



Department for  
Business, Energy  
& Industrial Strategy

# Better Regulation

Government's annual report, 2018-19

February 2020



# Better Regulation: Government's annual report, 2018-19

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Enterprise and Employment Act 2015

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# 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 among the best in the G7. The government is committed to building a stronger, fairer, more prosperous Britain for all.

In the last year, our regulatory programme has brought notable benefits to the UK. We have intervened where necessary to protect society, benefit consumers and safeguard the environment: introducing important pieces of legislation that will cut energy bills, protect tenants, reduce problem gambling and enhance energy efficiency.

The Business Impact Target provides a partial picture of the impacts of government's regulatory programme, measuring only direct business impacts. Reflecting our aspiration to build a positive regulatory environment for business and ensure that the public continue to enjoy the highest standards of protections, this report sets out the costs and benefits of new regulation to both consumers and business, rather than focusing on business impacts alone.

The Better Regulation Executive will continue to look for ways to ensure the Business Impact Target better reflects the real impact of regulation and will brief the new administration on options for reviewing policy.

In tandem we have reformed our regulatory approach to better enable innovation. In June we published our white paper on Regulation for the Fourth Industrial Revolution, which sets out our plan to ensure that the regulatory system can seize the opportunities of – and meet the challenges posed by – fast-paced technological innovation. This builds on progress in the last year, including investment of £10 million in regulator-led initiatives to enable innovation through the Regulators' Pioneer Fund.

We remain committed to demonstrating continued discipline in the way we regulate, with excellent regulatory practices. Through the Better Regulation Executive, we continue to support good policy making and ensure that regulatory decisions are supported by robust, high-quality evidence.

# Part 1: Better Regulation

The government has continued to promote more efficient regulation, throughout the year, backed by high quality evidence, and supported transparency and accountability for the costs and benefits of regulation to business and wider society.

We regulate business to deliver better outcomes for the economy, society and the environment – for example to safeguard citizens' privacy, protect wildlife from pollution or uphold consumer rights. But where regulation is poorly designed, it can inhibit productivity.

We strive to ensure that regulatory interventions are proportionate, targeted, fair and transparent. It ensures that alternatives to regulation (such as voluntary standards or incentives) are considered before regulation is introduced, and that regulation is regularly reviewed to minimise unnecessary burden to business.

## Government's impact through Regulation

We promised to build a stronger, fairer, more prosperous Britain, for all. Effective markets can do this, bringing prosperity and innovation to us all. However, sometimes markets work against the interests of the consumer and the government has made it clear that it will act when this occurs in order to protect society's most vulnerable.

To this end we have decided to intervene in how some businesses operate to support consumers and the vulnerable in society. This year four key measures have been introduced to bring about this change. The Business Impact Target measurement does not reflect the benefits that this change brings. For these regulatory measures, the impact on business arises from a direct transfer of financial benefit from certain businesses to consumers to protect them from particular business practices, rather than imposing additional regulatory burdens on business. These measures are listed below.

### Energy Price Caps

In 2016, the Competition and Markets Authority found that the domestic customers of large energy companies on the most expensive standard variable tariffs were paying £1.4 billion a year more on average than they would in a fully competitive market. These customers are more likely to be in vulnerable situations.

By introducing a temporary price cap on default tariffs, we are redressing this detriment. While we continue to encourage competition within the retail energy market by supporting initiatives such as those to make the switching process easier and more reliable, the Default Tariff Cap will protect customers who do not switch against excessive prices.

The cap will deliver lower tariffs for around 11 million customers until December 2020, with the option to extend the measure on an annual basis until December 2023. Ofgem analysis shows that it will deliver between £1.18 billion and £2.30 billion of discounted net benefits to customers between January 2019 and December 2020.

## The Tenant Fees Act

The aim of the Act is to reduce the costs that tenants can face at the outset, and throughout, a tenancy, and is part of a wider package of measures aimed at rebalancing the relationship between tenants and landlords to deliver a fairer, more transparent and more affordable private rented sector. It puts an end to unfair fees imposed by agents and landlords. It is expected to save tenants across England at least £240 million a year.

The Act also caps the security deposits that renters pay at the start of their tenancy at five weeks' rent, where the total annual rent is less than £50,000, giving the assurance that legally they cannot be expected to pay more than this. The Act also caps holding deposits – at one week's rent – for the first time.

Under the Act, landlords and agents are only able to recover reasonably incurred costs from tenants (for example, where a tenancy ends early). Under the Act's default fee provision, they must provide evidence of costs before imposing charges (for example, for replacing a lost key). This will put a stop to, for example, tenants being charged hundreds of pounds for a damaged item that only costs a few pounds to replace. Furthermore, this increases competition by incentivising letting agents to compete for landlords' business while also protecting tenants and offering them greater choice.

## The Gambling Act

Health survey data suggests there are around 340,000 problem gamblers in the UK, and the cost of problem gambling to government has been estimated at between £250 million and £1.2 billion per year. A high proportion of those seeking treatment for gambling addiction identify these machines as their main form of gambling. This measure mitigates the risk for the most vulnerable players. The reduction of the stake limit on B2 machines (known as fixed-odds betting terminals) will reduce the potential harm these machines can bring by reducing the ability to suffer high session losses.

## Energy Company Obligation

This year saw the introduction of the third Energy Company Obligation (ECO3). This replaces the ECO2 which closed at the end of the last Parliament, and the temporary ECO2t which has been in operation since that time. The redesign of the ECO scheme has reduced costs to business by over £1.4 billion, whilst still providing energy efficiency improvements and improving national energy security. The ECO scheme enables government to provide critical support to low income and vulnerable households by improving energy efficiency, whilst also delivering its aspiration to transition the UK economy to a low-carbon one. In total, households that have energy efficiency measures installed will make efficiency savings of £1.3 billion. Individually, for households treated under ECO, the policy could deliver a net saving on their annual dual fuel bill of up to £300 per household. Additionally, the benefits of energy efficiency also extend far beyond the individual households. By reducing the demand for energy, we will be able to lower our energy imports and improve air quality.

The collective wider benefits to the whole of society of these four measures alone is £6.5 billion. We believe the impacts of the policies are necessary to support consumers and ensure markets operate fairly. If we were to exclude them from the Business Impact Target the culminative Business Impact Score for this Parliament would be a saving of £2.2 billion to business. However, in line with the statutory framework and our commitment to be transparent we have included these four measures in the total.



## 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 enables ministerial decisions to be based on robust analysis of the costs and benefits of different options and means 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. In line with last year's report, 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. We believe that both are important and must be given due consideration by policymakers across Whitehall.

Our improvements to the framework mean it now provides greater focus on measures with the most significant impacts. The Better Regulation Framework Guidance sets out how we have made the system more proportionate for smaller measures. As set out in the guidance, we operate 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).

## Alternatives to Regulation

The Better Regulation Executive works with and supports other government departments and regulators to promote the use and application of better regulation principles and to help design policies and strategies that support, encourage and deliver innovation.

This includes the consideration of alternatives to regulation, 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. subsidies or quotas.

These approaches may not be 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.

## Using smart techniques to reform regulation

The Better Regulation Executive has been awarded £1.25 million funding from the Government Digital Service's innovative GovTech Catalyst Challenge Fund. The fund is intended to support using private sector innovations to solve traditional public service challenges by making use of cutting edge, smart techniques.

The BEIS GovTech Challenge will see the Better Regulation Executive work with five tech firms to develop a tool to allow better understanding of the cumulative impact of regulation on businesses. The historical and incremental build-up of regulation risks placing disproportionate burdens on businesses, particularly if regulations are poorly coordinated, out of date, or contain overlapping requirements.

We hope that this tool will, for the first time, allow policy makers to systematically assess the stock of regulation in the UK in order to develop more efficient regulations in the future that drive growth, investment, and innovation.

## 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.

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 second 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 Business Impact Target only reflects the direct economic costs and benefits to business; however, we know that there are other impacts of regulation on business and wider society. To reflect our new approach to reporting regulatory impacts, the measures that count towards the target now also show the wider impacts as well as the direct impact on business.

We recognise that the current Business Impact Target does not provide a full picture of the regulatory landscape in the UK. The National Audit Office and Public Accounts Committee have previously been critical of the way that the target is calculated as it is not designed to reflect all administrative and regulatory costs to business and does not ensure the wider social costs and benefits of regulation are adequately considered, and we have heard the same message from business. Therefore, the Better Regulation Executive will brief the new administration on options for reviewing the Business Impact Target to ensure it reflects the real impact of regulation, and we will fully engage business in the process.

## Part 2: Regulation for the Fourth Industrial Revolution

As we enter the Fourth Industrial Revolution, a wave of technological innovation is creating new industries, disrupting existing ones and transforming the way things are made. New products, services and business models are emerging which do not fit with existing regulatory systems.

In June, we published our white paper on Regulation for the Fourth Industrial Revolution, which sets out our plan to ensure that the regulatory system can seize the opportunities of – and meet the challenges posed by – emerging technologies and disruptive business models. It responds to the commitment the government made in its Industrial Strategy to develop a new agile approach to regulation that supports innovation and protects citizens and the environment.

We start from strong foundations. The UK is ranked among the top ten global economies by the World Bank for the ease of doing business, with the quality of our regulatory practices given the highest overall country score by the Organisation for Economic Co-operation and Development. Our regulators have pioneered cutting-edge approaches such as regulatory sandboxes, which have been emulated across the world. But we must not stand idle as change approaches.

The need for reform is urgent: 92%<sup>1</sup> of businesses from a range of sectors think they will feel a negative impact if regulators do not evolve to keep pace with innovation in the next two to three years. The white paper sets out measures designed to promote innovation friendly regulation that build on recommendations made by the Council for Science and Technology and have been developed in close partnership with the business community, as well as with regulators and civil society organisations.

The white paper includes measures to:

- establish a Regulatory Horizons Council to advise the government on regulatory reform needed to support the rapid and safe introduction of technological innovation;
- consult on a digital Regulation Navigator for businesses to help them find their way through the complex regulatory landscape and engage with the right regulators at the right time on their proposals;
- consult on measures to enhance co-ordination between regulators to ensure that innovations are guided smoothly through the system;
- support regulators to play a greater role in the innovation economy, including reviewing the case to extend the Regulators' Pioneer Fund;
- pilot an innovation test so that the impact of legislation on innovation is considered as it is introduced, implemented and reviewed; and
- establish a partnership with the World Economic Forum Centre for the Fourth Industrial Revolution to develop regulatory approaches for new technologies.

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<sup>1</sup> PA Consulting (2018); 'Rethinking Regulators', [www.paconsulting.com/insights/2018/rethinkingregulators/](http://www.paconsulting.com/insights/2018/rethinkingregulators/)

The white paper builds on progress in the last year to pioneer a more innovation-enabling regulatory environment. In October 2018, the government invested £10 million through a Regulators' Pioneer Fund<sup>2</sup> to help regulators to develop innovative approaches aimed at getting new products and services to market. Winning projects included:

- nearly £700,000 for the Solicitors Regulation Authority to support business innovations that will use artificial intelligence (AI) to transform the legal services market for small businesses and consumers;
- up to £1 million for the Civil Aviation Authority to support a project that includes a 'regulatory lab' that will bring together relevant bodies to unblock legislative and regulatory barriers to innovations like flying taxis.

The government also established a new Ministerial Working Group on Future Regulation to lead reform within departments<sup>3</sup>. The Ministerial Working Group on Future Regulation will drive delivery of the white paper and spearhead regulatory reform, supported by the Better Regulation Executive.

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<sup>2</sup> [www.gov.uk/government/news/projects-lay-the-groundwork-for-a-future-of-robotlawyers-and-flying-cars](http://www.gov.uk/government/news/projects-lay-the-groundwork-for-a-future-of-robotlawyers-and-flying-cars)

<sup>3</sup> [www.gov.uk/government/news/business-secretary-hosts-first-cross-government-working-group-on-future-regulation](http://www.gov.uk/government/news/business-secretary-hosts-first-cross-government-working-group-on-future-regulation)

## Part 3: International leadership

We will continue to sustain the UK's international leadership on better regulation and collaborate with likeminded countries across the globe. The UK's strength in better regulation was recognised when we achieved the highest aggregate score of the regulatory systems of the 34 member countries (plus 5 others) that were measured in the OECD's Regulatory Policy Outlook Report 2018, an improvement since the 2015 Report.

As the UK leaves the EU, we 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, we 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 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.

The UK is actively encouraging the OECD to focus its programme of work and budget on regulatory issues in the era of digitisation and new technologies, supporting policy makers in their regulatory response to the challenges posed by emerging technologies and the business models they drive. The OECD's agenda for the coming years will continue to 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.

Our partnership with the World Economic Forum and the Centre for the Fourth Industrial Revolution in San Francisco will develop regulatory approaches for new technologies and collaboration with the World Bank will enable greater understanding and implementation of how to regulate disruptive technologies while protecting people.

The UK hosted the first meeting of the Commonwealth Connectivity Agenda for Regulation Cluster in May. We will participate in taking forward a programme of work with the Commonwealth to improve our regulatory environments as part of an ambitious wider programme aimed at increasing intra-Commonwealth trade to 2 trillion dollars by 2030.

## Part 4: Local regulation

We are also taking forward initiatives to enable effective regulation at a local level that helps businesses comply with legal requirements and trade with confidence. The Office for Product Safety and Standards (OPSS) was set up in January 2018 and brings together work on product safety, legal metrology and local better regulation initiatives.

OPSS has been supporting the Industrial Strategy ambitions to 'support businesses to comply with regulation at a local level' and 'simplifying the way regulation is delivered' by:

- leading pilots in seven Growth Hubs to explore how they can support businesses to access assured advice through Primary Authority;
- supporting the expansion of the Better Business for All programme in the North East and Lincolnshire; and
- funding 26 projects that will simplify the way regulation is delivered at a local level. The findings from these projects will be shared across the regulatory landscape.

### Primary Authority

The Primary Authority scheme simplifies the delivery of regulation. 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. The scheme was simplified and expanded from October 2017. This 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 increased from 57,000 in March 2018 to 86,000 in March 2019.

### Better Business for All programme

The Better Business for All programme brings together businesses, regulators and Growth Hubs to simplify the way regulation is delivered which directly supports the ambitions of the Industrial Strategy. 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. There are Better Business for All programmes in 82% of LEP areas.

## Part 5: Tackling burdens from tax administration

At Autumn Statement 2015, we 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 our December 2016 response to the Public Accounts Committee's report on Better Regulation, we 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 Administrative 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 has delivered net reductions of £34.19 million to date.



# Annex A: Update on 2017-18 Business Impact Target

There were three measures that were not verified in time for inclusion in last year's annual report. This has now been completed, and for transparency are recorded below, and an updated Business Impact Score Provided<sup>4</sup>.

With these updated figures, the first reporting period of this Parliament from 9 June 2017 to 20 June 2018 delivered -£2,918.2 million net savings to business from Qualifying Regulatory Provisions that came into force or ceased to be in force during this period.

**Table 1: Qualifying Regulatory Provisions of departments and ministerial regulators that came into force or ceased to be in force during the first Business Impact Target reporting period of the Parliament not reported on in the 2017-2018 annual report**

Department / Ministerial regulator	Title of measure as in Impact Assessment (IA)	Description of measure	Impact on business			Total Net Present Value (millions)
			EANDCB (millions)	Business Impact Target score (millions)	Business Net Present Value (millions)	
Ministry of Housing, Communities and Local Government	Extension of the permission in principle consent regime: introduction of applications progress	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.	-£12.7	-£63.5	£109	£114
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.	£6.3	£31.5	-£54.5	-£54.5
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.	£10.2	£51.2	£-88.1	£-88.1

<sup>4</sup> Note: To be consistent with the established methodology for the Business Impact Target (BIT), all figures included within the report are presented in 2016 prices with 2017 as the present value base year. This ensures consistency between all measures included in this report but means there will be some minor differences from figures in previously published Impact Assessments.



With these updated figures, the first reporting period of this Parliament from 9 June 2017 to 20 June 2018 delivered -£2,918.2 million net savings to business from Qualifying Regulatory Provisions that came into force or ceased to be in force during this period.

**Table 2: Savings delivered against the Business Impact Target during the first reporting period of this Parliament**

Organisation	Business Impact Target score delivered
Cabinet Office	No qualifying measures
Department for Business, Energy & Industrial Strategy	£110.7m
Department for Digital, Culture, Media & Sport	£167.4m
Department for Education	No qualifying measures
Department for Environment, Food & 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 & Social Care	No qualifying measures
HM Treasury	-£2,645.3m
Home Office	No qualifying measures
Ministry of Defence	No qualifying measures
Ministry of Housing, Communities & Local Government	-£63.5m
Ministry of Justice	No qualifying measures
Listed regulators	-£315.1
<b>Total</b>	<b>-£2,918.2m</b>

## Annex B: The Business Impact Target 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 [Table 3](#) and [Table 4](#));
- 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 show wider impacts as well as the direct impact on business.

**Table 3: Qualifying Regulatory Provisions of government departments and ministerial regulators that came into force or ceased to be in force during the second Business Impact Target reporting period of the Parliament**

Department / Ministerial regulator	Title of measure as in IA	Description of measure	Impact on business			Total Net Present Value (millions)
			EANDCB (millions)	Business Impact Target score (millions)	Business Net Present Value (millions)	
Department for Business, Energy and Industrial Strategy	National Minimum Wage (Amendment) Regulations 2019 – increase in national minimum wage and national living wage rates	Changes to the National Living Wage and National Minimum Wage rates.	£151.8	£303.6	-£572.2	-£2.8
Department for Business, Energy and Industrial Strategy	The Energy Efficiency (Private Rented Property) (England and Wales) (Amendment) Regulations [amending the private rented sector minimum energy efficiency regulations 2016]	Introduces a potential requirement on landlords of Energy Performance Certificate (EPC) band F or G rated privately rented properties in England and Wales to contribute to the cost of improving those properties to a minimum of EPC band E (subject to a spending cap). Temporarily reduces the length of time for which landlords may rely upon an exemption on the grounds that they cannot access suitable third-party finance.	£33.8	£168.8	-£947.1	£567.5
Department for Business, Energy and Industrial Strategy	Companies Act 2006 (Miscellaneous Reporting) Regulations 2018	Introduces a number of corporate governance reforms, including the reporting of the ratio of CEO annual remuneration to the average remuneration of the company's UK employees and providing more transparency on the potential impact of share price growth on executive remuneration.	£8.2	£41.1	-£84.4	-£84.4

Department / Ministerial regulator	Title of measure as in IA	Description of measure	Impact on business			
			EANDCB (millions)	Business Impact Target score (millions)	Business Net Present Value (millions)	Total Net Present Value (millions)
Department for Business, Energy and Industrial Strategy	Streamlined Energy and Carbon Reporting	Introduces requirements on certain large businesses to report energy use and carbon emission information, increasing awareness to inform shareholders of related risks and opportunities, to help improve their energy efficiency and to help reduce emissions. Necessary to secure UK-wide Carbon Reduction Commitment (CRC) scheme closure.	£14.2	£71.2	-£223.8	£1,414.7
Department for Business, Energy and Industrial Strategy	The Employment Rights Act 1996 (Itemised Pay Statement) (Amendment) Order 2018	Provides employees with greater transparency over the number of hours they are being paid for. This measure will help empower employees to challenge their employer or complain to Acas/HMRC if they think they are not being paid for all the hours they have worked.	£27.0	£135.1	-£259.3	-£263.1
Department for Business, Energy and Industrial Strategy	Energy and Gas (Energy Company Obligation) Order 2018 (ECO)	No scheme in place would have a negative impact on fuel poverty and carbon reduction obligations. Negative impact on energy efficiency supply chain.	£608.3	£2,130.2	-£2,027.2	£702.5
Department for Business, Energy and Industrial Strategy	The Business Contract Terms (Assignment of Receivables) Regulations 2018	Nullifies 'ban on assignment' clauses where they exist in contacts, giving firms, especially SME businesses, the freedom and flexibility to make best use of invoice financing in a way that benefits them.	-£47.4	-£237.1	£1,020.4	£1,020.4

