

<b>Approved Regulator (AR)</b>	XXXX
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<b>Date of receipt of the implementation plan</b>	<b>Link to the statutory guidance as set out in the Legal Services Board (LSB) decision document (see link below and page 45-53 at Annex B).</b>
XXXX	<a href="http://www.legalservicesboard.org.uk/what_we_do/consultations/closed/pdf/decision_document_diversity_and_social_mobility_final.pdf">http://www.legalservicesboard.org.uk/what_we_do/consultations/closed/pdf/decision_document_diversity_and_social_mobility_final.pdf</a>

**Section 1: Correspondence between the AR and LSB prior to submission of the implementation plan**

	Yes or No	Description	Link
Did the AR provide a response to the LSB's consultation paper (published 15 December 2010) on the transparency and evidence base proposals?	Yes		
Did the AR provide the additional information requested by the LSB (on or around 15 December 2010) on their existing evidence base data, proposals for transparency at entity level and steps to evaluate their existing initiatives?	Yes	If yes, please complete Section 1a: Additional information requested by the LSB prior to the submission of the implementation plan.	
Have the LSB followed-up on any outstanding requests for information?	Yes		
Has the AR and LSB discussed emerging thinking on how the AR will meet the expectations set out in the statutory guidance issued under s.162 of the Legal Services Act 2007?	Yes		
Were there any issues raised by either the AR or during the exchange in correspondence?	Yes		
Have the AR and LSB resolved any outstanding concerns likely to significantly influence the AR's ability to submit an implementation plan by January 2012?	Yes		

**Summary**

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<b>Overall level of concern</b>	No concern
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**Section 1a: Additional information requested by the LSB prior to the submission of the implementation plan**

	Yes or No	Description
Has the AR provided a description of their existing evidence base?	Yes	
Has the AR provided a description of whether their current evidence base informs their policy responses?	Yes	
Has the AR provided a description of whether their existing evidence base is used as a benchmark to evaluate the effectiveness and impact of existing initiatives?	Yes	

**Overall comments**

**Evaluation**

**Level of concern** No concern

## Section 2: Diversity monitoring

This section of the criteria refers to paragraph 12.a of the statutory guidance issued under section 162 of the Legal Services Act 2007

REGULATION OF ENTITIES		
Criteria	Yes or No	Description
Does the AR regulate entities (i.e. firms, chambers, Licensed Bodies)?	Yes	If no, please answer each question in the table opposite 'Regulation of Individual Authorised Persons (not entities)'. If no, please answer each question in the table opposite 'Regulation of Individual Authorised Persons (not entities)'.
Does the AR set out a proposal to require entities they regulate to conduct a diversity monitoring exercise?	Yes	
Does the AR intend to mandate this requirement? E.g. through a change to a rule in the Code of Conduct, or the issuing of Guidance which may require a Rule Change Application to be submitted to the LSB?	Yes	
Will the diversity monitoring exercise include the entire legal workforce i.e. lawyers and non-lawyers employed within an entity, and will both sets of data be collected at the same time?	Yes	
Will the AR require the entity to conduct a diversity monitoring exercise to collect information across the protected characteristics?	Yes	
If no to the question above, what protected characteristics are excluded and does the AR propose a phased approach introducing the collection of the data across all the protected characteristics at a later date?	Yes	
Does the AR propose to collect diversity data which is beyond what the LSB requires in the statutory guidance? E.g. This may include the collection of data in other areas of interest including: areas of law, size of entity etc.	Yes	
Does the AR intend to <b>exclude</b> the collection of transgender data through this exercise [in line with the LSB's statutory guidance]? If yes and transgender will be excluded, does the AR have plans to monitor transgender issues through a separate exercise?	Yes	

Overall comments

Evaluation

Level of concern

No concern

REGULATION OF INDIVIDUAL AUTHORISED PERSONS (not entities)		
Criteria	Yes or No	Description
Does the AR propose to conduct a comprehensive diversity monitoring exercise? i.e. through the PCF renewal process.	Yes	
Will the AR conduct a diversity monitoring exercise to collect information across the protected characteristics?	Yes	
If no to the question above, what protected characteristics are excluded and does the AR propose a phased approach introducing the collection of the data across all the protected characteristics at a later date?	Yes	
Does the AR intend to <b>exclude</b> the collection of transgender data through this exercise [in line with the LSB's statutory guidance]? If yes and transgender will be excluded, does the AR have plans to monitor transgender issues through a separate exercise?	Yes	
Does the AR propose to collect diversity data which is beyond what the LSB requires in the statutory guidance? E.g. this may include the collection of data in other areas of interest including: areas of law etc.	Yes	

Overall comments

Evaluation

Level of concern

No concern

**Section 3: Diversity monitoring - the model questionnaire**

This section of the criteria refers to paragraph 12.b of the statutory guidance issued under section 162 of the Legal Services Act 2007

Criteria	Yes or No	Description
Will the AR adopt, or recommend that the entities they regulate adopt, the model questionnaire set out in the statutory guidance?	Yes	If no, please answer each question in the table opposite.

