable and ensuring the delivery of excellent standards of education, training and care. This helps realise everyone's potential – and that powers our economy, strengthens society, and increases fairness."

We support this by striving to achieve excellence in all that we do acting as the competent authority for teaching in England and providing a fair and consistent regulatory system for the teaching profession on behalf of the Secretary of State.

We do this by:

- regulating the teaching profession through fair, rigorous and timely teacher misconduct investigations and professional conduct panel hearings and meetings to enable schools to meet their safeguarding responsibilities.<sup>4</sup>
- awarding QTS to teachers who successfully complete initial teacher training (ITT), and EYTS to individuals who complete early years ITT
- assessing applications received from teachers trained outside of England for recognition of professional status fairly and efficiently

These activities maintain the high-quality standards of the profession, allowing every child access to high-quality education, which are our overarching goals and objectives.

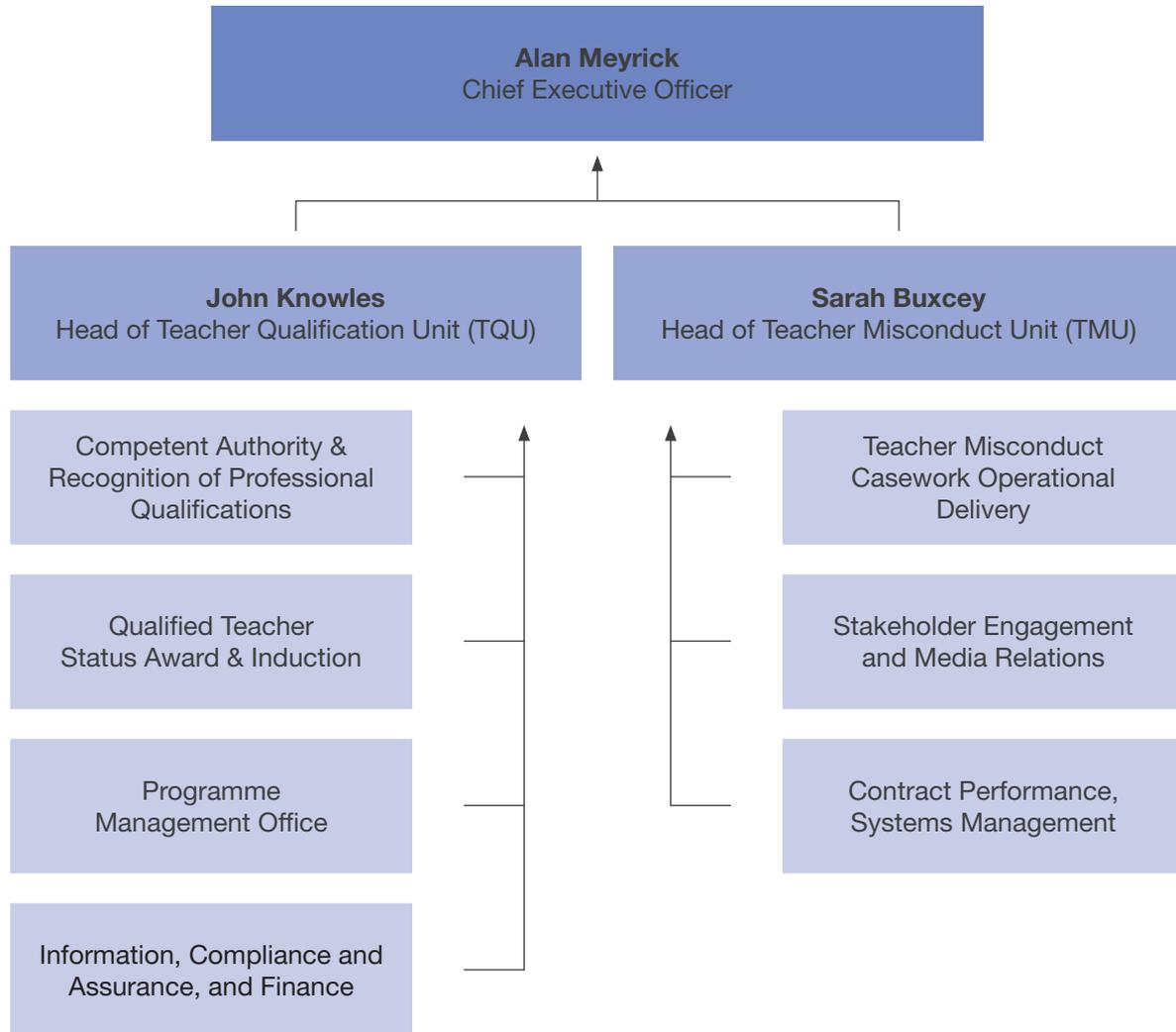
1 <https://www.gov.uk/government/publications/teaching-regulation-agency-corporate-plan>

2 <http://www.legislation.gov.uk/ukxi/2012/560/contents/made>

3 <http://www.legislation.gov.uk/ukxi/2014/1685/contents/made>

4 [https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment\\_data/file/886210/Teacher\\_misconduct\\_Disciplinary\\_Procedures\\_for\\_the\\_teaching\\_profession.pdf#page=39](https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/886210/Teacher_misconduct_Disciplinary_Procedures_for_the_teaching_profession.pdf#page=39)

## Structure of the Agency



TRA is formed of two operational units:

- TQU**  
 Awards QTS to teachers, and EYTS to individuals to teach children up to age 5 in England. It is responsible for the professional recognition of overseas trained teachers (OTTs) for *QTS in England*.<sup>5</sup> TRA is supported by a programme management office (PMO), Information, Compliance and Assurance team and Finance team which sits within TQU.
- TMU**  
 TMU is responsible for considering all referrals of teacher misconduct and investigating cases that fall within its jurisdiction and meet the threshold for serious misconduct. Where appropriate it will impose an Interim Prohibition Order (IPO), and administer professional conduct panel meetings and hearings. The Agency's Senior Management Team act on behalf of the Secretary of State to consider panel recommendations and decide whether to impose a prohibition order and, where appropriate, agree a review period.

TMU is also responsible for stakeholder engagement working closely with Departmental policy, media relations and legal teams, trade unions, contracted legal firms and panellists. TMU is also responsible for the management and development of performance reporting, IT systems and quality, to improve the teacher misconduct process.

## Summary of performance

During 2021-22 the Agency:

- published a new 3 year *Corporate Plan*<sup>6</sup> covering activity from 2021 to 2024.
- implemented a new hearings model covering both virtual and in-person hearings.
- increased capacity for hearings, to ensure timely listing of cases.
- delivered standalone DBS Barred List status checks through TRA services from 1 April 2021.

## Key risk summary

### Principal risks

The Agency has adopted DfE's Risk Management Framework which seeks to devolve accountability to those best placed to effectively manage a given risk at the right level. TRA faced strategic risks and issues which, if they were to materialise, could cause operational delivery to deviate from the desired outcomes.

<sup>5</sup> <https://eur-lex.europa.eu/legal-content/EN/TXT/?uri=celex%3A32005L0036>

<sup>6</sup> <https://www.gov.uk/government/publications/teaching-regulation-agency-corporate-plan>

The table below highlights the Agency's key operational risks, the impact should the risk materialise, and current mitigations in place to prevent this happening.

Risk	Area	Mitigation
<p>There is a risk of a successful challenge to TRA's model of teacher regulation through legal channels, i.e. Judicial Review or High Court appeal, which could affect TRA's ability to make decisions on behalf of the Secretary of State.</p> <p>This would impact TRA's ability to operate, with cases potentially being put on hold until a review of current procedures and/or regulations is carried out.</p> <p>This could impact on teachers, witnesses, and employers, until cases are fully concluded. Causing stress to those involved and could lead to adverse press and media scrutiny and reputational damage to TRA and DfE.</p>	TMU	<p>Risks for individual cases are identified and discussed with a nominated Senior Responsible Officer (SRO).</p> <p>Close working relationships with the Department's Legal Advisors and policy colleagues to ensure potential issues are considered at an early stage to support a robust legal position.</p> <p>TRA work closely with the Department's Press Office team to manage communications that arise from the reporting of hearings.</p>
<p>There is a risk that we do not have sufficient panellist resource to appoint enough quorate panels to deliver the required number of hearings in line with the 52-week KPI.</p> <p>This could open TRA up to challenge on the delays in concluding cases, causing stress to the teacher and witnesses involved. It could also lead to a handover between legal firms if an allocated case is delayed beyond the end of the contract term, which could cause further delays.</p>	TMU	<p>Produce business case to set out future panellist requirements, and support DfE policy colleagues to recruit additional panellists, including teachers.</p> <p>Increased support and training for panellists to sit on virtual hearings.</p> <p>Targeted engagement with teacher panellists to understand any issues affecting availability to sit on panels.</p> <p>Work with the Panellist Representative Group to gather and understand feedback to influence next steps.</p> <p>Conduct regular contract review meetings and ensure robust hand over of cases between legal firms as required.</p>

# Performance Analysis

## Overview

The Performance Analysis section provides further detail on the Agency's performance against its objectives. TRA's performance is measured by 10 Key Performance Indicators (KPIs), which are reported monthly.

The outcomes against our performance indicators are set out below.

## Performance against objectives

### Key organisational performance measures and indicators

#### Teacher Qualification Unit KPIs

Performance indicator	Target	2021-22 Outcomes	2020-21 Outcomes	2019-20 Outcomes
TQU will process all QTS recommendations from ITT providers, and make the outcomes available on the central record of qualified teachers within two working days of receipt	100%	100%	100%	100%
TQU will process all induction results submitted by appropriate bodies, and make the outcomes available on the central record of qualified teachers within two working days of receipt	100%	99.9% <sup>1</sup>	100%	100%
The central record of qualified teachers will be available to users for 98% of the reporting year	98%	98.7%	99.6%	99.8%
Initial Assessment: 100% of European Economic Area (EEA) and Switzerland applications initially assessed within the 20 working days service level agreement	100%	99.9% <sup>2</sup>	99.9%	82%
Award/Decline decision: 100% of applications completed within 90 working days for EEA, and 20 working days for OTT as specified in service level agreements	100%	99.9% <sup>2</sup>	99.9%	99.4%
TQU helpdesk: 100% of helpdesk emails responded to within five working days of receipt	100%	100%	100%	100%
TQU helpdesk: abandonment rate for helpdesk telephone enquiries to be less than 5%	<5%	1.3%	1%	1.4%

The reasons for this year's outcomes being less than the target are as follows:

1. This was due to a single incident where a stakeholder returned data outside of the agreed process, this caused a delay in a data file being processed.
2. Both KPIs were marginally missed due to a delay in processing applications caused by internal errors in logging and tracking. In response, TQU procedures have been revised to minimise the risk of similar occurrences.

## Teacher Misconduct Unit KPIs

Performance indicator	Target	2021-22 outcomes	2020-21 outcomes	2019-20 outcomes
Initial Assessment: 95% of referrals are initially assessed within three working days from the date of receipt	95%	99%	98%	90%
Investigation: cases that are formally investigated are concluded or referred to a hearing within 20 weeks (median) from the date the investigation commences	20 weeks	34.79 <sup>1</sup> week	25.29 weeks	-
Hearing: teacher misconduct cases that are considered at the hearing stage are concluded within 52 weeks (median) from the date of receipt of the referral	52 weeks	85.29 <sup>2</sup> weeks	66.29 weeks	45.14 weeks

The reasons for this year's outcomes being less than the target are as follows:

1. This was due to the ongoing impact of COVID-19 which has created a backlog of cases. There is a plan in place to clear the remaining backlog cases, TMU have implemented a workable solution which we anticipate will clear the backlog by the end of 2022-23 and we will then be working towards achieving this KPI.
2. Due to the ongoing impact of COVID-19, this has continued to increase. Hearing postponements and teacher panellist capacity have also impacted on our ability to meet this KPI. As a result, TRA increased the projected number of hearings to 180 in 2021-22 and beyond, to help clear the backlog of cases. Despite all the challenges, TRA scheduled 203 hearings in 2021-22 which exceeded expectations. In addition, new panellists have been recruited to increase capacity and the introduction of the new hearings model will allow greater flexibility when scheduling hearings. TRA plans to hold additional hearings during 2022-23 to further reduce the backlog.

## Performance in delivery areas

### TQU

As referenced in the structure of the Agency on page 11, TQU acts on behalf of the Secretary of State as the competent authority for teaching in England and grants professional recognition in England to eligible overseas trained teachers, awards QTS and records the outcome of induction for early careers teachers (previously newly qualified teachers).

### Key Outcomes for TQU

During 2021-22 the TQU have:

Outcomes	2021-22	2020-21
awarded QTS to individuals who have completed a course of initial ITT in England	37,077	32,074
awarded EYTS	508	360
awarded QTS to teachers who completed the assessment only route in England	576	1,191
awarded QTS in England to teachers trained in Wales who applied for recognition	1,356	1,069
awarded QTS in England to qualified teachers from Scotland and Northern Ireland who applied for recognition	551	460
awarded QTS to OTTs who applied for recognition in England	1,684	2,940
delivered QTS and induction certificates to teachers through TSS	69,549	60,302
supported teacher status checks	570,715	325,209
supported standalone DBS barred list status checks through the online employer access service	208,100	N/A
recorded induction passes to both ECTs and NQTs, onto the central record of qualified teachers	26,464	27,404
issued TRNs to persons on the central record of qualified teachers	38,903	43,778
answered helpdesk telephone calls	23,089	20,412
responded to email helpdesk queries	65,795	54,474

\* For full breakdown of awards by country please see Annex A

TQU also:

- maintained the central record of qualified teachers in England, and the central list of teachers prohibited from teaching in England
- managed annual data collection services to ensure the accurate recording of QTS, EYTS, ITT, statutory induction outcomes, national professional qualifications, and mandatory qualifications onto teacher's records in the central record of qualified teachers
- continued to support the policy development for recognition of OTT on EU Exit.

## Competent authority and recognition of professional qualifications

### Recognition of professional qualifications

Teachers who hold a teaching qualification from an EEA<sup>7</sup> country, Australia, Canada, New Zealand, Switzerland, and the USA can apply to the Agency to have their professional qualifications recognised in England. Successful applicants are awarded QTS.

Applicants must provide evidence that they are recognised as a teacher in the country where they qualified and are not prohibited or restricted from teaching by a professional sanction. Further information on the award of QTS can be found on [GOV.UK](https://www.gov.uk).<sup>8</sup>

Although global travel continued to be affected by COVID-19, it remained possible for overseas trained teachers to apply online to have their qualifications recognised to teach in England during 2021-22.

### Teachers from the EEA and Switzerland

Nationals from EEA member states and Switzerland were eligible to have their teaching qualifications recognised in England under [European Directive 2005/36/EC](https://eur-lex.europa.eu/eli/dir/2005/36/oj)<sup>9</sup> until 31 December 2020. From 1 January 2021, a temporary system for the recognition of EEA and Swiss teaching qualifications came into effect. This temporary system, set out in domestic legislation, is based on country of qualification rather than nationality, and will be replaced by a newer more comprehensive system of legislation through the [Professional Qualifications Bill](https://www.parliament.uk/bills/2021-22/professional-qualifications-bill)<sup>10</sup> which received Royal Assent in April 2022. TRA continues to work with DfE to refine operational processes and user journeys under the temporary system and prepare for the implementation of a new professional recognition framework following the passage of the [Professional Qualifications Bill](https://www.parliament.uk/bills/2021-22/professional-qualifications-bill). This includes developing policy criteria, testing the suitability of these with teachers and other stakeholders, and refining the user journeys for this longer-term system.

