



# Consultation protocol

## IN MEETING PROCESS

When a consultation is issued and there is sufficient time available to do so, the matter will be included as an agenda item for the next scheduled IRB meeting. It is recognised that it will always be preferable, where time allows, that any proposed response be considered at a meeting of the IRB where it can be debated fully by the IRB members. Where possible, an extension should be sought to the deadline for submission of any response to enable the matter to be discussed at a meeting of the IRB.

The agenda item will be a briefing paper which will include:

- A recommendation as to whether the IRB should issue a response, not respond, or feed into a response being submitted by another department within ICAEW;
- The timeline for any response to be submitted;
- An outline of the proposed stance to be taken in any response in summary or bullet point form;
- Whether input will be sought from other departments of ICAEW and relevant areas of the consultation identified, and the approval process for the content provided by other departments;
- Any relevant supporting documents which in the opinion of PSD management will aid the IRB's consideration of the item.

Where a sub group exists relevant to the subject matter of the consultation or any IRB member has expertise in the subject matter, the group or member may be consulted when the briefing paper is being prepared.

The IRB's approval of the stance set out in briefing paper, together with any further agreed comments from IRB members made during the meeting, will act as the approval for the final response to be submitted, and no further approval of the response by the IRB will be required, unless exceptionally, the briefing paper proposes a different approach.

The final response as submitted will be shared with the IRB members via Diligent.

## OUT OF MEETING PROCESS

There will be occasions where a consultation is issued where the timing of the submission of a response does not align with a scheduled meeting of the IRB, and it is not possible to follow the process set out above.

In such circumstances the procedure set out below should be followed:

A briefing paper will be circulated to the IRB members which will include:

- A recommendation as to whether the IRB should issue a response, not respond, or feed into a response being submitted by another department within ICAEW;
- The timeline for any response to be submitted;

- An outline of the proposed stance to be taken in any response in summary or bullet point form ;
- Whether input will be sought from other departments of ICAEW and relevant areas of the consultation identified, and the approval process for the content provided by other departments;
- Any relevant supporting documents which in the opinion of PSD management will aid the IRB's consideration of the item.

IRB members will be given 7 days in which to comment on the briefing paper. IRB members are encouraged to indicate on receipt whether they intend to provide comments.

The IRB's approval of the stance set out in briefing paper, and IRB members' further agreed comments, will act as the approval for the final response to be submitted, and no further approval of the response by the IRB will be required, unless, exceptionally, the briefing paper proposes a different approach.

Where a sub group exists relevant to the subject matter of the consultation or any IRB member has expertise in the subject matter, the group or member may be consulted when the briefing paper is being prepared.

The final response as submitted will be shared with the IRB members via Diligent.

## **CONSULTATIONS LED BY OTHER PARTS OF ICAEW**

Depending on the subject matter of a consultation, another department within ICAEW may be leading on the development of a response to a consultation with input on specific aspects from the Professional Standards Department.

When the consultation is issued and there is sufficient time available to do so, the matter will be included as an agenda item for the next scheduled IRB meeting.

The agenda item will be a briefing paper which will include:

- The stance being taken by the lead department submitting the response;
- The timeline for any response to be submitted;
- The specific areas in the response where input is required from PSD;
- An outline of the proposed stance to be taken in areas where the response will be provided by PSD in summary or bullet point form
- Any relevant supporting documents which in the opinion of PSD management will aid the IRB's consideration of the item.

Where a sub group exists relevant to the subject matter of the consultation or any IRB member has expertise in the subject matter, the group or member may be consulted when the briefing paper is being prepared.

The IRB's approval of the stance set out in briefing paper, together with any amendments made during the meeting will act as the approval for the final response to be submitted, and no further approval of the response by the IRB will be required, unless the briefing paper proposes a different approach.

Where the timing does not allow for the matter to be discussed at a meeting of the IRB, the out of meeting procedure set out above should be followed.

The final response as submitted will be shared with the IRB members via Diligent.

## **CALLS FOR EVIDENCE**

The response to a call for evidence is factual and will not contain opinion. The IRB may be shown a proposed response to a call for evidence for information or comment but will not be asked to approve any response to a call for evidence that PSD proposes to submit.

Where the lead department responding to a call for evidence is another part of ICAEW and not PSD, while the IRB may be shown the entire response, it will only be asked for comment on the material provided by PSD, unless the lead department's board has asked for specific feedback from the IRB on other aspects of the response.

The final response as submitted will be shared with the IRB members via Diligent.

## Document control

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