

QUARTERLY PROJECT HIGHLIGHT REPORT



PROGRAMME/POLICY AREA: 2A: Developing Regulatory Excellence

KEY OBJECTIVES: Regulatory Standards, Disciplinary Processes and Appeals Mechanisms, Smaller Approved Regulators, Immigration, Conveyancing, Referral Fees

LINK TO REGULATORY OBJECTIVES: RO1, RO4, RO6, RO7

PROJECT HEADLINES

Key achievements of Q2 11/12 reporting period:

Regulatory Standards:

1. Draft map of approved regulator disciplinary processes and appeal mechanisms developed.
2. The Regulatory Standards PID was sent to the Ministry of Justice (MoJ) for information. Development has also included consultation with communications and legal colleagues and the Consumer Panel.
3. Meetings have been organised with relevant organisations. This includes; BRE, CHRE and FRC.
4. A summary of the consultation responses has been produced.
5. An initial paper and regulatory standards criteria and assessment process paper has been produced for the board's consideration.
6. A workshop for the regulators has been timetabled and so has one for LSB colleagues to discuss the topic.

Disciplinary Processes and Appeal Mechanisms:

1. Maps were prepared of approved regulator disciplinary processes and appeal mechanisms.
2. An initial review of disciplinary processes and appeals mechanism project scope, proposals and PID was prepared.
3. First assessment completed of legal basis for AR appeals mechanisms and potential legislative changes that might be required to establish a single appeals mechanism.
4. Review of disciplinary processes and appeals mechanism project scope, proposals and PID.
5. Disciplinary Processes and Appeals Mechanisms Project Initiation Document (PID) developed and agreed by Senior Management Team (SMT).
6. Letter to approved regulators detailing project scope and plans drafted.

Smaller Approved Regulators:

1. Meeting with the SRA has been arranged to discuss contingency planning.
2. Smaller AR contingency planning pack reviewed and updated in light of the KPMG internal audit report into the pack.
3. The contingency planning factsheets and policy statement from the pack have been updated. They will be sent to the ARs for confirmation on their accuracy during the next reporting period.
4. Meeting held with IPS to feedback what we would expect to see from any future application to regulate entities providing probate services, including at CEO/ILEX and IPS Board level.
5. Meeting held with ACL and CLSB to discuss how to manage the formal delegation of regulatory responsibilities from the ACL to the CLSB and how the next few months will be managed.
6. Finalisation of contingency planning pack following discussion with SRA. Provision of full contingency planning pack to SRA.
7. Provision of relevant contingency planning documents to regulators.

Immigration:

1. SMT considered the immigration project brief and agreed further work would be undertaken.
2. Board provided with an immigration update at its 14 September meeting on the proposed way ahead.
3. Meetings held with the Legal Services Commission (LSC) and others to gather information on immigration advice regulation.
4. Project plan developed.
5. Information request submitted to the Office of the Immigration Services Commissioner (OISC).

Key activities for Q3 11/12 reporting period:

1. SMT decision on Immigration PID following agreement to scope last quarter.
2. Board decision on approach to Regulatory Standards.
3. Review of LSB Programme to identify points for Smaller AR support and liaison.
4. Review of information collated to date to determine whether to review aspects of conveyancing.

PROJECT MILESTONES		
PROGRAMME / POLICY DELIVERABLES	PROJECT MILESTONE	MILESTONE DELIVERY DATE
Regulatory Standards	<ul style="list-style-type: none"> • Publish Proposed Approach to assessing Standards of Regulation • Consultation Closes • Review responses and plan and agree next steps • Publish Decision note 	Completed (26/04/2011) Completed (11/07/2011) Postponed 12/10/2011 Postponed 16/10/2011
Regulatory Decisions	See separate sheet	
Review of Appeals Mechanisms	<i>Project currently being re-scoped</i>	
Immigration	<ul style="list-style-type: none"> • Request for evidence and views on issues <ul style="list-style-type: none"> ○ Scope out work including call for evidence • Decisions on next steps <ul style="list-style-type: none"> ○ Project plan if required 	Completed (30/06/2011) Completed (20/07/2011) Completed (31/08/2011) 31/08/2011
Small ARs	<ul style="list-style-type: none"> • 2011/2012 Planning • Review of LSB Programme to identify points for Smaller AR support and liaison • ARC agree in principle to publish Contingency Planning Pack • Publish Contingency Planning Pack 	Completed (31/08/2011) 10/10/2011 28/10/2011
Conveyancing	<ul style="list-style-type: none"> • Request for evidence and view on issues • Decisions on next steps 	30/09/2011 31/12/2011