The number of fully qualified teachers from each EEA country awarded QTS was 704 (2020-21: 1,975). A full breakdown by country is available in Annex A on page 80.

### Teachers from Australia, Canada, New Zealand, Gibraltar and the USA

In 2021-22, the number of QTS awards made to teachers from outside the EEA and Switzerland (Australia, Canada, New Zealand, Gibraltar, and the USA) was 980 (2020-21: 965).

Further details can be found in Annex A on page 80.

7 The EEA consists of the 27 European Union (EU) member states, Iceland, Liechtenstein, and Norway.

8 <https://www.gov.uk/guidance/qualified-teacher-status-qts>

9 [https://www.legislation.gov.uk/eu\\_dir/2005/36](https://www.legislation.gov.uk/eu_dir/2005/36)

10 <https://bills.parliament.uk/bills/2865>

## Qualified teacher status and induction

### QTS

Teachers must have *QTS*<sup>11</sup> to take up a teaching post in England in a maintained primary, secondary, or special school or a non-maintained special school.

Despite wider disruptions caused by COVID-19, we continued to make QTS awards to individuals who successfully completed an accredited ITT course, or an assessment only programme, in England, and to trained teachers from Scotland, Northern Ireland, Wales or overseas countries where there is agreed professional recognition of qualified status.

### Early Career Teacher Induction

All qualified teachers who are employed in a relevant school in England must by law have completed an induction period satisfactorily, subject to specified exemptions as outlined in the relevant *guidance*.<sup>12</sup> Statutory induction is the bridge between ITT and a career in teaching. TRA is responsible for updating the teacher record once a teacher has completed their induction. Despite wider disruptions caused by COVID-19, we continued to collect induction outcomes for those completing induction in England.

We supported the Department in introducing the *Early Career Framework* (ECF) reforms on 1 September 2021.<sup>13</sup> The ECF is the evidence base that underpins a new entitlement for early career teachers (ECTs), previously newly qualified teachers (NQTs), professional development. Produced with sector experts and validated by the Education Endowment Foundation, it sets out what ECTs are entitled to learn about and learn how to do it during the first two years of their careers and provides the solid foundations for a successful career in teaching. The reforms included a revision to the *statutory induction guidance* to reinforce the support an ECT should receive during their induction.<sup>14</sup>

### Teacher self-service portal (TSS)

TSS provides teachers with access to their records held on the central record of qualified teachers, which we maintain on behalf of the Department. For the purpose of data protection legislation, the Department is the data controller for data held and processed within the central record of qualified teachers.

Access to this portal enables teachers to view their teacher record, obtain electronic copies of their QTS, EYTS and/or induction certificates, obtain electronic copies of relevant leadership qualification certificates, update personal details and download a letter confirming teacher qualifications.

### Online employer access service

Employer access is a free service for schools, sixth form colleges, local authorities (LAs), ITT providers and teacher supply agencies in England to check the record of a teacher they employ or are considering employing. It should be used before appointment, and as part of ongoing safeguarding checks, to check for the award of QTS, completion of teacher induction, and prohibitions, sanctions and restrictions that might prevent the individual from taking part in certain activities or working in specific positions. Further guidance is available on [GOV.UK](https://www.gov.uk).<sup>15</sup>

From 1 April 2021 we began delivering a new service within employer access that allows schools, colleges, LAs and universities to perform a standalone check against the DBS Children's Barred List when they are considering engaging an individual in regulated activity. These organisations can only use the check for new starters pending the receipt of an Enhanced DBS or where an individual has worked in post in a school/college that brought them into regular contact with children/young persons which ended not more than three months prior to that person's appointment.

<sup>11</sup> <https://www.gov.uk/guidance/qualified-teacher-status-qts>

<sup>12</sup> <https://www.gov.uk/government/publications/induction-for-early-career-teachers-england>

<sup>13</sup> <https://www.gov.uk/government/collections/early-career-framework-reforms>

<sup>14</sup> <https://www.gov.uk/government/publications/induction-for-early-career-teachers-england>

<sup>15</sup> <https://www.gov.uk/guidance/teacher-status-checks-information-for-employers>

### Teacher reference numbers (TRN)

TRA and the Teachers' Pension Scheme (England and Wales) (TPS) allocate TRNs to persons in England. The Education Workforce Council for Wales will also allocate TRNs to persons in Wales according to their needs.

- A TRN is a unique seven-digit reference number allocated to:
  - teachers (qualified or trainee teachers)
  - early years teachers (holding EYTS or training towards it)
  - those who hold, or are working toward gaining, a National Professional Qualification
  - persons who have been eligible to contribute to the TPS
  - those who have a relevant restriction in relation to teaching in England

A TRN can be allocated in England by the:

- TRA, when:
  - a trainee teacher's, or an early years teacher's, record is created on the central record of qualified teachers
  - QTS is awarded to an overseas qualified teacher who has successfully applied to have their qualifications recognised in England
  - a person is subject to a relevant restriction in relation to teaching in England
  - a person is undertaking a national professional qualification
- TPS if they identify a person is eligible to contribute to the scheme, and that person does not already have a TRN.

### TMU

The *Education Act 2002*,<sup>16</sup> as amended by the *Education Act 2011*,<sup>17</sup> gives responsibility to the Secretary of State to regulate the teaching profession in England and to hold a list of teachers who have been prohibited from teaching. TRA on behalf of the Secretary of State is responsible for regulating the teaching profession and manage the list of prohibited teachers.

<sup>16</sup> <https://www.legislation.gov.uk/ukpga/2002/32>

<sup>17</sup> <https://www.legislation.gov.uk/ukpga/2011/21/contents/enacted>

## Key Outcomes for TMU

During 2021-22 the TMU has:

- assessed 714 (2020-21: 628) referrals received of teacher misconduct
- investigated 298 (2020-21: 416) cases of alleged serious misconduct
- held 149 hearings (2020-21: 58), resulting in 108 teachers being prohibited from teaching
- imposed 77 (2020-21: 110) IPOs and 108 (2020-21: 39) prohibition orders
- held 14 set aside hearings, 10 of which resulted in the prohibition order being removed (2020-21: 20 applications, 10 granted)
- worked with the Government Legal Department to respond to 3 (2020-21: nil) High Court appeals and 2 (2020-21: nil) Judicial Reviews on behalf of the Secretary of State
- published notice of forthcoming hearings<sup>18</sup>, and professional conduct panel outcomes<sup>19</sup>
- considered cases where an NQT wished to appeal failure of, or an extension to, their induction period
- considered and made a decision on behalf of the Secretary of State for cases where a teacher applied for the prohibition order to be set aside, including General Teaching Council for England legacy cases
- undertook annual appraisals of panellists to ensure they consistently demonstrated and maintained the behaviours, standards and competencies required for the role, and met the standards set out in the Cabinet Office's *Governance Code for Public Appointments*.<sup>20</sup>

## Teacher misconduct casework operational delivery

### Regulatory framework

TMU regulate the teaching profession in accordance with the *The Teachers' Disciplinary (England) Regulations 2012* (the Regulations) as amended by *The Teachers' Disciplinary (Amendment) (England) Regulations 2014*.<sup>21 22</sup>

These regulations apply to all people carrying out unsupervised teaching work in England, covering all schools, sixth form colleges, children's homes and relevant youth accommodation. *The Teacher Misconduct Disciplinary Procedures for the Teaching Profession (May 2020)* sets out the procedures for the regulatory system for teacher misconduct.<sup>23</sup>

Teaching work is defined within the regulations as planning, preparing, or delivering lessons and assessing or reporting on the development progress and attainment of pupils.

TMU progress cases where there are allegations of serious misconduct. This is when a teacher's behaviour is fundamentally incompatible with being a teacher and could lead to them being prohibited from teaching.

The regulations do not cover cases of less serious misconduct, incompetence, or under-performance. A teacher's employer should deal with these cases.

TMU will investigate cases of serious teacher misconduct and decide whether to refer a case to a professional conduct panel which will decide if the allegations are proven, and if so makes a recommendation regarding prohibition. TRA is responsible for deciding whether a prohibition order should be issued.

18 <https://www.gov.uk/guidance/teacher-misconduct-attend-a-professional-conduct-panel-hearing-or-meeting>

19 <https://www.gov.uk/government/latest?departments%5B%5D=teaching-regulation-agency>

20 <https://www.gov.uk/government/publications/governance-code-for-public-appointments>

21 <https://www.legislation.gov.uk/uksi/2012/560>

22 <https://www.legislation.gov.uk/uksi/2014/1685>

23 <https://www.gov.uk/government/publications/teacher-misconduct-disciplinary-procedures>

### Prohibition orders

The primary purposes of a prohibition order are to protect pupils, maintain public confidence in the teaching profession, and support schools in upholding proper standards of conduct.

A prohibition order means that the individual cannot undertake unsupervised teaching work in any school, sixth form college, children's home or youth accommodation in England.

We may decide that an allegation is sufficiently serious to mean that the teacher should not teach while the case is being investigated and concluded, in these cases we may decide to impose an IPO. These can be imposed at any stage during the investigation process. Throughout this period, we have continued to progress investigations in line with published procedures, and while cases conclude we have considered, where appropriate, imposing IPO's to safeguard pupils.

When the decision maker decides that a prohibition order is appropriate the teacher's details will appear on the prohibited list. However, the decision maker may allow a teacher to apply for the prohibition order to be set aside. Further details can be seen on page 24.

Despite the introduction of virtual hearings, the proportion of prohibition orders imposed at the hearing stage has been consistent with previous years at around 70%, which demonstrates the process continues to be fair and in line with published procedures.

### Teacher misconduct referrals and investigation

During 2021-22, TRA received 714 teacher misconduct referrals. All referrals are initially assessed to determine if TRA should investigate the referral. TRA took no further action on 246 referrals due to them not falling within the TRA's jurisdiction and/or not meeting the threshold of serious misconduct. TRA assessed 99% of referrals received within three working days.

During the same period, 298 cases of alleged serious misconduct were investigated, after which TRA decided either that there was no case to answer and therefore closed the case, or that there was a case to answer and referred the matter to a hearing. Cases were either concluded or referred to a hearing within 85.29 weeks (median) from the date the investigation commenced. Referrals that are investigated may not conclude in the same year they are referred to the Agency.

### Professional Conduct Panel Hearings

A hearing is convened following investigation when it is decided that the teacher has a case to answer. The hearing is then scheduled in line with published procedures, and is either held virtually or in-person and the teacher has a right to attend and/or be represented.

### Professional Conduct Panels

Panel members are recruited through a public appointments process which is managed by the DfE's Teacher Regulation and School Safeguarding and Safety Team. In order to ensure that sufficient panellist resource is available to appoint quorate panels, and support the Agency to deliver the hearings, additional teacher panellists were recruited in 2021-22.

A panel consists of three members and will include a teacher (or someone who has been a teacher in the previous five years) and a layperson (specifically not from the teaching profession). The third panel member may be a teacher, a layperson or a person who has taught previously but does not currently meet the 'teacher panellist' criteria and will be referred to as a 'former teacher panellist'. All panellists are independent of the TRA and DfE.

For each hearing we will appoint one of the three panellists to act as chair. A list of current panel members is available on [GOV.UK](https://www.gov.uk/government/publications/teacher-misconduct-professional-conduct-panel-members).<sup>24</sup>

An independent legal adviser is present to advise the panel on the legal process. They cannot be a member of the DfE and will take no part in the decision-making process.

The teacher subject to allegations of serious misconduct is able to submit relevant evidence and is given the opportunity to comment on all the evidence that the TRA is considering related to their case. For more detailed information, please visit [GOV.UK](https://www.gov.uk/guidance/teacher-misconduct-regulating-the-teaching-profession).<sup>25</sup>

The panel will consider all the evidence and decide whether the allegations are proven. They will then go on to consider whether there has been:

- Unacceptable professional conduct**
- Conduct that may bring the profession into disrepute**
- A conviction, at any time, of a relevant criminal offence**

If the panel decides that there has been any of the above, it will make a recommendation to the Secretary of State. A TRA decision maker, as identified on page 32, considers the recommendation and makes the decision on behalf of the Secretary of State on whether a prohibition order would be appropriate. A prohibition order aims to protect pupils and maintain public confidence in the profession.

If the teacher requests that the case be considered without a hearing because the teacher admits the alleged facts and that they amount to serious misconduct, TRA will administer a panel meeting as opposed to a hearing to review the allegations and consider recommending a prohibition order.

<sup>24</sup> <https://www.gov.uk/government/publications/teacher-misconduct-professional-conduct-panel-members>

<sup>25</sup> <https://www.gov.uk/guidance/teacher-misconduct-regulating-the-teaching-profession>

TRA works closely with panellists, including chairing quarterly meetings with the Panellist Representative Group. The representative group consists of elected panellists and the meetings are a way of gathering feedback and identifying improvements to the administration of hearings and supporting the ongoing learning and development of panellists.

TRA referred 197 cases of alleged serious misconduct to an independent professional conduct panel in 2021-22, to decide whether facts are proven and, if so, whether those facts amount to one of the categories listed above.

During 2021-22, the Agency held 149 hearings resulting in:

- 108 teachers being prohibited from teaching
- 20 hearings where serious misconduct was found but did not result in a prohibition
- 11 hearings where facts were found but no finding of serious misconduct
- 10 hearings where facts were not found

Additionally, 14 hearings were held to consider applications from teachers to remove prohibition orders (known as set asides).

Following a review in 2021 the new hearings model was launched in January 2022 based on a virtual by default model with the flexibility to allow for hearings to be held in-person, in line with Regulatory and Procedural requirements. The new hearings model has allowed TRA to increase hearing numbers and provides additional flexibility to avoid disruption. However, due to case complexities and the backlog of cases affected by COVID-19, meant that the median time to conclude cases referred to an independent panel was 85.29 weeks, against the target of 52 weeks.

### Hearing outcomes

TRA will normally notify the teacher of the decision made within two working days. Where there is a finding of serious misconduct, we publish this on our website, usually within two weeks. A list of [published decisions](#) is available on [GOV.UK](#).<sup>26</sup>

### Teacher Misconduct appeals

A teacher may appeal against a prohibition order within 28 days of the date a prohibition notice is served. To do so, the teacher needs to apply to the Queen's Bench Division of the High Court under Part 52 of the Civil Procedure Rules.<sup>27</sup> In 2021-22, TRA successfully defended all 3 appeals to the High Court from teachers who were prohibited. TRA also successfully defended 2 judicial review applications in 2021-22. Judicial reviews are a challenge to the way in which a decision has been made, rather than the rights and wrongs of the conclusion reached.

