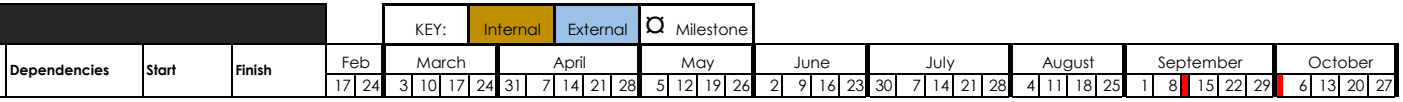
ENTITY REGULATION DRAFT IMPLEMENTATION PLAN

KEY: Internal | External | ¤ Milestone

		Owner	Dependencies	Start	Finish
EM	**APPLICATION**				
AP1	Draft application (see app task list)	EM	App task lsit	17/02/2014	13/06/2014
AP2	Application submission	EM	AP1	16/06/2014	
AP3	Application approval process	External	AP2	16/06/2014	12/09/2014
AP4	Start accepting applications	OH	AP3	06/10/2014	
SD	**ENFORCEMENT**				
EN1	Enforcement process design	NZ		17/03/2014	16/05/2014
EN2	Enforcement skills audit	NZ	EN1	19/05/2014	13/06/2014
EN3	Supporting Documentation	NZ	EN1	16/06/2014	29/08/2014
EN4	Enforcement Training	NZ	EN2, EN3	01/09/2014	03/10/2014
EN5	Collaborative work with BTAS (disciplinary tribunals)	NZ	EN1	NZ to confirm	
OH	**AUTHORISATION**				
AU1	Authorisation & modification process design	OH	RS1	02/06/2014	04/07/2014
AU2	Revocation of licence process design	OH	AU1	02/06/2014	04/07/2014
AU3	Authorisation skills audit	OH	AU1	30/06/2014	04/07/2014
AU4	Create authorisation supporting documentation	SH	AU1	07/07/2014	08/08/2014
AU5	Authorisation resource recruitment	OH	AU3	04/08/2014	31/10/2014
AU6	Authorisation resource induction & training	OH	AU5	03/11/2014	12/12/2014
AU7	Create paper-based back-up system	OH	AU1	14/07/2014	01/08/2014
AU8	Appeals to Qualifications Committee	OH/JD		30/06/2014	01/08/2014
OH	**SUPERVISION**				
SU1	Supervision process design	CN	RS1	05/05/2014	23/05/2014
SU2	Supervision skills audit	CN	SU1	05/05/2014	23/05/2014
SU3	Create Supervision supporting documentation	OH	SU1	30/06/2014	01/08/2014
SU4	Supervision training	CN	SU1, SU2	05/05/2014	30/05/2014
OH	**IT**				
IT1	Auth system: Needs analysis (inc. info mgmt & reps.)	CN	AU1. SU1	07/07/2014	01/08/2014
IT2	Auth system: Design solution	CN	IT1	04/08/2014	29/08/2014
IT3	Auth system: Develop solution	CN	IT2	01/09/2014	17/10/2014
IT4	Auth system: Test solution	CN	IT3	20/10/2014	14/11/2014
IT5	Auth system: System implementation	CN/IT Team	IT4	17/11/2014	19/12/2014
IT6	Enforcement database changes	CN	EN1	06/10/2014	19/12/2014
IT7	Recrods database changes	CN	AU1	06/10/2014	19/12/2014
IT8	Explore option of an entity register	CN/JH		08/09/2014	03/10/2014
OH	**PILOT & TESTING (BACK-UP SYSTEM)**				
PT1	Mock application submissions	JW	AU1, AU7	04/08/2014	22/08/2014
PT2	Authorisation process	JW	IT4/5, AU6	25/08/2014	12/09/2014
PT3	Review success of authorisation process	JW	PT2	15/09/2014	26/09/2014
PT4	Update Authorisation process and products	JW	PT3	29/09/2014	17/09/2014
EM	**INTERVENTIONS**				
IN1	Design interim intervention process	SH		16/06/2014	11/07/2014
IN2	Interim intervention process live	SH	IN1, AP4	05/01/2015	
IN3	Draft consultation on interim rules & S69	EM	IN1, SS2	16/06/2014	27/06/2014
IN4	Consult on interim rules & S69	EM	IN3	30/06/2014	15/08/2014
IN5	Update September Board	EM/PR	IN4	18/09/2014	
IN6	Analyse consulatation responses and review	EM	IN4	18/08/2014	05/09/2014
IN7	Revise intervention process based on stat. powers	SH	SS13	Dep. on S69 Order	
IN8	Prepare order and rule changes needed	SH	IN3	Dep. on S69 Order	
IN9	Actual intervention process live	SH	IN4	Dep. on S69 Order	



