

## **Annex 1**

## IPReg Practice Fees 2017

Shown in purple (no increase from 2016)

2010 (black); 2011 (red); 2012, 2013 and 2014 figures (blue); 2015 figures (green) and 2016 figures (purple) also shown for comparison

<u>Individual Fees</u>	Fee One Register	Fee Both Registers
Attorneys who are retired or inactive	£144 £140 £140 £140 £125	£232 £225 £225 £225 £200
Attorneys who are employed solely in industry	£159 £154 £140 £140 £125	£255 £248 £225 £225 £200
All Other Attorneys	£193 £187 £170 £170 £150	£317 £308 £280 £280 £250
Sole Traders	£317 £308 £280 £280 £250	£453 £440 £400 £400 £350
Sole Trader Employing Others - Base	£317 £308 £280 £280 £250	£453 £440 £400 £400 £350
Attorneys/Professionals employed by sole traders	£63 £61 £55 £55 £50 for each employed registered Attorney, plus £255 £248 £225 £225 £200 for each unregistered professional providing legal services	£63 £61 £55 £55 £50 for each employed registered Attorney, plus £255 £248 £225 £225 £200 for each unregistered professional providing legal services

<u>Entity Fees</u>	Fee One Register	Fee Both Registers
Firms/Companies –Base	£317 £308 £280 £280 £250	
Plus Attorneys/Professionals employed in entities	£63 £61 £55 £55 £50 for each employed registered Attorney, plus £255 £248 £225 £225 £200 for each unregistered professional providing legal services	£63 £61 £55 £55 £50 for each employed registered Attorney, plus £255 £248 £225 £225 £200 for each unregistered professional providing legal services

## **Annex 2**

## The Patent Regulation Board and the Trade Mark Regulation Board (The Intellectual Property Regulation Board) Business Plan for 2017

### Policy Focus and Objectives

The regulatory objectives which underpin all of IPReg's activities are:

- *protecting and promoting the public interest;*
- *supporting the constitutional principle of the rule of law;*
- *improving access to justice;*
- *protecting and promoting the interests of consumers;*
- *promoting competition in the provision of legal services;*
- *encouraging an independent, strong, diverse and effective legal profession;*
- *increasing public understanding of the citizen's legal rights and duties;*
- *promoting and maintaining adherence to the professional principles*

### Specific Work Programme for 2017

Details are shown overleaf of the specific new activities in our 2017 work programme and also (to provide continuity) of the activities commenced in 2016 but which are likely to be ongoing in 2017.

*Note: annual activities, such as the appointment and appraisal of board members, submission of the IGR (internal governance review) to the LSB and formal admissions to and publication of the statutory registers, are not shown although the plan does highlight areas where the annual activities are intended to be undertaken in a different way in 2017*

Regulatory and Policy		
New Initiatives for 2017		
	Activity	Description
1	Assurance Programme	<p>Implement thematic reviews and follow up engagement as appropriate:</p> <ul style="list-style-type: none"> <li>• legal privilege for attorneys</li> <li>• file ownership, file retention and destruction polices, cost of transfer of files and liens</li> <li>• contingency cover for sole practitioners</li> </ul>
2	Research	<ul style="list-style-type: none"> <li>• Review, publish and action (as appropriate) the outcome of the research undertaken in 2016 jointly by IPReg and the Legal Services Board into the delivery of intellectual property legal services by unregulated providers.</li> <li>• Undertake research into data/cyber security issues affecting the profession and (if appropriate) implement thematic review in 2018</li> <li>• Review the IPReg website pages "Got an Idea" with a particular focus on providing additional information and signposting for SMEs.</li> </ul>
3	Consumer Engagement	<ul style="list-style-type: none"> <li>• Review, publish and action (as appropriate) the outcome of the research being undertaken in 2016 jointly by all the Legal Regulators into the effectiveness of client care letter/terms and conditions in the delivery of consumer focussed outcomes.</li> <li>• Review publish and action (as appropriate) LSB rule changes (and/or guidance) relating to the publication of complaints data</li> </ul>
4	Diversity Initiatives	<ul style="list-style-type: none"> <li>• Promote the availability of IPReg funds to support diversity initiatives being undertake to encourage diversity into and in the intellectual property legal services profession.</li> <li>• Review, publish and action (as appropriate) revised LSB Guidance on the publication of diversity statistics</li> </ul>

Regulatory and Policy		
Ongoing Activities		
	Activity	Description
1	Rule Changes - Support to the Profession	<p>Provide further training on the regulatory rule changes particularly:</p> <ul style="list-style-type: none"> <li>the handling of client monies</li> <li>the obligations under money laundering regulations</li> <li>the responsibilities of a Head of Legal Practice (“HoLP”) and a Head of Finance and Administration (“HoFA”)</li> </ul> <p>Procure training modules for prospective HoLPs and HoFAs</p>
2	IPReg Code	Embed understanding of the obligations in the Code through a series of presentations delivered on-line and/or via the supervisor.



Education Training and Qualification		
New Initiatives for 2017		
	Activity	Description
1	Patent Examinations	Review, publish and action (as appropriate) the outcome of the research undertaken in 2016 jointly by IPReg and the Patent Examinations Board into FD4 (formerly P6).
2	Continuing Professional Development	Benchmark the IPReg CPD obligations against the CPD arrangements of other legal and non-legal providers: <ul style="list-style-type: none"> <li>• Review and publish findings</li> <li>• Consider (and consult on as necessary) any proposed changes</li> </ul>

Education, Training and Qualification		
Ongoing Activities		
	Activity	Description
1	Accreditations	Continue the cycle of the accreditation of Examination Agencies (Bournemouth , Brunel, Queen Mary London, Nottingham Trent, the Patent Examination Board)
2	Competency Training	Promote awareness of the Patent and Trade Mark Competency Checklists  Explore the need for best practice guidance on supervised training (to include a possible template "memorandum of understanding" setting out training commitments)
3	Training in Professional and Ethical behaviour	Explore how and when training in professional and ethical behaviour is best provided to trainee and/or qualified attorneys.