Department / Ministerial regulator	Title of measure as in IA	Description of measure	Impact on business			
			EANDCB (millions)	Business Impact Target score (millions)	Business Net Present Value (millions)	Total Net Present Value (millions)
Department for Digital, Culture, Media and Sport	Government response to the consultation on proposals for changes to Gaming Machines and Social Responsibility Measures	Underlying this objective is the government's aim to reduce gambling-related harm. A reduction in the maximum stake for B2 gaming machines from £100 to £2.	£494.1	£2,470.5	-£4,823.1	-£4,823.1
Department for Education	Securing student success: risk-based regulation for teaching excellence, social mobility and informed choice in higher education	Introduces provisions for the newly established Office for Students (OfS) to regulate the Higher Education sector with a new Regulatory Framework	-£13.6	-£68.0	£137.8	£20.1
Department for Work and Pensions	The Equality Act (Age Exceptions for Pensions Schemes) (Amendment) Order 2019	Amending the Equality Act (Age Exceptions for Pensions Schemes) so that exemptions reflect the rising State Pension age in coming years.	-£6.3	-£31.5	£54.3	£0.0

Department / Ministerial regulator	Title of measure as in IA	Description of measure	Impact on business			
			EANDCB (millions)	Business Impact Target score (millions)	Business Net Present Value (millions)	Total Net Present Value (millions)
HM Treasury	The Financial Services and Markets Act 2000 (Prospectus and Markets in Financial Instruments) Regulations 2018 IA name: "The Prospectus Regulations 2018"	The measure goes beyond implementation of minimum EU requirements. This measure amends the prospectus provisions of the Financial Services and Markets Act 2000 (FSMA 2000) to comply with the requirements of the EU's Prospectus Regulation and implement the discretionary change to the amount that can be raised before a prospectus must be produced, that will reduce the administrative burden on issuers and facilitate capital raising for UK business.	-£8.8	-£44.0	£84.1	£84.1
Ministry for Housing, Communities and Local Government	Extending the Mandatory Licensing of Houses in Multiple Occupation (HMO)	The measures: (i) widen the scope of houses in multiple occupation (HMO's) that are subject to mandatory licensing in the private rented sector; and (ii) clarify minimum bedroom sizes and arrangements for disposal of refuse in HMO's. This will improve standards in HMO's and bring more into scope so that local authorities are better able to detect and stop illegal activity.	£20.1	£100.5	-£196.0	-£196.0

Department / Ministerial regulator	Title of measure as in IA	Description of measure	Impact on business			
			EANDCB (millions)	Business Impact Target score (millions)	Business Net Present Value (millions)	Total Net Present Value (millions)
Ministry for Housing, Communities and Local Government	Tenant Fees Act 2019	This Act ensures that the party that contracts a letting agent – the landlord – is responsible for paying for the service, rather than tenants. A number of exceptions are included, with rent, deposits and charges e.g. for lost keys still permitted. New requirements for the treatment of 'tenancy' and 'holding' deposits are also introduced, limiting the number of weeks' worth of deposit that can be requested.	£310.8	£1,554.0	-£2,388.9	-£31.5

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

Listed regulator	Title of measure as in IA	Description of measure	Business Impact Target score (millions)
Environment Agency	Incinerator Bottom Ash Aggregate - Regulatory Position Statement RPS206	Regulatory position statement covering the use of unbound municipal incinerator bottom ash aggregate in construction activities. Regulatory position statements set out how the Environment Agency intend to regulate a particular activity for a set period, for example, until regulations are brought in or changed, or when a legislative review is completed.	Impacts not yet validated by Regulatory Policy Committee
Financial Conduct Authority	Rules applicable to firms which are within the scope of the insurance distribution directive	Introduces the Insurance Distribution Directive (IDD) to replace the Insurance Mediation Directive (IMD). The IDD introduced new requirements for the distribution of insurance and aimed to enhance consumer protection when buying insurance and to support competition between insurance distributors by creating a level playing field.	£43.5
Financial Conduct Authority	Staff incentives, remuneration and performance management in consumer credit firms (rules and guidance)	Introduces new rules in PS18/7 for consumer credit firms regarding how they should identify and manage risks arising from how they incentivise staff, in particular staff in sales or collections roles.	£35.8
Financial Conduct Authority	PS18/23: Claims Management: how we will regulate claims management companies	Outlines FCA objective to make sure that Claims Management Companies (CMCs) are trusted providers of high quality, good value services that help customers pursue legitimate claims for redress, and benefit the public interest, after FCA becomes the regulator of Claims Management Companies (CMCs) on 1 April 2019 when the rules in PS18/23 will come into force .	£49.3



Listed regulator	Title of measure as in IA	Description of measure	Business Impact Target score (millions)
Financial Conduct Authority	Rent-to-own: Extended Warranties (CP18/35)	Introduces a point of sale ban on extended warranties alongside a Rent-to-Own agreement. FCA will require firms to provide extra information to consumers considering buying an extended warranty product.	£26.8
Financial Conduct Authority	PS19/11: Product intervention measures for retail binary options	Introduces a ban on the sale of binary product option products following the temporary ban the European Markets Authority put in place in July 2018.	Impacts not yet validated by Regulatory Policy Committee
Financial Conduct Authority	Extending the Senior Managers & Certification Regime to insurers	Introduces a new regime for firms to strengthen accountability in financial services.	£24.4
Financial Conduct Authority	Rent-to-own price cap (PS19/6)	Introduces a price cap for Rent-to-Own agreements. Rent-to-Own agreements are essentially hire purchase agreements, though differ in that the consumer can end the agreement at any time by returning the product. They are predominantly used for white goods, furniture and large electricals. The measure sets a total credit cap of 100% and requires firms to benchmark base prices against the prices charged by 3 mainstream retailers. The measure also prevents firms increasing their prices for insurance premiums (e.g. theft and accidental damage cover), extended warranties, or arrears charges, to recoup lost revenue from the price cap.	£117.0
Office for Communications	Protecting access to emergency organisations when there is a power cut at the customer's premises	Provides guidance to relevant Communications Providers (CPs) as to whom they should target the provision of battery backup or other protection facilities to allow consumers to contact the emergency services in the event of a power cut to the home.	Impacts not yet validated by Regulatory Policy Committee

Listed regulator	Title of measure as in IA	Description of measure	Business Impact Target score (millions)
Office of Gas and Electricity Markets	Default Tariff Cap	The Domestic Gas and Electricity (Tariff Cap) Act 2018 created a new duty for Ofgem to design and implement a temporary cap on domestic standard variable and default gas and electricity tariffs. The cap was introduced on 1 Jan 2019 at around £1,137 per year for typical single rate dual fuel customers paying by direct debt. Around 10.7 million households were expected to benefit from it. A cap will run until at least the end of 2020, at which point Ofgem will make a recommendation to the Secretary of State for Business, Energy and Industrial Strategy regarding any possible extension.	£2,405.8
The Pensions Regulator	Annual Funding Statement	Statement sets out the Pensions Regulators view on how trustees of occupational defined benefit schemes should approach a valuation of the assets and liabilities, as well as topical issues in the market. This statement contains specific sections on what standards are expected from trustees and employers in respect of the risks and funding objectives they should look at.	Impacts not yet validated by Regulatory Policy Committee

## Progress made against the Business Impact Target

The second reporting period of this Parliament ran from 21 June 2018 to 20 June 2019, during which government departments and relevant regulators delivered £9,296.8 million net costs to business from Qualifying Regulatory Provisions that came into force or ceased to be in force during this period. For all the reporting periods of this Parliament, the aggregate economic impact of all the qualifying regulatory provisions is £6,378.6 million net costs to business from Qualifying Regulatory Provisions. 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 20 June 2020.

Without the four large measures which represent direct transfers between business and consumers, and the measure where the withdrawal of an existing regulatory provision and introduction of its subsequent replacement fall across two Parliaments, the impacts of regulatory provisions introduced by government departments and relevant regulators is £621.9 million net costs to Business during the second reporting period. Taking this approach results in an aggregate economic impact on business of a £2,296.3 million net savings for business for all the reporting periods for this Parliament.

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

Organisation	Business Impact Target score delivered in 2018-2019 (£m)	Aggregate Business Impact Target Score 2017-2019 (£m)
Cabinet Office	No qualifying measures	No qualifying measures
Department for Business, Energy & Industrial Strategy	£2,612.8	£2,723.5
Department for Digital, Culture, Media & Sport	£2,470.5	£2,637.9
Department for Education	£-68.0	£-68.0
Department for Environment, Food & Rural Affairs	No qualifying measures	No qualifying measures
Department for Exiting the European Union	No qualifying measures	No qualifying measures
Department for International Development	No qualifying measures	No qualifying measures
Department for International Trade	No qualifying measures	No qualifying measures
Department for Transport	No qualifying measures	No qualifying measures
Department for Work & Pensions	£-31.5	£-203.9
Department of Health & Social Care	No qualifying measures	No qualifying measures
HM Treasury	£-44.0	£-2,689.3
Home Office	No qualifying measures	No qualifying measures
Ministry of Defence	No qualifying measures	No qualifying measures

<b>Organisation</b>	<b>Business Impact Target score delivered in 2018-2019 (£m)</b>	<b>Aggregate Business Impact Target Score 2017-2019 (£m)</b>
Ministry of Housing, Communities & Local Government	£1,654.5	£1,591.0
Ministry of Justice	No qualifying measures	No qualifying measures
Listed regulators	£2,702.5	£2,387.4
<b>Total</b>	<b>£9,296.8</b>	<b>£6,378.6</b>

# 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 [Table 6](#) and [Table 7](#)); 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 55).

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

Department / Ministerial regulator	Title of measure as in IA	Description of measure	Exclusion category	Impact on business			Total Net Present Value (millions)
				EANDCB (millions)	Business Impact Target score (millions)	Business Net Present Value (millions)	
BEIS	The Package & Linked Travel Arrangement Regulations 2018	Implements the 2015 Package Travel Directive to extend the current protections to cover millions of online package holidays that are currently out of scope.	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.	£99.5	£497.6	-£974.9	-£577.8
HMT	The Banks and Building Societies (Priorities on Insolvency) Order 2018	The domestic implementation of The Bank Creditor Hierarchy Directive. The directive aims to create a new class of senior unsecured debt called 'non-preferred senior' debt. This is a new type of debt banks and building societies can issue.	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.	-£12.3	-£61.5	£105.8	£104.6

Department / Ministerial regulator	Title of measure as in IA	Description of measure	Exclusion category	Impact on business			Total Net Present Value (millions)
				EANDCB (millions)	Business Impact Target score (millions)	Business Net Present Value (millions)	
MHCLG	Building (Amendment) Regulations 2018 SI 2018/1230	This instrument bans the use of combustible materials in external wall systems and balconies for relevant buildings. The change should make it easier to comply with the relevant building regulations' requirements by making the routes to compliance clearer.	Regulatory provisions that have been certified by departments or regulators as relating to the safety of tenants, residents and occupants in buildings that stem from, or relate to, government's response to the Grenfell tragedy, reviews, inquiries or working groups	£27.2	£135.9	N/A	N/A

**Table 7: Legislative Non-Qualifying Regulatory Provisions of government departments that came into force or ceased to be in force during the second Business Impact Target reporting period of the Parliament and fall within the +/-£5 million de minimis threshold**

Department	Title of measure as in IA	Description of measure
Department for Business, Energy and Industrial Strategy	Nuclear Reactors (Environmental Impact Assessment for Decommissioning) (Amendment) Regulations 2018	Revises the Nuclear Reactors (EIA for Decommissioning) Regulations 1999 (EIAD Regulations) to transpose the amendments made by the Environmental Impact Assessment (EIA) Directive 2014/52/EU to simplify the assessment procedure and reduce administration burden.
Department for Business, Energy and Industrial Strategy	Statutory Guidance for Radioactive Contaminated Land	Revises Statutory Guidance to transpose 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	Nuclear Security (Secretary of State Directions) Regulations	Ensures that government can respond quickly and effectively should there be an imminent security threat to the civil nuclear sector, by giving the Secretary of State the power to direct the civil nuclear industry to take appropriate countermeasures to mitigate the threat.
Department for Business, Energy and Industrial Strategy	Transposition of the amending Environment Impact Assessment (EIA) Directive 2014/52/EU through the Nuclear Reactors (Environmental Impact Assessment for Decommissioning) (Amendment) Regulations 2017	Implements the requirements under the EU Environmental Impact Assessment (EIA) Directive. Ensures proposals for decommissioning projects are properly assessed with regards to their impact on the environment and obtain consent before works can proceed.
Department for Business, Energy and Industrial Strategy	The Oil and Gas Authority (Offshore Petroleum) (Disclosure of Protected Material after Specified Period) Regulations 2018	Enables the Oil and Gas Authority to publicly disclose information and samples, making them available to industry in a timely and transparent manner pursuant with the key recommendations of the 2014 Wood Review into maximising economic recovery of hydrocarbons from the North Sea.



Department	Title of measure as in IA	Description of measure
Department for Business, Energy and Industrial Strategy	Offshore Environmental Civil Sanctions Regulations 2018	Provides the Offshore Petroleum Regulator for Environment and Decommissioning (OPRED) with the power to impose financial civil sanctions for such criminal offences.
Department for Business, Energy and Industrial Strategy	Electricity Supply Licence Exemption for the Port of Liverpool	Issues a supply licence exemption to E On for combined heat and power plant supplying electricity to industrial facilities at the Port of Liverpool. The exemption is time-limited until 31 March 2024.
Department for Business, Energy and Industrial Strategy	Electricity Generation Exemption Licences for Kemsley and Ferrybridge	Issues an exemption from the requirement to hold an electricity generation licence for energy from waste plants, Ferrybridge Multifuel 2 (FM2) and Kemsley.
Department for Business, Energy and Industrial Strategy	Infrastructure planning (Electricity Storage Facilities) order	Amends the Planning Act 2008 to change the types of generating station in England and Wales which are required to obtain development consent through the planning process for nationally significant infrastructure projects, instead of the Town and Country Planning system.
Department for Business, Energy and Industrial Strategy	Electricity Act 1989 (requirement for consent for electricity storage facilities) (England and Wales) order	Makes changes to the types of generating station in England and Wales which are required to obtain consent from the Secretary of State before they are constructed, extended or operated.
Department for Business, Energy and Industrial Strategy	The Geo-Blocking (Enforcement) Regulation 2018	Implements arrangements for enforcing Regulation (EU) 2018/302 of the European Parliament and of the Council of 28 February 2018 on addressing unjustified geo-blocking and other forms of discrimination based on customers' nationality, place of residence or place of establishment within the internal market and amending Regulations (EC) No 2006/2004 and (EU) 2017/2394 and Directive 2009/22/EC (Text with European Economic Area (EEA) relevance.)

Department	Title of measure as in IA	Description of measure
Department for Business, Energy and Industrial Strategy	The Insolvency (Scotland) (Company Voluntary Arrangement and Administration) Rules 2018	Modernises the law relating to Company Voluntary Arrangements and Administration (both reserved) to provide clarity where the division between process and legal effect is not entirely clear.
Department for Business, Energy and Industrial Strategy	The Copyright and Related Rights (Marrakesh Treaty etc.) (Amendment) Regulations 2018	Meets the obligation in EU law to implement legislation consistent with the Marrakesh Treaty on accessible books for blind and visually impaired people.
Department for Business, Energy and Industrial Strategy	The Trade Marks Regulations 2018	Amends UK legislation to transpose the recast EU Trade Mark Directive (2015/2436), modernising and harmonising trade mark laws across Member States
Department for Business, Energy and Industrial Strategy	The Electrical Equipment, Simple Pressure Vessels, and Pressure Equipment (Safety) (Enforcement) (Northern Ireland) Amendment Regulations 2018	Gives Health and Safety Executive Northern Ireland the same enforcement powers as HSE (GB) and enables the Health and Safety at Work (Northern Ireland) Order 1978 to work coherently.
Department for Business, Energy and Industrial Strategy	The Insolvency (Scotland) (Company Voluntary Arrangement and Administration) Rules 2018	Modernises the law relating to Company Voluntary Arrangements and Administration (both reserved) to provide clarity where the division between process and legal effect is not entirely clear.
Department for Business, Energy and Industrial Strategy	The Copyright and Related Rights (Marrakesh Treaty etc.) (Amendment) Regulations 2018	Meets the obligation in EU law to implement legislation consistent with the Marrakesh Treaty on accessible books for blind and visually impaired people.

Department	Title of measure as in IA	Description of measure
Department for Business, Energy and Industrial Strategy	The Trade Marks Regulations 2018	Amends UK legislation to transpose the recast EU Trade Mark Directive (2015/2436), modernising and harmonising trade mark laws across Member States
Department for Business, Energy and Industrial Strategy	The Electrical Equipment, Simple Pressure Vessels, and Pressure Equipment (Safety) (Enforcement) (Northern Ireland) Amendment Regulations 2018	Gives Health and Safety Executive Northern Ireland the same enforcement powers as HSE (GB) and enables the Health and Safety at Work (Northern Ireland) Order 1978 to work coherently.
Department for Business, Energy and Industrial Strategy	Regulations to implement Shareholder Rights Directive	Implements EU Directive (EU 2017/828 amending 2007/36/EC) and consequent implementing acts.
Department for Business, Energy and Industrial Strategy	The Carriage of Dangerous Goods (Amendment) Regulations 2018	Transposes the Basic Safety Standards EU Directive making minor amendments to the current legislative framework that governs the transportation of radioactive materials.
Department for Business, Energy and Industrial Strategy	The Weights and Measures (Miscellaneous etc.) (Amendment) Regulations 2019	Amends the Weights and Measures Act 1985, the Weights and Measures (Packaged Goods) Regulations 2006, the Measuring Instruments Regulations 2016, the Non-Automatic Weighing Instruments Regulations 2016 and the Electrical Equipment (Safety) Regulations 2016. Also amends The Weights and Measures (Northern Ireland) Order 1981 and The Weights and Measures (Packaged Goods) Regulations (Northern Ireland) 2011.

Department	Title of measure as in IA	Description of measure
Department for Business, Energy and Industrial Strategy	Regulatory Clarity for electric storage	Introduces a definition of electricity storage in the Electricity Act 1989 as a distinct subset of generation for licensing and planning purposes to provide the sector with legal clarity over the regulatory treatment of storage.
Department for Business, Energy and Industrial Strategy	Transposition of the Medium Combustion Plan Directive and Chapter III of the Industrial Emissions Directive	Transposes two EU Directives that relate to combustion plants used on offshore facilities which undertake hydrocarbon-related activities (oil and gas operations, gas unloading and storage operations and carbon dioxide storage and unloading operations).
Department for Business, Energy and Industrial Strategy	The Introduction of the Offshore Civil Sanctions Regulations 2018	Allows Offshore Petroleum Regulator Environment and Decommissioning (OPRED) to impose civil sanctions on offshore oil and gas companies who have breached some provisions of existing Regulations.
Department for Business, Energy and Industrial Strategy	The Electricity (Individual Exemptions from the Requirement for the Generation Licence) and Utilities Act 2000 (Amendment of Section 105) Order 2019	Combines two amendments to primary legislation relating to electricity generation licences and Ofgem information disclosure restrictions: Electricity generation licence exemptions.
Department for Business, Energy and Industrial Strategy	Radiation (Emergency Preparedness and Public Information) Regulations (REPPIR) 2018	Implements elements of the Euratom Basic Safety Standards Directive on emergency preparedness safety standards to better protect the public and environment in the event of a nuclear or radiological emergency.
Department for Business, Energy and Industrial Strategy	The Introduction of the Offshore Civil Sanctions Regulations 2018	Allows OPRED to impose civil sanctions on offshore oil and gas companies who have breached some provisions existing regulations.

Department	Title of measure as in IA	Description of measure
Department for Digital, Culture, Media and Sport	EU Regulation concerning Intra-EU communications	Enacting EU telecoms regulation in the event of a deal/staying in the EU for a prolonged period.
Department for Digital, Culture, Media and Sport	Birmingham Commonwealth Games Bill Measures	Measures aiding the Commonwealth Games 2021.
Department for Digital, Culture, Media and Sport	The Legislative Reform (Horserace Betting Levy) Order 2018	Reduces financial cost and administrative burdens on businesses affected by the Levy.
Department for Digital, Culture, Media and Sport	The Gambling Act 2005 (Gaming Tables in Casinos) (Definitions) (Amendment) Regulations 2018	For the purposes of calculating gaming machine allowances in a casino.
Department for Digital, Culture, Media and Sport	The Gambling Act 2005 (Limits on Prize Gaming) 2018	Limits on prize gaming.
Department for Digital, Culture, Media and Sport	Strengthening the Process for Retaining National Treasures - Guidance Amendments	Corrects outdated laws surrounding treasure finds.
Department for Digital, Culture, Media and Sport	Society Lottery Reform Package	Reduces potential barriers to growth in the society lottery industry.