26 [https://www.gov.uk/search/all?parent=&keywords=panel+outcome+misconduct&level\\_one\\_taxon=&manual=&organisations%5B%5D=teaching-regulation-agency&organisations%5B%5D=national-college-for-teaching-and-leadership&public\\_timestamp%5Bfrom%5D=&public\\_timestamp%5Bto%5D=&order=updated-newest](https://www.gov.uk/search/all?parent=&keywords=panel+outcome+misconduct&level_one_taxon=&manual=&organisations%5B%5D=teaching-regulation-agency&organisations%5B%5D=national-college-for-teaching-and-leadership&public_timestamp%5Bfrom%5D=&public_timestamp%5Bto%5D=&order=updated-newest)

27 <https://www.justice.gov.uk/courts/procedure-rules/civil/rules/part52>

## Set Asides

The Secretary of State may allow a teacher to apply for the prohibition order to be set aside after a period of no less than two years and in line with strict criteria outlined in [Teacher Misconduct: the Prohibition of Teachers](#).<sup>28</sup> In 2021-22, there have been 14 applications by teachers to have their prohibition order set aside, of which 10 were granted. An application must be made in writing to the Agency and must specify the grounds upon which it is made.

Where a person makes an application to TRA for a determination that a prohibition order should be reviewed, with a view to it being set aside, TRA will normally appoint a panel consisting of persons who were not members of the original hearing which recommended the prohibition order. There may be circumstances where TRA will set aside a prohibition order without the need to refer to a hearing.

## Stakeholder engagement and media relations

TRA engages with several external stakeholders, including teaching unions, other regulators, including the devolved governments, and Ofsted. TRA works closely with its publicly appointed panellists, delivering an appraisals process and providing regular training and engagement opportunities. TRA works with the Department's press office to manage any media enquiries.

In 2021-22 the TRA delivered a number of training events aimed at panellists, this included induction and training for new panellists, Keeping Children Safe in Education and the use of Microsoft Teams for virtual hearings. Through stakeholder feedback and engagement, TRA has successfully launched a new hearings model and has made improvements to processes including use of the panellist portal and scheduling of hearings.

## Contract performance, systems and quality

The commercial contracts with legal firms are managed through monthly contract review meetings and quarterly relationship meetings at senior management level, to ensure value for money and to measure performance against contractual indicators. Legal advice is sought in relation to the investigation of teacher misconduct cases, as well as for the panel meetings and hearings.

The support and maintenance contract for the teacher misconduct system has been brought in-house and is now managed through the TRA Digital team. Additional features and enhancements have been made to the panellist portal which resulted in users being able to update their availability more flexibly. Developments were made to the teacher misconduct casework system, including improvements to the case record keeping process.

Internal quality indicators continue to be piloted against the Agency's Quality Assurance framework with developments made to controls, including measuring impact, improving feedback processes and regular meetings focused on quality held with the casework team.

28 <https://www.gov.uk/government/publications/teacher-misconduct-the-prohibition-of-teachers--3?msclid=46b1a03eb9a611ec9d67bcb5b9cb7059>

# Financial review of the year

## Introduction

The work of the Agency continued through 2021-22, despite the ongoing challenges of the COVID-19 pandemic. By adopting new working practices established during 2020-21 the Agency was able to increase its capacity compared to 2020-21. In addition, the majority of staff who were redeployed have returned to the Agency leading to an increase in expenditure in comparison to 2020-21.

## Analysis of the year

The Agency's expenditure is included within the Department's Estimate and control totals, it does not have its own [Estimate](#).<sup>29</sup> However, the Agency has a budget which is set by the Department, and against which performance is measured. The Outturn for 2021-22 was within the Budget allocated by the Department. Expenditure is split between admin and programme totals, with programme expenditure relating to frontline services, including TMU managing the process to investigate allegations of serious misconduct. For more detailed explanations see HM Treasury's (HMTs) [Consolidated Budgeting Guidance](#).<sup>30</sup>

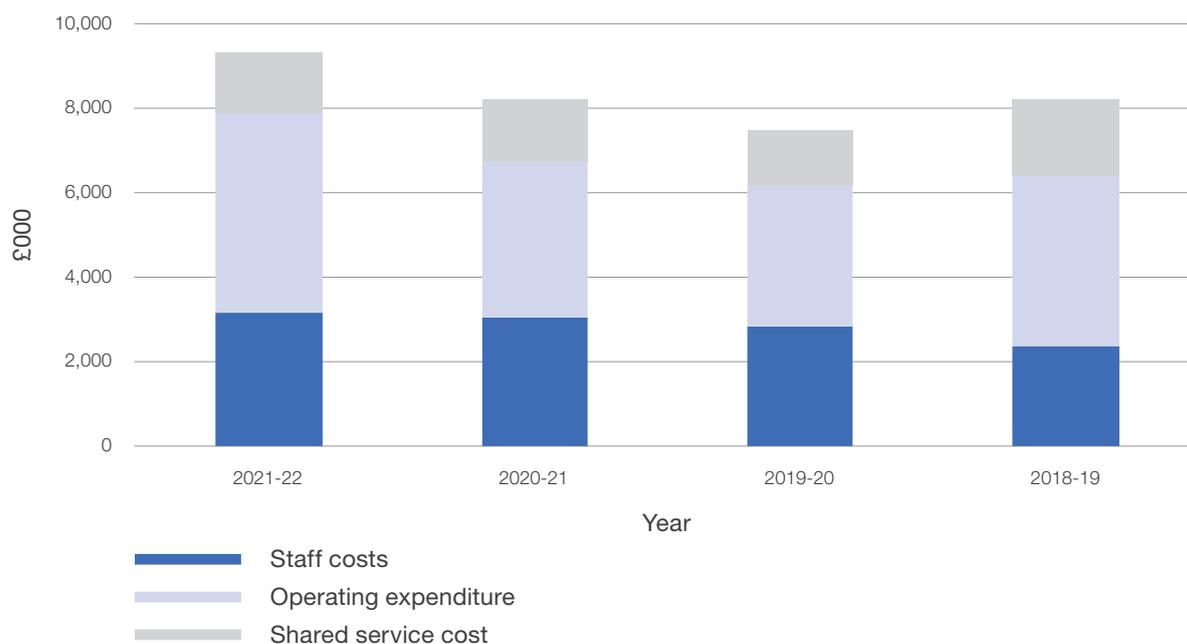
The final outturn for admin expenditure was £1.61m which is mostly due to notional charges for shared service costs recharged by the Department. Further details are set out below. Programme expenditure was £7.71m and is largely the costs of legal services and staffing.

<sup>29</sup> <https://www.gov.uk/government/collections/hmt-main-estimates>

<sup>30</sup> <https://www.gov.uk/government/publications/consolidated-budgeting-guidance-2021-to-2022>

## Trends in Outturn

The table below presents a summary of the movements in the Agency's outturn for the past four years. The National College for Teaching and Leadership was repurposed in 2018 to the TRA and therefore comparative data is not available before this date.



Outturn measure	2021-22	2020-21	2019-20	2018-19
	£000	£000	£000	£000
Staff costs	3,143	3,037	2,876	2,364
Operating expenditure, of which:	6,184	5,170	4,595	5,860
Contract programme expenditure	4,754	3,687	3,287	4,043
Shared service cost	1,430	1,483	1,308	1,817
<b>Total expenditure</b>	<b>9,328</b>	<b>8,207</b>	<b>7,471</b>	<b>8,224</b>
Funding	7,135	6,943	5,882	6,613
Average Staff numbers (whole numbers)	74	74	69	68

There has been a general trend in increasing capacity for hearings, which is evident within staff costs and operating expenditure. The largest increase has been between 2020-21 and 2021-22 and this reflects disruption to hearings caused by the COVID-19 pandemic during a significant part of 2020-21. The Agency has an internal budget, allocated by the Department. Outturn in 2021-22 was within this allocation.

**Staff costs**

During 2018-19 the Agency obtained agreement to increase headcount in order to manage staff turnover and mitigate against the risk of delays in progressing teacher misconduct casework. Due to the time taken to fill vacancies, the increase in headcount was not realised until 2020-21.

During 2020-21 ten staff were seconded out to support critical areas of work to respond to the COVID 19 pandemic. These staff mainly returned to the Agency in 2021-22 following the removal of COVID-19 restriction and the return to business as usual. Staff costs have therefore increased slightly compared to the previous year, despite the average staff numbers being the same.

**Operating expenditure**

The main operating expenditure relates to the provision of professional services from legal firms. Legal advice is sought in relation to the investigation of teacher misconduct cases, as well as for the panel meetings and hearings.

Hearings were postponed for the early part of 2020-21 due to the COVID-19 pandemic, which resulted in the overall activity being lower than would be expected in a normal year. As new working practices were adopted, activity has increased in 2021-22. TRA have also entered into new contracts with legal firms within the last 12 months which have incurred higher costs per case. The increased costs reflect higher costs across the market for these services, and still provide good value for money.

There are also increases to IT costs due to the upgrading of the IT system for teacher qualification. This will allow for greater flexibility in future design and development, ensuring that it remains modern, secure and scalable.

**Shared service cost**

As detailed in the accounting policy (note 1.11) the Department provides services to the Agency, as part of the wider offer to all the Department's Executive Agencies. The shared service charge between the Department and the Agency is notional and as such no budget allocation is made.

The costs in 2021-22 decreased compared to 2020-21. This is mainly due to increased headcounts in the core Department and other Agencies, leading to a slightly reduced apportionment for the TRA.

**Funding**

Funds are transferred by the Department in line with budgetary requirements. The funding has increased in order to cover additional costs in 2021-22. Funds are not transferred for notional costs such as the shared service recharge.

**Outturn against organisational goals**

Although net expenditure has increased in 2021-22 this reflects an increase in activity undertaken in the year as the Agency returned to a more business as usual approach following the challenges of 2020-21 caused by the COVID-19 pandemic, together with a general trend of increasing capacity for hearings.

## Performance in other matters

### Sustainability

TRA recognises the Greening Government Commitments and the benefits of disclosure.

The Agency utilises Departmental space and services which are not unique to the TRA and are shared by other Departmental Group bodies. As such, the shared use of space and services prevents us from meaningfully disaggregating the Agency's portion of the overall disclosures. TRA wish to avoid publication of arbitrary values to meet the disclosure requirements. The Department collates the data regarding the use of space, energy, staff travel, car hire and paper recycling across its combined operations which is disclosed in the Department's published consolidated ARA.

### Social responsibility

The Agency adopts the Department's policies relating to social matters, which are published in its ARA.

### Respect for human rights

The Agency adopts the Department's policies relating to human rights, which are published in its ARA.

### Modern slavery

The Agency adopts the Department's policies relating to modern slavery, which are published in its ARA.

### Anti-corruption and anti-bribery matters

The Agency adopts the Department's policies relating to anti-corruption and anti-bribery matters, which are published in its ARA.

### Diversity

The Agency adopts the Department's policies relating to diversity, which are published in its ARA.

## Forward look

- As well as continuing to deliver on our objectives, our Corporate Plan identifies our priorities for 2021-24, which includes:<sup>31</sup>
- reviewing our KPIs which measure our performance and service delivery
- continue to modernise our enquiry services, make improvements to the on-line user experience, using the latest technology and design principles, including, exploring, and developing an online referral form for employers and members of the public who wish to refer an allegation of serious misconduct
- review the new hearings model to ensure it remains effective and implement changes in operational structure to support scheduling and administration of hearings
- further develop the TRAs quality assurance framework
- support the ongoing development and training of professional conduct panellists, including training those recently recruited to ensure they are prepared ready to sit on hearings
- continued focus to conclude cases delayed due to COVID-19 and other factors. Ensuring case by case consideration to scheduling cases as soon as possible using the new hearing model of either in-person or virtual hearings
- working with DfE commercial colleagues to reprocure our contracts with legal firms in February 2023. In 2023 undertake a review of contract requirements to ensure they are sufficient for future years
- continue to implement improvements to the Agency's digital services and technical architecture.

## Going concern

The Departmental Estimate and forward plans include provision for the Agency's continuation. It is therefore appropriate to prepare the Agency's accounts as a going concern.

**Alan Meyrick**  
Accounting Officer  
11 July 2022

31 <https://www.gov.uk/government/publications/teaching-regulation-agency-corporate-plan>



# Accountability Report

# Corporate governance report

## Overview

This report includes details of the practices and processes which direct and control TRA.

## Directors' report

### Directors

TRA's Senior Management Team who served on the Executive Board during the year are::

Director	Position
<b>Alan Meyrick</b> 	<b>Chief Executive and Accounting Officer</b> Overall responsibility for the Teaching Regulation Agency. Decision maker on behalf of the Secretary of State for teacher prohibition. <b>Appointment April 2018</b>
<b>Sarah Buxcey</b> 	<b>Head of Teacher Misconduct Unit (TMU)</b> Overall responsibility for leading the TMU. To ensure the delivery of casework processes and procedures in line with legislation and published guidance and that all cases are handled in a timely, fair, and just manner. Responsibility for Contract Management of external legal firms and Stakeholder Engagement including National Teacher Unions and the Panellist Representative Group. Decision maker on behalf of the Secretary of State for teacher prohibition. <b>Appointment April 2020</b>
<b>John Knowles</b> 	<b>Head of Teacher Qualification Unit (TQU)</b> Overall responsibility for the TQU and TRA's PMO. Supports the Accounting Officer to ensure TRA is compliant with its legal responsibilities as an executive agency of DfE and acts on behalf of the Secretary of State as the competent authority for teachers in England. Responsibility for the integrity of the data held within the central record of qualified teachers and the processes and procedures used to maintain these records. Decision maker on behalf of the Secretary of State for teacher prohibition. <b>Appointment September 2020</b>

## Company directorships and other significant interests

TRA maintains a register of interests that contains details of company directorships and other significant interests held by both executive and non-executive board members. Anyone wishing to view the register can contact the Department.

There were no transactions with bodies in which the Chief Executive and Accounting Officer and the Heads of the TMU and TQU held an interest during 2021-22. Any future conflicts would be managed by undertaking appropriate risk assessments and by Senior Managers removing themselves from decision-making in line with Departmental guidance.

## Report on personal information breaches

All government departments are required to report personal data related incidents that have occurred during the financial year, in accordance with the standard disclosure format issued by the Cabinet Office.

The Cabinet Office defines a 'personal data related incident' as a loss, unauthorised disclosure or insecure disposal of personal data. This is data which could cause harm or distress to individuals if released or lost. As a minimum, this includes:

- information linked to one or more identifiable living person
- any source of information about 1,000 or more identifiable individuals, other than information sourced from the public domain

The number of personal data related incidents that fell within the criteria for reporting to the Information Commissioner's Office are as follows:

	2021-22	2020-21	2019-20
Number of incidents	2	1	2

We monitor monthly the number of correspondences received including Freedom of Information requests and Subject Access Requests.

## Complaints to the Parliamentary and Health Ombudsman

The Parliamentary and Health Service Ombudsman (PHSO) considers complaints about a service provided by the NHS or a government department, agency or other organisation acting on their behalf providing that the body falls within its jurisdiction and that it has been referred to the Ombudsman by an MP. TRA falls within the scope of the Ombudsman's activities.

The number of TRA related complaints accepted for investigation are as follows:

	2021-22	2020-21	2019-20
Number of incidents	3	6	-

The 3 complaints to the Parliamentary Ombudsman concerned complainants questioning why a case was closed after initial referral, why they were not directly advised of a prohibition order and why a case was not closed at initial referral due to no jurisdiction. TRA adheres to the DfE's complaints process, which commits to responding to any complaint within 15 working days.

