



Department for
Business, Energy
& Industrial Strategy

Better Regulation

Government's Annual Report, 2020-2021

February 2022

Better Regulation: Government's Annual Report, 2020-2021

Presented to Parliament pursuant to section 23(12) of the Small Business, Enterprise and Employment Act 2015.

This replaces the January 2022 version of this report, which was originally laid on 13th January 2022



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Better Regulation

The Manifesto undertook that the Government “*will strive to achieve the right regulatory balance between supporting excellent business practice and protecting workers, consumers and the environment*”. The Government does not believe that the current methods of assessing regulatory impacts allow for this. Therefore, the Government is reviewing the target to ensure the impact of regulation is reflected more effectively, so as to continue to provide necessary protections without placing undue burdens on business.

The Government launched a consultation on Reforming the Framework for Better Regulation¹ on 22 July 2021, which closed on 1 October 2021. The consultation followed a report from the Taskforce on Innovation, Growth and Regulatory Reform (TIGRR)², which the Prime Minister convened in February 2021, and examined a number of the taskforce’s proposals for reforming our approach to better regulation, which includes a focus on measuring and reporting impacts under the Better Regulation Framework. Other areas examined in the consultation include:

- the adoption of a less codified, more outcomes-focused approach to regulation;
- a review of the role of regulators, especially around competition and innovation;
- delegation of more discretion to regulators to achieve regulatory objectives in a more agile and flexible way counterbalanced by increased accountability and scrutiny;
- streamlining the process of assessment of impacts;
- moving to earlier scrutiny of impact assessments and evaluation of existing regulation;
- consideration of options on measuring the impact of regulation;
- re-introduction of regulatory offsetting; and
- baselining the UK’s regulatory burden.

The Government is carefully analysing consultation responses to inform a Government response, which will be published in due course. Until the completion of the review the Government has set a Business Impact Target of zero. This will in effect be a holding target and will enable the Government to continue to monitor regulatory impacts and remain transparent to business on the impacts of the regulatory programme it is delivering in the immediate term. This target makes clear that the Government remains committed to achieving regulatory balance and minimising the regulatory burden on business.

Under the requirements of sections 23(1) and (12) of the Small Business, Enterprise and Employment Act 2015, the Government is required to publish a report on progress against the Business Impact Target, laying it before Parliament. This report satisfies the requirements set out in the Act.

¹ <https://www.gov.uk/government/consultations/reforming-the-framework-for-better-regulation>

² <https://www.gov.uk/government/publications/taskforce-on-innovation-growth-and-regulatory-reform-independent-report>

Terminology used in this report

EANDCB is the Equivalent Annual Net Direct Cost to Business and is the metric currently used to calculate the contribution a regulation makes towards the Business Impact Target (BIT). The BIT score is calculated by multiplying the EANDCB by five, or less if the measure will be in place for less than five years. A negative EANDCB and BIT score means that a regulation is expected to deliver direct economic savings to business and is considered an 'out' for the purposes of the target, whereas a positive figure indicates a cost and so is an 'in'.

The Business Net Present Value (BNPV) and total Net Present Value (NPV) of measures are also given in the tables. BNPV accounts for both direct and indirect costs and benefits to business of implementing regulation. NPV takes account of direct and indirect costs and benefits to society. Both these measures are 'net' figures, which means that the value of costs are subtracted from the value of benefits. A positive BNPV or NPV means the benefits outweigh the costs.

An indirect cost is a secondary effect arising from the initial policy aim. For example, a measure was introduced in 2013 to require scrap metal dealers to have a licence to operate. The license imposed a number of requirements, such as the buyer being able to verify the identity of individuals selling scrap metal. The licensing scheme is a direct cost to scrap metal dealers, but is expected to have the indirect effect of reducing scrap metal theft, which would be an indirect benefit to the wider business community. BIT scores and (B)NPVs can have the same or different signs (positive or negative) depending on the contribution of indirect costs and benefits.

Update on the 2019-2020 Business Impact Target Report

There were two measures (table 1) that were included in last year's annual report without the impacts to business having yet been validated. This validation has now been completed and for transparency is recorded below, and an updated Business Impact Score provided³.

With these updated figures, the first reporting period of this Parliament from 13 December 2019 to 16 December 2020 delivered £5.6bn net costs to business from Qualifying Regulatory Provisions that came into force or ceased to be in force during this period.

³ Note: To be consistent with the established methodology for the Business Impact Target (BIT), all figures included within the report are presented in 2019 prices with 2020 as the present value base year. This ensures consistency between all measures included in this report but means there will be some minor differences from figures in previously published Impact Assessments.

Table 1: Qualifying Regulatory Provisions of departments and ministerial regulators that came into force or ceased to be in force during the first Business Impact Target reporting period of the Parliament, some of which were included in the 2019–2020 Annual Report but were not yet validated. (Net Present Value figures given for information.)

Department / ministerial regulator	Title of measure as in IA	Description of measure provided by department	Impact on business		
			EANDCB ⁴ (£ millions)	Business Impact Target score (£ millions)	Business Net Present Value (£ millions)
Department for Levelling Up, Housing and Communities	The Town and Country Planning (General Permitted Development) (England) (Amendment) (No. 3) Order 2020	To simplify the planning process to support demolition of certain vacant and redundant buildings built before 1990 to be rebuilt as residential and bring greater planning certainty, resulting in some additional residential development, increase in land values and savings in planning fees and associated administrative costs.	-9.2	-46.0	79.6
Department for Levelling Up, Housing and Communities	The Town and Country Planning (Use Classes) (Amendment) (England) Regulations 2020	To enable building owners to change the use of some buildings without full planning permission, saving the costs of preparing such applications and associated fees. The system of use classes is simplified to create a new broad 'Commercial, business and service' use class (Class E) to reflect changing retail and business models.	-12.9	-64.5	111.0

⁴ Equivalent Annual Net Direct Cost to Business

Department / ministerial regulator	Title of measure as in IA	Description of measure provided by department	Impact on business		
			EANDCB ⁴ (£ millions)	Business Impact Target score (£ millions)	Business Net Present Value (£ millions)
Home Office	Immigration Rules for Skilled Workers	Amends the Immigration and Asylum Act 1999 (Part V Exemption: Licensed Sponsors Tiers 2 and 4) Order 2009, to reflect the replacement of certain "Tier 2" immigration routes with new routes under the United Kingdom's new immigration system. It also further amends this Order in respect of Student Sponsors, to ensure a previous amendment remains in step with a further change to the UK Immigration Rules.	Not yet validated	Not yet validated	

Progress against the Business Impact Target 2020-2021

The second reporting period of this Parliament from 17 December 2020 to 16 December 2021 delivered -£1,184 million net costs to business (£1,184 million savings) from Qualifying Regulatory Provisions that came into force or ceased to be in force during this period⁵.

Table 2: Impacts delivered against the Business Impact Target during the second reporting period of this Parliament.

Organisation	Business Impact Target score delivered (£ millions)
Cabinet Office	No qualifying measures
Department for Business, Energy and Industrial Strategy	£228.3
Department for Digital, Culture, Media and Sport	No qualifying measures
Department for Education	-£700.0
Department for Environment, Food and Rural Affairs	-£518.0
Foreign, Commonwealth and Development Office	No qualifying measures
Department for International Trade	No qualifying measures
Department for Levelling Up, Housing & Communities	-£693.0
Department for Transport	£120.0
Department for Work and Pensions	£31.0
Department of Health and Social Care	£371.8
HM Treasury	No qualifying measures
Home Office	No qualifying measures
Ministry of Defence	No qualifying measures
Ministry of Justice	-£3,619.5
Listed regulators	£3,595.6
Total	-£1,183.8

⁵ Note: To be consistent with the established methodology for the Business Impact Target (BIT), all figures included within the report are presented in 2019 prices with 2020 as the present value base year. This ensures consistency between all measures included in this report but means there will be some minor differences from figures in previously published impact assessments.

Qualifying Regulatory Provisions

Under the provisions of the Small Business, Enterprise and Employment Act 2015 the Government is required to publish:

- A list of all the Qualifying Regulatory Provisions that have come into force or ceased to be in force during the second reporting period of this Parliament with their economic impact on business (see tables 2 and 3);
- A description of and the reason for any Qualifying Regulatory Provisions introduced during the reporting period that go beyond the minimum provision necessary for implementing an international obligation. For this reporting period, there were no measures that went beyond the minimum provision necessary for implementing an international obligation.

In line with the Government's approach to reporting regulatory impacts, the Qualifying Regulatory Provisions of government departments also show wider impacts as well as the direct impact on business. These are reflected in the columns headed "*Business Net Present Value*" and "*Total Net Present Value*" in table 3.

Table 3: Qualifying Regulatory Provisions of government departments and ministerial regulators that came into force or ceased to be in force during the second Business Impact Target reporting period of this Parliament (statutory assessments in bold).

Department / ministerial regulator	Title of measure as in IA	Description of measure provided by department	Impact on business			Total Net Present Value (£ millions)
			EANDCB ⁶ (£ millions)	Business Impact Target score (£ millions)	Business Net Present Value (£ millions)	
BEIS	Ecodesign requirements for industrial products	Update ecodesign and energy-labelling requirements to realise the full potential energy and carbon emission savings from the new requirements for electric motors and welding equipment.	-20.5	-102.5	390.4	481.1
BEIS	Ecodesign and energy labelling requirements for lighting products	New and updated eco-design and energy-labelling requirements aimed at generating energy and carbon emission savings for light sources and separate control gears (lighting products).	-21.0	-105.0	399.9	784.8
BEIS	Amendment to the National Minimum Wage regulations 2021	Annual uprate of NMW and NLW rates in line with Pay Commission's recommendations.	217.9	435.8	-428.4	-9.1

⁶ Equivalent Annual Net Direct Cost to Business

Department / ministerial regulator	Title of measure as in IA	Description of measure provided by department	Impact on business			Total Net Present Value (£ millions)
			EANDCB ⁶ (£ millions)	Business Impact Target score (£ millions)	Business Net Present Value (£ millions)	
DfE	The Education (Student Fees, Awards and Support) (Amendment) Regulations 2021 (legislation.gov.uk)	Removing home fee status and access to student finance England for EU, other EEA, and Swiss nationals	-140.0	-700.0	-800.0	-2600.0
Defra	Environment Bill	The Act makes provision about targets, plans and policies for improving the natural environment; for statements and reports about environmental protection; for the Office for Environmental Protection; about waste and resource efficiency; about air quality; for the recall of products that fail to meet environmental standards; about water; about nature and biodiversity; for conservation covenants; about the regulation of chemicals; and for connected purposes	£0	£0	£0	£0
Defra	Extending the Single Use Carrier Bag charge to all retailers and reviewing the current 5p charge to 10p	Measure to increase the minimum amount that sellers must charge for a single use carrier bag from 5 pence to 10 pence. Also extends the obligation to charge for a SUCB to all retailers and will remove the exemption from airport retailers from charging for SUCB. This will reduce the usage of these bags and the litter associated with them whilst allowing for their continued use where necessary.	-103.6	-518.0	893.1	331.3

Department / ministerial regulator	Title of measure as in IA	Description of measure provided by department	Impact on business			Total Net Present Value (£ millions)
			EANDCB ⁶ (£ millions)	Business Impact Target score (£ millions)	Business Net Present Value (£ millions)	
DLUHC	The Town and Country Planning (General Permitted Development etc.) (England) (Amendment) Order 2021	To enable the change of use from the Commercial, Business and Service use (Class E) to residential use (Class C3) and allow existing schools, colleges, universities, hospitals, prisons, university buildings to change to residential use resulting in an increase in land values and reduced planning fees by no longer being required to submit a full planning application in more cases.	-138.6	-693.0	1193.0	1204.0
DfT	The Motor Fuel (Composition and Content) and the Biofuel (Labelling) (Amendment) Regulations 2021	This policy looks to develop opportunities for higher ethanol blending levels, which should enable greater reductions in greenhouse gas emissions in the longer term provided they are accompanied by higher Renewable Transport Fuel Obligation targets as part of further legislative change. It should also help support the UK bioethanol industry.	11.6	58.0	-100.0	-997.2
DfT	Space Industry Regulations 2021	This proposed secondary legislation under The Space Industry Act 2018 (SIA) is designed to enable UK launches by the early 2020s and promote growth, innovation and sustainability whilst protecting public safety, security and international relations.	12.4	62.0	86.0	55.0

Department / ministerial regulator	Title of measure as in IA	Description of measure provided by department	Impact on business			Total Net Present Value (£ millions)
			EANDCB ⁶ (£ millions)	Business Impact Target score (£ millions)	Business Net Present Value (£ millions)	
DWP	THE OCCUPATIONAL PENSION SCHEMES (CLIMATE CHANGE GOVERNANCE AND REPORTING) REGULATIONS 2021	Climate change is expected to have a significant impact on pension schemes' assets., both due to the physical risk associated with a warmer planet and the transition risk that movement towards a low carbon economy brings in the form of lower valuations of many sectors of the economy. As long-term investors, pension scheme trustees should be especially alive to these risks. At present, evidence suggests the market does not fully price-in climate risk meaning many assets pension schemes hold may be mispriced. Whilst trustees of pension schemes are already required to consider all financially-material risks as part of their fiduciary duty, the Government is seeking to strengthen and clarify the focus on climate change by proposing steps to require increased analysis and consideration of climate change embedded in the decision-making process of trustees, as well as requiring the disclosure of climate risk information.	6.2	31.0	-53.6	-53.6

Department / ministerial regulator	Title of measure as in IA	Description of measure provided by department	Impact on business			Total Net Present Value (£ millions)
			EANDCB ⁶ (£ millions)	Business Impact Target score (£ millions)	Business Net Present Value (£ millions)	
DHSC	The Health and Social Care Act 2008 (Regulated Activities) (Amendment) (Coronavirus) Regulations 2021	The measure requires all care home workers or visiting professionals to be fully vaccinated against COVID-19, unless exempt, before entry to the premises of Care Quality Commission (CQC) regulated providers of nursing and personal care.	88.1	88.1	88.1	90.8
DHSC	Medical Devices (Coronavirus Test Device Approvals) (Amendment) Regulations 2021	To introduce a mandatory validation requirement for Coronavirus test devices for sale in the private market	56.7	283.7	-23.3	-50.0
MoJ	1. Whiplash Injury Regulations (WIR) 2020 2. The Civil Procedure (Amendment No. 2) Rules 2020	1. The purpose of Whiplash Injury Regulations 2020 are to cover fixed tariff of damages for whiplash injuries up to 24 months (subject to judicial uplift) and ban on pre-medical settlement of whiplash claims. 2. The purpose of The Civil Procedure (Amendment No. 2) Rules 2020 are to cover raising the small claims limit to £5k for road traffic accident' -related whiplash claims.	-723.9	-3619.5	6231.5	1133.5

Table 4: Qualifying Regulatory Provisions of listed regulators that came into force or ceased to be in force during the second Business Impact Target reporting period of this Parliament.

Listed regulator	Title of measure as in IA	Description of measure provided by regulator	Business impact target score (£ millions)
Environment Agency	Incinerator Bottom Ash Aggregate – Regulatory Position Statement RPS247	In September 2017 we published a regulatory position statement (RPS) covering the use of unbound municipal incinerator bottom ash aggregate (IBAA) in construction activities. RPSs set out how we intend to regulate a particular activity for a set period, for example, until regulations are brought in or changed, or when a legislative review is completed. RPS 247 is the latest extension and provides a set of criteria on how IBAA can be used in a way that would minimise the risks of contaminating soils, groundwater and surface waters.	-254.4
FCA	PS20/8: Motor Finance discretionary commission models and consumer credit commission disclosure	A proposal to ban discretionary commission models in the motor finance market and to amend the commission disclosure rules and guidance in all consumer credit markets.	838.0
FCA	PS20/17: Proposals to enhance climate-related disclosures by listed issuers and clarification of existing disclosure obligations	A new Listing Rule (LR 9.8.6(8)) introduced to support implementation of TCFD (Taskforce for Climate-related Financial Disclosures), for commercial companies with a UK premium listing. This requires that in-scope companies include a statement in their annual financial report to set out specific disclosures.	306.0
FCA	FG21/1: Guidance for firms on the fair treatment of vulnerable customers	The introduction of guidance to help firms better understand the FCA's expectations, and their obligations, to treat customers in vulnerable circumstances fairly.	2439.0

Listed regulator	Title of measure as in IA	Description of measure provided by regulator	Business impact target score (£ millions)
FCA	PS21/2: Amendments to single and cumulative transaction thresholds for contactless payments	Amendments to the technical standards on strong customer authentication and common and secure methods of communication (the SCA-RTS). Amendments to the Approach Document setting out what the FCA expects from firms who provide payment and e-money services.	166.5
Insolvency Service	Changes to Debt relief order criteria	The aim of this policy is to give more people with low-level assets, low surplus income and low levels of debt, who are experiencing financial distress, access to a suitable option for debt relief. The policy will be achieved by using secondary legislation to amend eligibility thresholds found in primary legislation – the Insolvency Proceedings (Monetary Limits) Order and Insolvency (England and Wales) Rules. It will enable more people to access Debt relief orders and obtain debt relief.	46.0
Insolvency Service	The Ratings (Coronavirus) and Directors Disqualification (Dissolved Companies) Bill	The policy objective is to plug the legal loophole that exists in the insolvency enforcement landscape to address two major concerns. To ensure public concerns that rogue directors who abuse the company and insolvency law regimes can be investigated and held accountable, and to provide a deterrent against a likely and urgent scenario that company directors may use the dissolution of a company to evade their responsibility to repay Bounce Back Loans. This objective will be achieved through primary legislation to expand the investigatory powers of the Insolvency Service to include former directors of dissolved companies.	25.0

Listed regulator	Title of measure as in IA	Description of measure provided by regulator	Business impact target score (£ millions)
MCA/DfT	Small Fishing Vessel Code 2021	The MCA's proposal introduces mandatory set of safety standards for small fishing vessels of 15 metres or less, relating to: 1. survey and inspection; 2. construction, watertight and weathertight integrity; 3. stability; 4. machinery and electrical installations; 5. fire protection; and 6. protection of personnel and man overboard recovery.	29.5

Aggregate progress made against the Business Impact Target

The second reporting period of this Parliament ran from 17 December 2020 to 16 December 2021, during which government departments and relevant regulators delivered -£1,184 million net costs to business from Qualifying Regulatory Provisions that came into force or ceased to be in force during this period. For all the reporting periods of this Parliament, the aggregate economic impact of all the qualifying regulatory provisions is £4.4bn net costs to business from Qualifying Regulatory Provisions.

Table 5: Aggregate impacts delivered against the Business Impact Target during the second reporting period of this Parliament by government departments

Organisation	Business Impact Target score delivered in 2019 – 2020 (£m)	Aggregate Business Impact Target Score 2019-2021 (£m)
Cabinet Office	No qualifying measures	No qualifying measures
Department for Business, Energy and Industrial Strategy	£727.8	£956.1
Department for Digital, Culture, Media and Sport	No qualifying measures	No qualifying measures
Department for Education	No qualifying measures	-£700.0
Department for Environment, Food and Rural Affairs	£28.1	-£489.9
Foreign, Commonwealth and Development Office	No qualifying measures	No qualifying measures
Department for International Trade	No qualifying measures	No qualifying measures
Department for Levelling Up, Housing & Communities	-£1,247.5	-£1,940.5
Department for Transport	£122.5	£242.5
Department for Work and Pensions	No qualifying measures	£31.0
Department of Health and Social Care	No qualifying measures	£371.8

Organisation	Business Impact Target score delivered in 2019 – 2020 (£m)	Aggregate Business Impact Target Score 2019-2021 (£m)
HM Treasury	£404.7	£404.7
Home Office	No qualifying measures	No qualifying measures
Ministry of Defence	No qualifying measures	No qualifying measures
Ministry of Justice	No qualifying measures	-£3,619.5
Listed regulators	£5,593.4	£9,189.0
Total	£5,629.0	£4,445.2

Non-Qualifying Regulatory Provisions

Under the provisions of the Small Business, Enterprise and Employment Act 2015 the government is required to publish:

- A list of all the legislative Qualifying Regulatory Provisions which have come into force or ceased to be in force during the second reporting period of the Parliament – (see tables 3 and 4); table 6 sets out government measures out of scope because they are within the de minimis rule; and
- A summary of all the non-legislative, Non-Qualifying Regulatory Provisions which have come into force or ceased to be in force during the second reporting period of the Parliament (see sub-section entitled “Non-legislative Non-Qualifying Regulatory Provisions” on page 60).

Table 6 Legislative Non-Qualifying Regulatory Provisions of government departments that came into force or ceased to be in force during the second Business Impact Target reporting period of this Parliament and fall within the +/-£5 million de minimis threshold.

Department	Title of measure as in IA	Description of measure provided by department
Department for Business, Energy and Industrial Strategy	Endorsement of the Covid-19-Related Rent Concessions beyond 30 June 2021 (Amendment to IFRS 16) (the Amendment).	This extends the relief to accounting for rent concessions occurring as a direct consequence of the Covid-19 pandemic for lessees.
Department for Business, Energy and Industrial Strategy	Extension of the Primary Authority Scheme to cover relevant enactments made under Part 2A of the Public Health (Control of Disease) Act 1984	The draft SI will update the list of legislation that primary authorities can provide assured advice on to include regulations made under Part 2A of the Public Health (Control of Disease) Act 1984 (the 1984 Act). This means in a future pandemic, advice by primary authorities can formally apply across all branches of a business/group of businesses from the outset of the pandemic, and that businesses cannot be required to follow conflicting advice from different local authorities.
Department for Business, Energy and Industrial Strategy	Product Safety and Metrology etc (Amendment) (EU Exit) Regulations 2021	In 2020 the Government set up the UKCA system, providing for transitional standstill arrangement to continue accepting CE marked products compliant with EU requirements until 1 January 2022 in the UK market. This SI extends the transitional period for CE marked products until 1 January 2023 and labelling easements until 1 January 2024.
Department for Business, Energy and Industrial Strategy	The Climate Change Agreements, CRC Energy Efficiency Scheme and Energy Savings Opportunity Scheme (Amendment) (EU Exit) Regulations 2020	The instrument replaces references to “exit day” with references to “IP completion day” in the Climate Change Agreements (Amendment of Agreements) (EU Exit) Regulations 2018, the CRC Energy Efficiency Scheme (Amendment) (EU Exit) Regulations 2018 and the Energy Savings Opportunity Scheme (Amendment) (EU Exit) Regulations 2018. It amends the Energy Savings Opportunity Scheme (Amendment) (EU Exit) Regulations 2018 to retain the provision in the Energy Savings Opportunity Scheme Regulations 2014 for converting the financial threshold to euros with respect to a qualification date that falls before IP completion day.

Department	Title of measure as in IA	Description of measure provided by department
Department for Business, Energy and Industrial Strategy	The Competition (Amendment etc.) (EU Exit Regulations) 2020	This statutory instrument ('SI') uses powers under the European Union (Withdrawal) Act 2018 to implement provisions in the EU Withdrawal Agreement relating to competition law. The EU Withdrawal Agreement ensures that the European Commission ('Commission') can complete competition investigations that affect UK markets and have not been completed by the end of the transition period. It also provides a mechanism for the responsibility to monitor and enforce remedial actions to be transferred from the Commission to the UK's competition authorities. In order to implement these arrangements, the SI will amend The Competition (Amendment etc.) (EU Exit) Regulations 2019 ('2019 Regulations'), which were made to prepare the domestic competition regime for the possibility of the UK leaving with the EU without an agreement.
Department for Business, Energy and Industrial Strategy	The Competition Act 1998 (Football Broadcasting Rights) (Public Policy Exclusion) Order 2021	The Exclusion Order allows for the Premier League to renew its domestic broadcast contracts for the next three-year period (2022/23 - 2024/25 seasons) without carrying out a tender, on condition that the Premier League maintained its funding commitments to the football pyramid.
Department for Business, Energy and Industrial Strategy	The Copyright and Performances (Application to Other Countries) (Amendment) (EU Exit) Order 2020	This instrument will extend copyright protection to certain EU/EEA and third country works and performances to implement elements of the EU and EEA agreements; and to update our implementation of the WIPO (World Intellectual Property Organization) Performances and Phonograms Treaty (WPPT), to which the UK is already party.
Department for Business, Energy and Industrial Strategy	The Copyright and Performances (Application to Other Countries) (Amendment) (No. 2) Order 2021	This SI seeks to fill the gaps in copyright protection by extending rights to wired broadcasts made by broadcasters based in, or transmitted from, EEA-EFTA states. This will ensure UK legislation is compliant with the UK-EEA-EFTA FTA.

Department	Title of measure as in IA	Description of measure provided by department
Department for Business, Energy and Industrial Strategy	The Cross-border Parcel Delivery Services (Amendment) (EU Exit) Regulations 2020	This SI removes references in domestic legislation (the Postal Services Act 2011) to an EU Regulation 2018/644 that will cease to be in force at the end of the Transition Period. The references that need to be removed were added by a previous SI (2019 No. 1429), which amended domestic legislation to ensure that Ofcom, as the national regulatory authority, could enforce the EU Regulation.
Department for Business, Energy and Industrial Strategy	The Eco-Design for Energy-Related Products and Energy Information (Amendment) Regulations 2021	These Regulations amend various retained EU Regulations on Ecodesign and Energy Labelling that are in force in Great Britain to avoid technical discrepancies with equivalent legislation which is in force in Northern Ireland and the EU. Amendments to the retained EU regulations are required to reflect changes by the European Commission to their equivalent regulations. This will allow product manufacturers to largely follow the same set of standards and compliance procedures in both EU and GB markets.
Department for Business, Energy and Industrial Strategy	The Electricity and Gas (Internal Markets)(No.2) Regulations 2020	This instrument is one of several statutory instruments required to ensure that legislation governing the energy system in Great Britain ('GB') will function effectively at the end of the implementation period ('IP').
Department for Business, Energy and Industrial Strategy	The European Union (Withdrawal Agreement) (EU Exit) (Special Fissile Materials) Regulations 2020	These regulations help implement Article 83(3) in the civil nuclear section of the Withdrawal Agreement Act. This relates to EU Special Fissile Material (EU SFM) - highly enriched uranium and plutonium that is owned by an EU Member State or a person or undertaking based in an EU Member State - that is present in the UK at the end of the Transition Period. It is important to note that the vast majority of SFM in the UK is owned by a UK company, or a company based in a third country outside the EU, and so these regulations are only relevant for a small subsection of total SFM in the UK.
Department for Business, Energy and Industrial Strategy	The Product Safety & Metrology etc. (EU Withdrawal and EEA EFTA Separation Agreements (EU Exit) Regulations 2020	The purpose of this SI is to create domestic legislation to support the operational implementation of the provisions of Part Three Title 1 of the Withdrawal Agreement and of the EEA EFTA Separation Agreement (SA). This SI only applies to goods already placed on the UK or EU/EEA market before the end of the Transition Period (31 December 2020).

