



Department for
Business, Energy
& Industrial Strategy

BETTER REGULATION

Government's Annual Report, 2017-18



July 2018
HC 1428

BETTER REGULATION: GOVERNMENT'S ANNUAL REPORT, 2017-18

Presented to Parliament pursuant to Section 23 of the Small Business, Enterprise and Employment Act 2015.

Ordered by the House of Commons to be printed on 19 July 2018.



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ISBN 978-1-5286-0714-8

CCS0718079808 07/18

Printed on paper containing 75% recycled fibre content minimum

Printed in the UK by the APS Group on behalf of the Controller of Her Majesty's Stationery Office

Contents

Executive Summary _____	4
Economic Context _____	6
The Government's Approach to Better Regulation _____	7
Part 1: Industrial Strategy _____	8
Part 2: Efficient Regulation _____	9
Part 3: International Leadership _____	13
Local Regulation _____	14
Tackling burdens from tax administration _____	15
Annex A: Progress made against the Business Impact Target _____	16
Annex B: Qualifying Regulatory Provisions _____	18
Annex C: Non-Qualifying Regulatory Provisions _____	27
Non-legislative Non-Qualifying Regulatory Provisions _____	63
Annex D: Mitigating disproportionate impacts on smaller businesses _____	189

Executive Summary

The UK continues to have a global reputation as one of the best places in the world to do business, with a regulatory environment that is amongst the best in the G7. The Government is determined to demonstrate continuing discipline in the way it regulates, ensuring that the UK economy remains strong and competitive as we leave the EU. Accordingly, in this Parliament, the Government's aspiration is to oversee a regulatory system that is increasingly proportionate, optimised for UK conditions, innovation friendly and easier for businesses to deal with.

The Industrial Strategy White Paper also sets out the Government's ambition to support businesses through the development of an agile approach to regulation that promotes and supports innovation, growth of new sectors and the requirements of innovative market entrants – while ensuring effective protections for citizens and the environment.

To demonstrate our aspiration both to build a positive regulatory environment for business and ensure that the public continue to enjoy the highest standards of protections, we have strengthened our reporting on regulatory impacts this year. We present a more holistic picture of the effects of government intervention, setting out the wider impact of each significant measure alongside the direct impact on business. This broader approach aims to provide transparency on the cost and benefits of new regulation to both consumers and business, rather than a one-sided focus on the business impacts alone. In support of an agile approach to regulation, the Government has committed to establish a new Ministerial Working Group on Future Regulation to lead reform within departments and a new £10m Regulators' Pioneer Fund to help regulators to develop innovative approaches aimed at getting new products and services to market.

The Government's Better Regulation Framework aims to support good policy making and ensure that regulatory decisions are supported by robust, high quality evidence. The Framework also requires the Government of the day to set itself a Business Impact Target. The Government announced on 20 June that the Business Impact Target for this Parliament would be aligned with the commitment in the 2017 Conservative Party manifesto to regulate more efficiently, saving £9 billion. It has appointed the Regulatory Policy Committee (RPC) to verify all savings and costs on business that count towards the target. This role complements the RPC's wider role in scrutinising the evidence and analysis that supports regulatory proposals.

The Government delivered £2,937.4 million of net savings towards the target during the period from 9 June 2017 to 20 June 2018. All provisions which make up the savings delivered so far are listed in this report with their economic impact on business, where this

has been validated by the RPC. This report also summarises the wider costs and benefits arising from the significant measures.

Economic Context

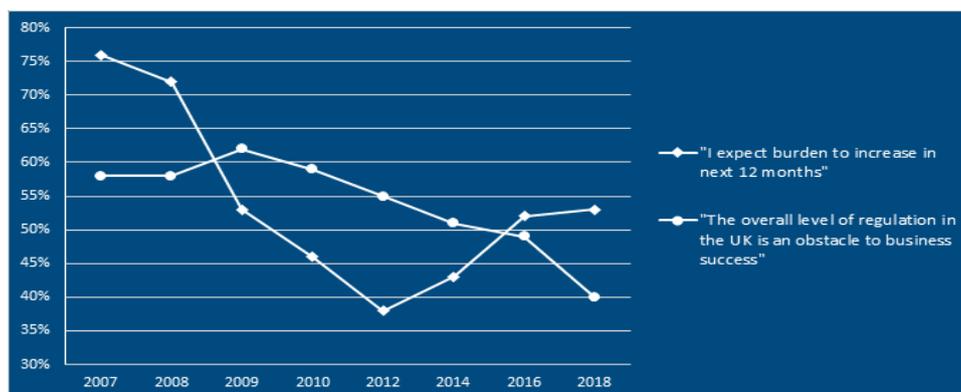
The UK continues to have a world-leading regulatory environment.

International indicators highlight that the UK is a highly competitive economy, with a world-leading regulatory environment:

- The World Bank's 2018 Ease of Doing Business Survey¹ ranks the UK as 7th out of 190 economies;
- The World Economic Forum's 2017–18 Global Competitiveness Index² ranked the UK as having the 8th most competitive economy out of 137;
- The OECD's Regulatory Policy Outlook³ ranks the regulatory practices of 34 countries. The UK was one of only four countries to be ranked above average in all three categories in 2015: 1st for regulatory impact assessment; 5th for stakeholder engagement; and 2nd for ex-post evaluation.

Business perceptions of the UK's regulatory environment continue to improve

The Government's biennial Business Perception Survey⁴ tracks business views on the burden of regulation. The 2018 survey finds that 40% of respondents agree that the level of regulation in the UK is an obstacle. This has fallen substantially from a high of 62% in 2009 and has fallen by nine percentage points since the 2016 survey. Key results from the survey are demonstrated below.



¹ <http://www.doingbusiness.org/rankings>

² <https://www.weforum.org/reports/the-global-competitiveness-report-2017-2018>

³ <http://www.oecd.org/publications/oecd-regulatory-policy-outlook-2015-9789264238770-en.htm>

⁴ <https://www.gov.uk/government/publications/business-regulation-business-perceptions-survey-2018>

The Government's Approach to Better Regulation

The Government is determined to demonstrate continuing discipline in the way it regulates, as it delivers the Industrial Strategy ambition to make the UK the best place to start and grow a business. Accordingly, in this Parliament, the Government's aspiration is to oversee a regulatory system that is more proportionate, optimised for UK conditions, innovation friendly and easier for businesses to deal with. We also aim to be more transparent about the wider impacts of regulation.

As set out in the following sections, the Better Regulation Executive is focused on three areas in this Parliament:

- 1. Industrial Strategy:** We will spearhead the Industrial Strategy through our approach to regulation and help put the UK at the forefront of the industries of the future.
- 2. Efficient Regulation:** We will promote more efficient regulation, backed by high quality evidence, and support transparency and accountability for the costs and benefits of regulation to both business and wider society.
- 3. International Leadership:** We will sustain the UK's international leadership on better regulation and collaborate with likeminded countries across the globe.

Part 1: Industrial Strategy

This Government will spearhead the Industrial Strategy through our approach to regulation and help put the UK at the forefront of the industries of the future. Powered by new technologies, the way we live our lives as workers, citizens and consumers is being transformed across the world. The way we regulate must evolve as well.

The Industrial Strategy⁵ sets out a long-term plan to boost the productivity and earning power of people throughout the UK. As well as setting a path to improved productivity, the Industrial Strategy sets out four Grand Challenges where Britain can lead the global technological revolution: in artificial intelligence and big data; clean growth; the future of mobility; and meeting the needs of an ageing society.

To drive these Grand Challenges forward, the Industrial Strategy has made a commitment to:

"inform development of an agile approach to regulation that promotes and supports innovation, growth of new sectors and the requirements of innovative market entrants – while ensuring effective protections for citizens and the environment".

To take forward this commitment, the Government is establishing a new Ministerial Working Group on Future Regulation to lead reform within departments and lead the world in innovation-friendly regulation. We will back reforms which support our Grand Challenges – from artificial intelligence to autonomous vehicles – and use regulatory excellence to put the UK at the forefront of the industries of the future.

The Government is also taking forward a new £10 million Regulators' Pioneer Fund, which will complement the Ministerial Working Group by supporting regulators to develop innovation-enabling approaches.

⁵ <https://www.gov.uk/government/publications/industrial-strategy-building-a-britain-fit-for-the-future>

Part 2: Efficient Regulation

The Government will continue to promote more efficient regulation, backed by high quality evidence, and support transparency and accountability for the costs and benefits of regulation to business and wider society.

Overview of Better Regulation Framework

The Better Regulation Framework is intended to ensure that Government regulation is proportionate and is only used where alternative non-regulatory approaches would not achieve the desired outcomes. The framework ensures that ministerial decisions are based on robust analysis of the costs and benefits of different options, and that decision making is clear and transparent.

The framework helps ensure that new burdens are only imposed where there is clear evidence that they will generate sufficient benefits for society, and that measures are implemented and enforced in a way that is easier for businesses to deal with. This year, we are publishing information on the wider costs and benefits of regulation alongside the direct costs to business in order to provide a more holistic picture. Our aim is to ensure that the legislative requirements of the Business Impact Target are not delivered at the expense of good quality analysis which demonstrates the benefits (and costs) to the consumer and to society more generally. The Government believes that both are important and must be given due consideration by policy-makers across Whitehall.

Recent reforms to the Better Regulation Framework

The Better Regulation Framework has evolved and improved over time, learning from the experiences of Departments taking regulation through the system and from external feedback and guidance, including responding to the expectations of Parliament. During the last year, the Government has made improvements to the framework so that it provides greater focus on measures with the most significant impacts and ensures that the approach to lower impact measures is proportionate.

The new Better Regulation Framework Guidance⁶ sets out these revised processes, including the introduction of a de minimis threshold for mandatory independent scrutiny. This means that measures with annual net impacts on business or voluntary and community bodies of less than +/- £5 million are no longer subject to mandatory scrutiny. This makes the system more proportionate for smaller measures. The framework now also

⁶ <https://www.gov.uk/government/publications/better-regulation-framework>

requires significant deregulatory measures to be subject to the same scrutiny requirements as significant regulatory measures.

These changes ensure that independent scrutiny of evidence is more closely aligned with parliamentary expectations and the potential regulatory impacts. As set out in the guidance, the Government operates a call-in system to ensure measures with relatively small net impacts can still be subject to independent scrutiny (for example, if there are likely to be disproportionate impacts on smaller business or significant societal impacts).

The Government has also made the requirements for Post-Implementation Reviews (PIRs) more proportionate. Requirements to review legislation within five years of it coming into force encourage effective monitoring and evaluation of legislation, supporting Departments to identify approaches that can improve how changes are implemented. The requirements for independent scrutiny of PIRs are in line with those for new regulation. This will help ensure that independent scrutiny is focussed on reviews with the greatest scope for improvement.

We have also committed to strengthening our reporting on regulatory impacts. In line with those commitments, this report also covers information about the impact of changes in tax administration to present a more holistic picture of the impacts of government intervention on business, as well as the wider impact (including benefits) of each significant measure alongside the direct impact on business.

Business Impact Target

The Government is required by the Small Business Enterprise and Employment Act 2015 to set a Business Impact Target for the whole Parliament and an interim target covering the first three years. The Government is also required to publish details of which measures will count towards the target, how progress will be measured and to appoint an independent verification body to verify economic impacts on business from regulations that are in scope of the target.

The Government has already announced that the Business Impact Target for this Parliament will be set at £9 billion of savings to business, as outlined in the Conservative Party Manifesto. Further details about the target that has been set, including its scope and how progress will be measured, are available in the Written Ministerial Statement⁷ issued on 20 June. The Government has also appointed the Regulatory Policy Committee to perform the role of the independent verification body for this Parliament.

This target represents an ambition to demonstrate continued discipline in the way that the Government regulates, so that we can maintain a stable and positive regulatory

⁷ <https://www.parliament.uk/business/publications/written-questions-answers-statements/written-statement/Commons/2018-06-20/HCWS776/>

environment for business as we leave the EU whilst continuing to deliver valuable public and environmental protections.

Transparency

In line with the Government's reporting obligations set out in the Small Business, Enterprise and Employment Act 2015, the annexes to this report set out the progress the Government has made against its Business Impact Target and interim target during the first year of this Parliament, as well as details of the regulatory provisions that have come into force or ceased to be in force during the same period. The annexes also include information on the wider impacts of each significant measure Government has implemented.

Between 9 June 2017 and 20 June 2018 the Government delivered £2,937.4 million against the £9,000 million Business Impact Target and £4,500 million interim Business Impact Target (to be reached by 2020). This delivers 33% of the overall target. The most significant measure behind this progress is HM Treasury's measure *Amending the UK definition of investment advice*, which changes the Regulated Activities Order definition of investment advice to the Markets in Financial Instruments Directive II definition for regulated firms. The intention behind the measure is to help firms have the confidence to provide guidance to their customers without fear of inadvertently crossing the boundary into regulated advice. The change will allow firms to provide more useful information to support customer decision-making, such as the merits of, and the risks associated with, buying and selling particular investments. It has a Business Impact Target score of £2,947.3 million of savings to business.

Alternatives to Regulation

The Better Regulation Executive works with colleagues from across government in Better Regulation Units and policy teams to help them identify the best options for delivering policies with a regulatory element and to promote the use and application of better regulation principles. This includes consideration and use of alternatives to, and ways of, regulating such as:

- Self-regulation – e.g. codes of conduct
- Co-regulation – e.g. accreditation and standards
- Information and education – e.g. rating systems, communications and guidance
- Earned recognition e.g. through demonstrable trust
- Market-based instruments – e.g. sector specific taxation, subsidies or quotas

These approaches are not suitable for every policy intervention but, where appropriate, they can contribute to more effective and targeted interventions, reduce unnecessary

burdens, be implemented quickly and have the flexibility to respond to changing business practices and technological changes.

Part 3: International Leadership

We will sustain the UK's international leadership on better regulation and collaborate with likeminded countries across the globe.

As the UK leaves the EU, the Government will oversee a Better Regulation Framework which ensures that stakeholders have confidence that UK legislation on EU exit is supported by transparent, high-quality, proportionate analysis of the regulatory impacts on business. Furthermore, the Better Regulation Executive will influence the transition of EU regulatory functions to UK regulators and their future reform to avoid unnecessary burdens being placed on business.

Whilst we remain members of the EU, the Government will continue working closely with like-minded EU partners on topics such as:

- Strengthening the better regulation policies of the EU institutions and applying these more consistently;
- Ensuring that a better regulation approach is applied to individual new European regulatory proposals; and
- Having existing European rules reviewed from a better regulation standpoint.

The Government will also ensure that EU legislation is implemented in the least costly manner in the UK, without extra costs being added unchecked through “gold-plating”. There is a continuing expectation that the UK will not go beyond the minimum requirements when transposing EU laws and will endeavour to ensure that UK businesses are not put at a competitive disadvantage compared with their European counterparts.

The UK will also continue to actively engage in other regulatory international fora to ensure that the UK maintains its position as a “thought leader” on better regulation policy. For example, the UK is a prominent member of the OECD's Regulatory Policy Committee, sitting on its executive decision making “Bureau” and playing a leading role in influencing its work programme.

This has allowed the UK to feed extensively into the priorities for the OECD's 2019-20 programme of work and budget on regulatory issues. The OECD's agenda for the coming years will focus on issues of keen interest to the UK, including the role of regulation in promoting innovation and international regulatory co-operation. The UK will also utilise its membership of these organisations to draw on best practice from across the globe to shape how we regulate more efficiently.

Local Regulation

The Government is also taking forward a number of separate initiatives to tackle regulatory burdens at a local level.

Primary Authority

The Primary Authority scheme is one of the key ways in which Government simplifies the way that regulation is delivered. The scheme enables businesses or co-ordinators, such as trade associations, to form a legal partnership with one local authority. This Primary Authority then provides assured and tailored advice on complying with environmental health, trading standards or fire safety regulations that other local regulators must respect.

More businesses than ever before are benefitting. Last year the scheme was simplified and expanded by the Enterprise Act 2016 and the Co-ordination of Regulatory Sanctions and Enforcement Regulations 2017, which both came into force on 1st October 2017. These changes have opened up the benefits of the scheme to any business, including new start-ups and those not trading across local authority boundaries. The number of businesses participating in Primary Authority has increased from under 18,000 in September 2017 to 57,000 in March 2018.

Better Business for All programme

The Better Business for All programme is another key simplification, which brings together businesses, regulators and Growth Hubs to consider and improve how local regulation is delivered and received. We have been supporting Local Enterprise Partnerships (LEPs) to shape the provision of effective support services that understand and respond to local business needs. This helps businesses access the regulatory support they need, making it easier for them to “get it right first time” benefitting both businesses and communities.

Eighty-two per cent of LEPs have Better Business for All programmes within their area. The Programme is still growing, and by March 2018 there were over 200 Local Authorities involved in 23 LEPs areas across the country.

Tackling burdens from tax administration

At Autumn Statement 2015, the Government announced a new Customer Cost Reduction (CCR) target for HMRC to reduce the annual net cost to business of tax administration by £400 million by the end of March 2020. This system is operated separately from – but is complementary to – the Business Impact Target. In its December 2016 response⁸ to the Public Accounts Committee’s report on Better Regulation, the Government committed to include information about the impacts of changes in tax administration at the same time as reporting on the Business Impact Target.

HMRC’s approach to tackling tax burden

HMRC’s aim is to make it easier for business to deal with tax by bearing down on unnecessary costs and burdens. HMRC is supported in this role by two external partners:

- The Admin Burdens Advisory Board: An independent panel that operates as a critical friend to HMRC, holding it to account on its progress on tackling unnecessary burdens in the tax system; and
- The Office for Tax Simplification: A statutory body that provides suggestions for tackling unnecessary burdens from the current stock of legislation and rules relating to taxation. It also provides suggestions for improving the way in which tax policy is developed.

Progress against HMRC’s Customer Cost Reduction Target

HMRC’s progress against the CCR target is set out in its Annual Report and Accounts. HMRC has delivered net reductions of £17.5 million towards this target in the year 2017-18, and a total of £45.68 million net reductions since April 2015. HMRC will continue to report progress against this target in its Annual Report and Accounts.

As well as digital tax accounts, HMRC is also developing innovative digital customer support services, holding 1.6 million live webchats with customers in 2017-18.

⁸https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/577907/57980_Cm_9389_Treasury_Minute_Accessible.pdf

Annex A: Progress made against the Business Impact Target

The first reporting period of this Parliament ran from 9 June 2017 to 20 June 2018, during which Government departments and Ministerial and listed regulators delivered £2,937.4 million net business savings from Qualifying Regulatory Provisions that came into force or ceased to be in force during this period. This is against a Business Impact Target of £9,000 million of net savings to be achieved during this Parliament, and an interim target of £4,500 million to be achieved by June 2020.

Table one: Savings delivered against the Business Impact Target during the first reporting period of this Parliament	
Organisation	Business Impact Target score⁹ delivered
Cabinet Office	No qualifying measures
Department for Business, Energy and Industrial Strategy	£110.7m
Department for Digital, Culture, Media and Sport	£167.4m
Department for Education	No qualifying measures
Department for Environment, Food and Rural Affairs	No qualifying measures
Department for Exiting the European Union	No qualifying measures
Department for International Development	No qualifying measures
Department for International Trade	No qualifying measures
Department for Transport	No qualifying measures
Department for Work and Pensions	-£172.4m
Department of Health and Social Care	No qualifying measures
HM Treasury	-£2,645.3m
Home Office	No qualifying measures
Ministry of Defence	No qualifying measures

⁹ A “Business Impact Target score” is the sum of the Equivalent Annual Net Direct Cost to Business (EANDCB) over the first five years for which the measure will be in force, or the sum of the EANDCB over the full lifetime of the measure for measures that are in force for less than five years.

Table one: Savings delivered against the Business Impact Target during the first reporting period of this Parliament	
Organisation	Business Impact Target score⁹ delivered
Ministry of Housing, Communities and Local Government	Qualifying measure not yet validated
Ministry of Justice	No qualifying measures
Listed regulators	-£397.8m
Total	-£2,937.4m

Annex B: 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 first reporting period of this Parliament with their economic impact on business (see tables two and three);
- 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 EU or international obligation.

In line with the Government's new approach to reporting regulatory impacts, the Qualifying Regulatory Provisions of Government departments also include information on the wider impacts as well as the direct impact on business.

Table two: Qualifying Regulatory Provisions of Government 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						
Department / Ministerial regulator	Title of measure	Description of measure	Impact on business			Total Net Present Value (millions)
			EANDCB (millions)	Business Impact Target score (millions)	Business NPV (millions)	
Department for Business, Energy and Industrial Strategy	Simplification & Extension of the Primary Authority Scheme	Expands the scheme to allow small businesses not operating across local authority boundaries and pre-starts to gain the benefits of Primary Authority.	-£28.3	-£141.6	£246.4	£242.2
Department for Business, Energy and Industrial Strategy	National Minimum Wage (Amendment) Regulations 2018 - increase in national minimum and national living wage rates	Increases the National Living Wage and National Minimum Wage in line with the Low Pay Commission's recommendations.	£84.1	£252.3	-£243.1	-£2.7

Table two: Qualifying Regulatory Provisions of Government 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						
Department / Ministerial regulator	Title of measure	Description of measure	Impact on business			Total Net Present Value (millions)
			EANDCB (millions)	Business Impact Target score (millions)	Business NPV (millions)	
Department for Digital, Culture, Media and Sport	Universal service obligation	Gives individuals and businesses in the hardest to reach parts of the UK the right to request a broadband speed of at least 10 mbps and obliges the USP to meet this request, providing it can do so within a reasonable cost threshold.	£33.5	£167.4	-£436.9	£2280.4
Department for Work and Pensions	The Occupational Pension Schemes (Employer Debt) (Amendment) Regulations 2018	Introduces a new deferment option that provides an arrangement for employers within non-associated multi-employer schemes to defer the payment of an employer debt that arises from ceasing to employ an active member of a multi-employer occupational pension scheme.	-£9.6	-£47.8	£81.5	£81.5

Table two: Qualifying Regulatory Provisions of Government 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						
Department / Ministerial regulator	Title of measure	Description of measure	Impact on business			Total Net Present Value (millions)
			EANDCB (millions)	Business Impact Target score (millions)	Business NPV (millions)	
Department for Work and Pensions (Health and Safety Executive)	The Gas Safety (Installation and Use) (Amendment) Regulations 2018	Amends the Gas Safety (Installation and Use) Regulations (GSIUR) 1998 to introduce flexibility in the timing of annual gas safety checks to avoid landlords having to shorten the annual check cycle and incur additional costs; to exempt industrial Compressed Natural Gas filling stations from GSIUR; and to regularise the existing exemption to regulation 26(9)(c) to allow engineers to carry out alternative safety checks when the prescribed checks are not possible.	-£24.9	-£124.6	£238.7	£238.7
HM Treasury	Amending the UK definition of investment advice	Changes the Regulated Activities Order definition of investment advice to the Markets in Financial Instruments Directive II (MiFID II) definition for regulated firms.	-£589.5	-£2,947.3	£4,073.0	£4,073.0

Table two: Qualifying Regulatory Provisions of Government 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						
Department / Ministerial regulator	Title of measure	Description of measure	Impact on business			Total Net Present Value (millions)
			EANDCB (millions)	Business Impact Target score (millions)	Business NPV (millions)	
HM Treasury	Cash Ratio Deposit (Value Bands and Ratios) Order 2018	Amends the ratio used for calculating the percentage of eligible liabilities that eligible financial institutions are required to deposit in a non-interest bearing account at the Bank of England under the Cash Ratio Deposit (CRD) scheme. The scheme funds the Bank's monetary policy and financial stability functions.	£60.4	£302.0	-£329.4	£20.9
Ministry of Housing, Communities and Local Government	Extension of the permission in principle consent regime: introduction of applications process	Extends the current permission in principle policy that enables developers, following an application, to establish upfront, and at minimal cost, whether sites they choose are suitable for residential development before detailed proposals are needed.	Not yet validated by the Regulatory Policy Committee	Not yet validated by the Regulatory Policy Committee		

Table three: Qualifying Regulatory Provisions of listed regulators that came into force or ceased to be in force during the first Business Impact Target reporting period of the Parliament			
Listed regulator	Title of measure	Description of measure	Business Impact Target score (millions)
Care Quality Commission	Adult Social Care Provider Inspection Handbook	Revises the adult social care provider inspect handbook to reflect changes in the inspection methodology introduced for inspections from November 2017 onwards.	-£30.4
Financial Conduct Authority	The revised Payment Services Directive II	<p>The aim of the Payment Services Directive II is to bring regulation up-to-date with developments in the market for payment services, as well as promoting further innovation. In addition to implementing this EU measure, the FCA have introduced new rules which were not specifically required by the Directive but that the FCA considered necessary to ensure the effective application of Payment Services Directive II. Examples of the new rules include:</p> <ul style="list-style-type: none"> • Changes to existing complaints reporting to reflect new Payment Services Directive II rules on complaints handling; • Changes to the Banking Conduct of Business Sourcebook (BCOBS), which were necessary consequential changes to reflect the Payment Services Directive II; • Changes to reporting requirements to ensure the FCA monitors firms' compliance with the new rules introduced by the Payment Services Directive II. 	£65.7

Table three: Qualifying Regulatory Provisions of listed regulators that came into force or ceased to be in force during the first Business Impact Target reporting period of the Parliament			
Listed regulator	Title of measure	Description of measure	Business Impact Target score (millions)
Financial Conduct Authority	PS18/2: Client money and unbreakable deposits	Allows firms to deposit an appropriate proportion of client money in bank accounts with unbreakable terms of up to 95 days subject to certain conditions.	-£516.8
Financial Conduct Authority	PS18/6: Advising on pension transfers	Updates the rules and guidance on how advice should be provided to consumers on pension transfers when they are considering giving up safeguarded benefits.	Not yet validated by the Regulatory Policy Committee
Financial Conduct Authority	Retirement interest-only mortgages	Reclassifies retirement interest-only mortgages as standard rather than lifetime mortgages.	-£161.9
Financial Conduct Authority	Transactional cost disclosure in workplace pensions	Introduces a requirement for firms to disclose transaction costs and administration charges in response to a request for this information from certain pension schemes.	-£25.7

Table three: Qualifying Regulatory Provisions of listed regulators that came into force or ceased to be in force during the first Business Impact Target reporting period of the Parliament			
Listed regulator	Title of measure	Description of measure	Business Impact Target score (millions)
Financial Conduct Authority	Markets in Financial Instruments Directive (MiFID) II Gold-plating	Improves the functioning of financial markets in light of the financial crisis and strengthens investor protection. In some areas, the FCA exercised discretion in relation to the implementation of certain requirements of the Directive to help promote investor protection and market integrity and avoid distorting competition between different types of firms conducting designated investment business. Examples of this include, but are not limited to, application of research and inducements provision to collective portfolio managers; removing the current exemption for discretionary investment managers in relation to the telephone taping requirements; and extending the best execution standard to Article 3 financial advisers and UCITS management companies.	£57.0
Financial Conduct Authority	Markets in Financial Instruments Directive (MiFID) II Product governance	Applies MiFID II product governance requirements as guidance to firms manufacturing and distributing products in scope of MiFID by way of non-MiFID designated investment business.	Not yet validated by the Regulatory Policy Committee
Ofgem	Vulnerable Safeguard Tariff	Regulates gas and electricity prices for around 1 million domestic consumers who receive the Warm Home Discount.	£191.2

Table three: Qualifying Regulatory Provisions of listed regulators that came into force or ceased to be in force during the first Business Impact Target reporting period of the Parliament			
Listed regulator	Title of measure	Description of measure	Business Impact Target score (millions)
Ofgem	Prepayment Meters (PPM) installed under warrant for non-payment of debt	Introduces a £150 cap on warrant costs that suppliers can recover from domestic consumers.	£23.1

Annex C: 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 Non-Qualifying Regulatory Provisions which have come into force or ceased to be in force during the first reporting period of the Parliament (see tables four and five); 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 first reporting period of the Parliament (see Annex C sub-section entitled “Non-legislative Non-Qualifying Regulatory Provisions” on page 63).

In line with the Government’s new approach to reporting regulatory impacts, the Non-Qualifying Regulatory Provisions of Government departments that do not fall into the +/-£5 million de minimis threshold also include information on the wider impacts as well as the direct impact on business.