Department	Title of measure as in IA	Description of measure
Department for Digital, Culture, Media and Sport	Technical Amendments to the Public Lending Right Scheme	Updates the rates per loan for authors.
Department for Environment, Food and Rural Affairs	The National Emissions Ceilings Regulations 2018	Transposes the obligations in the EU Directive on the reduction of national emissions of certain atmospheric pollutants, amending Directive 2003/35/EC and repealing Directive 2001/81/EC (2016/2284).
Department for Environment, Food and Rural Affairs	Animal Welfare (Licensing of Activities Involving Animals) (England) Regs 2018	Introduces an updated licensing system in England for five activities involving animals: selling animals as pets, providing for or arranging for the provision of boarding for cats or dogs, hiring out horses, dog breeding and keeping or training animals for exhibition.
Department for Environment, Food and Rural Affairs	The Animal Gatherings (Fees) (England) Order 2018	Introduces new charges for statutory services provided by Animal Plant Health Agency (APHA) to license animal gatherings where foot & mouth disease susceptible animals are present.
Department for Environment, Food and Rural Affairs	The Animal By-Products and Pet Passport Fees (England) Regulations 2018	Introduces wholly new fees for statutory services provided by APHA to license and approve the handling, processing and storage of Animal By-Products and for the provision of Pet Passports.
Department for Environment, Food and Rural Affairs	The Animal Health (Miscellaneous Fees) Regulations 2018	Amends fees using a revised full cost recovery model in relation to statutory services provided by APHA in relation to Artificial Breeding Controls, the Poultry Health Scheme, Border Inspection Posts and the Salmonella National Control Plan.
Department for Environment, Food and Rural Affairs	Private Water Supplies (England) (Amendment) Regulations 2018	Transposes Commission Directive (EU) 2015/1787 into domestic law in order to secure compliance with both the Commission's and World Health Organisation's principles.

Department	Title of measure as in IA	Description of measure
Department for Environment, Food and Rural Affairs	The Sea Fishing (Miscellaneous Amendment) Regulations 2018	Extends offences relating to further third countries identified by the European Union as non-cooperating under the Illegal, Unreported and Unregulated Fishing (IUU) legislation, extending offences under The Sea Fishing (IUU) Order 2009.
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 (RCVS) governing body, the RCVS Council, to reduce the size of the Council and change the balance between vets and lay people to make Council more representative.
Department for Environment, Food and Rural Affairs	The Environment, Food and Rural Affairs (Miscellaneous Amendments) (England) Regulations 2018	Updates out of date references to EU legislation.
Department for Environment, Food and Rural Affairs	The Code of Practice for the Welfare of Laying Hens and Pullets (Appointed Day and Revocation) (England) Order 2018	Introduces a new statutory welfare code for laying hens.
Department for Environment, Food and Rural Affairs	Control of Trade in Endangered Species Regulations 2018	Consolidates a series of regulations and update existing offences relating to trade in endangered species.
Department for Environment, Food and Rural Affairs	The Water Supply (Water Quality) (Amendment) Regulations 2018	Transposes Commission Directive (EU) 2015/1787 into domestic law in order to secure compliance with both the Commission's and World Health Organisation's principles.
Department for Environment, Food and Rural Affairs	The Transmissible Spongiform Encephalopathies (England) Regulations 2018	Consolidates Transmissible Spongiform Encephalopathies (TSE) (England) Regulations in line with amendments to EU TSE Regulation 999/2001 (as amended) and implements several national measures.

Department	Title of measure as in IA	Description of measure
Department for Environment, Food and Rural Affairs	The Environment and Rural Affairs (Miscellaneous Revocations) Order 2018	Revokes redundant legislation in relation to the EU milk quota scheme, agricultural wages, importation of hay and straw and a code of practice relating to flood defence.
Department for Environment, Food and Rural Affairs	Equine Identification (England) Regulations 2018	Implements EU rules setting out requirements for identifying horses, principally through microchips and passports, and the introduction of a national central database, in order to protect the food chain and enable trade.
Department for Environment, Food and Rural Affairs	Cattle Compensation (England) Order 2018	Amends the existing Statutory Instrument to allow for reduced compensation to be paid for animals which are unclean when presented for slaughter.
Department for Environment, Food and Rural Affairs	The Wildlife Licence Charges (England) Order 2018	Permits Natural England to charge for wildlife licensing.
Department for Environment, Food and Rural Affairs	The Axe Brue Internal Drainage Board Order 2018	Implements changes to reduce number of Board Members.
Department for Environment, Food and Rural Affairs	The Parrett Internal Drainage Board Order 2018	Implements changes to reconstitute the board and reduce the number of members.
Department for Environment, Food and Rural Affairs	The Access to the Countryside (Coastal Margin) (South Bents to Amble) Order 2018	Coastal Access Order made under the Marine and Coastal Access Act 2009 - establishes England Coastal Paths by 2020. (66 stretches in total).



Department	Title of measure as in IA	Description of measure
Department for Environment, Food and Rural Affairs	The Marine Licensing (Application Fees) (Amendment) Regulations 2018	Amends the fees regime for marine licensing to ensure that marine licence applicants meet the full cost of a determination of an application.
Department for Environment, Food and Rural Affairs	The Food and Rural Affairs (Miscellaneous Revocations) Regulations 2018	Revokes redundant legislation.
Department for Environment, Food and Rural Affairs	Thames Water Utilities Limited (Thames Tideway Tunnel) (Correction) Order 2018	To amend the Thames Tideway Tunnel Development Consent Order.
Department for Environment, Food and Rural Affairs	The Plant Health (England) Amendment) (No. 3) Order 2018	Implements changes in EU legislation to address new or increased plant health threats.
Department for Environment, Food and Rural Affairs	Sea Fishing (Enforcement) Regulations 2018	Restores Inshore Fisheries Conservation Officers (IFCOs) enforcement powers in relation to EU fisheries measures.
Department for Environment, Food and Rural Affairs	The Environment, Food and Rural Affairs (Miscellaneous Amendments and Revocations) Regulations 2018	To update out of date references to EU legislation.
Department for Environment, Food and Rural Affairs	The River Lugg Internal Drainage Board Order 2018	Reconstitutes the Internal Drainage Board and reduces the number of members

Department	Title of measure as in IA	Description of measure
Department for Environment, Food and Rural Affairs	Rural Development Programme (Transfer) (England) Regulations 2018	Provides for the Secretary of State to become a party to the grant agreements affected, transferring operational delivery of Countryside Stewardship and Environmental Stewardship grant schemes.
Department for Environment, Food and Rural Affairs	The Marketing of Ornamental Plant Propagating Material (Amendment) (England and Wales) Regulations 2018	Implements EU Directive 2018/484. It introduces quality requirements for the propagation and marketing of ornamental plant material of certain species of Palmae.
Department for Environment, Food and Rural Affairs	The Common Agricultural Policy Basic Payment and Support Schemes (England) (Amendment) Regulations 2018	EU Obligation: The European Commission has agreed to make a change applicable in England to legislation effective for 2018.
Department for Environment, Food and Rural Affairs	The Zootechnical Standards (England) Regulations	Transposes EU zootechnical regulation ((EU) 2016/1012) from 1 November 2018 to introduce a single comprehensive zootechnical regime to replace the current vertical regulations by sector (covering cattle, pigs, sheep and goats, and equines).
Department for Environment, Food and Rural Affairs	The Plant Health (Forestry) (Amendment) (England and Scotland) Order 2018	Ensures that the Plant Health (Forestry) Order 2005 is up to date with any changes to the EU Plant Health legislation prior to exiting the EU.
Department for Environment, Food and Rural Affairs	The Plant Health (England) (Amendment) (No. 4) Order 2018	Protects biosecurity in England by implementing changes in EU legislation to address new or increased plant health threats.
Department for Environment, Food and Rural Affairs	Plant Health (England) (Amendment) (No. 5) Order 2018	Extension of current measures to protect against the introduction of <i>Xylella fastidiosa</i> from the EU following findings on olive plants in Belgium.

Department	Title of measure as in IA	Description of measure
Department for Environment, Food and Rural Affairs	Environmental Noise (England) (Amendment) Regulations 2018	Transposes EU Directive 2015/996 establishing common noise assessment methods for the purposes of the Environmental Noise Directive (2002/49).
Department for Environment, Food and Rural Affairs	The Infrastructure Planning (Water Resources) (England) Order 2018	Amends thresholds for nationally significant infrastructure projects.
Department for Environment, Food and Rural Affairs	The Plant Health etc. (Fees) (England) (Amendment) Regulations 2019	Amends statutory plant health import inspection fees in line with annual changes in EU import inspection levels following risk review.
Department for Environment, Food and Rural Affairs	The Agricultural Holdings (Units of Production) (England) Order 2018	Sets values for the net annual income that can be expected from prescribed units of production for the purpose of providing a statement of net annual income by the Secretary of State to a Tribunal in contested agricultural tenancy succession cases.
Department for Environment, Food and Rural Affairs	Spring Traps Approval (England) Order 2018	Approves new spring traps for sale and use. Amongst other things we need to prohibit the sale and use of spring traps for stoat which do not meet the Agreement on International Humane Trapping Standards (AIHTS) and approve new spring traps that do.
Department for Environment, Food and Rural Affairs	Plant Health (England) (Amendment) (No. 5) Order 2018	Extension of current measures to protect against the introduction of <i>Xylella fastidiosa</i> from the EU following findings on olive plants in Belgium.
Department for Environment, Food and Rural Affairs	Environmental Noise (England) (Amendment) Regulations 2018	Transposes EU Directive 2015/996 establishing common noise assessment methods for the purposes of the Environmental Noise Directive (2002/49).
Department for Environment, Food and Rural Affairs	The Infrastructure Planning (Water Resources) (England) Order 2018	Amends thresholds for nationally significant infrastructure projects.

Department	Title of measure as in IA	Description of measure
Department for Environment, Food and Rural Affairs	The Plant Health etc. (Fees) (England) (Amendment) Regulations 2019	Amends statutory plant health import inspection fees in line with annual changes in EU import inspection levels following risk review.
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Department for Environment, Food and Rural Affairs	Plant Health (England) (Amendment) (No. 5) Order 2018	Extension of current measures to protect against the introduction of <i>Xylella fastidiosa</i> from the EU following findings on olive plants in Belgium.
Department for Environment, Food and Rural Affairs	Environmental Noise (England) (Amendment) Regulations 2018	Transposes EU Directive 2015/996 establishing common noise assessment methods for the purposes of the Environmental Noise Directive (2002/49).
Department for Environment, Food and Rural Affairs	The Infrastructure Planning (Water Resources) (England) Order 2018	Amends thresholds for nationally significant infrastructure projects.
Department for Environment, Food and Rural Affairs	The Plant Health etc. (Fees) (England) (Amendment) Regulations 2019	Amends statutory plant health import inspection fees in line with annual changes in EU import inspection levels following risk review.
Department for Environment, Food and Rural Affairs	The Seed Marketing and Seed Potatoes (England) (Amendment) Regulations 2019	Amends the Seed Marketing Regulations 2011 to clarify unlisted vegetable variety marketing provisions and amends the Seed Potato (England) Regulations 2015 to include a labelling provision, in respect to test and trial seed.

Department	Title of measure as in IA	Description of measure
Department for Environment, Food and Rural Affairs	Marine Licensing (Exempted Activities) (Amendment) Order 2019	Amends the Marine Licensing (Exempted Activities) Order 2011 to extend the list of exempted activities and provide further clarification of existing exemptions in light of experience and the identification of new issues.
Department for Environment, Food and Rural Affairs	Wine (Amendment) Regulations 2019	Implements amendments to ensure continued enforcement and amendment of the EU wine regulations in the UK.
Department for Environment, Food and Rural Affairs	The Restriction of the Use of Certain Hazardous Substances in Electrical and Electronic Equipment (Amendment) Regulations 2019	Implements amendments to the Restriction of the use of Hazardous Substances in Electrical and Electronic Equipment Directive (2011/65/EU) once adopted.
Department for Environment, Food and Rural Affairs	Marine Conservation Zone tranche 3 Designation Orders	Designates Marine Conservation Zones in order to achieve an ecological coherent network of Marine Protected Areas
Department for Education	The Technical and Further Education Act 2017 (Commencement No. 5) Regulations 2019	Legislation for devolution of adult education budget data requirements- amends legislation that currently requires FE providers to gather and provide to government data on learners.
Department for Education	Children's Services and Skills (Fees and Frequency of Inspections) (Children's Homes etc.) (Amendment) Regulations 2017	Raises each of the fees for inspection, registration by 10% for the 17/18 financial year. Includes some PVI organisations.
Department for Education	Revision of The Education (Independent Educational Provision in England) (Provision of Information) Regulations	Introduces changes to the data collected.

Department	Title of measure as in IA	Description of measure
Department for Education	The Higher Education (Fee Limits for Accelerated Courses) (England) Regulations 2019	Sets the variable limits on the maximum fees in the case of accelerated courses where the first year of that course starts on or after 1 August 2019.
Department for Education	Update to statutory guidance "Keeping children safe in education"	Range of changes for clarity, and to include additional contact numbers for pupil records.
Department for Education	The Further Education Bodies (Insolvency) Regulations 2018	Ensures that a process is in place to deal with colleges that become unable to pay their debts once Exceptional Financial Support and the RF come to an end in April 2019.
Department for Education	The Childcare (Miscellaneous Amendments) (EU Exit) (England) Regulations 2018	Amendments to ensure existing information sharing provisions between England and national childcare regulators in the EEA, are retained after the UK's withdrawal from the European Union (EU)
Department for Education	The Childcare Disqualification (England) (Amendment) Regulations / The Childcare (Early Years Provision Free of Charge) (Extended Entitlement) (Amendment) Regulations 2018 (TBC)	Removes disqualification by association, which automatically prevents individuals working in childcare without an Ofsted waiver, where someone in that individual's house has committed a relevant offence. Extends eligibility for 30 hours childcare to foster parents in certain circumstances. To allow children in foster care who meet specific eligibility criteria to access the extended 15 hours.
Department for Transport	International Road Transport Permits Regulations 2018	Prohibits the use of a goods vehicle registered in the United Kingdom for transporting goods on specified international journeys unless an international road transport permit is carried on the vehicle. Provides provisions on applying for and granting a permit, along with provisions on cancellations, appeals and charging.
Department for Transport	The Trailer Registration Regulations 2018	Establishes a registration scheme for trailers and creates offences relating to the scheme.

Department	Title of measure as in IA	Description of measure
Department for Transport	Civil Aviation (Air Travel Organisers' Licensing) (Amendment) Regulations 2018	Increases the range of flight-inclusive package holidays that are protected by the Air Travel Organisers' Licence (ATOL) consumer protection scheme.
Department for Transport	Merchant Shipping (Inland Waterways) (Amendment etc.) (EU Exit) Regulations 2019	Makes amendments designed to ensure that the relevant UK secondary legislation continues to operate effectively and does not contain provisions which are no longer required once the UK leaves the EU.
Department for Transport	Civil Aviation (Amendment etc.) (EU Exit) Regulations 2019	Makes minor technical changes to ensure that UK legislation on aviation continues to function effectively after the UK has left the EU
Department for Transport	Drivers' Hours and Tachographs (Amendment) (EU Exit) (No. 2) Regulations 2019	Remedies deficiencies in Northern Ireland domestic law in the field of drivers' hours and tachographs for the carriage of goods and passengers by road, arising from the withdrawal of the UK from the EU.
Department for Transport	The Rights of Passengers in Bus and Coach Transport (Amendment) (EU Exit) Regulations 2018	Amends the retained direct EU legislation Regulation concerning the rights of passengers in bus and coach transport to deal with deficiencies which would otherwise exist once the UK leaves the EU. It provides for the existing legal regime concerning bus and coach passenger rights (such as accessibility, and compensation for delays or cancellations) to continue to operate in substantially the same manner after as before exit day.
Department for Transport	Driving Licences (Amendment) (EU Exit) Regulations 2018	Addresses failures of existing driving licence legislation to operate effectively, and other deficiencies, which would otherwise result from the withdrawal of the United Kingdom from the European Union.
Department for Work and Pensions	The Occupational Pension Schemes (Master Trusts) Regulations 2018	Commences the authorisation and supervision regime for Master Trust pension schemes (Master Trust schemes) under the provisions of the Pension Schemes Act 2017 (the 2017 Act). It is intended to commence all provisions of the 2017 Act which have yet to come into force, on the day that the regulations are made.

Department	Title of measure as in IA	Description of measure
Department for Work and Pensions	The Occupational Pension Schemes (Governance) (Amendment) Regulations 2018	Transposes the European Union (EU) Directive 2016/23411 on the activities and supervision of institutions for occupational retirement provision (IORPS), (commonly known as "IORP II") to implement those articles in IORP II which relate to workplace pension scheme governance into UK law.
Department for Work and Pensions	The Occupational Pension Schemes (Cross-border Activities) (Amendment) Regulations 2018	Transposes the European Union (EU) Directive 2016/23411 on the activities and supervision of IORPS, (known as 'IORP II') to implement provisions relating to the EU's cross-border pension regime into domestic legislation.
Department for Work and Pensions	The Child Support (Miscellaneous Amendments) Regulations 2018	Improves how child maintenance liabilities are calculated, increasing the range of collection and enforcement powers to help collect more money for children and addressing historic arrears that built up under the 1993 and 2003 Child Support Agency schemes.
Department for Work and Pensions	The Financial Guidance and Claims Act 2018 (Naming and Consequential Amendments) Regulations 2019	Names the new financial advice body (which replaces the Pensions Advisory Service, Money Advice Service and Pension Wise).
HM Treasury	The Money Laundering and Terrorist Financing (Amendment) Regulations 2018	Transposes a minor amendment to the EU's Fifth Anti-Money Laundering Directive (5AMLD) relating to anonymous safe-deposit boxes, strengthening the existing anti-money laundering framework by ensuring that customer due diligence is carried out.
HM Treasury	The Money Market Funds Regulation 2018	Gives effect to the EU Money Market Funds Regulation by amending existing legislation. It enables applications to be made for funds to be authorised by the Financial Conduct Authority (FCA), and for the FCA to exercise its regulatory powers in respect of money market funds.
HM Treasury	The Securitisation Regulations 2018	Implements an EU Regulation and replaces existing rules relating to due diligence, risk retention, transparency and supervision with a uniform regime.



Department	Title of measure as in IA	Description of measure
HM Treasury	Insurance Distribution Directive (IDD) Instrument 2018	Sets the regulatory framework for the sale of insurance in the EU. It updates and replaces the Insurance Mediation Directive (2002/92/EC) ('IMD'), which came into force in 2005.
HM Treasury	The Financial Services and Markets Act 2000 (Ring-fenced Bodies and Core Activities) (Amendment) Order 2018	Ensures that banks that cannot comply fully with the ring-fencing regime because they are unable to move sanctioned accounts are not deemed non-compliant under ring-fencing legislation.
HM Treasury	The Banking Act 2009 (Fees) Regulations 2018	Allows the Bank of England to levy fees directly on payment systems operators to fund supervision.
HM Treasury	The Financial Market Infrastructure Administration (England and Wales) Rules 2018	Establishes a new special administration procedure for operators of certain financial market infrastructure systems and restricts powers of persons other than the Bank of England.
HM Treasury	The Financial Market Infrastructure Administration (Designation of Vocalink) Order 2018	Designation of Vocalink as in scope of Financial Market Infrastructure administration.
HM Treasury	Financial Services and Markets Act 2000 (Claims Management Activities Order) 2018	Transfers responsibility for regulation of claims management companies to the FCA
HM Treasury	The Privacy and Electronic Communications (Amendment) (No. 2) Regulations 2018	Restricts firms from making unsolicited direct marketing calls relating to pensions products and services.
HM Treasury	The Proxy Advisors (Shareholders' Rights) Regulations 2019	Transposes Article 3j of the Second Shareholder Rights Directive by placing disclosure obligations on proxy advisors who advise shareholders in publicly listed companies.

Department	Title of measure as in IA	Description of measure
HM Treasury	The Bankruptcy (Financial Services and Markets Act 2000) and the Insurer's (Winding Up) Rules 2001 (Amendment) Rules 2019	Amendments to HMT's modified insolvency regimes.
HM Treasury	The Financial Services and Markets (Insolvency) (Amendment of Miscellaneous Enactments) Regulations 2019	Amendments to HMT's modified insolvency regimes.
HM Treasury	The Uncertificated Securities (Amendment and EU Exit) Regulations 2018	Amendments to ensure the Uncertificated Securities Regulations 2001 continue to function as intended following the implementation of the EU Central Securities Depository Regulation.
HM Treasury	Public Record, Disclosure of Information and Co-operation (Financial Services) (Amendment) (EU Exit) Regulations 2019	Amendments to fix technical deficiencies in EU-derived legislation resulting from the UK ceasing to be a member of the EU.
HM Treasury	The Financial Regulators' Powers (Technical Standards etc.) (Amendment etc.) (EU Exit) Regulations 2018	Fixing technical deficiencies in EU-derived legislation resulting from the UK ceasing to be a member of the EU.
HM Treasury	The Financial Services Contracts (Transitional and Saving Provision) (EU Exit) Regulations 2019	Fixing technical deficiencies in EU-derived legislation resulting from the UK ceasing to be a member of the EU.