Department	Title of measure as in IA	Description of measure provided by department
Department for Business, Energy and Industrial Strategy	The Product Safety and Metrology etc. (Amendment to Extent and Meaning of Market) (EU Exit) Regulations 2020	The Office for Product Safety and Standards (OPSS) needs to make legislation to meet legal obligations mostly under the Withdrawal Agreement and to implement the Northern Ireland Protocol (the Protocol). This will ensure that by Transition Period end, there is an effective product safety and legal metrology framework in place. OPSS are planning a suite of SIs which will: (i) establish an NI framework that allows NI to continue to implement EU product safety and metrology rules;(ii) establish a GB framework that allows unfettered access to NI qualifying goods; and (iii) re-correct 'deficiencies' (where policy has changed) and make other amendments to address separation issues to implement the Withdrawal Agreement.
Department for Business, Energy and Industrial Strategy	The Prohibition on Quantitative Restrictions (EU Exit) Regulations 2020	The purpose of this instrument is to end the application of the rights flowing from the EU Treaty provisions which prohibit the imposition of quantitative restrictions and equivalent measures on imports or exports within the EU after the end of the transition period.
Department for Business, Energy and Industrial Strategy	The Single Digital Gateway Regulation (Revocation)(EU Exit) Regulations 2020	Regulation (EU) 2018/1724 of the European Parliament and of the Council of 2 October 2018 establishing a single digital gateway to provide access to information, to procedures and to assistance and problem-solving services, and amending Regulation (EU) No 1024/2012 ("the SDGR") is a directly applicable EU Regulation. Certain provisions of the SDGR will constitute retained EU law in accordance with section 3 of the European Union (Withdrawal) Act 2018. The purpose of this instrument is to revoke those provisions of the SDGR that will constitute retained EU law on and after 31 December 2020, so that the UK is no longer legally bound by the SDGR once the Transition Period ends.
Department for Business, Energy and Industrial Strategy	The Supplementary Protection Certificates (Amendment) (EU Exit) Regulations 2020	Supplementary protection certificates (SPCs) extend the protection of patented active ingredients present in pharmaceutical or plant protection products. SPCs are granted when a patent holder is delayed from using their patent (bringing a product to market) until a marketing authorisation (MA) is granted from the relevant regulatory authority. The proposed policy change is for an SPC to be granted on the basis of whichever of GB/UK/NI authorisations the applicant has at the point of application. If the SPC enters into force with an MA covering only one of GB or NI, it is only enforceable in that territory. Up until the SPC comes into force, an applicant can submit an additional MA, ensuring SPC enforceability across the whole UK.

Department	Title of measure as in IA	Description of measure provided by department
Department for Business, Energy and Industrial Strategy	The Trade Marks and International Trade Marks (Amendments) (EU Exit) Regulations	At the end of the transition period a comparable UKTM was created for every EUTM that existed at the end of the transition period since EUTMs no longer have any effect in the UK. To prevent EUTM owners from suddenly no longer having coverage for their trademark in the UK, all EUTM owners were given a UKTM covering the same trademark. The EUIPO, however, no longer allows any UKTM-based challenges against EUTMs. The law will be changed so that a counter challenge can instead be made against the relevant comparable UKTM. If the UK applicant successfully challenges the comparable UKTM, this will prevent the relevant EUTM from being used against the UKTM/application. This will restore the ability to counter challenge and remove unfairness.
Department for Business, Energy and Industrial Strategy	The Transfrontier Shipment of Radioactive Waste and Spent Fuel (EU Exit) (Amendment) Regulations 2020	The Transfrontier Shipment of Radioactive Waste and Spent Fuel (EU Exit) Regulations 2019 have already been made, to provide a system of authorisation and notification, which enables supervision and control of radioactive waste and spent fuel shipments in the UK after the end of the transition period. However, the Northern Ireland Protocol states that the relevant EU Directive (2006/117/Euratom) shall continue to apply to Northern Ireland (NI) from the end of the transition period. This SI amends the 2019 Regulations to ensure compliance, by applying the Directive's requirements for intra-community shipments between NI and Euratom States. The measure does not introduce any new regulatory requirements for shipments between NI and the rest of the UK.
Department for Digital, Culture, Media and Sport	Amend Public Lending Right Scheme	This is an amendment to the public lending right scheme to include remote lending from public libraries in Northern Ireland.
Department for Digital, Culture, Media and Sport	Bill to extend the period of protection for works of art on loan from abroad (Immunity from Seizure) DMA	This policy change addresses a flaw in the current process of the protection for works of art on loan from abroad that has been highlighted due to the pandemic.
Department for Digital, Culture, Media and Sport	Birmingham Commonwealth Games: advertising and trading regulations	Brings forward regulations to ensure successful delivery of Commonwealth games.

Department	Title of measure as in IA	Description of measure provided by department
Department for Digital, Culture, Media and Sport	Charity Bill	Sets out technical legal issues which have important practical consequences for charities.
Department for Digital, Culture, Media and Sport	Electronic Communications Code DMA	Brings reforms to the Electronic Communications Code.
Department for Digital, Culture, Media and Sport	Increasing the minimum age of sale for National Lottery games to 18	Increases the age limit to buy National Lottery products to 18.
Department for Digital, Culture, Media and Sport	Introducing an approved sales mechanism for the retail of National Lottery products	Implements an approved sales system for the retail of National Lottery products.
Department for Digital, Culture, Media and Sport	New Build Developments: Delivering gigabit-capable broadband connections	Enables the delivery of gigabit-capable broadband connections to new build developments.
Department for Digital, Culture, Media and Sport	Powers for digital identity and attributes initiatives	Strengthens and simplifies the process of identity proofing methods via digital identities.
Department for Digital, Culture, Media and Sport	Television Multiplex Services - Renewal of Multiplex Licences Order	Ensures the renewal of the multiplex licences order.
Department for Digital, Culture, Media and Sport	The Network and Information Systems (Amendment and transitional provision etc) Regulations 2020	This is an amendment and transitional provision to the Network and Information Systems Regulations 2020.

Department	Title of measure as in IA	Description of measure provided by department
Department for Education	EYFS Statutory Framework 2021	Amending Early Learning Goals that children are assessed against at the end of reception year to determine school readiness, to bring them into line with the latest evidence of child development, to strengthen communication and language, literacy and numeracy and to make all 17 ELGs more specific and easier for teacher to interpret.
Department for Education	Keeping Children Safe in Education 2021 (Statutory Guidance)	Updated to reflect the changes brought in by The Electronic Commerce Directive (Education, Adoption and Children) (Amendment etc.) Regulations 2021
Department for Education	The Childcare (Childminder Agencies) (Registration, Inspection and Supply and Disclosure of Information) and Her Majesty's Chief Inspector of Education, Children's Services and Skills (Fees and Frequency of Inspections) (Children's Homes etc.) (Coronavirus) (Amendment) Regulations 2021	Reduces (from two to one) the legally required "minimum" number of quality assurance visits they are required to carry out in the first year of a new early years providers' registration.
Department for Education	The Early Years Foundation Stage (Learning and Development Requirements) (Coronavirus) (Amendment) Order 2021	Specifying oral health as adjunct to the requirement to promote the good health of children in the safeguarding and welfare requirements.

Department	Title of measure as in IA	Description of measure provided by department
Department for Education	The Electronic Commerce Directive (Education, Adoption and Children) (Amendment etc.) Regulations 2021	Amends Schedule 11B of the EA 2002 and the Electronic Commerce Directive (Adoption and Children Act 2002) Regulations 2005 ("the 2005 Regulations"), which makes provision as to where the criminal offence of publishing a) information that identifies a teacher who is the subject of a misconduct allegation against a registered pupil at a school is deemed to be committed and b) advertisements relating to the adoption of a child, respectively.
Department for Environment, Food and Rural Affairs	Countryside Stewardship (Amendment) Regulations 2021	This measure implements changes to the Countryside Stewardship grant scheme, including introducing new activities that are eligible for funding.
Department for Environment, Food and Rural Affairs	FLEGT Licensing Scheme (Amendment) Regulations 2021	This measure lists Indonesia as a 'Partner Country' for the purpose of the Great Britain ("GB") Forest Law Enforcement, Governance and Trade ("FLEGT") licensing scheme, enabling the continued supply of legally harvested timber and timber products into the UK from Indonesia, after the end of the Implementation Period.
Department for Environment, Food and Rural Affairs	Food (Amendment) (England) Regulations 2021	The amendments proposed in this secondary legislation are required mainly as a result of the UK's exit from the European Union (EU), while limited additional provisions are included to support businesses in adjusting to the changes.
Department for Environment, Food and Rural Affairs	Interim Licencing Regime for the Release of Gamebirds on or within a 500m buffer zone of European Protected Sites.	The issue being addressed is the regulation of the release of non-native gamebirds on or near European sites in England.
Department for Environment, Food and Rural Affairs	Sea Fisheries (Amendment etc) Regulations 2021	This instrument revokes retained EU legislation relevant to technical measures in the Celtic Sea, which currently apply within the English and Welsh zones of British fishery limits. The purpose of this change is to enable improved measures, to be brought in through appropriate application of domestic and foreign vessel licence conditions

Department	Title of measure as in IA	Description of measure provided by department
Department for Environment, Food and Rural Affairs	The Agriculture (Financial Assistance) Regulations 2021	This applies to the award of financial assistance under four financial assistance schemes. The measure makes provision for: Checking eligibility criteria are met, Enforcing compliance, Monitoring the extent to which the purpose of financial assistance has been achieved, the investigation of breaches and suspected offences in connection with applications for, or the receipt of, financial assistance and Publication of certain information, including the recipient and amount of the financial assistance, as well as the purpose for which it was given.
Department for Environment, Food and Rural Affairs	The Agricultural Holdings (Requests for Landlord's Consent or Variation of Terms and The Suitability Test (England) Regulations 2021	Regulations establish a new dispute resolution process relating to a tenant's request for landlord's consent to an activity that is restricted by the terms of their tenancy agreement, or to a variation of the terms. Regulations that establish updated suitability test criteria when determining whether an applicant tenant is a suitable person to succeed to a 1986 Act tenancy agreement following the death or retirement of the tenant.
Department for Environment, Food and Rural Affairs	The Agricultural Holdings (Units of Production) (England) Order 2021	The Agricultural Holdings (Units of Production) Order 2021 sets out values for the net annual income that can be expected from prescribed units of production for the purpose of providing these statements. The UPO 2021 replaces and updates the values for direct payments from the previous order.
Department for Environment, Food and Rural Affairs	The Animal Health, Plant Health, Seeds and Seed Potatoes (Miscellaneous Amendments) Regulations 2021	The purpose of this instrument is to address failures of retained EU law to operate effectively following the withdrawal of the United Kingdom from the European Union. This will ensure that plant and animal health controls can operate effectively to protect biosecurity and support trade between Great Britain and the relevant third countries.
Department for Environment, Food and Rural Affairs	The Approved Country Lists (Animals and Animal Products) (Amendment) Regulations 2021	Corrects deficiencies that are present in European Union law and which were retained through the European Union (Withdrawal) Act 2018. The amendments make provision for Iceland to export animal products to Great Britain and ensure that trade from Iceland can continue with minimal disruption.

Department	Title of measure as in IA	Description of measure provided by department
Department for Environment, Food and Rural Affairs	The Avian Influenza (H5N1 in Wild Birds) (England) (Amendment) (No. 2) Order 2021	This Order, which applies in England only, amends the Avian Influenza (H5N1 in Wild Birds) (England) Order 2006 (S.I. 2006/3249) ("the principal Order") to correct a defect in the Avian Influenza (H5N1 in Wild Birds) (England) (Amendment) Order 2021 (S.I. 2021/1305).
Department for Environment, Food and Rural Affairs	The Avian Influenza (H5N1 in Wild Birds) (England) (Amendment) Order 2021	This Order, which applies in England only, amends the Avian Influenza (H5N1 in Wild Birds) (England) Order 2006 (S.I. 2006/3249) ("the principal Order"). It replaces the obligation on the Secretary of State to declare a wild bird control area or a wild bird monitoring area, or both, in certain circumstances with a discretion to do so (article 5).
Department for Environment, Food and Rural Affairs	The Bee Diseases and Pests Control (Amendment) Order 2021	Amends the Bee Diseases and Pests Control (England) Order 2006 to require the notification of Varroa as this is covered by the EU Animal Health Regulation and not currently subject to any notification requirements in England.
Department for Environment, Food and Rural Affairs	The Common Organisation of the Markets in Agricultural Products (Fruit and Vegetable Producer Organisations, Tariff Quotas and Wine) (Amendment etc.) Regulations 2021	The instrument makes a number of corrections and corrects or removes redundant provisions relating to EU law, changes the identity of the bodies carrying out the specified functions and converts EU procedures to UK procedures, as appropriate.
Department for Environment, Food and Rural Affairs	The Common Organisation of the Markets in Agricultural Products (Transitional Arrangements) (Amendment) Regulations 2021	This instrument will amend retained European Union ("EU") and domestic legislation in accordance with the European Union (Withdrawal) Act 2018 (as amended by the European Union (Withdrawal Agreement) Act 2020).

Department	Title of measure as in IA	Description of measure provided by department
Department for Environment, Food and Rural Affairs	The Direct Payments to Farmers (Reductions and Simplifications) (England) (Amendment) Regulations 2021	Sets the reductions which will be applied to Direct Payments made to farmers in England for the 2021 claim year. It also makes changes to reflect the fact that Direct Payments to farmers in England will be calculated in sterling from the 2021 claim year. Changes the rules for the recovery of overpayments and payment entitlements.
Department for Environment, Food and Rural Affairs	The Fisheries Act 2020 (Scheme for Financial Assistance) (England) Regulations 2021	This instrument establishes a scheme for financial assistance in relation to England for the purposes specified in section 33(1) of the Fisheries Act 2020.
Department for Environment, Food and Rural Affairs	The Food and Drink (Miscellaneous Amendments Relating to Food and Wine Composition, Information and Labelling) Regulations 2021	This measure provides for changes concerning food information to consumers, to address deficiencies in retained EU law and provides for enforcement arrangements on labelling of products can be used following the UK's departure from the EU.
Department for Environment, Food and Rural Affairs	The Heather and Grass etc. Burning (England) Regulations 2021	This instrument bans the burning, without a licence, of specified vegetation on peat over 40 centimetres in depth in a Site of Special Scientific Interest that is also a Special Area of Conservation. The purpose is to prevent further damage by burning to protected blanket bog habitat.
Department for Environment, Food and Rural Affairs	The International Waste Shipments (Amendment of Regulation (EC) No 1013/2006 and No 1418/2007) Regulations 2021	This instrument amends the Annex to Commission Regulation (EC) No 1418/2007 ("Regulation (EC) No 1418/2007") concerning the export for recovery of certain waste listed in Annex III or IIIA to Regulation (EC) No 1013/2006 of the European Parliament and of the Council ("Regulation (EC) No 1013/2006") to certain countries to which the OECD Decision on the control of transboundary movements of wastes does not apply. It also amends Annex 7 of Regulation (EC) No 1013/2006.

Department	Title of measure as in IA	Description of measure provided by department
Department for Environment, Food and Rural Affairs	The Meat Preparations (Amendment) Regulations 2021	This makes an amendment to the Meat Preparations Regulations 2020 to extend the temporary removal of the requirement for meat preparations imported from the European Economic Area ("EEA") into England to be deep frozen to a temperature of -18 °C until 31st December 2021.
Department for Environment, Food and Rural Affairs	The Meat Preparations (EU Exit) Regulations 2020	This makes an amendment to clarify that the restrictions on 'importation' of meat preparations into England apply only to imports from third countries. It will also temporarily remove the requirement for meat preparations imported from the European Economic Area ("EEA") into England between 1st Jan-31st March 2021 to be deep frozen to a temperature of minus 18 degrees. The temporary removal of this requirement is intended to allow businesses time to prepare for new import requirements applying to meat preparations imported from the EEA.
Department for Environment, Food and Rural Affairs	The Official Controls (Exemptions from Controls at Border Control Posts) (Amendment) Regulations 2021	Corrects deficiencies in EU retained regulations. In particular, it provides the appropriate regulators in Great Britain the competence to obtain necessary information from undertakings in order to identify the relevant beneficial owner(s) for quota allocation; and it implements revisions to the reporting format, aspects of which are required under the Montreal Protocol.
Department for Environment, Food and Rural Affairs	The Official Controls (Extension of Transitional Periods) (England and Wales) (Amendment) Regulations 2021	The purpose of this instrument is to protect biosecurity and support trade by ensuring that within Great Britain, and between Great Britain and the 'territory subject to special transitional import arrangements' as defined in Annex 6 to Regulation (EU) 2017/625 of the European Parliament and of the Council on official controls and other official activities performed to ensure the application of food and feed law, rules on animal health and welfare, plant health and plant protection products ("the Official Controls Regulation"), effective official border controls continue to operate following the end of the Transition Period.
Department for Environment, Food and Rural Affairs	The Official Controls (Extension of Transitional Periods) Regulations 2021	This instrument will ensure that the phased introduction timetable of import border controls measures can be fully met, during a time in which import and export businesses and control facilities continue to be adversely affected by the unexpectedly protracted impacts of the coronavirus pandemic.

Department	Title of measure as in IA	Description of measure provided by department
Department for Environment, Food and Rural Affairs	The Official Controls (Temporary Measures) (Coronavirus) (Amendment) (No. 2) Regulations 2021	This instrument will extend legislation which allows competent authorities in Great Britain ("GB") to adopt new, and maintain existing, temporary measures related to official controls conducted to ensure the application of food and feed law, rules on animal health and welfare, plant health and plant protection products while addressing disruptions arising from the Covid-19 ("coronavirus") pandemic.
Department for Environment, Food and Rural Affairs	The Official Controls and Phytosanitary Conditions (Amendment) Regulations 2021	Corrects the 2021 Regulations to ensure that the import of high risk Xylella host plants are suitably controlled and therefore enhance the level of protection against the risk of Xylella being introduced into GB in accordance with the original policy objective
Department for Environment, Food and Rural Affairs	The Organic Control (Amendment) Regulations 2021	Amends retained Regulation (EU) to remove references to 'Member States' and to extend the end date of the current easements relating to physical inspections and sampling for verifying the integrity of organics products; the EU is also expected to further extend these easements.
Department for Environment, Food and Rural Affairs	The Organic Production (Amendment) (EU Exit) Regulations 2020	Organic food and feed must be inspected and certified within the scope of a regulated framework. These standards apply to the production of food, animal feed, livestock (including bees and farmed fish) and any food products marketed as 'organic', stipulating that organic food must originate from businesses registered and approved by organic control bodies on the basis of a rigorous annual inspection. This instrument corrects deficiencies in these regulations in regard to labelling in retained EU legislation.
Department for Environment, Food and Rural Affairs	The Phytosanitary Conditions (Amendment) (No. 2) Regulations 2021	The purpose of this instrument is to protect biosecurity and support trade between Great Britain ("GB") and relevant third countries by introducing further protective measures for at-risk plant goods. This instrument amends the Regulation (EU) 2019/2072 ("the Phytosanitary Conditions Regulation").
Department for Environment, Food and Rural Affairs	The Phytosanitary Conditions (Amendment) Regulations 2021	The purpose of this instrument is to protect biosecurity and support trade between Great Britain ("GB") and the relevant third countries by introducing further protective measures for high-risk plant goods.

Department	Title of measure as in IA	Description of measure provided by department
Department for Environment, Food and Rural Affairs	The Plant Health etc (Fees) (England) (Amendment) Regulations 2021	This amends the Plant Health etc. (Fees) (England) Regulations 2018. It provides for fees to be charged for plant health checks on commodities imported into England from EU member States, Switzerland, and Liechtenstein.
Department for Environment, Food and Rural Affairs	The Plant Health (Fees) (Forestry) (England) (Amendment) Regulations 2021	This instrument makes amendments to the Plant Health (Fees) (Forestry) (England and Scotland) Regulations 2015 (S.I. 2015/350) ("the 2015 Regulations") to provide for inflationary increases in the fees for services in relation to plant passport authorities and applications for phytosanitary certificates (including phytosanitary certificates for re-export).
Department for Environment, Food and Rural Affairs	The Products Containing Meat etc. (England) (Amendment) Regulations 2021	These Regulations make amendments to the Products Containing Meat Regulations 2014 to remove expiry date, review clause and provisions that are no longer in force. It also amends Food regulations 2021 to extend the transitional period during which the requirements of the Products Containing Meat etc. (England) Regulations 2014 do not apply to certain imported meat products.
Department for Environment, Food and Rural Affairs	The REACH etc. (Amendment) Regulations 2021	This instrument amends the UK REACH Regulation and related legislation that also forms part of retained EU law. It corrects deficiencies to ensure that the legislation operates effectively in the domestic context. It also makes some related minor amendments to ensure consistency in respect of references to medical devices.
Department for Environment, Food and Rural Affairs	The Restriction of the Use of Certain Hazardous Substances in Electrical and Electronic Equipment (Amendment) Regulations 2021	This measure adds four phthalates to the list of restricted substances for medical devices and monitoring and control instrument, in electrical and electronic equipment, as they can have a negative impact on effective recycling, human health, and the environment during waste operations.

Department	Title of measure as in IA	Description of measure provided by department
Department for Environment, Food and Rural Affairs	The Trade in Endangered Species of Wild Fauna and Flora (Amendment) Regulations 2020	Following the end of the Transition Period, some individuals or traders may not be aware of the need to use a designated point of entry/exit (PoE) for CITES specimens. Defra is therefore making provision for the use of non-designated PoE in respect of import or (re-)export to or from Great Britain by importers/(re-)exporters of CITES specimens to be authorised on one occasion.
Department for Environment, Food and Rural Affairs	The Trade in Endangered Species of Wild Fauna and Flora (Amendment) Regulations 2021	This is an update to the species list on Annex C following submissions by Ukraine and Seychelles to include species on Appendix III of CITES. This will enable the UK CITES Management Authority to issue the necessary CITES documents once the global CITES listing takes effect on 22 June 2021.
Department for Environment, Food and Rural Affairs	The Tuberculosis in Animals (England) Order 2021	This Order brings together the tuberculosis control regimes applicable to bovine animals, goats, sheep, pigs, camelids, and deer.
Department for Environment, Food and Rural Affairs	The Water and Sewerage Undertakers (Exit from Non-household Retail Market) (Consequential Provision) Regulations 2021	The purpose of this instrument is to amend the Water Industry Act 1991 to re-apply provisions to water and sewerage undertakers (“undertakers”) operating in retail exit areas wholly or mainly in England, which were disapplied by the Water and Sewerage Undertakers (Exit from Non-household Retail Market) Regulations 2016.
Department for Levelling Up, Housing and Communities	The Conformity Assessment (Mutual Recognition Agreements) (Construction Products) (Amendment) Regulations 2021	Ensures that the UK recognises and accepts conformity assessment procedures and results issued by Canadian conformity assessment bodies, with regards to construction products placed on the market in Great Britain.

Department	Title of measure as in IA	Description of measure provided by department
Department for Levelling Up, Housing and Communities	The Mobile Homes (Requirement for Manager of Site to be Fit and Proper Person) (England) (Amendment) Regulations 2021	To strengthen the power of local authorities to effectively regulate the park homes sector through the introduction of a fit and proper person test for those running park home sites. The intended effect is to improve standards of conduct in the sector so that unscrupulous site owners are no longer able to exploit residents and will have to improve or leave the sector. This will ensure that residents, many of whom are older or vulnerable, are properly protected and the playing field is levelled for compliant site owners.
Department for Levelling Up, Housing and Communities	The Town and Country Planning (Control of Advertisements) (England) (Amendment) Regulations 2021	Minor amendments to the provisions related to the display of flags, where two flags are flown from the same flagpole are now allowed without the need for express consent. The amendments will allow the Union Flag to be flown in a superior position in conjunction with, for instance, a national flag on a national saints' day or the Pride flag or the National Health Service flag.
Department for Levelling Up, Housing and Communities	The Town and Country Planning (General Permitted Development etc.) (England) (Amendment) (No. 2) Order 2021	Makes changes to a number of individual rights which are consequential to the amendments to the Use Classes Order. It includes for example, 11 minor technical changes to update the use class which have no impact on the scope of development rights and therefore no costs or benefits, for example changing the reference from A1 shops to E (a). Small savings in time and fees will be achieved by owners not having to go through full planning permission.
Department for Levelling Up, Housing and Communities	The Town and Country Planning (General Permitted Development) (England) (Amendment) Regulations 2020	Requires homes delivered through a permitted development right to comply with nationally described space standards as for new build.
Department for Levelling Up, Housing and Communities	The Town and Country Planning (Pre-application Consultation) Order 2020	Extends the requirement for applicants to consult with local communities before submitting an application for wind turbine development by 5 years. Local communities have the opportunity to comment on any proposals before the formal submission of an application. The current powers are being extended to enable the Secretary of State to make regulations requiring compulsory consultation with the local community for other forms of development before a planning application is submitted, if required.

Department	Title of measure as in IA	Description of measure provided by department
Department for Levelling Up, Housing and Communities	The Town and Country Planning (Development Management Procedure and Section 62A Applications) (England) (Amendment) Order 2021	The purpose of the changes being introduced is to bring forward thinking on fire safety matters as they relate to land use planning to an earlier stage in the development process. Fire safety issues which impact on planning, including emergency fire vehicle access to a building and whether there are adequate water supplies in the event of a fire, should be considered before planning permission is granted. To aid the local planning authority in their decision as to whether to grant planning permission, the developer would be required to submit with their planning application a fire statement setting out fire safety considerations specific to the development with the Health and Safety Executive becoming a statutory consultee for this purpose.
Department for Transport	Air Navigation Order (ANO) for CORSIA Monitoring, Reporting and Verification (MRV)	The purpose of this legislation is to implement CORSIA MRV provisions into UK law and to ensure that UK aeroplane operators comply with them. It will also provide a legislative vehicle that can be used to implement the rest of the CORSIA scheme once the Government has completed its review into how the scheme should interact with the UK's future carbon pricing policy.
Department for Transport	Aviation Safety (Amendment)(No 2) Regulations DMA	The instrument uses powers in the European Union (Withdrawal) Act 2018 ("the Withdrawal Act") to correct deficiencies in EU-derived aviation safety legislation arising as a result of the withdrawal of the United Kingdom from the European Union ("EU"). This will ensure that the legal framework on aviation safety continues to function correctly in UK law. The instrument also makes technical amendments to retained legislation (Commission Regulation (EU) No 1178/2011 ("Regulation 1178/2011")), to make changes to the licensing requirements for motorised glider aircraft, and aircraft with a single piston engine.
Department for Transport	Cleaner Road Transport Vehicle Regulations 2011 (Amendment) (EU Exit) Regulations 2019	The Regulations correct deficiencies in EU-derived legislation that regulates the public procurement of cleaner vehicles arising as a result of the withdrawal of the United Kingdom ("UK") from the European Union ("EU"). This will ensure that the legal framework that regulates relevant public procurement of cleaner vehicles continues to function correctly after exit day.

Department	Title of measure as in IA	Description of measure provided by department
Department for Transport	Enforcing the Development of Airspace Change Proposals	The policy aims to ensure that quality Airspace Change Proposals (ACPs) will be prepared and submitted in a coordinated and timely manner to deliver the benefits of national modernisation where airspace change sponsors are unwilling or unable to take these ACPs forward voluntarily. Legislative actions would only be used when sponsors did not voluntarily prepare and submit ACPs that have been identified in the masterplan to completion. This would provide greater reassurance to airports, airlines, consumers and communities that a masterplan of appropriate airspace changes can be delivered.
Department for Transport	Extending GB CO2 Regulation to Northern Ireland	The objective of this policy is to regulate CO2 emissions from newly registered cars and vans in NI in a manner that minimises the risk of high emitting vehicles being deployed in NI, while also providing certainty to industry. The best way to achieve this is lay an SI which extends the current GB only cars and vans CO2 regulation to NI, in effect forming a UK wide policy.
Department for Transport	Goods Vehicle Operator Licensing (EU Exit) Regulations	The purpose of this instrument is to exempt non-UK goods vehicle operators from the requirement to hold an operator licence when their vehicles are being used for the purposes of cabotage permissible temporarily within Great Britain.
Department for Transport	Heavy Duty Vehicles (Emissions and Fuel Consumption) (Amendment) (EU Exit) Regulations 2019	The Regulation corrects deficiencies in the European Union (EU) Regulation setting CO2 Emission Performance Standards for new Heavy Duty Vehicles (HDVs) (EU 2019/1242). The EU Regulation was adopted on 20 June 2019 and published in the OJEU on 25 July 2019. It establishes mandatory CO2 emission performance targets for new HDVs vehicles sold across the European market. These targets are placed upon vehicle manufacturers who introduce those HDVs into the EU single market. The Heavy Duty Vehicles (Emissions and Fuel Consumption) (Amendment) (EU Exit) Regulations 2019 correct deficiencies in 2019/1242 that arise as a result of the withdrawal of the United Kingdom (UK) from the EU to ensure that the Regulation continues to function correctly in a UK only context after Exit Day.