Table four: Legislative Non-Qualifying Regulatory Provisions of Government 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 above the +/-£5 million de minimis threshold						
Department / Ministerial regulator	Title of measure	Description of measure	Exclusion category	Impact on business		Total Net Present Value (millions)
				EANDCB (millions)	Business NPV (millions)	
Department for Business, Energy and Industrial Strategy	Article 30 of the fourth directive to address money laundering	Implements article 30 of the European Union's fourth directive to address money laundering.	Regulatory provisions that implement new or changed obligations from European Union Regulations, Decisions and Directives, and other international commitments and obligations, except in cases of gold-plating	£42.8	-£364.7	-£276.2
Department for Digital, Culture, Media and Sport	Network information security directive	Improves the level of protection against and, where possible, prevents cyber security incidents across the EU.	Regulatory provisions that implement new or changed obligations from European Union Regulations, Decisions and Directives, and other international commitments and obligations, except in cases of gold-plating	£22.4	-£192.0	-£381.6

Table four: Legislative Non-Qualifying Regulatory Provisions of Government 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 above the +/-£5 million de minimis threshold						
Department / Ministerial regulator	Title of measure	Description of measure	Exclusion category	Impact on business		Total Net Present Value (millions)
				EANDCB (millions)	Business NPV (millions)	
Department for Environment, Food and Rural Affairs	The Reduction and Prevention of Agricultural Diffuse Pollution (England) Regulations 2018	Establishes basic measures to meet the requirement of the EU Water Framework Directive (2000/60/EC) to control or prevent agricultural diffuse pollution.	Regulatory provisions that implement new or changed obligations from European Union Regulations, Decisions and Directives, and other international commitments and obligations, except in cases of gold-plating	-£27.3	£235.8	£451.0

Table four: Legislative Non-Qualifying Regulatory Provisions of Government 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 above the +/-£5 million de minimis threshold						
Department / Ministerial regulator	Title of measure	Description of measure	Exclusion category	Impact on business		Total Net Present Value (millions)
				EANDCB (millions)	Business NPV (millions)	
Department for Environment, Food and Rural Affairs	The Environmental Permitting (England and Wales) (Amendment) Regulations 2018	Introduces additional emission controls, beyond those in the Medium Combustion Plant Directive, for high-NOx (oxides of nitrogen) emitting generators in order to comply with the NOx emission ceiling in the Gothenburg Protocol, the associated National Emissions Ceiling Directive, and the Ambient Air Quality Directive.	Regulatory provisions that implement new or changed obligations from European Union Regulations, Decisions and Directives, and other international commitments and obligations, except in cases of gold-plating	£23.6	-£281.4	£164.7

Table four: Legislative Non-Qualifying Regulatory Provisions of Government 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 above the +/-£5 million de minimis threshold						
Department / Ministerial regulator	Title of measure	Description of measure	Exclusion category	Impact on business		Total Net Present Value (millions)
				EANDCB (millions)	Business NPV (millions)	
Department for Transport	Exemptions from annual roadworthiness testing rules for certain specialised heavy vehicles in Great Britain	Implements the EU Directive 2014/45/EU, which mandates roadworthiness testing for certain groups of vehicles.	Regulatory provisions that implement new or changed obligations from European Union Regulations, Decisions and Directives, and other international commitments and obligations, except in cases of gold-plating	£7.4	-£63.6	-£14.1

Table four: Legislative Non-Qualifying Regulatory Provisions of Government 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 above the +/-£5 million de minimis threshold						
Department / Ministerial regulator	Title of measure	Description of measure	Exclusion category	Impact on business		Total Net Present Value (millions)
				EANDCB (millions)	Business NPV (millions)	
Department for Transport	Changes to bus market legislation - bus franchising and partnership improvements for inclusion in the Buses Bill	Provides certain local authorities with the power to introduce bus franchising and enhanced partnership schemes, including specific provision for the Transfer of Undertakings (Protection of Employment) Regulations 2006 to apply in these circumstances.	Regulatory provisions that are intended to deliver – or to replicate – better competition-based outcomes in markets characterised by market power	£39.7	-£333.8	£560.0

Table four: Legislative Non-Qualifying Regulatory Provisions of Government 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 above the +/-£5 million de minimis threshold						
Department / Ministerial regulator	Title of measure	Description of measure	Exclusion category	Impact on business		Total Net Present Value (millions)
				EANDCB (millions)	Business NPV (millions)	
HM Treasury	Markets in Financial Instruments Directive II	Strengthens the framework for the regulation of markets in financial instruments, including where trading in such markets takes place over the counter across the EU.	Regulatory provisions that implement new or changed obligations from European Union Regulations, Decisions and Directives, and other international commitments and obligations, except in cases of gold-plating	£163.1	-£1,404.3	-£1,404.3 ¹⁰

¹⁰ The UK achieved its key objectives in the negotiations of MiFID II, and, while it has costs to business, HM Treasury believe that it is necessary for the effective functioning of financial markets. The government has transposed MiFID II as part of its obligations under membership of the European Union.

Table four: Legislative Non-Qualifying Regulatory Provisions of Government 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 above the +/-£5 million de minimis threshold						
Department / Ministerial regulator	Title of measure	Description of measure	Exclusion category	Impact on business		Total Net Present Value (millions)
				EANDCB (millions)	Business NPV (millions)	
HM Treasury	Payment Services Directive II	Transposes the requirements of the revised Payment Services Directive (PSDII), creating a more coherent single market for payment services and improving consumer protections where the EU perceives gaps in the provisions of the original directive (PSDI).	Regulatory provisions that implement new or changed obligations from European Union Regulations, Decisions and Directives, and other international commitments and obligations, except in cases of gold-plating	£177.4	-£1,764.0	£713.2

Table four: Legislative Non-Qualifying Regulatory Provisions of Government 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 above the +/-£5 million de minimis threshold						
Department / Ministerial regulator	Title of measure	Description of measure	Exclusion category	Impact on business		Total Net Present Value (millions)
				EANDCB (millions)	Business NPV (millions)	
HM Treasury	Transposition of 4th Anti-Money Laundering Directive	Implements the EU's 4th Anti-Money Laundering Directive (AMLD4), which aims to prevent the use of EU financial systems for money laundering or terrorist financing.	Regulatory provisions that implement new or changed obligations from European Union Regulations, Decisions and Directives, and other international commitments and obligations, except in cases of gold-plating	£7.4	-£51.3	-£54.6

Table five: Legislative Non-Qualifying Regulatory Provisions of Government departments that came into force or ceased to be in force during the first Business Impact Target reporting period of the Parliament and fall within the +/- £5 million de minimis threshold		
Department	Title of measure	Description of measure
Department for Business, Energy and Industrial Strategy	Statutory Auditors Regulations 2017	Completes implementation of an EU Directive and Regulation covering Limited Liability Partnerships and certain miscellaneous insurance providers mostly in the mutuals sector.
Department for Business, Energy and Industrial Strategy	The Ionising Radiation (Basic safety standards) (miscellaneous Provisions) Regulations 2018	Transposes miscellaneous new requirements of the Basic Safety Standards Directive (2013/59/Euratom) in order for the UK to meet international standards for protecting the public against ionising radiation.
Department for Business, Energy and Industrial Strategy	Justification of Practices Involving Ionising Radiation (Amendment) Regulations 2018	Transposes the 'justification' parts of the Basic Safety Standards Directive (2013/59/Euratom) in order for the UK to meet international standards for protecting the public against ionising radiation.
Department for Business, Energy and Industrial Strategy	Radioactive Contaminated Land (Modification of Enactments) (England) (Amendment) Regulations 2018	Transposes the 'Radioactive Contaminated Land' parts of the Basic Safety Standards Directive (2013/59/Euratom) in order for the UK to meet international standards for protecting the public against ionising radiation.
Department for Business, Energy and Industrial Strategy	Environmental Permitting (England and Wales) (Amendment) Regulations	Transposes radioactive waste aspects of the Basic Safety Standards Directive (2013/59/Euratom) in order for the UK to meet international standards for protecting the public against ionising radiation.

Table five: Legislative Non-Qualifying Regulatory Provisions of Government departments that came into force or ceased to be in force during the first Business Impact Target reporting period of the Parliament and fall within the +/- £5 million de minimis threshold		
Department	Title of measure	Description of measure
Department for Business, Energy and Industrial Strategy	The Nuclear Installations (Excepted Matter) Regulations 2017	Implements changes in underpinning international criteria for exclusion of small quantities of nuclear material from the requirements of the nuclear liability regime.
Department for Business, Energy and Industrial Strategy	The Enterprise Act 2002 (Share of Supply Tests) (Amendment) Order 2018	Amends the share of supply tests within the Enterprise Act 2002 relating to: (i) the dual use and military sector (where dual use covers the design and production of items that have both military and civilian uses) and; (ii) parts of the advanced technology sector
Department for Business, Energy and Industrial Strategy	The Enterprise Act 2002 (Turnover Tests) (Amendment) Order 2018	Amends the turnover threshold within the Enterprise Act 2002 relating to: (i) the dual use and military sector (where dual use covers the design and production of items that have both military and civilian uses) and; (ii) parts of the advanced technology sector
Department for Business, Energy and Industrial Strategy	The Late Payment of Commercial Debts (Amendment) Regulations 2018	Corrects the transposition of EU Directive EU/7/2011 to help provide clarity on the powers conferred on business representative bodies to make claims on behalf of their members.
Department for Business, Energy and Industrial Strategy	The Oil and Gas Authority (Offshore Petroleum) (Retention of Information and Samples) Regulations 2018	Ensures key information and samples from the UK's offshore oil and gas industry are not lost or destroyed, and that the regulator has access to them in order to carry out its strategic functions.

Table five: Legislative Non-Qualifying Regulatory Provisions of Government departments that came into force or ceased to be in force during the first Business Impact Target reporting period of the Parliament and fall within the +/- £5 million de minimis threshold		
Department	Title of measure	Description of measure
Department for Business, Energy and Industrial Strategy	The Electricity (Connection Offer Expenses) Regulations 2018	Allows Distribution Network Operators (DNOs) to charge customers for the costs of providing a connection offer irrespective of whether the customer accepts the offer.
Department for Business, Energy and Industrial Strategy	Domestic Heating Replacement Regulations 2018	Requires homeowners to install an energy saving technology, chosen from a list of available measures.
Department for Business, Energy and Industrial Strategy	The Portability of Online Content Services Regulation 2018	Allows consumers to take their online content services with them when temporarily in another Member State of the EU.
Department for Business, Energy and Industrial Strategy	Patents, Trade Marks and Design Rights: Groundless Threats	Reforms the law on groundless threats
Department for Business, Energy and Industrial Strategy	The Designs (International Registration of Industrial Designs) Order 2018	Provides UK business with a cheaper way to register designs internationally.

Table five: Legislative Non-Qualifying Regulatory Provisions of Government departments that came into force or ceased to be in force during the first Business Impact Target reporting period of the Parliament and fall within the +/- £5 million de minimis threshold		
Department	Title of measure	Description of measure
Department for Business, Energy and Industrial Strategy	Web marking of products protected by registered designs	Permits design owners to mark products with the address of a website containing up to date details of registered designs.
Department for Business, Energy and Industrial Strategy	Gas Appliances (Enforcement) and Miscellaneous Amendments Regulations 2018	Allows the UK to continue to enforce the provisions of the EU Gas Appliances Regulation.
Department for Business, Energy and Industrial Strategy	Personal Protective Equipment (Enforcement) Regulations 2018	Allows the UK to continue to enforce the EU Personal Protective Equipment Regulation.
Department for Business, Energy and Industrial Strategy	Aerosols Dispenser (Amendment) Regulations 2018	Amends Directive 2016/2037/EU, which increases the allowable pressure of metal aerosols with non flammable propellants and aligns the labelling requirements with EU Regulation 11272/2008.
Department for Business, Energy and Industrial Strategy	Radio Equipment Regulations 2017	Improves the efficient use of the radio spectrum and regulates the spectrum below 9kHz where increasing use of products is resulting in increasing incidents of harmful interference.

Table five: Legislative Non-Qualifying Regulatory Provisions of Government departments that came into force or ceased to be in force during the first Business Impact Target reporting period of the Parliament and fall within the +/- £5 million de minimis threshold		
Department	Title of measure	Description of measure
Department for Business, Energy and Industrial Strategy	Recreational Crafts Regulations 2017	Aligns the EU New Legal Framework and improves the safety and exhaust emissions limits of recreational craft and personal watercraft.
Department for Business, Energy and Industrial Strategy	Coordination of Regulatory Enforcement Regulations 2017	Specifies the national regulators that will offer support under Primary Authority and administrative measures needed for Primary Authority to operate in practice.
Department for Business, Energy and Industrial Strategy	Primary Authority - system for defining scope of partnerships	Extends the scope of a partnership between a Primary Authority and a business or group of businesses, by default, to all of the regulatory functions within the scope of the Primary Authority that the particular local authority is responsible for.
Department for Business, Energy and Industrial Strategy	Land Registration (Amendment) Rules 2018	Enables conveyancing transactions to be carried out entirely online.
Department for Digital, Culture, Media and Sport	Data Protection Act 2018	Updates the UK's data protection laws for the digital age.
Department for Digital, Culture, Media and Sport	Prohibition on Betting on EuroMillions	Prohibits operators from offering bets on EuroMillions draws outside the UK.

Table five: Legislative Non-Qualifying Regulatory Provisions of Government departments that came into force or ceased to be in force during the first Business Impact Target reporting period of the Parliament and fall within the +/- £5 million de minimis threshold		
Department	Title of measure	Description of measure
Department for Digital, Culture, Media and Sport	Amendments to Schedule 6 of the Gambling Act 2005	Amends the list that sets out a range of sports governing bodies and regulatory organisations for the purpose of exchanging information with the Commission.
Department for Digital, Culture, Media and Sport	The Data Protection (Charges and Information) Regulations 2018	Sets out the circumstances in which data controllers are required to pay a charge.
Department for Digital, Culture, Media and Sport	Electronic Communications Code	Regulates the legal relationships between landowners and network operators.
Department for Digital, Culture, Media and Sport	Minor amendments to the Wireless Telegraphy Act	Reduces the standard retention period to six months (Ofcom were previously required to retain seized property for 12 months).
Department for Digital, Culture, Media and Sport	Financial penalties for breaches of Wireless Telegraphy Act	Provides Ofcom with greater flexibility to impose financial penalties for breaches of the terms of Wireless Telephony Act licences.
Department for Digital, Culture, Media and Sport	Charitable incorporated organisation conversions	Makes provision for the conversion of certain types of incorporated body into a Charitable Incorporated Organisation.
Department for Environment, Food and Rural Affairs	The Pollution Prevention and Control (Designation of Directives) (England and Wales) Order 2017	Designates Council Directive 2013/59/EURATOM, laying down basic safety standards for protection against the dangers arising from exposure to ionising radiation.

Table five: Legislative Non-Qualifying Regulatory Provisions of Government departments that came into force or ceased to be in force during the first Business Impact Target reporting period of the Parliament and fall within the +/- £5 million de minimis threshold		
Department	Title of measure	Description of measure
Department for Environment, Food and Rural Affairs	The Marketing of Fruit Plant and Propagating Material (England) Regulations 2017	Transposes Directive 2014/96 (on requirements for labelling, sealing and packaging of fruit plant and propagating material), Directive 2014/97 (on the registration of suppliers and of varieties and the common list of varieties) and Directive 2014/98 (on specific requirements for production and marketing of fruit plant and propagating material).
Department for Environment, Food and Rural Affairs	The Milk and Milk Products (Pupils in Educational Establishments) (England and Northern Ireland) Regulations 2017	Implements a new European Union aid scheme for the supply of milk and milk products to pupils in educational establishments.
Department for Environment, Food and Rural Affairs	The Caseins and Caseinates (England) Regulations 2017	Transposes Directive (EU) 2015/2203 on Caseins and Caseinates intended for human consumption.
Department for Environment, Food and Rural Affairs	The Water Infrastructure Adoption (Prescribed Water Fittings Requirements) (England) Regulations 2017	Prescribes the minimum standards which must be met in respect of water mains and supply pipes built by a developer, before the Water Services Regulations Authority may require a water undertaker to adopt the infrastructure.
Department for Environment, Food and Rural Affairs	The Lobsters and Crawfish (Prohibition of Fishing and Landing) (Amendment) (England) Order 2017	Prohibits fishing for, and the landing of, lobsters and crawfish which are carrying eggs (“berried” lobsters and crawfish).

Table five: Legislative Non-Qualifying Regulatory Provisions of Government departments that came into force or ceased to be in force during the first Business Impact Target reporting period of the Parliament and fall within the +/- £5 million de minimis threshold		
Department	Title of measure	Description of measure
Department for Environment, Food and Rural Affairs	The Farriers (Registration) Act 2017 (Commencement) Regulations 2017 No. 921	Brings sections 1 and 2 of the Farriers (Registration) Act 2017 into force.
Department for Environment, Food and Rural Affairs	The Water Act 2014 (Commencement No. 9 and Transitional Provisions) (Amendment) Order 2017	Ensures that certain consequential provisions of the Water Act 2014 (Commencement No. 9 and Transitional Provisions) Order 2017 only apply to English water or sewerage companies and not Welsh water or sewerage companies.
Department for Environment, Food and Rural Affairs	The Agricultural Holdings (Units of Production) (England) Order 2017	Prescribes units of production for the assessment of the productive capacity of agricultural land situated in England.
Department for Environment, Food and Rural Affairs	The Anti-social Behaviour Crime and Policing Act 2014 (Commencement No. 10) Order	Brings into force section 154 of the Anti-social Behaviour, Crime and Policing Act 2014, which relates to littering from vehicles in England).
Department for Environment, Food and Rural Affairs	The Water Act 2003 (Commencement No. 12) Order 2017	Ends currently exempt water abstractions to comply with the Water Framework Directive.
Department for Environment, Food and Rural Affairs	The Environment Act 1995 (Commencement No. 25) Order 2017	Brings into force paragraph 2 of Schedule 21 to the Environment Act 1995 (c. 25) for all remaining purposes.

Table five: Legislative Non-Qualifying Regulatory Provisions of Government departments that came into force or ceased to be in force during the first Business Impact Target reporting period of the Parliament and fall within the +/- £5 million de minimis threshold		
Department	Title of measure	Description of measure
Department for Environment, Food and Rural Affairs	The Water Abstraction (Specified Enactments) Regulations 2017	Specifies enactments for the purposes of section 102(5)(b) of the Water Act 2003 (c. 37).
Department for Environment, Food and Rural Affairs	The Water Abstraction (Revocations etc.) (England) Order 2017	Implements the abstraction elements of the Water Act 2003, which end abstraction.
Department for Environment, Food and Rural Affairs	The Water Abstraction and Impounding (Exemptions) Regulations 2017	Provides exemptions from the restriction on abstraction and the restriction on impounding works in the Water Resources Act 1991.
Department for Environment, Food and Rural Affairs	The Water Abstraction (Transitional Provisions) Regulations 2017	Implements water abstraction elements of the Water Act 2003.
Department for Environment, Food and Rural Affairs	The Conservation of Habitats and Species Regulations 2017	Consolidates the Conservation of Habitats and Species Regulations 2010 (S.I. 2010/490) with subsequent amending instruments, and make minor modifications reflecting changes to related legislation.
Department for Environment, Food and Rural Affairs	The Conservation of Offshore Marine Habitats and Species Regulations 2017	Consolidates the Offshore Marine Conservation (Natural Habitats, &c.) Regulations 2007 (S.I. 2007/1842) with subsequent amending instruments, and make minor modifications reflecting changes to related legislation.

Table five: Legislative Non-Qualifying Regulatory Provisions of Government departments that came into force or ceased to be in force during the first Business Impact Target reporting period of the Parliament and fall within the +/- £5 million de minimis threshold		
Department	Title of measure	Description of measure
Department for Environment, Food and Rural Affairs	The Environmental Offences (Fixed Penalties) (England) Regulations 2018	Supplements various Acts of Parliament by, for example, prescribing various amounts in connection with fixed penalties which may be imposed instead of criminal prosecution for certain offences (“environmental offences”).
Department for Environment, Food and Rural Affairs	Nationally Significant Infrastructure Projects - Water Resources - Commencement Order 2018 - Published	Defines the types of ‘nationally significant’ water resources infrastructure projects that can apply for streamlined planning consent under the new National Policy Statement for water resources.
Department for Environment, Food and Rural Affairs	The Planning Act 2008 (Commencement No. 3) (England) Order 2017	Determines when development relating to the transfer of water resources or to the construction or alteration of a dam or reservoir will constitute a nationally significant infrastructure project for the purposes of the Planning Act 2008.
Department for Environment, Food and Rural Affairs	The Animal Health (Miscellaneous Revocations) Order 2017	Revokes the Diseases of Animals (Extension of Definitions) Order 1971(1) and the Disease Control (England) (Amendment) Order 2007.
Department for Environment, Food and Rural Affairs	The Fisheries and Rural Affairs (Miscellaneous Revocations) Regulations 2017	Revokes the Seal Fisheries (North Pacific) Act 1912 (Amendment) Regulations 1996 (S.I. 1996/2685).

Table five: Legislative Non-Qualifying Regulatory Provisions of Government departments that came into force or ceased to be in force during the first Business Impact Target reporting period of the Parliament and fall within the +/- £5 million de minimis threshold		
Department	Title of measure	Description of measure
Department for Environment, Food and Rural Affairs	The Environmental Damage (Prevention and Remediation) (England) (Amendment) Regulations 2018	Devolves enforcement responsibility under the EU Environmental Liability Directive (2004/35/EC), in Welsh offshore areas, from the Secretary of State to Welsh Ministers.
Department for Environment, Food and Rural Affairs	The Plant Health (Forestry) (Amendment) (England and Scotland) Order 2017	Amends the Plant Health (Forestry) Order 2005 (S.I. 2005/2517), which contains measures to prevent the introduction and spread of harmful tree pests and diseases.
Department for Environment, Food and Rural Affairs	The Common Agricultural Policy Basic Payment and Support Schemes (England) (Amendment) Regulations 2017	Sets out how certain discretions will be exercised in relation to recent changes made to rules governing direct payments made to farmers under the Common Agricultural Policy (CAP).
Department for Environment, Food and Rural Affairs	The Control of Mercury (Enforcement) Regulations 2017	Designates competent authorities and sets offences and penalties for the enforcement of Regulation (EU) 2017/852 on Mercury.
Department for Environment, Food and Rural Affairs	The Fishing Boats Designation (England) Order 2017	Makes minor technical corrections to the Fishing Boats Designation (England) Order 2015.

Table five: Legislative Non-Qualifying Regulatory Provisions of Government departments that came into force or ceased to be in force during the first Business Impact Target reporting period of the Parliament and fall within the +/- £5 million de minimis threshold		
Department	Title of measure	Description of measure
Department for Environment, Food and Rural Affairs	The Ringing of Certain Captive Bred Birds (England and Wales) Regulations 2017	Sets out the requirements for ringing birds depending upon where the bird is hatched.
Department for Environment, Food and Rural Affairs	The Producer Responsibility Obligations (Packaging Waste) Regulations Amendment 2018	Amends the Producer Responsibility Obligations (Packaging Waste) Regulations 2007 (S.I. 2007/871) by setting new packaging waste recycling targets for paper, steel, aluminium and wood and new overall packaging waste recovery and recycling targets from 2018 to 2020.
Department for Environment, Food and Rural Affairs	The Plant Health (England) (Amendment) (No.2) Order 2017	Amends the Plant Health (England) Order 2015 (S.I. 2015 No. 610) (“the principal Order”), which contains measures to prevent the introduction and spread of harmful plant pests and diseases.
Department for Environment, Food and Rural Affairs	The Boston Barrier Order 2017	Authorises the Environment Agency (“the Agency”) to construct and operate a new tidal barrier with a moveable gate across the river Withamin Boston, Lincolnshire.
Department for Environment, Food and Rural Affairs	The Tuberculosis (Non-bovines) Slaughter and Compensation Order 2017	Applies the power in section 32 of the Animal Health Act 1981 for the Secretary of State to slaughter any animal affected, or suspected of being affected, by TB.
Department for Environment, Food and Rural Affairs	The Environmental Protection (Microbeads) (England) Regulations 2018	Prohibits the use of microbeads as an ingredient in the manufacture of rinse-off personal care products and the sale of any such products containing microbeads.

Table five: Legislative Non-Qualifying Regulatory Provisions of Government departments that came into force or ceased to be in force during the first Business Impact Target reporting period of the Parliament and fall within the +/- £5 million de minimis threshold		
Department	Title of measure	Description of measure
Department for Environment, Food and Rural Affairs	The Plant Health (Fees) (England) (Amendment) Regulations 2018	Amends the Plant Health (Fees) (England) Regulations 2014 to reflect changes in inspection levels according to risk.
Department for Environment, Food and Rural Affairs	Plant Health (England) (Amendment) Order 2018	Amends the Plant Health (England) Order 2015 (S.I. 2015 No. 610), which contains measures to prevent the introduction and spread of harmful plant pests and diseases.
Department for Environment, Food and Rural Affairs	The Waste Enforcement (England and Wales) Regulations 2018	Enhances powers to tackle illegal activity at waste sites.
Department for Environment, Food and Rural Affairs	The Veterinary Surgeons and Veterinary Practitioners (Registration) (Amendment) Regulations Order of Council 2018	Maintain adequate finances for the regulatory body for the veterinary profession.
Department for Environment, Food and Rural Affairs	The Fluorinated Greenhouse Gases (Amendment) Regulations 2018	Updates the 2015 Regulations to provide for the enforcement of five new EU Commission Implementing Regulations which were introduced to support the main EU F gas Regulation, and introduces civil penalties for infringements of the EU Regulation from April 2018 in England, Scotland and in relation to offshore installations in marine areas.

Table five: Legislative Non-Qualifying Regulatory Provisions of Government departments that came into force or ceased to be in force during the first Business Impact Target reporting period of the Parliament and fall within the +/- £5 million de minimis threshold		
Department	Title of measure	Description of measure
Department for Environment, Food and Rural Affairs	The Waste Electrical and Electronic Equipment (Amendment) Regulations 2018	Amends the Waste Electrical and Electronic Equipment Regulations 2013(S.I.2013/3113).
Department for Environment, Food and Rural Affairs	The Littering from Vehicles Outside London (Keepers: Civil Penalties) Regulation 2018 (made)	Confers a power on district councils in England (outside London) to require the keeper of a vehicle to pay a fixed (civil) penalty if there is reason to believe that a littering offence has been committed from the vehicle.
Department for Environment, Food and Rural Affairs	The Mandatory Use of Closed Circuit Television in Slaughterhouses (England) Regulations 2018	Requires all slaughterhouses in England to have installed an operational CCTV system in all areas of the slaughterhouse where live animals are present.
Department for Environment, Food and Rural Affairs	The Legislative Reform (Constitution of the Council of the Royal College of Veterinary Surgeons) Order 2018	Amends the constitution (size and membership) of the Royal College of Veterinary Surgeons governing body.

Table five: Legislative Non-Qualifying Regulatory Provisions of Government departments that came into force or ceased to be in force during the first Business Impact Target reporting period of the Parliament and fall within the +/- £5 million de minimis threshold		
Department	Title of measure	Description of measure
Department for Environment, Food and Rural Affairs	The Codes of Practice for the Welfare of Cats, Dogs, and Horses, Ponies, Donkeys and their Hybrids (Appointed Day and Revocations) (England) Order 2018	Brings into force three amended statutory codes of practice on the welfare of cats, dogs and equines.
Department for Environment, Food and Rural Affairs	Revision of the Code of Practice for the Welfare of Meat Chickens and Meat Breeding Chickens (made)	Revokes the previous Code of Recommendations for the Welfare of Livestock: Meat Chickens and Breeding Chickens and provides that the new Code of Practice will not apply to proceedings relating to any alleged act causing unnecessary suffering to an animal committed before 26 March 2018.
Department for Environment, Food and Rural Affairs	Plant Health (Fees) (England) Regulations 2018	Specifies fees payable to the Secretary of State in the field of plant health and seed potatoes.
Department for Environment, Food and Rural Affairs	Plant Health (Export Certification) (England) Order 2018	Amends the Plant Health (Export Certification) (England) Order 2004 (S.I. 2004/1404), which makes provision for the issue of phytosanitary certificates for the export of plant material to third countries to satisfy the requirements of those countries' phytosanitary regulations.