RISKS:				
Risk	Impact (1-5)	Likelihood (1-4)	RAG Rating	Action Taken
[REDACTED]				

OVERALL PROJECT STATUS:

4

3

2

1

[REDACTED]

QUARTERLY PROJECT HIGHLIGHT REPORT

PROGRAMME/POLICY AREA: 2B: Developing our Evidence Base

KEY OBJECTIVES: Research

LINK TO REGULATORY OBJECTIVES: RO1, RO2, RO3, RO4,RO5, RO6, RO7, RO8,



PROJECT HEADLINES

Key achievements of Q2 11/12 reporting period:

1. Published will-writing report.
2. Supported Consumer Panel in commissioning research on legal needs of charities.
3. Finalised research plans.
4. Publish research on:
 - a. market segmentation
 - b. supply of legal services by city firms
 - c. supply of legal services by third sector firms.
5. Agreed potential for data matching from SRA data to support high-street project.
6. Agreed projects to support 2011/12 research plan, including high-street research and consumer research.
7. Completed a first draft of a literature review on the impact of changes to civil court limits on access to justice.
8. Completed a first draft of the demand side review as part of the Regulatory Information Review.

Key activities for Q3 11/12 reporting period:

1. Review of first tier complaints handling regulatory frameworks
2. Continued work with MoJ and Law Society to begin High Street survey.

PROJECT MILESTONES

PROGRAMME / POLICY DELIVERABLES	PROJECT MILESTONE	MILESTONE DELIVERY DATE
Research designed to provide evidence to meet the LSB's Business Plan 2010/11	<ul style="list-style-type: none"> • Building up evidence base to support policy decisions • Planning for 2011/2012 • Publish You Gov Complaints research • Publish Quality of Legal Services (QA Literature review) • Publish Global Education review • Publish research into the quality of Will Writing 	On-going Completed (21/06/2011) Completed (09/06/2011) 09/09/2011 28/09/2011 29/07/2011
Evaluation Evidence	<ul style="list-style-type: none"> • Regulatory Information Review - Publish review and database of publications • Market Segmentation model (OXERA Segmentation methodology and Gap Analysis)- Publish report 	Postponed 30/09/2011 Postponed 30/09/2011

	<ul style="list-style-type: none"> • Market Segmentation Pilot 1: Large Corporate Solicitors (CRA research)- Receive report on key features and regulatory risks • Market Segmentation Pilot 2: Special Bodies – Receive report on applicability of Segmentation model for Special Bodies and identify regulatory risks • Assessment and prioritisation of further evidence needs and spending to collect further evidence 	<p>Postponed 30/09/2011</p> <p>Postponed 30/09/2011</p> <p>30/09/2011</p>
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RISKS:				
RISK	IMPACT (1-5)	LIKELIHOOD (1-4)	RAG RATING	ACTION TAKEN
[REDACTED]				

ISSUES:		
ISSUE	PRIORITY	ACTION TAKEN
[REDACTED]		

OVERALL PROJECT STATUS:	
4	[REDACTED]
3	
2	
1	
0	

QUARTERLY PROJECT HIGHLIGHT REPORT


PROGRAMME/POLICY AREA: 3A: Ensuring Effective Redress for Consumers

KEY OBJECTIVES: First Tier Complaints Handling

LINK TO REGULATORY OBJECTIVES: RO1, RO2, RO4, RO6, RO7, RO8,

PROJECT HEADLINES

Key achievements of Q2 11/12 reporting period:

1. Published FTCH consumer research report. Sent letters and consumer research ahead of publication, including dates for next review to approved regulators. Sent early edition of research to LeO, consumer bodies and board members.
2.  [S.36].
3. Completed handover to new Project Manager
4. Successful visit to LeO to discuss first-tier complaints handling.
5. Discussion with LeO on scope of research work.
6. Information provided to IPS on approach to FTCH research.