Department	Title of measure as in IA	Description of measure provided by department
Department for Transport	International Road Haulage (EU Exit) Regulations	This instrument remedies deficiencies in retained EU law and makes consequential amendments to related domestic legislation arising from the withdrawal of the UK from the EU. In particular, this instrument reflects the fact that the UK will not be able to issue 'Community licences' after it has left the EU by providing for broadly equivalent and adaptable arrangements for hauliers operating between the UK and Member States after Exit Day.
Department for Transport	NI Protocol - Vehicle Type Approval SI 2020/1393	This measure amends the EU Exit SI to disapply it in Northern Ireland, permit NI manufacturers unfettered access to the GB market and remove the 4m height limit for vehicles type approved under the GB type approval scheme. This ensures that the UK's obligations under the NI Protocol are met, NI manufacturers have no additional burden when selling in GB, and that manufacturers who produce vehicles over 4m in height will benefit from a reduction in administrative burden.
Department for Transport	Pilotage and Port Services (Amendment etc.) (EU Exit) Regulation 2019	This instrument is designed to ensure that the existing regulatory framework for maritime port services and the regulatory safety measures for merchant shipping pilotage remain operable in UK law when the United Kingdom withdraws from the European Union. Also, using powers in section 2(2) of the European Communities Act 1972, the instrument updates references to 'EEA' State which were already out of date before the EU Referendum in 2016.
Department for Transport	Regulation (EC) 1371/2007 on Rail Passengers' Rights and Obligations	The Regulation establishes minimum standards for train operators, and other industry players such as station managers, infrastructure managers and ticket vendors, aimed at protecting rail passengers and thereby improving the quality and use of rail passenger services in the EU. Its provisions cover a range of subjects, including accessibility and information for disabled people, assistance and compensation for disruption and delays, ticketing, service quality standards and insurance obligations.
Department for Transport	Review of The Highway Code – Smart Motorways	This measure amends The Highway Code to describe all key features of smart motorways and address opportunities to improve guidance with respect to other similar high-speed roads; address other factors that are currently contributing to collisions on the high-speed road network; and provide up-to-date breakdown advice.

Department	Title of measure as in IA	Description of measure provided by department
Department for Transport	Road Tunnel Safety (Amendment) Regulations 2021	This statutory instrument is being made using powers in the European Union (Withdrawal) Act 2018 (“the Withdrawal Act”) in order to address deficiencies in retained EU law with regard to long road tunnels. It makes amendments to the Road Tunnel Safety Regulations 2007 (SI 2007/1520) (“2007 Regulations”) as amended by the Road Tunnel Safety (Amendment) Regulations 2009 (SI 2009/64), which transpose into UK law Directive No. 2004/54/EC (“the Directive”). The amendments arise from the withdrawal of the United Kingdom from the European Union (the “EU”).
Department for Transport	The Air Navigation (Amendment) Order 2020	Changes are required to the Air Navigation Order 2016 (ANO 2016) so that provisions in the ANO 2016 that relate to unmanned aircraft (UA), including small, unmanned aircraft (SUA), are aligned with requirements in the European Commission’s Implementing Regulation (IR) 2019/947 on the rules and procedures for the operation of unmanned aircraft (the IR). This is necessary to ensure that there is no conflict between the ANO 2016 and the IR, and that there is no duplication of provisions. Offences also need to be created in relation to the requirements of the IR to ensure that they can be enforced. Not doing so would create unacceptable safety and security risks.
Department for Transport	The Air Traffic Management (Amendment etc) (EU Exit) (No. 3) Regulations 2020	The Air Traffic Management (Amendment etc.) (EU Exit) (No. 3) Regulations 2020 are required because the European Union (EU) has adopted a new regulation in the intervening period since the Air Traffic Management (Amendment etc.) (EU Exit) (No. 2) Regulations 2020 were made. Amendments are needed to ensure the retained EU legislation is legally operable in the UK at the end of transition period. This Statutory Instrument (SI) will ensure the continuity of a functioning regulatory framework for the UK Air Traffic Management (ATM) system at the end of the transition period. They are also required to amend the Air Traffic Management (Amendment etc.) (EU Exit) Regulations 2019 (the 2019 Regulations) to remove the requirement for manufacturers or their authorised representatives to be established in the UK for making declarations of conformity or suitability for use of the components of their ATM systems. Amendments fall into three groups: Performance and charging; Performance-Based Navigation; and Conformity of components.

Department	Title of measure as in IA	Description of measure provided by department
Department for Transport	The Air Traffic Management (Revocation) (EU Exit) Regulations 2019	The Air Traffic Management (Revocation) (EU EXIT) Regulations 2019 is required because the EU has adopted new regulations in the intervening period since the Air Traffic Management (Amendment etc.) (EU Exit) Regulations 2019 (“the ATM EU Exit Regulations”) were laid. This SI will ensure the continuity of a functioning regulatory framework for the ATM system after the UK leaves the EU.
Department for Transport	The Air Traffic Management and Unmanned Aircraft Act 2021	Use the Air Traffic Management and Unmanned Aircraft Bill to enhance the powers of the police so that they can effectively intervene and respond to Unmanned Aircraft Systems (UAS) misuse incidents and investigate those who are suspected of misusing them. Additionally, grant stop and search powers to the police to improve their ability to deter and respond to contraventions of article 94A of the Air Navigation Order 2016 (ANO 2016). In addition, the Air Traffic Management and Unmanned Aircraft Bill will be used to grant stop and search powers to the police to improve their ability to respond to a wider range of UAS offences, including the use of UAS to convey items into prisons.
Department for Transport	The Aviation Noise (Amendments) (EU Exit) Regulations 2019	The measure amends the relevant EU noise regulation and ensures that the relevant UK bodies take over from their EU counterparts. It also seeks to amend existing UK noise legislation so that it no longer refers to EU bodies. The aim of the Balanced Approach is to ensure that noise management at airports is cost-effective and that operating restrictions are only used after consideration of other noise mitigation measures to address the noise problem.
Department for Transport	The Aviation Safety (Amendment etc) (EU Exit) (No 2) Regulations 2019	The SI covers the requirement to make a declaration over Commercial Air Transportation - Balloons & Sailplanes. It corrects the deficiencies arising from EU Exit contained in the new free-standing regulations on balloons and sailplanes. It ensures that the law would function effectively after the UK leaves the EU by assigning the responsibilities of EASA to the CAA and replacing EU terminology where it is not appropriate. The impact of not having this SI in place by exit day is that CAA would have no authority to regulate balloons and sailplanes operating in the UK, as they would have no legal basis to do so.

Department	Title of measure as in IA	Description of measure provided by department
Department for Transport	The Aviation Safety (Amendment) Regulations 2021	This instrument amends five retained EU Regulations, to make provision in relation to the rules of the air for aircraft flying using visual flight rules (VFR) in Class D, F and G airspace, remove minimum age requirements for remote pilots of unmanned aircraft, and permit the use of a medical self-declaration to operate UK-registered Part-21 light aircraft in the UK.
Department for Transport	The Carriage and Use of Transportable Pressure Equipment (Amendment) (EU Exit) Regulations 2019	This measure is to maintain recognition of pi-marked Transportable Pressure Equipment (TPE) in the UK to maintain standards but introduce the optional use of a UK marking which is equivalent to that of the pi marking. This ensures UK Appointed Bodies will have the authority to certify and inspect TPE to existing standards for TPE circulating within the UK.
Department for Transport	The Harbour and Highways (Environmental Impact Assessment) (Amendment) (EU Exit) Regulations 2020	This instrument is to ensure current European Union law governing the UK's environmental protection provisions for carrying out impact assessments for harbours and highways will remain legally operable when the United Kingdom withdraws from the European Union (EU). The effect of the amendments made by this instrument is to ensure that the status quo continues to operate by removing references to the EU and Member States which will be inoperable when the United Kingdom leaves the European Union. It will also ensure functions required under the current law by the European Commission can now be undertaken by the Secretary of State, and that any redundant requirements are extinguished.
Department for Transport	The Heavy Commercial Vehicles in Kent (No.1, No.2 and No.3) Amendment Orders 2021	This measure involves extending the legislation that gives traffic officers powers to direct Heavy Commercial Vehicles (HCV) traffic via designated routes during border-related traffic disruption. It will allow for continued use of a contraflow system on the M20 to allow traffic to move in both directions while HCVs queue.
Department for Transport	The M27 Motorway (Junctions 4 to 11) (Variable Speed Limits) Regulations 2021	These Regulations enable the operation of variable mandatory speed limits on the M27 motorway between junctions 4 and 11.

Department	Title of measure as in IA	Description of measure provided by department
Department for Transport	The M271 Motorway (Junction 1 to Redbridge Roundabout) (Fixed Speed Limits) Regulations 2021	These Regulations introduce 40 mph and 50 mph speed limits on the M271 motorway southbound between junction 1 and the Redbridge Roundabout.
Department for Transport	The M6 Motorway (Junction 19) (40 Miles Per Hour Speed Limit) Regulations 2021	To replace, for safety reasons, variable speed limits with a fixed 40mph speed limit on the off-slip roads at junction 19 of the M6 motorway as they approach the interchange.
Department for Transport	The M6 Motorway (Junctions 13 to 15) (Variable Speed Limits) Regulations 2021	These Regulations enable the operation of variable mandatory speed limits on the M6 motorway between junctions 13 and 15.
Department for Transport	The Merchant Shipping (Consequential Amendments) Regulations 2020	This SI substitutes “IP completion day” for references to “exit day” in eight maritime EU Exit Regulations. The SIs were drafted to allow for the possibility that the UK might leave the EU on exit day without a deal. In the event, the UK left the EU on 31 January 2020 with a ratified Withdrawal Agreement which triggered the implementation period (IP) which expires on 31 December 2020. The European Union (Withdrawal Agreement) Act 2020 only amended the coming into force dates of the eight SIs meaning that this consequential amendments SI was required to amend references to exit day elsewhere in the SIs.
Department for Transport	The Merchant Shipping (Prevention of Air Pollution from Ships) (Amendment) Regulations 2020	This instrument implements changes that have been made to the International Convention for the Prevention of Pollution from Ships 1973 (“MARPOL”) which are designed to control sulphur oxide (“SOx”) and nitrogen oxide (“NOx”) emissions from ships. These changes limit the amount of sulphur in marine fuels that are used, or intended for use, by ships to 0.5% (by mass) or less. They also require that new ships and new engines be certified to meet the latest NOx emission standards – both globally and when ships operate inside waters which have been designated as an ‘emission control area’ (“ECA”) by the International Maritime Organization (“IMO”).

Department	Title of measure as in IA	Description of measure provided by department
Department for Transport	The Motor Vehicles (International Motor Insurance Card) (Amendment) Regulations 2021 DMA	This instrument amends the Motor Vehicles (International Motor Insurance Card) Regulations 1971 (“the 1971 Regulations”), to prescribe a new format of international motor insurance card, otherwise known as the Green Card. The new format will show motor insurance cover for the United Kingdom in a separate box from cover for EU member states. The change applies in relation to Green Cards carried by motorists visiting Great Britain, and is made to bring Great Britain’s legislation in line with the Green Card formatting requirements set out by the Council of Bureaux (1), the organisation that oversees the Green Card system. This instrument also allows for the existing prescribed format for international motor insurance cards to continue to be valid until 31st December 2022 as per the Council of Bureaux’s internal provisions, which allow for a period of transition when new formats are introduced.
Department for Transport	The Rail Vehicle Accessibility (Non Interoperable Rail System) Regulations 2010 Exemption Order for Welsh Highland Railway Ltd Replica Passenger Vehicle	Grant the Welsh Highland Railway Ltd’s (WHRL) application for an Exemption Order against certain parts of The Railway Vehicle Accessibility (Non Interoperable Rail System) Regulations 2010. This allows the WHRL to bring a replica passenger vehicle built in 1907, known as the Pickering Brake, into service.
Department for Transport	The Railways (Safety, Access and Management) (Miscellaneous Amendments and Transitional Provision) (EU Exit) Regulations 2019	This intervention is to make technical fixes to otherwise inoperable domestic or EU legislation to provide regulatory and legal certainty for business following exit from the European Union. The SI also introduces a two-year time limit on the ability of the Office of Rail and Road (ORR) to recognise EU issued Part A safety certificates. A Part A safety certificate is required for railway undertakings operating on the GB mainline. The SI also makes technical fixes to EU tertiary legislation that have come into force since March 2019 and will be brought on to the statute book by the EU Withdrawal Act when the UK leaves the EU. This SI also fixes minor drafting errors in three made SIs, the Railways (Access and Management) (Amendment) (EU Exit) Regulations 2019, the Rail Safety (Amendment etc.) (EU Exit) Regulations 2019 and the Railways (Safety Management) (Amendment) (EU Exit) Regulations (Northern Ireland) 2019.

Department	Title of measure as in IA	Description of measure provided by department
Department for Transport	The Road Vehicles (Display of Registration Marks) (Amendment) (No.2) Regulations 2020	The purpose of the statutory instrument will be to make changes to the Road Vehicles (Display of Registration Marks) Regulations 2001 to remove the option to display the Euro symbol (yellow stars on blue background) on number plates (Europlates) that are first fixed to a vehicle after Implementation Period (IP) completion day as part of the United Kingdom's exit from the European Union (EU).
Department for Transport	The Unmanned Aircraft (Amendment) (EU Exit) Regulations 2020	The safe use of all unmanned aircraft (including drones) is regulated across the EU in Regulation (EU) 2018/1139 (known as the "Basic Regulation"), which came into force on 11 September 2018. Previously only unmanned aircraft of over 150kg were regulated by EU law. The European Union Aviation Safety Agency (EASA) has since then finalised Implementing Regulation (EU) 2019/947 and Delegated Regulation (EU) 2019/945 under the Basic Regulation. These Delegated and Implementing Regulations are to be retained in UK law after the end of the EU exit Transition Period, and will provide some consistency in terms of unmanned aircraft production and operation. Government is intervening to ensure that the legislation will work in UK law by correcting deficiencies in it that arise as a result of the UK's exit from the EU.
Department for Transport	The Railway (Licensing of Railway Undertakings) (Amendment) Regulations 2021	The purpose of this Statutory Instrument is to make the necessary amendments to the Railway (Licensing of Railway Undertakings) Regulations 2005 ("the 2005 Regulations") and the Railway (Licensing of Railway Undertakings) (Amendment etc.) (EU Exit) Regulations 2019 ("the 2019 Regulations") to provide for the continued recognition of EEA issued rail operator licences ("European licences") for the Channel Tunnel and the cross-border area. This will enable the implementation and ratification of a bilateral agreement between the UK and France on the mutual recognition of rail operator licences for the Channel Tunnel and cross-border area (the "Agreement"). This is to provide long-term certainty, clarity and confidence to crossborder operators, both current and prospective, regarding the future operator licensing framework for the Channel Tunnel and reduce administrative burdens on them.

Department	Title of measure as in IA	Description of measure provided by department
Department for Work and Pensions	The Occupational and Personal Pension Schemes (Conditions for Transfers) Regulations 2021	This instrument introduces new powers for trustees and managers of occupational and personal pension schemes to protect their members from scams in the exercise of those members' statutory right to transfer pension benefits out of their scheme to another occupational or personal pension scheme. The statutory right to transfer accrued rights to benefits, or pension credit rights, to another pension scheme will only be able to be exercised by the member when one of the new conditions for transfers is met. These requirements will apply to statutory transfers from all occupational and personal pension schemes. They will apply to transfers initiated on or after 30th November 2021.
Department for Work and Pensions	The Occupational Pension Schemes (Administration, Investment, Charges and Governance) (Amendment) Regulations 2021	This instrument places new administration and governance requirements on trustees of occupational defined contribution (DC) pension schemes, in particular to require trustees of certain DC pension schemes to disclose their investment returns and demonstrate that they are providing value for their members. It also increases flexibility for DC schemes to take account of performance fees payable to fund managers when calculating the cap on charges that applies to default investment arrangements. Finally, it makes other minor technical changes, including to the ways in which specific types of pension schemes must comply with the requirements to produce a statement of investment principles.
Department for Work and Pensions	The Pensions Regulator (Employer Resources Test) Regulations 2021	This instrument sets out what constitutes the resources of the employer for the purposes of the "employer resources test" and sets out the basis for how the value of the resources of the employer is to be calculated, determined, and verified. The "employer resources test" is one of two new jurisdictional tests introduced by the Pension Schemes Act 2021 through which The Pensions Regulator can assess if an act or failure to act satisfies the requirements for issuing a contribution notice which imposes an obligation on the recipient to pay a specified sum of money to a defined benefit pension scheme.
Department for Work and Pensions	The Pensions Regulator (Information Gathering Powers and Modification) Regulations 2021	This instrument sets out the minimum information which The Pensions Regulator must include on a notice which requires a person to attend an interview under the extended provisions in the Pension Schemes Act 2021. It also modifies the Regulator's extended inspection powers, so they apply to multi-employer schemes and sets the level of the fixed and escalating civil penalties introduced by the same Act.

Department	Title of measure as in IA	Description of measure provided by department
Foreign, Commonwealth and Development Office	The Republic of Belarus (EU Exit) (Sanctions) (Amendment) Regulations 2021	Comprehensive sectoral sanctions on the Government of Belarus. The measures impose sectoral measures on Belarus in relation to aviation, potash, petroleum products, interception and monitoring goods and technology, tobacco industry goods, dual-use goods and technology, securities, money-market instruments, loans, insurance, and reinsurance, as well as removing exceptions to the existing arms embargo.
HM Treasury	Financial Services (Gibraltar) (Amendment) (EU Exit) Regulations 2021	The Gibraltar Authorisation Regime (GAR) became established through the Financial Services Act 2021. Work is underway to operationalise the GAR via a framework of Statutory Instruments. In the meantime, temporary arrangements must remain in place to avoid Gibraltar suffering abrupt loss of access to the UK market and UK consumer detriment. These must be extended by 12 months at a time. The Financial Services (Gibraltar) (Amendment) (EU Exit) Regulations 2021 ("2021 Regulations") will extend temporary arrangements to 31 December 2022.
HM Treasury	Financial Services Act 2021	The Financial Services Act 2021 brings forward measures that will ensure that the UK maintains its world-leading regulatory standards and remains open to international markets now that it has left the EU. This includes enhancing prudential standards, a new prudential regime for investment firms, and new powers to transition away from the LIBOR benchmark; simplifying the process to market overseas investment funds in the UK and providing long-term access between the UK and Gibraltar for financial services firms; measures to improve the functioning of the Packaged Retail and Insurance-based Investment Products Regulation and increased penalties for market abuse.
HM Treasury	Markets in Financial Instruments Benchmarks and Financial Promotions (Amendment) (EU Exit) Regulations 2021	This instrument, which was made under Section 8 of the EU Withdrawal Act, fixes deficiencies in retained EU law. It is a joint instrument which removes the non-discriminatory access regime for exchange-traded derivatives that is contained within MiFIR (the Markets in Financial Instruments Regulation); fixes deficiencies in the low carbon benchmarks regime that is contained within the Benchmarks Regulation; and makes technical amendments to certain exemptions from the Financial Promotions regime.

Department	Title of measure as in IA	Description of measure provided by department
HM Treasury	The Bank of England Act 1998 (Macro-prudential Measures) (Amendment) Order 2021	This instrument ensures the Financial Policy Committee's macro-prudential measures appropriately track changes introduced by the Financial Services Act 2021. This includes, among various other consequential changes, amending the FPC's powers over sectoral capital requirements and the leverage ratio so that the FPC can direct the PRA to implement those measures with respect to certain holding companies.
HM Treasury	The Bank Recovery and Resolution (Amendment) (EU Exit) Regulations 2020	This instrument implements the Bank Recovery and Resolution Directive II. The Directive amends the EU's Bank Recovery and Resolution Directive in order to update the EU's resolution policy and Minimum Requirements for Own Funds and Eligible Liabilities ("MREL") framework. The Directive was transposed as part of our obligations under the transition period.
HM Treasury	The Bearer Certificates (Collective Investment Schemes) Regulations 2020	This instrument closes a technical loophole which still allowed certain collective investment schemes to issue bearer certificates.
HM Treasury	The Benchmarks (Provision of Information and Documents) Regulations 2021	Made rules for the provision of information and documents during the process of the wind down of a critical benchmark.
HM Treasury	The Capital Requirements Regulation (Amendment) (EU Exit) Regulations 2021	To prevent disruption to commodities dealers between 26 June and 31 December 2021, which is 6 months between the prudential regime extension to the UK ending and the new UK regime coming in.
HM Treasury	The Central Counterparties (Equivalence) Regulations 2020	This measure granted equivalence to the EU and EEA-EFTA states under Article 25 of the European Market Infrastructure Regulation. This allows the Bank of England to recognise individual Central Counterparties (CCPs) from the EU and EEA-EFTA states after the Transition Period. Without recognition arrangements being in place for foreign CCPs, they will lose permission to provide services to UK businesses once the UK's Temporary Recognition Regime ends.

Department	Title of measure as in IA	Description of measure provided by department
HM Treasury	The Co-operative and Community Benefit Societies (Administration) (Amendment) Order 2021	To replace temporary insolvency rules for co-operative and community benefit societies with permanent ones, to ensure they can continue to access a moratorium on creditor action when needed.
HM Treasury	The Counter-Terrorism (Sanctions) (EU Exit) Regulations 2019	The regulations replaced Part 1 of the Terrorist Asset-Freezing etc. Act 2010 (TAFAs) which was repealed then. This sanctions regime is aimed at furthering the prevention of terrorism in the UK or elsewhere and protecting UK national security interests and will ensure that the UK implements its international obligations under UN Security Council Resolution 1373.
HM Treasury	The Financial Holding Companies (Approval etc.) and Capital Requirements (Capital Buffers and Macro-prudential Measures) (Amendment) (EU Exit) Regulations 2020	This measure implemented the UK's transposition of the EU's Fifth Capital Requirements Directive (CRDV), part of the package to implement the international standards agreed by the Basel Committee to address the shortcomings in the banking sector identified by the financial crisis. HM Treasury's CRDV implementation updates the current EU prudential regime by: exempting non-systemic investment firms; creating a holding company approval regime, and requiring certain holding companies to be responsible for sub-consolidated and consolidated prudential requirements; updating the macro-prudential tools available to Member States (which includes the UK until implementation completion day); and updating the confidential information-sharing regime with international bodies.
HM Treasury	The Financial Services Act 2021 (Prudential Regulation of Credit Institutions and Investment Firms) (Consequential Amendments and Miscellaneous Provisions) Regulations 2021	This instrument makes consequential changes as a result of the Financial Services Act 2021 (FS Act). The primary purpose of this instrument is to support the effective implementation of the Investment Firms Prudential Regime (IFPR) and remaining aspects of the Third Basel Accord (Basel 3 standards) by 1 January 2022. Note: some parts may come into force by 16 December, but other parts will be in force from 1 January 2022 depending on parliamentary schedules.

Department	Title of measure as in IA	Description of measure provided by department
HM Treasury	The Financial Services and Economic and Monetary Policy (Consequential Amendments) (EU Exit) Regulations 2020	This Statutory Instrument (SI) uses powers in the European Union (Withdrawal Agreement) Act 2020 ("the 2020 Act") to make consequential amendments to HM Treasury Financial Services EU Exit SIs made previously under the European Union (Withdrawal) Act 2018 ("EUWA 2018"). These amendments are required as a consequence of the 2020 Act, which delayed the coming into force date of these SIs until the end of the Transition Period. This SI is needed to ensure there is an independent, coherent and effective financial services legal and regulatory regime at the end of the Transition Period.
HM Treasury	The Financial Services and Markets Act 2000 (Collective Investment Schemes) (Amendment) Order 2021	This measure means that if a peer-to-peer (P2P) platform ceases to operate, any firm who takes over the platform's loan book will be able to operate a Collective Investment Scheme in addition to any existing permissions it has. Without this, P2P platforms would only be able to turn to financial institutions in the event of market turmoil. Instead, this enables ailing P2P platforms to turn to alternative larger firms with greater market share.
HM Treasury	The Financial Services and Markets Act 2000 (Prudential Regulation of FCA Investment Firms) (Definitions for the purposes of Part 9C) Regulations 2021	The Financial Services Act allows HM Treasury to further specify four definitions related to the new Investment Firms Prudential Regime, which the FCA will introduce in their rules to apply from 1 Jan 2022. We need these definitions to be operational in the legislation by then so that the rules can apply in the right way to the right firms.
HM Treasury	The Financial Services and Markets Act 2000 (Regulated Activities) (Amendment) Order 2021	This measure brings all providers of funeral plans (save those who benefit from exemptions such as local authorities) within the FCA's remit, ensuring that i) providers are subject to robust and enforceable conduct standards, ii) there is enhanced oversight of providers' prudential soundness, and iii) consumers have access to appropriate dispute resolution mechanisms. This follows the government's 2018 Call for Evidence, which confirmed the presence of consumer detriment in the pre-paid funeral plan market.
HM Treasury	The Markets in Financial Instruments (Capital Markets) (Amendment) Regulations 2021	This instrument gives effect to a series of small amendments to retained European Union (EU) and related legislation to alleviate regulatory burdens on certain financial services firms.

Department	Title of measure as in IA	Description of measure provided by department
HM Treasury	The Markets in Financial Instruments (Switzerland Equivalence) Regulations 2021	Equivalence measure relating to third country trading venues. This enables UK firms to meet their obligations under the Share Trading Obligation (Article 23 of UK MiFIR) when trading shares through two Swiss trading venues: BX Swiss AG and SIX Swiss Exchange AG.
HM Treasury	The Money Laundering and Terrorist Financing (Amendment) (No. 2) (High-Risk Countries) Regulations 2021	Regulation 33 of the Money Laundering Regulations and UK's list of high risk third countries is updated periodically to reflect the Financial Action Taskforce's (FATF) standards. The list is updated to align with FATF's public lists ('jurisdictions under increased monitoring' and 'high risk jurisdictions subject to a call for action'. Regulation 33 enables enhanced due diligence to be carried out in any business relationship with a person established in a high-risk third country or in relation to any relevant transaction where either of the parties to the transaction is established in a high-risk third country. The list is updated up to three times a year.
HM Treasury	The Money Laundering and Terrorist Financing (Amendment) (No. 3) (High-Risk Countries) Regulations 2021	Regulation 33 of the Money Laundering Regulations and UK's list of high risk third countries is updated periodically to reflect the Financial Action Taskforce's (FATF) standards. The list is updated to align with FATF's public lists ('jurisdictions under increased monitoring' and 'high risk jurisdictions subject to a call for action'. Regulation 33 enables enhanced due diligence to be carried out in any business relationship with a person established in a high-risk third country or in relation to any relevant transaction where either of the parties to the transaction is established in a high-risk third country. The list is updated up to three times a year.
HM Treasury	The Payment and Electronic Money Institution Insolvency (England and Wales) Rules 2021	This measure provides additional Rules and guidance to ensure that the Payment and Electronic Money Institution Insolvency Regulations 2021 ("the Regulations") can be used effectively. The Regulations were contained in a previous instrument and created a new special administration regime for payment and electronic money institutions (pSAR), in order to facilitate a faster and more efficient return of funds to customers in the event of insolvency.