Further analysis of complaints made to the Parliamentary Ombudsman at a Group level can be found in the [DfE's ARA](#), due for publication later in 2022.<sup>32</sup>

<sup>32</sup> <https://www.gov.uk/government/collections/dfe-annual-reports>

## Statement of Accounting Officer's responsibilities

Under the *Government Resources and Accounts Act 2000*, HMT has directed the Agency to prepare for each financial year a statement of accounts in the form and on the basis set out in the *Accounts Direction*<sup>33</sup>. The accounts are prepared on an accruals basis and must give a true and fair view of the state of affairs of the Agency, and of its income and expenditure, Statement of Financial Position, and cash flows for the financial year.

In preparing the accounts, the Accounting Officer is required to comply with the requirements of the *Government Financial Reporting Manual (FReM)*, and in particular to:

- observe the Accounts Direction issued by HMT, including the relevant accounting and disclosure requirements, and apply suitable accounting policies on a consistent basis
- make judgements and estimates on a reasonable basis
- state whether applicable accounting standards as set out in the FReM have been followed, and disclose and explain any material departures in the accounts,
- prepare the accounts on a going concern basis
- confirm that the ARA as a whole is fair, balanced and understandable and take personal responsibility for the ARA and the judgements required for determining that it is fair, balanced and understandable.

The Accounting Officer of the Department for Education has designated the Chief Executive as the Accounting Officer of the Agency. The responsibilities of an Accounting Officer, including responsibility for the propriety and regularity of the public finances for which the Accounting Officer is answerable, for keeping proper records and for safeguarding the Agency's assets, are set out in *Managing Public Money* published by the HMT.

As the Accounting Officer, I have taken all the steps that I ought to have taken to make myself aware of any relevant audit information and to establish that the Agency's auditors are aware of that information. So far as I am aware, there is no relevant audit information of which the auditors are unaware.

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33 [https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment\\_data/file/1041681/DAO\\_21\\_08\\_Non\\_bespoke\\_accounts\\_directions\\_21-22.pdf](https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/1041681/DAO_21_08_Non_bespoke_accounts_directions_21-22.pdf)

# Governance statement

## Scope of responsibility

As Accounting Officer, I have personal responsibility for maintaining a sound system of governance, internal control and risk management to support the achievement of the Agency's policies, aims and objectives, whilst safeguarding public funds and departmental assets.

## Governance, internal control and risk management

The Agency's system of governance, internal control and risk management is designed to manage risk to a reasonable level rather than to attempt to eliminate all risk completely. The Agency can therefore provide high, not absolute, assurance of their effectiveness.

I confirm that I have reviewed the effectiveness of governance, internal control and risk management arrangements in operation within my area of responsibility and consider that they are fit for purpose. These arrangements have been in place throughout the reporting period and up to the date of approval of the ARA. My conclusion is informed by the assessment of my Senior Management Team who have responsibility for the development and maintenance of these arrangements and by the findings of my Executive Board.

As a Senior Civil Servant (SCS) in the Agency I am required to complete an Assurance Framework Record to detail our compliance with the Departmental arrangements regarding risk, control systems, use of resources and to detail any issues. I am therefore able to provide the Department's Leadership Team and ministers with assurance that we have managed our agenda well and will continue to do so while delivering efficiencies. We maintain financial information on the delivery of all areas of work corporately and, at programme level.

I am confident that I have in place the necessary arrangements for good corporate governance and that the effectiveness of these arrangements is reviewed regularly to ensure compliance with *Corporate governance code for central government departments* (the Code) where relevant to the Agency and its remit. I have not identified any departures from the Code.<sup>34</sup>

## Governance at Departmental level

As Accounting Officer, I am accountable to the Secretary of State for the performance, leadership and day-to-day management of the Agency, reporting to the senior sponsor of the Agency who in 2021-22 was the Director for Early Years, Childcare, School Food and Teacher Regulation. My objectives are agreed by the senior sponsor and aligned with DfE objectives, the Agency's Corporate Plan and the requirements for managing public money. I use them to set objectives for my senior management team, which are agreed and monitored throughout the year.<sup>35</sup>

TRA's performance is reported to the Department's Performance team on a quarterly basis. This report forms part of a consolidated view of DfE performance to the Department's Board and its committees.

<sup>34</sup> <https://www.gov.uk/government/publications/corporate-governance-code-for-central-government-departments-2017>

<sup>35</sup> <https://www.gov.uk/government/publications/teaching-regulation-agency-corporate-plan>

## Strategic Performance Review

As stated in the Agency's [Framework Document](#), TRA is required to hold Strategic Performance Reviews (SPRs) quarterly.<sup>36</sup> The meetings are chaired by the senior sponsor to review and challenge progress against our objectives and performance measures, financial management and the management of risks and issues. SPRs are attended by finance business partners, DfE policy colleagues responsible for safeguarding, and colleagues from across the Department to provide independent challenge.

SPR meetings took place quarterly during 2021-22 on 30 April, 22 July, 14 October 2021, and 24 February 2022.

Attendees are shown in the table below:

Member	Position	Meetings attended (out of possible)
Andrew McCully	Director General, EYSG (chair)	1/1
Susie Owen	Director for Early Years, Childcare, School Food and Teacher Regulation (chair)	3/3
Alan Meyrick	Chief Executive & Accounting Officer	4/4
Sarah Buxcey	Head of Teacher Misconduct	4/4
John Knowles	Head of Teacher Qualification	4/4

## Governance at Agency level

The Agency has an Executive Board and work is organised into two distinct work areas: teacher qualification and teacher misconduct. These work areas are also supported by the PMO, the information, compliance and assurance, and finance teams.

TRA related activity including performance against KPIs, staffing, contract and case management is reported monthly through the 'balanced scorecard'. TRA's PMO uses the balanced scorecard as a status report for the quarterly SPR.

I also have monthly bilateral meetings with the Senior Sponsor to review progress across the Agency using the balanced scorecard.

<sup>36</sup> <https://www.gov.uk/government/publications/teaching-regulation-agency-corporate-plan>

## The Executive Board

I am provided with oversight on the performance of the Agency through the monthly Executive Board meetings. Programme leads submit updates via the balanced scorecard for advice, scrutiny and challenge.

The Executive Board provides me with the opportunity to hold my senior management team and their areas of work to account. The Executive Board is responsible for developing and monitoring the strategic planning and leadership priorities of the Agency and makes decisions on how work should be progressed. It oversees corporate performance, the use of financial and human resources, provides oversight of risk and issues management, and ensures maintenance of a sound system of internal control, which includes adequate sources of assurance that internal controls and risk management processes are working effectively. The Executive Board is additionally responsible for ensuring TRA is compliant with all policies and corporate business planning.

As Chief Executive and Accounting Officer I chair the Executive Board, and membership comprises of my senior management team. Wider DfE representation and advice is provided by the Department's finance business partner team and HR business partners team. Members of TRA's senior management team attend to report on teacher misconduct, teacher qualification, delivery progress, internal and external audit and assurance, risk and issue management as required.

During 2021-22, the Executive Board met 11 times. The table below sets out the attendance of the Chief Executive and Heads of TMU and TQU during the year.

Member	Position	Meetings attended (out of possible)
Alan Meyrick	Chief Executive & Accounting Officer	11/11
Sarah Buxcey	Head of Teacher Misconduct	10/11
John Knowles	Head of Teacher Qualification	9/11

I am content with the effectiveness of the Executive Board and their ability to manage the delivery challenges of the Agency.

## Department level assurance

The Agency receives oversight from the Department's Audit and Risk Committee (ARC) and the Performance and Risk Committee (PRC), which are both sub-committees of the Department's Board .

ARC's primary role is to scrutinise the Department's ARA, the Agency's ARA and key risk areas. ARC makes recommendations to me as Accounting Officer, the Permanent Secretary of the Department (as Principal Accounting Officer) and the Board on the Department's and the Agency's risk management.

ARC advises the Permanent Secretary (as Principal Accounting Officer) and the Department's Board on the adequacy and effectiveness of governance, risk management and internal controls, and on the reliability and integrity of assurances used to inform the Governance Statement. I meet with our lead ARC representative mid-year and at year end to review TRA performance. A separate ARC meeting is convened specifically to discuss the ARA of the agency.

The PRC provides scrutiny of major projects, Departmental performance and the Department's top tier risks. It offers strategic guidance and advice on significant risks and performance issues across the Department including non-departmental public bodies. It decides what issues or risks require further investigation or assurances and decides what requires escalation to the Department's Leadership Team. Membership of, and attendance at ARC, the PRC and other committees of the Department are disclosed in the [Department's ARA](#), due for publication later in 2022.<sup>37</sup>

TRA is scrutinised and challenged about its governance and control by the quarterly SPR, and through bilateral meetings between the senior sponsor and me. As referenced in the Risk Management section on page 39, the Agency's risk register is reviewed every six months by the DfE's Performance and Risk team who report on our key risks at the PRC.

## Assurance

### External audit

The Agency was audited by the National Audit Office (NAO) on behalf of the Comptroller and Auditor General during 2021-22. The recommendations from the 2020-21 NAO audit have been considered and, where appropriate, implemented.

### Internal audit

The Agency receives internal audit and assurance services from the GIAA. GIAA provides independent and objective assurance to me on the adequacy and effectiveness of the Agency's framework of governance, risk management and control by measuring and evaluating the Agency's effectiveness in achieving its agreed objectives. A full audit plan for the whole Department was produced and delivered for 2021-22. TRA has engaged GIAA to obtain assurance on process and control arrangements as appropriate.

The Agency is included in any cross-Departmental compliance and themed audits where relevant. In 2021-22 the Agency was included in the DfE audit regarding Performance Management and End-to-End Payments. No TRA specific issues were highlighted as a result of this cross-Department audit work.

There have been three TRA specific audits during the reporting period. These related to TRA Casework, Database of Qualified Teachers (DQT) Strategic Governance & Management in relation to the allocation of teacher reference numbers, and the Development of Future Hearings Model. In 2020-21 GIAA reviewed TRA's management of teacher misconduct casework; the work continued into 2021-22, where significant steps had been taken to respond to recommendations, with the majority fully complete or on track for completion in 2022-23. The Development of the Future Hearings Model received a Substantial rating and recommendations will be progressed during 2022. GIAA provided consulting engagement on the DQT Strategic Governance & Management audit regarding work on improvements to TRNs; the recommendations will be progressed by the DfE's Teacher Services division.

<sup>37</sup> <https://www.gov.uk/government/collections/dfe-annual-reports>

All agreed actions arising from the audits are monitored at the Executive Board. Progress in implementing them is reported regularly to the SPR and GIAA.

## Risk management

We adopt DfE's Risk Management Framework which sets out the principles, roles and responsibilities of staff and processes and procedures for how risks are managed.

TRA maintains a strategic risk register which is reviewed monthly at the Executive Board, in meetings with the Senior Sponsor and at the quarterly SPR meetings. Strategic risks and issues are also reported to DfE's Planning, Performance and Risk Directorate throughout the year, and they review TRA's strategic risks register every six months. All risks and issues have a designated owner who is responsible for managing and reporting on the risk and issue monthly.

TRA has an agreed risk appetite for each identified risk which is documented on the strategic risks register. Generally, the Agency does not tolerate risks with high residual impact and high residual likelihood, however the Executive Board could decide to tolerate these risks on an exceptional basis. The Executive Board considers any further actions to manage any residual risks remaining after mitigating action has been implemented.

Each Unit maintains a risk register as a key mechanism to manage operational risks and they agree to tolerate risks at the appropriate level or escalate through the agreed route. If risks and issues are escalated, following agreement by the Executive Board, these are then added to the Agency's strategic risk register.

The Agency's PMO reviews the strategic risk register monthly, providing feedback and challenge to risk and issue owners in advance of the Executive Board meetings.

## Shared services

The DfE continues to provide TRA with a number of corporate services as detailed in the accounting policy (note 1.11).

## Business continuity

We have responsibility for managing our business continuity requirements and plans, aligning with the Department's wider arrangements. Where services are outsourced, we have ensured that business continuity arrangements are in place.

On 10 December 2021, all staff were instructed to return to working from home as part of the government's Covid response Plan B guidance. As staff have IT equipment that can be used at home and are able to access IT services seamlessly this had limited impact on work. Teacher qualification helpdesks continued to be staffed. Teacher misconduct referrals and investigations continued to be processed, and IPOs continued to be imposed. Professional conduct panel meetings and hearings continued throughout this period, and we took steps to minimise disruption by holding virtual hearings. Some hearings were postponed as a result of COVID-19 and we continued with our plans to conclude cases as soon as possible.

## Operational policy development and delivery

We worked in partnership with the relevant Departmental policy team to embed clear protocols defining effective joint working to develop policy.

I am content that the arrangements for governance, internal control and risk management of our programmes provides me with assurance that these are adequate to ensure policies meet ministerial intent. The Department aims to develop and appraise policies using the best available evidence analysed using sound methodologies, in conjunction with stakeholders and partners. The Department subjects policies to robust deliverability testing. I am content that the Departmental policies which the Agency implements provide good guidance and direction to those delivering services to children, young people and parents, carers, and that the policies link clearly to our core values and objectives.

## Programme and project management

I have a PMO which leads on performance reporting, risk and governance at the Agency, working with the senior sponsor and Arm's Length Body Partnership team.

A programme/project management approach is used to provide governance across all our work and is applied appropriately to the scale and complexity of the particular task. Programme/project management is linked through to the wider management processes, including:

- business cases
- project initiation documents
- programme and project delivery plans
- risk registers
- issues logs
- action and decision logs

These are agreed and reviewed by the relevant governance forum, dependent on the scale of the project

## Financial management

I am confident that we have clear lines of accountability in place for all programme and administrative expenditure with support from finance business partners. We put in place a number of systems to ensure adherence to Departmental processes, controls, risk management and fraud prevention so that propriety, regularity and value for money are achieved. As members of the Executive Board, the Heads of the TMU, TQU, the Agency finance team and I have planned monthly meetings with the finance business partner to identify risks early, to flag concerns and receive high-level monthly budget reports. All budget managers have performance management objectives including a financial management objective and target which is reported upon during the performance year. This enables me to monitor and challenge financial activity across the divisions. The finance business partner attends the monthly Executive Board meetings and quarterly SPRs.

We continue to place greater emphasis on financial forecasting, and making use of systems and data for the purposes of financial planning. This is particularly relevant for our demand-led budgets where improved financial modelling is required as well as regular review windows with budget holders, finance business partners, and Department finance leads to ensure any variance can be identified and corrected, if necessary, as soon as possible. Greater emphasis has been placed on budget holders to clarify their understanding and responsibility for the day-to-day maintenance of budget lines, effective profiling of budgets and anticipating funding pressures or underspends.

Monthly accounts are reconciled and reviewed with the Department's Financial Reporting Division to ensure that spend is reported correctly.

The Department continues to work with the Cabinet Office and across government to leverage the experience and strength of other government expertise and reduce fraud within the public sector. The Department and its bodies take a risk-based approach in this area to ensure that available resources and time are focused on the highest risk areas

TRA staff are required to complete mandatory training regarding counter fraud, bribery and corruption. The online course highlights the role and responsibilities everyone has in fighting fraud and promoting an effective anti-fraud culture both across the agency and the wider government. There is also tailored mandatory training for managers covering expenses and other relevant countersigning responsibilities. In addition to the mandatory training, specialist fraud colleagues from the DfE Fraud and Error Team are invited periodically to all staff events to raise awareness of key threats and emerging trends awareness.

The DfE Fraud and Error Team communicate to ARC on the above areas on a six-monthly basis, the TRA maintain close communication with the DfE Fraud and Error Team and attended their bi-monthly cross-DfE fraud network meetings. The Agency would communicate any instances of fraud or suspected fraud to them for triage, and potential inclusion as necessary in reporting to ARC.