Table five: Legislative Non-Qualifying Regulatory Provisions of Government departments that came into force or ceased to be in force during the first Business Impact Target reporting period of the Parliament and fall within the +/- £5 million de minimis threshold		
Department	Title of measure	Description of measure
Department for Environment, Food and Rural Affairs	The Marine Works (Environmental Impact Assessment) and Marine Strategy (Amendment) Regulations 2018	Implements changes that are required as a consequence of the transfer to the Welsh Ministers of certain functions relating to harbours that are wholly in Wales, and marine licensing and marine conservation in the Welsh offshore area under the Marine and Coastal Access Act 2009.
Department for Environment, Food and Rural Affairs	Plant Health (England) (Amendment) (No. 2) Order 2019	Amends the Plant Health (England) Order 2015 (S.I. 2015 No. 610), which contains measures to prevent the introduction and spread of harmful plant pests and diseases.
Department for Environment, Food and Rural Affairs	The Water Act 2014 (Commencement No. 11) Order 2018	Brings into force section 8 of The Water Act 2014 Act, which relates to bulk supply agreements to which all parties are (or would be) a water undertaker whose area is wholly or mainly in England.
Department for Environment, Food and Rural Affairs	The Natural Mineral Water, Spring Water and Bottled Drinking Water (England) (Amendment) Regulations 2018	Amends regulations governing the exploitation, bottling and marketing of natural mineral water, spring water and other bottled drinking water.
Department for Environment, Food and Rural Affairs	The Sea Fish (Marketing Standards) (England and Wales and Northern Ireland) Regulations 2018	Introduces enforcement provisions for the marketing standards of fish and aquaculture products.

Table five: Legislative Non-Qualifying Regulatory Provisions of Government departments that came into force or ceased to be in force during the first Business Impact Target reporting period of the Parliament and fall within the +/- £5 million de minimis threshold		
Department	Title of measure	Description of measure
Department for Environment, Food and Rural Affairs	The Pigs (Records, Identification and Movement) (Amendment) Order 2018	Replaces previous reporting requirements with a requirement to notify movements to a person nominated by the Secretary of State.
Department for Environment, Food and Rural Affairs	The Plant Health etc. (Fees) (England) (Amendment) Regulations 2018	Revokes and replaces the Plant Health (Fees) (England) Regulations 2014 (S.I. 2014/601), which specify fees payable to the Secretary of State in the field of plant health and seed potatoes.
Department for Environment, Food and Rural Affairs	The Bathing Water (Amendment) (England) Regulations 2018	Amends the Bathing Water Regulations 2013 (S.I. 2013/1675) which implement, in England and Wales, Directive 2006/7/EC of the European Parliament and of the Council concerning the management of bathing water quality.
Department for Education	Children's Services and Skills (Fees and Frequency of Inspections) (Children's Homes etc.) (Amendment) Regulations 2017	increases the level of certain registration, variation and annual fees payable to the Chief Inspector by those schools, agencies and establishments caught by the 2015 Regulations.
Department for Education	The Equality Act 2010 (General Qualifications bodies) (Appropriate Regulator and Relevant Qualifications) (Amendment) (England) Regulations 2017	Updates limitations list to reflect changes to the qualifications landscape.

Table five: Legislative Non-Qualifying Regulatory Provisions of Government departments that came into force or ceased to be in force during the first Business Impact Target reporting period of the Parliament and fall within the +/- £5 million de minimis threshold		
Department	Title of measure	Description of measure
Department for Education	The Apprenticeships (Miscellaneous Provisions) Regulations 2017	Raises the quality of apprenticeships by requiring employers to provide off-the-job training.
Department for Education	The Independent Educational Provision in England (Inspection Fees) and Independent School Standards (Amendment) Regulations 2018	Uprates Ofsted's fees.
Department for Transport	Review of Vehicles of Historical Interest (VHIs) roadworthiness testing	Provides an enforcement mechanism to support the EU Regulation on monitoring, reporting and verification of CO2 emissions from maritime transport.
Department for Transport	Electronic Registration of Ships	Allows a switch to electronic registration as an option for users of the system.
Department for Transport	Fishing Vessels (Codes of Practice) Regulations 2016	Updates, consolidates and recasts 17 sets of existing Rules and Regulations, and enacts three Codes of Practice for the construction and safe operation of fishing vessels.

Table five: Legislative Non-Qualifying Regulatory Provisions of Government departments that came into force or ceased to be in force during the first Business Impact Target reporting period of the Parliament and fall within the +/- £5 million de minimis threshold		
Department	Title of measure	Description of measure
Department for Transport	Changes to bus market legislation - bus franchising and partnership improvements for inclusion in the Bus Services Act 2017	Allows the Transfer of Undertakings (Protection of Employment) Regulations 2006 (TUPE) to apply in circumstances in which a local authority introduces bus franchising and enhanced partnership schemes under the Bus Services Act 2017.
Department for Transport	Implementation of Inland Waterways Working Time Directive	<p>Implements the European sectoral social partners' agreement on working time for mobile workers in inland waterway transport.</p> <p>In addition to implementing the European sectoral partners' agreement on working time for mobile workers in inland waterway transport, this measure goes beyond minimum requirements by increasing the statutory annual leave entitlement for mobile workers in inland waterway transport to 5.6 weeks per year. The reason for this is to bring the statutory leave entitlement of these workers into line with that for workers in other sectors.</p>
Department for Transport	The Air Navigation (Amendment) Order 2017	Amends the Air Navigation Order 2016 to implement the requirements of the EASA Air Traffic Controller Licensing Regulation 1 and the EASA Air Operations Regulation.

Table five: Legislative Non-Qualifying Regulatory Provisions of Government departments that came into force or ceased to be in force during the first Business Impact Target reporting period of the Parliament and fall within the +/- £5 million de minimis threshold		
Department	Title of measure	Description of measure
Department for Transport	Merchant Shipping (Monitoring, Reporting and Verification of Carbon Dioxide Emissions) Regulations 2016	Supports the operation of the EU Regulation on the monitoring, reporting and verification of carbon dioxide emissions from maritime transport.
Department for Transport	Transposition of 2014/45/EU – Introduction of Roadworthiness testing for fast tractors and assorted legislative changes	Requires the introduction of a roadworthiness testing regime for T5 (fast) tractors used for commercial haulage purposes.
Department for Transport	Increasing the rate of Payments in Lieu of Training (PILOT) under the tonnage tax in line with inflation	Increase the amounts to be used in calculating payments in lieu of training payable under the Tonnage Tax (Training Requirement) Regulations 2000.
Department for Transport	Road Vehicles (Authorised Weight) and (Construction and Use) (Amendment) Regulations 2017	Increases the maximum weights and dimensions of certain vehicles.
Department for Transport	Directive 2014/94/EU - 'Alternative Fuels Infrastructure Directive'	Imposes a common set of standards and functionality for the provision of certain alternative fuel infrastructure.

Table five: Legislative Non-Qualifying Regulatory Provisions of Government departments that came into force or ceased to be in force during the first Business Impact Target reporting period of the Parliament and fall within the +/- £5 million de minimis threshold		
Department	Title of measure	Description of measure
Department for Transport	Amendment to the Approved Driving Instructor Instructional (Part 3) Qualifying Test	Amends the qualifying tests undertaken by Potential Driving Instructors.
Department for Transport	Merchant Shipping (Prevention of Pollution from Noxious Liquid Substances In Bulk) Regulations 2018	Implements Annex II (Regulations for the Control of Pollution by Noxious Liquid Substances in Bulk) of MARPOL 73/78 (as revised), an International Convention made by the International Maritime Organization for the prevention of pollution from ships.
Department for Transport	Transposition of 2014/45/EU - Introduction of roadworthiness testing for electric vans	Requires category N1 vehicles to undergo annual roadworthiness testing.
Department for Transport	Merchant Shipping (Maritime Labour Convention) (Amendment) Regulations 2017	Places an obligation on the shipowner to show that they have financial security meeting particular criteria and sufficient to cover these liabilities for seafarers in their employ, even in cases of abandonment.
Department for Transport	Standards for Domestic Passenger Ships	Transposes an EU Directive which will ensure a continued high standard of safety is maintained on UK seagoing domestic passenger ships.
Department for Transport	Agricultural and Forestry Vehicles (Type-Approval) Regulations 2018	Ensures that new vehicles comply with high standards of safety and environmental protection in accordance with European legislation.

Table five: Legislative Non-Qualifying Regulatory Provisions of Government departments that came into force or ceased to be in force during the first Business Impact Target reporting period of the Parliament and fall within the +/- £5 million de minimis threshold		
Department	Title of measure	Description of measure
Department for Transport	Changes to bus market legislation - bus franchising and partnership improvements for inclusion in the Buses Bill	Provides certain local authorities with the power to introduce bus franchising and enhanced partnership schemes, including specific provision for the Transfer of Undertakings (Protection of Employment) Regulations 2006 to apply in these circumstances.
Department of Health and Social Care	Basic Safety Standard Directive 2013/059/EURATOM	Provides for the establishment of uniform safety standards to protect the health of patients, workers and of the general public against the dangers arising from ionising radiation.
Department of Health and Social Care	Extension CQC Ratings	Extends CQC's ability to award ratings to more services.
Department of Health and Social Care	The Novel Foods (England) Regulations 2018	Provides for the enforcement, in England, of the directly applicable EU Regulation (EU) 2015/2283 on novel foods.
Department for Work and Pensions	The Pension Schemes Act 2015 (Transitional Provisions and Appropriate Independent Advice) (Amendment No. 2) Regulations 2017	Simplifies processes for trustees and scheme managers to value members' pension savings, classified as 'safeguarded benefits', when determining whether the requirement to take financial advice applies.

Table five: Legislative Non-Qualifying Regulatory Provisions of Government departments that came into force or ceased to be in force during the first Business Impact Target reporting period of the Parliament and fall within the +/- £5 million de minimis threshold		
Department	Title of measure	Description of measure
Department for Work and Pensions	The Occupational Pension Schemes (Charges and Governance) (Amendment) Regulations 2017	Introduces restrictions on early exit charges for members of occupational pension schemes eligible to access the pension freedoms.
Department for Work and Pensions	The National Employment Savings Trust (Amendment) Order 2018	Amends the National Employment Savings Trust (NEST) Order 2010 to facilitate the effective operation and development of the NEST Pension Scheme.
Department for Work and Pensions	The Occupational Pension Schemes (Administration and Disclosure) (Amendment) Regulations 2018	Requires trustees or managers of money purchase schemes that are occupational pension schemes to publish scheme transaction costs and administration charges, and to provide information about scheme transaction costs.
Department for Work and Pensions	Occupational Pension Schemes (Preservation of Benefit and Charges and Governance) (Amendment) Regulations 2018	Simplifies the conditions that must be satisfied for trustees or managers of pension schemes, or other parties who hold the right, to transfer groups of pension scheme members from one scheme to another without having to seek the explicit permission of individual members in advance.
Department for Work and Pensions	The Contracting-out (Transfer and Transfer Payment) (Amendment) Regulations 2018	Corrects a small anomaly arising from the abolition of salary-related contracted-out schemes on 6 April 2016.

Table five: Legislative Non-Qualifying Regulatory Provisions of Government departments that came into force or ceased to be in force during the first Business Impact Target reporting period of the Parliament and fall within the +/- £5 million de minimis threshold		
Department	Title of measure	Description of measure
Department for Work and Pensions	The Contracting-out (Transfer and Transfer Payment) (Amendment) Regulations 2017	Enables transfers of pensioner members with contracted-out rights to take place in certain circumstances, with member consent, to schemes that have never been contracted-out.
Department for Work and Pensions	Financial Guidance and Claims Act 2018	Builds on a Government commitment to ensure that members of the public can access good-quality, free-to-client, impartial financial guidance and debt advice.
Department for Work and Pensions	Ionising Radiation Regulations 2017	Implements Directive 2013/59/Euratom, which integrates several directives on occupational and public exposure and radiation.
Department for Work and Pensions	ionising Radiation Regulations 2017	Implements the occupational exposure elements of the Basic Safety Standards Directive.
HM Treasury	Expanding the type of payment system that can be brought into Bank of England stability oversights under the Banking Act	Amends the existing regulatory framework in the Banking Act 2009 so that it may be applied to non-interbank payment systems.
HM Treasury	Immigration Act 2016 regulations: tackling existing current accounts held by illegal migrants	Requires banks to undertake checks for current accounts held by known illegal migrants, notify the Home Office where they identify matches, and take action that will contribute to encouraging the illegal migrant to leave the UK.

Table five: Legislative Non-Qualifying Regulatory Provisions of Government departments that came into force or ceased to be in force during the first Business Impact Target reporting period of the Parliament and fall within the +/- £5 million de minimis threshold		
Department	Title of measure	Description of measure
HM Treasury	Office for Professional Body AML Supervision	Creates the Office for Professional Body AML Supervision - a new organisation within the Financial Conduct Authority to oversee and coordinate the UK AML supervision system.
HM Treasury	Insurance-linked securities - implementing a new framework	Implements a new framework which includes a bespoke authorisation regime for Insurance-linked securities business through the Prudential Regulation Authority and the Financial Conduct Authority.
HM Treasury	Financial Services and Markets Act 2000 (Regulated Activities) (Amendment) Order 2018	Ensures that Alternative Finance Investment Bonds benefit from the same regulatory treatment as conventional bonds in self-regulated financial trading venues.
HM Treasury	The Financial Services and Markets Act 2000 (Carrying on Regulated Activities by Way of Business) (Amendment) Order 2018	Ensures that businesses are confident that they can borrow via P2P platforms without requiring any authorisation, and that platforms do not seek to “de-risk” their activities by restricting lending to businesses.
HM Treasury	Payment Services Directive II	In addition to transposing the Payment Services Directive II, this measure extends the surcharging ban from the main card schemes to all consumer payment instruments in order to make the position clear for consumers and to ensure a level playing-field between different payment instruments.

Table five: Legislative Non-Qualifying Regulatory Provisions of Government departments that came into force or ceased to be in force during the first Business Impact Target reporting period of the Parliament and fall within the +/- £5 million de minimis threshold		
Department	Title of measure	Description of measure
HM Treasury	Transposition of 4th Anti-Money Laundering Directive	In addition to transposing the 4th Anti-Money Laundering Directive, this measure extends the criminality test for owners and managers of accountants, lawyers and estate agents so that it also applies to High Value Dealers due to evidence of significant criminality in the sector.
Home Office	Criminal Finances Act 2017	Provides powers to tackle corruption, money laundering and terrorist financing.
Home Office	Prevention or restriction of use of communication devices for the purpose of drug dealing	Provides powers to cancel mobile phones used by drug dealers.
Home Office	Enforcement of the Regulatory Reform (Fire Safety) Order 2005 in privately-owned Crown custodial premises	Clarifies fire inspection responsibilities in private detention facilities.
Ministry of Housing, Communities and Local Government	The Valuation of Minor Intermediate Leasehold Interest Regulations (England) 2017	Updates the algebraic formula in the Leasehold Reform Act 1967 and the Leasehold Reform, Housing and Urban Development Act 1993, used to calculate the value of a minor intermediate leasehold interest.

Table five: Legislative Non-Qualifying Regulatory Provisions of Government departments that came into force or ceased to be in force during the first Business Impact Target reporting period of the Parliament and fall within the +/- £5 million de minimis threshold		
Department	Title of measure	Description of measure
Ministry of Housing, Communities and Local Government	Town and Country Planning (General Permitted Development) (England) (Amendment) Order 2018 (SI 343/2018)	Amends national permitted development rights to support housing, agriculture and the roll-out of broadband in protected areas.
Ministry of Justice	The Cremation (England and Wales) (Amendment) Regulations 2017	Makes provision as part of the application process for applicants to be asked to give instructions as to how they wish the ashes to be disposed of before a cremation takes place and for these wishes to be recorded.

Non-legislative Non-Qualifying Regulatory Provisions¹¹

Animals in Science Regulation Unit (ASRU)	
Exclusion category	Summary of activity
Regulator casework including specific investigation and enforcement activity, individual licence decisions, and individual advice	<p>Animals in Science Regulation Unit carries out 1,000 inspections per calendar year. It takes around 550 individual project licensing decisions and around 3,000 individual licensing decisions per year. It undertakes around 60 non-compliance investigations a year. Further details can be found in ASRU's Annual Reports. No activities listed in this section represent a change in the burden of regulation placed on business.</p> <p>Licences issued under the Animals (Scientific Procedures) Act 1986 as amended in 2012</p> <p>During the reporting period the Animals in Science Regulation Unit issued: project licences, personal (individual) licences and establishment licences. The Animals in Science Regulation Unit publishes a comprehensive report of its activities annually. These reports can be found at https://www.gov.uk/government/collections/animals-in-science-regulation-unit-annual-reports</p>

¹¹ For more detail, regulators' full summaries of their non-legislative, non-qualifying regulatory provisions are typically available on their website.

Animals in Science Regulation Unit (ASRU)	
Exclusion category	Summary of activity
Education, communications activities, and promotional campaigns by regulators	<p>There are 4 Guidance documents that have been updated and amended during this period. They are on Guidance on the use of Human Materials in Animals (January 2016), The Harm-Benefit Analysis Process (December 2015): Use, Keeping Alive and Re-use (October 2015): and Re-homing and Setting Free of Animals (October 2015): No activities listed in this section represent a significant change in the burden of regulation placed on business.</p> <p>The Human Materials in Animals is guidance on likely future uses of animals in science. The only substantial amendment in the advice note is the naming of the statutory Animals in Science Committee as the body that needs to examine applications. There was already an existing requirement for a body to look at applications (pre-dating the Business Impact Target requirement), however that body was the Animals Protection Committee, a body that no longer existed. It was decided at the time (a decision that was widely welcomed) to use the opportunity to bring together information about the existing legislation into a coherent whole so that researchers could see in one document what needed to happen. This is how the relatively simple change became a larger document. There were no changes to the Human Tissue Act nor the Human Fertilisation and Embryology Act that underpin this area, nor in the guiding principles about Category 1, 2 and 3 uses of Human Material in animals.</p>

Animal and Plant Health Agency (APHA)	
Exclusion category	Summary of activity
Regulatory provisions that have been certified by departments or regulators as falling under the <i>de minimis</i> rule, namely those that have an EANDCB of less than ± £5 million	<p>CPH England Project</p> <p>In July 2016 APHA launched a new service for livestock keepers to register their use of temporary land. The first 18 months of the service were a transition period as livestock keepers were moved from the old to the new arrangements.</p> <p>Given the lack of data on temporary land used by keepers, the first year of the new process was a learning curve. During the first busy spring movement period (Apr-June 2017) some keepers had to wait up to 2 weeks for their applications to be approved.</p> <p>Since that time, APHA have adapted process and plan for how better to meet customers' needs during busy periods. Feedback from livestock keepers and from APHA teams was taken on board and a significant amount of time and money has been invested in making improvements.</p> <p>Changes to processes, guidance and the supporting IT have all helped APHA to reduce turn-around times. During the same Spring period in 2018, APHA received an even higher volume of applications than in 2017, but importantly 90% of applicants were resolved within 1 day, with 100% within 2 days (apart for those involving TB restrictions, where more detailed veterinary assessments are required).</p> <p>The Field Activity Programme</p> <p>The Field Activity programme is a DEFRA programme which was set up in 2015 in part to meet a manifesto commitment to reduce regulatory burden on farmers and reducing annual farm visits.</p> <p>During the qualifying period (June 2017 to June 2018):</p> <ul style="list-style-type: none"> • The Field Activity Programme delivered projects relating to field services management, earned recognition and risk profiling.

Animal and Plant Health Agency (APHA)	
Exclusion category	Summary of activity
	<ul style="list-style-type: none"> • Savings will be realised by transforming the way field based services are delivered and co-ordinated to be more efficient and effective. Deploying new in field mobile technology is enabling staff to carry out activities in the field enabling the optimisation of resources. • The Field Activity programme has observed that Defra agencies and Local authorities have removed approximately 13,000 farm visits since 2014/15 which has helped to reduce red tape burden on farmers. • The Field Activity Programme is directly contributing to the overall removal of farm visits through combining and co-ordinating inspection visits. This has enabled approximately 1,000 inspection visits to be removed. Combining and co-ordinating inspections reduces the regulatory burden on farmers and reduces the cost of inspection visits. <p>Animal Disease Tracking System</p> <p>APHA has implemented the Animal Disease Tracking System (ADTS), an online application tool that allows private veterinary customers of APHA’s laboratory diagnostic services to make submissions on line and select appropriate tests in order to monitor disease surveillance on animals under their care.</p> <p>This service allows Private Veterinary Surgeons to track their submissions, receive the results both on screen and as a PDF report, retrieve details of their farm clients in the system, find tests and information, and directly obtain test advice. Previously, these processes were via paper submissions.</p> <p>Since June 2017 APHA has seen a small increase in uptake with between 7-10% of submissions coming via the digital service per week (it was around 5-6% prior to June 2017) and there has been an increase in registered practices from 115 in June 17 to 150 to date.</p>

Animal and Plant Health Agency (APHA)	
Exclusion category	Summary of activity
Regulatory provisions relating to civil emergencies	<p>Since 8th June 2017 APHA has dealt with two instances of positive Bluetongue disease from imported animals resulting in restrictions being placed on both herds whilst additional surveillance testing was carried out.</p> <p>APHA dealt with plant health incidents involving Potato Ring rot in imported seed potatoes and Potato Brown rot in irrigation water. There were 2 findings of Asian Hornets which pose a serious threat to UK native bee colonies and action taken with regards to the marketing of unauthorised ornamental GM fish.</p>
Regulator casework including specific investigation and enforcement activity, individual licence decisions, and individual advice	<p>No activities listed in this section represent a change in the burden of regulation placed on business.</p> <ul style="list-style-type: none"> • Licensing, registration and inspection - APHA licences, approves or registers a range of premises, such as markets (and other animal gatherings including shows), animal by-products plants (including rendering facilities, knackers yards, hunt kennels, maggot farms), quarantine centres, nurseries and other plant production sites, designated inspection points and egg producers. • Surveillance and testing - APHA undertakes surveillance to detect the presence or spread of animal diseases, for example bovine tuberculosis and salmonella, through testing samples taken on farm, at abattoirs, markets and at animal by-products plants. <p>The majority of animal health and welfare legislation that APHA regulates is enforced by the Local Authorities who are the named statutory enforcers and prosecuting authority.</p> <p>APHA referred 828 cases to the RPA for consideration of imposing cross compliance penalties for those farmers who failed to TB test on time within their testing window. Severity of the penalty was dependant on the number of days overdue the test was when it was completed.</p> <p>Egg Marketing and Salmonella Controls: 34 Penalty Notices totalling £27,253 and 13 warning letters issued.</p>

Animal and Plant Health Agency (APHA)	
Exclusion category	Summary of activity
	Defra Investigation Service (DIS) referrals – 9th June 2017 to date; there have been 13 cases referred to DIS.
Education, communications activities, and promotional campaigns by regulators	APHA have participated in 43 Events in this qualifying period (9th June 2017 to date) for education, training and communication purposes with industry and stakeholders.

Assay Offices	
Exclusion Category	Summary of activity
Regulatory provisions that have been certified by departments or regulators as falling under the <i>de minimis</i> rule, namely those that have an EANDCB of less than ± £5 million	<p>The Assay Offices conserved and adopted technical recommendations of the International Hallmarking Convention.</p> <p>The Assay Offices assisted Trading Standards on the enforcement of the Hallmarking Act.</p> <p>All Assay Offices provided support to business to encourage growth and interest in the jewellery and silverware trade and hallmarking.</p> <p>The Assay Offices have maintained their ISO 17025 accreditation for their laboratories and ISO 9001 certification for their general operations.</p> <p>All Assay Offices have assisted Trading Standards on the enforcement of the Hallmarking Act and much work would have been carried out free of charge. In addition, the Assay Offices work with organisations, like the Fairtrade organisation, to assist them in their ambition relating to ethical sourcing of materials.</p> <p>In the calendar year 2017, the Assay Offices between them hallmarked 9,335,729 articles, a drop of 4.3% on the previous year. The reasons for the downturn include a reduction in disposable income as a result of higher inflation – goods made of precious metals are particularly sensitive to this.</p> <p>The Assay Offices formed the Technical Committee of the British Hallmarking Council. The key areas considered this year included assisting the BHC in finding a way forward with respect to the marks to be used in offshore offices and exploring approaches that could be taken to test the appropriateness of the Hallmarking Act for online retailing.</p>

British Hallmarking Council (BHC)	
Exclusion category	Summary of activity
Regulatory provisions that have been certified by departments or regulators as falling under the <i>de minimis</i> rule, namely those that have an EANDCB of less than ± £5 million	<p>The BHC considered the question of the need to have a distinguishing mark for items marked overseas during 2017. A consultation was carried out to obtain the views of consumers and industry. The outcome is currently being considered.</p> <p>One application to open a sub-Assay Offices was approved in the period.</p> <p>With the support of the Assay Offices the Council ran the Touchstone Award during 2017, the purpose of which is to enhance awareness of hallmarking.</p>

Care Quality Commission (CQC)	
Exclusion category	Summary of activity
Regulatory provisions that have been certified by departments or regulators as falling under the <i>de minimis</i> rule, namely those that have an EANDCB of less than ± £5 million	CQC reported 11 measures which were below the de minimis threshold. Further information on these measures can be found on the CQC website.
Regulator casework including specific investigation and enforcement activity, individual licence decisions, and individual advice	<p>In 2016/17 CQC completed 37,091 registration processes which included new registration of services, cancellations and variations in registration.</p> <p>The total inspections CQC carried out were:</p> <ul style="list-style-type: none"> • 33,413 adult social care locations; • 9,885 GP practices and dental practices; • 1,707 NHS and independent hospitals. <p>Also CQC carried out 1,264 Mental Health Act Review visits.</p> <p>21,681 people shared their experience of care with CQC by completing a web form – in response 485 scheduled inspections were brought forward and 112 urgent responsive inspections were carried out.</p> <p>CQC’s National Customer Service Centre received 213,527 calls as well as e-mails, letters and online contacts. This included 76,634 contacts relating to concerns about care.</p> <p>CQC took:</p>

Care Quality Commission (CQC)	
Exclusion category	Summary of activity
	<ul style="list-style-type: none"> • 1,910 enforcement actions including serving 1,352 warning notices; • 125 non-urgent cancellations of registration; • 159 urgent procedures for suspension, variation, or imposition or removal of conditions; • 211 non-urgent variations or imposition or removal of conditions; and • issued 55 fixed penalty notices, 5 prosecutions and 3 urgent cancellations. (Source CQC Annual Report and accounts 2016/17)
Education, communications activities, and promotional campaigns by regulators	There were two activities of this type to communicate with registered providers on Deprivation of Liberty and another on Fire Safety after Grenfell Tower.
Policy development by regulators, including formal and informal consultations	CQC undertook eight thematic reviews reporting on people’s experiences of particular services. These included reviews of how NHS trusts investigate deaths, care for diabetes, neo-natal care, safeguarding and healthcare of children, whether personal and healthcare information is being used appropriately, the integration of care for older people, how people are involved in their care, and inequalities in end-of-life care.
Changes to the organisation and management of regulators	Made 12 changes relating to CQC internal handbooks written for inspectors that do not directly require providers of care, including businesses, to do anything. There were also changes in CQC internal processes and systems that do not directly affect providers including businesses.