Department	Title of measure as in IA	Description of measure provided by department
HM Treasury	The Recognised Auction Platforms (Amendment and Miscellaneous Provisions) Regulations 2021	This instrument facilitated the functioning of the UK Emissions Trading Scheme (ETS) and established a market and auction oversight role for the Financial Conduct Authority. It also established UK emission allowances as 'financial instruments', ensuring they are subject to the correct regulatory treatment and made changes to the UK Market Abuse Regulation to ensure that market abuse was correctly defined and scoped with regard to the UK ETS
HM Treasury	The Securities Financing Transactions, Securitisation and Miscellaneous Amendments (EU Exit) Regulations 2020	Primarily corrects deficiencies related to recently applicable European Union ("EU") legislation, to ensure that the legislation operates effectively in a UK-only context at the end of the Transition Period (TP). It also revokes elements of retained EU law and UK domestic law that would not be appropriate to keep on the UK's statute book at the end of the TP; makes minor but necessary corrections to previous financial services EU Exit SIs; and provides sufficient additional supervisory powers to regulators during and after the TP.
HM Treasury	The Short Selling (Notification Thresholds) Regulations 2021	To amend the private notification threshold to 0.1% of issued share capital.
HM Treasury	The Solvency 2 (Credit Risk Adjustment) Regulations 2021	A technical change to how the risk-free rate used by insurers to discount their liabilities is calculated.
Home Office	Firearms Licensing: Statutory Guidance for Chief Officers of Police	The guidance covers the processes and criteria for assessing suitability to possess firearms and to be a Registered Firearms Dealer. It is intended to assist chief officers in carrying out appropriate, proportionate, and consistent checks and assessments in order to come to an informed decision.
Home Office	Statement of changes to the Immigration Rules: HC 617, 10 September 2021	Phasing out acceptance of European Union (EU), European Economic Area (EEA) and Swiss national identity (ID) cards.

Department	Title of measure as in IA	Description of measure provided by department
Home Office	The Alcohol Licensing (Coronavirus) (Regulatory Easements) (Amendment) Regulations 2021	Three measures intended to assist the recovery of the hospitality industry in response to the coronavirus pandemic. To extend provisions in the Business and Planning Act 2020 to allow sales of alcohol for consumption off the premises to licensed premises that did not have that permission for a further year (to 30 September 2022). Amend the limits prescribed in section 107 of the Licensing Act 2003 to increase the allowance for temporary event notices that a licensed premises can give from 15 to 20 and increases the maximum number of days on which temporary events may be held at such premises from 21 to 26, in the calendar years 2022 and 2023. Finally, it amends the Licensing Act 2003 (Permitted Temporary Activities) (Notices) Regulations 2005 to prescribe a revised version of the form, respectively, of a temporary event notice and counter-notice.
Home Office	The Antique Firearms Regulations 2021	To provide a statutory definition of 'antique firearm' for the purposes of section 58(2) of the Firearms Act 1968, as amended by section 126 of the Policing and Crime Act 2017. The measure specifies the type of propulsion system and the type of cartridge which would make a firearm eligible to be regarded as antique, and a date of manufacture after which a firearm cannot be regarded as antique. This is intended to address the criminal misuse of antique firearms by providing legal certainty on which firearms can safely be possessed as an antique without the need for a firearm certificate.
Home Office	The Births and Deaths Registration (Electronic Communications and Electronic Storage) Order 2021	This instrument enables the Minister to make an Order under s. 8 and 9 of the Electronic Communications Act 2000, to make amendments to the Births and Deaths Registration Act 1953 and the Births and Deaths Registration Act 1926 (the 1926 Act) aimed at facilitating the use of electronic communications and storage, enabling the documentation required when registering a birth or death to be transmitted in an approved electronic form.

Department	Title of measure as in IA	Description of measure provided by department
Home Office	The Immigration (Restrictions on Employment and Residential Accommodation) (Prescribed Requirements and Codes of Practice) and Licensing Act 2003 (Personal and Premises Licences) (Forms) Order 2021	This instrument is concerned with the prescribed checks that employers, landlords and letting agents may conduct in order to obtain a statutory excuse against a civil penalty for employing or letting property to persons subject to immigration controls who require leave to enter or remain but do not have it, or, otherwise have no right to take up the work in question or reside in the United Kingdom. In particular, this amends the Immigration (Restrictions on Employment) Order 2007 and the Immigration (Residential Accommodation) (Prescribed Requirements and Codes of Practice) Order 2014, to update the lists of documents that can be produced by EEA and Swiss nationals in order for employers and landlords to obtain a statutory excuse. The Order brings into force revised Codes of Practice to reflect these changes and makes consequential amendments to the Licensing Act 2003 (Personal Licences) Regulations 2005 and the Licensing Act 2003 (Premises Licences and Club Premises Certificates) Regulations 2005, and the Illegal Working Compliance Order Regulations 2016.
Home Office	The Immigration and Nationality (Fees) (Amendment) Regulations 2021	To make fee provisions in connection with the introduction of a new immigration route for graduates, applications for administrative review and applications under the Hong Kong British Nationals (Overseas) Visa arrangements operating in the United Kingdom (UK) and the Crown Dependencies. The Regulations also make provision for new fee exceptions, including for applications made under legacy arrangements in the Isle of Man Immigration Rules, relating to the end of the EU implementation period and for applications for short term visit visas for attendance at the 26th United Nations Climate Change Conference of the Parties (COP26) in the UK. In addition, the Regulations makes technical changes to fee provisions in connection with the wider programme of work to simplify the UK Immigration Rules, and to reflect a change in policy under the Bailiwick of Guernsey's work permit arrangements.

Department	Title of measure as in IA	Description of measure provided by department
Home Office	The Immigration and Social Security Co-ordination (EU Withdrawal) Act 2020 (Consequential, Saving, Transitional and Transitory Provisions) (EU Exit) Regulations 2020	To amend a range of domestic primary and secondary legislation as a consequence of, or in connection with, measures in Part 1 of the Immigration and Social Security Co-ordination (EU Withdrawal) Act 2020 that repeals free movement law at the end of the transition period on 31 December 2020, and makes provision for the protection of Irish citizens. The legislation being amended relates to immigration, nationality and benefits and services. The effect is broadly to align EEA citizens with non-EEA citizens in the UK's immigration system while making protections for Irish citizens and for EEA citizens and their family members granted status under the EU Settlement Scheme.
Home Office	The Misuse of Drugs Act 1971 (Amendment) Order 2021	This Order in Council brings three benzodiazepines, specifically flualprazolam, flunitrazolam and norfludiazepam, under control as Class C drugs under Part 3 of Schedule 2 to the Misuse of Drugs Act 1971, owing to their potential harm and evidence of the prevalence of these drugs in the UK.
Home Office	The Misuse of Drugs and Misuse of Drugs (Designation) (Amendment) (England, Wales and Scotland) Regulations 2021	Following an assessment of their harms, the Advisory Council on the Misuse of Drugs has recommended the control of three benzodiazepines, flualprazolam, flunitrazolam, norfludiazepam, as Class C drugs under the Misuse of Drugs Act 1971. This Statutory Instrument places these three benzodiazepines, under Schedule 1 to the Misuse of Drugs Regulations 2001 and amends Schedule 1 to the Misuse of Drugs (Designation) (England, Wales and Scotland) Order 2015 which specifies controlled drugs to which section 7(4) of the 1971 Act applies. This instrument complements measures in the Misuse of Drugs Act 1971 (Amendment) Order 2021.
Ministry of Justice	The Services of Lawyers and Lawyer's Practice (Revocation etc) (EU Exit) Regulations 2020	The purpose of this instrument is to implement into domestic law the provisions relevant to lawyers practice rights and the recognition of legal qualifications in the EU Withdrawal Agreement, the European Economic Area (EEA) and European Free-Trade Association (EFTA) Separation Agreement and the Swiss Citizens' Rights Agreement (Swiss CRA) (collectively, "the Agreements").

Non-legislative Non-Qualifying Regulatory Provisions

Animal and Plant Health Agency (APHA)

Exclusion category	Summary of activity
Measures certified as being below de minimis (measures with an EANDCB below +/- £5 million)	As a follow up from last year, the fees charged for inspections under the Seed Potato classification scheme have remained the same as no fee review has been commissioned yet.
EU Regulations, Decisions and Directives and other international obligations, including the implementation of the EU Withdrawal Bill and EU Withdrawal Agreement	<p>Considerable work has been undertaken since leaving the EU in determining the operational requirements and locations for increasing the number of Border Control Posts to facilitate the continued import and export of animals, plants and derived goods.</p> <p>In June 2021, import fees were introduced for the inspection of high priority plant health goods entering GB. Details on these fees can be found at:</p> <p>Update on fees and frequency of checks for imports from the EU - UK Plant Health Information Portal (defra.gov.uk)</p> <p>Additionally, this year there was no change to Plant health fees linked to 'Rest of the World' imports.</p>
Measures certified as concerning EU Withdrawal Bill operability measures	Measures certified as concerning EU Withdrawal Bill operability measures
Civil Emergencies	<p>The Avian Influenza outbreak had a total of 24 cases of both high and low pathogenic strains, in England, Scotland and Wales. APHA Bee Teams have responded to European and American Foulbrood outbreaks in honeybees and the destruction of one incursion of Asian hornet. Plant Health dealt with the European Spruce bark beetle (<i>Ips typographis</i>) and first finding in the UK of <i>Phytophthora pluvialis</i>. Additional detail can be found at: Alert List - UK Plant Health Information Portal (defra.gov.uk)</p> <p>APHA Science provided resource and equipment to support the national Covid testing response.</p>

Exclusion category	Summary of activity
<p>Fines and Penalties</p>	<p>Egg Marketing and Salmonella Controls: 19 Penalty Notices totalling £12,410 and 13 warning letters issued.</p> <p>APHA referred 372 cases to the Rural Payment Agency (RPA) for consideration of applying cross compliance penalties for those farmers who failed to TB test on time; reporting overdue tests was suspended from 04/01/21 to 01/07/21 due to COVID.</p> <p>APHA referred 136 cases to the RPA for consideration of applying cross compliance penalties for those farmers who failed to meet the livestock welfare standards</p> <p>Defra Investigation Service (DIS) have investigated 12 cases and secured 2 successful prosecutions this year</p>
<p>Casework</p>	<p>APHA continues to register and inspect a range of premises and licence movements of animals, the export of animals, animal by-products, plants and plant products. Also control the import of animals, plants and bees and trade in bovine and porcine semen and embryos.</p> <p>APHA issues authorisations to hauliers for the transport of animals.</p> <p>APHA licence trade in endangered species and register certain birds kept in captivity.</p> <p>APHA undertakes surveillance to detect the presence or spread of animal, bee and plant diseases/pests and inspect farms and other holdings in response to reports of disease or conditions of animal welfare.</p>
<p>Education, communications and promotion</p>	<p>Regular guidance published for businesses and individuals on trade requirements following the end of the Brexit transition period.</p> <p>Provided information and guidance to poultry keepers on Avian Influenza via traditional, social media and direct messaging – over 2 million emails / texts.</p> <p>Communications have also highlighted the global impact of APHA's world-leading science, including work on zoonotic diseases.</p>
<p>Activity related to policy development</p>	<p>Bovine TB Policy change - herds in the 'High Risk Area' will change from annual to routine 6-monthly TB disease surveillance testing. Although this was adopted in July 2021, the first of the new six-monthly TB surveillance tests will not take place until January 2022 when the full impact of this policy change will occur. However, it was piloted in Staffordshire and Shropshire. Defra estimated the additional burden to affect approx.13,000 herds.</p> <p>APHA has assisted Defra with the development of the Ivory Act to prohibit the sale of ivory and the introduction of civil sanctions as an enforcement tool to deal with any offending. The Ivory Act is expected to come into force in 2022.</p>

Assay Offices

Exclusion Category	Summary of activity
<p>EU Regulations, Decisions and Directives and other international obligations, including the implementation of the EU Withdrawal Bill and EU Withdrawal Agreement</p>	<p>The end of the withdrawal period for the UK to leave the EU on 31.12.20 meant that the Houtwipper EU Courts of Justice judgement which afforded a mechanism for mutual recognition of hallmarks in the EU no longer applied to the UK. The consequence was that that the UK would no longer be obliged to recognise goods bearing the national hallmarks of other EU members and EU members will no longer be obliged to recognise goods bearing UK national hallmarks.</p> <p>Although the UK and some other EU member states remain signatories to the Vienna Convention for the control of marking of precious metals and can continue to rely on the mutual recognition provided by the Convention common control mark, not all EU members are signatories to the Convention. This had and continues to have a significant impact on the reach of UK hallmarking in general, and the financial performance of the Assay Offices and HMRC tax take due to the reduction of imports.</p> <p>A number of significant customers of the UK assay offices who need to operate across all EU countries have relocated their hallmarking requirements to assay offices in other EU countries. There have been some benefits but these do not negate the problems cited above; some opportunities arose for new UK business as some EU companies without access to Convention marking had to use UK assay offices to gain access to the UK market.</p>
<p>Pro-competition</p>	<p>The UK Assay Offices are in competition with one another and have independent pricing policies and service offerings. Maximum prices for hallmarking are set by the British Hallmarking Council not the Assay Offices.</p>
<p>Civil Emergencies</p>	<p>The COVID situation had a profound effect on hallmarking in two ways:</p> <p>(i) Throughput was affected badly during the periods of national lockdown and the closure of retail operations. All assay offices needed to take significant measures to reduce costs.</p> <p>(ii) Some staff at all offices either caught COVID or were asked to isolate. This reduced availability of staff and hence capacity, prolonging lead time with consequent detriment to the supply chain for other retail operations.</p> <p>All Assay Offices take health and safety matters, and the welfare of their staff, very seriously and their policies, premises and practises are reviewed regularly. Each office took Government guidance on dealing with COVID and implemented local risk mitigation procedures to deal with the challenge of this disease. Home working where appropriate was encouraged and meetings took place virtually where they could.</p>
<p>Casework</p>	<p>In 2020, 5,879,162 articles were hallmarked, a drop of 32% on the previous year and the lowest for a generation by a significant margin. The reason for the downturn was because of COVID and its detrimental impact on the trade. Since the end of the last lockdown, there has been a recovery in throughput and performance of all Assay Offices.</p>

Exclusion Category	Summary of activity
Education, communications and promotion	<p>COVID measures restricted the usual number of talks and educational events. Those that took place were normally done virtually. Despite this, there was a significant amount of activity took place where the Assay Offices play a key role:</p> <ul style="list-style-type: none"> (i) A new form of Dealer's Notice for use in online retail settings was developed and launched to the industry. (ii) Alongside the launch of the online version of the Dealer's Notice, a new award, the HALO Award, was announced. It is for the online retailer who has run the most effective online initiative relating to the display of hallmarking information and education surrounding UK hallmarking. (iii) With the support of the Assay Offices the Council ran the Touchstone Award in 2021 as per previous years for the best activity by Training Standards to support hallmarking.
Activity related to policy development	<p>Formal legal advice from counsel was taken on interpretation of aspects of the Hallmarking Act – descriptions and treatment of additions. The British Hallmarking Council and Assay Offices continued to work close with the Hallmarking Convention on the approval of sub-contracting of testing facilities between assay offices within the same country, The UK Assay Offices disseminated Government advice and made their own arrangements on the changes to hallmarking recognition as a result of the UK withdrawal from the EU.</p>
Changes to management of regulator	<p>The Deputy Warden (Assay Master) of the Goldsmiths' Company (London) Assay Office retired.</p>

British Hallmarking Council (BHC)

Exclusion category	Summary of activity
Measures certified as being below de minimis (measures with an EANDCB below +/- £5 million)	<p>No new assay sub-offices were approved in the period.</p> <p>The BHC and its sponsor department BEIS co-hosted a seminar for industry representatives on the legal situation and rules following the UK's exit from the EU.</p> <p>Responses are sent to all queries from the public regarding hallmarking.</p> <p>A new form of Dealers Notice for use in online retail settings was developed and launched to the industry.</p> <p>A new award, the HALO Award, has been announced to the jewellery industry to promote hallmarking.</p> <p>The Council ran the Touchstone Award in 2021 which helps to stimulate enforcement of hallmarking law.</p> <p>The Council published guidance on hallmarking of partially constructed items.</p>
EU Regulations, Decisions and Directives and other international obligations, including the implementation of the EU Withdrawal Bill and EU Withdrawal Agreement	<p>The BHC participated in discussions with government regarding the uncertainties thrown up by the planned EU exit. The BHC and its sponsor department BEIS co-hosted a seminar for industry representatives on the legal situation and rules following the UK's exit from the EU.</p>
Pro-competition	<p>One of the Council's statutory functions is to consider applications to open assay sub-offices. No new assay sub-offices were approved in the period.</p>
Civil Emergencies	<p>The Council continued to carry out its statutory functions during the Covid-19 pandemic using virtual means for meetings.</p>
Casework	<p>The Council via the Secretary receives numerous email queries from members of the public usually relating to the application of hallmarking law or concerns about jewellery purchased which did not appear to be hallmarked. Responses are sent to all queries.</p>

Education, communications and promotion	<p>A new form of Dealers Notice for use in online retail settings was developed and launched to the industry to help consumers identify the integrity of the item they are buying.</p> <p>The BHC announced the new HALO Award which will be awarded during 2022 to the online retailer who has run the most effective online initiative relating to the display of hallmarking information and education surrounding UK hallmarking.</p> <p>The Council ran the Touchstone Award in 2021 which helps to stimulate enforcement of hallmarking law.</p>
Activity related to policy development	<p>A new form of Dealers Notice for use in online retail settings was developed and launched to the industry to help consumers identify the integrity of the item they are buying.</p> <p>The BHC announced the new HALO Award which will be awarded during 2022 to the online retailer who has run the most effective online initiative relating to the display of hallmarking information and education surrounding UK hallmarking.</p> <p>The Council published guidance on hallmarking of partially constructed items.</p>

Care Quality Commission (CQC)

Exclusion category	Summary of activity
<p>Measures certified as being below de minimis (measures with an EANDCB below +/- £5 million)</p>	<p>Registration Withdrawal Process: The current process requires providers to notify CQC of intent, following which CQC sends forms to be filled in. The new process has been simplified to allow providers to complete a webform linked on the CQC public website. This reduces the time taken and the webform has been streamlined. Total words in guidance and webform has been reduced from 3000 to 2000 and reduced time from 0.7 to 0.4 hours. The total estimated number of providers is 7,227, estimated from the number of withdrawals in 2019/20 of 10,346. The total estimated cost of the previous process was £555,467 and the new process would be £277,734 meaning an estimated annual saving to providers of £277,733.</p>
<p>Casework</p>	<p>The CQC is the independent regulator of health and adult social care in England. In 2020/21 the organisation received 29,542 applications for the registration of services. Due to COVID-19 inspections were paused. Since inspections resumed 7,057 inspections were conducted. In adult social care, inspected over 6,405 services. In primary medical services inspected over 414. CQC inspected over 263 core NHS hospital services (e.g. maternity or A & E services). Over 42,638 people shared their experience of care with CQC by completing a web for. 54% of inspections were triggered by information received, including safeguarding, whistleblowing, information of concern and complaints. (Source: CQC Management Information – more information will be available when the 2020/21 CQC Annual Report and Accounts is published).</p>

<p>Education, communications and promotion</p>	<p>Pandemic response:</p> <p>Throughout the pandemic, CQC's core purpose of keeping people safe has been the driver in its decisions. As the risks of the pandemic have changed across the year, CQC has responded and continued to invest in how it uses technology to assess risk and expand its approach to regulatory activity. During the year, CQC used information held about services to ensure its priority and regulatory activity was targeted at risk in the sector. CQC inspected where it was necessary but, recognising the pressure on the sector and the risk of COVID-19, CQC used new approaches. CQC launched its Emergency Support Framework (ESF) in May 2020. This was developed for use when COVID-19 was impacting routine inspections. The ESF provided a structure for the conversations that CQC was having with providers and for the escalation of concerns either to inform system partners, to target additional support and resource, or to trigger inspections.</p> <p>CQC's transitional approach built on the work of the ESF to look at more areas where quality needs to improve. Central to this are the experiences of people who use services, their families and their carers. To promote this, CQC launched a year-long campaign with Healthwatch England, voluntary sector partners and others to encourage people to share their experience through CQC's Give Feedback on Care service. Leveraging this experience, CQC inspectors monitored and reviewed information from all available sources, collecting further information where necessary.</p> <p>Review of DNACPR decisions:</p> <p>During the beginning of the pandemic there were concerns that 'do not attempt cardiopulmonary resuscitation' (DNACPR) decisions were being applied to groups of people, without consideration of each person's individual circumstances – and without appropriately involving people, or their families and/or carers. In October 2020, DHSC commissioned CQC to conduct a special review into these concerns. In its review, which took place between November 2020 and January 2021, CQC looked at how DNACPR decisions were made in the context of advance care planning, across all types of health and care sectors including care homes, primary care services and hospitals. CQC listened to the experiences of over 750 people. It was clear that, while the concerns raised were not new, the pressures of the pandemic had exposed them more widely and more clearly demonstrated the lasting impact on people. In its report CQC made a number of recommendations, including an action to ensure a continued focus on DNACPR decisions through CQC's monitoring, assessment and inspection of all health and social care providers.</p> <p>Closed cultures:</p> <p>A key focus in 2020/21 was CQC's regulation of services for people with a learning disability and autistic people, with a particular focus on closed cultures, restraint, seclusion and segregation. Across the year CQC introduced additional guidance, training and support for its inspectors to enable them to better identify services that might be at risk of being or developing into a closed culture. CQC improved how it uses and analyses data, and has commenced a pilot of inspections to support the review on its approach to inspections of services for people with a learning disability and autistic people. CQC published its 'Out of Sight-who cares?' report in October 2020 and made a series of recommendations for government, CQC, NHS England, local authorities and more to improve the provision of support for people with a learning disability and autistic people.</p>
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Exclusion category	Summary of activity
	<p>Safe houses:</p> <p>CQC has been working closely with Home Office since 2019 to consider how it might help them monitor the quality of support offered to people who are in safe houses. Safe house residential and outreach support services support people who are victims of modern slavery, which includes human trafficking, slavery, servitude and forced or compulsory labour. The programme commenced in December 2020 and by the end of March 2021 CQC completed inspections of 16 services, which were reported on in nine reports. The reports are not published on CQC's website but are shared with providers and commissioners.</p>

Charity Commission for England and Wales

Exclusion category	Summary of activity
Measures certified as being below <i>de minimis</i> (measures with an EANDCB below +/- £5 million)	<p>New administrative process:</p> <ul style="list-style-type: none"> - Pre-registration due diligence process for 41 Church of England Cathedrals <p>Revised guidance:</p> <ul style="list-style-type: none"> - Managing faith charities as trustees (reduced by 2/3 in length, benefiting 35,000 charities) <p>Minor amendments and updates to guidance:</p> <ul style="list-style-type: none"> - Independent examination - charity reporting and accounting – the essentials - Charity annual returns - 5-minute guides for charity trustees - Charities and terrorism - Safeguarding - Removing a charity trustee
Civil Emergencies	Coronavirus (COVID-19) guidance for the charity sector – minor updates to guidance published in 2020.
Casework	<p>Casework is the Commission's primary regulatory activity as follows:</p> <ol style="list-style-type: none"> 1. Registration of organisations that pass the legal tests for a charity and are required to register. 2. Advice and permissions for certain transactions – managing potential risks to the public interest in charity. 3. Regulatory compliance – looking into concerns about charities and taking action to put charities back on track. 4. Statutory inquiry (investigation) into serious concerns about a charity, using protective or enforcement powers. 5. Monitoring – proactive identification of regulatory issues. Details are given in the Commission's annual report.
Education, communications and promotion	The Commission published relevant news stories and alerts about issues affecting charities. A quarterly newsletter to all charities resumed in October 2021. A campaign was launched in March 2020 to drive awareness and usage of Charity Commission guidance.
Activity related to policy development	Research into public trust in charities, charity trustees' awareness of their role, responsibilities and public expectations, and charities' needs and expectations of the Commission.

Civil Aviation Authority

Exclusion category	Summary of activity
Measures certified as being below de minimis (measures with an EANDCB below +/- £5 million)	DfT De Minimis Assessment 201: 450-600kg Basic Regulation Art.2(8) Opt-Out for Aeroplanes, July1, 2021
EU Regulations, Decisions and Directives and other international obligations, including the implementation of the EU Withdrawal Bill and EU Withdrawal Agreement	Implementing agreements on aircraft design and production for eight countries. ATOL Amendments to the Civil Aviation (Air Travel Organisers' Licensing) Regulations 2012. Revisions to the Civil Aviation Act 1982, Regulation 1008/2007; Regulation 1008/2007. Airline Insurance revisions to 785/2004. Amendments to: (EC)1107/2006 on rights of disabled persons and persons with reduced mobility. 261/2004 establishing common rules on compensation/assistance to passengers.
Measures certified as concerning EU Withdrawal Bill operability measures	Air Safety List and Third Country Operation Certification revisions to Regulations 2111/2005 and 452/2014. Transfer of all Aerodrome Instrument Rating Requirements from EASA to New Basic Regulation. CAP 2155 Re-routing in accordance with Article 8 of Regulation (EU) 261/2004.
Pro-competition	CAA Publications on the Economic Regulation of Gatwick and Heathrow Airports and National Air Traffic Services (NATS) CAPs: 1260, 1996,2011, 2011A, 2013, 2013L 2098, 2098A,2119, 2139, 2139A, 2140, 2144, 2183,2245,2265. 2100/2100A Investigation under s.34 of the Transport Act 2000: Project Palamon: Final Decision

Exclusion category	Summary of activity
Casework	<p>Licences36 Orbital Operator Licences issued, 294 applications being processed, oversight with two licensees. 5,766 Flight Crew Licences,1,701 Radio Telephony,432 Engineering, 60 Initial ATCO, around 700 ATOLs granted and renewed, managed 16 ATOL holder failures, granted 6 airline operating licences, 12 route licences and around 9,000 carrier permits. Certification363 Certificates of Airworthiness issued, 18 revoked,108 Airworthiness Aircraft Certification. Permissions4933 Standard Unmanned Aerial Vehicles. Renewals: 31 renewals, 32 initial Operational Safety Cases (sub 20kg),7 renewals, 12 initials (+ 20kg) Approvals: 3 Airworthiness/EASA, 214 Fixed Wing Continuing Airworthiness Management (CAMO), 467 Fixed Wing Maintenance, 1 Fixed Wing Corporate Aviation.276 Production and Propulsion,166 Rotorcraft. 2 General Aviation Maintenance Organisation.</p> <p>600 Aircraft registered, 750 aircraft de-registered.</p> <p>39 Airworthiness Contracts - Safety of Foreign Aircraft (SAFA) and Military, 3 Airworthiness/EASA.</p> <p>Audits</p> <p>1358 Part 145 Maintenance, 18 Occurrence Reporting, 341 Production Part 21G. 217 Aircraft survey (Aircraft Continuing Airworthiness Monitoring (CAMO) and Certificate of Airworthiness), 77 British Civil Airworthiness Requirements,820 Continuing Airworthiness Part MG (CAMO), 80 Military CAAI contract work for Military Aviation Authority/Ministry of Defence, 416 Bilateral's,243 Part 147 Maintenance Training, 273 Aircraft Maintenance Programmes, 31 Safety Management Systems, 88 Part 21J Design and Certification, 59 Part ADOA Design and Certification, 228 Certifications. 507 interviews with postholders and licence applicants.</p>
Education, communications, and promotion	<p>New updated Safety Sense Leaflets for pilots, CAA Microsite for careers in STEM (Science, Technology, Engineering and Maths). Communications to industry following ATOL holder failures & 'Pack peace of mind' publicity campaign.</p>

Exclusion category	Summary of activity
Activity related to policy development	<p>Consultations 4 on Economic regulation of NATS En-Route plc, 7 on the Economic Regulation of Gatwick and Heathrow Airports. Airspace Classification: Cotswolds Region. Definition of Category D for Minimum Standards for Noise Modelling. General Aviation Opportunities after leaving EASA.</p> <p>CAA Publications Amendments and new CAPs: 413, 1616, 493 797 553 738 746 ,1430,1096 ,1324a 1724 1324, 2104,1324 & 2105 2151 2173 & 2174</p> <p>CAA Space Regulation Policy Development of transitional policy provisions with UK Space Agency Air Travel Trust Payment Policy four amendments from December 2020 to April 2021.</p> <p>Revision of Policy for Permanently Established Danger Areas & Temporary Danger Areas Approval of Aerodrome Remote Towers. Policy statement and Acceptable Means of Compliance (AMC) and Guidance Material (GM) to Air Traffic Services (ATS). Organisational Requirement (OR)305 on the Problematic Use of Psychoactive Substances. Publication of policy statement and AMC, GM to ATS. OR.320 on ATCO Rostering. Completion of UK-specific AMC and GM package to the Air Traffic Management (ATM/ANS IR). Official Record Series (ORS) 4 No 1504 Special VFR Flight within the Blackbushe Local Flying Area. ORS4 No 1389 Manchester Low-Level Route. Completion of UK-specific AMC and GM package to standardised European Rules of the Air (SERA). DfT/CAA Policy Paper: Public Safety Zones.</p>
Changes to management of regulator	The Civil Aviation Authority (CAA) became the regulator for spaceflight activities from the UK on 29 July 2021 (when space industry regulations came into force).

