

## **G – Review Panel**

### **Terms of Reference**

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## **1. Introduction**

- 1.1 The Review Panel considers all cases where ENTRUST has rejected an application
- to be enrolled as an EB; or
  - for project approval.
- 1.2 The purpose of the Review Panel is to ensure that ENTRUST applies consistent standards when making decisions about whether to approve or reject enrolment applications and project applications.

## **2. Members**

- 2.1 The Review Panel is 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, drawn from the following:
- ENTRUST's Head of Operations (Chair)
  - ENTRUST's Compliance Manager
  - ENTRUST's Policy and Regulations Manager
  - a compliance Inspector from ENTRUST
  - a representative from HMRC

## **3. Attendance**

- 3.1 ENTRUST's Senior Registrar will not sit on the Review Panel but will attend the meeting in an advisory capacity. A Registrations team member will take minutes of the meeting.
- 3.2 An affected EB is invited to attend the meeting to explain the application in more detail. However, the EB will not take part in the decision making process.

## **4. Frequency of Meetings**

- 4.1 The Review Panel will normally meet every month and will review each application for enrolment or project approval that has been rejected in the preceding month. The Review Panel will not meet if there are no rejections to review.

## **5. Process**

- 5.1 The process will be facilitated through the review of rejected applications. Appendix A below sets out a flowchart setting out the process. In preparation for a meeting of the Review panel the Senior Registrar will provide the Review Panel with details of the application 5 working days in advance of the meeting. These details will include the Senior Registrar's explanation of why the proposed enrolment or project did not comply with the Regulations, and also any material submitted in advance by the affected applicant.
- 5.2 The details will contain the necessary information to enable the Review Panel to assess each application on a case by case basis.
- 5.3 The decision to reject or accept an application on review will be determined by consensus and voting. If necessary the Chair of the Review Panel 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 as a result of the decision.

- 5.4** The responsibility for the delivery of any actions that may arise at the meeting will rest with the relevant Head of Department. The Senior Registrar 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.

## **6. Changes to Regulation and Guidance**

- 6.1** 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 action.

## **7. Contact**

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

## 8. Review Panel Process