Charity Commission for England and Wales	
Exclusion category	Summary of activity
Regulatory provisions that have been certified by departments or regulators as falling under the <i>de minimis</i> rule, namely those that have an EANDCB of less than ± £5 million	<p>The Commission conducts several thousand pieces of casework each year, covering registration, advice and permissions, regulatory compliance, statutory inquiries and monitoring. Details are given in its annual report. There has been no substantive change to the burden of regulation from casework during this reporting period.</p> <p>The Commission gathers and publishes information through a statutory annual return, to increase charities' accountability, identify regulatory issues at an early stage, and improve the effectiveness of regulation. For 2018, following public consultation, the Charity Commission revised its annual return, the new requirements being enshrined in the Charities (Annual Return) Regulations 2017. Improvements include:</p> <ul style="list-style-type: none"> • a self-service Update Charity Details allowing charities to update their registered particulars throughout the year • more tailored and targeted questions, reducing the regulatory burden for over 60% of charities <p>Publications this year included:</p> <ul style="list-style-type: none"> • Trustee Welcome Pack • Grant Funding an Organisation that Isn't a Charity • Independent examination of charity accounts (update) • Legislative changes affecting the Charitable Incorporated Organisation • Updates to guidance reflecting implementation of new automatic disqualification provisions <p>The Charity Commission published an updated Safeguarding Strategy Paper and a regulatory alert in December 2017.</p>

Charity Commission for England and Wales	
Exclusion category	Summary of activity
	<p>In early 2018 a number of media stories broke about historic sexual abuse and safeguarding incidents in international aid charities. The Commission arranged joint summits with charities and DFID, as well as opening cases and investigations into specific allegations.</p> <p>The Commission updated its guidance on reporting serious incidents. Charities should report serious incidents to the regulator, and larger charities must do so to complete their Annual Return. The changes have simplified and clarified the reporting requirements.</p> <p>In March 2018 the Commission launched two new end-to-end digital services in public beta – Digital Name Change, and Change the Charity Governing Document. Straightforward requests for change can now be automatically approved. In the first six weeks, 1,000 digital activities were processed; over half of those required no intervention from staff.</p> <p>The Commission published alerts and warnings about issues affecting charities, including:</p> <ul style="list-style-type: none"> • Safer giving – to coincide with Ramadan and Christmas • GDPR compliance • Accounts monitoring – concerns highlighted by auditors • Military charities – safeguarding and fundraising • Rules on returning donations – after the Presidents Club scandal • Use the regulated financial sector (risks associated with unregulated financial transactions such as cryptocurrencies) <p>The Commission partnered with the Fraud Advisory Panel in Charity Fraud Awareness Week, promoting awareness through webinars, infographics and social media, achieving over 10 million social media impressions. The Commission also conducted and published research into insider fraud, highlighting the role of organisational culture in enabling or preventing fraud.</p> <p>The Commission supports the sector-led Charity Governance Code, and encourages all charities to sign up to it and apply it proportionately to their circumstances. The Code Group launched a new</p>

Charity Commission for England and Wales	
Exclusion category	Summary of activity
	website and version of the Code in July 2017. The Commission promoted the Code through social media channels and presentations at conferences.

Civil Aviation Authority (CAA)	
Exclusion category	Summary of activity
Regulatory provisions that have been certified by departments or regulators as falling under the <i>de minimis</i> rule, namely those that have an EANDCB of less than ± £5 million	<p>The CAA have undertaken a range of regulatory activity that falls under this exclusions during the reporting period, including:</p> <ul style="list-style-type: none"> • Consulting on and Implementing changes under Directive (EU) 2015/2302 on package travel and linked travel arrangements • Transposing EU Directives under the Consumer Rights Act 2015 • Consulting on and providing guidance to airports on Regulation EC1107/2006 to meet obligations for providing assistance to people with hidden disabilities • Implementing requirements of Directive 2013/11/EU on alternative dispute resolution for consumer disputes. • Enforcement action against five major airlines for denying passengers the compensation they are legally entitled to for delayed flights

Claims Management Regulator (CMR)	
Exclusion category	Summary of activity
Regulatory provisions that have been certified by departments or regulators as falling under the <i>de minimis</i> rule, namely those that have an EANDCB of less than ± £5 million	<p>Fines & penalties</p> <p>Fined 5 businesses over £270,000 in total for a range of rule breaches, including unlawful, unsolicited marketing and lack of due diligence.</p> <p>Casework</p> <p>31 investigations started, 44 licences cancelled, 232 warnings issued, 408 audits, 394 visits, 3250 consumer contacts. No significant change in the number of cases compared to previous reporting years. A slight shift in regulatory focus, with more audits conducted, but fewer licences cancelled and fewer formal investigations.</p> <p>Education, communications and promotion</p> <p>CMR published a CMR Annual Report; updated CMR website with information as needed; issued regular quarterly business bulletins; held regular quarterly stakeholder group meetings; and provided media lines in response to press/media enquiries and articles etc.</p> <p>Activity related to policy development</p> <p>Briefed ministers on various CMR topics as needed relating to PQs debates etc. CMR conducted policy reviews on the level of fees business should charge customers; level of fees business pays for authorisation and issued consultation papers on those topics. Also took part of policy reviews to tackle nuisance/cold calling and fraudulent personal injury claims (e.g. whiplash) via various Government task force/groups.</p> <p>Changes to management of regulator</p> <p>A fundamental review of CMR has been undertaken which will result in a different CMR regime and regulator. The legislation to facilitate this transfer is now in place. These changes require a significant</p>

Claims Management Regulator (CMR)	
Exclusion category	Summary of activity
	amount of work together with primary legislation and have been given a provisional completion date of April 2019.

Companies House	
Exclusion category	Summary of activity
Regulatory provisions that have been certified by departments or regulators as falling under the <i>de minimis</i> rule, namely those that have an EANDCB of less than ± £5 million	<p>In December 2017, Companies House implemented a service that allows companies to submit abridged accounts directly to Companies House digitally.</p> <p>In March 2018, Companies House implemented a service to allow Charitable companies to submit their annual accounts to Companies House online via specialist software.</p> <p>Companies House is working towards digitally enabling an application from a company to close (the eDS01 service). This new digital service is currently available to a limited number of customers (by invitation) as part of “private beta” stage (i.e. test). Between April 2017 - March 2018, over 30,000 forms were filed online.</p>

Competition and Markets Authority (CMA)	
Exclusion category	Summary of activity
Regulatory provisions that have been certified by departments or regulators as falling under the <i>de minimis</i> rule, namely those that have an EANDCB of less than ± £5 million	<p>Mergers guidance: exceptions to the duty to refer and undertakings in lieu; initial enforcement orders and derogations; mergers intelligence function; what mergers are and how CMA investigate them; Fox/Sky merger (how people can get involved); disclosure of information guidance (also covers market investigations); mergers customer survey design and presentation.</p> <p>Competition enforcement guidance: leniency and no-action applications in cartel cases; appropriate Competition Act 1998 penalty calculation; competition disqualification orders.</p> <p>Markets guidance: market investigations guidance; guidance on CMA’s approach to market investigations.</p> <p>Regulated appeals guidance: regulated payment systems appeals guide for participants; regulated payment systems appeals rules; water codes appeals guide for participants; water codes appeals rules; telecoms price control appeals guidance for participants; energy license modification appeals rules; energy license modification appeals guide for participants.</p> <p>Miscellaneous guidance/advice: Advice for hotels – setting prices on online travel agents; open letter to local authorities – private hire and hackney carriage licensing; open letter to the creative industries on competition law; advice for gambling operators; advice for gamblers; liquefied petroleum gas – how to switch supplier on a metered estate; rail franchises – guidance for bidders; selling car rental – advice for businesses; joint ventures and competition law: dos and don’ts.</p>
Regulator casework including specific investigation and enforcement activity, individual licence decisions, and individual advice	<p>Competition Enforcement</p> <p>During the reporting period the CMA launched, reached a significant milestone in or closed 23 anti-trust and civil cartel enforcement cases.</p> <p>Consumer Enforcement</p> <p>During the reporting period the CMA launched, closed or secured undertakings/commitments in eight cases using its consumer enforcement powers.</p>

Competition and Markets Authority (CMA)	
Exclusion category	Summary of activity
	<p>Warning and Advisory letters</p> <p>During the reporting period the CMA issued 46 advisory letters (relating to 18 cases and complaints) and 23 warning letters (relating to 14 cases and complaints) to businesses where CMA had concerns about possible law breaking and to promote compliance.</p> <p>Merger control</p> <p>During the reporting period:</p> <ul style="list-style-type: none"> • At phase one, the CMA made six references to phase two, 37 unconditional clearances and ten undertakings in lieu of reference decisions. One case was found not to qualify, and one case was abandoned by the parties after a phase one substantial lessening of competition (SLC) finding. Two cases concluded with a report submitted to the Secretary of State for the Department of Culture, Media and Sport. 18 cases were ongoing at the end of the reporting period. • At Phase two, the CMA made one prohibition, four clearances and four impositions of remedies (all requiring divestment). One case was abandoned, and one concluded with a report submitted to the Secretary of State for the Department of Culture, Media and Sport. Three cases were ongoing at the end of the reporting period. <p>A register of the orders and undertakings that are currently in force, have lapsed and have been varied or released can be found online.</p> <p>Market reports</p> <p>During the reporting period the CMA launched, reached a significant milestone in or published its final report in five projects.</p>

Competition and Markets Authority (CMA)	
Exclusion category	Summary of activity
	Regulatory appeals During the reporting period the CMA have made a determination or announced its costs in four regulatory appeals.

Drinking Water Inspectorate	
Exclusion category	Summary of activity
Regulatory provisions that have been certified by departments or regulators as falling under the <i>de minimis</i> rule, namely those that have an EANDCB of less than ± £5 million	<p>Two European measures relating to the direct transposition of EU Directives.</p> <p>Six measures relating to the regulation of the public water industry (a monopoly industry), including publication of the Chief Inspector’s Report, Information Letters and Guidance Notes, to inform the water industry on compliance with the Regulations.</p> <p>Three specific measures of regulatory casework, alongside regular day-to-day casework.</p> <p>Two of these informed the public water industry of good practice and lessons learned from the Inspectorate’s review of individual cases. One related to individual advice given to relevant water companies.</p> <p>One communication measure to inform the public water industry of the publication of guidance.</p> <p>Two consultation measures to inform the Inspectorate’s development of policy.</p>

Driver and Vehicle Standards Agency (DVSA)	
Exclusion category	Summary of activity
Regulatory provisions that have been certified by departments or regulators as falling under the <i>de minimis</i> rule, namely those that have an EANDCB of less than ± £5 million	<p>Changes to trainer booking arrangements. Vocational and motorcycle trainers are permitted to reserve test slots. The new rules prevent some trainers booking too many slots or holding onto them for too long. Net cost benefit neutral.</p> <p>The Earned Recognition Scheme for LGV operators. Operators provide performance information on vehicle maintenance and drivers hours. If they continue to meet standards then they are less likely to be stopped at roadside. Net benefit to business is expected to be about £100,000 over 5 years, although it will increase if more operators take part in the scheme.</p> <p>Certificate of professional competence module 4 assessments by private sector assessors. There are costs for training assessors, but the net benefit to business is expected to be about £4 million over 5 years.</p> <p>DVSA has published guidance in relation to each of these voluntary schemes on www.gov.uk.</p>
Regulatory provisions that implement new or changed obligations from European Union Regulations, Decisions and Directives, and other international commitments and obligations.	DVSA has issued eight guidance updates during this reporting period on changes directed by the EU.

Driver and Vehicle Standards Agency (DVSA)	
Exclusion category	Summary of activity
Regulatory provisions concerning fines and penalties, and redress and restitution	DVSA introduced fines for historical offences against Driver Hours regulations. Suitable guidance was published in advance of the changes.
Education, communications activities, and promotional campaigns by regulators	DVSA issued 32 guidance notes that come under this category, including telling people about DVSA services, or giving advice on aspects of driving and vehicle safety.

Drugs Licensing Unit	
Exclusion category	Summary of activity
Regulator casework including specific investigation and enforcement activity, individual licence decisions, and individual advice	<p>Licences issued by the Drugs Licensing Unit</p> <p>During the reporting period the Drugs Licensing Unit issued controlled drugs and precursor chemicals import and export licences and controlled drugs and precursor chemicals domestic licences. Data for these non-qualifying regulatory provisions are published quarterly. The most recent data set can be found at https://www.gov.uk/government/publications/home-office-may-2018</p>

Environment Agency	
Exclusion category	Summary of activity
Regulatory provisions that have been certified by departments or regulators as falling under the <i>de minimis</i> rule, namely those that have an EANDCB of less than ± £5 million	<p>Enforcement and Sanctions Guidance, and Enforcement and Sanctions Statement combined into a new Enforcement and sanctions policy.</p> <p>Regulatory Position Statement RPS 112 amended to reduce the amount of waste plastics that can be stored on a site.</p> <p>Regulatory Position Statement allowing use of Up flow sludge blanket digestion systems at on farm anaerobic digestion plants withdrawn.</p> <p>Solway Firth Net restrictions amended to reduce how many salmon and sea trout can be caught and to increase the amount of time fishing is allowed.</p> <p>Changes in regulatory approach and associated increase in annual fees implemented in a revised Environmental Permitting (England and Wales) Regulations 2016 charging scheme:</p> <p>Introduction of audits for land spreading mobile plant permit holders on a 4 year cycle.</p> <p>Introduction of an additional site visit each year for Deposit for Recovery permitted sites.</p> <p>Introduction of an additional first year of operation site visit for waste transfer and treatment permitted sites.</p>

Environment Agency	
Exclusion category	Summary of activity
Regulatory provisions that implement new or changed obligations from European Union Regulations, Decisions and Directives, and other international commitments and obligations, except in cases of gold-plating	<p>Publication of updated guidance on the monitoring of stack emissions to air in accordance with revised standards from the European Committee for Standardization to ensure compliance with Directive 2010/75/EU (integrated pollution prevention and control).</p> <p>Introduction of standard rules for the unintentional receipt of radioactive substances to meet the requirements of the EU Basic Safety Standards Directive.</p> <p>Changing EU Emissions Trading System 2018 compliance deadlines for UK-regulated participants to a date before 29 March 2019, the date the UK will leave the EU.</p> <p>Implementation of the new Farming Rules for Water to meet the requirements of the Water Framework Directive.</p>
Regulator casework including specific investigation and enforcement activity, individual licence decisions, and individual advice	<p>Within England the Environment Agency is responsible for:</p> <ul style="list-style-type: none"> • regulating major industry and waste • the treatment of contaminated land • water quality and resources • fisheries • inland river, estuary and harbour navigations • conservation and ecology • managing the risk of flooding from main rivers, reservoirs, estuaries and the sea

Environment Agency	
Exclusion category	Summary of activity
	<p>The summary information below reflects the diversity of what the Environment Agency does.</p> <p>Based on available data:</p> <p>Permitting decisions</p> <ul style="list-style-type: none"> • 16389 permit determination decisions made; 1430 of these were permit variations to secure the required environmental outcomes from the Water Company Periodic Review process (Asset Management Plan outputs). • 502 permit determination decisions made across the entire radioactive substances regulation Environmental Permitting regime • 875 permits issued for movement of live fish to or from fisheries. • 739 authorisations issued for commercial fishing*. <p><i>* These figures relate to the 2017 calendar year. Authorisations are granted on a seasonal basis and are compiled over each calendar year</i></p> <p>Appeals against permitting decisions</p> <ul style="list-style-type: none"> • 14 appeals against permitting decisions received. <p>Appeals against regulatory decisions</p> <ul style="list-style-type: none"> • 12 independent internal reviews carried out under the provisions of the Regulators' Code <p>Compliance assessment advice</p> <ul style="list-style-type: none"> • 18,144 Compliance Assessment Report (CAR) forms issued to permitted waste operations and facilities which carry out industrial processes

Environment Agency	
Exclusion category	Summary of activity
	<ul style="list-style-type: none"> • 15,549 CAR forms and letters issued for permitted water discharge activities • Approximately 5000 CAR forms issued to water abstraction and impoundment licence holders • 1070 CAR forms issued across the radioactive substances regulation Environmental Permitting regime. <p>Registrations</p> <ul style="list-style-type: none"> • 63,388 exempt activities registered and 1103 de-registered under the Environmental Permitting Regulations. • 474 commercial boats registered. <p>National Trading Regulatory Services</p> <ul style="list-style-type: none"> • 720 consents issued for international waste shipments, 8 of these were for radioactive wastes. • 11,158 registrations and 7204 compliance assessment actions carried out under the Producer responsibility laws. <p>Climate Change Trading and Regulatory Services</p> <ul style="list-style-type: none"> • 842 permitting decisions made • 913 compliance checks completed • 496 entrants registered and 233 de-registered • 4 appeals received • 90 civil penalty notices issued.

Environment Agency	
Exclusion category	Summary of activity
	<p>Enforcement activity</p> <ul style="list-style-type: none"> • 158 prosecution cases completed in this period • 80 formal cautions accepted • 188 enforcement notices served • 935 warning letters sent • Civil sanctions used on 65 occasions* <p><i>* These are sanctions issued under the Regulatory Enforcement and Sanctions Act 2008</i></p>
Education, communications activities, and promotional campaigns by regulators	Continuation of work with industry on the 'Right Waste, Right Place' campaign to help waste producers meet their waste Duty of Care obligations.
Policy development by regulators, including formal and informal consultations, policy reviews, and ad hoc information requests	8 national external consultations held.

Environment Agency	
Exclusion category	Summary of activity
Changes to the organisation and management of regulators	Corporate Services staff transferred to Defra and became part of a new unified corporate services function for the whole of the Defra group.

Equality and Human Rights Commission (EHRC)	
Exclusion category	Summary of activity
Regulatory provisions that have been certified by departments or regulators as falling under the <i>de minimis</i> rule, namely those that have an EANDCB of less than ± £5 million	<ul style="list-style-type: none"> • s60 on a company in respect of pre-employment health questions asked on its application form. • s60 on a company and concerns about pre-employment health questions asked on its application form. • Pre-enforcement: advertising campaign for new service where they provide "tradesmen". • Pre-enforcement: a travel company will only facilitate bookings for customers with UK passports, even if they are resident in Britain. • Pre-enforcement: Refusal (by shop) to provide service to an individual with an assistance dog. • s60 complaint against company in relation to questions about mental health on its internal job portal for existing employees. • Pre-enforcement: Shopkeeper not allowing assistance dogs. • Pre-enforcement: Sign banning fishing facilities for Polish people. • Pre-enforcement: Request for advice on a refusal of service to a protected group • Pre-enforcement: British companies using a Facebook tool that allows them to prevent older candidates from seeing job postings. • Pre-enforcement: discriminatory job advert (health questions) • Pre-enforcement: insurance company applying an upper limit of 80 to a policy • Pre-enforcement: Pre-employment health questionnaire; questions removed in relation to sickness absence • Pre-enforcement: Pre-employment health questionnaire; no longer sent pre-employment • Pre-enforcement: Pre-employment health questionnaire; only questions relevant to an intrinsic function asked in future

Financial Conduct Authority (FCA)	
Exclusion category	Summary of activity
Regulatory provisions that have been certified by departments or regulators as falling under the <i>de minimis</i> rule, namely those that have an EANDCB of less than ± £5 million	<p>Product monitoring and product lifecycle - multi-firm feedback</p> <p>Proposed changes to regulatory report Fin-A</p> <p>PS17/18: CASS 7A & the Special Administration Regime Review</p> <p>PS17/16: Regulatory Reporting: Retirement Income Data</p> <p>PS17/25: Financial Advice Market Review (FAMR) implementation part II and consultation on retiring FG12/15 and FG14/1</p> <p>TR18/1: The fair treatment of existing interest-only mortgage customers</p> <p>OC31: Ageing Population and Financial Services</p> <p>Changes to the Stabilisation rules contained in the Market Conduct sourcebook</p> <p>Non-advised pension drawdown sales review: summary of findings</p> <p>Alert issued to all Principals who have Appointed Representatives or Introducer Appointed Representatives ('ARs') regardless of sector</p> <p>Access to Financial Services Feedback Letter</p> <p>Handbook changes to reflect the application of the EU Benchmarks Regulation</p> <p>DB to DC pension transfer volumes data request</p>

Financial Conduct Authority (FCA)	
Exclusion category	Summary of activity
Regulatory provisions that implement new or changed obligations from European Union Regulations, Decisions and Directives, and other international commitments and obligations, except in cases of gold-plating	<p>FCA’s remit includes implementation, supervision and enforcement of EU and international regulatory policy and standards in the UK. Examples during this reporting period include:</p> <ul style="list-style-type: none"> • implementation of EU Money Market Funds Regulation • elements of FCA’s implementation of the Markets in Financial Instruments Directive II (MiFID II) including retaining retail distribution review adviser charging and platform and existing client assets rules • elements of FCA’s implementation of Payment Services Directive 2
Regulatory provisions that are intended to deliver – or to replicate – better competition-based outcomes in markets characterised by market power	<p>FCA has an objective to promote effective competition in the interests of consumers across the regulated financial services industry. FCA also has a competition duty and powers to enforce against breaches of competition law for the provision of financial services generally. As a result, a number of areas of FCA’s work this year were covered by this exemption.</p> <p>In this period, FCA published its final report for the Asset Management Market Study, began 2 new studies into the work of investment platforms and wholesale insurance brokers, continued work on the mortgage market, and announced plans for a market study on credit information.</p> <p>Completed market studies</p> <p>Market studies are in-depth, evidence-driven investigations, generally taking 12-18 months. Following a market study, FCA typically make rules or take other action to make the market work better in the future. In June 2017, FCA published the final report of its Asset Management market study. Its aim was to understand whether competition is working effectively to enable investors to get value for money when purchasing asset management services.</p>

Financial Conduct Authority (FCA)	
Exclusion category	Summary of activity
	<p>FCA proposed a package of remedies in the final report of this market study that aim to make competition work better, and protect those least able to actively engage with their asset manager. The costs and benefits of remedies implemented as a result of this market study were assessed as part of the relevant cost-benefit analysis.</p> <p>Market studies underway</p> <p>FCA has 4 market studies in progress, further details can be found in the 2018/19 FCA Business Plan. As an example, in July 2017, FCA launched its Investment Platforms market study. This market study is looking at how platforms compete and their impact on the overall charges investors pay for their retail investment products. FCA will publish its interim report in summer 2018, setting out any problems FCA sees in the market and any action FCA intend to take.</p> <p>Other competition work</p> <p>FCA has powers to enforce EU and UK competition law relating to financial services and also carry out other competition work, such as strategic reviews. For example, in May 2017, FCA launched the Strategic Review of Retail Banking Business Models. The sector has experienced a range of changes including ‘lower for longer’ interest rates, Open Banking, increased use of digital channels by consumers, regulatory interventions such as ring-fencing, and remedies introduced by the CMA. The Strategic Review will explore a variety of indicators of harm such as profitability and integrated supply chains and barriers to entry and growth.</p>

Financial Conduct Authority (FCA)	
Exclusion category	Summary of activity
Regulatory provisions relating to systemic financial risk	<p>FCA is the prudential supervisor for approximately 46,000 firms. Within this 18,000 firms have a prudential regime, which provides more detail on the standards that need to be met. FCA focus on the prudential soundness of these firms to avoid disorderly failure and minimise harm to consumers, the real economy and the UK financial system itself.</p> <p>For instance, in June 2017, FCA set out its approach to using its powers to compel banks to contribute to the London Interbank Offer Rate (LIBOR) and confirmed that all current LIBOR submitters would continue to provide data until the end of 2021. LIBOR is a systemically important benchmark that provides the foundation for transactions across global financial markets. The reliability and accuracy of the benchmark is therefore crucial for market participants and investors alike. Given the implications for market integrity and systemic risk FCA have classified this work as non-qualifying.</p>
Regulatory provisions concerning fines and penalties, and redress and restitution	<p>Through its enforcement activities, FCA identify and address behaviour that fails to meet its standards, or is dishonest or unlawful. FCA has deterrent and remedial powers that include redress and restorative measures. FCA's enforcement investigations into firms and individuals are conducted as casework and are therefore excluded under this provision. When an appropriate case outcome has been reached, FCA can apply sanctions and financial penalties. Changes to FCA's redress and penalties policies are covered under the exclusion relating to fines, penalties, redress and restitution. For example, in October 2017, FCA issued finalised guidance for firms on how to calculate redress for unsuitable defined benefit pension scheme transfers. This set out an updated methodology to calculate redress in cases where non-compliant or unsuitable advice had been provided by a firm relating to the transfer.</p>
Regulator casework including specific investigation and enforcement activity, individual licence	<p>In this reporting period FCA have processed 4,489 applications for authorisation from firms (this includes applications which were approved, rejected and withdrawn).</p> <p>During this reporting period FCA also processed 1,919 applications for approval of a change in control, 2,734 cancellations of permission and 433 individual waivers. FCA also varied 2,742 firms' permissions, processed 7,180 mutual societies' returns and 11,814 firms' applications for passporting.</p>

Financial Conduct Authority (FCA)	
Exclusion category	Summary of activity
decisions, and individual advice	<p>Once firms are authorised FCA undertake a range of supervisory activities. For example, during the reporting period FCA held approximately 5,000 meetings with FCA’s larger – fixed portfolio – firms. While not all of these meetings would have resulted in regulatory provisions, the wide definition of guidance under the Act means individual guidance may often have been given. In addition, as part of FCA’s ongoing supervision of its largest firms, FCA proactively intervenes to make sure issues do not escalate. This reporting period saw the FCA identify and track approximately 438 potential issues at its largest firms. Not all of these interactions would have involved giving specific guidance or imposing a requirement however, as above, it is likely many of them would have amounted to regulatory provisions under the Act. Separately, approximately 574 other issues were identified that resulted in further communication with individual firms.</p> <p>Firms and individuals can phone, email and write to FCA’s firm contact centre for individual help and guidance on regulatory processes, application of rules and other regulatory matters. For example, between April 2017 and March 2018 alone the contact centre took 108,328 phone calls from firms, answered 29,040 emails/web forms/webchats and 2,133 letters.</p> <p>Similarly FCA run ‘Live & Local’ events across the whole of the UK, to provide advice for investment, general insurance and mortgage firms. FCA also investigate firms where FCA suspect serious misconduct has occurred, the outcome of which can be enforcement or supervisory action, or a combination of both. At any given time FCA have a number of matters at different stages of investigation and litigation across a range of sectors such as retail lending, financial crime, wholesale conduct and insider dealing. Over the reporting period, FCA closed 63 investigations relating to firms and FCA opened 122. FCA commenced 11 proceedings against firms. At the end of the period (as at 20 June 2018), FCA had 196 live matters relating to firms, of which 184 were at investigation stage and 12 were in litigation (referred to the RDC, Upper Tribunal or Courts). Between 9 June 2017 and 20 June 2018, FCA temporarily suspended or restricted the activities of 9 firms, issued 7 fines to firms and publicly censured 1 firm. FCA also took civil action against 4 unregulated firms, obtaining injunctions and restitution orders and securing the return of some of the funds to investors.</p>

Financial Conduct Authority (FCA)	
Exclusion category	Summary of activity
Education, communications activities, and promotional campaigns by regulators	FCA issued a Notice of Undertaking for London General Insurance Company Limited. The Notice of Undertaking set out FCA's concerns under the Consumer Rights Act 2015 about the clarity of the items which were covered by the policy and therefore whether customers could make a claim. It also set out the action the firm took to resolve FCA's concerns.
Policy development by regulators, including formal and informal consultations, policy reviews, and ad hoc information requests	FCA launched 46 consultations during the reporting period. This includes Quarterly Consultation Papers (QCPs), guidance consultations, discussion papers and calls for input. Other policy activities excluded are the discussions and engagements FCA undertakes with consumers, consumer groups, firms, industry bodies and other interested parties, to hear their views and understand issues, in the course of developing new policy. For example, in designing policy measures to extend the Senior Managers and Certification Regime (SM&CR) to all FCA regulated firms, on which FCA consulted in July 2017, FCA met extensively with stakeholders to discuss the proposals.