During 2021-22, no cases of fraud were identified.

### **Delivery arrangements and achievements against business plan**

TRA's Corporate Plan 2021-24 sets out the Agency's KPIs and objectives.<sup>38</sup> Achievement against these is monitored through the Executive Board and assured by the SPR process. All our performance indicators are monitored regularly through management information. Despite the challenges that Agency has faced due to COVID, I am satisfied that the Agency is performing well to deliver its current plans.

### **Information: ICT management and data safeguarding**

The Agency received shared service IT support from DfE. IT systems were developed in accordance with Government Digital Standards and the needs of the user and business.<sup>39</sup> TRA's IT projects require approval from DfE's Technology Group to prioritise and develop these systems. Staff have received training on the importance of managing information and data protection, responding to Subject Access Requests, and the process for reporting data incidents.

TRA had 32 personal data related incidents reported in 2021-22, 2 of which fell within the criteria for reporting to the ICO. The remaining 30 personal data related incidents did not fall within the criteria for reporting to the ICO but were significant enough to be recorded centrally at department level. Smaller, localised incidents are not included.

38 <https://www.gov.uk/government/publications/teaching-regulation-agency-corporate-plan>

39 <https://www.gov.uk/service-manual/service-standard>

Further details on these incidents can be found in the DfE's ARA, due for publication later in 2022.<sup>40</sup>

Category	Nature of incident	Total
I	Loss of inadequately protected electronic equipment, devices or paper documents from secured Government premises	-
II	Loss of inadequately protected electronic equipment, devices or paper documents from outside secured Government premises	-
III	Insecure disposal of inadequately protected electronic equipment, devices or paper documents	-
IV	Unauthorised disclosure	-
V	Other	32

### Information risk management

Arrangements are in place, to ensure that TRA complies with the requirements of both HM Government and Cabinet Office policy and guidance in addressing risks to information and information systems. The DfE Chief Information Security Officer is the designated Senior Information Risk Owner with overall responsibility for the management of information security in the agencies.

TRA has a strategy group which reviews digital priorities and IT forecast expenditure. The group meets monthly to review the strategic direction, progress against priorities and financial position.

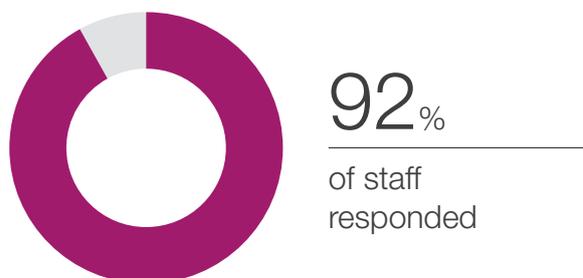
TRA has information assets which are essential to the effective and efficient operation of the organisation and the delivery of its strategic aims and objectives. Information Asset Owners (IAOs) have responsibility for protecting the information assets that are assigned to them. TRA IAO completes a statement quarterly which is recorded on the DfE's information asset register. This confirms that they have complied with their responsibilities and assessed the risks appropriately.

TRA meets with DfE's Data Protection Officer monthly to review data incidents and identify mitigations which can be put in place to prevent similar incidents occurring. TRA published its updated [data retention policy](#) in March 2021 which is still in effect in 2021-22. There are data impact assessments in place for Agency's operational processes.<sup>41</sup>

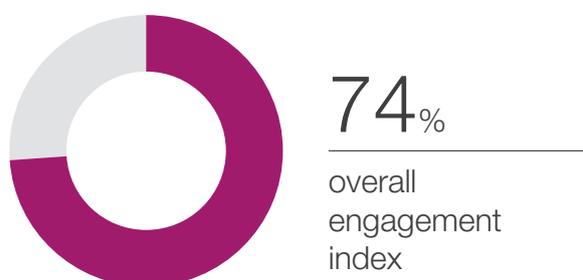
40 <https://www.gov.uk/government/collections/dfe-annual-report>

41 <https://www.gov.uk/government/publications/teaching-regulation-agency-data-retention/teaching-regulation-agency-data-retention>

## People management



**92%**  
of staff  
responded



**74%**  
overall  
engagement  
index

92% of TRA staff responded to the 2021 DfE people survey with an overall engagement index of 74%. This compares well to the DfE's engagement index of 69%.

We aim to ensure that we attract, retain, build the capability of, and motivate our people to enable them to deliver outstanding performance.

TRA's People Survey Action Group (PSAG), who meet monthly, includes representatives from across the Agency. The purpose of the Group is to look at how to improve both the working practices and the culture within TRA, with staff being developed and empowered in their work.

This group is responsible for developing an action plan based on key themes from the Department's people survey. These themes include resources and workload, learning and development and, inclusion and fair treatment. The action plan identifies improvements to the working practices and culture of the Agency based on these themes. The PSAG present the action plan to the Executive Board for sign off and update on progress throughout the year.

The group also has responsibility for organising monthly all staff meetings as well as ensuring that there is visibility of people-related issues across the Agency, identifying potential future scenarios, people related risks or opportunities, and providing direction on how to avoid or achieve those. The Group works with others to add value and provides a tailored approach to improve the skills and capability of the Agency.

The workforce plan is reviewed at the Executive Board monthly, allowing us to meet our workforce targets.

TRA adheres to the Departmental policies for performance management, underperformance, attendance, and disciplinary issues. These are reported in line with other executive agencies and policy families within the Early Years and School Group.

TRA adopts the Department's policy and process for whistleblowing. I am satisfied with this collaborative approach and the effectiveness of this arrangement.

### Overall assessment

As Accounting Officer, I am satisfied that the Agency's internal control, risk management and governance arrangements are working effectively. I am confident that the assurance arrangements have, where possible, mitigated the impact of COVID. This has had no impact on the controls and risk management within the Agency. TRA continues to deliver successfully across a broad range of delivery areas.

**Alan Meyrick**  
Accounting Officer  
11 July 2022

# Remuneration and staff report

## Overview

The remuneration and staff report sets out the Agency's remuneration policy for board members, reports on how that policy has been implemented and sets out the amounts awarded to directors and, where relevant, the link between performance and pension.

## Remuneration part A: unaudited

### Accounting Officer and executive management board members' remuneration policy

The Accounting Officer is a member of the SCS. Their pay is decided by the Department's SCS Pay Committee. This is chaired by the Permanent Secretary and comprises members of the Department's Management Committee and a non-executive director.

The SCS Pay Committee makes decisions within the limits and delegated authorities set by the government in response to the annual report of the [Senior Salaries Review Body](#).<sup>42</sup>

As staff employed by an executive agency of the Department, the Senior Management Team's performance management and contractual terms are as described in the Department's ARA. As such, the Department manages performance management and non-consolidated performance award for members of the SCS within the framework set by the Cabinet Office. The contractual terms of the Senior Management Team also comply with requirements set centrally by the Cabinet Office. More on the Cabinet Office's framework and standards can be found on the civil service website.<sup>43</sup>

## Service contracts

*The Constitutional Reform and Governance Act 2010* requires Civil Service appointments to be made on merit on the basis of fair and open competition. The recruitment principles published by the Civil Service Commission specify the circumstances when appointments may be made otherwise.

Unless otherwise stated below, the officials covered by this report hold appointments which are open-ended. Early termination, other than for misconduct, would result in the individual receiving compensation as set out in the Civil Service Compensation Scheme.

Further information about the work of the [Civil Service Commission](#) can be found at their [website](#).<sup>44</sup>

42 <https://www.gov.uk/government/organisations/review-body-on-senior-salaries>

43 <https://www.gov.uk/government/organisations/civil-service>

44 <https://civilservicecommission.independent.gov.uk/>

## Remuneration part B: audited

### Remuneration (including salary) and pension entitlements

The following sections provide details of the remuneration and pension interests of the most senior management (i.e. directors) of the Agency.

	Salary	Bonus payment	Benefits-in-kind (to nearest £100)	Pension benefits (to nearest £000)	Total
2021-22	£000	£000	£	£000	£000
<b>Chief Executive</b>					
Alan Meyrick	85-90	-	-	(8)	80-85
<b>Senior Managers (Non-SCS)</b>					
Sarah Buxcey	60-65	0-5	-	16	75-80
John Knowles	60-65	0-5	-	43	105-110

	Salary	Bonus payment	Benefits-in-kind (to nearest £100)	Pension benefits (to nearest £000)	Total
2020-21	£000	£000	£	£000	£000
<b>Chief Executive</b>					
Alan Meyrick	85-90	0-5	-	23	115-150
<b>Senior Managers (Non-SCS)</b>					
Sarah Buxcey (from 6 April 2020)	60-65 <i>(60-65)</i>	-	-	79	135-140 <i>(140-145)</i>
John Knowles (from 1 September 2020)	35-40 <i>(60-65)</i>	-	-	66	100-105 <i>(125-130)</i>
Dawn Dandy (to 17 April 2020)	0-5 <i>(70-75)</i>	0-5	-	1	0-5 <i>(70-75)</i>
Anne Dennis (to 31 August 2020)	25-30 <i>(65-70)</i>	0-5	-	5	30-35 <i>(65-70)</i>

Where individuals have joined or left during the year, annualised remuneration is presented in italics.

### Salary

Salary includes gross salary, overtime, reserved rights to London weighting or London allowances, recruitment and retention allowances, private office allowances, any other allowance to the extent that it is subject to UK taxation. This report is based on accrued payments made by the Agency and thus recorded in this ARA.

### Benefits-in-kind

The monetary value of benefits-in-kind covers any benefits provided by the Agency during an individual's period of appointment to their board role, and treated by HMRC as a taxable emolument.

During the year no board member received a benefit-in-kind (2020-21: nil).

## Bonuses

Bonuses are based on performance levels attained and are made as part of the appraisal process. Bonuses relate to the performance in the year in which they become payable to the individual. The bonuses reported in 2021-22 relate to performance in 2021-22 and the comparative bonuses reported for 2020-21 relate to the performance in 2020-21.

For non-SCS, bonuses relate to the performance in the year prior to that in which they become payable to the individual. The bonuses reported in 2021-22 relate to the performance in 2020-21 and the comparative bonuses reported for 2020-21 relate to the performance in 2019-20.

The Agency awards bonuses as part of the performance management process. The Agency sees effective performance management as key to driving up individual and organisational performance and providing greater value for money to deliver high-quality public services. The Agency follows the performance management arrangements for the SCS, and the Agency's performance management framework for managing and rewarding performance throughout the year.

## Pay multiples

Reporting bodies are required to disclose the relationship between the remuneration of the highest-paid director in their organisation and the median remuneration of the organisation's workforce.

The banded remuneration of the highest-paid director in the Agency in the financial year 2021-22 was £85,000-£90,000 (2020-21: £90,000-£95,000). This was 3.2 times the median, the decrease in this ratio compared to the prior year is due to a decrease in the remuneration of the highest paid director (2020-21: 3.4). The median remuneration of the workforce was £27,000 (2020-21: £28,000). The pay, reward and progression policies have not changed significantly during the year, which is reflected in the relatively minor change in the median remuneration figure. The small decrease is due to a small shift in the grade distribution of staff.

In 2021-22, nil employees (2020-21: nil) received remuneration in excess of the highest-paid director. Remuneration ranged from £ 21,000 to £90,000 (2020-21: £21,000-£95,000).

Total remuneration includes salary, non-consolidated performance-related pay and benefits-in-kind. It does not include severance payments, employer pension contributions and the cash equivalent transfer value of pensions.

	2021-22	2020-21
	£000	£000
Band of highest paid director's remuneration	85-90	90-95
Range	21-90	21-95
Upper quartile	33	33
Median	27	28
Lower quartile	25	26
	Ratio	Ratio
Upper quartile	2.7	2.8
Median	3.2	3.4
Lower quartile	3.5	3.6

### Percentage change in the total salary and bonuses of the highest paid board member and the staff average

	2021-22	
	Highest paid director	Staff average
	% change	% change
Salary and allowances	-	(1%)
Bonuses	(100%)	(18%)
BiKs	-	-

No bonuses were paid to the highest paid director in 2021-22.

### Ratio between highest paid director's total remuneration and the lower quartile median and upper quartile for staff pay

	2021-22		2020-21	
	Salary	Total pay and benefits	Salary	Total pay and benefits
	Ratio	Ratio	Ratio	Ratio
Upper quartile	2.7:1	2.7:1	2.7:1	2.8:1
Median	3.4:1	3.2:1	3.4:1	3.4:1
Lower quartile	3.5:1	3.5:1	3.5:1	3.6:1

No bonuses were paid to the highest paid director in 2021-22.

### Lower quartile, median and upper quartile for staff pay for salaries and total pay and benefits

	2021-22		2020-21	
	Salary	Total pay and benefits	Salary	Total pay and benefits
	£	£	£	£
Upper quartile	31,977	33,002	32,141	33,378
Median	26,000	27,325	26,000	27,570
Lower quartile	25,000	25,000	25,000	25,500

## Pensions benefits

As an executive Agency of the Department, the Agency's staff are members of the Principal Civil Service Pension Scheme (PCSPS) and Civil Servants and Other Pension Scheme (CSOPS) that provides pension benefits. Readers can find details on the scheme at the [Civil Service Pensions website](#).<sup>45</sup>

## Officials

	Accrued pension at pension age as at 31/3/22 and related lump sum	Real increase in pension and related lump sum at pension age	CETV at 31/3/22	CETV at 31/3/21	Real increase in CETV
	£000	£000	£000	£000	£000
<b>Chief Executive</b>					
Alan Meyrick	35 - 40 plus a lump sum of 115 - 120	0 plus a lump sum of 0	946	897	(8)
<b>Senior Managers (Non-SCS)</b>					
Sarah Buxcey	20 - 25 plus a lump sum of 40 - 45	0 - 2.5 plus a lump sum of 0	388	360	6
John Knowles	30 - 35 plus a lump sum of 65 - 70	0 - 2.5 plus a lump sum of 2.5 - 5	614	548	33

45 <https://www.civilservicepensionscheme.org.uk/>

## Civil service pensions

Pension benefits are provided through the Civil Service pension arrangements. From 1 April 2015 a new pension scheme for civil servants was introduced – the Civil Servants and Others Pension Scheme, or alpha, which provides benefits on a career average basis with a normal pension age equal to the member's state pension age (or 65 if higher). From that date, all newly appointed civil servants and the majority of those already in service joined alpha. Prior to that date, civil servants participated in the Principal Civil Service Pension Scheme (PCSPS). The PCSPS has four sections: three providing benefits on a final salary basis (classic, premium or classic plus) with a normal pension age of 60; and one providing benefits on a whole career basis (nuvos) with a normal pension age of 65.

These statutory arrangements are unfunded with the cost of benefits met by monies voted by Parliament each year. Pensions payable under classic, premium, classic plus, nuvos and alpha are increased annually in line with Pensions Increase legislation. Existing members of the PCSPS who were within 10 years of their normal pension age on 1 April 2012 remained in the PCSPS after 1 April 2015. Those who were between 10 years and 13 years and 5 months from their normal pension age on 1 April 2012 will switch into alpha sometime between 1 June 2015 and 1 February 2022. Because the government plans to remove discrimination identified by the courts in the way that the 2015 pension reforms were introduced for some members, it is expected that, in due course, eligible members with relevant service between 1 April 2015 and 31 March 2022 may be entitled to different pension benefits in relation to that period (and this may affect the cash equivalent transfer values shown in this report – see below).