Overall comments

Evaluation

Level of concern

No concern

Criteria	Yes or No	LSB Assessment
If the AR does not adopt or recommend the use of the model questionnaire, do they intend to use an alternative version?	Yes	
If yes to the question above, does the alternative version of the model questionnaire include a question on each category set out in the LSB's model questionnaire? i.e. the protected characteristics, seniority, the complete workforce employed within an entity including lawyers and non-lawyers.	Yes	
Does the alternative version of the model questionnaire still meet the expectations set out in the LSB's statutory guidance?	Yes	

Overall comments

Evaluation

Level of concern

No concern

#### Section 4: Transparency at entity level or aggregated at AR level

This section of the criteria refers to paragraph 12.c of the statutory guidance issued under section 162 of the Legal Services Act 2007

REGULATION OF ENTITIES		
Criteria	Yes or No	Description
Has the AR recommended the entity publish on their website, summary data about their workforce broken down by each protected characteristic?	Yes	
Has the AR recommended the entity use a template for publication?	Yes	
If yes to the question above, does the template include a breakdown by seniority and the wider workforce including lawyers and non-lawyers?	Yes	
Has the AR worked in partnership with other ARs to produce a consistent method of publication? If yes, please name the other ARs and indicate if the template has been piloted	Yes	
Has the AR recommended excluding data on sexual orientation and religion/belief from publication (in line with the statutory guidance)?	Yes	
If the AR has recommended the collection of workforce data on transgender and do they recommend this information is published (not in line with the statutory guidance)?	Yes	
If the AR has not recommended publication at entity level, does the AR include a description of how they intend to meet the expectation on transparency as set out in the statutory guidance? E.g. this could include data collected at entity level and published on the AR's website.	Yes	

#### Overall comments

#### Evaluation

Level of concern No concern

REGULATION OF INDIVIDUAL AUTHORISED PERSONS (not entities)		
Criteria	Yes or No	Description
Will the AR publish summary data on their website, summary data of their regulated members broken down by each protected characteristic?	Yes	
Will the AR use a template for publication?	Yes	
If yes to the question above, does the template include a breakdown by seniority?	Yes	
Has the AR worked in partnership with other ARs to produce a consistent method of publication? If yes, please name the other ARs and indicate if the template has been piloted	Yes	
Will the AR exclude data on sexual orientation and religion/belief from publication (in line with the statutory guidance)?	Yes	
Will the AR collect workforce data on transgender and will this information be published (not in line with the statutory guidance)?	Yes	
If the AR does not intend to publish the summary information, does the AR include a description of how they intend to meet the expectation on transparency as set out in the statutory guidance? E.g. this could include data collected at entity level and published on the AR's website.	Yes	

#### Overall comments

#### Evaluation

Level of concern No concern

**Section 5: Collating the aggregated data per individual branch of the profession & periodic collection**

This section of the criteria refers to paragraph 12.d and 12.e of the statutory guidance issued under section 162 of the Legal Services Act 2007

Criteria	Yes or No	Description
<b>Collating aggregated data</b>		
Has the AR set out in what form they will aggregate the data about the diversity make up of their individual branch of the profession?	Yes	

Overall comments

Evaluation

Level of concern:

No concern

Criteria	Yes or No	Description
<b>Periodic collection</b>		
Has the AR set out the periodic timing of collection? E.g. 1 year, 2 years, 3 years	Yes	
Has the AR included a start date for collection?	Yes	
Has the AR included a publication date for the first cycle?	Yes	
Has the AR included a review date of the first cycle?	Yes	

Overall comments

Evaluation

Level of concern:

No concern

**Section 6: Justification for departure from the guidance (if applicable)**

This section of the criteria refers to paragraph 13 of the statutory guidance issued under section 162 of the Legal Services Act 2007

Criteria	Yes or No	Description
<b>Description of the alternative approach (if applicable)</b>		
Has the AR outlined an alternative approach to achieving the expectations set out in the statutory guidance?	Yes	
Does it include a description of how the approach meets the expectations?	Yes	
Does it include the risks associated with the alternative approach and how these risks will be mitigated?	Yes	
Does it include a justification of why the alternative approach has been adopted in favour of the approach set out in the statutory guidance?	Yes	
Does it include a summary of the potential benefits of the alternative approach?	Yes	
Does it include an Impact Assessment?	Yes	
Has the alternative approach been piloted?	Yes	

**Overall comments**

**Evaluation**

Level of concern: No concern

Criteria	Yes or No	Description
<b>Good practice - other areas of diversity monitoring. This is an example of good practice which is not included in the statutory guidance, but referred to in the consultation response/decision document.</b>		
How does the AR intend to monitor diversity within sensitive categories such as sexual orientation, religion & belief and trans-gender status?	Yes	

**Overall comments**

**Evaluation**

Level of concern: No concern

## Section 7: Timeline for implementation

This section of the criteria refers to paragraph 9 of the statutory guidance issued under section 162 of the Legal Services Act 2007

Criteria	Yes or No	Description
Did the LSB receive the implementation plan by January 2012?	Yes	
If no to the question above, was there correspondence between the AR and LSB to address this issue?	Yes	
Does the AR intend to implement their plans by March 2012?	Yes	
If no to the question above, what is their alternative date and what is the justification for missing the recommended implementation date?	Yes	
Does the AR intend to achieve the expectations set out in the statutory guidance by the end of 2012?	Yes	
If no to the question above, what is the alternative date and what is the justification for missing the recommended date for achieving the expectations?	Yes	

### Overall comments

### Evaluation

Level of concern:

No concern



**Section 8: Final Assessment**

**Overall comments**

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**Areas of good practice to be highlighted for wider consideration**

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**Points for action for any areas of the assessment which do not meet the statutory guidance (if any)**

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