The Coal Authority

Exclusion category	Summary of activity
Pro-competition	There are currently 3 active surface mines, 1 at planning stage. There are 7 active underground, 1 underground mine in the planning stage.
Fines and Penalties	Security for the financing of mining operations falls part of the licensing regime and are governed by the Coal Industry Act 1994. No fines and penalties are applicable to the licensing regime.

Exclusion category	Summary of activity
Casework	There are currently 3 active surface mines, 1 at planning stage. There are 7 active underground, 1 underground mine in the planning stage.
Education, communications and promotion	Guidance notes for applicants and application forms have been updated during the period, however, no promotional literature or best practice documentation has been created or produced during this reporting period in respect of the regulated activity of licensing mining operations.

Companies House (CH)

Exclusion category	Summary of activity
<p>Measures certified as being below <i>de minimis</i> (measures with an EANDCB below +/- £5 million)</p>	<p>Statement of capital when reducing capital in a company: This document is of high importance when a company is restructuring and must be filed in a timely manner. Filing of this document was previously offered as a same day counter service in CH offices, but this was suspended during lockdown and remains so. Due to the high importance, and that many companies have had to do this urgently over the past 18 months, this has now been added to the upload service, making it easier for this document to be filed.</p> <p>Auto-accepting web-filed incorporations: Auto-acceptance of web-filed incorporations has been enabled and has dramatically increased the speed in which companies can be incorporated. System checks are applied to the applications and if there are no queries, the application is accepted and the incorporation registered without any human intervention. An application that requires a human check can take up to 2 working days to be registered after receiving the application. Auto-accepted applications can be registered and the company incorporated within 3 minutes of the application being received.</p> <p>CH currently auto-accepts around 40-45% (600-800 applications) each day. Auto-accept for web-filed incorporations is available 24/7.</p>
<p>Civil Emergencies</p>	<p>In response to the Covid pandemic, from 25.3.20 CH introduced a non-legislative easement, in the form of an automatic 3 month extension to the accounts filing deadline, for companies requesting an extension and citing Covid 19 as the reason. This was superseded by the Corporate Insolvency and Governance Act in June 20, which granted most companies automatic extensions to their accounts filing deadline, if the deadline fell between 27 June 20 and 5 April 21. When the legislation ended, the non-legislative easements were put back in place and remain in place.</p>

Exclusion category	Summary of activity
Fines and Penalties	<p>CH takes compliance action against company directors who do not file their annual accounts and confirmation statement (annual return) on time. CH has a target to ensure that 97% of companies have an up to date confirmation statement.</p> <p>In 2020 -2021:</p> <ul style="list-style-type: none"> • 97.6% of companies were up to date with filing their confirmation statement; • 98.08% of companies filed their annual accounts up to date; • 97.8% of LLPs were up to date with filing their confirmation statement; • 95.2% of LLPs filed their annual accounts up to date; • 177,507 civil penalties were issued to private companies for the late filing of accounts and 642 were cancelled; • 2727 civil penalties were issued to public companies and LLPs for the late filing of accounts and 47 were cancelled.
Casework	<p>CH takes enforcement action against directors who don't meet their legal obligations. In 2020 – 2021:</p> <ul style="list-style-type: none"> • 436 charges were laid in court for failure to deliver accounts; • 203 convictions were made; • 180 charges were withdrawn; • 284 charges were brought for failure to deliver a confirmation statement; • 157 convictions were made; • 104 charges were withdrawn; • 523 directors were summoned to court; • 260 were convicted; • 435 companies were involved in proceedings; • 215 companies had directors who were convicted.
Education, communications and promotion	<p>CH sent fortnightly newsletters to its 500,000+ subscribers. These newsletters contained information about directors' responsibilities, relevant service updates, BEIS priorities, and COVID-19 updates.</p> <p>CH ran two campaigns focusing on directors' responsibilities, targeted at new and existing directors. Both campaigns included a webinar series, new blog posts, promotion of CH's revamped directors' toolkit on GOV.UK, and promotion of its how-to videos and case study videos. The main aim was to increase awareness about the responsibilities of a director, to encourage online filing behaviour, and to improve compliance. The first phase achieved a 20% increase to the toolkit on GOV.UK, an 80% satisfaction score for our webinar series, and advocacy from 26 partners including the Institute of Directors. The second phase has not yet been evaluated.</p>

Competition and Markets Authority (CMA)

Exclusion category	Summary of activity
Measures certified as being below de minimis (measures with an EANDCB below +/- £5 million)	<p>Competition enforcement guidance: 1 guidance document issued.</p> <p>Advice/guidance in relation to issues resulting from the coronavirus pandemic: 2 guidance documents issued.</p> <p>Advice/guidance resulting from the CMA's other casework: 5 guidance documents issued.</p> <p>Advice/guidance resulting from the creation of the CMA's new functions: 2 guidance documents issued in relation to the creation of the CMA's new functions and specifically the Office of the Internal Market.</p> <p>Other CMA guidance or advice: 4 other documents were issued.</p>
Pro-competition	Activity in this area is reported under the Casework exemption.

Exclusion category	Summary of activity
Casework	<p>Competition and consumer enforcement work in relation to non-compliant individual businesses falls under the casework exclusion in line with ensuring operational independence.</p> <p>Competition enforcement: CMA launched, reached a significant milestone in or closed 17 separate anti-trust and civil cartel enforcement cases.</p> <p>Consumer Enforcement: CMA launched, reached a significant milestone in or closed 12 separate cases using its Consumer Enforcement powers.</p> <p>Warning and Advisory letters: CMA issued 29 advisory letters (relating to 5 cases and complaints) and 28 warning letters (relating to 21 cases and complaints) to businesses where it had concerns about possible law breaking and to promote compliance.</p> <p>A register of advisory and warning letters can be found here: https://www.gov.uk/government/publications/competition-law-warning-and-advisory-letters-register</p> <p>Merger control:</p> <p>At Phase 1, we made 6 references to Phase 2, 31 unconditional clearances, 2 de minimis clearance and 3 sets of Undertakings in Lieu of a Reference decision. 1 case resulted in a report to the DCMS Secretary of State under public interest grounds (and a referral to phase 2). 2 cases were found not to qualify. 7 cases were ongoing at the end of the reporting period.</p> <p>At Phase 2, we cleared 1 case and found a substantial lessening of competition (SLC) in 5 cases (which included 2 remittals). 1 case was abandoned. From the cases where we found an SLC there were 3 prohibitions and 2 impositions of remedies by divestment. 5 cases were ongoing at the end of the reporting period..</p> <p>Market reports: CMA launched, reached a significant milestone in or published our final report in 5 separate projects.</p> <p>Regulatory appeals: CMA undertook an appeal or made a determination (provisional or final) in 3 projects.</p> <p>Remedy Reviews: CMA launched no remedy reviews in the reporting period..</p>

Drinking Water Inspectorate (DWI)

Exclusion category	Summary of activity
Measures certified as being below <i>de minimis</i> (measures with an EANDCB of +/- £5 million)	<p>Mild Steel regulation 31 letter.</p> <p>Regulation 31 letter on resins used in water treatment.</p> <p>Publication of information letter 01/2021 and 02/2021 and updated Water Industry (Suppliers' Information) Direction 2021.</p> <p>Revocation of the Covid Information Letters (IL 01/2020; IL 02/2020; IL 03/2020; IL 04/2020).</p> <p>Information Letter 05/2021 on requirements for PFAS monitoring.</p>
Pro-competition	Revision of New (Inset) Appointees in relation to public water supplies guidance.
Civil Emergencies	Publication of Network and Information Systems (NIS) Enforcement Policy.
Casework	Casework (general measure, encompassing regulatory casework undertaken by the DWI during the period).
Education, communications and promotion	<p>Event notification portal update.</p> <p>Guidance on the Water Supply (Water Quality) Regulations 2016 specific to PFOS and PFOA concentrations in drinking water.</p> <p>Publication of Long-term strategies to reduce lead exposure from drinking water research project.</p> <p>Chief Inspector's Quarterly report for 2020 (Q3).</p> <p>Update to Consumer Advice Leaflets.</p> <p>The Chief Inspector's report 2020.</p> <p>Information Letter 03/2021 - Radioactivity Notices: Conditions and requirements for radioactivity exemption applications.</p> <p>Guidance Note - Resilience of Water Supplies in Water Resource Planning.</p> <p>Chief Inspector's Quarterly Report (Q1) 2021.</p> <p>Compliance risk index dashboard</p> <p>Information Letter 04/2021 and Code of Practice on Technical Aspects of Fluoridation.</p> <p>Chief Inspector's Quarterly Report for 2020 (Q4).</p> <p>Admin change to Water Quality Guidance to account for name change from PHE to UKHSA.</p>

Exclusion category	Summary of activity
Activity related to policy development	Consultation on chemical and service reservoir data (including briefing note to industry).
Changes to management of regulator	Revision to the DWI Liaison and Cascade for event notifications. DWI restructure.

Driver and Vehicle Standards Agency (DVSA)

Exclusion category	Summary of activity
<p>Measures certified as being below <i>de minimis</i> (measures with an EANDCB below +/- £5 million)</p>	<p>DVSA introduced a change to permit NHS ambulance services to conduct delegated driving tests and for the emergency services, and the Ministry of Defence, to test one another's candidates. However, business only benefits indirectly if more test slots become available to the logistics sector. Therefore, the measure was not assessed under the BIT methodology.</p> <p>In addition, DVSA implemented legislation designed to help the logistics industry recruit and deploy drivers more quickly. The Department for Transport (DfT) has declared measures that are above the de-minimis level. However, the removal of 'staging' in large vehicle tests was assessed as being below the de-minimis level. Staging is where candidates wishing to acquire a licence to drive an articulated lorry, or bus / coach with a trailer, had to first pass a test for a rigid lorry or in a bus or coach. Now candidates wanting to take their 'C+E' (articulated lorry), test can take it without first acquiring a licence for a rigid lorry (category 'C'). The same applies to D and D+E for coaches and trailers, but the main benefit will be for the logistics sector.</p>
<p>Fines and Penalties</p>	<p>During the period DVSA continued to target the serially non complaint operators this resulted in finding 19,015 serious offences and led to £4.3m in roadside fines.</p>
<p>Casework</p>	<p>From 1.2.21 DVSA implemented changes to the heavy vehicle test, MOT, and enforcement processes to enforce the regulation on tyres 10 or more years old in high-risk settings. The changes were accompanied by campaigns advising of the road safety risks of using older tyres.</p> <p>DVSA's Counter Fraud & Investigation Team have processed over 800 cases through the period leading to prosecutions such as custodial/suspended sentences, fines, community service and driving disqualifications.</p>
<p>Education, communications and promotions</p>	<p>In order that the public can better understand DVSA's services, and that the sectors that it regulates has correct guidance, DVSA frequently posts information on GOV.UK. In this reporting period, up to 31 October, it published 76 items of broader interest, and 74 items of specific interest to industry. It also published 23 items containing guidance for those it directly regulates which includes MoT garages, Approved Test Facilities, Approved Driving Instructors, and operators that have joined the Earner Recognition Scheme.</p> <p>DVSA continued to increase membership in its flagship Earned Recognition scheme. This allows compliant operators to work collaboratively with DVSA in sharing vehicle and driver data. In turn, that reduces the burden of enforcement on operators with a strong track record of compliance and adherence to standards and allows DVSA to increase targeting on the serially non-compliant.</p>

Exclusion category	Summary of activity
<p>Activity related to policy development</p>	<p>DVSA has one Statutory Instrument that is progressing through Parliament but will not be implemented in this BIT reporting period. It relates to licence upgrade processes and to the reduction in the engine size of motorcycles that can be used for the 'A2' motorcycle test. Both measures have been assessed as being under the de-minimis threshold.</p> <p>In order to reduce waiting times for Approved Driving Instructors (ADI) DVSA has changed its policy about when they should come for a Standards Test. This has allowed DVSA to target the non-compliant examiners more and reduces the burden on examiners with a good standard of tuition. This has also freed up resource to increase the number of tests being conducted on people wishing to qualify as an ADI. Although not required for implementation, a <i>de minimis</i> Impact Assessment is currently being produced in relation to this change.</p> <p>DVSA and DfT are looking at other proposals to reduce waiting times for the driving test and to improve service levels but, at the time of production of this report, they have yet to be assessed.</p>
<p>Changes to management of regulator</p>	<p>Loveday Ryder became Chief Executive of DVSA on 1.1.21. Nick Bitel was appointed as Chair of the DVSA Board on 21.7.21.</p>

Environment Agency (EA)

Exclusion category	Summary of activity
<p>Measures certified as being below <i>de minimis</i> (measures with an EANDCB below +/- £5 million)</p>	<p>New Regulatory Position Statements, including: (RPS 213) – Storing and drying waste wood before burning in a Part B co-incinerator (RPS 241) – Waste codes not otherwise specified Revised Regulatory Position Statement (RPS 224) – Collecting and treating waste from different sites within the same premises</p> <p>Withdrawal of Regulatory Position Statements: (RPS 161) – Using whole waste tyres in construction (RPS 225) – Collecting food waste from different premises at a single site</p> <p>New Low Risk Waste Positions, including: (LRWP82) – Storing and treating hazardous components from WEEE (LRWP83) – Storing, treating and sterilising waste coir Withdrawal of Low-Risk Waste Position (LRWP43) – Using shredded waste carpet for equestrian surfacing</p> <p>New Guidance: Non-hazardous and inert waste: appropriate measures for permitted facilities Treating metal waste in shredders: appropriate measures for permitted facilities New and revised Environmental Assessment Levels (EALs) for air emissions risk assessments</p> <p>New Salmon and Sea Trout Net Limitation Order and Byelaws for the River Severn</p>
<p>EU Regulations, Decisions and Directives and other international obligations, including the implementation of the EU Withdrawal Bill and EU Withdrawal Agreement</p>	<p>New Guidance: How to comply with the Carbon Offsetting and Reduction Scheme for International Aviation Best Available Techniques for carbon capture and storage and hydrogen production</p>

Exclusion category	Summary of activity
Civil Emergencies	<p>New COVID-19 Regulatory Position Statements: (RPS C1) – Cleansing and PPE waste at a healthcare waste management facility (RPS C8) – Social distancing when signing and handing over waste transfer and consignment notes in person (RPS C13) – Accumulating radioactive waste that you cannot transfer because of COVID-19 (RPS C15) – COVID-19 and exceeding permit limits for medical use of radioactive substances</p>
Casework	<p>Permitting decisions: 11,276 permit determination decisions made across the Environmental Permitting Regime; 704 of these were permit variations to secure the required environmental outcomes from the Water Company Periodic Review process (Asset Management Plan outputs); 691 permits issued for movement of live fish to or from fisheries and 287 authorisations issued for commercial fishing.</p> <p>Appeals against permitting decisions: 13 appeals against permitting decisions received.</p> <p>Appeals against regulatory decisions: 14 independent internal reviews carried out under the provisions of the Regulators' Code</p> <p>Compliance assessment advice: 23,934 Compliance Assessment Report forms and letters issued across various regimes</p> <p>Registrations: 64,281 exempt waste activities registered and 577 de-registered under the Environmental Permitting Regulations. 1,115 exemptions for flood risk activities registered under the Environmental Permitting Regulations 498 commercial boats registered.</p> <p>Operations Regulatory Services: International waste shipments: 512 consents issued, 6 of these were for radioactive wastes. Producer Responsibility: 12,085 registrations and 244 compliance assessment actions. Climate Change Trading: 2,478 permitting decisions made, 778 compliance checks completed, 2,797 entrants registered and 245 de-registered, 25 appeals received, 108 civil penalty notices issued.</p> <p>Enforcement activity: 71 prosecution cases completed in this period 3 formal cautions accepted</p>

Exclusion category	Summary of activity
	54 enforcement notices served 1,295 warning letters sent Civil sanctions used on 53 occasions* * These are sanctions issued under the Regulatory Enforcement and Sanctions Act 2008
Activity related to policy development	70 national external consultations held.

Financial Conduct Authority (FCA)

Exclusion category	Summary of activity
<p>Measures certified as being below <i>de minimis</i> (measures with an EANDCB below +/- £5 million)</p>	<p>PS20/15: High-risk investments: Marketing speculative illiquid securities (including speculative mini bonds) to retail investors.</p> <p>PS20/16: Updating the Dual-Regulated firms Remuneration Code to reflect CRD V.</p> <p>PS19/23: FCA and PRA changes to mortgage reporting requirements.</p> <p>CP21/21: Primary Markets Effectiveness Review.</p> <p>PS20/14: Delay to the implementation of the European Single Electronic Format (ESEF).</p> <p>FG21/4: Guidance for Insolvency Practitioners on how to approach regulated firms.</p> <p>PS21/12: Assessing value for money in workplace pension schemes and pathway investments: requirements for IGCs and GAAs.</p> <p>PS21/14: A new authorised fund regime for investing in long term assets.</p> <p>PS18/20: Improving the quality of pension transfer advice - feedback on CP18/7 and our final rules and guidance - PTS qualifications</p>
<p>Pro-competition</p>	<p>PS20/13: Amendments to the open banking identification requirements (eIDAS certificate)</p> <p>PS21/5: General insurance pricing practices market study – Feedback to CP20/19 and final rules</p> <p>PS19/29: Making transfers simpler – Feedback to CP19/12 and final rules</p>

Exclusion category	Summary of activity
Civil Emergencies	<p>Credit Cards (including retail revolving credit) and coronavirus</p> <p>Overdrafts and coronavirus</p> <p>Personal loans and coronavirus</p> <p>Rent-to-own, buy-now pay-later and pawnbroking agreements and coronavirus</p> <p>Motor finance agreements and coronavirus</p> <p>High-cost short-term credit and coronavirus</p> <p>Insurance and Premium finance</p> <p>Mortgages and coronavirus</p> <p>Cancellations and refunds</p> <p>Business interruption insurance test case – proving the presence of Coronavirus (Covid-19)</p> <p>Bounce Back Loan Scheme (BLS)</p>
Changes to management of regulator	<ul style="list-style-type: none"> • CP21/25: Changes to the FCA's decision-making procedure

Financial Reporting Council (FRC)

Exclusion category	Summary of activity
<p>Measures certified as being below de minimis (measures with an EANDCB below +/- £5 million)</p>	<p>Amendments to FRS 101 – 2019/20 cycle; FRS 101 – Effective date of IFRS 17; FRS 104; FRS 102 – Interest rate benchmark reform (Phase 2); FRS 101 – 2020/21 cycle; FRED 79 FRS 101 – 2021/22 cycle. (The FRED proposes making no changes to FRS 101 as a result of this year's annual review.)</p> <p>International Standard on Quality Management (UK): Quality Management for Firms That Perform Audits Or Reviews Of Financial Statements, Or Other Assurance Or Related Services Engagements; (UK)2 Engagement Quality Reviews; International Standard on Quality Management (UK) 220 Quality Control For An Audit Of Financial Statements.</p> <p>Revised International Standard for review Engagement (UK) 2410 (ISRE (UK) 2410) Review of Interim Financial Information performed by the Independent Auditor of the Entity.</p>
<p>EU Regulations, Decisions and Directives and other international obligations, including the implementation of the EU Withdrawal Bill and EU Withdrawal Agreement</p>	<p>Amendments to UK and Republic of Ireland accounting standards – UK exit from the European Union: to update UK and Republic of Ireland accounting standards for changes in UK company law following the UK's exit from the European Union.</p>
<p>Civil Emergencies</p>	<p>Amendments to FRS 102 and FRS 105 – Covid-19-related rent concessions; and Covid-19-related rent concessions beyond 30 June 2021.</p>

Exclusion category	Summary of activity
Fines and Penalties	<p>At 21.11.20, there were 49 investigations (including one preliminary enquiry) involving audit and financial reporting with a total of 97 subjects under investigation.</p> <p>During the period from 21.11.20 to 16.12.20: 1 further investigation commenced into 2 further subjects; 1 preliminary enquiry closed with 1 subject; and 1 investigation closed with 2 subjects; case closed for 1 subject.</p> <p>As at 17.12.20 there were 48 investigations (and no preliminary enquiries) with a total of 95 subjects under investigation for audit and financial reporting. Of these 95 subjects, 71 are under the Audit Enforcement Procedure, 2 are under the Actuarial Scheme and the rest under the Accountancy Scheme.</p> <p>During the period from 17.12.20 to 23.11.21: 13 further investigations commenced into 26 further subjects; 1 investigation went to tribunal with tribunal imposed sanctions imposed upon 2 subjects; 6 investigations concluded with settlements made with 11 subjects; 2 investigations closed with 3 subjects; and 2 Scheme case extensions to include an additional 5 subjects.</p> <p>Total financial sanctions imposed at Tribunal were £13,500,000 whilst Total financial sanctions imposed at settlement were £9,362,500 (£5,604,675 after discounts).</p> <p>In respect of non-financial sanctions imposed upon subjects: there were 13 reprimands/severe reprimands; there were 15 requirements; there were 9 declarations; and there were 3 exclusions.</p> <p>As at 23.11.21 there were 52 investigations (including no preliminary enquiries) with a total of 110 subjects under investigation for audit and financial reporting. Of these 110 subjects, 83 are under the Audit Enforcement Procedure and the rest under the Accountancy Scheme. Of the 52 investigations, 3 investigations with 7 subjects are closed awaiting publication or publication decision.</p>
Casework	<p>Audit inspections: the FRC delivered 149 inspections for 2020/21 and is currently forecast to deliver 162 for 2021/22.</p> <p>Corporate reporting review: since 01.11.20 the FRC has completed its 2020/21 corporate reporting monitoring cycle by opening a further 56 reviews (54 routine and 2 thematic) and writing an additional 67 opening substantive letters to companies. It has started its 2021/22 monitoring cycle by opening 194 reviews (107 routine and 87 thematic). To date, it has written 41 opening substantive letters as part of these reviews.</p> <p>Monitoring visits: Professional Oversight Team has conducted monitoring visits, using remote working methods, at four Recognised Supervisory Bodies (RSB) and five Recognised Qualifying Bodies (RQB) for statutory audit purposes; and at one RSB and one RQB for local audit purposes.</p>

Exclusion category	Summary of activity
Activity related to policy development	<p>Consultation: proposed revisions to the Audit Firm Governance Code</p> <p>Consultation: seeking views on amendments made to the Audit Enforcement Procedure</p> <p>Consultation: FRED 78 Draft amendments to FRS 102 & FRS 105 – Covid-19-related rent concessions beyond 30 June 21</p> <p>Call for feedback: Technical Actuarial Standards Post Implementation Review</p> <p>Consultation: Third Country Auditors (Fees) Instrument 2021</p> <p>Consultation: draft 2021/22 Strategy, Plan & Budget</p> <p>Consultation: the proposed revision of the standards for an audit firm's responsibilities to design, implement and operate a system of quality management.</p>

Fish Health Inspectorate (FHI)

Exclusion category	Summary of activity
<p>EU Regulations, Decisions and Directives and other international obligations, including the implementation of the EU Withdrawal Bill and EU Withdrawal Agreement</p>	<p>EU Exit caused a large amount of disruption at the end of the transition period to certain businesses that exported live bivalve molluscs from UK to EU. The financial impact of the cessation of this trade has not been fully costed and much cross agency work had to be completed quickly to enable trade to continue where at all possible</p> <p>The FHI saw an increase in the number and complexity of live fish export certification to EU member states and NI. The complexity of the process resulted in a drop in numbers of exports being requested after the initial increase. Numbers are now back to normal but the impending implementation of the Animal Health law and the requirement for OV's to sign health certificates starting 2022 (with associated costs to industry)</p>
<p>Civil Emergencies</p>	<p>The Fish Health Inspectorate applied statutory controls on 22 fisheries and 1 fish importer to control the listed (notifiable) condition koi herpesvirus (KHV) disease.</p> <p>Covid19 did not affect the FHI's statutory responsibility to investigate reports of and suspicion of notifiable disease</p>
<p>Casework</p>	<p>The FHI undertakes monitoring and testing to detect and prevent the spread of serious and notifiable disease of aquatic animals both in the wild and in the farmed environment. This reporting period has seen 1982 visits undertaken for this purpose</p> <p>The Fish Health Inspectorate served 5 enforcement notices, issued 152 official warning letters, and undertook 27 enforcement visits during the reporting period. This casework relates to non-compliant businesses. The large increase in warning letters on the last reporting period was caused predominantly as a result as EUExit and business having difficulty with switching to the IPAFFS system over the TRACES system, not because of additional regulatory burden</p> <p>The Fish Health Inspectorate now undertakes enforcement work on behalf of Natural England with regards to the new Invasive Alien Species Regulations. This work has generated a large number of additional enforcement visits. The Fish Health Inspectorate was involved in multi-agency investigations with other regulatory bodies including Border Force and the Environment Agency (EA).</p>

Exclusion category	Summary of activity
<p>Education, communications and promotion</p>	<p>The FHI continued to engage with businesses through attendance at trade body events such as those held by the Ornamental Aquatic Trade Association (OATA), the British Trout Association (BTA), Shellfish Association of Great Britain (SAGB) and the Coarse Fish Conference. The FHI also attends scientific conferences and meetings and provides the UK co-ordinator for aquatic animal diseases to the World organisation for Animal Health (OIE).</p> <p>Information on regulation is published on the Gov.UK website, the Marine Science blog, and for events such as disease outbreaks, on the FHI Facebook page Businesses in proximity to disease outbreak events are contacted directly by letter or email to ensure that they are aware of the increased biosecurity risk in their area.</p> <p>Advising the aquaculture industry post EU Exit formed a large part of the FHIs role during this reporting period, with particular attention being paid to those whose business is based around exporting live aquatic animals (including live bivalve molluscs) into the European Union</p>
<p>Activity related to policy development</p>	<p>The Fish Health Inspectorate provides advice to Defra on policy related issues in several areas including aquatic animal health, non-native species, trade in live aquatic animals, and aquaculture development. In this period the FHI was closely involved preparing and advising for EU Exit on 1st January 2021</p> <p>However, the FHI has no responsibilities in relation the development of government policy, review of policy or the undertaking of consultations.</p>

Food Standards Agency (FSA)