Department	Title of measure as in IA	Description of measure
HM Treasury	The Deposit Guarantee Scheme and Miscellaneous Provisions (Amendment) (EU Exit) Regulations 2018	Amends two definitions in existing Deposit Guarantee Scheme legislation.
HM Treasury	The Long-term Investment Funds (Amendment) (EU Exit) Regulation 2018	Fixes technical deficiencies in EU-derived legislation resulting from the UK ceasing to be a member of the EU.
HM Treasury	The Financial Services (Distance Marketing) (Amendment) (EU Exit) Regulations 2019	Fixes technical deficiencies in EU-derived legislation resulting from the UK ceasing to be a member of the EU.
HM Treasury	The Financial Services (Gibraltar) (Amendment) (EU Exit) Regulations 2019	Fixes technical deficiencies in EU-derived legislation resulting from the UK ceasing to be a member of the EU.
HM Treasury	The Financial Markets and Insolvency (Amendment and Transitional Provision) (EU Exit) Regulations 2019	Fixes technical deficiencies in EU-derived legislation resulting from the UK ceasing to be a member of the EU.
HM Treasury	The Central Counterparties (Amendment, etc., and Transitional Provision) (EU Exit) Regulations 2018	Fixes technical deficiencies in EU-derived legislation resulting from the UK ceasing to be a member of the EU.
HM Treasury	The EEA Passport Rights (Amendment, etc., and Transitional Provisions) (EU Exit) Regulations 2018	Fixes technical deficiencies in EU-derived legislation resulting from the UK ceasing to be a member of the EU.

Department	Title of measure as in IA	Description of measure
HM Treasury	The Electronic Money, Payment Services and Payment Systems (Amendment and Transitional Provisions) (EU Exit) Regulations 2018	Fixes technical deficiencies in EU-derived legislation resulting from the UK ceasing to be a member of the EU.
HM Treasury	The Central Securities Depositories (Amendment) (EU Exit) Regulations 2018	Fixes technical deficiencies in EU-derived legislation resulting from the UK ceasing to be a member of the EU.
HM Treasury	The Trade Repositories (Amendment and Transitional Provision) (EU exit) Regulations 2018	Fixes technical deficiencies in EU-derived legislation resulting from the UK ceasing to be a member of the EU.
HM Treasury	The Bank Recovery and Resolution and Miscellaneous Provisions (Amendment) (EU Exit) Regulations 2018	Fixes technical deficiencies in EU-derived legislation resulting from the UK ceasing to be a member of the EU.
HM Treasury	The Capital Requirements (Amendment) (EU Exit) Regulations 2018	Fixes technical deficiencies in EU-derived legislation resulting from the UK ceasing to be a member of the EU.
HM Treasury	The Credit Rating Agencies (Amendment etc.) (EU Exit) Regulations 2019	Fixes technical deficiencies in EU-derived legislation resulting from the UK ceasing to be a member of the EU.

Department	Title of measure as in IA	Description of measure
HM Treasury	The Market Abuse (Amendment) (EU Exit) Regulations 2019	Fixes technical deficiencies in EU-derived legislation resulting from the UK ceasing to be a member of the EU.
HM Treasury	The Collective Investment Schemes (Amendment etc.) (EU Exit) Regulations 2019	Fixes technical deficiencies in EU-derived legislation resulting from the UK ceasing to be a member of the EU.
HM Treasury	The Collective Investment Schemes (Amendment etc.) (EU Exit) Regulations 2019	Fixes technical deficiencies in EU-derived legislation resulting from the UK ceasing to be a member of the EU.
HM Treasury	Equivalence Determinations for Financial Services and Miscellaneous Provisions (Amendment etc) (EU Exit) Regulations 2019	Fixes technical deficiencies in EU-derived legislation resulting from the UK ceasing to be a member of the EU.
HM Treasury	The Credit Institutions and Insurance Undertakings Reorganisation and Winding Up (Amendment) (EU Exit) Regulations 2019	Fixes technical deficiencies in EU-derived legislation resulting from the UK ceasing to be a member of the EU.
HM Treasury	The Financial Services and Markets Act 2000 (Amendment) (EU Exit) Regulations 2019	Fixes technical deficiencies in EU-derived legislation resulting from the UK ceasing to be a member of the EU.

Department	Title of measure as in IA	Description of measure
HM Treasury	The Investment Exchanges, Clearing Houses and Central Securities Depositories (Amendment) (EU Exit) Regulations 2019	Fixes technical deficiencies in EU-derived legislation resulting from the UK ceasing to be a member of the EU.
HM Treasury	The Payment Accounts (Amendment) (EU Exit) Regulations 2019	Fixes technical deficiencies in EU-derived legislation resulting from the UK ceasing to be a member of the EU.
HM Treasury	The Financial Regulators' Powers (Technical Standards etc.) and Markets in Financial Instruments (Amendment) (EU Exit) Regulations 2019	Fixes technical deficiencies in EU-derived legislation resulting from the UK ceasing to be a member of the EU.
HM Treasury	The Financial Services (Miscellaneous) (Amendment) (EU Exit) (No. 2) Regulations 2019	Fixes technical deficiencies in EU-derived legislation resulting from the UK ceasing to be a member of the EU.
Home Office	The Poisons Act 1972 (Explosives Precursors) (Amendment) Regulations	Makes sulfuric acid above 15% weight by weight concentration subject to the licensing regime and transpose EU Delegated Regulations mandating suspicious transaction reporting for aluminium powders, magnesium powders, and magnesium nitrate hexahydrate.
Home Office	The Misuse of Drugs (Amendments) (Cannabis and Licence Fees) (England, Wales and Scotland) Regulations 2018	Permits the use of cannabis-based products for medicinal (CBPM) use in healthcare, while continuing to prevent the illegal misuse of cannabis.

Department	Title of measure as in IA	Description of measure
Home Office	The Animals (Scientific Procedures) Act 1986 (Fees) Order 2019	Enables Animals in Science Regulations Unit to continue to cover its costs through the fee increase and ensure the continued delivery of the statutory requirements of the Animals (Scientific Procedures) Act (1986).
Home Office	The Registration of Births, Deaths, Marriages and Civil Partnerships (Fees) (Amendment) and Multilingual Standard Forms Regulations 2018	Stimulates customer demand for digital products and services, where there is no customer need for the paper certificate.
Home Office	The Firearms (Amendment) Rules	Enables law enforcement to carry out checks on (i) the suitability of 'servants' of Registered Firearms Dealers to possess firearms and (ii) on the medical conditions of RFDs relevant to their suitability to possess firearms.
Home Office	Control of pregabalin and gabapentin, post consultation review	Reduces the harms associated with the misuse of pregabalin and gabapentin in the UK
Home Office	Data Retention and Acquisition Regulations	Gives the Investigatory Powers Commissioner power to 1) authorise most CD requests by most public authorities, 2) narrow the crime purpose for which certain types of CD can be retained and acquired to tackle serious crime, and 3) provide safeguards for the retention and acquisition of CD, including independent authorisation CD requests.
Ministry of Housing, Communities and Local Government	The Conservation of Habitats and Species and Planning (Various Amendments) (England and Wales) Regulations 2018	Minor technical changes to the Conservation of Habitats and Species Regulations 2017 and several planning statutory instruments to reflect a recent ruling of Court of Justice of the European Union.
Ministry of Housing, Communities and Local Government	The Town and Country Planning (Pre-commencement Conditions) Regulations 2018	Prohibits local planning authorities from imposing pre-commencement conditions unless they have first obtained written agreement from the applicant.

Department	Title of measure as in IA	Description of measure
Ministry of Housing, Communities and Local Government	Homes (Fitness for Human Habitation) Act 2018	Strengthens tenants' means of redress against landlords who do not fulfil their legal obligations to keep their properties safe and requires landlords to ensure that they are meeting their existing responsibilities with regards to property standards and safety.
Ministry of Housing, Communities and Local Government	Insolvency of Registered Providers of Social Housing Regulations 2018	Extends the Housing and Planning Act 2016 provisions beyond companies to other types of housing association i.e. registered societies and charitable incorporated organisations.
Ministry of Housing, Communities and Local Government	The Town and Country Planning and Infrastructure Planning (Environmental Impact Assessment) (Amendment) Regulations 2018	Makes minor, technical amendments to various sets of Environmental Impact Assessment regulations, correcting minor drafting issues. The Regulations also clarify that infrastructure planning certificates of compliance should be sent to the Planning Inspectorate rather than the Secretary of State and adds a provision to the Town and Country Planning Association regulations for where certain, rarely used, special consenting processes engage the requirements of the Environmental Impact Assessment Directive.
Ministry of Housing, Communities and Local Government	The Town and Country Planning (Permitted Development, Advertisement, and Compensation Amendments) (England) Regulations 2019	Amends permitted development rights allowing existing high street premises to change to a wider range of uses; removes the permitted development right for the installation, alteration or replacement of public call boxes; allows for taller electric vehicle charging points; makes permanent the time-limited right for larger extensions to dwelling houses; and other minor amendments and clarifications.
Ministry of Housing, Communities and Local Government	Client Money Protection Schemes for Property Agents (Requirement to Belong to a Scheme etc.) Regulations 2018	Requires property agents to be a member of an approved or designated client money protection (CMP) scheme and make provision for the enforcement of this duty. CMP ensures that landlords and tenants are reimbursed if a letting agent is fraudulent or goes bankrupt. The measure mandates CMP scheme membership only for those agents in the private rented sector that handle client money.



Department	Title of measure as in IA	Description of measure
Ministry of Housing, Communities and Local Government	Tenants' Associations (Provisions Relating to Recognition and Provision of Information) (England) Regulations 2018	The legislation seeks to give leaseholders the right to obtain contact information for other leaseholders in a shared block from their landlord, for the purposes of obtaining statutory recognition of a tenants' association. The measure requires the landlord to provide contact details of relevant qualifying tenants (but only with their consent) to the secretary of a tenants' association upon receiving a request to do so, for the purpose of contacting the qualifying tenant to ascertain whether they wish to join the association.
Ministry of Housing, Communities and Local Government	Building (Amendment) Regulations 2018 SI 2018/1230	This instrument bans the use of combustible materials in external wall systems and balconies for relevant buildings. The change should make it easier to comply with the relevant building regulations' requirements by making the routes to compliance clearer.
Ministry of Justice	Bar Standards Board (BSB) (s80). The Legal Services Act 2007 (Appeals from Licensing Authority Decisions) (General Council of the Bar) Order 2018.	The purpose of the measure is to enable the First tier tribunal to hear appeals against licensing decisions made by BSB.
Ministry of Justice	The Legal Services Act 2007 (General Council of the Bar) (Modification of Functions) Order 2018 in exercise of the powers conferred by section 64(2), (3) and (4), section 69(1), (4) and (6), and section 204(3) of the Legal Services Act 2007(1).	The purpose of this order is to modify the functions of the BSB to give it the power to make new rules or regulations.
Ministry of Justice	CILEX Designation Order. The Legal Services Act 2007 (Designation as a Licensing Authority) Order 2019.	This purpose of this order is to designate Chartered Institute of Legal Executives (CILEX) as a licensing authority, enabling them to license and regulate Alternative Business Structures.

Department	Title of measure as in IA	Description of measure
Ministry of Justice	The Time Off for Public Duties Order 2018	The purpose of the measure is to extend the right to statutory time off work to perform public duties to Lay Observers (who monitor conditions for prisoners under escort and in court custody, in England and Wales); Immigration Detention Estate IMB (Independent Monitoring Board) members (who operate throughout the UK); and Independent Prison Monitors (who operate in Scotland only).

## Non-legislative Non-Qualifying Regulatory Provisions

### Animal and Plant Health Agency (APHA)

Exclusion category	Summary of activity
<p>Measures certified as being below de minimis (measures with an EANDCB below +/- £5 million)</p>	<p>During the period (June 2018 to June 2019):</p> <p>Field Service Management system (FSM) is providing auto scheduling of field visits, infield electronic data capture and management information (MI)/reporting functionality across a range of GB wide animal health and welfare activity areas.</p> <p>The iterative roll out of FSM capability is beginning the transformation field-based services in APHA. This will enable the delivery of outcomes more efficiently with the resource available.</p> <p>The Field Activity Programme continues to contribute to Defra's overall removal of farm visits through combining and co-ordinating inspection visits, enabling approximately 1,000 visits to be removed on an annual basis. Combining and co-ordinating inspections reduces the regulatory burden on farmers and reduces the cost of inspection visits.</p>
<p>Civil Emergencies</p>	<p>Since June 2018 to date:</p> <p>APHA has dealt with Equine Viral Arteritis in stallions resulting in restrictions being placed on the affected animals.</p> <p>APHA dealt with nine findings of Asian Hornets, which pose a serious threat to UK native bee colonies. Four Asian Hornet nests were subsequently located and destroyed.</p> <p>APHA also dealt with an outbreak of root knot nematode in organic carrots and worked in partnership with Forestry Commission to deal with a breeding population of the Eight-toothed spruce bark beetle which is a serious and destructive pest of Spruce.</p>
<p>Fines and Penalties</p>	<p>APHA referred 743 cases to the Rural Payment Agency (RPA) for consideration of applying cross compliance penalties for those farmers who failed to TB test on time within their testing window. Severity of the penalty was dependent on the number of days overdue the test was when it was completed and imposed by RPA.</p> <p>Egg Marketing and Salmonella Controls: 14 Penalty Notices totalling £13,100 and 19 warning letters issued.</p> <p>Defra Investigation Service (DIS) referrals – June 2018 to date; there have been 9 cases referred to DIS.</p>

Exclusion category	Summary of activity
Casework	<p>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, knackery yards, hunt kennels, maggot farms), quarantine centres, nurseries and other plant production sites, designated inspection points and egg producers.</p> <p>Surveillance and testing – APHA undertake surveillance to detect the presence of 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>
Education, communications and promotion	<p>APHA have participated in 25 events in this qualifying period (June 2018 to date) for education, training and communication purposes with industry and stakeholders.</p>
Activity related to policy development	<p>APHA charging work</p> <p>16 areas of work were chargeable for the qualifying period June 18 to June 19.</p> <p>A fundamental review of fees in 2017 meant many plant health related fees were amended in April 2018 for implementation in June 2018.</p>

## Assay Offices

Exclusion Category	Summary of activity
EU Regulations, Decisions and Directives and other international obligations, including the implementation of the EU Withdrawal Bill and EU Withdrawal Agreement	The Houtwipper EU Courts of Justice judgement concerns and impacts mutual regulation, and thus trade, of hallmarked items between EU states. The future of this judgement, if the UK withdraws from the EU, could have a significant impact on UK hallmarking in general and the financial performance of the Assay Offices.
Measures certified as concerning EU Withdrawal Bill operability measures	As above.
Casework	In the calendar year 2018, the Assay Offices between them hallmarked 9,113,477 articles.
Education, communications and promotion	<p>The set of guidance notes for hallmarking published by the Assay Offices was continually reviewed and updated when required. It is published on the websites of the individual offices and on the British Hallmarking Council website.</p> <p>The Assay Offices gave a number of talks for the trade and Trading Standards to inform them on matters associated with hallmarking.</p> <p>The Assay Offices funded the Touchstone Award. This is an award given each year for the best effort by a Trading Standards authority in support of hallmarking activity.</p> <p>None of the material produced created a new regulatory standard that businesses will be expected to follow.</p>
Activity related to policy development	<p>The Assay Offices formed the Technical Committee of the British Hallmarking Council. The key area considered this year included assisting the BHC in finding a way forward with respect to understanding x-ray fluorescence methodologies at each office and looking for a common approach.</p> <p>The Assay Offices paid for research on the current market arrangements for hallmarking with the particular goal of understanding the impact of online retailing.</p>

## British Hallmarking Council (BHC)

Exclusion category	Summary of activity
<p>Measures certified as being below de minimis (measures with an EANDCB below +/- £5 million)</p>	<p>Offshore Hallmarking: The BHC decided in principle that hallmarks struck overseas by UK Assay Offices should be distinguished by way of a special mark whose form has now been agreed, and communications by way of a revised Dealer's Notice are in hand. The outcome of the consultation on overseas marks was published on GOV.UK. The new mark was introduced with effect from 1 April 2019.</p> <p>EU Exit: the BHC participated in a number of discussions with government regarding the uncertainties thrown up by the planned EU Exit.</p> <p>With the support of the Assay Offices the Council ran the Touchstone Award during 2018 and is planning to repeat this during 2019.</p>
<p>Casework</p>	<p>The Council receives numerous telephone and email queries from members of the public usually relating to the application of hallmarking law or concerns about jewellery purchased which did not appear to be hallmarked.</p>

## Care Quality Commission (CQC)

Exclusion category	Summary of activity
Measures certified as being below de minimis (measures with an EANDCB below +/- £5 million)	<p>CQC reported six measures which were below the de minimis threshold. These are:</p> <ul style="list-style-type: none"> <li>• Primary Care Providers at Scale</li> <li>• Provider Information Collection and PMS (General Practice) changes</li> <li>• Factual Accuracy</li> <li>• Independent Health (IH) next phase Out of Hours, Urgent Care and NHS 111</li> <li>• Next phase for Independent Health Providers</li> <li>• Regulatory history</li> </ul> <p>Further information on these measures can be found on the CQC website.</p>
Casework	<p>In 2018-19 CQC undertook over 17,000 inspections of hospitals, mental health services, adult social care providers and primary care services.</p> <p>It received 41,755 applications for the registration of services, issued 2,206 enforcement actions and received 8,878 whistleblowing enquiries.</p> <p>CQC carried out 1,203 Mental Health Act Review visits.</p>
Education, communications and promotion	<p>CQC have been involved in education, communications and promotion activity related to sexual safety in mental health and adult social care services. It also produced the Adult Social Care and Health Care Providers Registration Assessment Framework.</p>
Activity related to policy development	<p>There were 18 policy development changes in the period. These changes included CQC meeting its statutory responsibilities by publishing the State of Care and Mental Health Act Reports, as well as a number of thematic reports, including 'Opening the door to change'.</p>
Changes to management of regulator	<p>There were several changes to the management of CQC in the period, including the recruitment of a new Chief Executive and Chief Operating Officer. CQC also introduced a new regulatory risk management framework to strengthen its approach to safeguarding and regulatory risk, following two independent reviews.</p>

## Charity Commission for England and Wales

Exclusion category	Summary of activity
<p>Measures certified as being below de minimis (measures with an EANDCB below +/- £5 million)</p>	<p>Charitable status of complementary and alternative medicine (change of policy approach and updated guidance affecting c.30 charity applications per year), certified as de minimis through completion of a regulatory impact statement (RIA)</p> <p>Student Unions (minor updates to operational and public guidance on campaigning affecting c.150 charities)</p> <p>Reporting Serious Incidents (RSIs) (minor updates to guidance and processes; simpler bulk-reporting process benefiting c.40 large charities; we received over 2,800 RSIs in 2018-19, a significant increase due to raised awareness of safeguarding – see below)</p> <p>Automatic disqualification from trusteeship (updated guidance supporting new DCMS regulation), supported by an RIA produced by DCMS</p> <p>Protect your charity from fraud and cyber-crime (updated guidance)</p> <p>Safeguarding (simplified and updated guidance, to increase clarity and accessibility)</p> <p>Guidance for charities with a connection to a non-charity (new guidance following consultation with the sector), certified as de minimis through completion of an RIA</p> <p>Whistleblowing guidance (minor update – for staff and volunteers who wish to make disclosures)</p> <p>Charities (Total Return) (Amendment) Regulations 2018 (minor and technical amendment in response to Post Implementation Review)</p> <p>How to choose a charity name and change your charity structure (minor updates to permissive guidance)</p> <p>Check if a new charity is the best option (new permissive guidance)</p>
<p>Casework</p>	<p>Casework is the Commission's primary regulatory activity:</p> <p>registration – the Commission only register organisations that pass the legal tests for a charity and are required to register</p> <p>advice and permissions – charities may need permission, e.g. to sell property, pay trustees, or change their objects; this enables the commission to identify and manage potential risks to the public interest</p> <p>regulatory compliance – the Commission looks into concerns about charities and take action to put charities back on track</p> <p>statutory inquiry (investigation), where the Commission has serious concerns about a charity or may need to use protective or enforcement powers</p> <p>monitoring – proactive identification of issues, desk-based research, interviews, visits to charities and inspecting books and records.</p>



