

THIRD QUARTERLY HIGHLIGHT REPORT



PROGRAMME / POLICY AREA: 2A – Developing Regulatory Excellence

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

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

PROJECT HEADLINES

Key Achievements in Q3 2011-12 Reporting Period

Regulatory Standards:

1. Meetings were organised with relevant organisations, including Better Regulation Executive (BRE) and Financial Reporting Council (FRC)
2. A summary of the consultation responses was produced including from the Consumer Panel.
3. We held two workshops for LSB colleagues on the topic and one for the approved regulators (ARs). The purpose was to discuss our assessment approach and information requirements / capabilities.
4. We met the Council for Healthcare Regulatory Excellence (CHRE) and produced case studies on the oversight approaches adopted by the CHRE and the FRC.
5. We undertook further consultation with regulators, the Consumer Panel secretariat and selected Board members on the content of the self-assessment template.
6. The Board papers considered a draft decision document at their November meeting and the decision document was finalised and published in December.
7. We issued a series of section 55 notices requiring the ARs to complete the self-assessment template.
8. We attended a conference on the Government's regulatory reform policies.

Disciplinary Processes and Appeal Mechanisms:

1. Maps prepared of AR disciplinary processes and appeal mechanisms including sanctions available.
2. First assessment completed of legal basis for AR appeals mechanisms and potential legislative changes that might be required to establish a single appeals mechanism.
3. Held internal workshop on what decisions should be appealable and the characteristics of a good appeal process.
4. Reviewed project scope, proposals and PID. Made revisions to PID to be agreed by SMT.

Smaller Approved Regulators:

1. Finalised the contingency planning pack following discussion with SRA. Provision of full contingency planning pack to SRA. SRA asked for more time to review the pack and consider how they would react in the event of a plan being used. A further meeting will be held in January and a short paper has been written on the matters outstanding.
2. Meetings with the Society of Notaries, the Faculty Office, ITMA and CIPA, IPReg and the CLSB.
3. Produced a Q&A document on the LSB's approach to ARs that are also accountancy bodies.

Immigration:

1. Scoping meetings held with the Legal Services Commission (LSC).
2. Project plan developed and signed-off by SMT.
3. Information request submitted to the Office of the Immigration Services Commissioner (OISC) and meeting held.
4. Held a workshop with colleagues on Oxera framework and its application to immigration work.
5. Developed draft discussion document for consideration by the Board at its 25 January meeting.
6. Met Law Society to discuss findings.
7. Briefed the Legal Services Consumer Panel Chair on the work and have encouraged a response from the Consumer Panel.

Key Activities for Q4 2011-12 Reporting Period

Regulatory Standards:

1. Development of plan for internal intelligence gathering and the LSB assessment process.
2. We will contact regulators to seek an understanding about how they are approaching the self assessment process.
3. We will hold meetings with colleagues to discuss our approach to reviewing submitted self assessments.

Disciplinary Processes and Appeal Mechanisms:

1. Revised PID to be agreed by SMT.
2. Design a “model” appeal mechanism and compare existing discipline and appeal structures, identifying both good and bad practice.

Smaller Approved Regulators:

1. A meeting will be held with the SRA to press forward the contingency planning work.

Immigration:

1. Meeting ILEX to discuss the discussion document and IPS on immigration matters generally.
2. Discussion document to be published, subject to Board’s agreement at 25 January meeting.
3. 12 week consultation will start which will involve proactive efforts to engage a range of stakeholders, such as immigration consumer bodies and the Chief Inspector of UKBA.

PROJECT MILESTONES

Programme / Policy Deliverables	Milestones	Delivery Date
Regulatory Standards	Review responses and plan and agree next steps	Completed (20/12/2012)
	Publish Decision note	Completed (20/12/2012)
Regulatory Decisions	<i>See separate sheet</i>	
Review of Appeals Mechanisms	Plan and agree approach to scoping review	Completed (15/06/2011)
	Design ‘model’ appeal mechanism	29/02/2012
	Compare model to existing arrangements	29/02/2012
	Draft proposals	31/03/2012
	Board approval of process	25/04/2012
	Publish the paper	31/05/2012