Financial Reporting Council (FRC)	
Exclusion category	Summary of activity
Regulatory provisions that have been certified by departments or regulators as falling under the <i>de minimis</i> rule, namely those that have an EANDCB of less than ± £5 million	<p>Audit Policy</p> <p>The FRC has started to implement the Audit Firm Monitoring Approach (AFMA) with the “Big Six” systemically important, largest, audit firms to fulfil its responsibility for regular monitoring and mitigation of risks in the audit market, in order to minimise the risk of disruption in the provision of statutory audit services. Expectations are being set out and evidence sought in five pillars: leadership and governance; values and behaviours; business models and financial soundness; risk management and control; and evidence on audit quality, including from FRC’s programme of audit quality reviews, and will be reporting privately to the individual firms. It is too early to assess any potential costs, but they are not expected to be significant and will be kept under review.</p> <p>Audit & Assurance Policy</p> <p>Revisions to two International Standards on Auditing (ISA) effective 15 December 2017:</p> <ul style="list-style-type: none"> • ISA (UK) 250 Section A <i>Consideration of Laws and Regulations in an Audit of Financial Statements</i> was revised to adopt into UK standards: narrow scope changes made by the International Auditing and Assurance Standards Board (IAASB) to the international standard as a result of the NOCLAR (Non-Compliance with Laws and Regulations) project; plus changes necessary to reflect the change in auditor’s responsibilities arising from the Fourth EU Anti Money Laundering Directive and associated changes to UK implementing legislation. • ISA (UK) 330 <i>The Auditor’s Responses to Assessed Risks</i> was subject to a minor technical revision, previously included in guidance (now withdrawn), to include a paragraph of additional application material relating to the need to obtain external confirmation items such as bank balances, and third-party guarantees. <p>Professional oversight</p> <p>Third Country Auditors (Fees) Instrument 2018 effective 29 May 2018, was issued to fulfil a requirement arising principally from EU Directive 2006/43/EC to facilitate a new schedule for fees</p>

Financial Reporting Council (FRC)	
Exclusion category	Summary of activity
	<p>charged for the registration of third country auditors and updates certain other legislative and other references in the extant 2011 instrument which will be revoked when the 2018 Instrument comes into force. The schedule will be reviewed annually to ensure the fees charged continue to be in line with relevant costs incurred. This Instrument will have no impact on how FRC discharges its functions relating to the Third Country Auditors regime.</p> <p>Actuarial Policy</p> <p>Revised Framework and Technical Actuarial Standards (TASs) effective 1 July 2017 – three Generic TASs and four Specific TASs were replaced by the Framework, TAS 100, and Specific TASs on Insurance (TAS 200), Pensions (TAS 300), and Funeral Plan Trusts (TAS 400) to simplify the content, framework and structure of FRC actuarial standards; consolidate and refine the high-level principles in the Generic TASs into a single standard (TAS 100) which sets out the high-level outcomes which users and the public can expect; extends the scope of application of TAS 100 so as to reflect that expectation; establishes TAS 100 as a standard against which users and the public can assess the quality of all actuarial work in the UK; and refines the Specific TASs ensuring they focus on matters of public interest. Whilst TAS 100 brings more actuarial work into scope, overall the changes are expected to reduce costs through a simpler framework, standards which are easier to use, whilst promoting the reliability and usefulness of all actuarial work, including some high risk and developing areas of actuarial work where risks have yet to be identified or to crystallise. Transition costs are estimated to be negligible for TAS 100, because most practitioners have experience of implementing the TASs and because TAS 100 is less onerous, and £10-20m one-off cost for familiarisation with the new requirements of the Specific TASs.</p> <p>Accounting & Reporting Policy</p> <ul style="list-style-type: none"> • Amendments to FRS 101: Reduced Disclosure Framework 2016/17 cycle (July 2017) to provide exemptions from disclosures that would otherwise have been required (through EU-adopted IFRS) therefore enhancing the cost-effectiveness of the standard by removing an administrative

Financial Reporting Council (FRC)	
Exclusion category	Summary of activity
	<p>burden associated with preparing financial statements and will therefore reduce the cost of compliance for entities choosing to apply FRS 101. The amendments principally provide exemptions in relation to disclosure relating to leases and are effective when an entity applies IFRS 16 <i>Leases</i>, which itself has an effective date of 1 January 2019 with early application permitted.</p> <ul style="list-style-type: none"> • Amendments to FRS 102: The Financial Reporting Standard applicable in the UK and Republic of Ireland Triennial review 2017 Incremental improvements and clarifications - including amendments to FRS 100 <i>Application of Financial Reporting Requirements</i>, FRS 101 <i>Reduced Disclosure Framework</i>, FRS 103 <i>Insurance Contracts</i>, FRS 104 <i>Interim Financial Reporting</i> and FRS 105 <i>The Financial Reporting Standard applicable to the Micro-entities Regime</i>. Savings are expected to arise from these changes through simplifying some of the more challenging requirements (including requiring fewer fair value measurements in some areas), introducing more accounting policy choices, and clarifying existing requirements (meaning less time is spent determining an appropriate accounting policy in these cases). Familiarisation costs are estimated at £9.7m. The effective date is 1 January 2019 with early application permitted. • Amendments to FRS 101 Reduced Disclosure Framework – 2017/18 cycle (May 2018) - FRC issued the results of the latest annual review of FRS101 on 11 May 2018 and confirmed that no amendments are being made to FRS 101 as a result. <p>Ongoing activities</p> <p>The following activities are ongoing, not new, FRC activities with effect from June 2017:</p> <ul style="list-style-type: none"> • Strategy: FRC published a new, three-year Strategy 2018/21; Budget and Levies 2018/19 in March 2018. • Casework: Enforcement activities: At 8 June 2017 there were 23 investigations involving audit with a total of 72 subjects under investigation for the audit work. During the year to June 2018: 13 further investigations commenced into 31 further subjects; 5 investigations concluded with settlements made with 13 subjects and cases closed for 5 subjects. Total fines (at settlement and

Financial Reporting Council (FRC)	
Exclusion category	Summary of activity
	<p>tribunal) were £25,400,000 (£17,992,625 after discounts). There were 10 reprimands/severe reprimands and 3 exclusions. At 20 June 2018 there were 28 investigations (plus 3 cases heard and currently awaiting Tribunal decisions) with a total of 77 subjects under investigation for audit work. Of these 77 subjects, 37 are under the Audit Enforcement Procedure (AEP), with the rest under the Accountancy Scheme.</p> <ul style="list-style-type: none"> • Audit Inspections: FRC inspected 145 audits in financial year 2017/18. • Corporate Reporting Review: FRC performed 133 full scope reviews of annual reports and accounts (excluding thematic reviews). FRC wrote a substantive letter to 72 companies (letters where FRC had direct questions for companies regarding their annual report and accounts). • Monitoring visits: FRC's Professional Oversight team has conducted monitoring visits at 4 Recognised Supervisory Bodies for statutory audit purposes and 2 Recognised Supervisory Bodies for local audit purposes. It has also conducted monitoring visits at 5 Recognised Qualifying Bodies for statutory audit purposes and 1 Recognised Qualifying Body for local audit purposes.

Fish Health Inspectorate	
Exclusion category	Summary of activity
Regulatory provisions relating to civil emergencies	<p>The Fish Health Inspectorate applied statutory controls on 33 fisheries, 1 farm and 1 fish trader in order to control the listed (notifiable) condition koi Herpesvirus (KHV) disease. Following the detection of the listed disease spring viraemia of carp (SVC) statutory controls were placed on 1 fishery on confirmation of infection. In addition, statutory controls were placed on another fishery on suspicion of infection with SVC.</p> <p>In addition, following the detection of oyster Herpesvirus in the Thames estuary the confirmed designations in North Kent and Essex were amalgamated into a single disease control area. This will assist in facilitating the continuity of business in the shellfish farming and harvesting sectors in the area.</p>
Regulatory provisions concerning fines and penalties, and redress and restitution	<p>The Fish Health Inspectorate served 14 enforcement notices, issued 23 official warning letters, and undertook 61 enforcement visits during the reporting period. This casework relates to non-compliant businesses. The increase in enforcement activities as compared with the previous year is related to the higher number of outbreaks of listed diseases, primarily on managed fisheries, requiring investigation and compliance inspections.</p> <p>The Fish Health Inspectorate is also involved in several multi-agency investigations with other regulatory bodies including UK Border Force (UKBF), the Environment Agency (EA), the Marine Management Organisation (MMO) and Southern Inshore Fisheries Conservation Authority (IFCA). One of these investigations resulted in a prosecution of a business for multiple offences.</p> <p>None of the activities listed in this section represent a change in the burden of regulation on business, and the potential offences investigated relate to existing longstanding regulatory requirements.</p>

Fish Health Inspectorate	
Exclusion category	Summary of activity
Education, communications activities and promotional campaigns by regulators	<p>The Fish Health Inspectorate 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), and the Coarse Fish Conference. The Fish Health Inspectorate also attends scientific conferences and meetings. Information on regulation is published on www.gov.uk, the Marine Science blog, and for events such as disease outbreaks, on The Fish Health Inspectorate 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>Attendance by businesses at promotional or educational events is not compulsory, and none of the material produced creates a new regulatory standard that businesses would be expected to follow.</p>
Policy development by regulators	<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. However, The Fish Health Inspectorate 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
Regulatory provisions that have been certified by departments or regulators as falling under the <i>de minimis</i> rule, namely those that have an EANDCB of less than ± £5 million	<p>In April 2018 the FSA published the revised Local Authority Feed Law Code of Practice (England). The Feed Law Code ensures consistent effective, risk-based and intelligence led official controls at all stages of production, distribution, use, storage, transport, import and export of feed. The Code does not introduce any requirements for business, but does set out the approach taken by local authorities to determine business intervention frequencies to monitor their compliance. The FSA impact assessment for the revised Feed Law Code identified a benefit to business of £1.4m (- £1.4m EANDCB) resulting from the changes introduced in the revised Feed Law Code to ensure controls are more risk based, including recognition of the assurance provided by members of FSA approved assurance schemes.</p> <p>In June 2018 the FSA published a revised version of its Guidance on the Production of Less Than Thoroughly Cooked (LTTC) Burgers. Though only a minor revision to Annex B was incorporated, the guidance was previously introduced as a temporary measure (<i>expected to be replaced by industry own guidance within 12 months</i>) under the last Parliament and therefore the FSA assessed the impact of the guidance, in its entirety, as a new measure. The FSA impact assessment identified an Equivalent Annual Net Direct Cost to Business (EANDCB) of £0.1m from the introduction of this business guidance.</p>
Regulatory provisions that implement new or changed obligations from European Union Regulations, Decisions and Directives, and other international commitments and obligations, except in cases of gold-plating	<p>In November 2017 the FSA implemented controls in relation to an ambulatory change to directly applicable EU regulation clarifying the use of derogation by EU Member States for the temperature conditions for the transport of warm meat.</p> <p>In January 2018 the FSA implemented controls for ambulatory change to directly applicable EU regulation introducing testing frequencies for <i>Campylobacter</i> in poultry slaughterhouses.</p> <p>The FSA extended its implementation of the food chain information requirement for equines (<i>introduced February 2015 to fulfil directly applicable EU regulation</i>), which was initially due to expire February 2018 in anticipation of enhanced equine passport being introduced. The measure will be reviewed once the enhanced equine passports are in place.</p>

Food Standards Agency (FSA)	
Exclusion category	Summary of activity
Regulator casework including specific investigation and enforcement activity, individual licence decisions, and individual advice	<p>The following routine activities are carried out by the FSA day-to-day and will vary in both scale and magnitude on a case by case basis. The activities largely relate to business non-compliance or suspected non-compliance and do not represent any change burden on business.</p> <ul style="list-style-type: none"> • The FSA leads on the 24/7 government response to food and feed incidents (<i>any event where, based on the information available, there are concerns about actual or suspected threats to the safety, quality or integrity of food and/or feed that could require intervention to protect consumers' interests</i>) and co-ordinates the management of all food/feed incidents in England, Wales and Northern Ireland, including liaison with national and international stakeholders. The FSA also supports investigations of other government departments, for example supporting Public Health colleagues in foodborne outbreak investigations. • The FSA National Food Crime Unit (NFCU) gathers, analyses and disseminates intelligence in relation to fraud and other offences of dishonesty within food supply chains. • The FSA carries out criminal investigations into legislative non-compliance at FSA approved establishments. Where necessary, it takes forward prosecutions or refers files to the Crown Prosecution Service. • FSA policy colleagues routinely respond to business enquiries and the FSA has a dedicated stakeholder helpline that deal with generic enquiries or direct callers to the relevant policy lead.

Food Standards Agency (FSA)	
Exclusion category	Summary of activity
Education, communications activities, and promotional campaigns by regulators	<p>The FSA routinely:</p> <ul style="list-style-type: none"> • uses a wide range of social media techniques to inform, educate and influence behaviours on a range of issues intended to support consumer protection and their other interests; • produces a range of factsheets and information leaflets that are published on its website; • communicates with business on a range of subjects through industry forums, working groups, roundtable discussions and 1-2-1 meetings as well as written correspondence with FSA approved establishments on matters that directly affect them; and • consults stakeholders on changes to food law and routinely consults with stakeholders when developing its regulatory approach and other policy changes that may impact stakeholders.
Policy development by regulators, including formal and informal consultations, policy reviews, and ad hoc information requests	<p>A significant amount of FSA activity is directly related to policy development, including developing agreed UK lines for EU negotiation and influencing the EU Commission and other Member States during the negotiation process, developing UK legislation to provide enforcement provisions for directly applicable EU regulations and monitoring and reviewing business compliance as well as the delivery of official controls and enforcement to ensure the effectiveness of the UK Regulatory approach to food law.</p> <p>The FSA is currently focused on two key priority areas: preparations for exiting the EU and the FSA's Regulating Our Future (ROF) programme – a fundamental review of whole food law regulatory approach throughout England, Wales and Northern Ireland.</p>

Forestry Commission	
Exclusion category	Summary of activity
Regulatory provisions that have been certified by departments or regulators as falling under the <i>de minimis</i> rule, namely those that have an EANDCB of less than ± £5 million	<p>Best Practice Guidance in relation to forestry activities that may impact upon the European Protected Species of dormice was revised and published in April 2018. This is not an industry code. It does not prescribe mandatory procedures for businesses. It simply provides advice to the sector on how to minimise their potential impact on dormice and their habitats.</p> <p>It is anticipated that the Felling Licence Online system for applying for a felling licence will launch during the reporting period in question, which will replace the previous paper based system that applicants had to navigate in order to apply for a felling licence.</p> <p>The Forestry Commission issued 98 Statutory Plant Health Notices under the Plant Health Act 1967 during this reporting period, of which 84 were for <i>Phytophthora ramorum</i>, 14 for <i>Cryphonectria</i> and 0 for Oriental Chestnut Gall Wasp.</p> <p>The Forestry Commission issued 37 Restocking Notices during the period in relation to alleged illegal felling (felling without a licence). 29 Enforcement Notices were issued for non-compliance with previous Restocking Notices. No referrals for prosecution were brought to court during the review period.</p> <p>The Commission chairs the Applicants Focus Group on a quarterly basis to discuss grant and regulatory changes with members of the sector. However, these meetings typically focus on grant related issues.</p> <p>The Forestry Commission has closed its Santon Downham Administration Hub, which was formerly one of three admin processing hubs available to the Commission. All administrative processing of felling licences, EIA enquiries and relevant grant applications are now handled by the remaining two hubs in Bucks Horn Oak and Bullers Hill.</p>

Gambling Commission	
Exclusion category	Summary of activity
Regulatory provisions that have been certified by departments or regulators as falling under the <i>de minimis</i> rule, namely those that have an EANDCB of less than ± £5 million	<p>Consultations</p> <p>The Commission made changes to the Licence Conditions and Codes of Practice following consultations on:</p> <ul style="list-style-type: none"> • Regulatory returns to both add and remove data points, which impacted all licence holders. • Ensuring lotteries are conducted in a fair and open way which impacted on society lottery and external lottery managers only. • Horse race pool betting requirements to mark the opening up of licence to the market. <p>The Remote Technical Standards guidance was amended following a consultation on transparency which impacted on remote gambling operators only; and changes were made to the statutory guidance for casinos following a consultation on the prevention of money laundering which impacted on casino operators only.</p> <p>A further consultation opened on “changes to marketing and advertising, unfair terms and complaints and disputes conditions and codes of practice” which will be reported on next year.</p> <p>Publications</p> <p>The Commission published:</p> <ul style="list-style-type: none"> • Customer interaction guidance for remote gambling operators which restated existing requirements. • Review of online gambling and identified areas for future work to strengthen online gambling controls. • Various research documents on gambling behaviour and industry statistics.

Gambling Commission	
Exclusion category	Summary of activity
	<ul style="list-style-type: none"> • Advice to support Government’s review of gaming machines. DCMS has submitted the Regulatory Impact Assessment on the changes. • A new strategy for 2018-2021; a business plan for 2018-19 and an updated enforcement strategy. <p>Education, communications and promotion</p> <p>The Commission has given:</p> <ul style="list-style-type: none"> • Over 25 presentations to external stakeholders and over 65 to coregulatory partners and exhibited at 11 trade fairs. • General information was provided to operators and co regulatory partners via 11 Licensing Authority and 27 E-bulletins and over 70 press releases during the year and the Commission made various updates to its website content including to advice notes, quick guides, mini blogs. <p>The Commission is piloting a new online consultation platform to make it easier for operators, co regulators and consumers to contribute to consultations.</p> <p>None of the material produced created a new regulatory standard that a business will be expected to follow. The communication is a restatement/dissemination of existing requirements and attendance at educational and promotional events is not compulsory.</p> <p>Casework</p> <p>The Commission imposed regulatory sanctions this year:</p> <ul style="list-style-type: none"> • 14 personal licences revoked, • 1 personal licensee received a warning

Gambling Commission	
Exclusion category	Summary of activity
	<ul style="list-style-type: none"> • 2 operating licence revoked • 2 operators received warnings • 1 operators received warnings and penalty <p>These actions against non-compliant businesses were to secure compliance with existing regulatory requirements.</p> <p>During this period 274 new operating licences were issued and 49 surrendered.</p> <p>No activities listed in this section represent a change in the burden of regulation placed on business.</p> <p>Fines and penalties</p> <p>There have been 9 settlements in lieu of financial penalty made by industry during the year following agreement between the Commission and the operator to secure compliance with regulatory requirements, with the monies returned to identifiable victims, used for socially responsible purposes or cover the Commission’s costs. Additionally, there was one financial penalty (paid for breach of marketing and advertising conditions. Details are available on the Gambling Commission’s website.</p> <p>Changes to management</p> <p>Chief Executive Sarah Harrison left the Commission in February 2018 and Neil McArthur was appointed as her successor in April 2018.</p>

Gangmasters and Labour Abuse Authority (GLAA)	
Exclusion category	Summary of activity
Regulatory provisions that have been certified by departments or regulators as falling under the <i>de minimis</i> rule, namely those that have an EANDCB of less than ± £5 million	<p>GLAA Brief 55 Shellfish</p> <p>Brief 55 explains how the Gangmasters and Labour Abuse Authority’s (GLAA) licensing scheme applies to those involved in the gathering of shellfish. In particular it seeks to clarify the point at which an individual is considered to materially influence the gathering of shellfish.</p> <p>The GLAA has reviewed its approach and recognised that some individuals who were seeking to buy shellfish may have been considered to be a gangmaster. The revised guidance clarifies and sets out the circumstances where a licence is required.</p> <p>This is not a regulatory change but a re-issue and clarification of existing guidance which sets out the circumstances where a licence is required. There are no increased costs for existing or potentially new licence holders.</p> <p>Currently out of 1,000 licence holders there are nine that are involved in the gathering of shellfish. This represents less than 1% of total GLAA licence holders, a figure broadly constant. Total turnover (in sector) of these companies is approximately £5.5m.</p> <p>Based on an annual new application level per year of approximately 150 it is anticipated that up to 2 applications may be from the shellfish sector. This has a minimal business impact based on the size of the industry. Furthermore, the clarification also removed a number of companies that were not engaged in shellfish collection but only processing for onward supply into supermarkets etc.</p> <p>GLAA Brief 54 Third party packaging</p> <p>GLAA Brief 54 explains a new approach where the requirement to hold a licence will be more flexible for third party packaging activities. However, whilst this requirement already existed in the regulations it was not clearly understood by the industry. Therefore the clarification raises awareness that would bring new companies forward for a licence, effectively constituting a new business burden for them.</p>

Gangmasters and Labour Abuse Authority (GLAA)	
Exclusion category	Summary of activity
	<p>Industry advised that there would be significant applicants even for the new easements to ensure that they were not considered to be committing a criminal offence, and had an effective amnesty from the GLAA. Using industry data it was estimated that in a best case scenario (least number of companies affected) 3,203 companies might need to apply, which would equate to an impact of £62m (if all companies applied in year 1 and renewed licences each year for the following 9 years).</p> <p>However, experience in year 1 has required a radical overall of the assessment. In the first six months of year 1 of the new scheme only 10 companies have applied, indicating that industry stakeholders view of the likely level of application were significantly wrong. Therefore it is considered that the level of applications will remain constant at 20 companies per year. Over a 10 year period this would result in a catchment of an additional 200 licences, representing 6.2% of the original anticipated volume of affected companies. Applying this percentage to the projected £62m gives a likely business impact of under £4m.</p> <p>Casework</p> <p>Casework covers application inspections, compliance inspections, revocations, refusals, grants, and appeals in relation to licences. It also covers enforcement and prosecution cases. These activities fell under the casework exclusion in the previous period and therefore are considered to be caught by the de minimis exclusion.</p> <p>During the reporting period the GLAA’s enforcement responsibilities increased to cover broader labour market investigations. Such investigations are under its new police powers under the Police and Criminal Evidence Act 1984. As such they are not a regulatory but pure criminal power and also considered excluded.</p>

Groceries Code Adjudicator (GCA)	
Exclusion category	Summary of activity
Education, communications activities, and promotional campaigns by regulators	<p>In addition to general information and promotional material such as newsletters, the GCA published two documents in response to concerns raised by suppliers and regulated retailers. These are both educational documents which seek to clarify existing requirements and provide greater certainty to business. They do not place any burden of regulation on business or create a new regulatory standard that businesses will be expected to follow.</p> <ol style="list-style-type: none"> 1. Code clarification case study: variation of supply agreements (20 June 2016); and 2. Addendum to consultation outcome (published 7 February 2017): paragraph 12 payments for better positioning (18 March 2018).

Health and Safety Executive (HSE)	
Exclusion category	Summary of activity
Regulatory provisions that have been certified by departments or regulators as falling under the <i>de minimis</i> rule, namely those that have an EANDCB of less than ± £5 million	<p>Policy Change:</p> <ul style="list-style-type: none"> • HSE introduced an online notification tool for the offshore sector to have a single point of contact for specific notifications from industry. The energy portal has been in existence prior to HSE use, and allows duty holders to report digitally, and removes the burden of hard copy documents. All safety case reports and well notifications will now be sent through this system. Phase 1 of this development is now live with Phase 2 due to go live mid-2018. HSE has determined the changes to deliver a saving below the <i>de minimis</i> threshold. • HSE has removed the approved tables for compressed air working, whilst maintaining the requirement for duty holders to manage risk. Continuing developments in technologies for safe compressed air working can render approved procedures inappropriate. Requiring industry to default to what may become approved but out-dated procedures could inhibit the realisation of improved health and safety outcomes. HSE has determined the changes to deliver a saving below the <i>de minimis</i> threshold. <p>EU and International Obligations:</p> <ul style="list-style-type: none"> • HSE implemented the Ionising Radiation Regulations 2017 - EU Directive 2013/59/Euratom which combines and updates five directives, and a European Council recommendation, into a single directive – the Basic Safety Standards Directive (BSSD). The regulations retained two areas where existing requirements went further than the directives but were kept to ensure current levels of protections were maintained. The regulations came into force on 1 January 2018, five weeks early as dose recording arrangements require that exposure to ionising radiation is calculated and assessed on a calendar-year basis that would otherwise have had an impact on worker health and safety and resulted in one-off costs to business of £1m. Additionally, the scope of consents has been extended to include a limited number of practices that would otherwise only have to be registered under the directive’s requirements. This extension results in some savings to business as well as costs due to the way this is

	<p>implemented, and rounds to zero under the Business Impact Target. HSE updated and published one guidance document to help businesses comply with the enacted EU requirements on controlling risk from ionising radiation.</p> <p>Guidance:</p> <ul style="list-style-type: none">• HSE implemented an administrative change to Gas Safe Register rules of registration enabling service layer engineers to carry out specific meter disconnection activities without being gas safe registered, but instead be trained and listed as members of the Energy and Utility Skills Register, ensuring service layer engineers are sufficiently skilled to carry out meter disconnection activities. This is effective from January 2018. HSE has determined that the changes deliver savings that are below the <i>de minimis</i> threshold.• HSE updated six guidance documents to simplify language or reflect up-to-date practices without changing requirements and compliant duty holders are not expected to do anything different. One guidance document was amended changing duty holders requirements. HSE has assessed all these changes and calculated familiarisation costs to be below the <i>de minimis</i>; as, too, are the savings from the one guidance change that amended requirements.• HSE has published or updated three documents and other materials that impart factual information or provide resources for those assessing and managing occupational risks to use if they choose to. They do not impart any change in HSE requirements or expectations of how compliant duty holders should assess or manage their risks. <p>Casework:</p> <p>HSE took action to reduce risk at over half of the workplaces visited in the course of completing approximately 20,000 targeted inspections and made regulatory contact with over 950 major hazard sites. None of these activities represent a change in the burden of regulation placed on business. A comprehensive list of HSE's regulatory activities can be found in HSE's Annual Report and Accounts (covering the fiscal year) and the annual publication of the Health and Safety Statistics in Great Britain, both of which can be found on the HSE website.</p>
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	<p>Education, communications and promotion:</p> <p>Details of HSE press releases, training, engagement and campaigns can be found on the HSE website e.g. Working Well Together and the first GB conference and a new national campaign – ‘Go Home Healthy’. 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> <p>Activity related to policy development:</p> <p>HSE public consultations held during the reporting period can be found on the HSE website.</p> <p>HSE published an informal consultation Discussion Document (CD286) to gain feedback from stakeholders on potential options following the framework review of the Adventure Activities Licensing Authority (AALA).</p> <p>The Post Implementation Review (PIR) of the Health and Safety (Sharp Instruments in Healthcare) Regulations 2013 and the PIR of the Health and Safety at Work etc. Act 1974 (Application outside Great Britain) Order 2013 voluntary review were completed and published in April 2018.</p> <p>Changes to management of regulator:</p> <ul style="list-style-type: none">• During this period one NED retired from office and another was appointed in her place.• HSE continues to rationalise its estate.• From 1 September 2017 disputed invoices raised under the HSE fee for intervention (FFI) cost recovery scheme were considered by a fully independent panel.
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HM Revenue and Customs (HMRC)	
Exclusion category	Summary of activity
Regulatory provisions that have been certified by departments or regulators as falling under the <i>de minimis</i> rule, namely those that have an EANDCB of less than ± £5 million	<p>HMRC continued to provide support to businesses in complying with the money laundering regulations.</p> <p>HMRC carried out more than 1,200 direct interventions, including face-to-face visits and remote compliance activity, on its supervised businesses.</p> <p>HMRC enforced the national minimum wage and national living wage on behalf of the Department for Business, Energy and Industrial Strategy (BEIS) and imposed penalties in line with the requirements set out in the National Minimum Wage Act 1998 and the National Minimum Wage Regulations 2015.</p> <p>HMRC’s enforcement of national minimum wage is governed by a service level agreement with BEIS. In line with the service level agreement, HMRC responds to every worker complaint referred via the Advisory, Conciliation and Arbitration Service (ACAS) helpline and opens risk-based targeted enforcement campaigns into high risk sectors.</p> <p>HMRC delivered a programme of activities to promote understanding of national minimum wage and anti-money laundering supervision rules including webinars, presentations to business forums, email contact, e-Learning, and the production of sectoral guides.</p>

Human Fertilisation and Embryology Authority (HFEA)											
Exclusion category	Summary of activity										
Regulatory provisions that have been certified by departments or regulators as falling under the <i>de minimis</i> rule, namely those that have an EANDCB of less than ± £5 million	<p>Casework</p> <p>The HFEA operates a four year inspection cycle for treatment licences and three years for research licences and has a statutory obligation to conduct site visits at every centre at least every two years so each licence has both a full renewal and a targeted interim inspection within the life of the licence. The inspection and licensing levels published in the 2018/19 business plan are included below:</p> <table border="1"> <thead> <tr> <th>Between 1 April 2017 and 31 March 2018</th> <th>2017/18</th> </tr> </thead> <tbody> <tr> <td>Clinics and research establishments inspected</td> <td>87</td> </tr> <tr> <td>Licences inspected</td> <td>85</td> </tr> <tr> <td>New licence applications processed and presented to the Licence Committee/ Executive Licensing Panel</td> <td>6</td> </tr> <tr> <td>Licence renewals processed and presented to the Licence Committee/Executive Licensing Panel</td> <td>33</td> </tr> </tbody> </table>	Between 1 April 2017 and 31 March 2018	2017/18	Clinics and research establishments inspected	87	Licences inspected	85	New licence applications processed and presented to the Licence Committee/ Executive Licensing Panel	6	Licence renewals processed and presented to the Licence Committee/Executive Licensing Panel	33
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	<p>Education, communications and promotion</p> <p>The HFEA produces a monthly newsletter for clinics, Clinic Focus.</p> <p>The HFEA held 8 public and stakeholder meetings in the 2017-18 financial year.</p>										
<p>Activity related to policy development</p> <p>Code of Practice Update 2017: this was implemented in October 2017</p>											