All members who switch to alpha have their PCSPS benefits 'banked', with those with earlier benefits in one of the final salary sections of the PCSPS having those benefits based on their final salary when they leave alpha. (The pension figures quoted for officials show pension earned in PCSPS or alpha – as appropriate. Where the official has benefits in both the PCSPS and alpha the figure quoted is the combined value of their benefits in the two schemes.) Members joining from October 2002 may opt for either the appropriate defined benefit arrangement or a defined contribution (money purchase) pension with an employer contribution (partnership pension account).

Employee contributions are salary-related and range between 4.6% and 8.05% of pensionable earnings for members of classic, premium, classic plus, nuvos and alpha. Benefits in classic accrue at the rate of 1/80th of final pensionable earnings for each year of service. In addition, a lump sum equivalent to three years initial pension is payable on retirement. For premium, benefits accrue at the rate of 1/60th of final pensionable earnings for each year of service. Unlike classic, there is no automatic lump sum. Classic plus is essentially a hybrid with benefits for service before 1 October 2002 calculated broadly as per classic and benefits for service from October 2002 worked out as in premium. In nuvos a member builds up a pension based on his pensionable earnings during their period of scheme membership. At the end of the scheme year (31 March) the member's earned pension account is credited with 2.3% of their pensionable earnings in that scheme year and the accrued pension is uprated in line with pensions increase legislation. Benefits in alpha build up in a similar way to nuvos, except that the accrual rate is 2.32%. In all cases members may opt to give up (commute) pension for a lump sum up to the limits set by the *Finance Act 2004*.

## Partnership pension

The partnership pension account is a stakeholder pension arrangement. The employer makes a basic contribution of between 8% and 14.75% (depending on the age of the member) into a stakeholder pension product chosen by the employee from a panel of providers. The employee does not have to contribute, but where they do make contributions, the employer will match these up to a limit of 3% of pensionable salary (in addition to the employer's basic contribution). Employers also contribute a further 0.5% of pensionable salary to cover the cost of centrally-provided risk benefit cover (death in service and ill health retirement).

The accrued pension quoted is the pension the member is entitled to receive when they reach pension age, or immediately on ceasing to be an active member of the scheme if they are already at or over pension age. Pension age is 60 for members of classic, premium and classic plus, 65 for members of nuvos, and the higher of 65 or State Pension Age for members of alpha. (The pension figures quoted for officials show pension earned in PCSPS or alpha – as appropriate. Where the official has benefits in both the PCSPS and alpha, the figure quoted is the combined value of their benefits in the two schemes, but note that part of that pension may be payable from different ages.)

Further details about the [Civil Service pension arrangements](#) can be found online.<sup>46</sup>

## Cash equivalent transfer values

A cash equivalent transfer value (CETV) is the actuarially assessed capitalised value of the pension scheme benefits accrued by a member at a particular point in time. The benefits valued are the member's accrued benefits and any contingent spouse's pension payable from the scheme. A CETV is a payment made by a pension scheme or arrangement to secure pension benefits in another pension scheme or arrangement when the member leaves a scheme and chooses to transfer the benefits accrued in their former scheme. The pension figures shown relate to the benefits that the individual has accrued as a consequence of their total

membership of the pension scheme, not just their service in a senior capacity to which disclosure applies.

The figures include the value of any pension benefit in another scheme or arrangement which the member has transferred to the Civil Service pension arrangements. They also include any additional pension benefit accrued to the member as a result of their buying additional pension benefits at their own cost.

CETVs are worked out in accordance with *The Occupational Pension Schemes (Transfer Values) (Amendment) Regulations 2008* and do not take account of any actual or potential reduction to benefits resulting from lifetime allowance tax which may be due when pension benefits are taken.

## Real increase in CETV

This reflects the increase in CETV that is funded by the employer. It does not include the increase in accrued pension due to inflation, contributions paid by the employee (including the value of any benefits transferred from another pension scheme or arrangement) and uses common market valuation factors for the start and end of the period.

## The real increase in the value of the CETV

This is the element of the increase in accrued pension funded by the Exchequer. It excludes increases due to inflation and contributions paid by the member. It is worked out using common market valuation factors for the start and end of the period.

## Compensation for loss of office

The Agency had paid no compensation for loss of office in 2021-22 (2020-21: nil).

46 [www.civilservicepensionscheme.org.uk](http://www.civilservicepensionscheme.org.uk)

## Staff report part A: audited

### Staff costs

	2021-22			2020-21
	Permanently employed staff	Others	Total	Total
	£000	£000	£000	£000
Wages and salaries	2,304	15	2,319	2,403
Social security costs	236		236	238
Pension costs	590	-	590	590
	<b>3,130</b>	<b>15</b>	<b>3,145</b>	<b>3,230</b>
Less recoveries in respect of outward secondments	(2)	-	(2)	(193)
	<b>3,128</b>	<b>15</b>	<b>3,143</b>	<b>3,037</b>

The Agency pays a flat fee for agency staff, which includes social security, holiday pay, pension costs etc. This note discloses the total sum as wages and salaries in the others column.

During 2020-21 some staff were redeployed across the Department and wider Government to support the COVID-19 work.

### Average number of persons employed

The average number of full-time equivalent persons employed during the year is shown in the table below.

	2021-22			2020-21
	Permanently employed staff	Other	Total	Total
	Number	Number	Number	Number
Directly employed	73	1	74	74
Other	-	-	-	-
Staff engaged on capital projects	-	-	-	-
	<b>73</b>	<b>1</b>	<b>74</b>	<b>74</b>

## Pension schemes

### Civil service pensions

The PCSPS and the Civil Servant and Other Pension Scheme (CSOPS), known as alpha, are unfunded multi-employer defined benefit schemes, but the Agency is unable to identify its share of the underlying assets and liabilities.

The scheme actuary valued the scheme liabilities as at 31 March 2016. You can find details in the resource accounts of the Cabinet Office: Civil Superannuation here.<sup>47</sup>

For 2021-22, employers' contributions of £590,000 (2020-21: £590,000) were payable to the PCSPS and CSOPS at one of four rates in the range 26.6% to 30.3% of pensionable earnings, based on salary bands.

The scheme actuary reviews employer contributions usually every four years following a full scheme valuation. The contribution rates are set to meet the cost of the benefits accruing during 2021-22 to be paid when the member retires and not the benefits paid during this period to existing pensioners.

### Partnership pension accounts

Employees can opt to open a partnership pension account, a stakeholder pension with an employer contribution. In 2021-22 employers' contributions of £nil (2020-21: £989) were paid to the appointed stakeholder pension provider.

Employer contributions are age-related and range from 3% to 12.5% of pensionable earnings up to 30 September 2015 and from 8% to 14.75% of pensionable earning from 1 October 2015. Employers also match employee contributions up to 3% of pensionable earnings. In addition, employer contributions of £nil (2020-21: £41), 0.8% of pensionable pay up to 30 September 2015 and 0.5% of pensionable pay from 1 October 2015, were payable to the PCSPS and CSOPS to cover the cost of the future provision of lump sum benefits on death in service or ill health retirement of these employees.

Contributions due to the partnership pension providers at the year end were £nil (2020-21: nil). Contributions prepaid at that date were £nil (2020-21: £nil).

### Ill-health retirement

No persons (2020-21: no persons) retired early on ill-health grounds.

### Reporting of Civil Service and other compensation schemes

The Agency had no compulsory redundancies or other agreed departures in 2021-22 (2020-21: nil).

<sup>47</sup> <https://www.civilservicepensionscheme.org.uk/knowledge-centre/resources/resource-accounts/>

## Staff report part B: unaudited

### Staff by grade and gender

Our staff are a mix of civil servants and contractors. Our civil servants are employed by the Department on its terms and conditions. Responsibility has been delegated to me as Accounting Officer for the recruitment of staff within the parameters provided by the Department's policies and procedures. The headcount for permanent staff as at 31 March 2022 is as follows:

	Male Number	Female Number	Total Number
<b>SCS</b>			
Director	-	-	-
Deputy Director	1	-	1
<b>Non-SCS</b>			
Grade 6	1	1	2
Grade 7	2	3	5
Senior executive officer	4	9	13
Higher executive officer	8	9	17
Executive officer	7	22	29
Executive assistant	5	10	15
	<b>28</b>	<b>54</b>	<b>82</b>

The headcount for permanent staff as at 31 March 2021 was as follows:

	Male Number	Female Number	Total Number
<b>SCS</b>			
Director	-	-	-
Deputy Director	1	-	1
<b>Non-SCS</b>			
Grade 6	1	1	2
Grade 7	2	3	5
Senior executive officer	4	7	11
Higher executive officer	5	12	17
Executive officer	8	19	27
Executive assistant	3	6	9
	<b>24</b>	<b>48</b>	<b>72</b>

## Analysis of staff policies and statistics

### Our people

#### Recruitment practice

The Agency has a duty to ensure it is fully compliant with the Civil Service Commissioners' recruitment principles. The Agency follows the Departments approach to recruitment which reflects its commitment to equal and fair opportunity for all. All recruitment processes comply with the *Equality Act 2010*. Details can be found in the Department ARA which will be published later in 2022.

#### Sickness absence

Figures below show the average number of working days lost through sickness absence across the Agency.

	2021-22	2020-21	2019-20	2018-19
Days per FTE	3.25	3.0	8.7	5.0

The figure above compares well with figures across the Civil Service, which were 6.1 average working days lost per full time equivalents (FTE) in the year ending 31 March 2021.<sup>48</sup>

#### Staff turnover

The figures below show the number of leavers within the reporting period divided by the average staff in post over the reporting period presented as a percentage. Agency turnover, staff leaving the Agency, is compared to the Civil Service average.

	2021-22	2020-21
Civil Service turnover	6%	5%
Agency turnover	4%	0%

This is an increase compared to 2020-21 but still below the Civil Service average.

<sup>48</sup> <https://www.gov.uk/government/publications/civil-service-sickness-absence>

### Commitment to improving diversity

TRA follows the Department's policies regarding diversity and inclusion, and TRA's data is included within the Department's reporting and assessments. The Department's assessment at the beginning of 2021 was that we have made steady progress and are more diverse since publication of our 2018 Diversity & Inclusion Strategy.

The Department's workforce is more ethnically diverse – from 17.2% in 2018 to 19.4% at end of January 2022. We are now the fourth most ethnically diverse department in the Civil Service. We have agreed targets for BAME (Black Asian, Minority Ethnic) and disabled representation in our SCS for 2023, and we are working towards achieving them. Our proportion of LGBO (Lesbian, Gay, Bisexual, Other) staff has increased from 6.1% in 2018 to 7.5% end of January 2022.

The Department has introduced a way of measuring socio-economic background to allow us to monitor progress on social mobility. The care leaver internships programme and developing schools outreach work in opportunity areas and socio-economic cold spots in each of our locations is supporting us to increase the socio-economic diversity of the workforce. Further, we now employ many more people in different locations across the country, including 600 more in both Sheffield and Manchester; 400 more in Coventry; and nearly 300 more in Darlington which supports our regional and social mobility diversity.

We recognise we need more traction in areas and will be launching a new Diversity & Inclusion strategy in 2022 so we can achieve truly transformative change. We have worked with staff and networks to develop this strategy; and have committed to attracting people from all backgrounds across the UK and nurturing all of our staff talent so we can better serve communities across the UK. We will continue to be transparent with diversity data and use it to inform evidence-based decision making and to help with accountability, so we meet the ambitions we have made.

### Staff policies for disabled persons

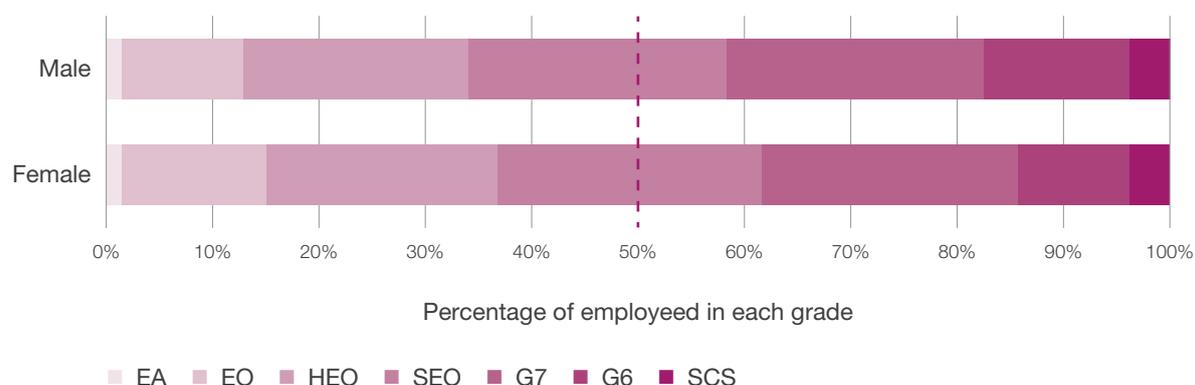
The Agency offers disability leave which is to enable employees with a disability to be able take reasonable time off from work to go for occupational rehabilitation, assessment or treatment to help them to return to work, or while they are waiting for a reasonable adjustment to be put in place.

Its recruitment policies also guarantee an interview to any disabled candidate who demonstrates that they meet the minimum standard required for the role.

### Gender pay gap reporting

TRA is included within the Department's Gender pay gap reporting. The Department now has the third lowest gender pay gap across Whitehall. The Department's median gender pay gap as at March 2021 was 4.0% (2020: 7.9%) the latest date of available data. Our analysis has identified that over-representation of females in more junior grades is likely to be a significant contributor to the remaining pay gap. The 2021 graph below shows that whilst both the median male and female salary continue to be within the SEO pay band, the higher proportion of women in EA to HEO grades means the overall female median is closer to the middle of the SEO distribution for females while the median male's pay is closer to the top end of the SEO distribution for males. The figure for 2022 is not available at the time of publication. The figure will be published by the Government Equalities Office late in 2022 and will be included in the Department's 2022-23 ARA.

#### March 2021 grade breakdown by gender



### Engagement with employees

The Department and Agencies work with our trade unions, both formally and informally, engaging with them to promote an open and constructive relationship. We aim to promote a positive employee relations environment where staff and the trade unions can contribute constructively to our objectives. The Department developed a Strategic Workforce Plan 2017-22 which aimed to improve the experience and outcomes for all our staff, ensuring our talented workforce is diverse and inclusive and that we create an attractive place to work.

As stated in the People management section on page 43, the DfE conducts a full People Survey annually, with the results published each December.

	2021-22	2020-21	2019-20
TRA Response rate	92%	84%	84%
TRA Engagement index	74%	72%	73%

The information from the survey is being used to support development of the Department's strategies and continually improve our levels of employee engagement.

## Review of tax arrangements of public sector appointees

As part of the *Review of the Tax Arrangements of Public Sector Appointees* published by the Chief Secretary to the Treasury on 23 May 2012, departments were directed to publish information pertaining to the number of off-payroll engagements at a cost of over £58,200 that were in place on, or after, 31 January 2012; and any off-payroll engagements of board members, and/or senior officials with significant financial responsibility, during 2020-21.

The tables on the following pages set out this information.