Immigration	Project plan if required	Completed (18/10/2011)
	Test ideas with others (OISC, LSC, ILPA etc)	(Completed) 30/12/2011
	Publish decision document, seek response	01/02/2012
Small ARs	Publish contingency planning pack	Delayed
Conveyancing	Request for evidence and view on issues	(Completed) 30/09/2011
	Decisions on next steps	Delayed 31/12/2011

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

OVERALL PROJECT STATUS	
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THIRD QUARTERLY HIGHLIGHT REPORT



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

KEY ACTIVITIES: Research

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

PROJECT HEADLINES

Key Achievements in Q3 2011-12 Reporting Period

1. Published research on:
 - a. market segmentation
 - b. supply of legal services by city firms
 - c. supply of legal services by third sector firms.
2. Agreed potential for data matching from SRA data to support high-street project.
3. Agreed projects to support 2011/12 research plan, including high-street research and consumer research.
4. Completed a first draft of a literature review on the impact of changes to civil court limits on access to justice.
5. Completed a first draft of the demand side review as part of the Regulatory Information Review.
6. Recruited Robert Cross to take up a full time role as Project Manager (Research).
7. Commissioned:
 - a. BDRC to conduct our consumer benchmarking research
 - b. YouGov to conduct our probate consumer research
 - c. IFF Research to conduct our probate business research.
8. Wrote to College of Law ask them whether they would consider letting us see more of their statistics on diversity.
9. Published the international education research report.
10. Finalised the demand and supply reports of the RIR.
11. Published our quality reviews supporting the quality round table.
12. Our consumer benchmarking research commissioned from BDRC Continental piloted its approach, and fieldwork has begun.
13. Vanilla research has been commissioned to carry out a scoping study exploring consumer information needs for engaging with legal services.
14. Finalised and published specification for the delayed high-street research project, and reviewed expressions of interest from 16 research companies, interviews are planned with four teams for the final weeks in January.
15. Commissioned legal advice to support our work on cost protection form Hogan Lovells.
16. Commissioned our work to develop a framework for benchmarking small firm use of legal services – research team comprising Prof. Pleasance/Kingston Small Business Research Centre.
17. Commissioned Professor Richard Moorhead to develop an approach to benchmarking professional principles of legal service providers.
18. Commissioned IFF Research to carry out a qualitative study of businesses providing probate and estate administration services to support our policy programme.
19. Developed a tender specification for an online communication strategy for the Regulatory Information Review and wider research, due to close on 16/01/12.
20. Held a workshop with project managers to identify indicators for the Evaluation, and drafted first version of the report.

Key Activities for Q4 2011-12 Reporting Period

1. Review tenders for High Street Research, agree and appoint research organisation.
2. Finalise draft Evaluation report for circulation to SMT and Board.
3. Submit annual data requests to the ARs, and review information collection against identified gaps.
4. Manage the ongoing research programme and evaluate effectiveness of dissemination of research findings.
5. Develop and submit conference papers for Socio-Legal Studies Association and Legal Services Research Centre research conferences.
6. Develop research plan for 2012/13.
7. Finalise our business (IFF Research) and consumer studies (YouGov) looking at probate and estate administration.

PROJECT MILESTONES

Programme / Policy Deliverables	Milestones	Delivery Date
Evaluation Evidence	Regulatory Information Review - Publish review and database of publications	Completed (05/11/2011)
	Market Segmentation model (OXERA Segmentation methodology and Gap Analysis)- Publish report	Completed (30/09/2011)
	Market Segmentation Pilot 1: Large Corporate Solicitors (CRA research)- Receive report on key features and regulatory risks	Completed (30/09/2011)
	Market Segmentation Pilot 2: Special Bodies – Receive report on applicability of Segmentation model for Special Bodies and identify regulatory risks	Completed (30/09/2011)
	Market Segmentation: High Street / Legal Aid - report on services offered	30/03/2012
	Report on consumer experience of complaints	30/03/2012

RISKS

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

OVERALL PROJECT STATUS

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THIRD QUARTERLY HIGHLIGHT REPORT



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

KEY ACTIVITIES: First Tier Complaints Handling (FTCH)

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

PROJECT HEADLINES
Key Achievements in Q3 2011-12 Reporting Period
<ol style="list-style-type: none"> 1. Discussed scope of research work with LeO. 2. Provided information to IPS on our approach to FTCH research. 3. Began to receive letters from ARs on FTCH. 4. Discussed complaints continuing with LeO.
Key Activities for Q4 2011-12 Reporting Period
<ol style="list-style-type: none"> 1. Analyse FTCH responses and develop follow-up questions for Board paper.