Key activities for Q3 11/12 reporting period:

1. Commence 2011 FTCH Procedural review

PROJECT MILESTONES

PROGRAMME / POLICY DELIVERABLES	PROJECT MILESTONE	MILESTONE DELIVERY DATE
Research into consumer perceptions of the outcomes that they experience with first tier complaints handling	<ul style="list-style-type: none"> • You Gov Research Report published 	Completed (09/06/2011)
Review of first-tier complaints-handling regulatory framework	<ul style="list-style-type: none"> • Completed planning for 2011/2012 • Ongoing Engagement with ARs • 2011 Qualitative review • 2011 Procedural review commenced • Publish Assessment 	Completed (31/05/2011) 01/08/2011 Completed (09/06/2011) 01/10/2011 30/04/2012
Monitor Legal Ombudsman performance targets	<ul style="list-style-type: none"> • Q1 Data • Q2 Data • Q3 Data • Q4 Data 	30/06/2011 30/10/2011 31/12/2011 31/03/2012
Review consumer satisfaction with the Legal Ombudsman process and outcomes	<ul style="list-style-type: none"> • Development of surveys by LeO 	On-going

PROJECT RISKS ¹ :				
RISK	IMPACT (1-5)	LIKLI- HOOD (1-4)	RAG RATING	ACTION TAKEN
[REDACTED]				

OVERALL PROJECT STATUS:	
4	[REDACTED]
3	
2	
1	
0	

¹ Please insert any risks that have been indentified or have gone up in rating this month. See [risk strategy](#) for guidance on impact and likelihood and how to calculate RAG rating

QUARTERLY HIGHLIGHT REPORT

PROGRAMME/POLICY AREA: 3B: Widening access to the legal services market ABS

KEY OBJECTIVES: ABS, Special Bodies

LINK TO REGULATORY OBJECTIVES: RO1, RO3, RO4, RO5, RO6, RO8

PROJECT HEADLINES

Key achievements of Q2 11/12 reporting period:

1. Orders passed for Legal Services Act 2007 (Appeals from Licensing Authority Decisions) Order 2011 – CLC appeals. And Legal Services Act 2007 (The Law Society and The Council for Licensed Conveyancers) (Modifications of Functions) Order 2011 – section 69
2. Final ministerial agreement for CLC designation confirmed on 9/8
3. SRA publicising that they won't be licensing on 6/10 has begun.
4. ABS Research Note published
5. SMT decision on approach to Special Bodies work 10/08/2011
6. Frontier research on special bodies completed and published in September 2011
7. SRA appeals Order (section 80) laid.
8. Business case on the Rehabilitation of Offenders Exceptions Order to cover owners and managers has been sent to MoJ – MoJ's position to only include owners supported by us.
9. CLC starting to process ABS applications.
10. Planning for 6/10 event underway and good attendance expected.
11. Commencement Order laid.
12. Comments provided to MoJ on SRA designation Order.
13. Board paper on next steps for ABS prepared.
14. Publish Frontier research on Special bodies.

Key activities for Q3 11/12 reporting period:

1. ABS Go-Live
2. SRA Designation as a licensing Authority
3. SRA S.80 Appeals Order passed
4. Agree Approach for direct licensing

PROJECT MILESTONES

PROGRAMME / POLICY DELIVERABLES	PROJECT MILESTONE	MILESTONE DELIVERY DATE
Designation of Licensing Authorities	<ul style="list-style-type: none"> • Applications for Licensing Authority status are received <ul style="list-style-type: none"> ○ Recommendation made to MoJ for CLC and SRA to be designated as a licensing authority 	Completed (20/06/2011)
Commencement of Part 5 of the Legal Services Act (2007)	<ul style="list-style-type: none"> • Order to be made <ul style="list-style-type: none"> ○ Submit Final S.69 recommendation to Lord Chancellor • Complete and publish ABS Research note • Parliamentary Process completed for Affirmative and Negative Orders relating to ABS Commencement (MoJ) • LSB as a Direct Licensor <ul style="list-style-type: none"> ○ Agree approach and timing with MoJ 	October 2011 Completed (13/05/2011) Completed 12/08/2011 31/08/2011 30/09/2011