Exclusion category	Summary of activity
Measures certified as being below <i>de minimis</i> (measures with an EANDCB below +/- £5 million)	<p>The FSA self-certified the following measures introduced in England as being below the <i>de minimis</i> threshold:</p> <ul style="list-style-type: none"> published a revised best practice Guidance on 'The safety and shelf-life of vacuum and modified atmosphere packed chilled foods with respect to non-proteolytic Clostridium botulinum' (December 2020); published The co-location of food and pet food production Guidance (December 2020); and published the revised Local Authority Food Law Code of Practice and Practice Guidance (March 2021), which included the implementation for a revised Competency Framework for Local Authority officers undertaking official controls.
Casework	<p>The FSA carries out the following routine activities, which will vary in scale and complexity on a case-by-case basis. These activities relate generally to business compliance with regulatory requirements and therefore do not represent any change in the burden placed on food businesses:</p> <ul style="list-style-type: none"> • The FSA leads on the 24/7 government response to food and feed incidents. • The FSA National Food Crime Unit (NFCU) gathers, analyses and disseminates intelligence in relation to food fraud and other offences of dishonesty within the food supply chain. • The FSA carries out criminal investigations into legislative non-compliance at FSA approved establishments. Where necessary, it prosecutes or refers relevant cases to the Crown Prosecution Service (CPS).
Education, communications and promotion	<p>The FSA routinely:</p> <ul style="list-style-type: none"> • uses an extensive range of social media techniques to inform, educate and influence stakeholders on a variety of issues to promote consumer protection and other interests; • produces a varied range of factsheets and information leaflets that are published on its website (www.food.gov.uk); • communicates with food business on many different subjects and consults them on regulatory changes that may impact them.
Activity related to policy development	<p>A significant proportion of FSA activity is related to policy development, including monitoring the delivery of official controls and enforcement to ensure the effectiveness of the UK Regulatory approach for food and feed law and reviewing business compliance to food law.</p>

Forestry Commission

Exclusion category	Summary of activity
<p>Measures certified as being below <i>de minimis</i> (measures with an EANDCB below +/- £5 million)</p>	<p>Decision support framework for peatland protection and the establishment of new woodland (Interim)</p> <p>This (interim) guidance has been jointly developed by the Forestry Commission, Forest Research and Natural England to provide a decision framework for landowners on where to establish trees and where to restore peat. Woodland expansion and better peatland protection and restoration are two of the most important large-scale changes in land use needed to restore nature, sequester and store carbon, and can provide many other environmental benefits. This guidance impacts those proposing woodland establishment on sites with peaty soils. The decision support framework should be used to ensure that woodland establishment will not adversely affect the peatland. This measure is expected to have a greater impact in the next reporting period as the interim guidance is expected to be replaced by new England guidance on Trees and Peat.</p> <p>The Official Controls and Phytosanitary Conditions (Amendment) Regulations 2021</p> <p>Amends the current Phytosanitary Controls Regulation (Commission Implementing Regulation 2019/2072, introducing stricter measures against <i>Xylella fastidiosa</i> ("Xylella"), based on the latest updates within the Pest Risk Analysis. Xylella is a bacterium which causes disease in a wide range of woody commercially grown plants such as grapevine, citrus, olive and several species of broadleaf trees widely grown in the Great Britain, as well as many shrubs and herbaceous plants. This new legislation came into force immediately before 4 March 2021 and applies nationwide.</p>
<p>EU Regulations, Decisions and Directives and other international obligations, including the implementation of the EU Withdrawal Bill and EU Withdrawal Agreement</p>	<p><u>LULUCF Regulation (EU) 2018/841 "On the inclusion of greenhouse gas emissions and removals from land use, land use change and forestry in the 2030 climate and energy framework, and amending Regulation (EU) No 525/2013"</u></p> <p>Revoked from UK law under the Climate and Energy (Revocation) (EU Exit) Regulations 2021, SI 2021/519</p>

Exclusion category	Summary of activity
Civil Emergencies	<p>Statutory Plant Health Notices</p> <p>SPHNs requiring the person served to fell of infected trees, are issued by the Forestry Commission to prevent the spread of pests and diseases The Forestry Commission issued 166 SPHNs under the Plant Health Act 1967 during this reporting period. Of which, 3 were for <i>Cryphonectria parasitica</i>, 11 for <i>Ips typographus</i> and 152 for <i>Phytophthora ramorum</i>.</p>
Casework	<p>Restocking Notices</p> <p>The Forestry Commission issued 49 Restocking Notices during the period in relation to alleged illegal felling (felling without the authority of a felling licence, where one is required). Restocking Notices compel the individual served to replant felled land with trees.</p> <p>Enforcement Notices</p> <p>The Forestry Commission issued 49 Enforcement Notices during the period in relation to alleged illegal felling (felling without the authority of a felling licence, where one is required), non-compliance with felling licence restocking conditions or breaches of forestry Environmental Impact Assessment Regulations. Enforcement Notices compel an individual to comply with Restocking Notice or Felling Licence conditions.</p>
Education, communications and promotion	<p>Applicants' Focus Group</p> <p>The Forestry Commission chairs the AFG on a quarterly basis to discuss grant and regulatory changes with members of the sector.</p> <p>Forestry and Woodlands Advisory Committees (FWACs)</p> <p>FWACs advise the Forestry Commission on implementing forestry and related policies. This includes providing expertise to the National Delivery Teams and sitting on Reference Committees in an appeal process.</p>

Gangmasters and Labour Abuse Authority (GLAA)

Exclusion category	Summary of activity
<p>Measures certified as being below <i>de minimis</i> (measures with an EANDCB below +/- £5 million)</p>	<p>During the period of this report the GLAA upgraded the licensing system, and the functionality to assist users by offering more self-service options. It also ran a consultation exercise on how it undertakes and priorities compliance activity (see: https://www.gla.gov.uk/whats-new/latest-press-releases/09092021-a-more-effective-compliance-strategy-following-public-consultation/). These two developments were the main reason for number of Briefs to licence holders within the period of the report. They are summarised below:</p> <p>67 The Risk of Using Mini-Umbrella Companies, Dec 2020 The Brief was produced in partnership with HMRC to alert licence holders to become involved with specific tax schemes that were seen as “an organised crime threat to the UK Exchequer.” and prevent abuse in the licensed sector.</p> <p>68 Charge Rate Guidance, March 2021 (supersedes 61) As previously reported in NQRP reports this Brief provides awareness to licence holders on the legal minimum charge rate they can charge which would allow them to pay all statutory deductions for tax/NI and meet the National Minimum wage rate.</p> <p>69 Launch of the new Active Check service, April 2021 The Active Check process assists users to ensure they do not use the services of unlicensed labour providers, which constitutes a criminal offence. This guidance has been updated to reflect functionality provided through the new licensing system. It provided guidance on how to use the new process, to ensure continuity of the service once the old licensing system was de-commissioned.</p> <p>70 New GLAA renewal process, April 2021 The renewal process changed as a result of the introduction of a new licensing system. The new system introduced a portal to enable licence holders to check their details online and calculate the renewal fee.</p> <p>71 How the GLAA tests employment status, April 2021 (supersedes 18) This Brief was a refresher on how the GLAA tests status, to identify bogus self-employment, signposting other existing Government guidance.</p> <p>72 Right to work checks from 1 July 2021, July 2021 Checking the right to work has been part of the inspection regime of licence holders/applicants, in relation to their workers, since 2006. This guidance provided updated advice on the post-Brexit Immigration position and process, including the impact of EU Settled status.</p>

Exclusion category	Summary of activity
	<p>73 Triggers for a new business compliance inspection, September 2021 The Brief explained a new approach, based on the conclusions from the compliance strategy consultation, which, in specific circumstances, would remove the need for a physical inspection, and reduce existing inspection burdens.</p> <p>74 Physical Application Inspection, September 2021 (supersedes 28) Following the compliance consultation, this Brief explained changes in the factors the GLAA will consider to determine whether an inspection is required, based on risk. It was a clarification of an existing procedure that may reduce inspection requirements in specific circumstances.</p> <p>75 Triggers for a Compliance Inspection, September 2021 This Brief explained inspection changes proposed following the GLAA's compliance strategy consultation. It identified a continuing focus on risk as an indicator of inspection need. However, it also explained that some inspections would be part of thematic programmes, and therefore not incur full inspection of a business across all of the GLAA's standards. Additionally, over a period of 5 years all licence holders would receive one inspection. Currently, if there is no adverse information received, they may not be inspected, but industry stakeholders were concerned that this could result in undetected non-compliance. As the GLAA's mission is safeguarding of workers from exploitation this approach adds additional, and necessary safeguards. Overall, the reduction in areas that may be inspected in thematic inspection, and the fact that a business may be inspected within a 5 year period, are not considered to increase business burdens to a significant degree across the licensed community of 1000+ licence holders. Other changes, as explained above, also balance business burdens with reductions in process elsewhere.</p>
Casework	<p>There are currently just over 1000 licence holders, each of which require renewal after a year. Decisions on application inspections and compliance inspections may occur based on the compliance strategy, see above links. In the last annual report and accounts reporting period published the compliance inspection figures were 222 Compliance cases tasked 2018/19 and 213 cases 2019/20. The 2020/21 ARA is under completion.</p>
Education, communications and promotion	<p>In January 2021 the GLAA launched a national education qualification for future workers entering the labour market, working with the skills and education group. The target audience is 16-year olds. In October this was supported by the production of a series of podcasts and videos. In May 2021 the GLAA produced a series of podcasts focused on raising awareness of compliance issues at hand car washes. These were produced in partnership with the Responsible Car Wash Scheme, as part of a pilot with funding from the Home Office and other industry stakeholders.</p>

Gambling Commission (GC)

Exclusion category	Summary of activity
Measures certified as being below <i>de minimis</i> (measures with an EANDCB below +/- £5 million)	<p>In the reporting period, the Commission has not published any consultation responses which have resulted in LCCP changes. These consultation responses include the gambling blocking software call for evidence; Changes to online games design and reverse withdrawals; Improving research methodology used to collect gambling participation and prevalence statistics; updating and improving the Regulatory Panels process through changes to corporate governance framework</p> <p>Following the consultation on online games design and reverse withdrawals, the Commission made changes to the Remote Technical Standards.</p>
Fines and Penalties	<p>The Commission has agreed six regulatory settlements which have included payments in lieu of financial penalty made by the licensees and recovery of the Commission's investigative costs. Where possible, monies have been divested to either an identified victim/s or used for socially responsible purposes.</p> <p>The Commission has imposed seven financial penalties for breaches of licence conditions and codes of practice (eg. anti-money laundering and social responsibility conditions). Funds from financial penalties are diverted into the Consolidated Fund.</p>
Casework	<p>The Commission imposed 1 personal licence revocation due to enforcement action; 4 personal licence revocations by licensing team as a result of lack of maintenance of licence by the licensee; 6 personal licence warnings; 1 operating licence revocation; 1 operator received a warning; 13 operators received either warnings, additional licence conditions or financial penalties; 6 operating licences suspended by the Commission pending investigation</p> <p>These actions against non-compliant businesses were to secure compliance with existing regulatory requirements.</p>
Education, communications and promotion	<p>The Commission has provided general information to operators and co-regulatory partners, industry and others via 24 e-bulletins, 51 press releases, 11 blog posts and various updates to our website content including guidance notes. The Commission has attended 170 stakeholder meetings, including industry, trade bodies, politicians and third sector organisations.</p> <p>The Commission has published: Annual Report and Accounts for 2020/21; Business Plan for 2021/22; Regulatory returns guidance; Testing strategy for compliance with remote gambling and software technical standards; Online games design and reverse withdrawals consultation responses; Industry statistics, statistics on young people and gambling, Covid-19 impact data, and gambling participation statistics.</p>

Exclusion category	Summary of activity
Activity related to policy development	<p>The Commission is currently consulting on changes to the Licensing, Compliance, and Enforcement Policy Statement to ensure that it remains transparent and up to date.</p> <p>The Commission will soon publish the response to the consultation on changes to customer interaction requirements and guidance. The outcomes from these activities will be reported in next year's NQRP assurance statement.</p>
Changes to management of regulator	<p>Andrew Rhodes appointed as Interim Chief Executive in June 2021, replacing Neil McArthur who left the Commission in March 2021. Sally Jones (COO) and Sarah Gardner (DCEO) were acting joint CEOs between March and June, with Sarah taking the Accounting Officer responsibility.</p> <p>There were the following changes at Executive level:</p> <ul style="list-style-type: none"> - Chief Operating Officer – Sally Jones was replaced by Charlotte Leonard (November 2021) - Chief Financial Officer – Marie Perry left the Commission in October 2021. Interim cover is currently in place. - Communications Director – Tamsin Morgan left in January 2021, replaced by Lucy Denton in June. - Legal Director – Nadine Pemberton Jn Baptiste replaced Natalie Prosser in March 2021 - Richard Watson, Executive Director for Enforcement and Intelligence left the Commission in May 2021. - Paul Hope, Executive Director National Lottery and Major Projects, left in December 2020. <p>William Moyes' term of office as Chair of the Gambling Commission ended September 2021, succeeded by Marcus Boyle.</p>

Groceries Code Adjudicator (GCA)

Exclusion category	Summary of activity
Education, communication and promotion	<p>The GCA delivered an annual conference and published general information and promotional material such as newsletters. This information included a best practice statement on forensic auditing agreed by Designated Retailers.</p>
Changes to management of regulator	<p>The GCA welcomed an independent member and a BEIS representative to its Audit and Risk Committee.</p>

Health and Safety Executive (HSE)

Exclusion category	Summary of activity
Measures certified as being below <i>de minimis</i> (measures with an EANDCB below +/- £5 million)	HSE has withdrawn or published various updated guidance documents for duty holders and inspectors to simplify language or reflect up to date practices without changing requirements. Compliant duty holders are not expected to do anything different to manage risk.
EU Regulations, Decisions and Directives and other international obligations, including the implementation of the EU Withdrawal Bill and EU Withdrawal Agreement	The Chemicals (Health and Safety) and Genetically Modified Organisms (Contained Use) (Amendment etc.) (EU Exit) Regulations 2020 amended the Chemicals (Health and Safety) and Genetically Modified Organisms (Contained Use) (Amendment Etc.) (EU Exit) Regulations 2019 in order to resolve inoperability issues which arose as a result of the EU Withdrawal Agreement.

Exclusion category	Summary of activity
Casework	<p>HSE uses different interventions to assess and secure effective management and control of hazards and remove risk from the workplace including inspections, investigations, permissioning and licensing regimes. Since April 2020 HSE's intervention activities have been affected by the working restrictions as a result of the ongoing pandemic. This has had a significant impact on HSE's planned campaigns and while high-hazard intervention activities have continued throughout there has been a significant reduction in the numbers of conventional inspections against those planned from April to March 2021.</p> <p>Although unable to do everything originally planned due to the pandemic working restrictions, HSE has re-prioritised resources and undertaken a significant amount of activity in supporting the government during the pandemic. HSE has worked closely with other government departments to develop science and research evidence to support COVID-guidance and with Local Authorities to conduct COVID compliance spot-checks. Throughout the pandemic HSE has continued to ensure key sectors considered essential to societal wellbeing, have continued to operate safely.</p> <p>HSE has completed over nine thousand COVID compliance inspections and over five thousand conventional Health and Safety inspections to reduce risk within the workplace. In addition, HSE has conducted over 182,000 COVID spot-checks to ensure workplace premises are COVID-secure and compliant with Government COVID-safety rules. None of these activities represent a change in the burden of regulation placed on business. Further information can be found on HSE's website in HSE's Annual Report and Accounts 2020/21 and the annual publication of the Health and Safety Statistics in Great Britain.</p>
Education, communications and promotion	<p>HSE campaigns, publications, press releases, news and stakeholder engagement events are available on the website. None of the material produced creates a new regulatory standard that businesses will be expected to follow and attendance at educational and promotional events is not compulsory.</p>
Activity related to policy development	<p>HSE public consultations held during the reporting period can be found on the HSE website. HSE has published completed Post Implementation Reviews on legislation.gov.uk.</p>
Changes to management of regulator	<p>All changes to the HSE Board, management and structures are detailed in the Annual Report and Accounts.</p>

HM Land Registry

Exclusion category	Summary of activity
<p>Measures certified as being below <i>de minimis</i> (measures with an EANDCB below +/- £5 million)</p>	<p>HM Land Registry has evaluated and found that the measures referenced below shown in order of the magnitude of the impact (both as a benefit and a burden) fall [well within/within] the <i>de minimis</i> threshold.</p> <p>In this reporting period HM Land Registry has:</p> <ul style="list-style-type: none"> - introduced its Digital Registration Service. Business customers can prepare applications electronically before submitting them. HMLR systems will validate data which will enable applications to be lodged more accurately thereby speeding up registration. - made enhancements to the View My Applications service, which enables HM Land Registry portal users to track the progress of applications, to also see estimated completion dates for their applications. - made permanent former temporary practice enabling deeds to be executed where the parties were not all present on completion of a transaction. - made enhancements to HM Land Registry portal so users can reply to correspondence on an application - introduced a non-mandatory form, Form RXC, to assist customers in providing consents and certificates required to comply with standard form restrictions in the register in a format acceptable to HM Land Registry. - produced new guidance and made 53 updates to practice guides and other guidance held on GOV.UK (where not covered by another administrative exclusion) to add additional guidance and examples and to reflect changes in and/or clarify its practices, processes and requirements to aid customers in making quality applications and in the understanding of the process. Familiarisation costs in total amount to less than £5 million.
<p>Casework</p>	<p>Details can be found in HM Land Registry's Annual Report and Accounts published on GOV.UK.</p>
<p>Education, communications and promotion</p>	<p>HM Land Registry has amended 33 practice guides, forms and other guidance to restate practices; factually reflect legislation and changes to; advise on completion times. In addition, promotional material has been produced by HM Land Registry through webinars, videos, blogs and news stories on GOV.UK to aid in the preparation and lodgement of quality applications and the promotion of services and products.</p>

Exclusion category	Summary of activity
Activity related to policy development	HM Land Registry is undertaking a Private Beta pilot with a small group of customers to explore the potential introduction of qualified electronic signatures.

Human Tissue Authority (HTA)

Exclusion category	Summary of activity
<p>Measures certified as being below <i>de minimis</i> (measures with an EANDCB below +/- £5 million)</p>	<p>The HTA revised and published its Code of Practice D, to make consent expectations for the public display of imported bodies and body parts the same as for those sourced in England, Wales or Northern Ireland.</p> <p>Changes to regulatory processes</p> <p>From February 2021 the HTA has also introduced Virtual Regulatory Assessments (VRAs) to the Anatomy, Post Mortem, Research and Organ Donation and Transplantation sectors. A blended inspection model, combining VRAs with a site visit has also been introduced in some sectors that the HTA regulates. This approach is designed to provide greater flexibility in terms of regulatory oversight of licensed establishments and can be targeted to risk. This is intended to minimise time on-site and reduce the regulatory burden on licensed establishments.</p>
<p>Casework</p>	<p>At the end of September 2021, 608 establishments had an HTA licence, across six diverse sectors. Of these, 328 establishments were public sector organisations and 280 were classified as businesses.</p> <p>Casework figures have been determined for an annual period deemed representative of the reporting period.</p> <p>Between 1 October 2020 and 30 September 2021, the HTA managed:</p> <ul style="list-style-type: none"> - 75 VRAs, including two with a site visit component, resulting in 232 shortfalls identified with corrective actions required. - 647 incidents reported across six sectors - 52 new licence applications - 765 licence variations requests - 54 preparation process dossier submissions - 129 establishments in the Human Application sector submitted an annual activity return - 1 new fixed-term emergency mortuary licence application - 5 emergency mortuary licences had an extension to term - 4 new fixed-term licences issued to facilities that remove samples from the deceased for testing for COVID-19 infection as part of a public-health surveillance scheme. <p>The HTA made a decision on 902 living organ donors – a panel of HTA Board Members made a decision on 255 of these. 51 bone marrow/PBSC cases were also considered and approved by the HTA.</p>

Exclusion category	Summary of activity
	<p>The UK left the European Economic Area (EEA) single market and customs union which resulted in changes in HTA licensing requirements for the movement of human tissues and cells between Great Britain (GB), Northern Ireland (NI), and the EEA. 16 new licences were issued, and 31 existing licences were varied.</p>
<p>Education, communications and promotion</p>	<p>Revisions were made to Post Mortem sector policies and guidance documents for clarity. Guidance notes were also issued to regulated sectors throughout the reporting period to provide advice and guidance on how to comply with our regulatory standards and to prepare for EU exit.</p>
<p>Changes to management of regulator</p>	<p>In January 2021 the office location moved from Victoria, London to Stratford, London. Staff were offered the option of home or office-based contracts.</p>

Information Commissioner's Office (ICO)

Exclusion category	Summary of activity
Pro-competition	<p>In May 2021 the Information Commissioner's Office (ICO) and the Competition and Markets Authority published their blueprint for cooperation in digital markets, detailing how they would work together to overcome perceived tensions between their objectives, with joint work to consider market developments such as the Google Privacy Sandbox.</p> <p>The ICO developed a Small and Medium sized Enterprise (SME) web hub to make it easier for SMEs to act upon data protection advice. This complements existing SME helpline, live chat and email services. As of the end of September the ICO had responded to more than 390,000 organisations; most of which were SMEs.</p> <p>It has also proactively provided businesses with information to ensure data protection is not an impediment to keeping business moving in a data driven world. And it approved its first Certification Schemes in areas of age-appropriate design, age assurance, and asset disposal. The schemes certify that products, services and processes businesses provide are compliant with data protection legislation. These measures are positive for businesses.</p>
Fines and Penalties	<p>Fines issued to non-public sector organisations for not registering with the ICO totalled £98,800. Fines for other data protection breaches totalled £25,000. Fines for Privacy and Electronic Communications Regulation breaches were just over £2.1m.</p>
Casework	<p>The ICO handles complaints from individuals under the GDPR and the DPA 2018. In the reporting period the ICO received over 37,000 complaints from the public about data protection issues of which over a third relate to businesses; with over 9,500 personal data breaches reported.</p>
Education, communications and promotion	<p>Following EU exit the ICO updated all its guidance to reflect that the UK has left the EU, and published guidance covering the issues that exit raised. Following the opening of applications to the ICO regulatory sandbox, designed to support organisations using personal data to develop innovative products, it published outcomes reports highlighting lessons learned and issues for the future. The ICO also published its Data Sharing Code - providing practical advice to businesses on how to share data responsibly, supporting digital innovation across businesses.</p>
Activity related to policy development	<p>The ICO launched consultations on its draft; Journalism code of practice: Regulatory Action Policy; New employer hub of guidance products and international data transfer agreement. In addition, the Children's' Code came into force in September 2021. It ensures that online services likely to be accessed by children respect a child's rights and freedoms when using their personal data. A Commissioner's Opinion on Age Assurance, giving a detailed explanation of how the law applies, has also been published. These measures are positive for business</p>

Intellectual Property Office (IPO)

Exclusion category	Summary of activity
Measures certified as being below <i>de minimis</i> (measures with an EANDCB below +/- £5 million)	<p>The Patents, Trade Marks and Designs (Address for Service) (Amendment) (EU Exit) Rules 2020 (SI 2020/1317)</p> <p>The IPO funded IP audits for 271 businesses and approved 59 IP Access applications for funding to implement audit recommendations. In addition to this, the network of Patent Libraries, for which we have provided IP training, have provided business-related workshops and seminars to 20,044 attendees and provided 5,391 IP clinics and responses to email enquiries on IP-related matters. IPO dealt with the following number of applications between 17 December 2020 and 21 November 2021:</p> <ul style="list-style-type: none"> - Patent Applications: 17,493 - Trade Mark Applications: 154,468 - Designs Applications: 57,137
Measures certified as concerning EU Withdrawal Bill operability measures	<p>The Design Right (Semiconductor Topographies) (Amendment) (EU Exit) Regulations 2018 (SI 2018/1052)</p> <p>The Intellectual Property (Exhaustion of Rights) (EU Exit) Regulations 2019 (SI 2019/265)</p> <p>The Trade Marks (Amendment etc.) (EU Exit) Regulations 2019 (SI 2019/269)</p> <p>The Intellectual Property (Copyright and Related Rights) (Amendment) (EU Exit) Regulations 2019 (SI 2019/605)</p> <p>The Designs and International Trade Marks (Amendment etc.) (EU Exit) Regulations 2019 (SI 2019/638)</p> <p>The Patents (Amendment) (EU Exit) Regulations 2019 (SI 2019/801)</p> <p>The Intellectual Property (Amendment etc.) (EU Exit) Regulations 2020 (SI 2020/1050)</p> <p>The Supplementary Protection Certificates (Amendment) (EU Exit) Regulations 2020 (SI 2020/1471)</p> <p>The Trade Marks and International Trade Marks (Amendment) (EU Exit) Regulations 2021</p>
Education, communications and promotion	<p>IPO updated practice and guidance on the relationship between trade marks and GIs in view of the NI protocol.</p> <p>The IPO updated the Manual of Patent Practice to provide guidance on any relevant case law over the period</p>

The Insolvency Service (INSS)

Exclusion category	Summary of activity
Casework	<p>Licences</p> <p>The Recognised Professional Bodies (RPBs) licensed 1,570 Insolvency Practitioners at 1 January 2021, of which 1,288 were authorised to take insolvency appointments. A licence lasts for 1 year and if the Insolvency Practitioner stays with the RPB for subsequent years there is an annual renewal process.</p> <p>Complaints to RPBs</p> <p>The RPBs received 371 complaints forwarded from the Agency's Insolvency Practitioner Complaints Gateway in 2020 (January–December). These complaints are assessed, investigated (if the evidence suggest such an investigation should take place), placed before committee where appropriate and possibly progressed to disciplinary action against the Insolvency Practitioner.</p> <p>Complaints about RPBs</p> <p>IP Regulation Section deal with complaints about the RPBs – 10 complaints were received in 2020.</p> <p>RPB Monitoring</p> <p>The RPBs monitor Insolvency Practitioners usually on a 3-year rotation but sometimes more frequent visits are necessary if the IP has had a previous poor report or their type of work warrants it. There were 369 monitoring visits in 2020 (January – December). These usually consist of a review of a sample of insolvency cases and a report is issued to the Insolvency Practitioner. The report and any recommended further actions, including any potential disciplinary matters, are considered by a committee</p>
Education, communications and promotion	<p>IP Regulation Section publishes a number of documents each year including the Annual Review of IP Regulation, monitoring reports on the RPBs, Dear IP (a regular newsletter, including technical updates) and sanctions against IPs imposed by the RPBs.</p>

<p>Activity related to policy development</p>	<p>The Insolvency Code of Ethics and Statements of Insolvency Practice (SIPS) are developed by the Joint Insolvency Committee (JIC) and are adopted as a regulatory standard by all the RPBs.</p> <p>A number of revised and updated SIPs were issued during 2021:</p> <ul style="list-style-type: none"> - SIP 3.2: Company voluntary arrangements (effective from 1 April 2021) - SIP 7: Presentation of financial information in insolvency proceedings (effective from 1 April 2021) - SIP 9: Payments to insolvency office holders and their associates from an estate (effective from 1 April 2021) - SIP 13: Disposal of assets to connected persons in an insolvency process (effective from 30 April 2021) - SIP 16: Pre-packaged sales in administrations (effective from 30 April 2021) <p>A consultation on revisions to SIP 3.1: Individual voluntary arrangements was published on 12 August 2021 and closes on 5 November 2021.</p> <p>Further potential revisions to SIP16 will be considered in the final quarter of 2021</p>
<p>Changes to management of regulator</p>	<p>At its own request, the ACCA was removed as an RPB from 1 March 2021.</p>

Maritime and Coastguard Agency (MCA)

Exclusion category	Summary of activity
<p>EU Regulations, Decisions and Directives and other international obligations, including the implementation of the EU Withdrawal Bill and EU Withdrawal Agreement</p>	<p>The Maritime and Coastguard Agency has implemented 4 EU, International obligations / de minimis measures:</p> <ul style="list-style-type: none"> The Merchant Shipping (Prevention of Pollution from Noxious Liquid Substances in Bulk and Prevention of Oil Pollution) (Amendment) Regulations 2021 The Merchant Shipping (Counting and Registration of Persons on Board Passenger Ships) (Amendment) Regulations 2021 The Merchant Shipping (Prevention of Air Pollution from Ships) (Amendment) Regulations 2021 The Merchant Shipping (Cargo Ship) (Bilge Alarm) Regulations 2021
<p>Casework</p>	<p>In light of the ongoing Covid-19 pandemic and therefore only where appropriate the MCA has continued its programmes of:</p> <ul style="list-style-type: none"> Port State Control inspections and Flag State Control surveys. Issuing prohibition and improvement notices or detentions where necessary. Training course approvals, competency examinations for seafarers and the issuing of boat master licences. International Safety Management audits and Document of Compliance audits. <p>No activities within this exemption represent a change in the burden of regulation placed on business, except where there result from a separate qualifying regulatory provision which has been assessed.</p>