PROJECT MILESTONES		
Programme / Policy Deliverables	Milestones	Delivery Date
Review of first-tier complaints-handling regulatory framework	2011 Procedural review commenced	Started 01/10/2011
	Publish Assessment	30/04/2012
Monitor Legal Ombudsman performance targets	Q1 Data	Completed (30/06/2011)
	Q2 Data	Completed (30/10/2011)
	Q3 Data	Awaited
	Q4 Data	Awaited
Review consumer satisfaction with the Legal Ombudsman process and outcomes	Development of surveys by LeO	On-going

RISKS				
Risk	Impact (1-5)	Likelihood (1-4)	RAG Rating	Action Taken
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OVERALL PROJECT STATUS	
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THIRD QUARTERLY HIGHLIGHT REPORT



PROGRAMME / POLICY AREA: 3B – Widening Access to the Legal Services Market

KEY ACTIVITIES: Alternative Business Structures (ABS) and Special Bodies

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

PROJECT HEADLINES

Key Achievements in Q3 2011-12 Reporting Period

ABS:

1. SRA appeals Order (section 80) laid.
2. 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.
3. CLC starting to process ABS applications.
4. Successful LSB ABS event held on 6 October with Ministerial attendance.
5. Commencement Order laid.
6. Comments provided to MoJ on SRA designation Order.
7. Board paper on next steps for ABS prepared.
8. SRA appeals Order (section 80) debated in Lords.
9. Rehabilitation of Offenders Exceptions Order debated.
10. CLC starting to process ABS applications.
11. Designation Order for SRA drafted and commented upon.
12. Final SIs made in Parliament.
13. SRA designated as a Licensing Authority.

Special Bodies:

1. Project plan completed and submitted for inclusion in LSB programme plan.
2. Analysis of the current regulatory framework completed and summary matrix developed incorporating information from LSC, Charity Commission, SRA, BSB, etc.
3. Frontier research on special bodies published and shared with key stakeholders.
4. Productive meeting with SRA to discuss approach and introduction with new Regulatory Policy Manager who will be leading the SRA's work on Special Bodies. Followed up by sharing timetable with the SRA and further meeting to discuss SRA approach in more detail.
5. Meeting with LeO to discuss LSB policy development and available data on 'special body' type complaints as well as developing thinking on voluntary jurisdiction. LeO attended November roundtable and report back on data found.
6. Detailed analysis of LSA requirements completed and legal advice on key issues arising from subsequent policy discussions sought and received
7. Project lead and legal advisor attended meeting hosted by Attorney General's office to discuss potential issues around in house lawyers and pro bono legal services. Other attendees included Law Works (who we understand had requested the meeting), MoJ and TLS. Law Works took away an action to provide further information on the extent of the perceived problem, including an indication of scale.
8. Chris Kenny appeared on panel at launch of National Pro Bono week, hosted by The Law Society. The potential opportunities that ABS presented for pro bono advice were highlighted both during discussion and in subsequent coverage.
9. Roundtable event held with sector representatives on 22 November. The level of engagement

was very good and attendees welcomed the opportunity to input at an early stage in our policy developments.

10. Meeting with Citizens Advice to discuss existing membership requirements and possible fit with licensing regime.
11. Project timetable reviewed and revisions agreed by SMT on 6 December 2011 (see changes to Project Plan below). Consultation has been pushed back by two months to April 2012 so that it follows LSB position on the boundaries of regulation work. For proportionality reasons, SMT also took the decision to combine the two planned consultations into one (on general approach and draft guidance to Licensing Authorities).