Human Fertilisation and Embryology Authority (HFEA)	
Exclusion category	Summary of activity
	<p>Current and proposed policy projects for this reporting period, in addition to others mentioned elsewhere in this document, include:</p> <ul style="list-style-type: none"> • Patient feedback monitoring and evaluation • Preimplantation genetic diagnosis (PGD) list audit and review • Embryo research project • Data research consent project • Emotional support for patients • Information project • Patient feedback • Code of Practice update, October 2018 (will be implemented in the next year) <p>Changes to management of regulator</p> <p>An organisational restructure has resulted in changes to two directorates: Compliance and Information, and Strategy and Corporate Affairs. In the former this included a significant recasting of the IT and Information functions. In the latter this included the creation of a new Intelligence team under the leadership of a newly appointed Head, and combining the Governance and Licensing and Business Planning teams under a single Head level role.</p> <p>Overall, this resulted in 16 roles being removed from the previous structure, three posts being moved to new teams, six exiting posts being moved into the new structure ‘as is’ and the creation on of 15 new posts.</p>

Human Tissue Authority (HTA)	
Exclusion category	Summary of activity
Regulatory provisions that have been certified by departments or regulators as falling under the <i>de minimis</i> rule, namely those that have an EANDCB of less than ± £5 million	<p>In July 2017, the HTA modified its licence application process to standardise the types of supporting documents provided by applicants at the start of the application process. The changes were made in order to streamline the assessment process, and to provide greater clarity about the information that applicants need to provide to demonstrate that they meet licensing standards. There was no change to the standards that new licence applicants would need to meet.</p> <p>Eleven businesses have been subject to this updated process since July 2017 and the impact has been assessed as falling within the <i>de minimis</i> threshold.</p> <p>When the HTA moves to make some decisions (for example to refuse, revoke or vary a licence), the establishment involved is able to make representations against the proposed course of action. The HTA changed its representations process in September 2017 in order to make it less burdensome for all parties. The updated process is intended to resolve issues more promptly whilst still taking into account all relevant factors. This process has not been used since it was updated as no establishments have made representations since this time. The impact on business has been assessed as falling within the <i>de minimis</i> threshold.</p> <p>The Human Tissue (Quality and Safety for Human Application) (Amendment) Regulations 2018 came into force on 1 April 2018. These transposed two EU Directives on coding and import into UK law. The changes the HTA made, as a result of implementing this legislation affected all establishments in the Human Application sector. These included:</p> <ul style="list-style-type: none"> • Updates to standard conditions of all Human Application licences • Revised Directions and changes to the Guide to Quality and Safety Assurance for Tissues and Cells for Patient Treatment • Changes to the licensable activity of distribution • Modifications to licensing standards • Changes to import licensing, as part of this licensed establishments were required to submit evidence of compliance with the import Directive

Human Tissue Authority (HTA)	
Exclusion category	Summary of activity
	<p>Of the 134 licensed establishments in the Human Application sector, 46 establishments affected by these changes were businesses. None of the changes of European/International origin place additional burdens beyond those required under legislation of EU origin. Further, all impact on business brought about by the changes has been assessed as falling within the de minimis threshold.</p> <p>As of June 2018, the HTA licensed 567 establishments across six sectors. Of these, 313 establishments were public sector organisations and 254 were classified as businesses. Although licence numbers fluctuate, these figures are considered to be representative of the reporting period.</p> <p>For this reporting period, the HTA’s casework did not introduce any new measures, or changes to activity, that would change the burden of regulation placed on business. This impact of all casework on business is believed to fall within the de minimis threshold.</p> <p>Where figures cover the 2017/18 business year, they are considered as representative of a 12-month period.</p> <p>In 2017/18 business year, the HTA performed 240 site visits to licensed premises, including 5 non-routine inspections. Of the establishments that were visited, 82 were classed as businesses. In this time, 802 shortfalls were identified. There were 184 serious adverse events and reactions reported in the human application sector, 37 serious adverse events and reactions reported in the organ donation and transplantation sector and 232 serious incidents reported in the post mortem sector.</p> <p>In October 2017, the HTA received 432 Compliance Update submissions from licensed establishments in five out of HTA’s six regulated sectors. Of these establishments, 208 were classed as businesses. Compliance updates are a biennial requirement and their direct impact on businesses falls within the de minimis threshold.</p> <p>In January 2018, establishments in the Human Application sector were required to submit an annual activity return, this included submissions from 46 businesses. Most of the information</p>

Human Tissue Authority (HTA)	
Exclusion category	Summary of activity
	<p>collected fulfils EU legislative requirements. Additional information was requested in 2018 on third party agreements and import and export of tissues and cells within the EU. The impact of this collection on businesses did not exceed the de minimis threshold.</p> <p>The HTA has a statutory duty to make a decision on every living organ donation. This is to ensure that every donation takes place with valid consent and free of duress, coercion and reward. In 2017/18, the HTA made a decision on 1214 organ donations from living donors – a panel of HTA Authority Members made a decision on 317 of these. Three of the transplant centres that perform living donor transplants are private hospitals.</p> <p>An external newsletter is sent to Designated Individuals (DIs) of licensed premises every two months. This contains general information about the HTA’s activities and signposts new/updated guidance and policies. Newsletters are also sent to Independent Assessors on a quarterly basis. None of these had a direct impact on businesses that exceeded the de minimis threshold.</p> <p>Ad-hoc information is also circulated where necessary, such the dissemination of advisory bodies’ advice on Chikungunya virus in September 2017. These provide up-to-date, useful information relating to licensed activities, rather than to impose any additional regulatory requirements. None of this information would have an impact on business that exceeded the de minimis threshold.</p>

Information Commissioner's Office (ICO)	
Exclusion category	Summary of activity
Regulatory provisions that have been certified by departments or regulators as falling under the <i>de minimis</i> rule, namely those that have an EANDCB of less than ± £5 million	<p>The ICO has produced guidance documents for business to explain the requirements of the new EU General Data Protection Regulation (GDPR) and the Data Protection Act 2018 (DPA 2018). It has also produced guidance on the Network and Information Systems Regulations 2018 (NIS) and the eIDAS Regulation (eIDAS).</p> <p>While it is possible to calculate the cost to business of reading ICO's guidance documents in terms of reading time, it is not possible to monetise the direct benefit to business of reading the guidance. The Regulatory Policy Committee has approved this approach and all of the ICO's guidance documents are exempted as their EANDCB is less than £5 million.</p>
Regulatory provisions that implement new or changed obligations from European Union Regulations, Decisions and Directives, and other international commitments and obligations, except in cases of gold-plating	The ICO has produced guidance documents for business to explain the requirements of the GDPR and DPA 2018 which are excluded as they fall into the <i>de minimis</i> exclusion category.
Regulator casework including specific investigation and enforcement activity, individual licence decisions, and individual advice	The ICO's regulatory activities in this category include requests for assessment under section 42 of the Data Protection Act 1998, enforcement work, audits and a helpline and written enquiries service. The ICO also set up a new helpline for SME's and has equivalent functions under the GDPR.

Information Commissioner's Office (ICO)	
Exclusion category	Summary of activity
Education, communications activities, and promotional campaigns by regulators	The ICO has published a number of webinars, podcasts and conference recordings on data protection matters. It holds an annual conference for data protection practitioners and organises other awareness-raising events relevant to business.
Policy development by regulators	The ICO carried out the following consultations on GDPR guidance: <ul style="list-style-type: none"> • Data Protection Impact Assessments guidance • Children and GDPR guidance • Contracts and liabilities between controllers and processors' guidance
Changes to the organisation and management of regulators	Since Elizabeth Denham's was appointed Information Commissioner in July 2016, she has built a Senior Leadership Team comprising Deputy Chief Executive, the General Legal Counsel and Deputy Commissioners for Operations and Policy. There has also been further reorganisation within departments, and the ICO is implementing an internal Change Programme to prepare for its responsibilities as the Data Protection Authority under the GDPR.

Intellectual Property Office (IPO)	
Exclusion category	Summary of activity
Regulator casework including specific investigation and enforcement activity, individual licence decisions, and individual advice	<p>From April 2017 through to the end of the 2018 financial year Intellectual Property Office (IPO) engaged with 13,594 businesses regarding Intellectual Property (IP), through a range of seminars, workshops and business exhibitions. IPO also delivered 3-day IP training to 149 businesses or business advisors during this period and facilitated IP audits for 400 businesses. In addition to this IPO's network of Patent Libraries have provided advice to 39,445 individuals, and 71,047 people have used IPO's suite of online tools and resources to help them better use their IP.</p> <p>Through IPO's ongoing engagement with business advisors and their ability to share their IP knowledge with their clients, plus the channels outlined above, IPO calculate that they have been able to engage with over 130,511 businesses since April 2017. Overall, 86% of businesses have reported making an informed decision about their IP following IPO's engagement.</p> <p>Manual of Patent Practice to provide guidance on new IP Act 2017.</p> <ul style="list-style-type: none"> • Educational material relating to a patents supreme court case. • Collective Rights Management including audit and transparency guidance. <p>IPO dealt with the following number of applications between 1 June 2017 and 31 April 2018:</p> <ul style="list-style-type: none"> • Patents: 20,427 • Trademark: 72,915 • Designs: 21,005 <p>IPO published 7 consultations between 8 June 2017 and 8 May 2018, for example:</p> <ul style="list-style-type: none"> • IPO sought views on proposed changes to UK law resulting from the Trade Marks Directive 2015.

Intellectual Property Office (IPO)	
Exclusion category	Summary of activity
	<ul style="list-style-type: none">• IPO issued a call for views on maximising the incentives of the Intellectual Property system to stimulate collaborative innovation and licensing opportunities.

HM Land Registry	
Exclusion category	Summary of activity
Regulatory provisions that have been certified by departments or regulators as falling under the <i>de minimis</i> rule, namely those that have an EANDCB of less than ± £5 million	<p>HM Land Registry considers that all its changes fall within the <i>de minimis</i> exclusion. Analysis has been undertaken that evidences HM Land Registry's changes are so significantly below this threshold that further analysis would be disproportionate.</p> <p>In this reporting period HM Land Registry has:</p> <ul style="list-style-type: none"> • Introduced a change in practice resulting in HM Land Registry contacting the mortgage lender applicant on more occasions where a discharge of whole is in paper form allowing the lender to object to the application if they consider the discharge to be fraudulent. • Simplified its practice in carrying forward easement entries on transfers and leases. • Introduced the requirement for application fees to now be automatically taken on the day of receipt of the application when sent through HM Land Registry's Portal. A new mandatory field is presented which requires customers to reconfirm during submission the fee for the application. Benefits to the customer will be that the fee will be consistently taken via direct debit on day one, removing inconsistency in service and will reduce the need for the customers to contact HM Land Registry to enquire on progress. • Introduced the ability for business customers to lodge applications for historic copies of the title registers and title plans via the portal and for some customers to lodge large scale voluntary first registration applications electronically. • Improved the functionality of its existing Application Enquiry Service which business customers use to check details of any application. • Undertaken activity related to policy development including: <ul style="list-style-type: none"> ○ looking at widening the rejection criteria for applications to create new freehold or leasehold titles (first registrations). ○ reviewing its policy and processing methods on management company restrictions. In conjunction with the Conveyancing Association and the Law Society, HM Land Registry launched a survey as part of an informal consultation to gather views on landlord and/or management company restrictions used to enforce covenants in leases.

HM Land Registry	
Exclusion category	Summary of activity
	<ul style="list-style-type: none"> ○ looking at changes in the way in which surrender and re-grant applications which extend the term and/or extent of a leasehold interest in a property are processed. ○ Made over 130 updates to its practice guides to reflect changes in the law, practice, processing and to further clarify requirements to support customers in making applications. Also introduced a new guide on overseas companies and limited liability partnerships and developed jointly with the Law Society new advice to help solicitors spot ever-evolving threats of fraud. <p>HM Land Registry has also undertaken some internal organisational reform which resulted in:</p> <ul style="list-style-type: none"> ● All Historical Copy applications to be sent to the Durham Office. ● All customer requests now being handled by the Customer Support Centre. There is no longer the option to be allocated to a customer team. ● The call handling improvement project aimed at improving customer service. ● HM Land Registry being able to send the results of some first registration applications online. <p>HM Land Registry has published news articles and revised other material in support of the changes and recently amended their forms to signpost external customers to its Personal Information Charter that was updated to comply with the General Data Protection Regulation.</p>

Marine Maritime Organisation (MMO)	
Exclusion category	Summary of activity
Regulatory provisions that have been certified by departments or regulators as falling under the <i>de minimis</i> rule, namely those that have an EANDCB of less than ± £5 million	<p>The MMO Margate and Long Sands European Marine Site (Specified Areas) Bottom Towed Fishing Gear Byelaw 2016 came into force on 1 March 2018. The purpose of the byelaw is to protect two specified areas of sandbank in Margate and Long Sands Special Area of conservation from the impacts of bottom towed fishing gear. An impact assessment was compiled alongside the byelaw. The annual net cost to business (EANDCB) was estimated to be £7,447.9 and therefore classified as a Non-Qualifying Regulatory Provision.</p> <p>Some low risk activities are not subject to the standard marine licensing process and instead might qualify for a self-service marine licence. Self-service marine licensing, launched in July 2017, replaced the previous fast-track marine licence process which required bespoke consideration by the MMO’s case officers.</p> <p>Since the launch of self-service, there has been a marked increase in the number of qualifying applications received. Analysis shows the number of days taken to process Band 1 fast track applications before self-service was on average around 60 days. In contrast, the MMO processing time and ‘delay’ to applicants in the period July–October 2017 whose activities were suitable for self-service was zero.</p> <p>The self-service fee is £50 (reduced from £175). Based on the anticipated 232 licenses issued in the first 12 months, the licensing fee savings to applicants is in the region of £29,000/year.</p>
Regulatory provisions that implement new or changed obligations from European Union Regulations, Decisions and Directives, and other international commitments and	<p>Europe’s fishing activity is managed mostly through the EU Common Fisheries Policy, a piece of framework legislation that is implemented by the MMO in England. Sitting underneath the Common Fisheries Policy are a number of EU regulations that have direct effect in UK legislation; these regulations are used to manage fisheries in three main areas: management of quota and fishing effort, technical conservation measures and control measures (such as log books and vessel monitoring systems).</p> <p>The MMO has determined that activities it undertakes in these categories are Non-Qualifying Regulatory Provisions under the exemption for EU Regulations, Decisions and Directives and other</p>

Marine Maritime Organisation (MMO)	
Exclusion category	Summary of activity
obligations, except in cases of gold-plating	international obligations. Examples of such activities would include fisheries closures, area closures and technical measures which cover restrictions to net sizes and gear type, and landing obligations (otherwise known as the discard ban) and the associated control (recording) of this.

Maritime and Coastguard Agency (MCA)	
Exclusion category	Summary of activity
Regulatory provisions that have been certified by departments or regulators as falling under the <i>de minimis</i> rule, namely those that have an EANDCB of less than ± £5 million	<p>The Maritime and Coastguard Agency has implemented 5 de minimis measures:</p> <ul style="list-style-type: none"> • Code of Safe Working Practice for Fishing Vessels • Fishing Vessels Prevention of Man Overboard • Fishing Vessels Emergency Drills • Code of Safe Working Practices for Merchant Seafarers • Code of Practice for the Construction of Chain and Wire Ferries
Regulatory provisions that implement new or changed obligations from European Union Regulations, Decisions and Directives, and other international commitments and obligations, except in cases of gold-plating	<p>The Maritime and Coastguard Agency has implemented 2 EU/International obligations:</p> <ul style="list-style-type: none"> • Merchant Shipping (Prevention of Pollution from Noxious Liquid Substances in Bulk) Regulations 2018 • Merchant Shipping (International load Line Convention) (Amendment) Regulations 2018 <p>The following consultations have also been undertaken:</p> <ul style="list-style-type: none"> • Fire retardant treatments and testing for large commercial yacht code • Review of Merchant shipping Regulations 2011 – Port State Control and Flag State Control • Recasting of the Merchant Shipping (Prevention of Oil Pollution) Regulations including implementation of recent international amendments • Consolidated European Reporting System satisfaction survey report <p>These guidance documents reflect international requirements, do not gold plate and do not place additional burdens on business beyond those required under international legislation.</p>
Regulator casework including specific	<p>From current available data, MCA have undertaken 1,123 Port State Control inspections of which 44 resulted in detaining the ship. MCA have undertaken 5980 Flag State Control inspections/surveys of which 17 resulted in detaining the ship.</p>

Maritime and Coastguard Agency (MCA)	
Exclusion category	Summary of activity
investigation and enforcement activity	<p>MCA have undertaken 151 training course approvals, examined 5177 seafarers and boatmasters for competency and conducted 48 sight tests.</p> <p>MCA have conducted 119 audits.</p> <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 that has been assessed.</p>
Education, communications activities, and promotional campaigns by regulators	<p>MCA have published over 100 documents providing the UK maritime sector with general information in the following areas:</p> <ul style="list-style-type: none"> • Approved doctors, medical referees and health seminar presentations • Approved radio surveyors, MARPOL surveyors and Certifying Authorities • Approved service stations • Recruitment and placement agencies • 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 • Survey and Inspection, and UK Shipping Register Newsletters <p>MCA's 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</p>

Maritime and Coastguard Agency (MCA)	
Exclusion category	Summary of activity
	<p>Boatshow, Seaworks, Skipper Expo International in Aberdeen and Bournemouth providing advice and guidance on maritime legislation.</p> <p>Attendance at educational and promotional events is not compulsory and none of the material produced creates a new regulatory standard that businesses will be expected to follow. Any new regulatory standards will follow the regulatory process and their impacts assessed as part of this process.</p>
Policy development by regulators, including formal and informal consultations	<p>The Maritime and Coastguard Agency has launched 7 consultations in this second reporting period. In addition to consultation of the EU and International legislation, the following consultations have taken place:</p> <ul style="list-style-type: none"> • MGN for fishing vessels operating in submarine exercise areas • MGN regarding emergency drills and prevent of man overboard incidents • MGN for registration surveys of fishing vessels under 15 metres • MSN 1823 domestic passenger ships operating solely in UK categorised waters • UK national standards for marine oil spill response providers • Stability guidance for fishing vessels involved in loading and lifting operations • Bridge visibility regulations for small passenger vessels

Medicines and Healthcare products Regulatory Agency (MHRA)	
Exclusion category	Summary of activity
Regulatory provisions that have been certified by departments or regulators as falling under the <i>de minimis</i> rule, namely those that have an EANDCB of less than ± £5 million	<p>MHRA introduced a new system for registering class I devices and in vitro diagnostic devices and for registering certificates of free sale.</p> <p>MHRA developed guidance to enable desk top assessment of GMP compliance of overseas. The guidance provides a tool and framework which aims to help competent authorities prioritise resources for GMP inspections for human and veterinary medicines.</p> <p>A Validation Correct Request has been introduced by the MHRA’s Information Processing Unit for variation applications. The new functionality allows MHRA to issue a VCR which will provide customers with the chance to resolve minor issues during the validation process, which is more efficient. So far, there have been 157 VCRs. As well as avoiding wasted time (i.e. the c.2 weeks it would take for an initial application assessment and corrected resubmission), it also saves customers the 10% fee charged for an invalid application.</p> <p>MHRA provides a new Pay on Invoice option for medicines licences, clinical trial authorisations, and devices investigations. Applicants no longer have to attach proof of payment to applications, reducing the regulatory burden and making the end-to-end process simpler, easier and quicker.</p> <p>There are now 10,000 active customers, encompassing more than 12,000 invoices / validated applications per year.</p> <p>Feedback from customers, going into the initial trial was that the change would save approximately 2 hours per application including pre-submission and post reconciliation work. Using a more conservative 30 minutes time savings estimate (based on 2016/17 data), this saves industry approximately £83,000 annually. In addition, MHRA high level estimates (using 2016/17 data) is that, removing the 10% fee charged for an invalid application saves industry approx. £200,000 annually.</p>

Medicines and Healthcare products Regulatory Agency (MHRA)	
Exclusion category	Summary of activity
	<p>As reported in the last BIT, the MHRA worked with the British Generic Manufacturers Association (BGMA) to agree a new process and associated protocol for the co-ordination of safety and risk management materials for generic medicines</p> <p>This year, BGMA issued a single set of safety materials on behalf of affected Marketing Authorisation holders for three initiatives (each involving 13 participating companies) which BGMA estimates has saved industry £815,000.</p> <p>Whilst no EU regulation and directives were implemented in 2018/19, a lot of work took place preparing for the implementation of directives including Clinical Trials Regulation, Falsified Medicines Directive safety feature and Medical Devices Regulations.</p> <p>To assist industry with the understanding of the Falsified Medicines Directive: Safety Features, MHRA’s regular e-newsletter informs 3,000 stakeholders from across the medicines supply chain of any updates around the forthcoming legislation.</p> <p>MHRA published interactive guidance documents on both Apps and Software as Medical Devices and the new EU Regulations for medical devices (MDR) and in vitro diagnostic medical devices (IVDR). These were promoted with press releases and social media and ongoing interaction with Industry which indicates they were well received.</p> <p>In April the MHRA announced a pregnancy prevention programme to accompany the prescribing of sodium valproate.</p>

Natural England													
Exclusion category	Summary of activity												
Regulator casework including specific investigation and enforcement activity, individual licence decisions, and individual advice	Between 9 June 2017 and 20 June 2018 Natural England responded to 46,823 items of casework.												
	<table border="1"> <thead> <tr> <th colspan="2">Casework breakdown</th> </tr> <tr> <th>Area of work</th> <th>Number</th> </tr> </thead> <tbody> <tr> <td>Terrestrial planning consultations</td> <td>24,553</td> </tr> <tr> <td>Marine planning consultations</td> <td>1,095</td> </tr> <tr> <td>Site of special scientific interest (SSSI) and land management consents/assents</td> <td>4,457</td> </tr> <tr> <td>Wildlife licensing applications</td> <td>16,718</td> </tr> </tbody> </table>	Casework breakdown		Area of work	Number	Terrestrial planning consultations	24,553	Marine planning consultations	1,095	Site of special scientific interest (SSSI) and land management consents/assents	4,457	Wildlife licensing applications	16,718
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Education, communications activities, and promotional campaigns by regulators	Natural England continued to update and refine relevant guidance on GOV.UK in response to customer requests. It made 51 publications available to its customers via GOV.UK of which 31 provided specific information on agri-environment schemes, wildlife licensing and marine conservation. Natural England published 16 corporate reports on issues as diverse as national nature reserves, its gender pay gap, hen harrier tracking as well as its annual report and accounts. It published 2 items of correspondence on bovine TB authorisations and 2 promotional												

Natural England	
Exclusion category	Summary of activity
	documents covering Countryside Stewardship clinics for 2018 and the facilitation fund case study.
Policy development by regulators	In October 2017 Natural England launched a consultation on plans to change the wildfowling consents process on designated sites in England. Between December 2017 and February 2018 it undertook a major consultation on charging for wildlife licences. The organisation also undertook an additional 59 site specific consultations relating to the England Coastal Path (13), marine Special Protection Areas (10) and open access restrictions (36). It also opened 4 opportunities for members of the public to provide information regarding issues that may be relevant to the determination of badger control licence applications in Dorset, Gloucestershire, Somerset and Wiltshire.
Changes to the organisation and management of regulators	There have been some changes in the organisation’s senior leadership team and the appointment of five new members to the Natural England Board. The number of area teams has been reduced to 13 following the merger of the North Mercia and South Mercia teams into a new West Midlands area team.

Ofcom	
Exclusion category	Summary of activity
Regulatory provisions that have been certified by departments or regulators as falling under the <i>de minimis</i> rule, namely those that have an EANDCB of less than ± £5 million	<ul style="list-style-type: none"> Decided to make the Wireless Telegraphy Exemption Regulation 2017 to allow Wi-Fi access to additional spectrum in the 5.8Ghz band. Published enforcement guidelines for regulatory investigations setting out how Ofcom will investigate, and enforce compliance with, regulatory requirements applying to stakeholders. Published the Electronic Communications Code – a Code of Practice, template notices and standard terms for operators, as required under the Digital Economy Act. Published guidance on Ofcom’s enforcement approach to Government legislation requiring mobile providers to offer bill limits to customers. Increased range of geographic telephone numbers in relation to which communications providers must pay charges for blocks of telephone numbers allocated to them, in order to promote efficient use. Updated the General Conditions of entitlement that apply to all communications providers.
Regulatory provisions that implement new or changed obligations from European Union Regulations, Decisions and Directives, and other international commitments and obligations, except in cases of gold-plating	<ul style="list-style-type: none"> Decided to make the Wireless Telegraphy (Mobile Communication Services on Ships) (Exemption) Regulations 2017 to enable passengers to connect their mobile devices to a system providing mobile communication on board ships without the need for a licence. Decided to make the Wireless Telegraphy (Ultrawideband equipment) (Exemption) (Amendment) Regulations 2018 to amend licence exemption criteria for ultrawideband devices. Decided to make the Wireless Telegraphy (Exemption and Amendment) (Amendment) Regulations 2018 to amend licence exemption criteria for short range devices.
Regulatory provisions that are intended to deliver – or to replicate – better competition-	<ul style="list-style-type: none"> Released BT from its 2005 undertakings once new commitments to reform Openreach to make it more independent are in place. Published a decision on non-domestic rates and the price for regulated dark fibre, amending the calculation of the price that BT charges for dark fibre.

Ofcom	
Exclusion category	Summary of activity
based outcomes in markets characterised by market power	<ul style="list-style-type: none"> • Reviewed regulatory financial reporting for Royal Mail. • Carried out market reviews in communications markets to identify where providers have significant market power and impose appropriate conditions. Such reviews covered <ul style="list-style-type: none"> ○ standalone landline telephone services; ○ the wholesale local access market; ○ the wholesale broadband access market; and ○ mobile call termination markets. • Reviewed mobile donor conveyance charges for the period 2018-2021. • Set quality of service obligations arising from the narrowband market review (reported in a previous period) as well as the wholesale local access market review (above)
Regulator casework including specific investigation and enforcement activity, individual licence decisions, and individual advice	Ofcom carried out a significant level of casework during the period, for example resolving broadcast standards cases, awarding spectrum licences, reviewing requests from individual radio stations to change the format of their output, and applying Code Power to persons providing an electronic communications network and/or system of conduits.
Policy development by regulators, including formal and informal consultations, policy reviews, and ad hoc information requests	Ofcom undertook several formal and informal consultations and issued ad hoc information requests during the period for the purposes of general policy development.