### For all off-payroll engagements as of 31 March 2022, for more than £245 per day

	Total
Number of existing engagements as at 31 March 2022	-
<b>Of which the number that have existed for:</b>	
less than one year at time of reporting	-
between one and two years at time of reporting	-
between two and three years at time of reporting	-
between three and four years at time of reporting	-
four or more years at time of reporting	-

### All temporary off-payroll workers engaged at any point during the year ended 31 March 2022 and earning at least £245 per day

	Total
Number of off-payroll workers engaged during the year ended 31 March 2021	-
<b>Of which:</b>	
Not subject to off-payroll legislation	-
Subject to off-payroll legislation and determined as in-scope of IR35	-
Subject to off-payroll legislation and determined as out-of-scope of IR35	-
No. of engagements reassessed for compliance or assurance purposes during the year	-
Of which: No. of engagements that saw a change to IR35 status following review	-
Not subject to off-payroll legislation	-

**Off-payroll engagements of board members and/or senior officials with significant financial responsibility, between 1 April 2021 and 31 March 2022**

	Total
Number of off-payroll engagements of board members and/or senior officials with significant financial responsibility, during the financial year	-
Total number of individuals on- and off-payroll that have been deemed “board members and/or senior officials with significant financial responsibility” during the financial year. This figure should include both on- and off-payroll engagements	3

**Fire, Health and safety**

The Agency is committed to ensuring the health, safety and wellbeing of staff, contractors and all others who could be affected by its activities. It fully accepts its responsibilities under the *Health and Safety at Work etc. Act 1974*.<sup>49</sup>

We recognise that effective management of fire, health and safety makes a significant contribution to our overall business performance and strategic aims, as well as a positive impact on the wellbeing of staff. The Agency acknowledges that positive, proportionate health and safety risk management prevents harm and enables efficient delivery of services across the Agency.

**Trade Union facility time**

The *Trade Union (Facility Time Publication Requirements) Regulations 2017* requires relevant public sector organisations to report on trade union facility time in their organisations.<sup>50</sup> The Department’s ARA reports on this information for both the Department and executive agencies.

49 <https://www.legislation.gov.uk/ukpga/1974/37>

50 <https://www.legislation.gov.uk/uksi/2017/328>

# Parliamentary accountability and audit report

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## Overview

This report includes details of the Agency's losses, special payments, contingent and remote contingent liabilities.

## Parliamentary accountability disclosures: audited

### Losses and special payments: audited

The Agency's losses and special payments do not exceed the Managing Public Money reporting threshold (2020-21: did not exceed the Managing Public Money reporting threshold).

### Contingent and remote contingent liabilities: audited

There were no contingent or remote contingent liabilities in the year ended 31 March 2022 (2021: £nil).

**Alan Meyrick**  
Accounting Officer  
11 July 2022

# The Certificate of the Comptroller & Auditor General to the House of Commons

## Opinion on financial statements

I certify that I have audited the financial statements of the Teaching Regulation Agency for the year ended 31 March 2022 under the Government Resources and Accounts Act 2000.

The financial statements comprise: the Teaching Regulation Agency's

- Statements of Financial Position as at 31 March 2022;
- Statement of Comprehensive Net Expenditure, Statement of Cash Flows and Statement of Changes in Taxpayers' Equity for the year then ended; and
- the related notes including the significant accounting policies.

The financial reporting framework that has been applied in the preparation of the financial statements is applicable law and UK adopted international accounting standards.

In my opinion, the financial statements:

- give a true and fair view of the state of the Teaching Regulation Agency's affairs as at 31 March 2022 and its net expenditure for the year then ended; and
- have been properly prepared in accordance with the Government Resources and Accounts Act 2000 and HM Treasury directions issued thereunder.

## Opinion on regularity

In my opinion, in all material respects, the income and expenditure recorded in the financial statements have been applied to the purposes intended by Parliament and the financial transactions recorded in the financial statements conform to the authorities which govern them.

## Basis for opinions

I conducted my audit in accordance with International Standards on Auditing (UK) (ISAs UK), applicable law and Practice Note 10 *Audit of Financial Statements and regularity of Public Sector Entities in the United Kingdom*. My responsibilities under those standards are further described in the *Auditor's responsibilities for the audit of the financial statements* section of my certificate.

Those standards require me and my staff to comply with the Financial Reporting Council's *Revised Ethical Standard 2019*. I have also elected to apply the ethical standards relevant to listed entities. I am independent of the Teaching Regulation Agency in accordance with the ethical requirements that are relevant to my audit of the financial statements in the UK. My staff and I have fulfilled our other ethical responsibilities in accordance with these requirements.

I believe that the audit evidence I have obtained is sufficient and appropriate to provide a basis for my opinion.

### Conclusions relating to going concern

In auditing the financial statements, I have concluded that the Teaching Regulation Agency's use of the going concern basis of accounting in the preparation of the financial statements is appropriate.

Based on the work I have performed, I have not identified any material uncertainties relating to events or conditions that, individually or collectively, may cast significant doubt on the Teaching Regulation Agency's ability to continue as a going concern for a period of at least twelve months from when the financial statements are authorised for issue.

My responsibilities and the responsibilities of the Accounting Officer with respect to going concern are described in the relevant sections of this certificate.

The going concern basis of accounting for the Teaching Regulation Agency is adopted in consideration of the requirements set out in HM Treasury's Government Financial Reporting Manual, which require entities to adopt the going concern basis of accounting in the preparation of the financial statements where it anticipated that the services which they provide will continue into the future.

### Other Information

The other information comprises information included in the Annual Report, but does not include the financial statements nor my auditor's certificate and report. The Accounting Officer is responsible for the other information.

My opinion on the financial statements does not cover the other information and, except to the extent otherwise explicitly stated in my certificate, I do not express any form of assurance conclusion thereon.

In connection with my audit of the financial statements, my responsibility is to read the other information and, in doing so, consider whether the other information is materially inconsistent with the financial statements or my knowledge obtained in the audit or otherwise appears to be materially misstated.

If I identify such material inconsistencies or apparent material misstatements, I am required to determine whether this gives rise to a material misstatement in the financial statements themselves. If, based on the work I have performed, I conclude that there is a material misstatement of this other information, I am required to report that fact.

I have nothing to report in this regard.

### Opinion on other matters

In my opinion the part of the Remuneration and Staff Report to be audited has been properly prepared in accordance with HM Treasury directions made under the Government Resources and Accounts Act 2000.

In my opinion, based on the work undertaken in the course of the audit:

- the parts of the Accountability Report subject to audit have been properly prepared in accordance with HM Treasury directions made under the Government Resources and Accounts Act 2000;
- the information given in the Performance and Accountability Reports for the financial year for which the financial statements are prepared is consistent with the financial statements and is in accordance with the applicable legal requirements.

### Matters on which I report by exception

In the light of the knowledge and understanding of the Teaching Regulation Agency and its environment obtained in the course of the audit, I have not identified material misstatements in the Performance and Accountability Report.

I have nothing to report in respect of the following matters which I report to you if, in my opinion:

- I have not received all of the information and explanations I require for my audit; or
- adequate accounting records have not been kept by the Teaching Regulation Agency or returns adequate for my audit have not been received from branches not visited by my staff; or
- the financial statements and the parts of the Accountability Report subject to audit are not in agreement with the accounting records and returns; or
- certain disclosures of remuneration specified by HM Treasury's Government Financial Reporting Manual have not been made or parts of the Remuneration and Staff Report to be audited is not in agreement with the accounting records and returns; or
- the Governance Statement does not reflect compliance with HM Treasury's guidance.

### Responsibilities of the Accounting Officer for the financial statements

As explained more fully in the Statement of Accounting Officer's Responsibilities, the Accounting Officer is responsible for:

- maintaining proper accounting records;
- the preparation of the financial statements and Annual Report in accordance with the applicable financial reporting framework and for being satisfied that they give a true and fair view;
- ensuring that the Annual Report and accounts as a whole is fair, balanced and understandable;
- internal controls as the Accounting Officer determines is necessary to enable the preparation of financial statement to be free from material misstatement, whether due to fraud or error; and
- assessing the Teaching Regulation Agency's ability to continue as a going concern, disclosing, as applicable, matters related to going concern and using the going concern basis of accounting unless the Accounting Officer anticipates that the services provided by the Teaching Regulation Agency will not continue to be provided in the future.

### Auditor's responsibilities for the audit of the financial statements

My responsibility is to audit, certify and report on the financial statements in accordance with the Government Resources and Accounts Act 2000.

My objectives are to obtain reasonable assurance about whether the financial statements as a whole are free from material misstatement, whether due to fraud or error, and to issue a certificate that includes my opinion. Reasonable assurance is a high level of assurance but is not a guarantee that an audit conducted in accordance with ISAs (UK) will always detect a material misstatement when it exists. Misstatements can arise from fraud or error and are considered material if, individually or in the aggregate, they could reasonably be expected to influence the economic decisions of users taken on the basis of these financial statements.

#### ***Extent to which the audit was considered capable of detecting non-compliance with laws and regulations including fraud***

I design procedures in line with my responsibilities, outlined above, to detect material misstatements in respect of non-compliance with laws and regulations, including fraud. The extent to which my procedures are capable of detecting non-compliance with laws and regulations, including fraud is detailed below.

**Identifying and assessing potential risks related to non-compliance with laws and regulations, including fraud**

In identifying and assessing risks of material misstatement in respect of non-compliance with laws and regulations, including fraud, we considered the following:

- the nature of the sector, control environment and operational performance including the design of the Teaching Regulation Agency’s accounting policies.
- Inquiring of management, the Teaching Regulation Agency’s head of internal audit and those charged with governance, including obtaining and reviewing supporting documentation relating to the Teaching Regulation Agency’s policies and procedures relating to:
  - identifying, evaluating and complying with laws and regulations and whether they were aware of any instances of non-compliance;
  - detecting and responding to the risks of fraud and whether they have knowledge of any actual, suspected or alleged fraud; and
  - the internal controls established to mitigate risks related to fraud or non-compliance with laws and regulations including the Teaching Regulation Agency’s controls relating to the Teaching Regulation Agency’s compliance with the Government Resources and Accounts Act 2000, Managing Public Money, Education Act 2002, and the Teachers’ Disciplinary (England) Regulations 2012.
- discussing among the engagement team regarding how and where fraud might occur in the financial statements and any potential indicators of fraud.

As a result of these procedures, I considered the opportunities and incentives that may exist within the Teaching Regulation Agency for fraud and identified the greatest potential for fraud in the following areas: posting of unusual journals, complex transactions, and bias in management estimates. In common with all audits under ISAs (UK), I am also required to perform specific procedures to respond to the risk of management override of controls.

I also obtained an understanding of the Teaching Regulation Agency’s framework of authority as well as other legal and regulatory frameworks in which the Teaching Regulation Agency operates, focusing on those laws and regulations that had a direct effect on material amounts and disclosures in the financial statements or that had a fundamental effect on the operations of the Teaching Regulation Agency. The key laws and regulations I considered in this context included Government Resources and Accounts Act 2000, Managing Public Money, Education Act 2002, the Teachers’ Disciplinary (England) Regulations 2012, the Teacher Misconduct Disciplinary Procedures for the Teaching Profession (May 2020), tax legislation and employment laws.

**Audit response to identified risk**

As a result of performing the above, the procedures I implemented to respond to identified risks included the following:

- reviewing the financial statement disclosures and testing to supporting documentation to assess compliance with provisions of relevant laws and regulations described above as having direct effect on the financial statements;
- enquiring of management, and the Audit and Risk Committee concerning actual and potential litigation and claims;
- reading and reviewing minutes of meetings of those charged with governance and the Board and internal audit reports;
- in addressing the risk of fraud through management override of controls, testing the appropriateness of journal entries and other adjustments;
- assessing whether the judgements made in making accounting estimates are indicative of a potential bias;
- evaluating the business rationale of any significant transactions that are unusual or outside the normal course of business; and
- testing postings in the general ledger that fell outside of the standard transaction process flow.

I also communicated relevant identified laws and regulations and potential fraud risks to all engagement team members and remained alert to any indications of fraud or non-compliance with laws and regulations throughout the audit.

A further description of my responsibilities for the audit of the financial statements is located on the Financial Reporting Council's website at: [www.frc.org.uk/auditorsresponsibilities](http://www.frc.org.uk/auditorsresponsibilities). This description forms part of my certificate.

**Other auditor's responsibilities**

I am required to obtain evidence sufficient to give reasonable assurance that the income and expenditure reported in the financial statements have been applied to the purposes intended by Parliament and the financial transactions conform to the authorities which govern them

I communicate with those charged with governance regarding, among other matters, the planned scope and timing of the audit and significant audit findings, including any significant deficiencies in internal control that I identify during my audit.

**Report**

I have no observations to make on these financial statements.

**Gareth Davies**  
12 July 2022  
Comptroller and Auditor General

National Audit Office  
157-197 Buckingham Palace Road  
Victoria  
London  
SW1W 9SP



# Financial Statements

# Financial Statements

## Statement of Comprehensive Net Expenditure

For the year ended 31 March

		2021-22	2020-21
	Note	£000	£000
<b>Operating costs</b>			
Staff costs	3	3,143	3,037
Operating expenditure	4	6,184	5,170
<b>Total operating expenditure</b>		<b>9,327</b>	<b>8,207</b>
Finance expense		1	1
<b>Net expenditure</b>		<b>9,328</b>	<b>8,208</b>
<b>Comprehensive net expenditure for the year</b>		<b>9,328</b>	<b>8,208</b>

All income and expenditure reported in the Statement of Comprehensive Net Expenditure are derived from continuing operations.

The notes on page 72 to page 77 form part of these accounts.

## Statement of Financial Position

As at 31 March

	Note	2022 £000	2021 £000
<b>Current assets</b>			
Receivables	5	114	61
Cash and cash equivalents	6	606	392
<b>Total current assets</b>		<b>720</b>	<b>453</b>
<b>Current liabilities</b>			
Payables	7	(2,151)	(1,170)
<b>Total current liabilities</b>		<b>(2,151)</b>	<b>(1,170)</b>
<b>Total assets less total liabilities</b>		<b>(1,431)</b>	<b>(717)</b>
<b>Taxpayers' equity</b>			
General Fund		(1,431)	(717)
<b>Total taxpayers' equity</b>		<b>(1,431)</b>	<b>(717)</b>

Alan Meyrick  
Accounting Officer  
11 July 2022

The notes on page 72 to page 77 form part of these accounts.

## Statement of Cash Flows

For the year ended 31 March

		2021-22	2020-21
	Note	£000	£000
<b>Cash flows from operating activities</b>			
Net operating cost	SoCNE	(9,328)	(8,207)
<i>Adjustments for non-cash transactions</i>		1,595	2,348
(Increase)/Decrease in receivables	5	(53)	(32)
(Decrease)/Increase in payables	7	981	161
Finance expense		(1)	(1)
<b>Net cash outflow from operating activities</b>		<b>(6,806)</b>	<b>(5,731)</b>
<b>Cash flows from investing activities</b>			
Purchase of intangible assets		-	-
<b>Net cash outflow from investing activities</b>		<b>-</b>	<b>-</b>
<b>Cash flows from financing activities</b>			
Draw down of Supply from sponsor Department		7,020	6,123
<b>Net cash inflow from financing activities</b>		<b>7,020</b>	<b>6,123</b>
<b>Net (decrease)/increase in cash and cash equivalents in the period</b>		<b>214</b>	<b>392</b>
Cash and cash equivalents at beginning of year		392	-
<b>Cash and cash equivalents at end of year</b>		<b>606</b>	<b>392</b>

The notes on page 72 to page 77 form part of these accounts.