Exclusion category	Summary of activity
<p>Education, communications and promotion</p>	<p>The MCA have published nearly 200 documents providing the UK maritime sector with general information in a wide range of areas. For example:</p> <ul style="list-style-type: none"> Marine safety bulletins, safety information and Scientific, Technical and Operational Advice Notes Training materials for counter pollution training courses National Contingency Planning and Search and Rescue Cooperation Plans Companies offering maintenance of radio equipment Local fuel oil suppliers register SAR statistical information List of protected wrecks in the UK Seafarer application forms <p>Our Coastguard volunteers attend numerous local shows and events to promote coastal safety for pleasure users. MCA surveyors and policy teams are actively involved in, the Southampton Boatshow, Seaworks, Skipper Expo International in Aberdeen and Bournemouth providing advice and guidance on maritime legislation</p>
<p>Activity related to policy development</p>	<p>The MCA has undertaken 15 consultations.</p>

Medicines and Healthcare products Regulatory Agency (MHRA)

Exclusion category	Summary of activity
<p>Measures certified as being below de minimis (measures with an EANDCB below +/- £5 million)</p>	<p>MHRA has continued to work closely with the Department of Health and Social Care (DHSC) and other healthcare partners and stakeholders to rapidly identify where flexibilities in the regulation of medicines and medical devices may be possible. This helps the healthcare products supply chain and wider response to the coronavirus (COVID-19) outbreak in the UK. Guidance for industry on flexible approaches to regulation MHRA are taking during the COVID-19 outbreak can be found at https://www.gov.uk/guidance/mhra-regulatory-flexibilities-resulting-from-coronavirus-covid-19</p> <p>The flexibility has allowed for the continued dissemination of Direct Healthcare Professional Communications (DHPCs) by email rather than post informing them of important new safety information about a medicine such as withdrawals and shortage problems and any actions they should take. Email-only or email/post-hybrid models have been used for 7 pharmacovigilance/quality issue safety letters to healthcare professionals in the reporting period. We understand from stakeholder feedback that an electronic option for these letters is preferred by both industry and healthcare professionals as it saves both costs and time.</p> <p>For a number of years the British Generic Manufacturers Association (BGMA) has been working with MHRA to co-ordinate the implementation and dissemination in the UK of a single Direct Healthcare Professionals Communication (DHPC) or other educational materials on behalf of MAHs for a medicine or group of medicines. This has the advantage of ensuring consistency of messaging and materials, less burden for recipients of what could otherwise be many sets of similar materials, and reduced costs for individual companies. During the reporting period, 3 BGMA projects were completed with between 17 and 20 companies in each.</p>
<p>Measures certified as concerning EU Withdrawal Bill operability measures</p>	<p>From 1 January 2021, the MHRA is the UK's standalone medicines and medical devices regulator. As such, the MHRA has published detailed guidance on how medicines and medical devices will be regulated at the end of the Transition Period, in both a negotiated and non-negotiated outcome with the EU on https://www.gov.uk/government/collections/mhra-post-transition-period-information</p> <p>In its July Command Paper, the Government set out proposals for a new balance in how the Protocol is operated, which are now being discussed with the European Union (EU).</p>

Natural England

Exclusion category	Summary of activity
<p>Measures certified as being below de minimis (measures with an EANDCB below +/- £5 million)</p>	<p>During the reporting period, Natural England continued to make amendments to its wildlife licensing regime under the scope of the original SI, (the Wildlife Licence Charges Order 2018). On 1st October 2021, NE started charging for new registrations for 10 x class survey licences:</p> <p>Great Crested Newt: CL08 survey for GCN Level 1; CL09 GCN level 2; Hazel dormouse: CL10a Hazel dormice survey Level 1; CL10b Hazel dormice Level 2; White clawed crayfish: CL11 White clawed crayfish survey; Bat: CL17 Bat survey Level 1, CL18 Bat Level 2; CL19 Bat Level 3; CL20 Bat Level 4; Barn owl: CL29 to survey for barn owl for development;</p> <p>The charge for re-registrations will start from 1st January 2022. In 2019 and 2020, NE implemented other charges as permitted in the SI, including for all "mitigation" licences. Changes have also been made to the hen harrier diversionary feeding class licence, but it has not been possible to quantify the costs associated with this as no baseline data was available. New licences for the control of wild birds also became operational on 1 January 2021, and cover the same purposes as currently (conservation, preserving public health and public safety, preventing serious damage). The new general licences are available for use on and around protected sites, provided that the user complies with any conditions that apply to that site and has SSSI (Site of Special Scientific Interest) consent from Natural England where needed. Users will need to ensure they have the appropriate consent from Natural England for activities that may cause damage to protected features on SSSIs. Charges are deemed to be below de minimis due to the relatively low costs of accessing a General licence.</p>
<p>Casework</p>	<p>Between 17th December 2020 and 16th December 2021 Natural England responded to 52,626 items of casework relating to Terrestrial and Marine planning consultations, SSSI and Land Management Consents/Assents and Wildlife licenses.</p>

Exclusion category	Summary of activity
Education, communications and promotion	<p>Natural England has continued to update and make minor amendments to 196 pieces of guidance on GOV.UK, covering wildlife management, protected species and protected areas in response to customer feedback and requests. It made 20 new publications available on its Access to Evidence portal, which includes the Impact of COVID-19 on engagement with green and natural spaces report. It has published 104 items of new information on GOV.UK including corporate reports, updates to its services, policy and The River Otter Beaver Trial: Natural England's assessment of the trial and advice on the future of the beaver population. Also included was the Natural Capital Evidence Handbook: to support place-based planning and decision-making. It continues to make available, free of charge, maps and geographic information through its MAGIC website as well as updating and maintaining its designated sites database</p>
Activity related to policy development	<p>During the BIT reporting period, Natural England supported Defra in its ongoing consultations around wildlife management and protected species. The organisation also published the new Countryside Code which allows people of all ages and backgrounds to enjoy the health and wellbeing benefits that nature offers, while giving it the respect it deserves. It published the change to the law on when you can burn, when you need a licence and how to burn heather & grass safely. There were also 2 updates on progress with improving coastal access in England and 7 Marine Area Site Packages. It also provided 156 updates relevant to Countryside stewardship.</p>
Changes to management of regulator	<p>Dr. Clare Fitzsimmons was appointed to the Board on 13th September 2021. Prof Sue Hartley left the Board on 12th September 2021 having served for 3½ years on the Board. Lord Blencathra, Catherine Dugmore and Henry Robinson have had their contracts extended and will continue on the Board for another term of 3 years. Oliver Harmar was appointed as Chief Operating Officer on 13th September 2021</p>

Ofcom

Exclusion category	Summary of activity
<p>Measures certified as being below <i>de minimis</i> (measures with an EANDCB below +/- £5 million)</p>	<p>Amendments to the Broadcasting Code to include new provisions to ensure that broadcasters take due care of people who may be at risk of significant harm due to their participation in television and radio programmes.</p> <p>Introduction of a new licence condition requiring Wireless Telegraphy Act licensees to comply with limits on electromagnetic field (EMF) exposure.</p>
<p>EU Regulations, Decisions and Directives and other international obligations, including the implementation of the EU Withdrawal Bill and EU Withdrawal Agreement</p>	<p>Updating the TV Access Code to reflect new statutory requirements implementing the revised Audiovisual Media Services Directive (AVMSD).</p> <p>Making changes to our General Conditions (and associated guidance documents) as a result of implementing the European Electronic Communications Code (EECC).</p>
<p>Measures certified as concerning EU Withdrawal Bill operability measures</p>	<p>Making minor amendments to the General Conditions (GCs) and the Numbering Plan, to ensure that the relevant GCs and Numbering Plan continued to have the same scope and effect immediately after the UK left the EU as they did immediately before.</p> <p>Updating the definition of 'non-domestic broadcasters' to now only cover providers of television services which broadcast to countries party to the European Convention of Transfrontier Television (ECTT) other than the United Kingdom. This reflects changes under the Broadcasting (Amendment) (EU Exit) Regulations 2019 to Ofcom's jurisdiction over TV services</p>

Exclusion category	Summary of activity
Pro-competition	<p>Wholesale Fixed Telecoms Market Review 2021-26: setting out how Ofcom has decided to regulate the fixed telecoms that underpin broadband, mobile and business connections markets from April 2021 until March 2026.</p> <p>Hull Area Wholesale Fixed Telecoms Market Review: setting out our decisions regarding the regulation of KCOM to 2026.</p> <p>Wholesale Voice Markets Review 2021-26: setting out our decisions for the regulation of wholesale voice markets that underpin landline and mobile telephone calls in the UK from April 2021 until 2026.</p> <p>Existing Openreach FTTP offers with geographic pricing: granting consent in relation to the three existing Openreach offers with geographic prices, permitting the existing geographic pricing to continue until the current offer periods end</p>
Fines and Penalties	<p>Ofcom has imposed a number of fines and penalties associated with a specific enforcement decisions. These are classed as a non-qualifying regulatory provision under the case work exclusion and are not recorded separately here</p>
Casework	<p>Ofcom carried out a significant level of casework during the Period including:</p> <ul style="list-style-type: none"> investigation and enforcement activity in relation to broadcast standards⁷ and competition and consumer enforcement⁷ licence awards; updates to licence terms; and granting Code powers to persons providing an electronic communications network and/or system of infrastructure

⁷ These are ordinarily published in the [Competition and Consumer Enforcement Bulletin](#)

Exclusion category	Summary of activity
Activity related to policy development	<p>Ofcom have published various consultations and calls for inputs over the period to further develop our policy and regulatory decisions, including:</p> <ul style="list-style-type: none"> Call for inputs: Review of postal regulation. Call for inputs: Review of measures to protect people in debt or at risk of disconnection. Consultation: VSPs - Risk of harms and protection measures guidance. Consultation: Licensing updates for non-geostationary satellite earth stations. Consultation: Opening up the mobile repeaters market Consultation: Proposal for the regulation of advertising on video sharing platforms. Consultation: Review of Media Ownership rules

Office for Students

Exclusion category	Summary of activity
Measures certified as being below de minimis (measures with an EANDCB below +/- £5 million)	<p>Regulatory notices</p> <p>In this period the OfS introduced an ongoing condition of registration to enable the Office for Students (OfS) to intervene more quickly and in a targeted way when we consider there to be a material risk that a registered provider may cease the provision of higher education. The condition applies from 1 April 2021 to all providers registered with the OfS, except Further Education Bodies (as defined in section 4 of the Technical and Further Education Act 2017).</p> <p>Regulatory guidance</p> <p>The OfS published new guidance documents dealing with advice about notifications about third parties, the OfS's approach to determining the amount of a monetary penalty, and updated guidance for registered providers about the events or matters they are required to report to the Office for Students (OfS) to inform the OfS's risk-based approach to monitoring. This guidance on reportable events sets out the way in which we are delivering in practice on our commitment that providers that do not pose specific increased risk should experience less regulatory burden</p>
Casework	<p>Notifications</p> <p>The OfS receives, assesses and, where appropriate, investigates notifications made about a provider that the OfS regulates, to ensure that they comply with the ongoing conditions of registration.</p> <p>The OfS website details its regulatory decisions</p>
Education, communications and promotion	<p>The OfS undertakes presentations, organises webinars and communicates on specific topics. Participation in these events is not mandatory.</p>
Activity related to policy development	<p>The OfS undertakes data analysis and commissions and publishes independent research to inform decision making, and for transparency purposes.</p>
Changes to management of regulator	<p>The term of office of the new chair of the OfS board, James Wharton, also known as Lord Wharton of Yarm, began on 1 April 2021 replacing Sir Michael Barber, the outgoing chair.</p>

Office for Nuclear Regulation (ONR)

Exclusion category	Summary of activity
EU Regulations, Decisions and Directives and other international obligations, including the implementation of the EU Withdrawal Bill and EU Withdrawal Agreement	Following the UK's exit from the EU and Euratom, regulatory responsibility for UK Nuclear Safeguards (measures to verify that countries comply with their international obligations not to use nuclear materials from their civil nuclear programmes to manufacture nuclear weapons) transferred from Euratom to ONR on 1 January 2021. Since ONR was initially tasked by Government to establish a domestic safeguards regime after Brexit, ONR has developed a team of safeguards specialists, including inspectors and nuclear material accountants, and implemented a bespoke IT system.
Casework	Regulatory interventions are published on the ONR website as part of ONR's publication scheme. None of the activities represent a change in the burden of the regulation placed on businesses.
Education, communications and promotion	ONR publicity materials did not create a new regulatory standard that businesses are expected to follow.
Activity related to policy development	<p>A Post Implementation Review of Part 3 of the Energy Act 2013 (providing the framework setting out the governance, responsibilities and the powers of ONR) formally commenced in August. Jointly led by Department for Business, Energy and Industrial Strategy and the Department for Work and Pensions it is expected to conclude early 2022.</p> <p>ONR undertook two consultations on:</p> <ul style="list-style-type: none"> - its revised interpretation of 'bulk quantities' in the context of licensing nuclear installations for storage and disposal of radioactive matter (November 2020 - January 2021) and published its response to the consultation in mid-November - updated reference papers for Coastal Flood Hazards and Meteorological Hazards for Nuclear Sites (October – November 2021) <p>ONR also published its updated Strategic Framework for International Engagement (March 2021) which strengthens governance arrangements so ONR can measure success and impact of its international engagements more effectively.</p>

Exclusion category	Summary of activity
Changes to management of regulator	<p>ONR fully implemented its new leadership structure, aligning with other international nuclear regulators on 1 June 2021</p> <p>appointments included:</p> <ul style="list-style-type: none">Mark Foy - combined Chief Executive and Chief Nuclear InspectorSarah High - Deputy Chief ExecutiveDonald Urquhart - Executive Director of OperationsGeoff Hawker – Finance Director <p>ONR's Senior Leadership Team structure is available on the website.</p>

Office of Gas and Electricity Markets (Ofgem)

Exclusion category	Summary of activity
EU Regulations, Decisions and Directives and other international obligations, including the implementation of the EU Withdrawal Bill and EU Withdrawal Agreement	We published documents to reflect changes in EU regulations and did not include gold plating. These documents related to requirements under or changes to the EBGL regulation (European Electricity Balancing Guidelines).
Pro-competition	We published documents relating to regulatory provisions that are intended to deliver, or to replicate, better competition-based outcomes in the energy market. This includes matters such as RIIO price controls and the Market-Wide Half-Hourly Settlement (MHHS) which intends to place incentives on suppliers to offer new tariffs and products.
Casework	The majority of our publications concerned specific investigation and specific enforcement activity, and individual licence decisions. These documents mostly related to 1) the applications for, notice of, or revocation of individual licences, 2) the appointment of new suppliers, and 3) final orders. Other documents related to regulatory activities such as specific approval of individual charging and service statements, and methodologies.
Activity related to policy development	We published documents regarding our own policy development such as formal and informal consultations and ad hoc information requests. These related to matters including the default tariff cap, RIIO innovation funds and renewable schemes such as the Renewables Obligation (RO) and the Feed-In Tariffs (FIT).

Office of Road and Rail (ORR)

Exclusion category	Summary of activity
<p>Measures certified as being below de minimis (measures with an EANDCB below +/- £5 million)</p>	<p>We are monitoring compliance with the Government's Public Health Information Regulation. In particular, Eurostar's and Eurotunnel's obligations to provide information and ensure that passengers follow the legal requirements. Since January 2021 90 fixed penalty notices have been served.</p> <p>Passenger impact review and lessons learned review into train operators affected by the cracks on a component on the Hitachi class 800 trains was published June 2021.</p> <p>Monitoring compliance with Regulation (EC) No 1371/2007 (as amended) including compliance with Article 28, the publication of an annual service quality report.</p> <p>New data collection includes Public Service Vehicle Accessibility Regulations data for rail replacement duties.</p> <p>In August 2021 (following consultation) we published our intention to introduce a delay compensation code of practice, our new guidance on level crossing risk assessment - Principles for Managing Level Crossing Safety.</p> <p>Published our policy and guidance on the process for renewing train driving upon expiry.</p> <p>Published updated guidance on the application of the Railway Safety Regulations 1999 to Mark 1 type rolling stock and hinged door rolling stock; Published a guide to health and safety law in relation to wholly volunteer run organisations.</p>
<p>EU Regulations, Decisions and Directives and other international obligations, including the implementation of the EU Withdrawal Bill and EU Withdrawal Agreement/ Measures certified as concerning EU Withdrawal Bill operability measures</p>	<p>We published the following guidance documents:</p> <p>EU passenger and freight licences and statements of national regulatory provisions; Train driving licences</p> <p>Railway safety legislation; Entities in charge of maintenance</p> <p>We updated guidance on The Railways (Access, Management and Licensing of Railway Undertakings) Regulations 2016, as amended to reflect the latest changes.</p> <p>We updated and published a Train Operator User Guide on ORR Train Driving Licences System.</p> <p>We produced a cross-border train driving guidance in relation to cross-border driving from 1 February 2022.</p> <p>We published an updated version of our guide to key railway safety regulations – The Railways and Other Guided Transport Systems (Safety) Regulations 2006 and a consolidated version of the regulations to explain the changes made following EU exit.</p>

Exclusion category	Summary of activity
Pro-competition	Published the final report of our market study including recommendations to open up the railway signalling market and encourage suppliers to compete on cost, quality, and innovation.
Casework	<ol style="list-style-type: none"> 1. Licensing operators of railway assets: we issued licences to 4 operators; we granted licence exemptions to 13 operators; and we revoked 5 licences/exemptions. 2. Stations and depots: we gave our specific approval to 46 new agreements and 126 amended agreements. 3. Track Access: we approved new track access contracts and amendments to existing contracts: Framework agreements with Network Rail; Train Operating Companies – 63 approvals and 7 notices of consent Freight Operating Companies – 13 approvals/directions and 5 notices of consent issued. 5 approvals to connection contracts, where networks between different parties meet. Facility access contracts between FOCs and freight facility owners: Parties were able to use the General Approvals for a number of contracts. 4. We made one appeal decision under Part M of the Network Code – concerning disputes between industry parties. 5. Between 23 October 2020 and end October 2021 we issued 1,187 train driving licences. 6. We issued 13 safety authorisations and 32 safety certificates⁸. 7. With respect to level crossings, we authorised 38 level crossing orders in accordance with the Level Crossing Act 1983, made two authorisations for signs from the Private Crossings (Signs and Barriers) Regulations 1996, and issued two Christmas Directions under the Road and Rail Traffic Act 1933.
Education, communications and promotion	<ol style="list-style-type: none"> 1. We refreshed our track access guidance to reflect legislative changes and to improve its relevance. We published decision letters for each specific approval, direction or rejection explaining the reasons for our decision.² Annual consumer report published July 2021; 3. We initiated our Know your rights campaign December 2020.

⁸ Between 17 December 2020 and 16 December 2021

Office for Product Safety and Standards (OPSS)

Exclusion category	Summary of activity
<p>Measures certified as being below de minimis (measures with an EANDCB below +/- £5 million)</p>	<p>Extension of the Primary Authority Scheme to cover relevant enactments made under Part 2A of the Public Health (Control of Disease) Act 1984.</p> <p>Updating the list of legislation that primary authorities can provide assured advice on to include regulations made under Part 2A of the Public Health (Control of Disease) Act 1984 (the 1984 Act). This means in a future pandemic, advice by primary authorities can formally apply across all branches of a business / group of businesses from the outset of the pandemic, and that businesses cannot be required to follow conflicting advice from different local authorities.</p> <p>The number of businesses expected to join the scheme in the event of a pandemic is expected to rise. The costs involved are primarily set-up costs such as initial partnership building between the local authority and business, and then familiarisation with the primary authority guidance.</p> <p>Note: 'Primary authorities' are local authorities providing advice to businesses on a range of regulatory issues.</p> <p>This SI was laid on 1 Nov and parliamentary debates are yet to be scheduled. Once parliamentary approval is secured it will be a further 21 days before this SI comes into force, therefore it may potentially fall just outside this BIT reporting period.</p>

Exclusion category	Summary of activity
<p>EU Regulations, Decisions and Directives and other international obligations, including the implementation of the EU Withdrawal Bill and EU Withdrawal Agreement</p>	<p>The Market Surveillance (Northern Ireland) Regulations 2021 supports the implementation of the EU Regulation on Market Surveillance and Compliance of Products 2019/1020/ (MSC). It confers updated legal powers on market surveillance authorities (MSAs) and sets out a proportional enforcement and penalty regime for the Regulation.</p> <p>The NI Protocol has already been subject to an Impact Assessment under the European Union (Withdrawal Agreement) Act 2020. Subsequent changes to the functioning of the Protocol are to be considered part of the baseline which has already been assessed. Only changes where the UK is electing to implement the same provisions in Great Britain require an assessment of costs; no such provisions were brought forward by this SI.</p> <p>The Conformity Assessment (Mutual Recognition Agreements) and Weights and Measures (Intoxicating Liquor) (Amendment) Regulations 2021 introduces regulations that make changes that are necessary as a result of the UK's Trade negotiations. The regulations provide certainty that where relevant products from certain countries are conformity assessed by recognised bodies, they can be placed on the market in Great Britain and affixed with the UKCA marking. Conformity assessment by recognised bodies in these countries will be treated as if carried out by UK-based approved bodies.</p> <p>The countries referred to include those covered by agreements under continuity Mutual Recognition Agreements (MRA), and secondly as part of a Comprehensive Economic Partnership Agreement (CEPA). The countries with agreements covered by this instrument are United States of America (USA), Australia, New Zealand, Republic of Korea, Canada, and Japan.</p> <p>This Regulation does not impose any new obligations on business. It is giving effect to UK's obligations under these international agreements. The main direct cost to business would be familiarisation costs associated with this new piece of legislation.</p>
<p>Measures certified as concerning EU Withdrawal Bill operability measures</p>	<p>OPSS has issued guidance documents on product safety and metrology from 1 January 2021 for Great Britain and Northern Ireland.</p>
<p>Civil Emergencies</p>	<p>The Personal Protective Equipment (Temporary Arrangements) (Coronavirus) (England) Regulations 2020 enabled the continuation of the temporary regulatory easements on Personal Protective Clothing (PPE) post the end of the transition period to ensure a continued supply of PPE during the Covid-19 pandemic.</p> <p>This regulation sets out a legal basis for continued use of the specified PPE easements at the end of the transition period and provides sunset dates for them.</p> <p>The impact to business is a one-off familiarisation cost and the impact was certified as de minimis.</p>
<p>Fines and Penalties</p>	<p>OPSS' approach to sanctions is set out in its published Enforcement Policy, which was updated in February 2021'.</p>

Exclusion category	Summary of activity
Casework	OPSS publishes a list of Statutory Enforcement Actions which is updated on a six-monthly basis. There have been no changes to the way OPSS approaches its casework and investigatory activities within this reporting period.
Education, communications and promotion	OPSS has an ongoing programme of consumer safety advice and awareness campaigns.

Ofqual (Office of Qualifications and Examinations Regulation)

Exclusion category	Summary of activity
Measures certified as being below de minimis (measures with an EANDCB below +/- £5 million)	<p>Following consultations, Ofqual introduced regulatory provisions relating to 2021 qualification delivery:</p> <p>Regulatory arrangements for the awarding of general, vocational and technical and other general qualifications in 2020-2021</p> <p>Autumn assessment opportunities for vocational and technical and other general qualifications</p> <p>Following consultations, Ofqual introduced regulatory provisions relating to 2022 qualification delivery:</p> <p>Arrangements for the assessment and awarding of vocational, technical and other general qualifications: 2021 to 2022</p> <p>Arrangements for non-exam assessment for qualifications in 2022</p> <p>Ofqual amended the following regulatory provision after undertaking a consultation:</p> <p>Guidance on malpractice and maladministration</p> <p>Ofqual ceased the following regulatory provisions relating to 2020 qualification delivery (for almost all purposes except in specific circumstances relating to individual learners):</p> <p>Extraordinary regulatory framework: vocational and technical qualifications, COVID-19 conditions and requirements</p> <p>Extended extraordinary regulatory framework: vocational and technical qualifications, COVID-19 conditions and requirements</p>
Pro-competition	<p>Following a consultation, Ofqual updated its General Condition F to support price transparency in the market, and require all awarding organisations to publish fee information on their websites.</p>
Casework	<p>Ofqual undertook the following enforcement activity:</p> <p>undertakings with two awarding organisations to secure ongoing compliance with the Conditions of Recognition</p> <p>a monetary penalty of £50,000 and a notice for costs recovery of £8,558, for one awarding organisation</p> <p>special conditions imposed on 12 awarding organisations (nine of these were imposed at recognition and one was an entry and inspection condition)</p>
Education, communications and promotion	<p>Ofqual communicates regularly with awarding organisations to keep them informed about existing and proposed regulatory requirements. Communication and education events arranged by Ofqual are optional for awarding organisations to attend.</p>

Exclusion category	Summary of activity
Activity related to policy development	<p>Ofqual undertook the following activity relating to policy development:</p> <ul style="list-style-type: none"> a consultation on revised GCSE qualifications in modern foreign languages a consultation on guidance on designing and developing accessible assessments a consultation about changes to Ofqual's regulatory action policy announced policy approach and issued a consultation on regulating digital functional skills qualifications
Changes to management of regulator	<p>Ian Bauckham CBE was appointed as interim Chair of Ofqual from January 2021 (replacing Roger Taylor).</p> <p>Dr Jo Saxton was appointed Chief Regulator of Ofqual from September 2021, replacing Simon Lebus (Interim Chief Regulator January 2021 - September 2021). Simon Lebus replaced Dame Glenys Stacey (Interim Chief Regulator August 2021 - December 2021).</p>

Ofwat

Exclusion category	Summary of activity
<p>Measures certified as being below de minimis (measures with an EANDCB below +/- £5 million)</p>	<p>Over the year, Ofwat has made several interventions relating to the codes that underpin the operation of the Business Retail Market, whose impact was manifestly below the de minimis level. For example, this has included:</p> <p>Changes to the Wholesale Retail Code (July - Sep 2021) which facilitated MOSL's bilateral programme which is intended to improve business interactions in the business retail market.</p> <p>A decision relating to bad debt (July 2021) which updates the Retail Exit Code in 2022</p> <p>In March 2021 Ofwat granted a waiver of one of the additional procurement obligations in the specified infrastructure project licence of Bazalgette Tunnel Limited.</p>

Exclusion category	Summary of activity
Pro-competition	<p>Provisions intended to deliver or replicate better competition-based outcomes in markets characterised by market power</p> <p>In February 2021 Ofwat modified the licences of five incumbent water companies to give effect to the direct procurement for customers ("DPC") initiative set out in PR19.</p> <p>Publication of examples of recent good and bad practice in incumbent companies' support for business retail and developer services markets (September 2021).</p> <p>Amended guidance under Ofwat's Code for Adoption Agreements (May 2021).</p> <p>Updated charging rules which apply to incumbents (October 2021).</p> <p>Published revised guidance on bulk charges for new appointees (January 2021).</p> <p>Published conclusions on future balance of charges between developers and other customers (October 2021).</p> <p>Published final decisions in allowing additional investment in schemes to help the green recovery for 5 companies (July 2021).</p> <p>Published decision on incumbents' accounting for sludge liquor treatment costs (April 2021), conclusions on regulatory reporting requirements for new appointees (July 2021) and updated Regulatory Accounting Guidelines for incumbent companies (October 2021).</p> <p>Published a report on incumbent companies' compliance with Ofwat's Board Leadership, Transparency and Governance Principles (February 2021).</p> <p>Published an Asset Management Maturity Assessment tool designed to improve incumbents' understanding of their networks (March 2021) and recommendations following this assessment (October 2021).</p> <p>Published final determinations on in-period Outcome Delivery Incentives to reflect actual company performance for the period 2020-21, and the results of customer and developer measures of satisfaction (C-MeX and D-MeX) (November 2021).</p> <p>RAPID published strategic regional water resource solutions guidance (February 2021) and assessments (July 2021 and September 2021).</p>
Casework	<p>As of 15 October, Ofwat has opened 1 case since December 2020 which remains open. 6 additional cases were open at the start of the reporting period: 4 now closed, 2 remain open. 145 variations of appointment granted (150 NAV applications currently in progress). 1 application for a retail licence granted and 3 refused.</p>

Exclusion category	Summary of activity
Activity related to policy development	<p>Ofwat has published a number of documents to engage stakeholders on policy areas, such as public value and open data in the water sector, the high-level design document for the next price control (PR24) and through RAPID the framework for strategic water resource solutions.</p> <p>Ofwat also consulted on new connections charging for Welsh companies (February 2021) and revisions to guidelines for companies on supporting household customers with bill and debt issues (June 2021).</p>

Offshore Petroleum Regulator Environment and Decommissioning (OPRED)

Exclusion category	Summary of activity
Casework	<p>25 Decommissioning Programmes for offshore oil and gas installations and pipelines under Section 29 of the Petroleum Act 1998 have been approved and the Offshore Decommissioning Unit have also supported the execution of a further 84 projects.</p> <p>3,497 permits and consents for offshore oil and gas environmental activities have been issued.</p> <p>No activities listed represent a change in the burden of regulation placed on business.</p>
Education, communications and promotion	<p>The Offshore Oil and Gas Exploration, Production, Unloading and Storage (Environmental Impact Assessment) Regulations 2020 (“the 2020 Regulations”) entered into force on 31 December 2020. The 2020 Regulations address implementation issues associated with the previous Offshore Petroleum Production and Pipe-lines (Assessment of Environmental Effects) Regulations 1999 (as amended) [“the 1999 Regulations”] which transposed the Environmental Impact Assessment (EIA) Directive 2011/92/EU (as amended by Directive 2014/52/EU).</p> <p>A number of pieces of environmental guidance were published covering:- the Fluorinated Greenhouse Gases (F-Gases) Regulations 2015 (as amended) / the Offshore Oil and Gas Exploration, Production, Unloading and Storage (Environmental Impact Assessment) Regulations 2020 / submission of PON1⁹, Oil Pollution Prevention & Control Regulations and the new Integrated Reporting System / Stack Monitoring and the Offshore Combustion Installations PPC Regulations.</p> <p>The guidance provides clarification and does not represent a change in the burden of regulation placed on business.</p> <p>OPRED participated in regular meetings with Oil & Gas UK (OGUK), the industry representative body, as well as giving numerous presentations to operators, industry bodies, UK and international regulators and other stakeholders throughout the period.</p>

⁹ A **Petroleum Operations Notice 1** (PON1) is the notice used to report all releases to sea of oil and offshore chemicals that occur during offshore oil and gas activities.

