

ENTRUST Regulator Standards (ERS)

The ERS consists of 25 standards spread across seven areas encompassing the regulatory work undertaken throughout the organisation and reflect the standards detailed in the Regulators' Code. These standards follow the Regulators' Code and adopted the risk based analysis which is set out there. The focus is upon the key aspects of the work undertaken. Compliance and Enforcement have been brought in, having had regard to the scope of the Regulators' Code and the comments in the NAO report on the Charity Commission. The emphasis is to focus in upon the fundamental aspects of the work which the team delivers. Transparency is included as a separate area although it encompasses all the work that we do and can perhaps be better viewed as an umbrella standard which covers all of our work.

Function	Standard
1. Policy review	1.1 Planning, reviewing and scoping
	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.
	1.1b Proposed priority areas of potential change will be agreed by the Board.
	1.2 Consulting
	1.2a We will consult stakeholders in accordance with the Consultation Principles.
	1.2b We will report on the outcome of a consultation exercise, including providing appropriate feedback to those who took part.
	1.3 Development of change proposals
	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.
	1.4 Reporting
	1.4 We will provide a clear and timely report to the appropriate audience of the outcomes of any review, proposal or consultation.

2. Advice and guidance	2.1 Day-to-day advice and guidance	
	2.1	We will provide advice and guidance which is appropriate, timely and focussed on assisting EBs to understand and meet their responsibilities, in accordance with the Regulators' Code.
	2.2 Changes to guidance and to the Regulations	
	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.
	2.2b	We will provide clear and timely advice and guidance to stakeholders on changes to the Regulations.
	2.3 Monitoring the effectiveness of advice and guidance	
	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.
3. Training	3.1 Identifying the training needs of stakeholders	
	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.
	3.2 Delivering training	
3.2	We will deliver a multi-channel training programme which meets the needs of stakeholders.	

4. Data and information requests	4.1 Forms and data requests	
	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.
	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.
	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.
	4.2 Design of new forms and revising existing forms	
	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.
	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.
5. Compliance	5.1 Visits	
	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.
6. Enforcement	6.1 Enforcement process	
	6.1a	We will set out details of the enforcement policy, explaining how it will respond to non compliance.
	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.

7. Transparency	7.1 Accessibility	
	7.1a	We will publish details of our staff and contact details so that stakeholders know who to contact and how to contact them.
	7.2 Publication of service standards	
	7.2a	We will publish our Customer Charter and service standards so that stakeholders know what they can expect of us.
	7.2b	We will publish details of our performance against our service standards, as measured through feedback and the EB satisfaction survey.
	7.3 Complaints handling	
	7.3a	We will publish a clear complaints policy so stakeholders understand how to make a complaint and how any complaint will be handled.