## Communications

### New Initiatives for 2017

*The activities are designed to promote awareness of the benefits of IPReg as an independent and specialist legal regulator.*

	Activity	Description
1	Events (including Conferences)	Presentations on: <ul style="list-style-type: none"> <li>the purpose of IPReg and the benefits of IPReg as an independent specialist legal regulator</li> <li>the importance of IP protection to the UK and worldwide</li> <li>the differences between regulated and unregulated markets</li> </ul>
2	E-newsletter	Interview key IP opinion leaders for articles about: <ul style="list-style-type: none"> <li>the purpose of IPReg and the benefits of IPReg as an independent specialist legal regulator</li> <li>the importance of IP protection to the UK and worldwide</li> <li>the differences between regulated and unregulated markets</li> </ul>
3	Social media	<ul style="list-style-type: none"> <li>Promote IPReg through articles and activities on channels such as the professional networking site LinkedIn</li> <li>Share relevant content from other sources to the audiences following IPReg on social media platforms</li> </ul>
4	Networking	Continue to network by increasing links to individuals involved in IP from other organisations so that a wider audience understands IPReg's purpose and its value of as an independent specialist regulator



## **Annex 3**

Reserves and Surplus at 1 January 2016

	£	£
Board & Chairman (Appointments/Comms) Reserve		50,000
IT/Website Reserve		16,394
General Contingency Reserve		225,000
Assurance Disciplinary & Litigation Reserve		150,000
Projects (including research)		50,000
Practice Development		31,290
Funding Diversity Initiatives		10,000
Operating Surplus b/f from 2014	25,420	
Operating surplus for 2015	<u>109,593</u>	
	135,013	
Transfers to Ring fenced Reserves	<u>(116,290)</u>	
Operating Surplus		18,723
		<u><u>£551,407</u></u>

## **Annex 4**

## 2017 BUDGET

	£	£	£
<u>LEGAL SERVICES BOARD LEVY</u>			
LSB Levy			52,200
LeO Levy			5,000
<b>Total Legal Services Board Levy</b>			<b>57,200</b>
<u>OPERATIONAL EXPENDITURE</u>			
<u>Staff Costs</u>			
CEO Salary	75,300		
CEO Employers NI Contribution	9,300		
Regulatory Officers	162,400		
Regulatory Officers NI Contribution	20,200		
IPReg Staff (existing/temp)	63,400		
IPReg Staff (existing/temp) Employer's NI Contribution	6,600		
Pension Costs	2,500		
			<b>339,700</b>
<u>Board Costs</u>			
Chair	35,000		
Board Fees	40,000		
Board Expenses (incl Travel)	10,000		
Replacement of Board Members	R	10,000	
			<b>95,000</b>
<u>Administration Costs</u>			
Rent	30,000		
Rates & Service Charge	35,000		
Office Costs (not rent & service charge)	10,000		
Legal Costs and Professional Services	15,000		
			<b>90,000</b>
<u>PR/Communications</u>		R	<b>20,000</b>
<u>IT Support (office and website)</u>		R	<b>15,000</b>
<u>Registration (IPReg Pro)</u>			
IPReg Pro - support for payment of practice fees (contingency)			<b>10,000</b>
<u>Licensing Activities</u>			
Compensation (Insolvency) Bond			<b>35,000</b>
<u>Assurance, Disciplinary &amp; Litigation</u>		R	<b>50,000</b>
<b>Total Operational Expenditure</b>			<b>654,700</b>
<b>TOTAL BUDGETED EXPENDITURE (LEGAL SERVICES BOARD LEVY &amp; OPERATIONAL)</b>			<b>£711,900</b>

R - supported by ring fenced reserves

## **Annex 5**



## 2016 BUDGET

(REVISED)

	£	£
<u>LEGAL SERVICES BOARD LEVY</u>		
LSB Levy	60,700	
LeO Levy	8,000	
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<b>Total Legal Services Board Levy</b>		<b>68,700</b>
<u>OPERATIONAL EXPENDITURE</u>		
<u>Staff Costs</u>		
CEO Salary	74,160	
CEO Employers NI Contribution	9,200	
Regulatory Officers (2 f/t/e)	160,000	
Regulatory Officers NI Contribution	19,900	
IPReg Staff (existing/temp)	63,060	
IPReg Staff (existing/temp) Employer's NI Contribution	6,550	
Pension Costs	2,000	
<u>Board Costs</u>		
Chair	35,000	
Board Fees	40,000	
Board Expenses (incl Travel)	10,000	
Replacement of Board Members	10,000	R
<u>Administration Costs</u>		
Rent	30,000	
Rates & Service Charge	35,000	
Office Costs (not rent & service charge)	10,000	
PR/communication	10,000	
IT Support (office and website)	15,000	R
Legal Costs and Professional Services	15,000	
<u>Registration (IPReg Pro)</u>		
IPReg Pro - support for payment of practice fees (contingency)	10,000	
<u>Licensing Activities</u>		
Compensation (Insolvency) Bond	35,000	
<u>Projects</u>		
Moved to ring fenced reserves	-	R
<u>Disciplinary</u>		
	50,000	R
<u>Contingency</u>		
	10,000	
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<b>Total Operational Expenditure</b>		<b>649,870</b>
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<b>TOTAL BUDGETED EXPENDITURE (LEGAL SERVICES BOARD LEVY &amp; OPERATIONAL)</b>		<b>£718,570</b>
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R - supported by ring fenced reserves