Exclusion category	Summary of activity
Education, communications and promotion	<p>The Commission publishes news stories on its website and a quarterly newsletter, Charity Commission News. We also publish alerts and warnings about issues affecting charities. These include safer giving and fraud awareness and cyber-crime (insider and CEO fraud).</p> <p>In October 2018 the Commission published a new strategy. This clarifies the core purpose of charity regulation – to ensure charity can thrive and inspire trust so that people can improve lives and strengthen society; together with 5 strategic objectives.</p>
Activity related to policy development	<p>To inform policy development we undertook research into public trust in charities, and charities' experience of fraud and cyber-crime.</p>

## Civil Aviation Authority (CAA)

Exclusion category	Summary of activity
<p>Measures certified as being below de minimis (measures with an EANDCB below +/- £5 million)</p>	<p>Publication of an updated CAA Official Record Series 3 to correct some minor errors and outline changes to the Air Travel Organiser's Licence (ATOL) Regulations. Changes were introduced to further modernise ATOL and introduced requirements to achieve better practice, e.g. information to consumers, changes in reporting requirements for Small Business ATOL holders and the requirement to secure flights.</p> <p>European Union Aviation Safety Agency (EASA) Part 66 Licence – 'Grandfathering'<sup>5</sup> of British Gliding Association (BGA) engineer licence application to allow individuals to obtain a Part 66 licence based in part on their BGA based licence.</p> <p>Publication of new forms for airlines applying for Foreign Registered Aircraft Permit - Ad-hoc or Charter Operations, Foreign Registered Aircraft Permit - Aerial Work. Operations, Application to amend an existing Foreign Registered Aircraft Permit, Application for a Foreign Registered Aircraft Permit.</p>
<p>EU Regulations, Decisions and Directives and other international obligations, including the implementation of the EU Withdrawal Bill and EU Withdrawal Agreement</p>	<p>Implementing EU Directive 2015/2302 on package travel and linked travel arrangements (came into force 1 July 2018.)</p> <p>Implementing the Civil Aviation (Air Travel Organisers' Licensing) Regulations 2012, as amended and the Package Travel and Linked Travel Regulations 2018 in the UK to give effect to the (EU) 2015/2302.</p> <p>Guidance on Directive 1107/2006 to meet obligations to disabled persons and persons with reduced mobility.</p> <p>Implementation of the self-declared Maintenance Programme (SDMP), EASA Part M and the removal of the Light Aircraft Programme (LAMP) to facilitate the implementation of EASA Rule making.</p> <p>Implementing EU requirements related to Declared Training Organisations (DTO.)</p> <p>Funding Distribution project 8.33 KHz Implementation – project to set up funding delivery mechanism to General Aviation end users.</p> <p>Aeronautical Data Quality Implementing Rules (ADQ IR) new European-wide rules relating to data quality were introduced in January 2019. They primarily impacted on data originators, aerodromes and air navigation service providers.</p> <p>Conversion of UK aeronautical ground stations to 8.33 kHz voice channel spacing, completed 1 January 2019. EU requirement/harmonisation, EU monies made available to General Aviation pilots to part fund purchase of 8.33 kHz capable radios.</p> <p>Implementing requirements of EU Directive 2013/11 on Alternative Dispute Resolution (ADR) for consumer disputes. The CAA continues to carry out oversight of ADR bodies to ensure they comply with the complaint handling standards.</p> <p>ATOL Policy and Regulations 2019/01 Guidance for industry on how to complete ATOL Certificates.</p> <p>CAP1603: Guidance for airlines on assisting people with hidden disabilities.</p>

<sup>5</sup> Granting a licence without the applicant having to go through normal entrant requirements, i.e. applicants have gained sufficient experience and knowledge from previous activity.

Exclusion category	Summary of activity
Measures certified as concerning EU Withdrawal Bill operability measures	Implementation of EU regulations (EC2042/2003 & EASA Ops) to deliver oversight of commercial balloon activity. Replaces National regulation CAP 611.
Pro-competition	<p>CAP1613: Publication of a report produced by National Air Traffic Services En-Route plc (NERL) in response to the CAA's recommendation to provide increased transparency on London Approach service quality.</p> <p>Publication of the reviews by the CAA and an Independent Reviewer Report on NERL's Annual Service and Investment Plan (SIP) on its recent business plan, related airspace and technology programmes.</p> <p>CAP 1758: Publication of consultancy reports supporting the CAA's proposals and publication of the CAA's proposed RP3 (Reference Period 3 - 2020-2024) performance plan for NERL.</p> <p>Publication of hours of peak congestion at Heathrow and Gatwick for the purposes of the Traffic Distribution Rules 1991 and continued economic regulation of Heathrow.</p> <p>Publication of proposed interim arrangements on regulating Heathrow airport until 2021 and publication of Cambridge Economic Policy Association's independent review of Heathrow's initial business plan submission for that period.</p> <p>Development of regulatory framework and price review for new runway capacity at Heathrow.</p> <p>Continued monitoring and regulation of NATS En-Route (NERL) plc and compliance with its licence. The CAA issued formal notice to NERL for breaching its licence for submitting inadequate accounts.</p>
Regulator case work	<p>7 ATOL holder failures managed, protecting just under 10,000 consumers.</p> <p>Paramotor Pilot Licensing/training review.</p> <p>1,760 Air Travel Organisers' Licences (ATOL) granted annually along with decisions on individual applicants wishing to vary the scale of their ATOL business or other aspects of their business.</p> <p>Battery Failure Safety Notice (S/N 2018/011.)</p> <p>Manage the Operating Licence scheme for UK registered airlines:4,000 business as usual foreign carrier permits, 200 Brexit related foreign carrier permits and 100 route licences issued.</p> <p>CAP 1679: Publication of the CAA's annual airport performance report on the accessibility of services provided by the top 30 UK airports to disabled persons and those with reduced mobility.</p>

Exclusion category	Summary of activity
	<p>Licences issued, renewed, suspended or revoked: 4,285 flight crew licences issued, 2,611 radio telephony licences issued, 386 engineering licences issued, 60 air traffic controller licences issued, 4,633 Standard UAV permissions (Sub 20kg) issued, 28 renewals 28 private pilot licence provisional suspensions, 6 flight examiner/flight instructor provisional suspensions, 6 approved training organisations and 4 air operator certificates suspended, 189 aeromedical examiners in total (averaged monthly value); 1 suspended/revoked.</p> <p>Permissions, approvals variations and exemptions: 44 approved national qualified entities, 209 helicopter, 73 dangerous goods, 893 fixed-wing, 329 propulsion and production, 110 rotorcraft, 310 aircraft maintenance programmes.</p> <p>562 Certificates of Airworthiness issued, and 27 Certificates of Airworthiness revoked.</p> <p>2 prosecutions.</p> <p>Audits, inspections and observations: 688 maintenance and 367 continuing airworthiness audits, 38 flying display inspections, 12 display authorisation examiner observations, 9 balloon base audits, 303 flight simulator evaluation inspections.</p> <p>339 Permits to Fly issued.</p> <p>669 aircraft registered and 925 de-registered.</p> <p>733 findings against Air Operator Certificates.</p> <p>35 operational safety cases issued (sub 20 kg) and 14 operational safety case renewals (+20 kg.)</p>
<p>Education, communications and promotion</p>	<p>Communications to industry following a number of ATOL holder failures.</p> <p>'Pack peace of mind' publicity campaign to raise awareness of ATOL.</p> <p>Advice to consumers affected by various UK and non-UK airline insolvencies.</p> <p>Advice to teachers and parents on the dangers of booking school trips that are not ATOL protected.</p> <p>Advice to passengers affected by airline crew strikes during the summer of 2018 on their entitlement to compensation.</p> <p>Issuance of a number of 'ATOL newsletters' to industry.</p> <p>Publication of a reminder to businesses to submit their ATOL applications on time to ensure their ATOLs were renewed before their expiry date.</p> <p>Press releases on a variety of issues, e.g. on the change of deadline for Private Pilots Licences EASA conversions and on the changes to the application process for Private Pilot Certificate issued on the basis of a foreign pilot licence.</p>

Exclusion category	Summary of activity
	<p>Publication of advice to ATOL holders on the potential impact of exiting the European Union without a deal on their ATOL sales (particularly sales to EU consumers.)</p> <p>Publication of advice to Airline Operating Licence and Air Operator's Certificates (AOC) holders operating in and out of the UK on the action they should take if the UK exited the European Union without a deal.</p> <p>Information sent to individual Pilots to advise on their licence transfer application process in preparation for the UK leaving the EU.</p> <p>CAP1712: Publication of an open letter to airport operators and their relevant business partners following Competition and Markets Authority's airport car parking investigation.</p> <p>Drone safe campaigns.</p> <p>Publication of an open letter to airlines setting out the CAA's view on airlines' obligations to provide re-routing to passengers under Article 8 of Regulation EU261/2004.</p>
<p>Policy development by regulators</p>	<p>Consultations:</p> <p>Consulting on proposals to change CAA's current guidance for airports on setting and monitoring quality standards under Regulation EC 1107/2006</p> <p>Publication of a consultation on the future economic regulation of Gatwick Airport</p> <p>Formal consultation on proposed changes to Visual Meteorological Conditions (VMC) minima in class D airspace</p> <p>Change proposal for the UK Drone Registration Scheme</p> <p>Air Traffic Safety Electronic Personnel Training and Competence</p> <p>Call for evidence consultation: Electronic Conspicuity Solutions</p> <p>Economic Regulation of Capacity Expansion at Heathrow from January 2020: Interim H7 Price Control Proposals</p> <p>CAA Consultation on draft proposals for the UK's Performance Plan for the period from January 2020 to December 2024 – Reference Period 3 (RP3.)</p> <p>Independent Planning Cost Review relating to Heathrow Expansion</p> <p>Flying Display and Special Events 2019: Safety and Administrative requirements and guidance</p> <p>Non-EASA Fleet Aircraft: Industry consultation on seat harness/belt lives</p>

Exclusion category	Summary of activity
	<p>Review of CAA Policy on the Training, Qualification and Licensing of Flight Information Service Officers</p> <p>Future economic regulation of Gatwick Airport Ltd: initial consultation</p> <p>Draft Airspace Modernisation Strategy</p> <p>CAP 670: Air Traffic Services Safety Requirement consultation, concerns the proposed new publication entitled CAP1724: Display Standards Document</p> <p>Project to assess and issue Gyroplane Commercial Pilot Licences with the option of a night rating and a process for Approved Training Organisations to deliver the training</p> <p>Airspace change: a decision-making process for PPR (planned and permanent redistribution of air traffic) proposals</p> <p>CAP1228: Amendments to guidance to airports on quality standards under Regulation EC 1107/2006 to meet their obligations to disabled persons and persons with reduced mobility</p> <p>CAP 1324: Amendments to the CAA's policy covering approved Alternative Dispute Resolution (ADR) bodies operating in the consumer aviation sector</p> <p>CAP 1390: Amendments to the CAA's policy covering CAA-approved ADR bodies reporting complaints data to the CAA</p> <p>CAP1763: Air Navigation Order 2018 and 2019 Amendments - Guidance for Small Unmanned Aircraft users</p> <p>CAP1788: Granting permission for Small Unmanned Aircraft to operate within Protected Aerodrome Flight Restrictions Zones: Guidance to Protected Aerodrome Operators.</p>
<p>Changes to organisation and management of the regulator – changes to structure, governance, location, size etc.</p>	<p>Dedicated training function created within CAA Shared Services Centre</p> <p>Reassignment of Passenger Advice and Complaints Team to Customer Contact Team</p> <p>Innovation Team established in CAA Strategy and Policy Group</p> <p>The Delegation of responsibility for initial and continued oversight of the Rotorway Executive fleet of amateur built helicopters to the Light Aircraft Association (LAA.)</p> <p>Delegation of issue of initial Permits to Fly to the British Microlight Aircraft Association</p> <p>Future Safety policy staff that had been located at CAA House, London are all now based at Aviation House, Gatwick.</p>

## Companies House

Exclusion category	Summary of activity
Measures certified as being below de minimis (measures with an EANDCB below +/- £5 million)	<p>In March 2019, Companies House implemented a service to allow companies limited by shares to submit small full unaudited accounts to Companies House digitally.</p> <p>In November 2019, Companies House introduced a change to statement of capital forms to improve customer experience.</p> <p>Companies House have made improvements to the streamlined company registration service (SCRS) that allows new start-ups to register their company with Companies House and register for tax with HMRC at the same time.</p>
Fines and Penalties	<p>Companies House take compliance action against company directors who do not file their annual accounts and confirmation statement (annual return) on time. Companies House have a target to ensure that 97% of companies have an up to date confirmation statement.</p> <p>In 2017-18:</p> <ul style="list-style-type: none"> <li>• 97.6% of companies were up to date with filing their confirmation statement</li> <li>• 98.4% of companies filed their annual accounts up to date</li> <li>• 201,125 civil penalties for late filing of accounts by private limited companies were issued and 1,493 were cancelled</li> <li>• 509 civil penalties for public companies were issued and 4 were cancelled.</li> </ul>
Casework	<p>Companies House take enforcement action against directors who do not meet their legal obligations.</p> <p>In 2017-18:</p> <ul style="list-style-type: none"> <li>• 3,884 charges were laid in court for failure to deliver accounts,</li> <li>• 1,883 convictions made,</li> <li>• 1,344 charges were withdrawn and 552 were adjourned to a later date.</li> <li>• 2,268 were brought to court for failure to deliver a confirmation statement,</li> <li>• 1,238 convictions made,</li> <li>• 685 withdrawn and 260 adjourned to a later date.</li> <li>• 3,873 directors were summoned to court, 1,980 were convicted</li> <li>• 3,193 companies were involved in proceedings and 1,707 companies in which directors were convicted.</li> </ul>

Exclusion category	Summary of activity
Education, communications and promotion	<p>During the period, Companies House created:</p> <ul style="list-style-type: none"> <li>• over ten external communication campaigns</li> <li>• ten YouTube animations and five small business case studies</li> <li>• supported BEIS and wider government campaigns such as the Industrial Strategy, Shared Parental Leave and Green GB week</li> <li>• launched a new online learning tool for directors, took part in or hosted over 15 webinars and produced seven podcasts</li> <li>• sent monthly newsletters to 550,000 email subscribers</li> <li>• developed and improved our online guidance</li> <li>• updated over 100 forms</li> <li>• published over 25 news stories, and 25 of our corporate blogs were viewed a total of 245,390 times</li> <li>• in collaboration with The Behavioural Insights Team, included over 400,000 companies in a randomised control trial to improve the effectiveness of our account's reminder letters</li> <li>• worked proactively with press, media and trade contacts to promote and communicate key messages, responded to 215 press queries and gained more than 650 significant mentions.</li> </ul>



## Competition and Markets Authority (CMA)

Exclusion category	Summary of activity
<p>Measures certified as being below de minimis (measures with an EANDCB below +/- £5 million)</p>	<p>Guidance has been produced to cover:</p> <ul style="list-style-type: none"> <li>• competition enforcement guidance</li> <li>• mergers guidance</li> <li>• Brexit guidance</li> <li>• miscellaneous advice/guidance</li> </ul>
<p>Casework</p>	<p>Competition enforcement: 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: During the reporting period the CMA launched, closed or secured undertakings/commitments in 13 cases using its Consumer Enforcement powers.</p> <p>Warning and Advisory letters: During the reporting period, the CMA issued 14 advisory letters (relating to three cases and complaints) and 35 warning letters (relating to 27 cases and complaints) to businesses.</p> <p>Merger control: At phase one of Merger Controls, the CMA made 15 references to phase two, 45 unconditional clearances and two Undertakings in Lieu of Reference decisions. one case was abandoned after a phase one substantial lessening of competition (SLC) finding. 12 cases were ongoing at the end of the period.</p> <p>At phase two, the CMA cleared 5 cases and found substantial lessening of competition (SLC) in four cases. Two cases were abandoned after a phase one substantial lessening of competition (SLC) finding. Two cases were ongoing at the end of the period.</p> <p>Market reports: The CMA launched, reached a significant milestone in or published a final report on seven projects.</p> <p>Regulation Reviews: The CMA launched one regulation review.</p> <p>Research: CMA announced a decision to undertake research into certain aspects of the Scottish legal services market to support the Scottish Government's response to the Robertson Review. The CMA also published a document setting out our views on the Robertson Review's recommendations.</p>

## Drinking Water Inspectorate (DWI)

Exclusion category	Summary of activity
<p>Measures certified as being below de minimis (measures with an EANDCB below +/- £5 million)</p>	<p>Publication of Information Letter (IL) 01/2018 on Drinking Water quality legislation 2017 and 2018.</p> <p>Publication of the Chief Inspector's Report for 2017 (public water supplies).</p> <p>Publication of Event Risk Index and Compliance Risk Index definitions.</p> <p>Network and Information System (NIS) Incident Reporting Guidance.</p> <p>Publication of revised guidance on implementing the Water Supply (water quality) Regulations in England and Wales.</p> <p>DWI Memorandum of Understanding with Lloyds Register regarding the Risk Management Assessment Scheme.</p> <p>Notification of Events Guidance.</p> <p>Cyber Assessment Framework Guidance.</p> <p>Chief Inspectors Quarterly Report for Quarter one to three.</p> <p>Publication of IL 03/2018 on Metaldehyde.</p> <p>Joint Letter on the suitability of metallic materials for use in contact with drinking water.</p> <p>Position Paper on Drinking Water Quality in England and Wales as the UK exits from the European Union.</p> <p>Minor revision of the 'Roles and Responsibilities under the NIS Regulations' Guidance on the implementation of the NIS.</p> <p>Minor revision of the Incident Reporting Requirements Guidance on the implementation of the NIS Regulations 2018.</p> <p>Publication of guidance on consumer complaints.</p>
<p>EU Regulations, Decisions and Directives and other international obligations, including the implementation of the EU Withdrawal Bill and EU Withdrawal Agreement</p>	<p>The Water Supply (Water Quality) (Amendment) Regulations 2018.</p>

Exclusion category	Summary of activity
Pro-competition	Publication of IL 02/2018 - Monitoring variations.
Casework	Regulatory Case Work (general measure, encompassing all regulatory casework undertaken by the DWI during the period).
Education, communications and promotion	Press release: Southern Water fined for drinking water offence. Publication of a training video on the DWI's online event notification portal. Northumbrian Water fined for drinking water offences (Press Release). Information Letter 01/2019 Drinking Water Quality Legislation Information Letter 02/2019

## Driver and Vehicle Standards Agency (DVSA)

Exclusion category	Summary of activity
<p>EU Regulations, Decisions and Directives and other international obligations, including the implementation of the EU Withdrawal Bill and EU Withdrawal Agreement</p>	<p>Most of DVSA's core activities are underpinned by EU directives. DVSA issued 57 guidance notices to organisations who conduct statutory activities on our behalf or who we regulate. These include MOT and Individual Vehicle Approval special notices, instructions for approved Certificate of Professional Competence testing and training centres, guidance to those transport companies who participate in the Earned Recognition scheme, and information for approved motorcycle training bodies.</p> <p>Regulations covering European Conference of Ministers Transport (ECMT) permits for certain international transport.</p>
<p>Measures certified as concerning EU Withdrawal Bill operability measures</p>	<p>Department for Transport introduced regulations covering European Conference of Ministers Transport (ECMT) permits for certain international transport.</p>
<p>Fines and Penalties</p>	<p>DVSA introduced new methods for the payment of fines by hauliers and passenger transport operators and issued 5 updates on GOV.UK</p>
<p>Education, communications and promotion</p>	<p>DVSA put 112 updates on GOV.UK with advice and information about our services for the industry and the wider public.</p>

## Drugs Licensing Unit

Exclusion category	Summary of activity
Casework	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.

