

## Master of the Faculties - Regulatory performance assessment

REGULATORY APPROACH					AUTHORISATION					SUPERVISION				ENFORCEMENT						WELL-LED					
1	2	3	4	5	1	2	3	4	5	1	2	3	4	1	2	3	4	5	6	1	2	3	4	5	6

Met		Not met – action being taken		Not met – action required	
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### Action being taken

<b>Outcome</b>	<b>RA4: Regulatory arrangements and associated guidance documentation are informed by learning gathered from all of the regulators work including its risk assessment and enforcement work.</b>
<b>LSB Assessment</b>	It is unclear how learning gathered from the Faculty Office's work has been used to inform its regulatory arrangements and guidance.
<b>Action</b>	The Faculty Office to provide information on how its evidence base, including learning gained from its risk assessment and enforcement work, has been used to influence the Faculty Office's thinking and the development/revision of regulatory arrangements and associated guidance.
<b>Timing</b>	Information provided to the LSB in May 2019 when progress will be reviewed.
<b>Outcome</b>	<b>A5: The regulator's list of those they regulate is accessible, accurate and provides information on the disciplinary records of those regulated.</b>
<b>LSB Assessment</b>	The register does not include disciplinary information, it is also not clear how it is reviewed for accuracy.

<b>Action</b>	The Faculty Office to ensure that the register of those they regulate is easily accessible and contains disciplinary information.
<b>Timing</b>	This is to be achieved through the Faculty Office's planned IT project by November 2019. LSB will review Faculty Office's progress in respect of register's accessibility and inclusion of disciplinary records in May 2019.
<b>Outcome</b>	<b>WL3: The regulator is transparent about its own: decision-making; regulatory approach; the risks it and its regulated community faces and how these are being mitigated; performance; regulated community and related markets; financial costs.</b>
<b>LSB Assessment</b>	The Faculty Office does not publish board papers, it does not publish all consultations online and the website is difficult to navigate.
<b>Action</b>	<p>(1) The Faculty Office to review current publication policy and ensure that the supporting evidence for decisions taken by the Master, Qualification and Advisory Boards or Executive which impact on the regulated community are published as soon as possible after decisions are taken. This should include Board papers which should only be withheld or with content removed in limited circumstances.</p> <p>The Faculty Office to review its consultation processes. It should publish non-confidential versions of responses to consultations on its website. Faculty Office decisions should clearly and fully address points raised in responses to consultations and demonstrate how they had been taken into account in its decision making.</p> <p>(2) The Faculty Office to review the transparency of its performance information (e.g. KPIs and performance reports, complaints about the regulator etc.) and that this information should be published as soon as possible after internal consideration.</p>
<b>Timing</b>	Work completed by May 2019 when LSB will review progress.
<b>Outcome</b>	<b>WL4: The regulator learns from its own work, stakeholders, the legal sector and other sectors and uses that learning to improve its work.</b>
<b>LSB Assessment</b>	Whilst the Faculty Office does have officers and staff attend a range of regulatory and other forums there is no clear evidence of significant learning from engagement with the regulated community or consumers.

<b>Action</b>	By May 2019 the Faculty Office to improve the transparency of how its evidence base is regularly shared with the Master (along with the Master's Qualification Board and Advisory Board where relevant) and utilised to drive change/developments, for example risk management, guidance and revised policy.
<b>Timing</b>	LSB will review Faculty Office's progress in May 2019.