

Intellectual Property Regulation Board - Regulatory performance assessment

REGULATORY APPROACH					AUTHORISATION					SUPERVISION				ENFORCEMENT						WELL-LED					
1	2	3	4	5	1	2	3	4	5	1	2	3	4	1	2	3	4	5	6	1	2	3	4	5	6

Met		Not met – action being taken		Not met – action required	
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Action being taken

Outcome		A5: The regulator’s list of those they regulate is accessible, accurate and provides information on the disciplinary records of those regulated.
January 2019	LSB assessment	The register does not include disciplinary information. We understand reserves are in place for a new register database and a new database and register will be commissioned in 2019.
	Action needed	IPReg to ensure that the register of those they regulate is easily accessible and contains information on all disciplinary action taken against the individual or entity. This will be achieved through implementation of a new register by September 2019.
	Timing	IPReg complete implementation of new register by September 2019. LSB review progress in May 2019.
Progress update	LSB assessment	In line with the deadline noted in January 2019, IPReg is proceeding towards meeting this outcome and ensuring that the register of those they regulate is easily accessible and contains

(at June 2019)		<p>information on disciplinary action taken against individuals or entities. Implementation of a new register will be achieved through IPReg's current IT upgrade project, which remains on track. It currently expects to launch its new register and meet this required outcome in September 2019.</p> <p>While IPReg is making progress towards meeting this outcome, we cannot consider it met until, at a minimum, the register contains information on disciplinary action taken against individuals or entities in a way that is easily accessible to consumers of legal services.</p>
	Action needed	<p>IPReg to ensure that the register of those they regulate is easily accessible, accurate and contains information on disciplinary action taken against the individual or entity.</p> <p>To assess this, we would like to receive detailed information from IPReg about how the level of functionality of the new register will improve consumers' access to information on individuals or entities.</p> <p>IPReg to submit a progress update to the LSB by 1 November 2019.</p>
	Timing	<p>The LSB will review in November 2019 whether IPReg's new register, launched in September 2019, is easily accessible, accurate and contains disciplinary records.</p>
Outcome		<p>WL3: The regulator is transparent about its own: decision-making; regulatory approach; the risks it and its regulated community faces and how these are being mitigated; performance; regulated community and related markets; financial costs.</p>
January 2019	LSB assessment	<p>IPReg does not publish board papers or operational performance information.</p>
	Action needed	<p>(1) IPReg to review current publication policy and ensure that the supporting evidence for decisions taken by the Board or Executive which impact on the regulated community are</p>

		<p>published as soon as possible after decisions are taken. This should include Board papers which should only be withheld or with content removed in limited circumstances.</p> <p>(2) IPReg to review the transparency of its performance information (e.g. KPIs and performance reports, complaints about the regulator etc.) and that this information should be published as soon as possible after the Board consideration.</p>
	Timing	Work to be completed by May 2019 when the LSB will review progress.
Progress update (at June 2019)	LSB assessment	<p>IPReg’s Board has confirmed that it recognises the importance of being transparent about its activities and has reviewed its approach. IPReg is introducing a programme of change over the coming months to address the actions noted above.</p> <p>From July 2019 Board agendas and minutes will be divided into confidential and non-confidential sections. From its first Board meeting in 2020, it will publish non-confidential agendas, papers and supporting documentation as soon as possible after the meeting. IPReg will redact this documentation where appropriate to do so.</p> <p>In its Annual Report, IPReg publishes information on its finances, expenditure, registrants, admissions, and the complaints it receives. IPReg also publishes its audited accounts annually, and Board minutes, which include information on its annual re-registration process and the level of CPD compliance. IPReg will in the future publish the Performance Management Dataset that it provides to the LSB, which includes information on its authorisation, supervision and enforcement work.</p>
	Action needed	<p>IPReg to implement the proposed programme of change to address Actions (1) and (2) noted above and to publish documentation with as little redaction as possible.</p> <p>IPReg to submit a progress update to the LSB by 1 November 2019.</p>

	Timing	IPReg to complete the action needed by the end of January 2020. The LSB will review progress in November 2019.
Outcome		WL5: The Board considers its own effectiveness in ensuring the regulator is a well-led, independent, transparent and consumer focused organisation, which acts in a way that is compatible with the regulatory objectives.
January 2019	LSB assessment	A review of IPReg’s current processes to review and appraise the board’s governance approach is being completed.
	Action needed	IPReg to complete the above review and confirm the revised appraisal process for its Board by May 2019.
	Timing	LSB will review progress in May 2019.
Progress update (at June 2019)	LSB assessment	IPReg completed a review of its Board review and appraisal processes and agreed a new approach at its Board Strategy Day on 21 March 2019. The new approach, which will see each Board member complete an annual appraisal, is being implemented between July and October 2019.
	Action needed	Implementation of the new Board review and appraisal processes. IPReg to submit a progress update to the LSB by 1 November 2019.
	Timing	The LSB will review progress in November 2019.