Exclusion category	Summary of activity
<p>Activity related to policy development</p>	<p>A public consultation was carried out on the new Offshore Energy Strategic Environmental Assessment (OESEA4) Scoping document, which sought views on the proposed scope of OESEA4 in relation to future licensing / leasing of offshore energy developments on the UKCS.</p> <p>A number of consultations were held with industry relating to the updated PON1, Oil Pollution Prevention & Control (OPPC) and the new Integrated Reporting System guidance and changes to permit conditions under the Pollution, Prevention & Control Regulations, the Offshore Chemical Regulations, and the Offshore Pollution Prevention & Control Regulations.</p> <p>A Post Implementation Review of the Energy Act 2008 (Consequential Modifications) (Offshore Environmental) Order 2010 was completed and published.</p>

The Oil and Gas Authority (OGA)

Exclusion category	Summary of activity
<p>Measures certified as being below de minimis (measures with an EANDCB below +/- £5 million)</p>	<p>The OGA published two new guidance documents: Stewardship Expectation 11 – Net Zero sets out how the oil and gas industry should manage existing operations and new developments in order to reduce its greenhouse gas emissions and support delivery of the UK's net zero target. The Stewardship Expectation 12 outlines the ways in which companies should collaborate with their supply chain contractors (those providing goods and services to the upstream oil and gas industry) to support the delivery of relevant activities.</p> <p>The OGA published four new supplemental guidance documents: Updated guidance to assist those involved in the planning of a new field development and subsequent consent to an FDP Updated guidance on the management of offshore licence work programme commitments Consolidated and updated guidance on flaring and venting, which sets out a tougher approach to driving reductions, through clear principles and using the OGA consenting regime and stewardship activity. Reporting and Disclosure of Information and Samples Guidance</p> <p>The OGA published 13 publications and reports. OGA annual accounts Report on UK oil and gas reserves in place 2020 Report setting out analysis on operating costs in the UKCS in 2020 Report setting out the UKCS production efficiency in 2020 Report setting out the cost estimate of decommissioning UKCS oil and gas infrastructure.</p> <p>The Supply Chain Action Plan (SCAP) highlights some of the successes which are already evident in enhanced project delivery, fully aligning with the OGA Strategy and net zero obligations.</p> <p>Bacton Energy Hub Report summarises the main findings of analysis on the potential for hydrogen production, with particular focus on the prospective role for the Bacton gas terminal</p> <p>Decarbonising Oil and Gas Production in the UKCS details 15 standalone case studies which highlight tangible and specific examples of where oil and gas operators are contributing towards net zero.</p> <p>A follow up report to the Inclusion Report 2020 Overview of the work of the OGA in 2021 The OGA's final report on its Thematic Review considers industry compliance with their regulatory obligations</p>

Exclusion category	Summary of activity
	<p>Report providing benchmarking statistics for a wide range of recent UKCS decommissioning activities</p> <p>Report summarising the costs of operating in the UKCS in 2019</p> <p>The OGA published two strategy documents:</p> <p>The OGA Strategy which was updated to reflect new net zero obligations for the UK oil and gas industry.</p> <p>Decommissioning Strategy builds on the original Decommissioning Strategy which was published in 2016</p> <p>The OGA issued one consultation document:</p> <p>Consultation into OGA's proposed Governance Guidance</p>
Casework	<p><i>The OGA approved:</i></p> <p>6 Field Development Plans / Addendums (FDP / FDPA) cases for offshore oil and gas fields.</p> <p>During the reporting period there were 20 sanctions, disputes or infrastructure access cases resolved. There was one formal sanction taken.</p> <p>176 Field consents were issued, 430 offshore licence events and 29 onshore licence events</p>
Education, communications and promotion	<p>The OGA has presented its <i>work at various workshops and conferences including:</i></p> <p>Offshore Europe, Geological Society, and the OGUK Exploration Conference</p>

Office of the Immigration Services Commissioner (OISC)

Exclusion category	Summary of activity
<p>Measures certified as being below de minimis (measures with an EANDCB below +/- £5 million)</p>	<p>1: 2021 OISC Guidance on Competence 30 June 2021 marked the end of the 'grace period' where aspects of EU Free Movement law continued to apply. As a result the OISC Guidance on Competence was updated to reflect these changes and it came into effect on 1 July 2021.</p> <p>2: Guidance for OISC Advisers on the provision of advice and services related to the EU Settlement Scheme This guidance document provides advice for OISC regulated organisations regarding work permitted at each Level in relation to the EU Settlement Scheme post 30 June 2021.</p> <p>3. Introduction of on-line OISC Competence Assessments An organisation was found that provided an on-line platform to host the competence assessments together with the capability to provide a sophisticated proctoring facility to ensure that, despite sitting at their own PC, candidates remained subject to invigilated exam conditions.</p> <p>This new process has proved to be so successful that the OISC will continue to use on-line assessments in the future and no longer hold them in person.</p> <p>4. DBS applications accepted on-line only In order to be able to process mandatory Disclosure and Barring Service (DBS) applications on behalf of applicant advisers, the OISC made the decision to use the services of an umbrella body to carry out the checks on our behalf.</p> <p>5. Remote Auditing Remote auditing was trialled during the Covid 19 pandemic and has been shown to work successfully. Premises audits will be re-introduced when it is safe to do so, but the OISC has made the decision to continue with remote auditing in certain situations. Thematic audits and an adviser self-assessment are also being piloted in this business year as possible audit processes to be adopted in the future</p> <p>The impact to business of these regulatory provisions is less than the £5m qualifying target.</p>

Exclusion category	Summary of activity
Casework	<p>During the business year 1 April 2020 – 31 March 2021 there were:- 236 premises audits; 8 prosecutions awaiting trial; 8 convictions; 8 tribunal appeals; 46 appealable decisions No activities listed in this section represent a change in the burden of regulation placed on business, except where these result from a separate qualifying regulatory provision that has been assessed</p>
Education, communications and promotion	<p>During the BIT reporting period 17 December 2020 – 16 December 2021 there have been:- 9 x guidance documents updated or produced 1 x adviser conference and 4 x OISC Newsletters published 2 x social media campaigns focusing on the OISC Adviser Finder and OISC complaints process; series of posters, in multiple languages, aimed at advice seekers; 1 x Facebook advert promoting OISC EUSS video No activities listed in this section represent a change in the burden of regulation placed on business, except where these result from a separate qualifying regulatory provision that has been assessed</p>
Activity related to policy development	<p>Changes were made to the OISC Guidance on Competence and this is covered in the section 'Measures certified as being below de minimis'</p>

Payment Systems Regulator (PSR)

Exclusion category	Summary of activity
Pro-competition	<p>Card Acquiring Services Following concerns raised by stakeholders that the supply of the Card Acquiring Services may not be working well for merchants and, ultimately, consumers we launched a market review in 2018 and published our final report in November 2021. We will be consulting further on specific remedies to improve the supply of card-acquiring services to, particularly smaller, merchants during the course of 2022.</p> <p>New Payments Architecture (NPA) We are putting in place a regulatory framework for NPA central infrastructure services (CIS). The NPA is the industry's proposed way of organising the clearing and settlement of most interbank payments in the future, including those that currently use Bacs and Faster Payments. The framework aims to reduce the ability and incentive of a monopoly CIS provider to act in ways that distort competition or stifle innovation to the detriment of people and businesses. On the NPA programme we published a consultation followed by a policy statement and will make final amendments to SD2 and SD3. We have worked to seek assurance from Pay.UK that the NPA Programme will deliver outcomes that align with our objectives.</p>
Casework	<p>General and Specific Directions and Payment Account Regulations 2015 PSR undertook reporting activity for the regulated payment systems and banks against the applicable General and Specific Directions as well as the Payment Account Regulations 2015.</p> <p>Enforcement investigations The PSR has been actively progressing its enforcement investigations opened in 2018/19 and in 2020.</p> <p>Competition Act 1998 PSR has continued work on its first Competition Act 1998 investigation</p>
Education, communications and promotion	<p>PSR undertook communications and stakeholder management activity as part of fulfilling its role, and in relation to particular projects, including holding stakeholder meetings, workshop and publishing information. None of the information produced created any new regulatory standards that business will be expected to follow.</p>

Exclusion category	Summary of activity
<p>Activity related to policy development</p>	<p>Authorised Push Payment scams We consulted on three measures that we believed could help reduce scam losses and broaden protection against scams across customers. We will report on the business impact of any regulatory requirements resulting from the consultation when they happen.</p> <p>Confirmation of Payee (CoP) We undertook a call for views to outline our analysis of the impact of CoP Phase 1 and set out potential policy options to enhance the service and increase implementation by a greater number of PSPs. We also consulted on a proposed direction to end the dual running of Phase 1 and Phase 2 domain.</p> <p>Consumer protection for interbank payments The PSR undertook a call for views on consumer protection for interbank payments. The call for views asked for input on whether the current level consumer protection for interbank payments remains fit for purpose. This was followed up by a policy statement which sets out that we do not propose to intervene at this stage, but nevertheless expect the level of protection continues to be matched to the potential level of harm arising from a payment.</p> <p>Interchange Fee Regulation (IFR) and Second EU Payment Services Directive (PSD2) PSR has been actively monitoring compliance with the IFR and the parts of PSD2 that the PSR is responsible for.</p> <p>Access to cash SD8, which committed LINK to maintain a broad geographic spread of free-to-use ATMs, expires in January 2022 and the PSR recently consulted on whether this should be replaced by a new direction with a similar objective. The PSR will decide on whether to issue the new direction when the consultation ends in November 2022</p>
<p>Changes to management of regulator</p>	<p>Natalie Timan appointed as Head of Strategy Analysis and Monitoring.</p>

The Pensions Regulator

Exclusion category	Summary of activity
Civil Emergencies	TPR continued the implementation of temporary easements in regards of specific duties for those running a pension scheme in response to the Covid19 pandemic.
Fines and Penalties	TPR issued circa. 87 penalty notices, 38,028 AE fixed penalty notices and 13,934 AE escalating penalty notices.
Casework	<p>10 s89 reports published on casework;</p> <p>91 s72 demands for information;</p> <p>7 s10 scheme return enforcements;</p> <p>276 trustees appointed to pension schemes</p> <p>49,660 AE compliance notices issued</p> <p>20,917 AE unpaid contributions notices issued</p> <p>14 AE inspections carried out</p> <p>Around 491,908 employers completed their mandatory declaration of compliance.</p>
Education, communications and promotion	<p>TPR officials participated at around 186 speaking events and seminars and carried out circa. 62 campaigns on various topics.</p> <p>Updated clearance guidance on two new tests from the Pensions Schemes Act 2001 (PSA2001) for trustees and employers.</p> <p>Updated Value for Members guidance to remind smaller defined contribution (DC) pensions schemes that they must prepare a more rigorous value for money (VfM) assessment in line with new regulations.</p> <p>Published guidance to support the Scams transfer regulations</p> <p>Published climate change governance guidance for trustees</p> <p>Published guidance to accompany recent updates to Code 12</p> <p>TPR made circa. 1,180 updates to the website, received and processed circa. 69 complaints and 84 Freedom of Information requests, and reported 3 security incidents to the ICO.</p> <p>None of the above set new expectations or standards for our regulated community</p>

Exclusion category	Summary of activity
<p>Activity related to policy development</p>	<p>TPR consulted on and published a Criminal Offences policy, which sets out our approach to the investigation and prosecution of two new criminal offences under the PSA2021</p> <p>TPR updated Code 12 to explain the two new tests under the PSA2021 and the circumstances in which we may expect to issue a CN.</p> <p>None of the above set new expectations or standards for our regulated community</p> <p>Consultations included:</p> <p>proposed changes to the asset class information to be provided annually by defined benefit (DB) schemes (jointly with the PPF)</p> <p>draft content for the first phase of its new single, more accessible and clearer code of practice.</p> <p>TPR's approach to the new powers introduced by the PSA 2021 and their interaction with TPR's existing powers.</p> <p>the assessment of Value for Money (VfM) (jointly with the FCA)</p>

Security Industry Authority (SIA)

Exclusion category	Summary of activity
Measures certified as being below de minimis (measures with an EANDCB below +/- £5 million)	On 1 April and 1 October 2021, updated qualification requirements were introduced for Door Supervisor, Security Guarding, Public Space Surveillance (CCTV), and Vehicle Immobilisation licences. These included new requirements to hold a First Aid qualification, and updated content relating to counter-terrorism. These requirements apply to new applicants, and (for the first-time top up requirements) to those renewing their licences. Net cost to business per year was assessed as £1.4m.
Fines and Penalties	From 17 December 2020 to 3 November 2021, the SIA completed 34 prosecutions of individuals and 8 prosecutions of businesses. This resulted in £67,106 in fines, £1,867.60 in Victim Surcharges, and £20,126.25 in costs. Over the same period, confiscations in cases brought by the SIA under the Proceeds of Crime Act 2002 (POCA) totalled £48,143.77.
Casework	From 17 December 2020 to 11 November 2021, the SIA made approximately 163,570 licensing decisions, of which approximately 161,175 were decisions to grant a licence. It also suspended 672 licences and revoked 970 licences. As of 3 November 2021, the SIA was conducting 284 criminal investigations, involving 77 businesses and 207 individuals.

Exclusion category	Summary of activity
<p>Education, communications and promotion</p>	<p>The SIA sends out a monthly e-newsletter to approximately 16,000 industry stakeholders and sends out a monthly e-newsletter to approved contractor contractors to approximately 1,300 addresses. It has active engagement on social media channels (Facebook, LinkedIn, and Twitter).</p> <p>The SIA has promoted and informed licence holders and businesses about changes to the licence-linked qualifications to ensure that they are ready for them. This includes hosting regular Facebook Q&A sessions and hosting a series of webinars.</p> <p>The SIA has run a longer-term public safety campaign aimed at door supervisors returning to work post lockdown. This reminds them of their training and shares good practice to help them protect themselves and the public.</p> <p>In addition, the SIA has on its gov.uk pages:</p> <ul style="list-style-type: none"> published new guidance on topics as diverse as the training required for an SIA licence, the difference between sub-contracting and the use of labour, and how door supervisors can protect themselves and others; updated guidance on the use of licence dispensation by approved contractors; published a report on recruitment and retention in the door supervision sector; and promoted a range of subjects relevant to the industry, for example its 'Supporting Women and Girl's Safety' message. <p>The SIA ran two immersion exercises in partnership with local police forces, private security companies and nightclubs. These were real-time simulations of possible emergency scenarios (e.g. terrorist attack, acid attack) involving actors and volunteers.</p>
<p>Activity related to policy development</p>	<p>The first volume of the report of the Manchester Arena Inquiry made two monitored recommendations for the SIA (and Home Office) in relation to the regulation of private security. The SIA has met with businesses and industry associations in workshops and used open forums including its own national and other conferences to help inform its consideration of the reforms recommended by the Inquiry.</p>
<p>Changes to management of regulator</p>	<p>In June a new Chair of the Authority was appointed; we are still carrying two vacancies.</p> <p>In addition, in November, a new Deputy Chair of the Authority was appointed.</p> <p>Also in November, a new Chief Executive was appointed.</p>

Sports Grounds Safety Authority (SGSA)

Exclusion category	Summary of activity
Measures certified as being below de minimis (measures with an EANDCB below +/- £5 million)	<p>Before the start of the 2021/22 season SGSA published a slightly revised version of the all-seater enforcement approach document originally published in 2019/20 and updated to reflect the current season. Subsequently, in w/c 6 December 2021, SGSA published a further iteration of the enforcement approach 21/22 document reflecting the forthcoming introduction of licensed standing areas at a handful of 'early adopter' SGSA licensed grounds from 1 January 2022.</p>
Casework	<p>In May 2021, the Secretary of State for Digital, Culture, Media and Sport granted Peterborough United a 12-month extension to the all-seater deadline. This decision was reflected in the club's SGSA licence for the 21/22 season.</p> <p>SGSA issued a total of 92 annual licences in July 2021 for the licensing period 1 August 2021 to 31 July 2022, none of which contained specific licence changes. One of those licences was for Hartlepool United following that club's promotion to the English Football League (EFL). In September 2021, SGSA issued an annual licence to Sutton United following that club's promotion to the EFL.</p> <p>In w/c 6 December 2021, following a direction from the Secretary of State under Section 11 of the Football Spectators Act 1989, SGSA withdrew four licences previously issued in July with all-seater conditions, and replaced them with four new licences with amended conditions allowing those previously all-seater grounds to operate licensed standing areas from 1 January to 31 July 2022.</p>
Activity related to policy development	<p>In May-June 2021 SGSA consulted on Supplementary Guidance 03: Event Safety Management (SG03). In July-September 2021 SGSA consulted on: (i) 'Early Adopter' criteria for grounds currently subject to the all-seater policy to be able to offer licensed standing areas; (ii) associated new licence conditions; and (iii) draft Supplementary Guidance 01: Safe Standing in Seated Areas (SG01). SG01 and SG03 were subsequently published in September 2021 and form part of the suite of Sports Grounds and Stadia Safety guides produced by the SGSA.</p> <p>In late September 2021, SGSA published the 'Early Adopter' criteria and sought expressions of interest from SGSA licensed grounds to be 'Early Adopters'. In November 2021 five applicants were informed by SGSA that their applications had been successful and SGSA started making arrangements so they could each operate licensed standing areas from January 2022.</p>
Changes to management of regulator	<p>The then SGSA Chair, Alan Coppin stood down in March 2021. Derek Wilson took up post as the new SGSA Chair in April 2021. Two Board members whose terms of office were due to end on 11 December 2021 have been reappointed for a further three years. Additionally, the terms of office for three Board members due to expire in February 2022 have been extended for a further year.</p>

UK Space Agency

Exclusion category	Summary of activity
Measures certified as being below de minimis (measures with an EANDCB below +/- £5 million)	The UKSA reviewed and updated Outer Space Act 1986 (OSA) satellite licence fees for constellation operators to ensure that fees are proportional to regulatory and licensing costs and are appropriately aligned with HM Treasury charging guidance. The scheme took effect from 1 April 2021.
Casework	Four space operators have used the optional pre-application Traffic Light licensing process. The UKSA has issued 219 OSA licences to 6 operators during the reporting period, and written to 11 space operators to check they are complying with their licence conditions (no non-compliance notices issued).
Education, communications and promotion	<p>The UKSA co-chaired one Regulatory Advisory Group meeting with representatives of the space industry, which, amongst other things, discussed the merits of potential future regulatory reforms. The UKSA Spaceflight Programme has held three industry engagement events setting out the proposed approach to secondary legislation enacted under the Space Industry Act 2018 (SIA).</p> <p>Attendance at these events was optional and to date none of the material produced creates a new regulatory standard that businesses will be expected to follow.</p>
Activity related to policy development	<p>UKSA collaborated with the Department for Business, Energy and Industrial Strategy (BEIS), the Department for Transport (DfT) and Civil Aviation Authority (CAA), and others, to produce regulations and guidance to implement the SIA. These included proposals to appoint the CAA as the UK space regulator. The enabling legislation (Space Industry Regulations 2021) came into effect on 29 July 2021.</p> <p>The UKSA is developing more detailed policy on Constellations, In-Orbit Servicing & Manufacturing (IOSM) and Active Debris Removal (ADR) to supplement the basic enabling policy already in place for such missions. The UKSA also continues to develop its policy approach on earth observation (EO) data security, alongside the Ministry of Defence (MOD), In-Situ Resource Utilisation and Beyond Earth Orbit missions, for example lunar missions.</p> <p>In short, the CAA will now be responsible for implementing regulatory requirements under the SIA, OSA (and existing powers under the Air Navigation Order). However, DfT, BEIS and UKSA will continue to support policy formation.</p>

Exclusion category	Summary of activity
Changes to management of regulator	<p>The CAA became the UK space regulator on 29 July 2021, implementing spaceflight regulations. However, in some instances (e.g. EO data security), operators will continue to seek consent from the UKSA.</p> <p>As such, the UKSA is reporting on NQRPs prior to the transfer of regulatory functions, and the CAA will report on measures post-transfer, as well as future reporting periods.</p> <p>Furthermore, the Space Industry Regulations 2021 are a QRP, owned by the DfT. The DfT has provided a full assessment of impacts via the 'Space Industry Regulations 2021 Impact Assessment'.</p>

Veterinary Medicines Directorate (VMD)

Exclusion category	Summary of activity
Casework	<p>The VMD issued 121 marketing authorisations for veterinary medicines, and 56 animal test certificates for clinical trials for veterinary medicines.</p> <p>The VMD issued 259 warning letters and 197 advisory letters relating to illegal veterinary medicines. The VMD also issued 17 seizure notices, 3 improvement notices and referred 34 cases to our investigation team for further investigation. All these cases deal with non-compliance with the Veterinary Medicines Regulations 2013 by businesses or the general public.</p> <p>The VMD carried out the following inspections:</p> <ul style="list-style-type: none"> - 166 Feed Business Operators - 185 SQP retailers - 500 Vet practice premises - 19 veterinary medicines manufacturing sites - 50 veterinary medicines wholesale dealing sites <p>The VMD issued 32,240 import certificates (certificates to authorise veterinary surgeons to import unauthorised medicines). None of the activities listed in this section represent a change in the burden of regulation placed on business.</p>
Changes to management of regulator	<p>Abigail Seager was appointed as the new CEO of the VMD in September 2021.</p>

Mitigating disproportionate impacts on smaller businesses

The Small Business, Enterprise and Employment Act 2015 requires the Government's Business Impact Target Report to describe the actions taken by government departments to mitigate any disproportionate economic impacts on activities carried on by smaller scale businesses (including voluntary or community bodies) from Regulatory Provisions which have come into force during the reporting period.

Table 7: Action taken by government departments to mitigate any disproportionate economic impacts on smaller business during the second Business Impact Target reporting period of the Parliament.

Department / Regulator	Title of measure in IA	Description of mitigating action
Defra	Extending the Single Use Carrier Bag charge to all retailers and reviewing the current 5p charge to 10p	After considering the various arguments the Government has opted to revise its initial decision of exempting MSMEs, airport and charity shopping outlets to include these businesses in the charge scheme. This is because MSMEs and civic and voluntary organisations' retailers now produce a substantial amount of SUCBs. MSMEs and charity retailers will be exempt from reporting to lessen the regulatory burden on them.
Defra	Environment Bill	It is possible overall that small and micro businesses may experience relatively higher costs. Measures to reduce cost impacts for small and micro firms will be further investigated through consultation and engagement with these businesses, and will be developed prior to the implementation of secondary legislation.
DfT	The Motor Fuel (Composition and Content) and the Biofuel (Labelling) (Amendment) Regulations 2021	N/A Note: The Department provides a sufficient SaMBA. It addresses exemption of SMBs, disproportionality of impact and possible mitigation. The IA acknowledges that small filling stations, with limited fuel tank capacity, may face disproportionate burdens and discusses mitigation in some detail. The SaMBA or assessment of wider impacts would benefit from addressing whether such smaller businesses are more likely to be in rural locations and, if so, discussing impacts on these areas.
DfT	Space Industry Regulations 2021	N/A Note: The IA states that it would not be appropriate to exclude SMBs from the regulations because SMBs are likely to benefit from the legislation, as it enables commercial spaceflight launch activities. Without the secondary legislation, it is unlikely that the SMBs would be able to enter the launch market.
DWP	the occupational pension schemes (climate change governance and reporting) regulations 2021	The Government proposes that it will take stock in 2023 and consult more widely again before extending to schemes with < £1bn in assets, taking account both of the quality of climate risk governance and associated disclosures carried out to date, and the current and future costs of compliance.

Department / Regulator	Title of measure in IA	Description of mitigating action
Home Office	Immigration Rules for Skilled Workers	It is recognised there is a perception the sponsorship system can be complex, costly and difficult to use for small businesses and charities. The reforms will make the sponsorship process simpler both for large and for small organisations and will aim to significantly reduce the processing times for the majority of applications. The Home Office will also make it easier for third party HR firms and accountants that often undertake HR functions on behalf of small business to administer their sponsor accounts
MoJ	1. Whiplash Injury Regulations (WIR) 2020 2. The Civil Procedure (Amendment No. 2) Rules 2020	The WIR 2020 support the implementation of the Civil Liability Act (CLA) 2018. The measures in this Act will reduce the number and cost of whiplash claims, resulting in a deregulatory saving to the insurance sector of £1.2bn PA. The CLA 2018 introduces a tariff to reduce the level of compensation payable in a whiplash claim and bans pre-medical offers to settle such claims. The increase to the small claims track limit ensures that the majority of all RTA related personal injury claims will now be taken forward under small claims track rules. This will reduce the costs associated with handling these claims as the parties will now be responsible for bearing their own legal costs.

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