Designation of an appellate body for ABS appeals	<ul style="list-style-type: none"> • S80 Orders to be made designating appellate bodies for ABS appeals <ul style="list-style-type: none"> ○ Submit Final S.80 recommendation to Lord Chancellor in relation to appeals against decisions of the CLC ○ Submit draft S.80 recommendation in relation to SRA's use of SDT as an appellate body ○ Submit final S. 80 recommendation in relation to SRA's use of SDT as an appellate body 	<p>Completed (13/05/2011)</p> <p>Completed (15/06/2011) By 31/10/2011</p>
On-going development of market readiness for ABS	<ul style="list-style-type: none"> • Regular ABS implementation group meetings • S69 Order - Sole Practitioners to be made 	On-going 31/03/2011
Development of policy approach with respect of Special Bodies	<ul style="list-style-type: none"> • Commission Research <ul style="list-style-type: none"> ○ Market Segmentation Pilot 2: Special Bodies – Receive report on applicability of Segmentation model for Special Bodies and identify regulatory risks • SMT decision on approach to work 	<p>postponed 30/09/2011</p> <p>Completed 10/08/2011</p>
Initial evaluation of the impact of opening markets	<ul style="list-style-type: none"> • Commission Research 	Q/4 2011/2012

PROJECT RISKS:				
RISK	IMPACT (1-5)	LIKELIHOOD (1-4)	RAG RATING	ACTION TAKEN

OVERALL PROJECT STATUS:	
4	[REDACTED]
3	
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QUARTERLY HIGHLIGHT REPORT



PROGRAMME/POLICY AREA: 3C: Securing Independent Regulation

KEY OBJECTIVES: Independence, Practising Fee Certificate

LINK TO REGULATORY OBJECTIVES: RO1, RO2, RO4, RO5, RO6, RO7

PROJECT HEADLINES

Key achievements of Q2 11/12 reporting period:

1. Wrote to ILEX / ILEX PS, CIPA / ITMA / IPREG and ACL / CLSB confirming our approval of the certificates submitted.
2. Held CEO meeting with the Bar Council / BSB to discuss their draft regulatory independence certificate and the risk assessment. Review of the Bar Council / BSB financing arrangements exposed a number of concerns regarding the level of scrutiny that Bar Council officers have on the BSB's budgetary process and its freedom to access agreed resources. Challenge has resulted in significant changes to arrangements for resource management within BC. The final assessment letter for the Bar Council / BSB has been approved, sent and published.
3. Published the responses and certificates from ILEX / ILEX PS, CIPA / ITMA / IPREG and ACL / CLSB on our website.
4. A draft paper on oversight arrangements has been amended and continues to be developed.
5. [REDACTED] [s36]
6. A board paper setting out investigation and enforcement options has been produced.

Key activities for Q3 11/12 reporting period:

1. Publish remaining responses and certificates

PROJECT MILESTONES

PROGRAMME / POLICY DELIVERABLES	PROJECT MILESTONE	MILESTONE DELIVERY DATE
Annual dual self certificate	<ul style="list-style-type: none"> • Applicable approved regulators return self-assessment certificates 	Completed 30/06/2011
	<ul style="list-style-type: none"> • Self assessments reviewed and LSB assessment published 	Part Completed 30/09/2011
	<ul style="list-style-type: none"> • Onwards risk based supervision 	On-going

PROJECT RISKS²:

RISK	IMPACT (1-5)	LIKLIHOOD (1-4)	RAG RATING	ACTION TAKEN

² Please insert any risks that have been identified or have gone up in rating this month. See [risk strategy](#) for guidance on impact and likelihood and how to calculate RAG rating

[REDACTED]

OVERALL PROJECT STATUS:	
4	[REDACTED]
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QUARTERLY HIGHLIGHT REPORT

PROGRAMME/POLICY AREA: 3D: Developing a changing workforce for a changing market

KEY OBJECTIVES: Workforce - Education and Training, Diversity, Quality Assurance

LINK TO REGULATORY OBJECTIVES: RO1, RO3, RO4, RO5, RO6, RO8

PROJECT HEADLINES

Key achievements of Q2 11/12 reporting period:

1. New Project Initiation Document for Workforce Development signed off.

Diversity

1. Published summary of responses/decision document and statutory diversity guidance following Board decision.
2. Communications work and letters to stakeholders about the publication of the diversity documents.
3. Prepared submission to the House of Lords Constitution Committee Inquiry on the Judicial Appointments process, focusing on the role of regulators in achieving a diverse profession and the link increasing judicial diversity.
4. Attended the launch of report on LGBT diversity in the judiciary hosted by the Interlaw Diversity Forum.
5. Progress report sent to Alan Milburn on fair access to the professions.
6. Met Bar Standards Board (BSB) and Solicitors Regulation Authority (SRA) individually to introduce new LSB personnel, and to utilise the meeting to understand their respective approaches to planning and implementation of LSB s162 guidance on collecting the evidence of increasing diversity & social mobility in the legal services workforce.
7. Responded to ad hoc detailed queries from ARs on planning and publication schemes.
8. Compiling list of frequently asked questions (FAQ) as they continue to occur for consistency of our responses.
9. Received the implementation plan from the Costs Lawyer Standards Board (CLSB) in response to LSB s162 guidance.
10. Presented to CIPA Council on LSB's statutory guidance, diversity initiatives by ARs & Milburn's work on fair access to professions.
11. Discussed LSB guidance and model questionnaire with Skills for Justice to promote within a SfJ paralegals project, to encourage participation toward achieving a transparent evidence base at firm and chambers level.
12. Contributed to a MoJ briefing for Deputy Prime Minister round table on social mobility hosted by Lord McNally. LSB Chief Executive attended.

Quality Assurance

13. First draft of literature review on quality in legal services completed.
14. Proposal developed for roundtable session to discuss quality issues with academics and other regulators (financial services and healthcare).
15. Meeting with Joint Advocacy Group (JAG) to discuss final proposal for the Quality Assurance Scheme for Criminal Advocates (QASA).
16. Board discussion of QASA and agreement in principle to the scheme, subject to a number of concerns being addressed in the formal rule change applications to be submitted in September. A letter was sent to JAG communicating this decision and the outstanding concerns.
17. Attended Consumer Panel workshop on quality schemes.
18. Wrote to the Joint Advocacy Group (JAG) on 12th September seeking progress on the Board's areas of concern about QASA raised at the July Board meeting. Encouraged members of JAG to continue to work towards addressing these concerns prior to submission of formal rule change application to LSB.
19. Met with Bar Standards Board (BSB) and Solicitors Regulation Authority (SRA) members of JAG individually to introduce new LSB personnel, and to utilise the meeting to encourage a phased roll out approach, utilising an action research style to refining the scheme administration arrangements during the first phase.
20. Met with the Law Society (TLS) to understand its position on QASA, and what approach to member support it has planned.

21. Corresponded with TLS on QASA concerns.
22. Attended JAG meeting 19th September. This provided an opportunity to be updated on plans and outcome data from the road testing of judicial evaluation (JE) forms. JAG confirmed current thinking to be a phased roll out, with administration and non-observable standards to be tried and refined during the roll out. Also encouraged JAG to come to a collective and agreed view of remaining issues.
23. Clarified the purpose & intended outcomes from quality roundtable, and making necessary housekeeping arrangements.
24. Reviewed the quality literature reviews and made suggestions for addition prior to publication.

Education & Training

25. Progress review meeting with SRA, BSB & IPS to discuss education review and scope of research. Further details have been provided about the scope of the research, and reassurances given that our key priorities are being addressed.
26. CEO attended the first meeting of the Legal Education and Training Review Consultation Steering Panel.
27. Update meeting held with the Chairman and CEO of Skills for Justice, and National Apprenticeship Service, to discuss the review, the development of National Occupational Standards for paralegals, and the possibility of apprenticeships.
28. Discussions with SRA & BSB on progress. Launch of www.lettr.org.uk website.
29. Met with College of Law to gain an understanding of the historical development of legal education and training, and the benefits of taught and experiential learning in the contribution to legal service provision.

Key activities for Q3 11/12 reporting period:

Education and Training:

15. Engage with stakeholders to consider and develop key principles

Quality Assurance:

16. Receive Advice from Consumer Panel on quality Schemes
17. Applications by relevant approved regulator to change their regulatory arrangements to incorporate QASA (Crime)

PROJECT MILESTONES		
PROGRAMME / POLICY DELIVERABLES	PROJECT MILESTONE	MILESTONE DELIVERY DATE
Education and Training	<ul style="list-style-type: none"> • Consider the need for additional research to support review led by approved regulators • Engage with stakeholders to consider and develop key principles • Publish Key Principles 	Postponed 31/01/2011 15/12/2011 30/03/2011
Quality Assurance (Including QASA)	<ul style="list-style-type: none"> • Commission advice from Consumer Panel on quality Schemes • Receive Advice • Complete tool-kit and framework published • Application by relevant approved regulator to change their regulatory arrangements to incorporate QAA (Crime) 	Completed (27/05/2011) 30/11/2011 30/03/2011 14/12/2011
Diversity	<ul style="list-style-type: none"> • Publish decision document following 10/11 Consultation, outlining action expected of approved regulators • Review approved regulators' latest diversity data with a view to scoping work for 12/13 	Completed (28/07/2011)

