



G - Review Panel

Terms of Reference



January 2012

G) Review Panel Terms of Reference

| Contents | | Page |
|-----------------|------------------------------------|-------------|
| 1 | Introduction | G3 |
| 2 | Membership | G3 |
| 3 | Frequency of Meetings | G3 |
| 4 | Process | G4 |
| 5 | Changes to Regulation and Guidance | G4 |
| 6 | Contact | G4 |

1 Introduction

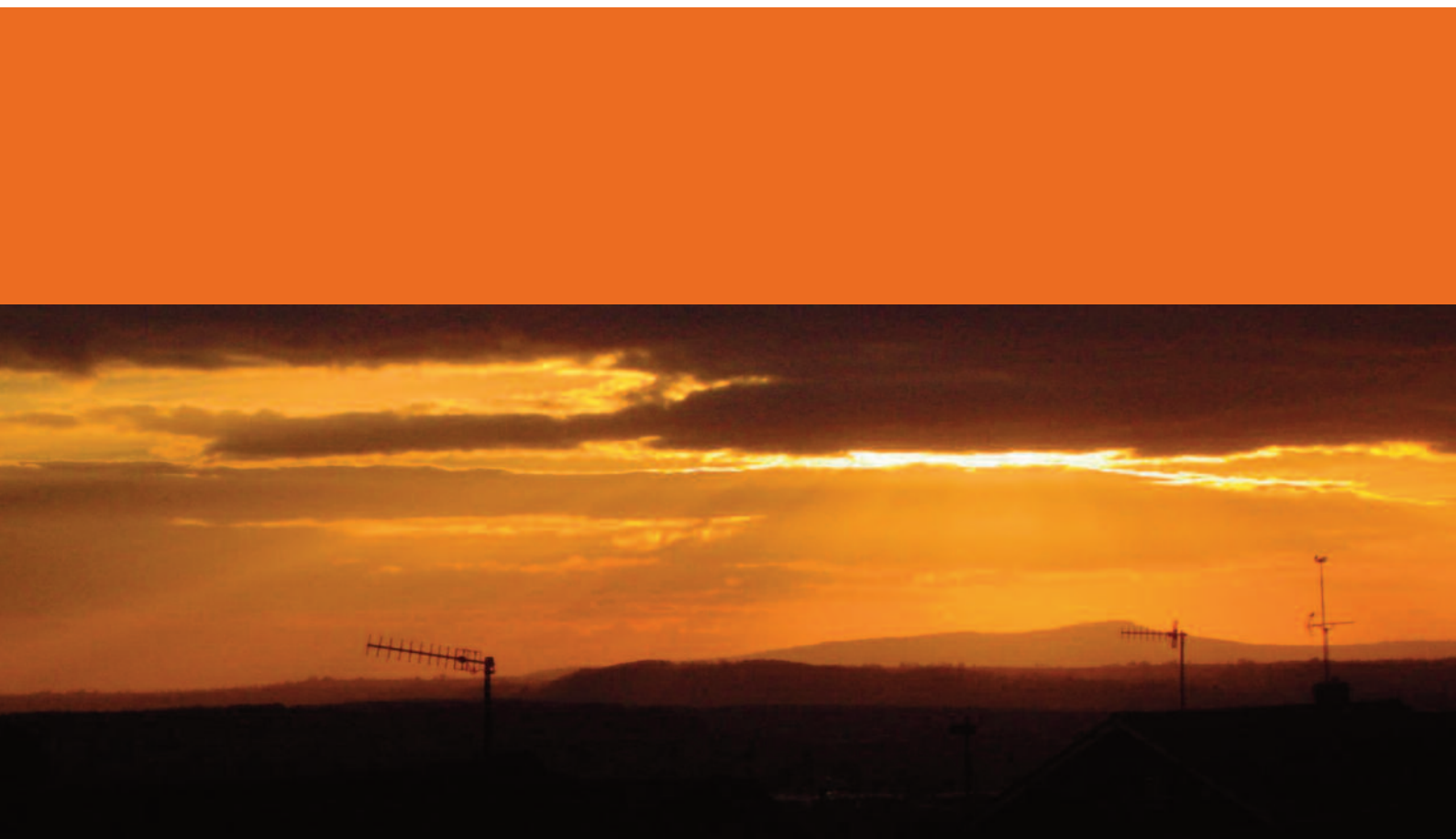
- 1.1 The purpose of the Review Panel is to ensure that ENTRUST applies consistent standards, when reviewing decisions to reject:
- Enrolment; and
 - Project applications.

2 Members

- 2.1 The Review Panel will be drawn from ENTRUST and HM Revenue & Customs (HMRC) staff to ensure that there is a balance of functional skills and experience. The Panel's quorum is three members, to be drawn from the under mentioned personnel. It should also be noted that the Senior Registrar will attend the meeting in an advisory capacity, and will be assisted by a Registrations team member taking minutes.
- Head of Operations (Chair)
 - Compliance Manager
 - Regulations Manager
 - Compliance Inspector
 - HMRC representative

3 Frequency of Meetings

- 3.1 The Review Panel will normally and where possible meet in the month following notification from the Senior Registrar that an application for enrolment or project approval has been rejected in the preceding month.





4 Process

- 4.1 The process will be facilitated through the review of refused applications. Attached at Appendix A is a flowchart of the process. In preparing for a meeting the Senior Registrar will provide the Review Panel with the application details five working days in advance of a meeting explaining why an enrolment or project application did not comply with the Regulations.
- 4.2 The details will contain the necessary information to enable the Review Panel to assess the application on an individual basis. Additionally, EBs will be provided with the opportunity to attend the meeting and explain their application in more detail. However, they will not take part in the decision making process.
- 4.3 The decision to reject or accept an application will be determined by consensus and voting. If necessary the Chairman retains a casting vote. As the Review Panel's decision is final, a full and clear audit trail must be maintained. The trail must fully document the decision making process and also record any recommendations to change the Regulations and/or guidance.
- 4.4 The responsibility for the delivery of any actions that may arise at the meeting will rest with the relevant Head of Department. The Business Manager will undertake all co-ordination and communication with EBs relating to the establishment and decisions of the Review Panel. EBs will be informed in writing of the Panel's decision within five working days.

5 Changes to Regulation and Guidance

- 5.1 Where the Review Panel decision leads to a recommendation to amend the Regulations and/or a modification to existing guidance, this will be referred to HMRC for their necessary action.

6 Contact

- 6.1 The responsibility for maintaining and updating this policy rests with the Senior Registrar.

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REVIEW PANEL PROCESS

