



**ENTRUST Regulator Standards  
Self –assessment 2014/ 2015**

**April 2015**

## 1. Introduction

- 1.1 The ENTRUST Regulator Standards (ERS) consist of 25 standards spread across seven areas encompassing the regulatory work undertaken throughout ENTRUST. They reflect the Government's Regulators' Code which was published in April 2014 (<https://www.gov.uk/government/publications/regulators-code>).
- 1.2 This report provides a summary of our self-assessment of our performance against the ERS during 2014/ 2015.

## 2. Training

### Identifying the training needs of stakeholders

- 2.1 This section of the ERS aims to ensure that the training needs of EBs are identified, met and reviewed.
- 2.2 We reviewed stakeholder training needs as a result of feedback from the delivery of advice, guidance, face to face training and through our website and carried out a review of the training and induction programme to ensure it continues to meet stakeholders' needs. As a result we committed to delivering a multi-channel training programme which meets the needs of stakeholders, which we commenced in 2014/2015

### Delivering training

- 2.3 We have produced online training materials which are now available on our website and accessible to EBs at a time which is convenient to them. This includes an introduction to the LCF training video and three further short videos relating to objects D, DA and E.
- 2.4 We held our first open day on 26 June 2014 attended by six delegates from four EBs. All delegates indicated that they would attend a similar event again.

## 3. Data and information requests

### Forms and data requests

- 3.1 This section of the ERS aims to ensure that we provide guidance to EBs on the appropriate completion and submission of statutory annual returns and other forms they are required to complete.
- 3.2 In 2014/2015 we consulted with EBs on changes to the way we capture value for money and impact information, including the introduction of new project completion and project extension forms.
- 3.3 We developed and piloted guidance on our 'Form 1: Applying to enrol as an Environmental Body (EB)', including a checklist for organisations wishing to enrol with us.
- 3.4 In addition we have provided updated guides for the online completion of Forms 2, 2X, 3, 4 and 7.

## **Design of new forms and revising existing forms**

- 3.5 This area of the standard requires us to review statutory annual returns and other forms required to be completed by EBs and consult with stakeholders on the design and content of any new forms or formalised data requests.
- 3.6 We reviewed Form 2 and decided upon the introduction of a new project completion form. We consulted EBs (in 2013/2014) on the wording of the new Value for Money questions which were moved from Form 2 to the new Form 9. We also decided to introduce a new project extension form (2X) to formalise the previous over running projects process.

## **4. Policy review**

### **Consulting**

- 4.1 This area of ERS aims to ensure that we consult with stakeholders in accordance with the Consultation Principles.
- 4.2 We have launched two consultations since 1 April 2014: the Public element of Objects D & E, and a consultation on the level of management information we provide to stakeholders. Our consultations took account of the Consultation Principles with regard to content and appropriate timescales for comments given the scope of the proposals and the audience.
- 4.3 We have published reports for three of the four consultations undertaken (6, 9 and 19 March 2015). Our fourth report is currently being developed and will be published in due course.

### **Reporting**

- 4.4 This area of ERS requires that we provide a clear and timely report to the appropriate audience of the outcomes of any review, proposal or consultation.
- 4.5 In 2014/2015 we provided eight reports required as part of our agreed key performance indicators to HMRC within deadline. We have also reported to HMRC on an ad hoc basis and within deadline whenever additional data has been required.

## **5. Advice and guidance**

### **Changes to guidance and to the Regulations**

- 5.1 This part of the ERS requires that we advertise changes to the published guidance and provide stakeholders with clear and timely advice on the changes and the date on which they will take effect.
- 5.2 We have published information about changes to the completions process which took effect in December 2014, and published initial guidance on the closure of Scotland in March 2015.
- 5.3 An article setting out our new project completion process was made available on our website on 4 December 2014.

## **Monitoring the effectiveness of advice and guidance**

- 5.4 This part of the standard requires us to monitor the effectiveness of the advice and guidance provided, and the mode of delivery, in order to ensure that both the advice and guidance and mode of delivery meets the needs of stakeholders.
- 5.5 We carried out our annual EB satisfaction survey in May/June 2014 which captured EB views regarding the effectiveness of our advice and guidance and preferred methods of delivery. 94% of respondents found our advice and guidance useful. 45% of respondents preferred to access our advice and guidance over the telephone and 34% via our website.
- 5.6 The full results of the 2014 EB Satisfaction Survey were published in the 'About Us' section of our website on 14 February 2014.

