

## QUARTERLY PROJECT HIGHLIGHT REPORT

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

#### Q2 18/19 reporting period:

Regulatory performance:

- Regulators responded to our information requests, we have agreed an extension to October 2018 for one regulator.
- We completed our review of information request responses in September 2018

Internal Governance Rules review outcomes:

- Updated consultation response and decision document to July 2018 Board meeting
- Event with regulatory bodies took place
- First draft IGR and guidance to Board in September 2018

Technology and regulation

- Our bid to the Regulators Pioneer Fund in Quarter 2 was not successful.

Enforcement activities:

- Fieldwork with SRA and SDT in July and August 2018
- Engagement with smaller regulators in September 2018

#### Key activities for Q3 18/19 reporting period:

Regulatory performance:

- Communicate initial assessment to Regulators
- Publish Regulator assessments
- Hold first relationship management meetings

Internal Governance Rules review outcomes:

- October Board review and approval to publish proposed consultation document on draft
- Consultation on draft IGR and guidance in November and December 2018

Technology and regulation

- Project initiation document to be produce, subject to agreement of project scope with Senior Leadership Team.
- Work to start on the project in November and December 2018

Enforcement activities:

- Report to be presented at the November Board
- Feedback to regulators post November Board meeting
- Final report published December 2018

Investigation into the Law Society

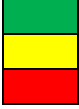
- TLS to submit report to LSB by 30 November 2018 explaining how it has complied with the undertakings and findings from the report.

**RISKS (new or raised):**

[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

### Q2 18/19 reporting period:

#### Increasing market transparency:

- We have completed an accuracy check with all the individual regulators.

#### Individual legal needs survey:

- Law Society agreed to joint fund. Bidder interview in September 2018.

#### The legal needs of small businesses:

- Completed technical report and infographic published

#### Market intelligence:

- Data hub circulated to colleagues for user testing and feedback collated ahead of implementation

### Key activities for Q3 18/19 reporting period:

#### Increasing market transparency:

- We are expecting to publish a progress report on 11 October.
- Monitor delivery of regulators progress against actions included in the CMA action plans ahead of the next CMA review in 2019

#### Individual legal needs survey:

- Contractor commissioned and fieldwork to be undertaken

#### Market intelligence:

- Implement data hub with a soft launch in October 2018

## 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

### Q2 18/19 reporting period:

#### Planning for EU exit

- Continuing watching brief, liaising with MoJ and regulators.
- Stories of interest being logged

#### Diversity:

- Regulators invited to complete self-assessment template

#### Innovation research:

- Analysis of drivers of innovation completed

#### Education and training:

- Reported outcomes in to July Board meeting
- Webpage setting out LSB role in education and training completed, with communication of findings to stakeholders and colleagues

### Key activities for Q3 18/19 reporting period:

#### Planning for EU exit

- Planning for outcomes from European Council meeting in October

#### Diversity:

- Drafting and publication of report regulator. Including report of LSB self-assessment template

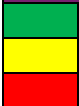
#### Innovation research:

- Full report to be published in November 2018 to link up with Legal Futures Conference

## 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

### Q2 18/19 reporting period:

- Regular review of risk register at SLT meetings
- Assurance mapping work on-going, including planning for future assurance work to co-ordinate with ARAC deep dives and internal and external audit programmes.
- On-going work on risk appetite at SLT meetings for consideration at October ARAC to report to November Board meeting
- Annual review of risk management strategy

### Key activities for Q3 18/19 reporting period:

- Regular review of risk at SLT meetings
- Quarterly review of risk register by ARAC (Oct 2018)
- Annual refresh of risk register and review of risk management strategy to report to November Board meeting
- Six-monthly review of risk register by Board (Nov 2018)
- Human resources assurance mapping to be completed by the end of October 2018

## RISKS (new or raised):

[REDACTED]

## PROGRAMME STATUS:

[REDACTED]