The Office for Fair Access	
Exclusion category	Summary of activity
Regulatory provisions that have been certified by departments or regulators as falling under the <i>de minimis</i> rule, namely those that have an EANDCB of less than ± £5 million	<p>The Office for Fair Access has addressed a number of new access agreement breaches.</p> <p>Since 2015 Office for Fair Access has added to a list of higher education providers for which it has identified minor breaches of access agreements.</p>

Office for Nuclear Regulation (ONR)	
Exclusion category	Summary of activity
Regulatory provisions that have been certified by departments or regulators as falling under the <i>de minimis</i> rule, namely those that have an EANDCB of less than ± £5 million	<p>ONR has a rolling programme to update and maintain its guidance for inspectors referred to as Technical Inspection Guides (TIGs) and Technical Assessment Guides (TAGs). Seven TIGs and 17 TAGs were reviewed and reissued. Six new guides, including three concerning transport of radioactive material and nine new security inspection guides, were also added. The guidance reflects good practice and international standards and is available on the ONR’s website. Whilst duty holders need to familiarise themselves with the guidance, ONR has determined costs to be below the De minimis threshold, as compliant duty holders are not expected to do anything differently.</p> <p>ONR also revised its Enforcement Management Model to ensure that enforcement decision making is properly aligned to industry and can be applied consistently across ONR’s regulatory purposes.</p> <p>ONR updated its guidance to support the transposition of two EU Directives; 2014/87/Euratom to establish a community framework for the safety of nuclear installations, and 2013/59/Euratom the Basic Safety Standards Directive (BSSD – occupational exposures obligation) implemented through the Ionising Radiations Regulations (IRR) 2017.</p> <p>ONR performed more than 1,000 compliance inspections on nuclear licenced sites in accordance with site specific regulatory intervention plans and over 30 permissioning activities against ONR’s established guidance and procedures. None of the activities represent a change in the burden of regulation placed on business. A comprehensive list of ONR’s regulatory activities can be found in ONR’s Annual Report and Accounts.</p> <p>A list of ONR publications, press releases, news and 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> <p>Changes to ONR management and structures are detailed in the ONR’s Annual Report and Accounts.</p>

Office of Gas and Electricity Markets (Ofgem)	
Exclusion category	Summary of activity
Regulatory provisions that have been certified by departments or regulators as falling under the <i>de minimis</i> rule, namely those that have an EANDCB of less than \pm £5 million	Ofgem published 34 measures each with an EANDCB of less than \pm £5 million. This included measures such as minor changes to industry codes.
Regulatory provisions that implement new or changed obligations from European Union Regulations, Decisions and Directives, and other international commitments and obligations, except in cases of gold-plating	Ofgem published 36 measures to reflect changes in EU regulations and did not include gold plating. Most of these documents related to the Renewable Energy Guarantees of Origin which is derived from Renewable Electricity Directive (RED), and to reflect the changes to Capacity Allocation and Congestion Management Regulation (CACM). Other publications reflected changes to European Electricity Balancing Guidelines, changes to the Regulation on Energy Market Integrity and Transparency (REMIT) and changes as a result of the European Third Energy Package.
Regulatory provisions that are intended to deliver – or to replicate – better competition-based outcomes in markets characterised by market power	Ofgem published a total of 67 measures relating to regulatory provisions that are intended to deliver - or to replicate - better competition-based outcomes in an energy market characterised by market power. These included matters such as the Competition in Connections Code of Practice, Competition and Market Authority Remedies, Modifications to SLC 14 and 15 and Offshore Transmission Owners and RIIO price controls.
Fines and Penalties	Ofgem published 6 measures relating to fines and penalties.
Regulator casework including specific	Ofgem published 267 measures regarding specific investigation and specific enforcement activity, and individual licence decisions. The majority of these documents related to the applications for,

Office of Gas and Electricity Markets (Ofgem)	
Exclusion category	Summary of activity
investigation and enforcement activity, individual licence decisions, and individual advice	notice of, or revocation of individual licences. Other documents related to regulatory activities such as specific investigations or specific approval of individual charging and service statements and methodologies.
Education, communications activities, and promotional campaigns by regulators	Ofgem published 71 measures which were educational and did not create new regulatory standards that businesses would be expected to follow.
Policy development by regulators, including formal and informal consultations, policy reviews, and ad hoc information requests	Ofgem published 115 measures regarding its own policy development such as formal and informal consultations and ad hoc information requests.

Office of Road and Rail (ORR)	
Exclusion category	Summary of activity
Regulatory provisions that have been certified by departments or regulators as falling under the <i>de minimis</i> rule, namely those that have an EANDCB of less than ± £5 million	<ul style="list-style-type: none"> • Transfer of responsibility for certification of Entities in Charge of Maintenance (ECMs) from ORR to accredited certification bodies (May 2018). • Review of ORR’s guidance on Railways and other Guided Transport Systems (safety) Regulations (ROGs) (May 2018). • Review of ORR’s published Railway Safety Regulations exemptions policy and process for handling requests for exemptions from the regulations (March 2019). • Review of ORR driver licensing processes and guidance, implementing Post Implementation Review (PIR) (December 2018). • Publication of revised strategic risk chapter on tramways (possibly encompassing all light rail) supported by reviewed supervision approach (December 2018). • Publication of revised strategic risk chapter on heritage and charter operations supported by reviewed supervision approach (end 2018). • Improvements to Level Crossing Order process including updated guidance document for ORR staff and industry on the process to be followed for compliance with Level Crossings Act 1983 applications for new or amended level crossing orders (end 2018). • ORR guidance: Investing in the railway network: securing access – a consolidation of the existing guidance and policy about the options available to those who want to invest in the network (January 2018). • Review of ORR’s Freight Facility Access General Approval (February 2018). • A minor update of existing ORR guidance from 2011 on freight track access contracts, reflecting legal changes and wider policy changes which have already been consulted on and then implemented (March 2018).

Office of Road and Rail (ORR)	
Exclusion category	Summary of activity
	<ul style="list-style-type: none"> • A review of Complaints Handling Procedures (CHP) to facilitate the introduction of an ombudsman scheme in rail. This will include modification of the CHP licence condition to require membership (September 2017). • Research and consultation published to improve arrangements for passengers needing assistance to travel (November 2017). • Review of Disabled Persons Protection Policy (DPPP) guidance (November 2017). • Research on National Rail Conditions of Travel and publication of next steps (March 2018).
Regulatory provisions that implement new or changed obligations from European Union Regulations, Decisions and Directives, and other international commitments and obligations, except in cases of gold-plating	<ul style="list-style-type: none"> • Update to ORR’s Guidance on Fitness to take into account updated medical requirements from EU Directive on train drivers (December 2017). • Review of the industry’s exemption from asbestos removal requirements under REACH regulations (December 2018). (REACH is a European regulation that deals with the registration, evaluation, authorisation and restrictions of chemicals).
Regulator casework including specific investigation and enforcement activity, individual licence decisions, and individual advice	<p>The following casework covers period 1 April 2017 – 20 June 2018:</p> <ul style="list-style-type: none"> • Licensing: ORR issued licences to 3 operators of railway assets; ORR granted licence exemptions to 12 operators of railway assets; and ORR revoked 8 licences/exemptions. • Stations and depots: ORR gave its specific approval to the following – 40 new agreements, 78 amending agreements. ORR ratified the closure of one station.

Office of Road and Rail (ORR)	
Exclusion category	Summary of activity
	<p>Track Access: ORR approved several new track access contracts and amendments to existing contracts, which facilitate access to the rail network:</p> <ul style="list-style-type: none"> • Framework agreements of Train Operating Companies (TOCs) and Freight Operating Companies (FOCs) with Network Rail: <ul style="list-style-type: none"> ○ Specific approvals: 111 and Notices of consent: 28 • Connection contracts, where networks between different parties meet: Specific: 7 cases • Facility access contracts between TOCs/FOCs and facility owners: Specific: 3 cases • Parties were also able to use General Approvals for a number of other contracts. • ORR made decisions on two appeals under Part M of the Network Code – concerning disputes between industry parties.

Office for Product Safety and Standards (“Safety and Standards”)	
Exclusion category	Summary of activity
Regulatory provisions that have been certified by departments or regulators as falling under the <i>de minimis</i> rule, namely those that have an EANDCB of less than ± £5 million	<p>Education, communications and promotion:</p> <p>As well as maintaining its ongoing programme of communication and awareness raising, Safety and Standards made the following changes in this reporting year:</p> <ul style="list-style-type: none"> • Establishment of a Timber Expert Panel, piloting improved ways of engaging at a sectoral level • Publication of an EU Timber Regulations due diligence checklist to improve clarity for businesses on the focus of inspections • Simplification of the published Forest Law Enforcement, Governance and Trade (FLEGT) verification form to streamline applications for importers • Improvements to the published Heat Networks notification template to facilitate the notification process <p>Changes to management of regulator</p> <p>The Office for Product Safety and Standards was created in January 2018, combining all the functions carried out by the former Regulatory Delivery Directorate of BEIS with a new responsibility to improve national capacity for product safety regulation. The Office is building its capacity while it delivers support and advice for local authority Trading Standards teams on product safety, and co-ordinates product safety across local authorities where action is needed on a national scale. A new strategy for Product Safety will be published shortly.</p> <p>Activity related to Policy Development</p> <p>As well as its direct policy responsibilities (which have been covered separately as part of BEIS’ return), Safety and Standards acts as a regulator in a number of separate technical and environmental areas such as Ecodesign, Energy Labelling, the Restriction on Hazardous Substances (RoHS) and FLEGT. It’s enforcement teams work closely with the policy leads on these areas based elsewhere in BEIS or in other Government Departments, to ensure that the</p>

Office for Product Safety and Standards (“Safety and Standards”)	
Exclusion category	Summary of activity
	<p>need for effective and proportionate enforcement is considered in future policy making including in relation to the potential implications of EU Exit.</p> <p>Other</p> <p>Safety and Standards have introduced a number of regulatory measures with a business impact of less than £5 million:</p> <ul style="list-style-type: none"> • Refined approach to the RoHS notification process, with a more effective notification template and a provision to pass the details on to all other relevant Market Surveillance Authorities, removing the need for businesses to make multiple notifications. • Pilot of an engagement and systems assessment model to Ecodesign and Energy Labelling Regulations, which facilitates communication, recognition of compliance and better-informed market surveillance. • Shift in the focus of Waste Electrical and Electronic Equipment (WEEE) and Battery Take Back enforcement away from store level inspections • Introduction of checks on businesses that end their participation in compliance schemes in relation to WEEE.

Office for Standards in Education, Children’s Services and Skills (Ofsted)	
Exclusion category	Summary of activity
Regulatory provisions that have been certified by departments or regulators as falling under the <i>de minimis</i> rule, namely those that have an EANDCB of less than ± £5 million	<p>Limited revisions/clarifications/ updates to the following guidance:</p> <ul style="list-style-type: none"> • Non-association independent schools inspections handbook (April 2018) • Handbook for additional inspections of independent schools (April 2018) • Early years inspection handbook (April 2018) • Early years compliance handbook (May 2018) <p>Relevant changes that took place during this period are:</p> <ul style="list-style-type: none"> • notification to early years providers and non-association independent schools of Ofsted privacy notices for purposes of general data protection requirements (GDPR) • ceasing of issuing of initial warning notice • introduction of checking of company secretaries • reduction of the approval process for multiple providers <p>Ofsted provides information to enquirers via its general helpline. Information is also available through the Ofsted website.</p>

Office of the Immigration Services Commissioner (OISC)	
Exclusion category	Summary of activity
Regulatory provisions that have been certified by departments or regulators as falling under the <i>de minimis</i> rule, namely those that have an EANDCB of less than ± £5 million	<p>The OISC produced a new Guidance on Competence following the introduction of the new Code of Standards in 2016. The impact to business of this regulatory provision is less than the £5m qualifying target.</p> <p>The OISC made an amendment to the application process for new advisers with the removal of pass-porting through OISC assessments of applications holding IAAS accreditation. The impact to business of this regulatory provision is less than the £5m qualifying target.</p>
Regulator casework including specific investigation and enforcement activity, individual licence decisions, and individual advice	<p>The OISC carries out 350 audits per year (1 April – 31 March). There were 5 prosecutions and 80 appealable decisions during the period 1 April 2017 – 31 March 2018.</p> <p>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 activities, and promotional campaigns by regulators	<p>During this period there have been 9 seminars held on various aspects of complying with OISC Codes; 2 Guidance documents produced and 3 OISC Newsletters published.</p> <p>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>

Ofqual	
Exclusion category	Summary of activity
Regulatory provisions that have been certified by departments or regulators as falling under the <i>de minimis</i> rule, namely those that have an EANDCB of less than ± £5 million	<p>Ofqual introduced an additional ground of appeal for GCSE, A and AS level qualifications following a pilot. Cost to awarding organisations (AOs) estimated at £250k pa.</p> <p>Ofqual introduced a new audit process following a pilot which has resulted in AOs receiving more meaningful audit reports. Based on early analysis Ofqual estimates the cost impact to AOs audited in 2017/18 to be in the region of £22k.</p> <p>As part of Ofqual’s review of legacy regulatory documentation, Ofqual:</p> <ul style="list-style-type: none"> • withdrew the Code of Practice for Principal learning and Diploma qualifications. • withdrew the Code of Practice for Project qualifications and introduced new Conditions and Guidance. One off cost to AOs estimated at £9k and annual cost estimated at £5k. <p>Ofqual amended rules for Advanced Extension Awards in light of A-level reform. New Conditions and Guidance reflect existing provisions and will apply to qualifications awarded after 1 September 2018. Impact on a single AO affected is <£1k.</p> <p>Ofqual made minor changes to some of its organisational processes, which resulted in little to no cost impact on AOs; this included Ofqual’s Examination Procedures Review Service, complaints and investigation procedures.</p> <p>Ofqual made changes to assessment in GCSE Computer Science to address evidence that the rules for the non-exam assessment were not in all cases being met. Savings to AOs estimated of £150k in 2018 and £350k in 2019.</p> <p>Ofqual developed the functionality of its IT system for gathering regulated qualification data from AOs (AO Portal) to enable more activities to be handled, including Event Notifications, annual Statement of Compliance and communications. Ofqual anticipate the changes will deliver a small saving to AOs.</p>

Ofqual	
Exclusion category	Summary of activity
Regulator casework including specific investigation and enforcement activity, individual licence decisions, and individual advice	<p>Ofqual can report the following enforcement activity:</p> <ul style="list-style-type: none"> • 3 Notices of a Monetary Penalty (£30,000, £125,000 & £50,000), issued with Notices of Cost Recovery (£10,000, £5,842 & £50,000). • 1 Direction to an AO to take specific action • 10 Undertakings by AOs, accepted by Ofqual, setting out action they will take to ensure ongoing compliance with the General Conditions of Recognition • 5 Special Conditions imposed • 1 withdrawal of recognition <p>Ofqual received over 100 applications or enquiries to the Exam Procedures Review Service (EPRS) during the period. 7 completed applications required a substantive response from the AO before the case could be concluded. One EPRS hearing was conducted.</p> <p>In 2017/18 Ofqual completed a number of audits, investigations and recognition application decisions. Ofqual also investigated a number of complaints about AOs and whistleblowing cases. Details of this operational activity will be published in the Ofqual Annual Report and Accounts 2017-2018.</p> <p>Ofqual made approximately 35 requests for data/information from AOs (including formal requests) to inform casework activity. This excludes:</p> <ul style="list-style-type: none"> • requests made as part of the audits/investigations/enforcement activity reported above and • requests relating to the policy development activity listed below.
Education, communications activities, and	Ofqual regularly communicate with AOs to keep them informed of existing and proposed regulatory requirements and for transparency purposes. Ofqual does this through stakeholder events and

Ofqual	
Exclusion category	Summary of activity
promotional campaigns by regulators	<p>workshops, and also via a range of media activities including Portal articles, Responsible Officer letters, publications and guidance on the Ofqual website.</p> <p>Ofqual held its annual AO conference where it met with the regulated qualifications community to engage on key topics. Ofqual also issued a survey to seek views about how it could improve its communication with AOs.</p> <p>The key areas of regulation Ofqual communicated about included:</p> <ul style="list-style-type: none"> • Total Qualification Time (TQT) - Ofqual produced information to assist AOs to understand Ofqual’s requirements. • Event Notifications – Ofqual provided information to help AOs understand what events they should report to Ofqual and when. • Making clear which qualifications Ofqual regulates – Ofqual issued communications to make it clear which qualifications Ofqual regulates. • Gathering information from regulated AOs – Ofqual published a statement explaining how Ofqual gathers information from AOs for regulatory purposes. • Centre Controls and moderation – Ofqual issued communications to AOs and a call for evidence on assuring quality of centre-based assessment judgements. • Regulation of apprenticeship end-point assessments - Ofqual issued a communication setting out Ofqual’s approach to the regulation of end-point assessments. • Logo requirements – Ofqual published a document with Qualifications Wales (QW) and the Council for the Curriculum, Examinations and Assessment (CCEA) explaining when AOs should use the logo of each regulator on certificates.

Ofqual	
Exclusion category	Summary of activity
Policy development by regulators, including formal and informal consultations	<p>Consultations:</p> <p>Ofqual formally consulted on proposals to implement regulatory changes. These are listed below:</p> <ul style="list-style-type: none"> • Reforming Functional Skills qualifications in English and mathematics. • Assessment arrangements for GCSE computer science. • Regulating apprenticeship end-point assessments. • Teacher involvement in the development of confidential assessment materials. • Regulating Advanced Extension Awards. <p>Ofqual issued a letter to AOs seeking feedback on proposed changes to the list of qualification types available in the Portal, visible on the Register and against which Ofqual publicly report.</p> <p>Research activity:</p> <p>Ofqual have undertaken research in the following areas which has involved engagement with/ requests for information from AOs:</p> <ul style="list-style-type: none"> • Quality of marking • Moderation • GCSE Maths problem-solving • Inter-subject comparability • A level Science practical skills • Approach to grading a specific qualification

Ofqual	
Exclusion category	Summary of activity
	<ul style="list-style-type: none">• Improving awarding• Summer awarding monitoring• Applied Generals and Tech Levels• Appeals review• Evaluation of Reform• National Reference Test

Offshore Petroleum Regulator Environment and Decommissioning (OPRED)	
Exclusion category	Summary of activity
Regulatory provisions concerning fines and penalties, and redress and restitution	OPRED has issued three enforcement notices (two under the Offshore Petroleum Activities (Oil Pollution Prevention and Control) Regulations 2005 and one under the Offshore Chemical Regulations 2002). Two cases were referred to the relevant prosecuting authorities. Five civil penalties under the Greenhouse Gas Emissions Trading Scheme Regulations 2012 were issued and paid in full (totalling £91,455). The number of enforcement notices and civil penalties issued were broadly similar to those of previous years.
Regulator casework including specific investigation and enforcement activity, individual licence decisions, and individual advice	Twelve Decommissioning Programmes for offshore oil and gas installations and pipelines under Section 29 of the Petroleum Act 1998 have been approved. OPRED have also supported the execution of a further twenty-one projects and secured nine financial security agreements. No activities listed represent a change in the burden of regulation placed on business.
Education, communications activities, and promotional campaigns by regulators	Updated Guidance document on The Merchant Shipping (Oil Pollution Preparedness, Response and Co-operation Convention) Regulations 1998 was published in October 2017. The guidance was updated to explain the new streamlined administrative arrangements for submission, review and approval of Oil Pollution Emergency Plans via an electronic portal system rather than hard copy and CD submission. The portal is based on the existing portal used by oil and gas operators for submission of applications for environmental permits so is familiar to industry and does not introduce any regulatory requirements. Other than some initial familiarisation and set-up costs OPRED expect this new process to realise some industry savings – early industry roll-out feedback is in line with OPRED’s expectations. This change will also save OPRED administrative time in handling the documentation and communications.

Offshore Petroleum Regulator Environment and Decommissioning (OPRED)	
Exclusion category	Summary of activity
	<p>Updated Guidance document on decommissioning of offshore oil and gas installations and pipelines was published in May 2018. Guidance Notes have been available since the late 1990s, being routinely updated to reflect learning and changing legislation. Following engagement with industry and stakeholders in 2016/17 the guidance notes have been updated to reflect the Energy Act 2016, and the establishment of the Oil and Gas Authority (OGA) and its role in assessing decommissioning costs. The guidance notes signpost industry to the OGA, who in turn have their own requirements for industry. The guidance notes have also been amended to reflect the knowledge and learning gained by regulators and industry in planning, preparing and executing a decommissioning programme. These amendments have clarified existing requirements with the aim of reducing, rather than adding additional tasks for industry and government. This is expected to save time in the regulatory process.</p> <p>OPRED participates in regular meetings with Oil & Gas UK (OGUK), the industry representative body. The OGUK Environment Forum meetings are attended by environmental representatives of virtually all the active offshore operators. OPRED also participates in the technical working groups set up by OGUK to discuss specific areas of interest.</p> <p>OPRED established an Industry Forum in July 2017 with representatives from a range of oil and gas companies to hear directly any of the industry concerns as well as advise of forthcoming regulatory activities.</p> <p>OPRED has presented at two industry conferences on operational and environmental matters and two conferences on decommissioning as well as giving numerous presentations to operators and other stakeholders throughout the period.</p>

Offshore Petroleum Regulator Environment and Decommissioning (OPRED)	
Exclusion category	Summary of activity
Policy development by regulators, including formal and informal consultations, policy reviews, and ad hoc information requests	<p>A four-week public consultation was carried out in February/March 2017 which outlined the legislative proposals for transposing the amended EIA Directive. Responses were analysed and informed policy decisions for bringing the Offshore Petroleum Production and Pipe-lines (EIA) (Amendment) Regulations 2017 into force on 16 May 2017 (included in Business Impact Target reporting for 2015-2017). BEIS's response to the consultation was published - simultaneously with those of other Departments which had to transpose the amended EIA Directive - in December 2017.</p> <p>A four-week public consultation was carried out in September / October 2017 which outlined the policy proposals to transpose the obligations of the Medium Combustion Plant Directive (2015/2193/EU) and Chapter III of the Industrial Emissions Directive (2010/75/EU) and asked for additional cost data. Responses to the consultation were analysed and informed the policy decisions for introducing the PPC (Amendment) Regulations 2018 during June or July 2018.</p>

The Oil and Gas Authority (OGA)	
Exclusion category	Summary of activity
Regulatory provisions that have been certified by departments or regulators as falling under the <i>de minimis</i> rule, namely those that have an EANDCB of less than ± £5 million	<p>The OGA published six guidance documents:</p> <ul style="list-style-type: none"> • OGA Asset Stewardship Expectations Stewardship Review and Implementation Guidance to aid industry understand the OGA’s tiered stewardship review process and MER UK Strategy obligations. • Guidance on Information and Samples Plans and the role of Information and Samples Coordinators • Guidance on the development and use of Area Plans • Guidance on the management of offshore licence work programme commitments to give industry direction on the approach the OGA will usually take in considering and agreeing with a licensee an alternative work programme. • Supply Chain Action Plans Guidance to aid operators derive added value from the UK Continental Shelf projects through more effective relationships with their supporting supply chain • Revised guidance on the OGA Meetings Statutory Notice <p>The OGA published one strategy document concerning the Southern North Sea (SNS) Tight Gas Strategy which gives a structure and framework to find and disseminate best practice in the SNS area.</p> <p>The OGA published 11 reports:</p> <ul style="list-style-type: none"> • Polymer Enhanced Oil Recovery Report on a set of key industry lessons learnt to help inform other operators in the UKCS who are considering polymer Enhanced Oil Recovery. • Southern North Sea Tight Gas Stimulation Document to help industry efficiently conduct the stimulation of tight gas reservoirs in the UK Southern North Sea. • Southern North Sea Salting Study to quantify the impact of salt deposition on production losses and the effectiveness of current treatment options and methods of mitigation. • UKCS Production Efficiency in 2016 • Technology Delivery Programme setting out the actions being taken forward in 2017-2018. • Analysis of UKCS Operating Costs in 2016

The Oil and Gas Authority (OGA)	
Exclusion category	Summary of activity
	<ul style="list-style-type: none"> • UKCS Decommissioning Cost Estimate Report 2017 giving the current cost estimate for offshore oil and gas decommissioning in the UK Continental Shelf. • Recovery Factor Benchmarking Report giving an estimate of the current expected recovery factor for UKCS oil fields and highlights the ongoing work the OGA is undertaking with industry to show how recovery can be increased. • Projections of UK Oil and Gas Production and Expenditure between 2016 and 2050. • Technology Insights Report giving insight into company’s technology portfolios and their strategies to access technologies. • UK Oil and Gas Reserves and Resources - End 2016 <p>The OGA issued 3 consultation documents:</p> <ul style="list-style-type: none"> • Consultation on the proposed regulations for the ‘Retention and Disclosure of Information and Samples’ • Consultation on an increase to the OGA Levy to fund the UK Oil and Gas National Data Repository • Consultation on the approach to deciding a ‘satisfactory expected commercial return’ in the MER UK Strategy <p>The OGA approved:</p> <ul style="list-style-type: none"> • 5 Field Development Plans / Addendum • There were 9 sanctions / disputes resolved without formal intervention. 6 sanctions / disputes cases processes started. There were no formal sanctions taken. • 1467 Field consents (including production, venting, and flaring) were issued. • 302 Pipeline works authorisations and associated consents were issued. • 172 offshore license events including relinquishment, transfer and termination took place. • 23 onshore licences events including relinquishment, transfer and termination took place.

Payment Systems Regulator (PSR)	
Exclusion category	Summary of activity
Regulatory provisions that implement new or changed obligations from European Union Regulations, Decisions and Directives, and other international commitments and obligations, except in cases of gold-plating	PSR implemented its approach to the EU Second Payments Services Directive (PSD2). HM Treasury transposed PSD2 into UK legislation in the Payment Services Regulations 2017 (PSRs 2017). PSR has implemented its approach to the parts of the regulations for which it is the competent authority.
Regulatory provisions that are intended to deliver – or to replicate – better competition-based outcomes in markets characterised by market power	<p>To promote effective competition in the markets for payment systems and services, PSR introduced measures to improve access to payment systems; competition in the provision of central infrastructure services for these systems; and the conditions for switching Direct Debit Facilities Management provider:</p> <ul style="list-style-type: none"> • Following the market review into the ownership and competitiveness of central payment systems infrastructure provision, PSR implemented two remedies requiring relevant payment system operators: (i) to undertake a competitive procurement process of future central infrastructure contracts and; (ii) to adopt a common international messaging standard for Bacs and Faster Payments to make it easier for new entrants to access payment systems. • PSR issued Specific direction 7 relating to Direct Debit Facilities Management: Switching Providers. The purpose of the direction is to ensure that Facilities Management service providers that wish to do so can use the Bacs ‘bulk change process’ to help clients who wish to switch to another provider.