	30/03/2012
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PROJECT RISKS:				
RISK	IMPACT (1-5)	LIKLI- HOOD (1-4)	RAG RATING	ACTION TAKEN
[REDACTED]				

OVERALL PROJECT STATUS:	
4	[REDACTED]
3	
2	
1	
0	

QUARTERLY HIGHLIGHT REPORT



PROGRAMME/POLICY AREA: 3E: Improving Access to Justice: Rationalising the Scope of Regulation

KEY OBJECTIVES: Regulatory Framework, Will Writing, Regulatory Information Review, Market Segmentation Reviews

LINK TO REGULATORY OBJECTIVES: RO3, RO4, RO5, RO7

PROJECT HEADLINES

Key achievements of Q2 11 /12 reporting period:

1. Discussion document about how the LSB will assess the boundaries of legal services regulation and connected regulatory decisions signed off by Board and to be published 28/07/11. The paper had been peer reviewed by two leading academics (Professor Julia Black, Department of Law, London School of Economics and Political Science and Professor Richard Moorhead, Cardiff Law School, Cardiff University). The emphasis of rationalising regulation with inevitable scrutiny of the structure of historical general legal practitioner regulated by title is likely to cause concern among professions – especially solicitors.
2. Consumer Panel will-writing report and recommendations published.
3. Final research report on will-writing covering mystery shopping, consumer retrospective survey and provider surveys published.
4. Will-writing shadow shopping assessment panel wrap-up session undertaken. Panel members agreed to be interviewed to help us better understand why wills that failed the quality assessment failed and tap in to their expertise and understanding of the market more generally.
5. Board agreed to start statutory investigations into whether the scope of regulation needs to be altered in relation to will-writing, probate and estate administration. Decision communicated formally to Ministers and other statutory Consultees.
6. Held stakeholder workshop about our approach to reviewing boundaries of regulation. This forms part of the consultation process and will work through some of the issues raised and practicalities of the proposed approach with key stakeholders. Maximum attendance of 31 people including academics, consumer representatives, Ombudsman representatives, professional / trade bodies and regulators.
7. Call for evidence for investigation into will-writing, probate and estate administration issued. Targeted correspondence sent to alert key stakeholders and to encourage them to respond.
8. Evidence gathering activity for the above investigation started including provider and trade body visits begun.
9. Response from Law Society received following letter sent asking what immediate steps they intend to take to raise awareness with of the quality problems identified in Consumer Panel report and assist in raising standards. They have started to look at initiatives and Education & Training committee will be considering looking at Legal Practice Course, CPD requirements and post-qualification accreditation schemes.
10. Draft PID with updated project plan and risks and issues log circulated internally and broad range of comments received.

Key activities for Q3 11/12 reporting period:

1. Publish Regulatory Information Review and research database
2. Discussion paper closes

PROJECT MILESTONES

PROGRAMME / POLICY DELIVERABLES	PROJECT MILESTONE	MILESTONE DELIVERY DATE
Regulatory Framework	<ul style="list-style-type: none"> • Seminars to discuss early thinking around the approach for deciding whether 	Completed

	<ul style="list-style-type: none"> regulation is required, consumer outcomes and the range of regulatory interventions Discussion document on proposed approach published Publish approach for making regulatory decisions 	(10/06/2011) Completed (26/07/2011) 31/03/2011
Will Writing	<ul style="list-style-type: none"> Receive consumer Panel Advice Potential Section 24 Investigation into making Will writing a reserved legal activity Consultation on the results of will-writing if required 	Completed (31/07/2011) 17/08/2011 16/04/2012
Regulatory information Review	<ul style="list-style-type: none"> Publication of Summary report Publication of research database 	30/09/2011 30/09/2011
Completion of market supply benchmarking studies	<ul style="list-style-type: none"> Summary reports on market (see section 2B) 	31/03/2011

PROJECT RISKS:				
RISK	IMPACT (1-5)	LIKLIHOOD (1-4)	RAG RATING	ACTION TAKEN
[REDACTED]				