## Employment Agency Standards Inspectorate (EAS)

Exclusion category	Summary of activity
Casework	<p>EAS handles inbound complaints and undertakes specific targeted investigations, either by sector or location. Its strategic aim is to ensure compliance with the Employment Agencies Act 1973 and associated regulations. In the limited number of cases where compliance cannot be obtained, EAS can use its powers to take enforcement action.</p> <p>Current enforcement powers available to EAS include:</p> <ul style="list-style-type: none"><li>• prosecution in either a Magistrates or Crown Court</li><li>• prohibition of individuals by application to an Employment Tribunal</li><li>• issuing a Labour Market Enforcement Undertaking (LMEU)</li><li>• seeking a Labour Market Enforcement Order (LMEO) where a LMEU has not been complied with, has been breached or as part of the sanctions imposed by a Court.</li></ul> <p>The Good Work Plan, published in 2018, also included four specific recommendations that could affect EAS' work. The government has taken steps to implement some of these, with the abolition of Pay Between Assignments taking effect from April 2020.</p>

## Environment Agency (EA)

Exclusion category	Summary of activity
<p>Measures certified as being below de minimis (measures with an EANDCB below +/- £5 million)</p>	<p>Creation of a low risk waste (LRW) position LRW555 to allow the temporary storage of waste sheep dip, prior to collection for treatment or disposal, by mobile sheep dipping businesses.</p> <p>Withdrawal of Regulatory Position Statement 052 - Food waste: how to store food waste prior to recovery or collection with industry agreement.</p> <p>Withdrawal of Regulatory Position Statement 008.</p> <p>Extension beyond 12 months of Regulatory Position Statement 211: Excavated waste from Utilities Installation and Repair.</p> <p>Change to salmon and sea trout rod and net fishing to limit the number of, and operational control on, salmon and sea trout licences via Net Limitation Orders and Byelaws.</p> <p>Revision to a number of Environmental Permitting (England and Wales) Regulations 2016 standard rules for waste activities, water discharges, onshore oil and gas activities and mining waste operations.</p> <p>Changes to regulation of polychlorinated biphenyl holdings under the Environmental Protection (disposal of polychlorinated biphenyls and other dangerous substances) (England and Wales) Regulation 2000.</p> <p>Updates to our Monitoring Certification Scheme (MCERTS) documentation for businesses that hold environmental permits and produce potentially harmful emissions. Amendments include technical changes, clarifications and simplification of requirements for:</p> <p>MCERTS performance standards and test procedures for Continuous Water Monitoring Equipment Part 3: performance standards and test procedures for water flowmeters.</p> <p>MCERTS: performance standard for organisations undertaking sampling and chemical testing of water.</p> <p>Change in regulatory approach for closed landfills regulated under the Environmental Permitting (England and Wales) Regulations 2016.</p> <p>Changes made under the EA Regulatory services programme, which is working to replace and improve digital services relating to permitting and regulation:</p> <ul style="list-style-type: none"> <li>• replacement of paper-based Water resources abstraction licencing returns with on-line system.</li> <li>• replacement of paper-based application system for standard waste permits with an online digital application service.</li> </ul>

Exclusion category	Summary of activity
<p>EU Regulations, Decisions and Directives and other international obligations, including the implementation of the EU Withdrawal Bill and EU Withdrawal Agreement</p>	<p>Publication of updated guidance on regulatory Guidance Note 2 to ensure compliance in relation to aggregation of rated thermal input capacity of combustion units within the Industrial Emissions Directive 2010/75/EU.</p> <p>Requiring environmental permits for the biological treatment of sewage sludge to implement paragraphs 5.3(a)(i) and 5.3(b)(i) of Annex 1 of the Industrial Emissions Directive 2010/75/EU.</p> <p>Publication of updated guidance on Performance Standards and Test Procedures for Continuous Emission Monitoring Systems (CEMs) and Transportable-CEMs (T-CEMs) in accordance with revised standards from the European Committee for Standardisation to ensure compliance with Directive 2010/75/EU (integrated pollution prevention and control).</p> <p>Publication of guidance on monitoring of stack gas emissions from medium combustion plants and specified generators to ensure compliance with Directive (EU) 2015/2193 on the limitation of emissions of certain pollutants into the air from medium combustion plants.</p> <p>Publication of updated guidance on quality assurance of continuous emission monitoring systems to ensure compliance with standards from the European Committee for Standardisation.</p> <p>Publication of updated guidance on the performance standard for organisations undertaking radio-analytical testing of environmental and waste waters in accordance with revised standard ISO 17025 from the International Organisation for Standardisation (IOS).</p> <p>Publication of updated guidance on the performance standard for laboratories carrying out testing of samples from stack emissions monitoring in accordance with revised standard ISO 17025 from the IOS.</p> <p>Publication of updated guidance on the performance standard for laboratories undertaking chemical testing of soil in accordance with revised standard ISO 17025 from the IOS.</p> <p>Publication of updated guidance on the performance standard for organisations carrying out manual stack emission monitoring in accordance with revised standard ISO 17025 from the IOS.</p>
<p>Casework</p>	<p><i>Permitting decisions</i></p> <p>16,284 permit determination decisions made; 2161 of these were permit variations to secure the required environmental outcomes from the Water Company Periodic Review process (Asset Management Plan outputs).</p> <p>555 permit determination decisions made across the entire radioactive substances' regulation</p> <p><i>Environmental Permitting regime</i></p> <p>783 permits issued for movement of live fish to or from fisheries.</p> <p>610 authorisations issued for commercial fishing (2018 calendar year).</p>



Exclusion category	Summary of activity
	<p><i>Appeals against permitting decisions</i>                      nine appeals against permitting decisions received.</p> <p><i>Appeals against regulatory decisions</i>                      18 independent internal reviews carried out under the provisions of the Regulators' Code.</p> <p><i>Compliance assessment advice</i>                      21,293 Compliance Assessment Report (CAR) forms issued to permitted waste operations and facilities which carry out industrial processes                      15,845 CAR forms and letters issued for permitted water discharge activities                      Approximately 4101 CAR forms issued to water abstraction and impoundment licence holders                      1,058 CAR forms issued across the radioactive substances regulation Environmental Permitting regime.</p> <p><i>Registrations</i>                      72,517 exempt activities registered and 613 de-registered under the Environmental Permitting Regulations.                      524 commercial boats registered.</p> <p><i>National Trading Regulatory Services</i>                      622 consents issued for international waste shipments, 7 of these were for radioactive wastes. 5,474 registrations and 9,182 compliance assessment actions carried out under the Producer responsibility laws.</p> <p><i>Climate Change Trading and Regulatory Services</i>                      2,629 permitting decisions made                      804 compliance checks completed                      664 entrants registered and 218 de-registered                      seven appeals received                      191 civil penalty notices issued.</p> <p><i>Enforcement activity</i>                      157 prosecution cases completed in the period                      29 formal cautions accepted                      244 enforcement notices served                      1,130 warning letters sent</p>

Exclusion category	Summary of activity
	Civil sanctions used on 63 occasions* * These are sanctions issued under the Regulatory Enforcement and Sanctions Act 2008
Activity related to policy development	Two national external consultations held. 22 national external consultations held.

## Equality and Human Rights Commission (EHRC)

Exclusion category	Summary of activity
Casework	<p>London Stock Exchange. We wrote to LSE re rule 4 of the AIM rules for Nominated Advisors, which states that a qualified executive must be 'full time' and which we suggested indirectly discriminated against women. AIM issued a clarification of this rule to the market in May 2019 stating that it does not prevent part-time or flexible working arrangements.</p> <p>G entered into an agreement with EHRC to tackle sexual harassment (Feb 2019)</p> <p>C entered into an agreement with EHRC following a finding of sexual harassment in the Employment Tribunal (Jan 2019)</p> <p>R entered into an agreement with EHRC to safeguard employees against sexual harassment and ensure that complaints of sexual harassment are appropriately dealt with (Jan 2019)</p> <p>R agreed to work with EHRC Scotland to look for ways to further enhance the accessibility of its mobile branch fleet (Dec 2018; agreed in Scotland with some impact in England and Wales)</p> <p>S entered into an agreement with EHRC after S was found liable for an act of sexual harassment against one of its employees (Dec 2018)</p> <p>D entered into an agreement with EHRC following media reports containing allegations concerning the behaviour of some guests towards staff at an event where D supplied some of the event staff (July 2018)</p> <p>R entered into an agreement with EHRC following complaints about potentially discriminatory advertising (Aug 2018)</p>
Education, communications and promotion	Advice for advisor's helpline – providing free advice to advisers (e.g. CAB) with equality related queries.

## Financial Conduct Authority (FCA)

Exclusion category	Summary of activity
<p>Measures certified as being below de minimis (measures with an EANDCB below +/- £5 million)</p>	<p>SME access to the Financial Ombudsman Service. Expansion of the groups eligible to have a complaint considered by the Financial Ombudsmen Service as of 1st April 2019 to small businesses and guarantors (as defined in the FCA handbook).</p> <p>PS18/19: Assessing Creditworthiness in Consumer Credit</p> <p>Cyber Resilience Webpage on FCA website</p> <p>Financial Crime Guide: chapter on insider dealing/market manipulation</p> <p>Premium Listing Principle 6 Amendment</p> <p>PS18/11: Sovereign Controlled Companies</p> <p>PS18/22: Authorised Push Payment Fraud - extending the jurisdiction of the FOS - Feedback to CP18/16 and final rules</p> <p>Multi Firm Review - Complaints Handling Review Findings for Non-Deposit Mortgage Lenders (NDTMLs) and Mortgage Third-Party Administrators (MTPAs)</p> <p>Multi firm review - key findings on our recent work on pension transfer advice</p> <p>Multi firm review - Pawn Broking Sector</p> <p>TR18/3: Money Laundering and Terrorist Financing Risks in the E-Money Sector</p> <p>PS18/20: Improving the quality of pension transfer advice - feedback on CP18/7 and final rules and guidance</p> <p>Defined Benefit (DB) Pension Transfers</p> <p>TR19/2: General Insurance Distribution Chain</p> <p>PS19/4: Loan-based ('peer-to-peer') and investment-based crowdfunding platforms: Feedback to CP18/20 and final rules - P2P Home Finance</p> <p>TR18/4: Pricing practices in the retail general insurance sector: Household insurance</p> <p>TR19/1: Debt management sector thematic review</p> <p>PS19/13: Proposals to promote shareholder engagement: Feedback to CP19/7 and final rules</p> <p>UKLA /TN/202.2 - Share buy-backs with mix and match facilities</p> <p>UKLA/TN/315.1 – Quantified Financial Benefits Statements</p> <p>UKLA/TN/340.2 – Profit forecasts and estimates</p> <p>UKLA/TN/506.2 – Periodic financial information</p> <p>UKLA/TN/506.2 – Scope and application of vote holder and issuer notification rules</p>

Exclusion category	Summary of activity
	<p>UKLA/TN/635.1 – FRS 102 Cash Flow Statement Exemptions</p> <p>UKLA/TN/708.3 – Sponsors' obligations on financial position and prospects procedures</p> <p>UKLA/TN/718.1 – Sponsors' duty regarding directors of listed companies</p> <p>UKLA/TN/719.1 – Sponsors' obligations on established procedures</p> <p>UKLA/TN/720.1 – Sponsors' obligations on no adverse impact</p> <p>TR19/3: Fair Treatment of With-Profits Customers</p> <p>CP18/11: Reviewing the funding of the Financial Services Compensation Scheme (FSCS): Feedback from CP17/36, final rules and new proposals for consultation</p> <p>Retail and Wholesale Banking: review of firms' whistleblowing arrangements</p>
<p>EU Regulations, Decisions and Directives and other international obligations, including the implementation of the EU Withdrawal Bill and EU Withdrawal Agreement</p>	<p>EU Securitisation Regulation Implementation (Decision Procedure and Penalties Manual (DEPP) and Enforcement Guide (EG))</p> <p>Elements of our implementation of the Approach to final Regulatory Technical Standards and EBA guidelines under the revised Payment Services Directive (PSD2)</p> <p>Implementation of The European Money Market Funds (MMF) Regulation.</p>
<p>Pro-competition</p>	<p>In this period, FCA published its final reports for their Retirement Outcomes Review, Wholesale Insurance Broker Market Study, Mortgages Market Study and Investment Platforms Market Study. FCA also began a new study into General Insurance Pricing Practices.</p> <p>Completed market studies: 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 March 2019, FCA published the final report of its Mortgages Market Study.</p> <p>Market studies underway: FCA currently have one market study in progress; further details can be found in the 2019-20 FCA Business Plan. In October 2018, FCA launched its General Insurance Pricing Practices Market Study. The market study will build on FCA's diagnostic work and focus on pricing practices in home and motor insurance. These are two of the largest general insurance markets and these products are widely held across the UK. FCA aims to publish its interim report in summer 2019, setting out their preliminary conclusions including, where appropriate, a discussion of potential remedies.</p>

Exclusion category	Summary of activity
	<p>Other competition work: FCA have powers to enforce EU and UK competition law relating to financial services and also carry out other competition work, such as strategic reviews. In July 2017, FCA launched its review into the Motor Finance sector which sets out to understand the use of motor finance products and to assess the sales processes employed by firms and whether the product could cause harm. FCA published its interim findings in March 2018 and the final report was published in March 2019.</p>
<p>Fines and Penalties</p>	<p>Through our enforcement activities, FCA identifies and addresses behaviour that fails to meet its standards or is dishonest or unlawful. FCA have deterrent and remedial powers that includes redress and restorative measures.</p> <p>FCA's enforcement investigations into firms and individuals are conducted as casework, so are excluded under this provision. When an appropriate case outcome has been reached, FCA can apply sanctions and financial penalties.</p> <p>Changes to FCA's redress and penalties policies are covered under the exclusion relating to fines and penalties, and redress and restitution. For example, in March 2019, FCA issued finalised guidance for the increase of how much the Financial Ombudsman Service can award when it upholds a complaint against a firm. FCA also confirmed that the limit will increase on the 1st April each year in line with inflation as measured by the Consumer Prices Index (CPI).</p>
<p>Casework</p>	<p>In this reporting period FCA have processed 4,295 applications for authorisation from firms (this includes applications which were approved, rejected and withdrawn).</p> <p>During this reporting period, FCA also processed 1,525 applications for approval of a change in control, 2,684 cancellations of permission and 482 individual waivers.</p> <p>FCA also varied 2,087 firms' permissions, processed 8,114 mutual societies' returns and 10,805 firms' applications for passporting. This is the number of new passports and amendments to existing passports. Passporting allows firms to establish a presence or carry out its permitted activities in another country in the European Economic Area (EEA).</p> <p>Once firms are authorised, FCA undertakes a range of ongoing supervisory activities. For example, during the reporting period FCA held approximately 4,000 meetings with its larger – fixed-portfolio - firms. While not all of these meetings would have resulted in RPs, the wide definition of guidance under the Act means individual guidance may often have been given. In addition, as part of its 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 350 potential issues at our 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 RPs under the Act.</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 June 2018 and May 2019 alone the contact centre took 124,915 phone calls from firms, answered 26,805 emails/web forms/webchats and 2,199 letters.</p>

Exclusion category	Summary of activity
	<p>Similarly, FCA runs 'Live &amp; Local' events across the whole of the UK, to provide advice for investment, general insurance and mortgage firms. FCA also investigates firms where it suspects serious misconduct has occurred; the outcome of which can be enforcement or supervisory action, or a combination of both. At any given time, FCA has 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 period (21 June 2018 to 20 June 2019), FCA closed 67 investigations about firms and opened 111. FCA commenced 16 proceedings against firms. At the end of the period (as at 20 June 2019), FCA had 252 live matters about firms, of which 223 were at investigation stage and 29 were in litigation (referred to the Regulatory Decisions Committee, Upper Tribunal or Courts). This gives only some of the background of the work FCA does where it suspects serious misconduct has occurred.</p> <p>Between 21 June 2018 and 20 June 2019, FCA cancelled the permissions of 225 firms, temporarily suspended or restricted the activities of 6 firms, and issued 10 fines to firms.</p>
Education, communications and promotion	FCA's Approach to Authorisation document, published in November 2018.
Activity related to policy development	FCA launched 64 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 undertake 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 for the Senior Managers and Certification Regime (SM&CR) to apply to Claims Management Companies, on which FCA consulted in September 2018.

## Financial Reporting Council (FRC)

Exclusion category	Summary of activity
<p>Measures certified as being below de minimis (measures with an EANDCB below +/- £5 million)</p>	<p>Amendments to Financial Reporting Standard (FRS) 101 Reduced Disclosure Framework – 2016-17 cycle). The International Accounting Standards Board (IASB) published IFRS 16 Leases in January 2016 with an effective date of 1 January 2019.</p> <p>Amendments to FRS 102 The Financial Reporting Standard applicable in the UK and Republic of Ireland - Triennial review 2017 Incremental improvements and clarifications (December 2017) - including amendments to FRS 100 Application of Financial Reporting Requirements, FRS 101 Reduced Disclosure Framework, FRS 103 Insurance Contracts, FRS 104 Interim Financial Reporting and FRS 105 The Financial Reporting Standard applicable to the Micro-entities Regime. The effective date is 1 January 2019.</p> <p>Amendments to FRS 102 The Financial Reporting Standard applicable in the UK and Republic of Ireland- Multi-employer defined benefit plans (May 2019) The effective date is 1 January 2020, with early application permitted.</p> <p>Guidance on the Strategic Report - Revised in July 2018, has been enhanced to recognise the increasing importance of non-financial reporting while maintaining the key principles of existing guidance.</p> <p>Guide to help smaller companies improve financial reporting - the FRC jointly with the Institute of Chartered Accountants in England and Wales (ICAEW) published a new guide to help smaller listed and Alternative Investment Market (AIM) quoted companies improve their financial reporting.</p> <p>Code for the corporate governance of large private companies – the Wates principles launched 10 December 2018.</p> <p>UK Corporate Governance Code – revised in July 2018.</p>
<p>Fines and Penalties</p>	<p>Enforcement activities:</p> <ul style="list-style-type: none"> <li>• 43 investigations<sup>6</sup> involving audit and financial reporting with a total of 92 subjects under investigation;</li> <li>• 10 further investigations commenced into 26 further subjects;</li> <li>• 7 investigations concluded with settlements made with 15 subjects;</li> <li>• 4 investigations concluded following a determination by a Tribunal with ten subjects; and cases closed for five subjects.</li> </ul> <p>Total fines (at settlement and tribunal): £28,045,000 (£22,487,888 after discounts).</p>

<sup>6</sup> Where the FRC has an open investigation relating to the audit and the preparation and approval of the financial statements of an entity, we have counted this as separate open investigations. In previous years, this split was not made and it was counted as one open investigation.