## **6. Conclusion**

- 6.1 The ongoing assessment of our work against the ERS throughout the year has been key to ensuring that our regulatory activity follows the principles set out in the Regulator's Code.
- 6.2 Each area of the ERS has been considered on an ongoing basis and evidence provided in support of the assessment made and actions identified during the year (at the six month assessment) have been implemented.
- 6.3 Based upon a self-assessment of our work we are able to confirm that the ERS have been met during 2014/ 2015.

## **APPENDIX**

Appendix A - ENTRUST Regulator Standards - Annual Assessment - 2014 2015 - RAG matrix

**ENTRUST**

**April 2015**

## ENTRUST Regulator Standards (ERS)

Annual Assessment – March 2015

Function	Standard	Rating Red / Amber / Green	
1. Policy review	1.1A	In reviewing the Regulations to ensure they are effective, proportionate and not unnecessarily burdensome, we will use an evidence-based approach to determining priority risks in accordance with the Regulators' Code.	Green
	1.1B	Proposed priority areas of potential change will be agreed by the Board.	Green
	1.2A	We will consult stakeholders in accordance with the Consultation Principles.	Green
	1.2B	We will report on the outcome of a consultation exercise, including providing appropriate feedback to those who took part.	Green
	1.3	In developing proposals for change we will consider risk and will assess which method would best achieve the intended outcome with the least burden for stakeholders.	Green
	1.4	We will provide a clear and timely report to the appropriate audience of the outcomes of any review, proposal or consultation.	Green
	2.1	We will provide advice and guidance in accordance with the Regulator's Code which is appropriate, timely, and focussed on assisting EBs to understand and meet their responsibilities.	Green
	2.2A	We will advertise changes to the published guidance and will provide stakeholders with clear and timely advice on the changes and the date on which they will take effect	Green
2. Advice and guidance			

	2.2B	We will provide clear and timely advice and guidance to stakeholders on changes to the Regulations.	Green
	2.3	We will monitor the effectiveness of the advice and guidance delivered, and the mode of delivery, in order to ensure that advice and guidance, and mode of delivery, meets the needs of stakeholders.	Green
<b>3. Training</b>	3.1	We will review stakeholders' training needs as a result of feedback from the delivery of advice, guidance, face to face training and through our website, and will review the training and induction programme to ensure it continues to meet stakeholders' needs.	Green
	3.2	We will deliver a multi-channel training programme which meets the needs of stakeholders.	Green
<b>4. Data and information requests</b>	4.1A	We will provide guidance to EBs on the appropriate completion and submission of statutory annual returns and other forms required to be completed by EBs.	Green
	4.1B	In seeking data from EBs, we will consider risk and will assess which method would best achieve the intended outcome with the least overall burden for those concerned.	Green
	4.1C	When seeking data from EBs, we will set a timetable for the submission of that data which is appropriate to the nature and extent of the request made.	Green
	4.2A	We will review statutory annual returns and other forms required to be completed by EBs and will consult with stakeholders on the design and content of any new forms or formalised data requests.	Green
	4.2B	In considering revisions or additions to forms, we will consider risk and whether an alternative method of seeking data would better achieve the intended outcome, and we will select the format which best achieves the intended outcome with the least burden for EBs.	Green
	<b>5. Compliance</b>	5.1A	We will provide clear and timely guidance to EBs on what they can expect from a compliance visit

		and what is expected from the EB before, at and after a compliance visit.	
	5.1B	We will allow EBs an appropriate period to respond to our compliance inspection report, and we will provide advice and guidance to enable the EB to address any issues identified in our compliance inspection report.	Green
6. Enforcement			
	6.1A	We will set out details of the enforcement policy, explaining how it will respond to non compliance.	Green
	6.1B	In responding to non compliance and acting within the enforcement process, we will consider risk and will assess which method of enforcement would best achieve the intended outcome with the least overall burden for those concerned.	Green
7. Transparency			
	7.1A	We will publish details of our staff and contact details so that stakeholders know who to contact and how to contact them.	Green
	7.2A	We will publish our Customer Charter and service standards so that stakeholders know what they can expect of us.	Green
	7.2B	We will publish details of our performance against our service standards, as measured through feedback and the EB satisfaction survey.	Green
	7.3A	We will publish a clear complaints policy so stakeholders understand how to make a complaint and how any complaint will be handled.	Green