Key Activities for Q4 2011-12 Reporting Period

ABS:

1. Develop Board paper for the January meeting on an approach to LAs.
2. Develop monitoring requests for LAs.

Special Bodies:

1. Draft consultation paper on approach to non-commercial bodies following January Board discussion ready for publication in April (subject to Board approval).
2. Meet with MoJ to discuss process for lifting transitional protection and agree timetable ahead of consultation publication.

PROJECT MILESTONES – ABS

Programme / Policy Deliverables	Milestones	Delivery Date
ABS		
Commencement of Part 5 of the Legal Services Act (2007) - Orders to be made	LSB as a Direct Licensor Agree approach and timing with MoJ	(Delayed) 30/09/2011
On-going development of market readiness for ABS	Regular ABS implementation meetings	On-going
	S69 Order - Sole Practitioners to be made	31/03/2012
Initial evaluation of the impact of opening markets	Commission Research	Q4 2011/12

PROJECT MILESTONES – SPECIAL BODIES

Programme / Policy Deliverables	Milestones	Delivery Date
LSB Board decisions on final guidance and recommendation to lift the transitional protections	Put back for sequencing reasons (given scope work) and has been combined with technical consultation on guidance to licensing authorities	September 2012
Recommendation to Lord Chancellor (subject to Board approval)	To reflect above change to process and enable Board to make decisions on draft guidance and recommendation at the same time	September 2012
LAs start taking applications	To be confirmed with MoJ	June 2013
Transitional Protection ends	To reflect decision to delay consultation by two months. Timetable subject to consultation and tbc with MoJ	December 2013
LSB Board decisions on final guidance and recommendation to lift the transitional protections	To reflect decision to delay consultation by two months. Timetable subject to consultation and tbc with MoJ	September 2012

RISKS				
Risk	Impact (1-5)	Likelihood (1-4)	RAG Rating	Action Taken
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OVERALL PROJECT STATUS	
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THIRD QUARTERLY HIGHLIGHT REPORT



PROGRAMME / POLICY AREA: 3C – Securing Independent Regulation

KEY ACTIVITIES: Independence, Practising Fee Certificate

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

PROJECT HEADLINES
Key Achievements in Q3 2011-12 Reporting Period
<ol style="list-style-type: none"> Final assessment letter for the Bar Council / BSB was approved, sent and published. Received details of the Law Society / SRA revised agreement, which was reviewed and was deemed by the executive to reasonably expect to deliver compliance. However, the executive raised number of concerns and sought clarification from the Law Society and SRA. Produced a board paper asking the Board to endorse our view that we should accept the Law Society and SRA’s agreement and implement formal monitoring of the new arrangements. We produced the final assessment letter and formal information request to monitor the new arrangements. The final documents have been published on the website. A press notice on the 2011 IGR process was issued. Briefing notes for the Law Society have been produced.
Key Activities for Q4 2011-12 Reporting Period
<ol style="list-style-type: none"> Produce a plan for carrying out the section 55 monitoring of the Law Society. Design a template to capture and analyse the reports produced by the Law Society. Produce a paper on the 2012 process and oversight regulation for the March Board meeting.

PROJECT MILESTONES		
Programme / Policy Deliverables	Milestones	Delivery Date
Annual dual self certificate	Self assessments reviewed and LSB assessment published	Part Completed 30/09/2011
	Onwards risk based supervision	On-going

RISKS				
Risk	Impact (1-5)	Likelihood (1-4)	RAG Rating	Action Taken
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OVERALL PROJECT STATUS	
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THIRD QUARTERLY HIGHLIGHT REPORT



PROGRAMME / POLICY AREA: 3D – Developing a Changing Workforce for a Changing Market

KEY ACTIVITIES: Workforce – Education and Training, Diversity and Quality Assurance

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

PROJECT HEADLINES

Key Achievements in Q3 2011-12 Reporting Period

Diversity:

1. 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.
2. Responded to ad hoc detailed queries from ARs on planning and publication schemes
3. Compiling list of frequently asked questions (FAQ) as they continue to occur for consistency of our responses.
4. Received the implementation plan from the Costs Lawyer Standards Board (CLSB) in response to LSB s162 guidance.
5. Presented to CIPA Council on LSB's statutory guidance, diversity initiatives by ARs & Milburn's work on fair access to professions.
6. 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.
7. Contributed to a MoJ briefing for Deputy Prime Minister round table on social mobility hosted by Lord McNally. LSB Chief Executive attended.
8. Developed a formal review mechanism for receipt AR plans; to match against s162 guidance, publish, and provide cross-AR comparative plans and data sets.
9. Positively managed challenges on LSB interpretation of, & including extent of, legal workforce.
10. Contributed to Equalities & Human Rights Commission (EHRC) discussions & strategic planning toward outcomes focused regulation.
11. Responded to queries from ARs, and continued to nudge them to finalising & submitting plans; 2/9 received (close Jan 2012).
12. Meeting with MoJ; Lord McNally assumed brief for social mobility. Receiving the results from the SRA's Supervision Pilot with 100 firms that tested the model questionnaire; positive feedback received on the questionnaire.
13. Meeting with the EHRC on 13 December 2011 to further discuss workforce project matters.
14. Publication of the diversity implementation assessment tool on the LSB website; ARs updated on our proposed review process.

Quality Assurance:

1. Clarified the purpose & intended outcomes from quality roundtable, and making necessary housekeeping arrangements.
2. Reviewed the quality literature reviews and made suggestions for addition prior to publication.
3. Roundtable held to identify & discuss regulatory interventions for quality risks, and to inform discussion / consultation paper.
4. Overview of published literature of quality risks in legal services and in other (non-legal) regulated professions published on the website.

5. Participated in a Law Society (TLS) seminar on price comparison and search and match websites development in legal services.
6. Held summit meetings with JAG ARs to receive updates and explanation for additional delay, and worked to assure minimal impact upon project plan.
7. Attended JAG meetings.
8. Met Advocacy Training Council (ATC) to better understand ATC role and relationship with BSB/QASA.
9. JAG continues to make progress despite numerous hiccups; a launch of the scheme on 2 April 2012 is still being worked towards. Judicial Training developed and sign off by Judicial College pending. Assessment Centre specification out for tender. Advocate & Judicial road-shows continue 30+/75 delivered.
10. QASA draft handbook received from JAG for early review and headline commentary back to JAG.
11. Received report from SRA on numbers of solicitor-advocates
12. Reviewed applications for research on professional ethics (precipitated by November Quality Roundtable)

Education & Training:

1. Discussions with SRA & BSB on progress. Launch of www.lettr.org.uk website
2. Met 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.
3. Continued to hold discussions with a wide range of academics and policy leads on workforce development options.
4. Ideas and planning toward education and training road-shows; topic, leading thinkers / speakers/ panellists, co-branders, venues, communications strategy, resources.
5. Legal Education & Training Review (LETR) Consultation Panel meeting. Secured agreement from all five proposed co-branding organisations for a series of seminars/debates on legal education & training.
6. All ARs & professional bodies received heads-up on the events and initial outline plan.
7. Early discussion with the Welsh Assembly Government on emerging appetite/agenda for extending Welsh jurisdiction and the potential impact upon training & education needs.
8. Engagement with the LETR team on timeframes and deliverables. Responding to first draft paper (diversity & social mobility).
9. Participated in Skills for Justice national occupational standards for paralegals steering group ensuring focus moved from employment within solicitors firms to all areas and locations of practice. Promoted a linkage between SfJ NOS and LETR.
10. Discussions with Peter Hilling, Advocacy Training Council (ATC) on the future of pupillage, its over-subscription, and options if pupillage were not to exist.

Key Activities for Q4 2011-12 Reporting Period

Education and Training:

1. Further AR meetings scheduled to discuss implementation plans including timeline, publication conventions, concerns and outstanding issues.
2. Feedback to Professions for Good on first draft of the Social Mobility toolkit.
3. Complete the assessment tool for the MoF and CLSB implementation plans and resolve any omissions or departure from the guidance with the respective organisations.

Quality Assurance:

1. Roundtable planned to discuss the LSCP report on Voluntary Quality Schemes.
2. Discussion paper on approaches to quality drafted for the Board with external consultation planned for March 2012.