OVERALL PROJECT STATUS:	
4	[REDACTED]
3	
2	
1	
0	

QUARTERLY HIGHLIGHT REPORT

PROGRAMME/POLICY AREA: External relations

KEY OBJECTIVES: Communications and public affairs

LINK TO REGULATORY OBJECTIVES: N/A

PROJECT HEADLINES

Key achievements of Q2 11 /12 reporting period:

1. Three speeches were delivered by LSB staff including Chris Kenny to the Westminster Legal Policy Forum
Keynote Seminar: The future of the legal services market
2. The following (non-research) papers were published:
 - o Diversity decision paper - 27-Jul
 - o ABS Research Note - 12 August 2011
 - o Scope of regulation discussion paper published - 28 July
3. Approach agreed to comms. for ABS Go-live

Key activities for Q3 11/12 reporting period:

1. Six Speeches planned in Q3
2. ABS Go-live

PROJECT MILESTONES

PROGRAMME / POLICY DELIVERABLES	PROJECT MILESTONE	MILESTONE DELIVERY DATE
Communications and Public Affairs	<ul style="list-style-type: none"> • Conduct programme of speeches • Business plan agreed and published 	On-going Completed (31/04/2011)

OVERALL PROJECT STATUS:

4	[REDACTED]
3	
2	
1	
0	

QUARTERLY HIGHLIGHT REPORT



PROGRAMME/POLICY AREA: Providing Value for Money

KEY OBJECTIVES: Finance

LINK TO REGULATORY OBJECTIVES:

PROJECT HEADLINES
<p>Key achievements of Q2 11 /12 reporting period:</p> <ol style="list-style-type: none"> 1. Provided timely quarterly financial reports to Board. 2. Provided regular reports to MoJ 3. Acting Permanent Secretary letter of 30 September confirmed MoJ strong assessment of control and governance functions. <p>Key activities for Q3 11/12 reporting period:</p> <ol style="list-style-type: none"> 4. Provide timely quarterly financial reports to Board. 5. Provide regular reports to MoJ

PROJECT MILESTONES		
PROGRAMME / POLICY DELIVERABLES	PROJECT MILESTONE	MILESTONE DELIVERY DATE
Ensure appropriate financial procedures and policies are in place	<ul style="list-style-type: none"> • Review and update the Financial Regulations operated by the Board as necessary 	30 September 2011
Ensure that the LSB does not breach its expenditure budget	<ul style="list-style-type: none"> • Provide monthly financial reports for the Board and MoJ 	On-going

OVERALL PROJECT STATUS:	
4	[REDACTED]
3	
2	
1	
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QUARTERLY HIGHLIGHT REPORT

PROGRAMME/POLICY AREA: Risk

KEY OBJECTIVES: Ensuring that a system of risk management is maintained to inform decisions on financial and operational planning

LINK TO REGULATORY OBJECTIVES: All projects are risk assessed and measures taken to mitigate or exploit are integral to planning, approval and operational activities

PROJECT HEADLINES
<p>Key achievements of Q2 11 /12 reporting period:</p> <ol style="list-style-type: none"> 1. SMT monthly reviews of Corporate Risk register conducted. <p>Key activities for Q3 11/12 reporting period:</p> <ol style="list-style-type: none"> 1. Third Audit and risk committee meeting of 2011 to be held on 10 October. 2. Half yearly Board review of Corporate Risk Register (October). 3. Internal audit of information assurance planned.

PROJECT MILESTONES		
PROGRAMME / POLICY DELIVERABLES	PROJECT MILESTONE	MILESTONE DELIVERY DATE
Formal risk management system maintained by executive and reviewed by Audit and Risk Committee	<ul style="list-style-type: none"> • 2nd Audit and Risk Committee meeting of 2011 to be held • Half yearly Board review of Corporate risk register • 3rd Audit and risk Committee meeting of 2011 to be held • 1st Audit and risk Committee meeting of 2012 held 	Completed 23/05/2011 30/10/2011 10/10/2011 29/02/2011
All projects are risk assessed and measures taken to mitigate or exploit are integral to planning, approval and operational activities	<ul style="list-style-type: none"> • Ongoing project and corporate risk maintenance in line with risk strategy 	On-going

PROJECT RISKS:				
RISK	IMPACT (1-5)	LIKELIH OOD (1-4)	RAG RATING	ACTION TAKEN
[REDACTED]				

OVERALL PROJECT STATUS:	
4	[REDACTED]
3	
2	
1	
0	