						Feb		March				April					May				June				July				August				September				October			
						17	24	3	10	17	24	31	7	14	21	28	5	12	19	26	2	9	16	23	30	7	14	21	28	4	11	18	25	1	8	15	22	29	6	13	20	27
EM	**INSURANCE**																																						
IS1	Find someone to advise on minimum terms	EM		19/05/2014	30/05/2014																																			
IS2	Draft minimum terms	EM	IS1	02/06/2014	27/06/2014																																			
IS3	Determine risks, issues and mitigating actions	EM	IS2	16/06/2014	27/06/2014																																			
IS4	Draft consultation on minimum terms	EM	IS3	16/06/2014	27/06/2014																																			
IS5	Consult on minimum terms	EM	IS4	30/06/2014	15/08/2014																																			
IS6	Update September Board	EM/PR	IS5	18/09/2014																																				
IS7	Analyse consulatation responses and review	EM	IS5	18/08/2014	05/09/2014																																			
EM	**EQUALITY & DIVERSITY**																																						
ED1	Draft Equality Analysis	JoeB/JessB		03/03/2014	02/05/2014																																			
ED2	Update EA with Risk work	EM	ED1	02/06/2014	27/06/2014																																			
ED3	EA for Authorisation Process	JH	AU1	14/07/2014	01/08/2014																																			
ED4	Review EDM post-pilot	JoeB/CN	PT3	15/09/2014	29/09/2014																																			
ED5	Impact review	JoeB/JessB	ED1	To be confirmed																																				
EM	**APPEALS TO HMCTS**																																						
AT1	Draft MoU	EM		12/05/2014	23/05/2014																																			
AT2	HMCTS to agree plan	EM	AT2	26/05/2014	30/05/2014																																			
AT3	Agree Implementation dates & sign agreement	EM	AT1	02/06/2014	27/06/2014																																			
EM	**SECTION 69**																																						
SS1	Opinion on LSA Section 20	EM		31/03/2014	18/04/2014																																			
SS2	Agree next steps and timetable with LSB & MOJ	EM		18/06/2014																																				
SS3	Draft instructions Section 69 order			Dates dep. on SS2																																				
SS4	Draft S69 Order with MOJ			Dates dep. on SS2																																				
SS5	Draft consultation on S69 and interventions	EM	See App Task List	Dates dep. on SS2																																				
SS6	Board approval of principles			Dates dep. on SS2																																				
SS7	Consultation live	EM	SS3	Dates dep. on SS2																																				
SS8	Analyse consultation responses	EM	SS4	Dates dep. on SS2																																				
SS9	Adjust intervention processes and policy	EM	SS5	Dates dep. on SS2																																				
SS10	Apply to LSB	EM	SS8	Dates dep. on SS2																																				
SS11	LSB Consideration	EM	SS9	Dates dep. on SS2																																				
SS12	Lay order before parliament	EM	SS10	Dates dep. on SS2																																				
SS13	Section 69 Order Live	EM	SS11	Dates dep. on SS2																																				
AT	**COMMUNICATIONS**																																						
CM1	Comms strategy	EG		02/06/2014	27/06/2014																																			
CM2	Internal comms and training	FM	CM1	30/07/2014	19/12/2014																																			
CM3	Marketing and publicity	EG	CM1, AP3	30/07/2014	19/12/2014																																			
CM4	Website update	EG	CM1, AP3	15/09/2014	03/10/2014																																			
CM5	Workshops	EG	CM1, CM2, AP3	06/10/2014	19/12/2014																																			
CM6	Entity literature	EG	CM1	01/09/2014	17/10/2014																																			
AT	**RESEARCH**																																						
RS1	Market research on volume and type of applications	SL		03/03/2014	28/03/2014																																			
RS2	Secondary interest gaging exercise	SL		03/11/2014	28/11/2014																																			
OH	**BUDGETING & COSTS**																																						
BC1	Development costs	OH	RS1	31/03/2014	18/04/2014																																			
BC2	Costs model for mature year (regulation costs)	OH	RS1	02/06/2014	20/06/2014																																			
BC3	Authorisation costs	OH	BC2	09/06/2014	27/06/2014																																			
BC4	Draft Consultation	OH	BC2, BC3	16/06/2014	27/06/2014																																			
BC5	Consultation live	OH	BC4	30/06/2014	15/08/2014																																			
BC6	Analyse consultation responses	OH	BC5	18/08/2014	05/09/2014																																			
OH	**OTHER PROJECT PRODUCTS**																																						
PP1	Draft all scheme correspondence	SHelier	AU1. SU1	02/07/2014	11/07/2014																																			
PP2	Collate all guidance for ER Manual	SHelier	AU2, SU2, EN3	01/09/2014	03/10/2014																																			