Exclusion category	Summary of activity
	<p>In respect of non-financial sanctions imposed upon subjects:</p> <ul style="list-style-type: none"> <li>• 18 reprimands/severe reprimands;</li> <li>• 6 exclusions;</li> <li>• 5 conditions;</li> <li>• 3 declarations;</li> <li>• 40 investigations (of which one case heard and currently awaiting Tribunal decision).</li> </ul> <p>At 20 June 2019 there were 40 investigations (of which one case heard and currently awaiting Tribunal decision) with a total of 88 subjects under investigation for audit and financial reporting. (53 are under Audit Enforcement Procedure (AEP) with the rest under the Accountancy Scheme.</p>
Casework	<p>Audit Inspections:</p> <ul style="list-style-type: none"> <li>• 160 audits in including 4 local audits under the Local Accountability and Audit Act 2014.</li> <li>• Corporate Reporting Review:</li> <li>• 92 routine reviews of annual reports and accounts.</li> <li>• 115 thematic reviews. FRC wrote substantive letters to 81 companies (letters where companies asked direct questions regarding their annual report and accounts).</li> </ul> <p>Monitoring visits on:</p> <ul style="list-style-type: none"> <li>• 4 Recognised Supervisory Bodies for statutory audit purposes</li> <li>• 2 Recognised Supervisory Bodies for local audit purposes.</li> <li>• 5 Recognised Qualifying Bodies for statutory audit purposes and one Recognised Qualifying Body for local audit purposes.</li> </ul>

Exclusion category	Summary of activity
<p>Activity related to policy development</p>	<p>Published consultation on the draft 2019 UK Stewardship Code with a final version to be published later in 2019.</p> <p>Published discussion paper on Building an effective regulatory framework for stewardship.</p> <p>Consultation on revisions to the Standards for Investment Reporting (SIRs) 1000-5000 and on an exposure draft for a new SIR 6000 dealing with Quantified Financial Benefits Statements.</p> <p>Issued a revised Practice Note 19: The Audit of Banks and Building Societies in the United Kingdom (PN 19).</p> <p>Post implementation review providing assurance on client assets to the FCA.</p> <p>Post implementation review of the June 2016 revised Ethical Standard and a suite of revised International Standards on auditing (ISAs) (UK).</p> <p>Proposed revisions to International Standard on Auditing (ISA) (UK) 570 Going Concern to increase the work required of auditors when assessing whether an entity is a going concern.</p> <p>Consultation to seek views on the proposed changes to the Third Country Auditors (Fees) Instrument to reflect changes required when the UK leaves the EU.</p> <p>Consultation on improvements to the reporting of intangibles.</p> <p>Published Risk Perspective: 2018 Update setting out collective view on current risks to high quality actuarial work.</p> <p>Published Actuarial Statement of Recommended Practice (ASORP) 1 which promotes high quality technical actuarial work where actuaries are performing a financial analysis (or analyses) of Social Security Programmes (SSPs), or reviewing, advising on, or opining on such analyses. This standard applies to technical actuarial work in the scope of ASORP 1 which is completed on or after 1 September 2019.</p>

## Fish Health Inspectorate (FHI)

Exclusion category	Summary of activity
Civil Emergencies	<p>The FHI applied statutory controls on 26 fisheries and five fish traders to control the listed (notifiable) condition Koi Herpesvirus (KHV) disease.</p> <p>Work continues on the characterisation of emerging diseases including a condition, cranial maxilla fibrosis which has been observed on a single trout farm in England.</p>
Casework	<p>The FHI served six enforcement notices, issued 22 official warning letters, and undertook 26 enforcement visits during the reporting period. This casework relates to non-compliant businesses. There were no prosecutions of businesses for non-compliance with statutory responsibilities during the reporting period.</p> <p>The FHI is also involved in multi-agency investigations with other regulatory bodies including UK Border Force (UKBF) and the Environment Agency (EA). A prosecution case led by UKBF is under preparation as a result of an investigation into illegal trade in live aquatic animals.</p>
Education, communications and promotion	<p>The FHI continued to engage with businesses through attendance at trade body events such as those held by the Ornamental Aquatic Trade Association (OATA), the British Trout Association (BTA), and the Coarse Fish Conference.</p> <p>The FHI also attends scientific conferences and meetings and provides the UK co-ordinator for aquatic animal diseases to the World Organisation for Animal Health (OIE).</p> <p>Information on regulation is published on the GOV.UK website, the Marine Science blog, and for events such as disease outbreaks, on the FHI Facebook page. Businesses in proximity to disease outbreak events are contacted directly by letter or email to ensure that they are aware of the increased biosecurity risk in their area.</p> <p>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>

## Food Standards Agency (FSA)

Exclusion category	Summary of activity
<p>Measures certified as being below de minimis (measures with an EANDCB below +/- £5 million)</p>	<p>Revised E.coli O157 Control of cross contamination - guidance for food business operators and local authorities. The revision followed a routine review of the guidance and introduced further simplification to the guidance (including formatting changes).</p> <p>New guidance on Food Traceability, Withdrawals and Recalls within the UK Food Industry. The new guidance, for food business operators and food safety enforcement authorities, replaces former FSA guidance notes for business with more comprehensive UK guidance.</p> <p>New guidance on Food Traceability, Withdrawals and Recalls within the UK Food Industry. The new guidance, for food business operators and food safety enforcement authorities, replaces former FSA guidance notes for business with more comprehensive UK guidance.</p>
<p>Casework</p>	<p>The FSA leads on the 24/7 government response to food and feed incidents and effectively 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 other government departments' investigations, for example supporting Public Health England colleagues in foodborne outbreak investigations.</p> <p>The FSA National Food Crime Unit (NFCU) gathers, analyses and disseminates intelligence in relation to fraud and other offences of dishonesty within the food supply chain.</p> <p>The FSA carries out criminal investigations into legislative non-compliance at FSA approved establishments. Where necessary, it takes forward prosecutions or refers relevant files to the Crown Prosecution Service.</p> <p>FSA policy colleagues routinely respond to business enquiries and the FSA has a dedicated stakeholder helpline that deal with generic public enquiries or direct callers to the appropriate policy lead.</p>
<p>Education, communications and promotion</p>	<p>The FSA routinely:</p> <ul style="list-style-type: none"> <li>• uses a wide range of social media techniques to inform, educate and influence stakeholder behaviours on a range of issues intended to promote consumer protection and their other interests;</li> <li>• produces a wide range of factsheets and information leaflets that are published on its website;</li> <li>• communicates with business on a range of subjects through industry forums, working groups, roundtable discussions and one-to-one meetings as well as written correspondence with FSA approved establishments on matters that directly affect them; and</li> </ul>

Exclusion category	Summary of activity
	<ul style="list-style-type: none"> <li>• consults stakeholders on changes to food law and routinely consults stakeholders when developing its regulatory approach and other policy changes that may impact stakeholders.</li> <li>• uses a wide range of social media techniques to inform, educate and influence stakeholder behaviours on a range of issues intended to promote consumer protection and their other interests;</li> <li>• produces a wide range of factsheets and information leaflets that are published on its website;</li> <li>• communicates with business on a range of subjects through industry forums, working groups, roundtable discussions and one-to-one meetings as well as written correspondence with FSA approved establishments on matters that directly affect them; and</li> <li>• consults stakeholders on changes to food law and routinely consults stakeholders when developing its regulatory approach and other policy changes that may impact stakeholders.</li> </ul>
<p>Activity related to policy development</p>	<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>

## Gambling Commission

Exclusion category	Summary of activity
Measures certified as being below de minimis (measures with an EANDCB below +/- £5 million)	<p>The Commission made changes to the Licence Conditions and Codes of Practice following consultations on:</p> <ul style="list-style-type: none"> <li>• changes to online age verification controls, which requires all remote operators to undertake age verification checks before a consumer gambles;</li> <li>• changes to marketing and advertising, unfair terms and complaints and disputes conditions and codes of practice to clarify requirements, which applies to all B2C operators;</li> <li>• clarifying the protections afforded to customer funds in the event of insolvency, which applies to all B2C operators.</li> </ul>
Fines and Penalties	<p>There have been seven 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.</p> <p>Additionally, there were three financial penalties (paid for breach of anti-money laundering conditions and failure to keep consumers safe from gambling harms).</p>
Casework	<p>The Commission imposed regulatory sanctions this year:</p> <ul style="list-style-type: none"> <li>• 17 personal licences revoked</li> <li>• 8 personal licensees received a warning</li> <li>• 3 operating licences revoked</li> <li>• 2 operators received warnings and financial penalties</li> </ul> <p>During this period 129 new operating licences were issued and 270 surrendered.</p>
Activity related to policy development	<p>The Commission consulted on and is currently considering responses to:</p> <ul style="list-style-type: none"> <li>• Alternative dispute resolution processes;</li> <li>• Requirements to funding the research, education and treatment of gambling related harm;</li> <li>• Processes for identifying and interacting with customers who may be experiencing or at risk of gambling related harm.</li> </ul> <p>Opened calls for evidence on:</p> <ul style="list-style-type: none"> <li>• the issue of gambling online with credit cards and, separately, on improving player control measures on Category B gaming machines;</li> <li>• gambling website blocking software.</li> </ul> <p>We will report on the outcome of these next year.</p>

Exclusion category	Summary of activity
Education, communications and promotion	<p>The Commission has given:</p> <ul style="list-style-type: none"> <li>• Over 30 presentations to external stakeholders and over 40 to co-regulatory partners and exhibited at 10 trade fairs.</li> <li>• General information was provided to operators and co regulatory partners via 9 Licensing Authority and 28 E bulletins and over 60 press releases during the year and we made various updates to our website content including advice notes, guidance notes, quick guides, mini blogs.</li> <li>• Launched a new online application process for personal function licences</li> </ul> <p>The Commission published:</p> <ul style="list-style-type: none"> <li>• New national strategy to reduce gambling harm;</li> <li>• Framework for measuring harms among children and young people;</li> <li>• Various research documents on gambling behaviour and industry statistics;</li> <li>• Enforcement report for 2017-18;</li> <li>• Business plan for 2019-20 and an annual report and accounts for 2017-18.</li> <li>• Guidance on complaints and disputes handling.</li> </ul> <p>No activities listed in this section represent a change in the burden of regulation placed on business.</p>
Changes to management of regulator	<p>Dr Anna van der Haag took over as chair of the renamed Advisory Board for Safer Gambling (previously the Responsible Gambling Strategy Board).</p>

## Gangmasters and Labour Abuse Authority (GLAA)

Exclusion category	Summary of activity
<p>Measures certified as being below de minimis (measures with an EANDCB below +/- £5 million)</p>	<p><i>Responsible Car Wash Scheme (RCWS)</i></p> <p>The RCWS has produced a code of practice to which those organisations who may seek accreditation are compliant. It covers the areas of the GLAA's standards as well as relevant additional areas in relation to the environmental, planning and health and safety issues. This does not increase business burdens because the code covers the areas of legislation that car washes should be currently compliant with.</p> <p>Initially a pilot will operate across the East and West Midlands examining compliance of hand car washes on supermarket car parks. There is a cost of accreditation of £250 per site, which compares favourably against the cost of statutory licensing due to the extra procedural and information checks that have to be run in that process. There are 58 test sites in the pilot area.</p> <p><i>GLAA Brief 58 - New Licensing Standards</i></p> <p>The Licensing Standards set out the conditions to be complied with in order to be granted and keep a GLAA licence. The Standards are all legal requirements to protect workers from poor treatment and exploitation. They have been updated following a review and came into force 1 October 2018. Businesses must apply for a GLAA licence before supplying workers to a GLAA regulated sector, such as agriculture, horticulture and shellfish gathering. Currently there are 1000 licences, and approximately 150 new applications per year (with a churn of about 150 that expire/do not renew).</p> <p>The GLAA considers that the revisions and changes to the Standards will make the Standards more relevant to the labour market of today as well as making them clearer and more transparent for licence holders and applicants. In doing so, it has eased the administrative burden for businesses whilst maintaining an effective regulatory system. This is a revision to existing licence standards and does not increase existing burdens for those organisations that require a licence. Nor do the standards extend the scope of licensing beyond that which has been the scope since licensing began in 2006 and therefore falls under the de minimis threshold.</p> <p>During the reporting period the GLAA's enforcement responsibilities also cover broader labour market investigations. Such investigations are under the Police and Criminal Evidence Act 1984. As such they are not a regulatory but pure criminal and also considered excluded.</p>



## Groceries Code Adjudicator (GCA)

Exclusion category	Summary of activity
Casework	Publication of the GCA investigation report into Co-operative Group Limited (25 March 2019)
Education, communications and promotion	In addition to general information and promotional material such as newsletters, the GCA published the following educational document clarifying existing requirements and providing greater certainty to business. Revised GCA best practice statement: forecasting and promotions (25 June 2018).

## Health and Safety Executive (HSE)

Exclusion category	Summary of activity
<p>Measures certified as being below de minimis (measures with an EANDCB below +/- £5 million)</p>	<p>Health Safety Executive (HSE) changed the accreditation process for offshore first aid and medic training providers to deliver a more cost-effective method of accreditation without reducing the standard of training. The number of visits to new offshore training providers was reduced and allows registered paramedics and registered nurses to carry out visits rather than doctors. The amended activity does not ask training organisations to do anything different/additional to comply. The costs to business will be lower.</p> <p>HSE updated its guidance on managing the risks of infection when handling the deceased in the mortuary, post mortem room, and funeral premises. This change was made to provide flexibility to safely embalm the deceased with known or suspected Hazard Group 3 (HG3) blood-borne viruses, such as HIV, hepatitis B and hepatitis C. Previous guidance advised that embalming of the deceased should be not undertaken with known or suspected HG3 blood-borne viruses.</p> <p>HSE has withdrawn or published various updated guidance documents for duty holders and inspectors to simplify language or reflect up to date practices without changing requirements. Compliant duty holders are not expected to do anything different to manage risk.</p>
<p>EU Regulations, Decisions and Directives and other international obligations, including the implementation of the EU Withdrawal Bill and EU Withdrawal Agreement</p>	<p>4th Indicative Occupational Exposure Limit Values (IOELV) Directive was implemented on 21 August 2018. HSE transposed the Directive by amending the statutory table one in the HSE publication EH40/2005 containing the updated list of Workplace exposure limits. The costs have been assessed to be below the de minimis.</p>
<p>Measures certified as relating to the safety of tenants, residents and occupants in response to the Grenfell tragedy</p>	<p>HSE consolidated its operational guidance on managing fire risk during cladding and insulation removal and replacement on tall buildings to draw together the relevant existing information that needs to be addressed in order to manage the fire risk at work.</p>

Exclusion category	Summary of activity
Casework	<p>One of the foundations of HSE's role as a regulator is to secure the effective management and control of risk. HSE uses different interventions to assess and secure effective management and control of hazards and remove risk from the workplace. These include inspections, investigations, permissioning and licensing regimes. HSE took action to reduce risk at over half of the workplaces visited in the course of completing 18,000 targeted inspections and made regulatory contact with over 850 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 can be found on the HSE website.</p>
Education, communications and promotion	<p>HSE campaigns, publications, press releases, news and stakeholder engagement events are available on the website. None of the material produced creates a new regulatory standard that businesses will be expected to follow and attendance at educational and promotional events is not compulsory.</p>
Activity related to policy development	<p>HSE public consultations held during the reporting period can be found on the HSE website. HSE has published completed Post Implementation Reviews on <a href="http://legislation.gov.uk">legislation.gov.uk</a>.</p>
Changes to management of regulator	<p>Any changes to HSE Board, management and structures are detailed in the Annual Report and Accounts.</p>

## Historic England

Exclusion category	Summary of activity
Casework	<p>Issued Section 42 Licences for geophysical surveys of scheduled monuments, including the use of metal detectors.</p> <p>Casework advice of various kinds to local planning authorities, owners, and developers as follows:</p> <p>Acting as a statutory consultee under the Planning (Listed Building and Conservation Areas) Act 1990 for various strands of planning and listed building consent applications made to local planning authorities.</p> <p>Acting as a consultee under the Ancient Monuments and Archaeological Areas Act 1979 on applications for scheduled monument consent made to the Department of Culture, Media and Sport, before the Secretary of State grants consent.</p> <p>Being consulted by DCMS under the 1990 Act on all applications for the listing of buildings as buildings with special architectural and historic importance, and under the 1979 Act on all applications for scheduling of ancient monuments of national importance.</p>
Education, communications and promotion	<p>Provided advice for applicants and owners to help them carry out works in appropriate ways, including issuing Good Practice Advice documents, published with assistance of the Historic Environment Forum, and Historic England Advice notes which are generated by Historic England.</p>
Activity related to policy development	<p>Historic England is the statutory advisor to the Secretaries of State for Culture, Media and Sport and Housing, Communities and Local Government and gives policy advice on all matters relating to the historic environment to both departments.</p>

## Human Fertilisation and Embryology Authority (HFEA)

Exclusion category	Summary of activity
Casework	<p>Figures cover the 2018/19 business year; this is considered as representative of a 12-month period</p> <p>As of June 2019, the HFEA licensed 133 establishments across its sector. Of these, 68 establishments were public sector organisations and 65 were classified as businesses.</p> <p>Between 1 April 2018 and 31 March 2019, the HFEA managed:</p> <ul style="list-style-type: none"> <li>• 101 site visits of licensed premises, resulting in 180 shortfalls</li> <li>• 570 incidents reported – none of which met our criteria for Grade A (critical) incident.</li> </ul>
Education, communications activities and promotional campaigns	<p>The HFEA produces a newsletter for professional stakeholders approximately every two months called Clinic Focus. This contains general information about the HFEA's activities and signposts new/updated guidance.</p> <p>During the reporting period, the HFEA published a revised Code of Practice that updated a number of areas in relation to procedures and standards.</p> <p>The HFEA also published guidance for establishments on how to prepare for EU Exit.</p> <p>The HFEA also published its State of the Sector and Fertility Trends reports and the results of its first National Patient Survey.</p>

## Human Tissue Authority (HTA)

Exclusion category	Summary of activity
Casework	<p>Figures cover the 2018-19 business year. This is considered as representative of a 12-month period.</p> <p>As of June 2019, the HTA licensed 564 establishments across six sectors. Of these, 322 establishments were public sector organisations and 242 were classified as businesses.</p> <p>Between 1 April 2018 and 31 March 2019, the HTA managed:</p> <ul style="list-style-type: none"> <li>223 site visits of licensed premises, resulting in 1,533 shortfalls.</li> <li>568 incidents reported across six sectors</li> <li>15 new licence applications</li> <li>639 licence variation requests</li> <li>Information submissions for 35 preparation process dossiers</li> </ul> <p>In January 2019, 136 establishments in the Human Application sector were required to submit an annual activity return.</p> <p>The HTA has a statutory duty to decide every living organ donation to ensure that every donation takes place with valid consent and free of duress, coercion and reward. In 2018-19, the HTA made a decision on 1,228 organ donations from living donors.</p>
Education, communications and promotion	<p>The HTA produces a newsletter for professional stakeholders every two months. This contains general information about the HTA's activities and signposts new/updated guidance.</p> <p>A quarterly newsletter is sent to Independent Assessors</p> <p>During the reporting period, the HTA published guidance for each of its sectors on how to meet existing regulatory requirements.</p> <p>It also published guidance for establishments on how to prepare for EU Exit.</p> <p>In March 2019, the HTA launched online tests on HTA legislation. These were publicised to stakeholders but are not mandatory.</p> <p>A blog on HTA regulatory activity was launched in May 2019.</p> <p>The HTA updated its guidance on incident reporting in the Post Mortem sector. This included a minor modification to certain reporting categories.</p>

## Information Commissioner's Office (ICO)

Exclusion category	Summary of activity
Measures certified as being below de minimis (measures with an EANDCB below +/- £5 million)	<p>The ICO has continued to produce guidance documents for business to explain the requirements of the EU General Data Protection Regulation (GDPR) and the Data Protection Act 2018 (DPA 2018).</p> <p>Whilst it is possible to calculate the cost to business of reading this guidance in terms of reading time (and the ICO did this for the 2015-2017 submission), it is not possible to monetise the direct benefit to business of reading the guidance.</p> <p>As reading the guidance is voluntary, the ICO considers that it is reasonable to expect that business will therefore read it only where it leads to net benefits; the analysis therefore assumes that the benefits are at least equal to the costs.</p>
EU Regulations, Decisions and Directives and other international obligations, including the implementation of the EU Withdrawal Bill and EU Withdrawal Agreement	<p>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 de minimis exclusion category.</p> <p>None of the changes of EU origin place additional burdens on business beyond those required under legislation of EU origin; i.e. no gold plating has occurred.</p>
Casework	<p>The ICO's regulatory activities which can be classed as casework include complaints from individuals under Articles 57(1)(f) and (2), and 77, of the GDPR and Section 165 of the DPA 2018.</p> <p>In the last year the ICO has received over 40,000 complaints from members of the public about data protection issues of which over a third relate to businesses; with over 14,000 personal data breaches reported from 25 May 2018 to 1 May 2019. For comparison, around 3,300 complaints were received for 2017/18.</p>
Education, communications and promotion	<p>The ICO has published a number of webinars, podcasts and conference recordings on data protection matters.</p> <p>The ICO holds an annual conference for data protection practitioners each spring which is attended by representatives from a cross section of businesses and organises other awareness-raising events relevant to business on an ongoing basis during the year.</p> <p>The ICO has continued to produce guidance and blogs to support organisations building on the success of their early myth busting advice and comprehensive guide to GDPR, published in the run up to 25 May 2018.</p>

Exclusion category	Summary of activity
Activity related to policy development	<p>In the reporting period, the ICO carried out a number of consultations on data protection guidance, as listed below:</p> <ul style="list-style-type: none"><li>• Call for views – Age Appropriate Design Code</li><li>• Consultation – Draft Age Appropriate Design: A Code of Practice for Online Services</li><li>• Call for views – Updating the Data Sharing Code of Practice</li><li>• Call for views – Direct Marketing Code of Practice</li><li>• Call for views – Data Protection and Journalism Code of Practice</li></ul>



## Information Commissioner's Office (ICO)

Exclusion category	Summary of activity
Measures certified as being below de minimis (measures with an EANDCB below +/- £5 million)	<p>The ICO has continued to produce guidance documents for business to explain the requirements of the EU General Data Protection Regulation (GDPR) and the Data Protection Act 2018 (DPA 2018).</p> <p>Whilst it is possible to calculate the cost to business of reading this guidance in terms of reading time (and the ICO did this for the 2015-2017 submission), it is not possible to monetise the direct benefit to business of reading the guidance.</p> <p>As reading the guidance is voluntary, the ICO considers that it is reasonable to expect that business will therefore read it only where it leads to net benefits; the analysis therefore assumes that the benefits are at least equal to the costs.</p>
EU Regulations, Decisions and Directives and other international obligations, including the implementation of the EU Withdrawal Bill and EU Withdrawal Agreement	<p>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 de minimis exclusion category.</p> <p>None of the changes of EU origin place additional burdens on business beyond those required under legislation of EU origin; i.e. no gold plating has occurred.</p>
Casework	<p>The ICO's regulatory activities which can be classed as casework include complaints from individuals under Articles 57(1)(f) and (2), and 77, of the GDPR and Section 165 of the DPA 2018.</p> <p>In the last year the ICO has received over 40,000 complaints from members of the public about data protection issues of which over a third relate to businesses; with over 14,000 personal data breaches reported from 25 May 2018 to 1 May 2019. For comparison, around 3,300 complaints were received for 2017/18.</p>
Education, communications and promotion	<p>The ICO has published a number of webinars, podcasts and conference recordings on data protection matters.</p> <p>The ICO holds an annual conference for data protection practitioners each spring which is attended by representatives from a cross section of businesses and organises other awareness-raising events relevant to business on an ongoing basis during the year.</p> <p>The ICO has continued to produce guidance and blogs to support organisations building on the success of their early myth busting advice and comprehensive guide to GDPR, published in the run up to 25 May 2018.</p>

