

QUARTERLY PROJECT HIGHLIGHT REPORT

PROGRAMME/POLICY AREA:	SO1 - Promoting the public interest through ensuring independent, effective and proportionate regulation
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LINK TO REGULATORY OBJECTIVES:	RO1, RO2, RO6, RO8
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PROJECT HEADLINES

Q1 18/19 reporting period:

Regulatory performance:

- Information requests were issued to regulators on 22nd May 2018

Internal Governance Rules review outcomes:

- Learning shared and further consultation following publication of TLS investigation in May 2018
- Board paper in June 2018 confirmed policy of more outcomes focussed IGR supported by statutory guidance

Enforcement activities:

- Data received from BSB and BTAS, with analysis of key findings in May 2018

Key activities for Q2 18/19 reporting period:

Regulatory performance:

- Regulators have been asked to respond to information requests by 30 July 2018
- We will review Information request responses in August 2018

Internal Governance Rules review outcomes:

- Updated consultation response and decision document to July 2018 Board meeting
- Next milestones and timetable to be agreed in August 2018
- External legal support during Q2 for drafting the new IGR and guidance

Enforcement activities:

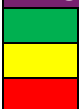
- Fieldwork with SRA August 2018
- Engagement with smaller regulators September 2018
- Report to board September 2018

RISKS (new or raised):

Risk	Impact	Likelihood	Overall	Action taken
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[REDACTED]

PROGRAMME STATUS:



[REDACTED]

QUARTERLY PROJECT HIGHLIGHT REPORT

PROGRAMME/POLICY AREA:

making it easier for all consumers to access the services they need and get redress

LINK TO REGULATORY OBJECTIVES:

RO1, RO3, RO4, RO7

PROJECT HEADLINES

Q1 18/19 reporting period:

Increasing market transparency:

- We introduced ACCA to the programme in May 2018
- CILEx regulation [published a consultation on draft rules changes in response to the CMA review in June 2018

Individual legal needs survey:

- TLS agreed to joint fund the project.

The legal needs of small businesses:

- Statistical model produced to analyse drivers for small business advice seeking in June 2018

Market intelligence:

- On-going work to support next triennial survey and enhance research webpages

Key activities for Q2 18/19 reporting period:

Increasing market transparency:

- We will continue to monitor delivery of other regulators progress against actions included in the CMA action plans ahead of the next CMA review in 2019

Individual legal needs survey:

- Project delayed by a month awaiting MoJ sign off expected completion in Q2

The legal needs of small businesses:

- Expected completion of technical; report and infographic by July 2018

Market intelligence:

- On-going work to support next triennial survey and enhance research webpages

RISKS (new or raised):

[REDACTED]

PROGRAMME STATUS:

[REDACTED]

QUARTERLY PROJECT HIGHLIGHT REPORT

PROGRAMME/POLICY AREA:

Increasing innovation, growth and the diversity of services and providers

LINK TO REGULATORY OBJECTIVES:

RO1, RO3, RO5, RO6

PROJECT HEADLINES

Q1 18/19 reporting period:

Planning for EU exit:

- Watching brief, including European Council Meeting June 2018

Diversity:

- Notice of formal review using self-assessment template previously consulted on has been communicated to regulators

Innovation research:

- Full descriptive analysis completed in Q1

Education and training:

- Interest Group Meeting 8 May 2018
- Analysis of findings undertaken in Q1

Key activities for Q2 18/19 reporting period:

Planning for EU exit:

- Continuing watching brief in Q2 with stories of interest being logged

Diversity:

- In August 2018 regulators will be invited to complete self-assessment template

Innovation research:

- Analysis of drivers of innovation to commence in Q2, revised publication date of November 2018 to link up with Legal Futures Conference

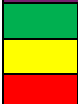
Education and training:

- Report outcomes in July board CEO report
- Webpage setting out LSB role in education and training to be completed in Q2
- Communication of findings to stakeholders and colleagues in Q2

RISKS (new or raised):

[REDACTED]

PROGRAMME STATUS:



[REDACTED]

QUARTERLY HIGHLIGHT REPORT

PROGRAMME/POLICY AREA: Risk

Ensuring that a system of risk management is maintained to inform decisions on financial and operational planning. All projects are risk assessed and measures taken to mitigate or exploit are integral to planning, approval and operational activities

LINK TO REGULATORY OBJECTIVES: See individual work streams

PROJECT HEADLINES

Q1 18/19 reporting period:

- Regular review of risk at monthly SLT meetings
- Quarterly review of risk register by ARAC (May 2018)
- Six-monthly review of risk register by Board (May 2018)
- Work on strategy and business planning assurance mapping completed in June 2018

Key activities for Q2 18/19 reporting period:

- Regular review of risk at SLT meetings
- Quarterly review of risk register by ARAC (Oct 2018)
- Work on risk LSB risk appetite and tolerance to report in October 2018
- Annual refresh of risk register
- Six-monthly review of risk register by Board (Oct 2018)
- Human resources assurance mapping to be completed for October 2018

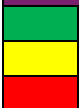
RISKS (new or raised):

OLC risks have been raised this quarter

Risk	Impact	Likelihood	Overall	Action taken
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[REDACTED]

PROGRAMME STATUS:



[REDACTED]