

## Horizon Redress Overturned Convictions (HROC) Board: Terms of Reference

### Introduction

The Horizon Redress Overturned Convictions (HROC) Board is the key decision-making governance body which oversees the Overturned Convictions Scheme (OC1) that is being delivered by Post Office Ltd (POL), and the Horizon Convictions Redress Scheme (HCRS) that is being delivered by DBT. Both redress schemes share two main objectives:

- To see postmasters whose convictions are overturned be offered full and fair financial redress.
- To design and operate the redress schemes in a manner which represents Value for Money (VfM) for the taxpayer.

The Board will meet fortnightly on Wednesdays and be chaired by DBT's SRO on Post Office Policy and Delivery (Carl Creswell). DBT's Deputy Director of Horizon Convictions Redress Team (Charlotte Heyes) will act as Deputy Chair. As this is a formal grouping, most items are expected to be informed by a short paper, which will be shared with members ahead of the meeting. HROC Board members are expected to prioritise attendance at meetings. Non-attendance should be communicated to the Secretariat as soon as possible. A designated deputy is permitted to attend in place. The Board may take some urgent decisions between meetings via correspondence.

### Responsibilities and Remit

The HROC Board is responsible for providing oversight on the delivery of the schemes that are run by both POL and DBT and ensure financial redress is delivered in line with the terms of the funding letters to DBT and the SRO's most recent SRO letter from the Cabinet Office. This includes ensuring DBT and POL seek to proactively manage risks, identify issues and decision points, whilst setting the overall strategic direction from a HMG perspective and taking decisions /making approvals in a timely manner.

Although additional attendees may be added for specific meetings or parts of meetings, the key decision-making members of HROC are DBT SRO, Finance, Legal, Analysis and HM Treasury Spending team. The current board members are as follows:

- Carl Creswell (DBT SRO for compensation for overturned convictions and Director responsible for the Post Office)
- Charlotte Heyes (DBT Deputy Director Overturned Convictions Redress)
- Eleri Wones (DBT Legal)
- James Michelson (DBT Finance)
- Milo Kershaw (HMT DBT Spending Team)

Additionally, UKGI hold observer status, the current observer is:

- Lorna Gratton (UKGI, POL Non-Executive Director who also sits on POL RC).

Different types of discussion may be supported by different submissions to the committee (e.g. formal papers, slide decks, verbal updates). Discussions will vary in length depending on topic/complexity of items, though substantive items will normally be allocated 25 minutes (based on two items).

### Sub-committees or groups

DBT POC Working Group (WG): With representation from DBT Finance, DBT Legal, and DBT Policy, the Working Group (WG) provides support to the HROC Board by challenging, discussing, and providing steers on recommendations and decisions on HROC matters. The WG meets weekly and manages the actions required to bring items forward for HROC Board approval.

### Success Measures

Success for HROC, over time, will be judged by whether:

- Postmasters are content with the compensation roll-out and claims process.
- Postmasters are receiving full and fair compensation amounts.
- The Horizon Convictions Redress Scheme and the Overturned Convictions Scheme are being delivered efficiently and effectively and are smooth running.

### Wider Governance

- **Responsible Minister for POL:** The Minister responsible for Postal Affairs provides Ministerial oversight and support for key policy priorities, on behalf of the DBT Secretary of State (DBT SoS). The Minister approves the concept of compensation for OCs and has high-level engagement with POL management. Certain decisions may require DBT SoS approval.
- **DBT Permanent Secretary:** The Permanent Secretary is the Principal Accounting Officer (PAO) for POL. The PAO are accountable to Parliament in respect of POL and the spending of public finances. The PAO will sign off on any business cases.
- **Senior Responsible Officer (SRO):** Carl Creswell (DBT Director responsible for POL) will act as the SRO. With the support of the other senior officials on the HROC Board, he is responsible for making strong business cases and, from a DBT perspective, the overall delivery of the project, including settlement and dispute resolution strategy, methodologies, and ranges for quantifying compensation amounts, and approving the amount POL can offer to individual claimants based on legal and financial advice.
- **HM Treasury (HMT):** HMT approval is required for decisions that:
  - Are outside the scope of the Business Case.
  - Present a material fairness or consistency risk with regards to the delivery of other Horizon compensation workstreams or have repercussive implications e.g. a new principle being set, or previously established principles being altered.
  - Set a precedent which materially impacts the provision (either by increasing or decreasing).
  - Significantly increase the risk of breaching the spending envelope for the scheme.
  - Relate to funding conditions stipulated by HMT.

### Secretariat

The Secretariat for the Board, including the recording of actions and minutes, will be provided by the DBT Horizon Convictions Redress Team. The Secretariat will ensure HROC agrees the actions and minutes at the subsequent meeting or as soon as is possible thereafter.

The WG will discuss and agree the agenda, preparation of papers, escalation of risks and issues for HROC steers or decisions. The WG is responsible for communicating HROC decisions to POL.