3. Meet BSB to learn plans for quality monitoring of chambers.
4. Prepare for receipt of further iterations of the QASA handbook and rules for review.
5. Possible options paper on any potential for increased harm or other negative impacts should QASA not be delivered – in consideration.

Education & Training

1. Education & training road-shows detailed planning, speech writing, commission essays in collaboration with five co-branding organisations (College of Law, BPP (Leeds University), Westminster University, Warwick University, & Cardiff University /Wales Governance Centre).
2. Receive update brief on LETR from sponsoring ARs and details of 2012 programme.

PROJECT MILESTONES		
Programme / Policy Deliverables	Milestones	Delivery Date
Education and Training	Consider the need for additional research to support review led by approved regulators	Postponed 31/01/2011
	Carry-out five seminars to engage with wider audience	To 29/02/2012
	Emerging policy and principles to July Board meeting	11/07/2012
Quality Assurance (Including QASA)	Receive Advice from Consumer Panel	30/11/2011
	Application by relevant approved regulator to change their regulatory arrangements to incorporate QAA	Ongoing 14/12/2011
	Complete tool-kit and framework published	Delayed 30/03/2012
Diversity	Review approved regulators' latest diversity data with a view to scoping work for 12/13	30/03/2012

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

OVERALL PROJECT STATUS	
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THIRD QUARTERLY HIGHLIGHT REPORT



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

KEY ACTIVITIES: Regulatory Framework, Will Writing, Regulatory Information and Market Study

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

PROJECT HEADLINES

Key Achievements in Q3 2011-12 Reporting Period

1. 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.
2. 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.
3. Evidence gathering activity for the above investigation started including provider and trade body visits begun.
4. 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.
5. Draft PID with updated project plan and risks and issues log circulated internally and broad range of comments received.
6. Stakeholder workshop on 19 October focusing on will-writing, probate and estate administration. Attended by 25 people from across regulators, professional and trade bodies (legal sector and wider), consumer representatives, Ombudsman representatives, academics and MoJ officials.
7. Met Director of Services, Infrastructure and Projects at OFT to discuss consumer protection and competition tests for introducing regulation in new areas.
8. College of Law Professor visited LSB to provide overview of probate and estate administration market, processes and practices.
9. Call for evidence for investigation into will-writing, probate and estate administration concluded. Fifty responses received with a handful more to come.
10. Consumer survey about probate and estate administration services commissioned. Business survey about probate and estate administration services commissioned to fill information gaps.
11. Continued to gather evidence for will-writing, probate and estate administration investigation including stakeholder meetings and questions to targeted stakeholders.
12. Two briefing sessions for Legal Ombudsman staff on our work to assess the boundaries of legal services regulation.
13. Discussion period for boundaries of legal services regulation concluded. Approximately 25 responses received with a handful more still to come.
14. Board paper setting direction of travel with summary of responses produced for will-writing, probate and estate administration investigations.
15. Board paper with proposed final approach for assessing boundaries of legal services regulation with summary of responses to Board.
16. Internal workshop held reviewing investigation evidence and considering solutions.
17. Headlines results from Probate and Estate administration consumer survey received (YouGov).

18. Probate, Estate administration provider research started with questionnaires produced and recruitment begun (IFF).
19. Research commissioned on understanding consumers' expectations and valuation of regulation (Opinion Leader).
20. Kick off meeting with OFT to inform their 10 year "Competition in Professions" anniversary work.

Key Activities for Q4 2011-12 Reporting Period

1. Review and revise project timetable (see changes to the critical path) - update meeting with MoJ officials.
2. Scope work for Stage 2 of the will-writing, probate and estate administration – implementation and arrangements.
3. Work-up comms plan for next stage of stakeholder engagement.
4. Develop cost – benefit framework.