## Statement of Changes in Taxpayers' Equity

For the year ended 31 March

	Note	General Fund £000
<b>Balance as at 1 April 2020</b>		(980)
Net Parliamentary Funding—drawn down		6,123
Comprehensive expenditure for the year	2.2	(8,208)
<b>Non-cash adjustments</b>		
Intra-group transactions		820
Auditor's remuneration	4	45
Notional shared service recharges	4	1,483
<b>Balance at 31 March 2021</b>		(717)
Net Parliamentary Funding —drawn down		7,020
Comprehensive expenditure for the year	2.1	(9,328)
<b>Non-cash adjustments</b>		
Intra-group transactions		115
Auditor's remuneration	4	49
Notional shared service recharges	4	1,430
<b>Balance at 31 March 2022</b>		(1,431)

The General Fund represents total assets less liabilities, to the extent that the total is not represented by other reserves and financing items for the Agency.

The notes on page 72 to page 77 form part of these accounts.

# Notes to the accounts

## 1. Statement of accounting policies

These accounts have been prepared in accordance with the 2021-22 government FReM issued by HMT. This is set out in a statutory Accounts Direction issued pursuant to section 5(2) of the *Government Resources and Accounts Act 2000 (Estimates and Accounts) (Amendment) Order 2020*.

The accounting policies contained in the FReM apply International Financial Reporting Standards (IFRSs) as adapted or interpreted for the public sector context. Where the FReM permits a choice of accounting policy, the accounting policy which is judged to be most appropriate to the particular circumstances of the Agency for the purpose of giving a true and fair view has been selected.

The particular policies adopted by the Agency for 2021-22 are described below. They have been applied consistently in dealing with items considered material in relation to the accounts.

These accounts have been prepared under the historical cost convention.

### 1.1 Going concern

As an Executive Agency, funding for TRA will be met by DfE as the sponsoring department. The 2021 Spending Review achieved a settlement for the next 3 financial years to 2024-25 that recognised the important role that DfE plays in delivering government objectives, which includes an appropriate level of grant-in-aid being provided to TRA to support increased capacity for its core business.

TRA, in discussions with DfE, actively monitors the sufficiency of grant-in-aid to meet the needs of the corporate plan for 12 months from approval of the accounts. A budget has been set for financial year 2022-23 alongside confirmation of support from DfE for the remaining 12 months' going concern period beyond March 2023 that enables TRA to deliver its objectives and continued regulatory intent. Our management of associated risks is outlined in the governance statement section of this report and TRA's continued existence remains a matter of policy. Therefore, it is considered appropriate to adopt a going concern basis for the preparation of these financial statements.

### 1.2 Critical accounting judgements and key sources of estimation uncertainty

The preparation of these accounts requires management to make judgements, estimates and assumptions that affect the application of policies and reported values of assets and liabilities, income and expenditure. These are based on historic and other factors that are believed to be reasonable. The results of these form the basis for making judgements. The estimates and underlying assumptions are reviewed on an on-going basis.

### 1.3 Adoption of FReM amendments

There have been no significant amendments to FReM for 2021-22.

### 1.4 Early adoption

The Agency has not early adopted any accounting standards in 2021-22.

### 1.5 IFRSs in issue but not yet effective

In order to comply with the requirements of *IAS 8 Accounting Policies, Changes in Accounting Estimates and Errors*, the Agency must disclose where it has not applied a new IFRS that has been issued but is not yet effective. There are two standards in issue but not effective:

- *IFRS 16 Leases*, effective for annual periods beginning on or after 1 January 2022. The mandatory FReM application has been delayed from 1 April 2021 to 1 April 2022 as part of the government's COVID-19 response
- *IFRS 17 Insurance Contracts*, effective for annual periods beginning on or after 1 January 2023. It has not yet been decided when FReM will adopt the standard for government financial reporting.

The Agency has carried out a review of the above IFRSs, to assess their impact on its accounting policies and treatment. The full impact of these IFRSs has been assessed as not material to the accounts.

### 1.6 Segmental reporting

In accordance with *IFRS 8 Operating Segments* (IFRS 8), the Agency has considered the need to analyse its income and expenditure relating to operating segments. The Agency has assessed that all lines of operation fall within the same geographical location and regulatory environment as envisaged by IFRS 8. Since segmental information for total assets and liabilities is not regularly reported to the chief operating decision-maker and in compliance with the FReM, it has not been produced in the accounts.

See note 2 page 75 for operational disclosures.

### 1.7 Draw down of Supply from sponsoring Department

The Agency has recorded all draw down of funding from the Department as financing, as the Agency regards draw down of Supply as contributions from the Agency's controlling party giving rise to a financial interest. The Agency records draw down of Supply as financing in the Statement of Cash Flows and draw down of Supply to the General Reserve.

### 1.8 Pensions

The Agency has adopted *IAS 19 Employee Benefits* to account for its pension schemes.

Where the Agency makes contributions to defined contribution pension schemes (which do not have underlying assets and liabilities) and unfunded, multi-employer defined benefit pension schemes (where the Agency is unable to identify its share of underlying assets and liabilities), the Agency recognises contributions payable in the SoCNE.

Further details of the pension schemes are available in the Remuneration Report.

### 1.9 Financial instruments

As the cash requirements of the Agency are met through the Estimate process, financial instruments play a more limited role in creating and managing risk than would apply to a non-public sector body. The majority of financial instruments relate to contracts to buy non-financial items in line with the Agency's expected purchase and usage requirements and the Agency is therefore exposed to little credit, liquidity or market risk.

#### 1.9.1 Financial assets

Financial assets include cash and cash equivalents, trade and other receivables. The Agency determines the classification of its financial assets at initial recognition. Financial assets are recognised initially at fair value, normally being the transaction price. The Agency does not hold derivative financial instruments.

All of the Agency's financial assets fall under the *IFRS 9 Financial Instrument* category of amortised cost for the purposes of subsequent measure.

### Amortised cost

Financial assets classified as amortised cost include:

- Trade and other receivables which have fixed or determinable payments that are not quoted on an active market. They do not carry any interest
- Cash and cash equivalents comprise cash in hand and on demand deposits

The above asset types are subsequently recognised at amortised cost using the effective interest method. Carrying values are based on initial fair value adjusted for interest charges and repayments. Appropriate impairment allowances for estimated irrecoverable amounts are recognised in the SoCNE based on expected losses for a particular asset, or group of assets. The allowance recognised is measured as the difference between the asset's carrying amount and the estimated future recoverable amount.

#### 1.9.2 Financial liabilities

Financial liabilities are measured at amortised cost. Financial liabilities include trade and other payables. The Agency does not currently have financial liabilities measured at fair value through profit or loss and neither does it have derivative financial instruments. The Agency determines the classification of its financial liabilities at initial recognition.

#### Trade and other payables

Trade and other payables are generally not interest bearing and are stated at their face value on initial recognition. Subsequently, they are measured at amortised cost using the effective interest method.

### 1.10 Value added tax

Most of the activities of the Agency are outside the scope of VAT. In general, output tax does not apply. Where tax does apply, input tax on purchases is not recoverable. Irrecoverable VAT is charged to the relevant expenditure category or included in the capitalised purchase cost of property and equipment and intangible assets.

### 1.11 Shared services

The Department provides a number of corporate functions as a shared service reflecting the Department's operating model as follows:

- human resources
- estates and facilities management
- communications
- legal services
- information and technology services
- corporate finance and procurement, including transactional services

The accounts include a notional recharge from the Department to the Agency to reflect the costs of these shared services. The Department makes direct charges in relation to those services which can be directly apportioned to the Agency whilst the remainder is an apportionment of costs. The apportionment is calculated as a cost per full time equivalent employee within the Departmental Group multiplied by the number of Agency full time equivalent employees.

## 2. Statement of Operating Costs by Operating Segment

### 2.1 2021-22

	TMU £000	TQU £000	Admin £000	Total £000
Gross expenditure	5,849	1,867	133	7,849
<b>Expenditure before notional charges</b>	<b>5,849</b>	<b>1,867</b>	<b>133</b>	<b>7,849</b>
<b>Notional charges</b>				
Shared service recharge	-	-	1,430	1,430
Auditor's remuneration	-	-	49	49
<b>Total notional charges</b>	<b>-</b>	<b>-</b>	<b>1,479</b>	<b>1,479</b>
<b>Net expenditure</b>	<b>5,849</b>	<b>1,867</b>	<b>1,612</b>	<b>9,328</b>

### 2.2 2020-21

	TMU £000	TQU £000	Admin £000	Total £000
Gross expenditure	4,731	1,779	170	6,680
<b>Expenditure before notional charges</b>	<b>4,731</b>	<b>1,779</b>	<b>170</b>	<b>6,680</b>
<b>Notional charges</b>				
Shared service recharge	-	-	1,483	1,483
Auditor's remuneration	-	-	45	45
<b>Total notional charges</b>	<b>-</b>	<b>-</b>	<b>1,528</b>	<b>1,528</b>
<b>Net expenditure</b>	<b>4,731</b>	<b>1,779</b>	<b>1,698</b>	<b>8,208</b>

## 3. Staff numbers and related costs

	2021-22			2020-21
	Permanently employed staff	Others	Total	Total
	£000	£000	£000	£000
Wages and salaries	2,304	15	2,319	2,403
Social security costs	236	-	236	238
Pension costs	590	-	590	590
	<b>3,130</b>	<b>15</b>	<b>3,145</b>	<b>3,230</b>
Less recoveries in respect of outward secondments	(2)	-	(2)	(193)
	<b>3,128</b>	<b>15</b>	<b>3,143</b>	<b>3,037</b>

Disclosures relating to staff numbers and costs are detailed within the Remuneration and Staff Report.

#### 4. Operating Expenditure

	2021-22	2020-21
	£000	£000
Contract programme expenditure		
Professional services	3,883	2,974
Other expenditure	816	668
	<b>4,699</b>	<b>3,642</b>
<b>Non-cash items:</b>		
Impairment	6	-
Shared services recharge	1,430	1,483
Auditor's remuneration	49	45
	<b>1,485</b>	<b>1,528</b>
	<b>6,184</b>	<b>5,170</b>

#### 5. Receivables

	2022	2021
	£000	£000
<b>Sums falling due within 1 year</b>		
Trade receivables	-	3
Other receivables	13	9
Prepayments	-	5
Accrued recharges	-	24
VAT	101	20
	<b>114</b>	<b>61</b>

#### 6. Cash and cash equivalents

	2022	2021
	£000	£000
Balance at 1 April	392	-
Net changes in cash and cash equivalents	214	392
Balance at 31 March	606	392
<b>The following balances are held as cash at bank and in hand:</b>		
Government Banking Service	606	392
<b>Balance at 31 March</b>	<b>606</b>	<b>392</b>

## 7. Payables

	2022	2021
	£000	£000
<b>Sums falling due within 1 year</b>		
Other taxation and social security	61	64
Trade payables	126	2
Other payables	62	60
Accruals	1,902	1,044
	<b>2,151</b>	<b>1,170</b>

## 8. Related party transactions

As well as the disclosures in the Remuneration and Staff Report, the following relationships are also considered as related parties and have therefore been disclosed in line with *IAS 24 Related Party Disclosures*. Transactions are classified as related party transactions if they occurred during the period the board member named held office.

The Agency regards the Department as a related party. During the year, the Agency had a number of material transactions with the Department and with other entities for which the Department is the parent Department.

In addition, the Agency has had a number of transactions with other government departments and central bodies. Most of these transactions have been with HMRC, PCSPS and CSOPS.

The Agency had no other relationships which would be considered as related parties in 2021-22.

## 9. Events after the reporting period

### 9.1 Authorisation

These accounts were authorised for issue by the Accounting Officer on the date they were certified by the Comptroller and Auditor General, there have not been any other significant post year end events that have required disclosure in the accounts.



# Exercise 1

object 1

object 2

combine

RESU



$$A = \begin{array}{ccc|c} 8564 & & & \\ 3210 & & & \\ 0321 & + & & \\ 7365 & & & \end{array}$$



# Annexes

## Annex A – Qualified Teacher Status awards to Overseas Trained Teachers

### QTS awards made to qualified teachers from the EEA and Switzerland

Country	2021-22	2020-21	2019-20
Austria	5	6	2
Belgium	6	15	18
Bulgaria	26	65	94
Croatia	10	15	22
Cyprus	-	5	6
Czech Republic	5	12	17
Denmark	2	5	4
Estonia	1	2	2
Finland	5	3	10
France	18	30	19
Germany	13	29	20
Greece	80	292	368
Hungary	14	55	56
Iceland	-	1	1
Italy	9	18	28
Latvia	1	5	9
Liechtenstein	-	-	-
Lithuania	9	9	20
Luxembourg	-	-	-
Malta	1	9	5
Netherlands	5	16	26
Norway	11	16	2
Poland	48	243	221
Portugal	4	27	37
Republic of Ireland	93	78	71
Romania	47	203	216
Slovakia	3	12	13
Slovenia	1	3	2
Spain	269	776	1,150
Sweden	13	13	12
Switzerland	5	12	7
<b>Total</b>	<b>704</b>	<b>1,975</b>	<b>2,458</b>

**QTS awards in England for OTTs (excluding EEA)**

<b>Country</b>	<b>2021-22</b>	<b>2020-21</b>	<b>2019-20</b>
Australia	159	152	443
Canada	202	203	304
Gibraltar	3	-	-
New Zealand	76	50	190
USA	540	560	473
<b>Total</b>	<b>980</b>	<b>965</b>	<b>1,410</b>

## Annex B – Glossary of key terms

Abbreviation or term	Description
ARA	Annual Report and Accounts
ARC	Audit and Risk Committee
CETV	Cash Equivalent Transfer Value
CSOPS	Civil Servant Other Pension Scheme
DBS	Disclosure and Barring Service
DfE	Department for Education
ECF	Early Career Framework
ECT	Early Career Teacher
EEA	European Economic Area
EYTS	Early Years Teacher Status
FReM	Financial Reporting Manual
FTE	Full Time Equivalent
GDPR	General Data Protection Regulations
GIAA	Government Internal Audit Agency
HMT	HM Treasury
IAO	Information Asset Owner
ICO	Information Commissioner's Office
IPO	Interim Prohibition Order
ITT	Initial Teacher Training
LA	Local Authority
NAO	National Audit Office
NQT	Newly Qualified Teacher
OTT	Overseas Trained Teacher
PCSPS	Principal Civil Service Pension Scheme
PMO	Programme Management Office
PRC	Performance and Risk Committee
PSAG	People Survey Action Group
QTS	Qualified Teacher Status
SCS	Senior Civil Servants
SEND	Special Educational Needs and Disabilities
SPR	Strategic Performance Review
SRO	Senior Responsible Owner
TMU	Teacher Misconduct Unit
TPS	Teachers' Pension Scheme (England and Wales)
TQU	Teacher Qualification Unit
TSS	Teacher Self-Service
TRA	Teaching Regulation Agency
TRN	Teacher Reference Number
2019-20 & 2020-21	Financial years, ending on 31 March
2019/20 & 2020/21	Academic years, ending on 31 August

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Teaching  
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