Payment Systems Regulator (PSR)	
Exclusion category	Summary of activity
Regulator casework including specific investigation and enforcement activity	<p>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>PSR investigated Cheque & Credit Clearing Company for a failure to comply with General Direction 6 and issued a public censure.</p> <p>PSR initiated an investigation into LINK’s role in relation to the widespread free-to-use ATM network in UK.</p> <p>As part of PSR’s work on monitoring the development of the New Payment System Operator (NPSO) including delivery of the New Payments Architecture (NPA), PSR set out its expectations for the NPSO’s work in 2018 in an open letter.</p> <p>As lead competent authority for monitoring of the EU Interchange Fee Regulation (IFR) in UK, PSR has been proactive in monitoring compliance. This included requiring schemes, and a subset of issuers and acquirers, to provide information on their compliance with the caps and several of the business rules.</p> <p>In addition, PSR have received and handled applications under Financial Services (Banking Reform) Act 2013, complaints under PSRs 2017 and opened a Competition Act 1998 investigation.</p>
Education, communications activities, and promotional campaigns by regulators	<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.</p>

Payment Systems Regulator (PSR)	
Exclusion category	Summary of activity
Policy development by regulators, including formal and informal consultations, policy reviews, and ad hoc information requests	<p>PSR undertook several consultations related to policy development. Including consulting on the development of a contingent reimbursement model to better protect people from authorised push payment (APP) scams and consulting on the work on reviewing the PSR Directions made in 2015.</p> <p>Additionally, PSR undertook policy scoping work in a number of areas, which have not imposed direct costs on business.</p>

The Pensions Regulator (TPR)	
Exclusion category	Summary of activity
Regulatory provisions that have been certified by departments or regulators as falling under the <i>de minimis</i> rule, namely those that have an EANDCB of less than ± £5 million	<p>Changes to the Declaration of Compliance Portal</p> <p>All employers must submit a declaration of compliance online to let TPR know how they have complied with their duties under the Pensions Act 2008.</p> <p>From 1 April 2018 TPR changed the login system to the declaration of compliance portal. Previously, employers needed to generate a Government Gateway ID. Now they are only required to enter the PAYE scheme reference they use to pay National Insurance Contributions and income tax, and the letter code that is in the letter that TPR sends to all employers to let them know of their duties under the legislation.</p> <p>This change streamlines the process for submitting the Declaration of Compliance and, while it will save some time, TPR has assessed it as minimal due to the very small amount of time that employers will gain by not having to generate a Government Gateway ID. TPR estimates that this measure will save employers around 5 minutes, compared to the previous process of generating a Government ID. The total number of employers in the UK that are subject to the duties is estimated to be around 1.35million. An employer must re-declare compliance with TPR every three years but not all employers are under the same three-year cycle due to the fact that automatic enrolment has been rolled out in stages since October 2012. This means that a number of employers will be logging in each year. Assuming around 405,000 employers per year will be login in to the Declaration of Compliance portal, the EANCB is a savings of approximately £1.1million. For this figure, a senior manager salary (with overheads) of £33.4 per hour and time saving per manager of 5 minutes were used.</p>

The Pensions Regulator (TPR)	
Exclusion category	Summary of activity
Regulatory provisions concerning fines and penalties, and redress and restitution	<p>In respect of the regulation of work-based pensions schemes during this reporting period:</p> <ul style="list-style-type: none"> • TPR issued 153 penalty notices. <p>In respect of the regulation of the automatic enrolment duties under the Pensions Act 2008:</p> <ul style="list-style-type: none"> • TPR issued 22,959 fixed penalty notices and 5,063 escalating penalty notices.
Regulator casework including specific investigation and enforcement activity, individual licence decisions, and individual advice	<p>In respect of the regulation of work-based pension schemes, casework activities in this reported period included:</p> <ul style="list-style-type: none"> • 5 inspections; • 10 reports published on cases of non-compliance under section 89 of the Pensions Act 2004; • 152 demands for information under section 72 of the Pensions Act 2004; • TPR appointed 535 trustees to pension schemes, in accordance with their powers to do so; • TPR provided 16 clearance statements. <p>In respect of the regulation of the automatic enrolment duties under the Pensions Act 2008 casework activity included:</p> <ul style="list-style-type: none"> • 51,509 compliance notices • 4,094 unpaid contributions notices • 660 inspections <p>During this reporting period a total of around 154,303 employers completed their mandatory declaration of compliance, to inform TPR how they have complied with their legal duties under the Pensions Act 2008.</p>

The Pensions Regulator (TPR)	
Exclusion category	Summary of activity
Education, communications activities and promotional campaigns by regulators	<p>During this reporting period TPR officials participated at around 300 speaking events and seminars.</p> <p>TPR carried out 11 campaigns on various topics relating to occupational scheme regulation and automatic enrolment.</p> <p>TPR sent over 1.4 million letters to around 1 million employers at different stages before and after their automatic enrolment staging date / duties start date to let them know about the requirements they must comply with under the relevant legislation.</p> <p>TPR updated their detailed guidance on automatic enrolment to reflect changes in legislation from April 2018.</p> <p>TPR updated their description of a professional trustee and associated policy to provide increased clarity to stakeholders; this was a clarification of the fining policy and did not set any additional expectations.</p> <p>In respect of both the regulation of automatic enrolment and work-based pension schemes TPR published around 96 publications.</p> <p>TPR received and processed a total of 135 complaints. TPR also received and processed a total of around 86 Freedom of information requests.</p>

The Pensions Regulator (TPR)	
Exclusion category	Summary of activity
Policy development by regulators, including formal and informal consultations, policy reviews, and ad hoc information requests	<p>TPR carried out two consultations on the new code of practice for master trusts, the joint TPR and FCA strategy and published a response to the monetary penalties policy and revised professional trustee description consultation.</p> <p>Regarding the regulation of work-based pension schemes, in this reporting period TPR:</p> <ul style="list-style-type: none"> • conducted a thematic review on value for member assessments in defined contribution pension schemes. • began a voluntary pilot relating to the winding up of orphaned occupational defined contribution schemes. A pension scheme is orphaned when it continues to hold assets but where it is no longer possible to identify either a trustee or a party with the power to appoint a trustee under the trust deed and rules. <p>carried out a total of around 7 surveys on different issues around scheme regulation and automatic enrolment.</p>

Recognised professional bodies for Insolvency Practitioners (RPBs) and Insolvency Practitioner Regulation Section (Oversight regulator)	
Exclusion category	Summary of activity
Regulatory provisions that have been certified by departments or regulators as falling under the <i>de minimis</i> rule, namely those that have an EANDCB of less than ± £5 million	<p>The Joint Insolvency Committee drafted and published 2 revised Statements of Insolvency Practice (SIPs). SIP 11 was rewritten and SIP 6 was a consolidation of SIPs 8, 10 and 12. The revisions did not introduce new regulatory standards.</p> <p>The changes to SIP 6 and 11 will lead to no new ongoing costs to business and any one-off familiarisation costs will be moderate given that there is no change in regulatory standards.</p> <p>The familiarisation costs for the more substantial changes to the SIP 16 were estimated by insolvency practitioners to be around an hour at a total cost of £0.5m. These new SIPs will have familiarisation costs that are less than the SIP 16 and so will fall within the <i>de minimis</i> threshold.</p> <p>In the last year, as a result of concerns raised through intelligence, Section 391 powers under the Insolvency Act 1986 were exercised on two occasions to compel information directly from insolvency practitioners. The costs were small enough to qualify for the <i>de minimis</i> exemption. The information request was made by the Insolvency Service in the form of a short letter to which the insolvency practitioners concerned were required to respond.</p> <p>In all, 15 insolvency practitioners were required to complete the information, taking up to 3 days to complete the information required. The daily cost of completing this work would be approximately £2,800; with up to 15 insolvency practitioners completing the work the overall cost would be well within the £5m <i>de minimis</i> threshold.</p> <p>The Recognised professional bodies for Insolvency Practitioners grant licenses to approximately 1600 insolvency practitioners each year, some appointment-taking and some non appointment-taking. Licenses must be renewed annually.</p> <p>Recognised professional bodies for Insolvency Practitioners received 308 complaints against insolvency practitioners, forwarded from the Insolvency Service gateway in 2017. These complaints were assessed, investigated (if the evidence suggested such an investigation should take place),</p>

Recognised professional bodies for Insolvency Practitioners (RPBs) and Insolvency Practitioner Regulation Section (Oversight regulator)	
Exclusion category	Summary of activity
	<p>placed before committee and possibly progressed to disciplinary action. There were 61 sanctions imposed in 2017 – these included warnings, cautions, fines, and restrictions.</p> <p>Recognised professional bodies for Insolvency Practitioners usually monitor insolvency practitioners on a three-year rotation, with more frequent visits required if the insolvency practitioner has had a previous poor report or their type of work warrants it. There were 383 monitoring visits in 2017. These usually consisted of a physical visit to the insolvency practitioner’s office and a dip sample of cases, with the insolvency practitioner receiving a copy of the report. The report and any recommended further actions are considered by a committee.</p> <p>Insolvency Practitioner Regulation Section (Oversight regulator) does consider and process some complaints about the Recognised professional bodies for Insolvency Practitioners – 15 complaints were received in 2017. The Insolvency Practitioner Regulation section monitors the Recognised professional bodies and publishes reports on their authorisations function, monitoring, complaint handling, disciplinary findings and enabling bonds and cover schedules.</p> <p>Insolvency Practitioner Regulation Section publishes a number of documents each year including the Annual Review of IP Regulation, all monitoring visits to the RPBs, ‘Dear IP’ and sanctions against insolvency practitioners imposed by the RPBs. In addition, in 2017, updated guidance for RPBs on monitoring of Volume IVA providers and a Review of Monitoring were published. The latter set out recommendations to RPBs after requesting initial information and attending observed monitoring visits with the RPBs to understand their procedures.</p>

Regulator of Community Interest Companies (CIC)	
Exclusion category	Summary of activity
Regulatory provisions that have been certified by departments or regulators as falling under the <i>de minimis</i> rule, namely those that have an EANDCB of less than ± £5 million	<p>Casework</p> <p>Yearly statistics are published in the CIC Regulators Annual report, which is laid before Parliament each July.</p> <p>Number of CICs currently on the public Register: Approximately 14,250.</p> <p>CICs Registered during this period: Apr 2017 – Mar 2018 = 2,844</p> <p>Complaints handled about CICs during this period: Apr 2017 – Mar 2018 = 45</p> <p>CICs which Ceased Trading during this period: Apr 2017 – Mar 2018 = 1,631</p> <p>Education, communications and promotion</p> <p>The CIC Regulator is committed to raising awareness of CICs through promotion, primarily through digital engagement and this is already ahead of schedule - fortnightly blogs showcasing high profile CICs across a wide range of businesses has been very positively received. Additionally, the CIC Regulator’s Twitter following has reached more than 1,800 – it is well ahead of the Regulators end of year target and a very active account. CIC will be looking to further utilise digitalisation more effectively – through webinars and other online communication tools.</p> <p>Activity Related to Policy Development</p>

Regulator of Community Interest Companies (CIC)	
Exclusion category	Summary of activity
	The CIC Regulator is developing online filing options for CICs to make processes more efficient and develop better service level delivery times through new efficiencies in existing processing procedures.

The Regulator of Social Housing	
Exclusion category	Summary of activity
Regulatory provisions that have been certified by departments or regulators as falling under the <i>de minimis</i> rule, namely those that have an EANDCB of less than ± £5 million	<p>Changes to the Regulator of Social Housing (RSH)'s Value for Money standard, and introduction of a Code of Practice on Value for Money in April 2018</p> <p>The Business Engagement Assessment assessed the overall impact of the change on providers as minimal. The biggest change withdrew the requirement to produce a lengthy narrative self-assessment and replaced this with a requirement to report in the annual accounts against a defined set of metrics.</p> <p>Revision of guidance (<i>Regulating the Standards</i>) on 1 April 2018 to reflect the changes brought in by the VFM standard</p> <p>This change to <i>Regulating the Standards</i> was brought about principally due to the introduction of the new VFM Standard.</p> <p>There is no additional regulatory impact on providers from the revision of <i>Regulating the Standards</i> and as such the changes are cost neutral.</p> <p>Changes to Data submission requirements on registered providers of social housing</p> <p>Every year the regulator reviews the data it needs to collect and makes adjustments to it.</p> <p>These changes are a net minimal addition to the SDR as a whole and will reduce the need for further regulatory engagement.</p> <p>Casework</p> <p>Over the period 1 April 2017 to 31 March 2018 The Regulator for Social Housing have dealt with 540 cases. Of these 205 have resulted in a detailed assessment of the merits of the case which led to 69 investigation taking place.</p> <p>Education, communications and promotion</p> <p>Various publications have made available on GOV.UK including:</p>

The Regulator of Social Housing	
Exclusion category	Summary of activity
	<ul style="list-style-type: none"> • quarterly surveys • global accounts for the social housing sector • sector risk profile • statistical data returns • unit costs information • Consumer Regulation Review <p>Most of these publications are factual in nature and does not create a new regulatory standard that businesses will be expected to follow.</p> <p>Activity related to policy development Statutory consultations have been published and sent to stakeholders on:</p> <ul style="list-style-type: none"> • The revised Value for Money Standard <p>Publication of consultation outcomes have been published on:</p> <ul style="list-style-type: none"> • the Value for Money Standard

Rural Payments Agency (RPA)	
Exclusion category	Summary of activity
Regulatory provisions that implement new or changed obligations from European Union Regulations, Decisions and Directives, and other international commitments and obligations, except in cases of gold-plating	<p>The RPA implemented the following measures during the reporting period which fall into the excluded category of EU regulation.</p> <p>Mandatory changes to rules for the Basic Payment scheme on Active Farmer and greening requirements via changes to the delegated EU regulations through the Omnibus regulation. Scheme guidance updated in line with the new requirements for 2018. This is a change as a result of changes to EU regulation.</p> <p>In relation to cross-compliance the following changes were made:</p> <p>1- SMR 7 and SMR 8 (Cattle and sheep & goat ID)</p> <p>i. Implement 20% threshold for single missing ear tags and apply penalties to farmers above this threshold.</p> <p>ii. Implement process for determining whether farmers at or below the threshold have not replaced missing tags within 28 days of noticing loss and apply penalties if not.</p> <p>2 - SMR 7 (Cattle ID)</p> <p>i Use Cattle Tracing System data from the start of the calendar year to the date of inspection to determine the number of historic late cattle birth, movement and death notifications and include discrepancies found in the penalty calculation.</p> <p>ii. Implement the Commission's 'Human Error Approach' to exempt 'good' farmers with small numbers of notification deadline breaches from cross compliance sanctions.</p> <p>3 - GAEC 5 (Soil erosion)</p> <p>Implement a policy that correctly reflects the requirement in European legislation (i.e. assess compliance by determining whether farmers have put in place site-specific measures to limit erosion, rather than assess compliance on whether erosion has occurred).</p>

Rural Payments Agency (RPA)	
Exclusion category	Summary of activity
	<p>4 - SMR 7 and SMR 8 (Cattle and sheep & goat ID)</p> <p>To ensure the respective inspection selections include a minimum of 3% of keepers who also claim subsidy payments.</p> <p>All of these changes were made following a DG Agri audit of cross compliance to ensure that the regulations were being implemented correctly in England.</p> <p>In addition, RPA published new guidance on a range of schemes administered under the Rural Development Programme for England including:</p> <p>Growth Programme – Business Development Handbook</p> <p>Growth Programme – Food Processing Handbook</p> <p>Growth Programme – Rural Tourism Infrastructure Handbook</p> <p>Countryside Productivity – Improving Farm Productivity</p> <p>Countryside Productivity – Adding value to Agri-food Handbook</p> <p>Countryside Productivity – Small Grant Scheme</p> <p>These are all schemes administered under EU regulation so fall into this exempted category.</p>

Rural Payments Agency (RPA)	
Exclusion category	Summary of activity
Regulatory provisions that have been certified by departments or regulators as falling under the <i>de minimis</i> rule, namely those that have an EANDCB of less than ± £5 million	<p>The RPA implemented the following measures during the reporting period which have an EANDCB within the £5 million de minimis threshold.</p> <p>Liability in cross compliance.</p> <p>Changes RPA’s policy on liability in cross compliance so that claimants are no longer held vicariously liable for the actions of their employees. Instead, RPA should treat them in the same way as it does third parties i.e. RPA should assess the state of mind of the claimant in respect of the selection of the employee and the instructions, controls and monitoring thereon. This policy change is a consequence of a Judicial Review. RPA are currently updating the relevant guidance to reflect this decision</p>

Security Industry Authority (SIA)	
Exclusion category	Summary of activity
Regulatory provisions that have been certified by departments or regulators as falling under the <i>de minimis</i> rule, namely those that have an EANDCB of less than ± £5 million	<p>Get Licensed [licensing criteria]</p> <p>A revised version of Get Licensed was published in March 2018. Analysis suggests that these changes will result in a reduction in the time it takes a licence holder to read all of Get Licensed of 20-30 minutes.</p> <p>Civil Emergencies</p> <p>The SIA organised 20 Project Griffin counter terrorism awareness training events, involving 400 security operatives, between August and September 2017.</p> <p>Fines and penalties</p> <p>In the year to 30 April 2018, the SIA completed 7 prosecutions of businesses. During the same period, the SIA prosecuted 21 individuals.</p> <p>Case work</p> <p>As of 1 March 2018, the SIA is working on the following numbers of cases:</p> <p>Compliance Cases (lowest risk) – 44</p> <p>Intervention Cases – 280</p> <p>Criminal Investigations – 42</p> <p>Education, communications and promotion</p> <p>The SIA held a stakeholder conference in March 2018 which was attended by 120 people. It was charged below cost and a small number of places were made available for free.</p> <p>The SIA sends out monthly e-newsletters “SIA Update” and a monthly “ACS Update” to Approved Contractors. The SIA is active on Facebook, Twitter and LinkedIn.</p>

Security Industry Authority (SIA)	
Exclusion category	Summary of activity
	<p>SIA regional teams work on an ongoing basis with the police, agency partners and charities on a variety of key awareness-raising initiatives, including Child Sexual Exploitation (CSE) and violence reduction.</p> <p>The SIA launched the leaflets Safer Physical Intervention for Door Supervisors and a Guide to Safer Restraint factsheet.</p> <p>The SIA published a guide to buying private security.</p> <p>Policy Development</p> <p>At the time of writing, the SIA was in the process of concluding development of a new policy on when it will or will give endorsements for products produced by outside parties.</p>

Sports Ground Safety Authority (SGSA)	
Exclusion category	Summary of activity
Regulatory provisions that have been certified by departments or regulators as falling under the <i>de minimis</i> rule, namely those that have an EANDCB of less than ± £5 million	<p>SGSA published its response to a “Joint Consultation” in October 2017. This confirmed both the legal interpretation of safety with respect to the relevant legislation and the SGSA’s Oversight and Licensing Policy. This response was accompanied by a suite of short guidance notes aimed at both business and local authorities. Following the responses to the consultation the direct impacts on business of the wider understanding of safety was assessed as below the <i>de minimis</i> threshold, with most of the (still <i>de minimis</i>) impact falling on local authorities.</p> <p>The SGSA’s Oversight and Licensing Policy was an articulation of the SGSA’s approach to its regulatory role, many of which are explicitly or implicitly highlighted in existing SGSA publications. There were no explicit measures included other than a change to the information required in the Licence Application forms from the 94 sports grounds that the SGSA licenses. This updated application form was predominantly an amalgam of the previous application form, the annual club record and additional governance questions highlighted in the SGSA’s Joint Consultation. The direct impacts on business (the 94 sports grounds) are therefore <i>de minimis</i> and will reduce even further once the new form is embedded.</p>
Regulator casework including specific investigation and enforcement activity, individual licence decisions, and individual advice	<p>SGSA issued 93 annual licenses in June 2017, none of which contained specific licence changes. The only variation in respect to a licence was in respect to Tottenham Hotspur’s move from White Hart Lane to Wembley Stadium in advance of their planned move to a new stadium for the 2018/19 season. This led to 93 licenses being issued rather than the usual 94.</p>

<p>Policy development by regulators, including formal and informal consultations, policy reviews, and ad hoc information requests</p>	<p>In March 2018 the SGSA published a consultation on an updated version of the 6th version of the Guide to Safety at Sports Grounds the “Green Guide”. This publication forms part of the suite of Sports Grounds and Stadia Guides produced by the SGSA and makes it clear that its contents are not definitive or applicable to all circumstances. It advocates that independent professional advice should be obtained before taking any action or refraining from any action on the basis of the information provided.</p>
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UK Space Agency	
Exclusion category	Summary of activity
Regulatory provisions that have been certified by departments or regulators as falling under the <i>de minimis</i> rule, namely those that have an EANDCB of less than ± £5 million	<p>Casework</p> <p>The UK Space Agency has granted 14 OSA licences during the reporting period. The Agency has also written to 9 space operators to check they are complying with their licence conditions. There have been no non-compliance notices issued. Apart from writing to space operators, the UK Space Agency obtains independent validation of satellite orbital location details from other sources.</p> <p>The cost of applying (and obtaining insurance) for the 14 licences detailed above is within the <i>de minimis</i> threshold. This has been calculated by estimating the time taken to complete the application paperwork and the cost of obtaining the insurance.</p> <p>Education, communications and promotion</p> <p>During the period, the UK Space Agency has developed emerging policy to streamline aspects of its in-orbit licensing regime via a traffic light licensing system and new third-party liability insurance requirements. This work culminated in a workshop with industry to test the policy framework in February 2018. Feedback from this event was invited from participants. More details are included in the ‘activity related to policy development’ section below.</p> <p>Attendance at these events was not compulsory and to date none of the material produced creates a new regulatory standard that businesses will be expected to follow. This means that none of these measures will impose additional costs to business and savings are expected in the future.</p> <p>Activity related to policy development</p> <p>The UK Space Agency has continued work to develop a ‘traffic light’ system to simplify satellite licensing under the OSA. The limited trials of certain aspects of the system that have been undertaken as part of this policy development have elicited positive feedback from industry so far. The traffic light system is designed to offer greater transparency and predictability for applicants,</p>

UK Space Agency	
Exclusion category	Summary of activity
	<p>whilst ensuring the space environment is protected and the UK continues to meet its international obligations.</p> <p>In conjunction with the traffic light system, the Agency has also developed a new ‘sliding scale’ policy for the third-party liability insurance requirements it places on operators through its licence conditions. This is designed to maintain a proportionate balance of risk between Government and operators without placing disproportionate cost on larger operators.</p> <p>These innovative approaches to licensing and insurance were presented to stakeholders at a recent workshop and were positively received. The UK Space Agency is now finalising these policies, taking feedback into account, and is expecting to implement them later in 2018.</p> <p>In addition, the UK Space Agency continued to work on the Department for Transport led Space Industry Bill, which gained Royal Assent in March 2018 and is now the Space Industry Act 2018 (SIA).</p> <p>During the next reporting period the Agency will continue to develop secondary legislation and new policy necessary to enable the Act to come into force. To help with this the Agency, together with partners, issued a call for evidence in March 2018 to inform policy development of the Act’s provisions on liability, insurance and charging.</p> <p>During the reporting period no activities listed in this section represent a change in the burden of regulation placed on business. Therefore, there is no additional cost to business.</p>

Veterinary Medicines Directorate (VMD)	
Exclusion category	Summary of activity
Regulatory provisions that have been certified by departments or regulators as falling under the <i>de minimis</i> rule, namely those that have an EANDCB of less than ± £5 million	<p>The VMD has provided information covering April 17 to March 18, these figures will be broadly similar to those from June 17 to June 18.</p> <p>The VMD issued 154 marketing authorisations for veterinary medicines, and 20 animal test certificates for clinical trials for veterinary medicines.</p> <p>The VMD issued 271 warning letters and 55 advisory letters relating to illegal veterinary medicines. The VMD also issued 12 Seizure notices, 7 Improvement notices and referred 18 cases to its investigation team for further investigation. All these cases dealing with non-compliance with the Veterinary Medicines Regulations 2013 by businesses or the general public.</p> <p>The VMD completed 281 cases relating to medicinal claims for unauthorised medicinal products.</p> <p>The VMD carried out the following inspections:</p> <ul style="list-style-type: none"> • 252 Feed Business Operators • 427 SQP retailers • 682 Vet practice premises • 51 veterinary medicines manufacturing sites • 51 veterinary medicines wholesale dealing sites <p>The VMD processed 6,898 reports of adverse events from veterinary medicines.</p> <p>The VMD issued 23,671 import certificates (certificates to authorise veterinary surgeons to import unauthorised medicines)</p> <p>The VMD issued 567 exports certificates for veterinary medicines</p> <p>The VMD took the following samples from food producing animals and their products for residues of veterinary medicines and prohibited substances:</p>

Veterinary Medicines Directorate (VMD)	
Exclusion category	Summary of activity
	<p>Samples taken – 38,419</p> <p>Non-compliant results – 196</p> <p>None of the activities listed in this section represent a change in the burden of regulation placed on business.</p> <p>Publicity events</p> <p>The VMD attended 11 events with the VMD publicity stand.</p> <p>The VMD also issued 3 editions of its enforcement newsletter to interested stakeholders which included facts and figures on enforcement work carried out.</p> <p>Attendance at educational and promotional events is not compulsory and none of the material produced creates a new regulatory standard that businesses will be expected to follow.</p> <p>The VMD is confident that all this activity falls below the de minimis threshold and is therefore out of scope of the BIT.</p>

Water Services Regulation Authority (Ofwat)	
Exclusion category	Summary of activity
Regulatory provisions that have been certified by departments or regulators as falling under the <i>de minimis</i> rule, namely those that have an EANDCB of less than ± £5 million	<p>As part of its financial monitoring framework, Ofwat sets out annual information requirements for monopoly companies to publish in their annual performance reports. They operate a variable assurance framework, where companies show that they have strong assurance and engage with their customers and stakeholders well.</p> <p>In October 2017 Ofwat published a review into how the market for New Appointments and Variations regime (NAVs) is working.</p> <p>Ofwat has also published changes to its water supply and sewerage licence (WSSL) application process, separating self-supply applications from standard WSSL applications and streamlining the process for self-supply WSSL applications.</p> <p>Ofwat’s regulatory accounting guidelines (RAGs) set out the information that companies must publish to allow Ofwat to assess company performance against their commitments and compliance with their obligations within their licences and legislation. The RAGs were amended in autumn 2017 and further changes will be consulted on from 31 May 2018.</p> <p>The Thames Tideway Tunnel is the main tunnel component in Thames Water’s preferred solution to reduce overflows of untreated combined sewage into the River Thames, in order to achieve compliance with the Urban Waste Water Treatment Directive.</p> <p>As part of its market monitoring framework Ofwat introduced a requirement for retailers to provide them with an annual data return via an excel spreadsheet covering information on their tariffs and other services. Retailers have an obligation in their licence to provide such information to the Authority.</p> <p>The Retail Exit Code sets out the principles that licensees must apply when they develop and make known the terms and conditions which apply when customers switch to receive their retail services from the licensee instead of the incumbent supplier as before.</p>

Water Services Regulation Authority (Ofwat)	
Exclusion category	Summary of activity
	<p>On 13 November 2017, Ofwat published its Code for Adoption Agreements. The Code relates to how undertakers make agreements with third party providers allowing infrastructure constructed by third parties to become part of the undertakers' networks.</p> <p>In April 2017 the business retail market for water opened. Since then, Ofwat has made minor changes to the business retail market's non-statutory codes.</p> <p>On 8 May 2018 Ofwat published guidance setting out the approach it will take when determining disputes about the price of bulk supply agreements, which are used when NAVs (companies appointed as undertakers for a new area) purchase bulk supplies of water and/or sewerage services from incumbent undertakers.</p> <p>In Ofwat's review of the significant water supply issues customers experienced in England and Wales during the freeze and thaw of February and March 2018, monopoly providers have been asked to provide information to help establish the causes of the problems, their preparedness for such occurrences, the support given to customers and communication with them during and after the incident and whether the compensation offered to those affected was fair and speedy.</p> <p>From 1 April 2018 new charging rules for connections charges for companies based wholly or mainly in England were introduced in accordance with the requirements of the Water Industry Act 91. These new rules include requirements for water and wastewater companies to provide upfront charges for connections services to household premises.</p>

Annex D: Mitigating disproportionate impacts on smaller businesses

The Small Business, Enterprise and Employment Act 2015 requires the Government’s 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. (see table six).

Table six: Action taken by Government departments to mitigate any disproportionate economic impacts on smaller business during the first Business Impact Target reporting period of the Parliament		
Department	Title of measure	Description of mitigating action
Department for Environment, Food and Rural Affairs	The Ringing of Certain Captive Bred Birds (England and Wales) Regulations 2017	This measure sets out requirements for ringing birds depending upon where the bird is hatched. To minimise the impact on small businesses, simpler requirements than those in The Wildlife and Countryside (Ringing of Certain Birds) Regulations 1982 (which this measure revokes) will apply in relation to the issue of licences by Natural England. Small businesses involved in trading captive bred birds will operate under a licensing regime that is supported by risk-based and proportionate guidance.
Department for Environment, Food and Rural Affairs	The Agricultural Holdings (Units of Production) (England) Order 2017	This measure prescribes units of production for the assessment of the productive capacity of agricultural land situated in England. To minimise the impact of the requirements on small businesses, the Units of Production Order 2017 does not bring in any new or different regulations for small farming businesses.

Table six: Action taken by Government departments to mitigate any disproportionate economic impacts on smaller business during the first Business Impact Target reporting period of the Parliament		
Department	Title of measure	Description of mitigating action
Department for Environment, Food and Rural Affairs	The Producer Responsibility Obligations (Packaging Waste) Regulations Amendment 2018	This measure sets new packaging waste recycling targets for paper, steel, aluminium and wood and new overall packaging waste recovery and recycling targets from 2018 to 2020. To minimise the impact of the requirements on small businesses, companies that do not handle more than 50 tonnes of packaging a year or do not have an annual turnover of more than £2 million are exempted.
Department for Environment, Food and Rural Affairs	Plant Health (Export Certification) (England) Order 2018	This measure makes provision for the issue of phytosanitary certificates for the export of plant material to third countries to satisfy the requirements of those countries' phytosanitary regulations. Reduced rates apply to qualifying small businesses and individuals applying for certificates for one-off or relatively small volumes of commercial or non-commercial exports (e.g. amateur plant enthusiasts, universities or other non-commercial scientific establishments).
HM Treasury	Transposition of 4th Anti-Money Laundering Directive	Money-Laundering Regulations only apply where appropriate given size and nature of the business, e.g. saving to firms that offer a financial activity as an ancillary activity to their main business (such as hotels that offer a currency exchange service), where the turnover from that ancillary activity is between £64,000 and £100,000. These firms will no longer need to comply with the Regulations. The 4 th Anti-Money Laundering Directive provided member states with the option to increase the annual turnover threshold (currently set at £64,000) to a 'sufficiently low' level. Following consultation with industry, the government decided to increase the threshold to £100,000. This amount was considered a fair balance between reducing the administrative burden on business whilst retaining a 'sufficiently low' figure as required by the directive.

CCS0718079808

978-1-5286-0714-8