PROJECT MILESTONES

Programme / Policy Deliverables	Milestones	Delivery Date
Regulatory Framework	Publish approach for making regulatory decisions	31/03/2011
Will Writing, probate activity and estate administration	Evidence gathering about market, problems, causes, detriments, solutions and potential effectiveness and impacts	Completed (30/11/2011) Some elements ongoing
	Stakeholder workshops	2 of 3 completed
	Provisional report consultation	20/07/2012
	Setting the statutory reporting period: Board agreement and issue of extension notice	17/05/2012
	Final report to Lord Chancellor	12/09/2012
	Issue report	27/09/2012
	Lord Chancellor's decision	Within 90 days
	Implementation and transitional arrangements	10/02/2012

RISKS

Risk	Impact (1-5)	Likelihood (1-4)	RAG Rating	Action Taken
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OVERALL PROJECT STATUS

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THIRD QUARTERLY HIGHLIGHT REPORT



PROGRAMME / POLICY AREA: External Relations

KEY OBJECTIVES: Communications and Public Affairs

LINKED TO REGULATORY OBJECTIVES: N/A

PROJECT HEADLINES
Key Achievements in Q3 2011-12 Reporting Period
<ol style="list-style-type: none"> 1. 8 presentations or speeches were delivered by LSB representatives including Chris Kenny and David Edmonds. Highlights included a presentation to the ICAEW Council, a panel discussion at SAHCA and a presentation to city stakeholders at the Smith and Williamson law firm. 2. The following materials were published: <ul style="list-style-type: none"> ○ Draft business plan ○ Responses to the call for evidence on the regulation of will writing ○ Decision document on regulatory effectiveness. 3. Briefing of media commentators took place as and when appropriate or in response to requests.
Key Activities for Q4 2011-12 Reporting Period
<ol style="list-style-type: none"> 1. Business plan to be published following consultation

PROJECT MILESTONES		
Programme / Policy Deliverables	Milestones	Delivery Date
Communications and Public Affairs	Conduct programme of speeches	On-going
	Draft business plan published	Completed
	Ministerial event for ABS	Completed

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

OVERALL PROJECT STATUS	
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THIRD QUARTERLY HIGHLIGHT REPORT



PROGRAMME / POLICY AREA: Providing Value for Money

KEY OBJECTIVES: Finance

LINKED TO REGULATORY OBJECTIVES: N/A

PROJECT HEADLINES

Key Achievements in Q3 2011-12 Reporting Period

1. Draft Budget for 2012/13 reviewed by Audit and Risk Committee and Board.
2. All monthly and ad-hoc information requests from Cabinet Office and MoJ completed on time.
3. Chief Executive attended MoJ Accounting Officers' meeting.

Key Activities for Q4 2011-12 Reporting Period

1. Provide timely monthly financial reports to Board.
2. Provide regular reports to the MoJ.

PROJECT MILESTONES

Programme / Policy Deliverables	Milestones	Delivery Date
Ensure appropriate financial procedures and policies are in place	Review and update the Financial Regulations operated by the Board as necessary and provide update for the Governance Manual	October 2011
Ensure that the LSB does not breach its expenditure budget	Provide monthly financial reports for the Board and MoJ	On-going

RISKS

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

OVERALL PROJECT STATUS

4	[REDACTED]
3	
2	
1	
0	

THIRD QUARTERLY HIGHLIGHT REPORT



PROGRAMME / POLICY AREA: Risk

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

LINKED TO REGULATORY OBJECTIVES: ALL

PROJECT HEADLINES
Key Achievements in Q3 2011-12 Reporting Period
At the 10 October Audit and Risk Committee meeting, members reviewed the LSB’s Corporate Risk Management strategy, considering recommendations made by KPMG as part of their internal audit. The Committee agreed to proposed changes to the policy, which were later endorsed by the full Board at its 30 November meeting.
Key Activities for Q4 2011-12 Reporting Period
Work will be carried-out in January to refresh the Corporate Risk Register, to reflect the risks presented by the 2012-15 strategy and 2012/13 operational business plan.

PROJECT MILESTONES		
Programme / Policy Deliverables	Milestones	Delivery Date
Formal risk management system maintained by executive and reviewed by Audit and Risk Committee	Held third Audit and Risk Committee meeting where the register and strategy were reviewed	10 October
All projects are risk assessed and measures taken to mitigate or exploit are integral to planning, approval and operational activities	Ongoing project and corporate risk maintenance in line with the updated Risk Management Strategy	Ongoing

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

OVERALL PROJECT STATUS	
4	[REDACTED]
3	
2	
1	
0	