Exclusion category	Summary of activity
Activity related to policy development	<p>In the reporting period, the ICO carried out a number of consultations on data protection guidance, as listed below:</p> <ul style="list-style-type: none"><li>• Call for views – Age Appropriate Design Code</li><li>• Consultation – Draft Age Appropriate Design: A Code of Practice for Online Services</li><li>• Call for views – Updating the Data Sharing Code of Practice</li><li>• Call for views – Direct Marketing Code of Practice</li><li>• Call for views – Data Protection and Journalism Code of Practice</li></ul>

## Intellectual Property Office (IPO)

Exclusion category	Summary of activity
<p>Measures certified as being below de minimis (measures with an EANDCB below +/- £5 million)</p>	<p>From April 2018, through to the end of the 2019 financial year, Intellectual Property Office (IPO) engaged with 5,427 businesses face to face regarding Intellectual Property (IP), through a range of seminars, workshops or business exhibitions.</p> <p>IPO also delivered intensive 3-day IP training to 79 businesses or business advisors during this period and facilitated IP audits for 265 businesses. In addition to this, our network of Patent Libraries has provided advice to 12,868 individuals and 79,835 people have used our suite of online tools and resources for businesses 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, we calculate that we have been able to engage with over 102,270 businesses and provide them with IP advice, since April 2018.</p> <p>Overall, 81% of businesses that IPO has engaged with have reported making an informed decision about their IP following our engagement.</p> <p>IPO updated the following guidance:</p> <p>Manual of Patent Practice to provide guidance on amendments made to the Patents Rules 2007 and Patents (Fees) Rules 2007 and any relevant case law over the period.</p> <p>Guidance on the UK Implementation of the Marrakesh Treaty.</p> <p>Guidance on the UK implementation of the Trade Marks Directive 2015' The legislation behind the above guidance has been impacted.</p> <p>Practice Direction from the Trade Marks Tribunal to make claims less burdensome for the opposing party to consider.</p> <p>The Trade Marks work manual updated to make it clearer, with some refreshed wording, but no changes of practice or requirements.</p> <p>IPO dealt with the following number of applications between 21 June 2018 and 31 April 2019:</p> <ul style="list-style-type: none"> <li>• Patents: 17,078</li> <li>• Trademark: 76,326</li> <li>• Designs: 21,234</li> </ul>

Exclusion category	Summary of activity
	<p>The IPO published outcomes to several consultations including:</p> <ul style="list-style-type: none"><li>• the UK implementation of the Marrakesh Treaty</li><li>• the implementation of the Trade Marks Directive 2015</li><li>• the Industrial Strategy. Intellectual Property call for views</li><li>• IPO is confident that all activity listed falls within the de-minimis threshold</li></ul>

## HM Land Registry

Exclusion category	Summary of activity
<p>Measures certified as being below de minimis (measures with an EANDCB below +/- £5 million)</p>	<p>HM Land Registry considers that all its changes fall within the de minimis 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"> <li>• Made enhancements to its electronic documents service in respect of change of name applications to:                             <ul style="list-style-type: none"> <li>• require an additional certification as to having the authority to make the change;</li> <li>• provide further data when relating to a Deed Poll; and</li> <li>• allow a customer for the first time to correct a mistake in the registered proprietor's name.</li> </ul> </li> <li>• Made an enhancement to HM Land Registry's Portal to enable unilateral notice applications against part of a registered title.</li> <li>• Extended its practice of notifying a mortgage lender applicant where a discharge of whole is received in paper form to all applications following automation of the notice, allowing the lender to object to the application if they consider the discharge to be fraudulent.</li> </ul> <p>Formalised established practice by accepting a single application form where certain criteria are met:</p> <ul style="list-style-type: none"> <li>• the entry of more than one restriction; and</li> <li>• the bulk removal of unilateral notices on developing titles</li> <li>• Revised a standard request for compliance with one of HM Land Registry's counter-fraud restrictions with the aim of negating the need for subsequent information to be provided to confirm the identity of the conveyancer certifying.</li> </ul> <p>Following practice reviews:</p> <ul style="list-style-type: none"> <li>• revised approach to dealing with name discrepancies to make the principle as simple as possible, consistent and clear to both HM Land Registry and its customers</li> <li>• widened the rejection criteria for applications to create new freehold or leasehold titles (first registrations the changes were supported by new guidance including updating an application form, checklist and webinars.</li> <li>• HM Land Registry has made over 50 updates to practice guides (where not covered by another administrative exclusion) to reflect changes and developments in the law, changes to practice and processing, to add new guidance, remove obsolete information and to clarify/make clearer our processes and requirements to support customers in making applications.</li> </ul>

Exclusion category	Summary of activity
	<p>In addition, HM Land Registry has revised application forms and standard requisitions and produced checklists and aids to highlight new practice and to assist in the correct lodgement of applications.</p>
<p>Education, communications and promotion</p>	<p>HM Land Registry has amended:</p> <ul style="list-style-type: none"> <li>• 9 practice guides and 2 forms requesting approval of documentation to factually transpose changes in legislation by other government departments.</li> <li>• 5 practice guides and 1 form requesting approval of documentation to update contact details.</li> </ul> <p>In addition, promotional material has been produced through webinars, videos and published articles via GOV.UK to promote correct lodgement of applications and highlight practice.</p>
<p>Activity related to policy development</p>	<p>HM Land Registry is trialling further rejection criteria for applications to create new freehold or leasehold titles (first registrations) and has undertaken services pilots to provide customers with support and specialist advice to improve the quality of complex/commercial transactions HM Land Registry receive - these include providing:</p> <ul style="list-style-type: none"> <li>• an illustrative site plan product based on a title plan result</li> <li>• pre-submission and application management services</li> </ul>
<p>Changes to management of regulator</p>	<p>HM Land Registry has changed the name of their Wales Office to the Swansea Office (following the past merger of Wales and Swansea offices) to show the merged office does not deal wholly with properties in Wales. It has also made some changes to contact details as a result of internal changes in the organisation.</p>

## Marine Management Organisation (MMO)

Exclusion category	Summary of activity
<p>Measures certified as being below de minimis (measures with an EANDCB below +/- £5 million)</p>	<p>Marine Licensing</p> <p>Defra commenced their new exemption policy on 31 May. MMO updated GOV.UK with guidance to match.</p> <p>In the explanatory note to the 2019 SI, the state “An impact assessment has not been produced for this instrument as no, or no significant, impact on the private, voluntary or public sectors is foreseen.” <a href="http://www.legislation.gov.uk/uksi/2019/893/note/made">www.legislation.gov.uk/uksi/2019/893/note/made</a></p> <p>Marine Licensing (Application Fees) (Amendment) Regulations 2018 that came into force on 1st Sept 2018 with a business impact of “A full impact assessment has not been produced for this instrument as no, or no significant, impact on the private, voluntary or public sectors is foreseen.” <a href="http://www.legislation.gov.uk/uksi/2018/850/pdfs/uksi_20180850_en.pdf">www.legislation.gov.uk/uksi/2018/850/pdfs/uksi_20180850_en.pdf</a></p>

## Maritime and Coastguard Agency (MCA)

Exclusion category	Summary of activity
<p>Measures certified as being below de minimis (measures with an EANDCB below +/- £5 million)</p>	<p>The Maritime and Coastguard Agency has implemented six de minimis measures:</p> <ul style="list-style-type: none"> <li>• The Merchant Shipping (Work in Fishing Convention) (Medical Certification) Regulations 2018</li> <li>• The Merchant Shipping (Work in Fishing Convention) (Consequential Provisions) Regulations 2018</li> <li>• The Merchant Shipping (Work in Fishing Convention) (Survey and Certification) Regulations 2018.</li> <li>• The Merchant Shipping (Work in Fishing Convention) Regulations 2018</li> <li>• The Code of Practice for Intended Pleasure Vessels in Temporary Commercial Use at Sea</li> <li>• The Workboat Code – Edition two</li> </ul>
<p>EU Regulations, Decisions and Directives and other international obligations, including the implementation of the EU Withdrawal Bill and EU Withdrawal Agreement</p>	<p>The Maritime and Coastguard Agency has implemented seven EU/International obligations:</p> <ul style="list-style-type: none"> <li>• The Merchant Shipping and Fishing Vessels (Health and Safety at Work) (Miscellaneous Amendments) (EU Exit) Regulations 2018</li> <li>• The Merchant Shipping (Maritime Labour Convention) (Compulsory Financial Security) (Amendment) Regulations 2018</li> <li>• The Merchant Shipping (Technical Requirements for Inland Waterway Vessels) (Amendment) Regulations 2019</li> <li>• The Merchant Shipping (Maritime Labour Convention) (Extension of Maritime Labour Certificate) (Amendment) Regulations 2019</li> <li>• The Merchant Shipping (Marine Equipment) (Amendment etc.) (EU Exit) Regulations 2019</li> <li>• The Merchant Shipping (Recognised Organisations) (Amendment) (EU Exit) Regulations 2019)</li> <li>• The Merchant Shipping (Prevention of Oil Pollution) Regulations 2019</li> </ul> <p>The following consultations have also been undertaken:</p> <ul style="list-style-type: none"> <li>• Alternative verification for tankers – Damage Stability</li> <li>• Recasting the Merchant Shipping (Prevention of Oil Pollution) Regulations 1996</li> </ul> <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>



Exclusion category	Summary of activity
Casework	<p>From current available data, MCA has undertaken 1,353 Port State Control inspections of which 36 resulted in detaining the ship. MCA has also undertaken 2,789 Flag State surveys and 2,655 Flag State inspections of which five resulted in detaining the ship. MCA has undertaken 150 training course approvals, approved 3,808 seafarers for competency and issued 222 Boatmasters licences.</p> <p>MCA has conducted 234 International Safety Management audits and 73 Document of Compliance audits.</p>
Education, communications and promotion	<p>MCA published over 100 documents providing the UK maritime sector with general information in the following areas:</p> <ul style="list-style-type: none"> <li>• Approved doctors, medical referees and health seminar presentations</li> <li>• Approved radio surveyors, Marine Pollution (MARPOL) surveyors and Certifying Authorities</li> <li>• Approved service stations</li> <li>• Recruitment and placement agencies</li> <li>• Marine safety bulletins, safety information and Scientific, Technical and Operational Advice Notes</li> <li>• Training materials for counter pollution training courses</li> <li>• National Contingency Planning and Search and Rescue Cooperation Plans</li> <li>• Companies offering maintenance of radio equipment</li> <li>• Local fuel oil suppliers register</li> <li>• SAR statistical information</li> <li>• List of protected wrecks in the UK</li> <li>• Seafarer application forms</li> <li>• Survey and Inspection, and UK Shipping Register Newsletters</li> </ul>
Activity related to policy development	<p>In addition to consultation of the EU and International legislation, the following consultations have taken place:</p> <ul style="list-style-type: none"> <li>• Review of MGN494 - Media or organisations using ships and fishing vessels</li> <li>• Emergency Drills &amp; Prevention of Man Overboard guidance</li> <li>• MLC Survey and Certification Regulations – Post Implementation Review</li> <li>• Review of Standards for Older UK Passenger Ships</li> </ul>

## Medicines and Healthcare products Regulatory Agency (MHRA)

Exclusion category	Summary of activity
<p>Measures certified as being below de minimis (measures with an EANDCB below +/- £5 million)</p>	<p>MHRA worked with the British Generic Manufacturers Association (BGMA) to agree new and improved process and associated protocol for the co-ordination of safety and risk management materials for generic medicines. This year, BGMA issued a single set of safety materials on behalf of affected Marketing Authorisation holders for four initiatives (each involving between 11 and 25 participating companies) which BGMA estimates has saved industry £1,962,000.</p> <p>Under Combined Ways of Working (CWoW) pilot, UK organisations involved in the review and authorisation of clinical trials of investigational medicinal products (CTIMPs) are harmonising our assessment, producing a single UK decision on a clinical trial. The pilot process requires only a single CTIMP application dossier to be submitted for both the Clinical Trial Authorisation (CTA) and the Research Ethics Committee (REC) opinion. The application is assessed by both organisations and any requests for further information are co-ordinated and combined. A single communication to confirm the final UK decision is sent to the applicant. To date, 62 initial applications, 50 amendments and 6 end-of-trial notifications have been received. Of the 62 initial applications, 50 have been completed and 12 are still under assessment or awaiting a response to questions raised.</p> <p>Following a two-part review looking at the scheduling of cannabis-based products, the government subsequently introduced the Misuse of drugs (Amendment) (Cannabis and Licence Fees) (England, Wales and Scotland) Regulations 2018, which came into force on 1 November 2018. These amendments introduced a definition of “cannabis-based product for medicinal use in humans”. MHRA worked with Home Office and DHSC on this change which has enabled the prescribing and supply of cannabis-based medicines, primarily for administration to children for treatment of refractory epilepsy. MHRA published guidance to assist importers and manufacturers of cannabis-based medicines. Imports have proceeded in an orderly and prompt manner so as to ensure a smooth supply to meet patient demand.</p>
<p>EU Regulations, Decisions and Directives and other international obligations, including the implementation of the EU Withdrawal Bill and EU Withdrawal Agreement</p>	<p>MHRA consulted on the steps proposed to make sure the UK meets its obligations to transpose the provisions of the Falsified Medicines Directive (FMD) safety features. FMD safety features came into force on nine February 2019. The MHRA has published a wide range of guidance relating to FMD and the safety features.</p>

Exclusion category	Summary of activity
Measures certified as concerning EU Withdrawal Bill operability measures	MHRA consulted on legislation and regulatory processes that would need to be modified in the event of the UK not securing a deal with the EU after the UK's exit with no implementation period. The MHRA has published updated guidance on the regulation of medicines, medical devices and clinical trials if there's a no deal Brexit.
Education, communications and promotion	<p>In preparation for and post-implementation of the Falsified Medicines Directive: Safety Features, MHRA coordinated a group of external stakeholders representing the different points of the medicines supply chain to produce sector-specific guidance, which was published online and through the regular e-newsletter.</p> <p>MHRA carried out significant work to inform and engage with industry on preparations for a potential no-deal Brexit scenario, involving external representatives in the planning and development of new systems to replace those the UK would lose access to through leaving the European Union, and staging large scale training opportunities for industry to test the new systems and make ready for a potential day one scenario.</p> <p>MHRA also sent regular updates to industry trade associations (for onward cascade to their members) highlighting recently published guidance on GOV.UK and details of the progress of legislation to allow the continued sale of / access to medicines, medical devices and clinical trials.</p> <p>For those companies on MHRA's Marketing Authorisation Holder database that may not have been a member of a trade association, MHRA sent a one-off summary of all no-deal guidance published to date.</p>
Activity related to policy development	<p>MHRA consulted on the steps proposed to make sure the UK meets its obligations to transpose the provisions of FMD safety features. FMD safety features came into force on 9 February 2019.</p> <p>MHRA also published a wide range of guidance relating to FMD and the safety features.</p>

## Natural England

Exclusion category	Summary of activity
<p>Measures certified as being below de minimis (measures with an EANDCB below +/- £5 million)</p>	<p>During the reporting period the following measures were introduced but fell below the de minimis (estimated EANDCB in brackets):</p> <p>Introduction of charging for certain types of wildlife licence under the Wildlife Licence Charges (England) Order 2018 (-£0.3M)</p> <p>Inclusion of serotine and greater horseshoe bats as additional species covered by the Bat Mitigation Class Licence (-£13K)</p> <p>New guidance on humane trapping of badgers, beavers, otters and pine martens (+£23K)</p> <p>Introduction of a new wildlife licence to trap beavers (+£13.3K)</p> <p>Three General Licences (bird control) were revoked following a legal challenge in April 2019. These have been replaced by temporary licences ahead of a public consultation planned for summer 2019. An impact analysis will be made on the final replacements for these licences once the consultation is concluded.</p>
<p>Casework</p>	<p>Between 21 June 2018 and 20 June 2019 Natural England responded to 49,921 items of casework.</p>
<p>Education, communications and promotion</p>	<p>Natural England has continued to update and make minor amendments to relevant guidance on GOV.UK in response to customer feedback and requests. It made 35 new publications available on its Access to Evidence portal, the majority of which focused on revised management restoration plans and commissioned reports. It has published 379 items of new information on GOV.UK including 11 corporate reports, updates to Class and General licences and updated information on invasive species and sites of special scientific interest. It continues to make available, free of charge, maps and geographic information through its MAGIC website as well as updating and maintaining its designated sites database.</p>
<p>Activity related to policy development</p>	<p>During the BIT reporting period, Natural England undertook a series of consultations to extend or create new Special Protection Areas for rare, vulnerable and migratory birds of European Importance. It also sought public views regarding the introduction of a district level licensing scheme pilot in Woking. It ran consultations on making byelaws to protect sites of special scientific interest (SSSIs) as well as local consultations to establish new or extend existing SSSIs in Teesmouth and Cleveland, Essex and Poole Harbour. The organisation also undertook 14 open access restriction consultations and reported on the outcome of 22 previous consultations. It published proposals for 50 new stretches of the England Coastal Path or for coastal access and requested information from the public on issues relevant to bovine TB badger control licences.</p>

<b>Exclusion category</b>	<b>Summary of activity</b>
Changes to management of regulator	There have been some changes to the organisation's senior leadership with a new interim Chief Executive joining in December 2018 and the appointment of a new Chair who took up this role in April 2019. Natural England published an update to its governance in December 2018 and a revised organisational structure in March 2019.

Ofcom

Exclusion category	Summary of activity
Measures certified as being below de minimis (measures with an EANDCB below +/- £5 million)	Global Radio publications (statement on approved areas, and 53 approved format changes) Updating approved areas for local radio to be produced in Scotland and Wales Extending the Premium Rate Services Condition Changes to the On-Demand Programme Services Rule 11 Making new licence exempt 60GHz regulations List of channels required to provide access services in 2019 Update of second-class stamp safeguard cap Extension of mandatory daytime protection rules Recovering consumer advocacy costs Minor changes to General Conditions Opening of Short-term Restricted Service Licences window for Ramadan licences Directory enquiries (118) price cap
EU Regulations, Decisions and Directives and other international obligations, including the implementation of the EU Withdrawal Bill and EU Withdrawal Agreement	Changes to the licence exemption criteria for short range device.
Pro-competition	Ofcom undertook a number of reviews to support pro-competition activities: Review of the 070 number range Review of regulatory financial reporting for Royal Mail - margin squeeze KCOM regulatory financial reporting BT's regulatory financial reporting Wholesale Broadband Access Market Review - 10am RNS BBC Commercial and Trading Activities - updates to Ofcom's requirements and guidance BBC's commissioning activity

Exclusion category	Summary of activity
Fines and Penalties	Ofcom issued sanctions to JML Media Limited.
Casework	Original 106 - request to change format Commercial radio licence awards for Bristol (106.5FM) and Ceredigion Announce the award of new community radio licences Variation of UK Broadband's spectrum access licence for 3.6 GHz spectrum
Activity related to policy development	Fixed Wireless Spectrum Strategy Local TV re-advertisement of further locations Review of media ownership rules 700 MHz clearance programme timescale review Accessibility of on-demand programme services

## Office of the Regulator of Community Interest Companies (CIC)

Exclusion category	Summary of activity
Measures certified as being below de minimis (measures with an EANDCB below +/- £5 million)	All the work of the Regulator of Community Interest Companies (CIC) is certified as being below de minimis.
Casework	<p>Number of CICs currently on the public Register: approximately 16,000.</p> <p>CICs Registered during this period: Apr 2018 – Mar 2019 = 3,215</p> <p>Complaints handled about CICs during this period: Apr 2018 – Mar 2019 = 32</p> <p>CICs which Ceased Trading during this period: Apr 2018 – Mar 2019 = 1,711</p>
Education, communications and promotion	<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 have been very positively received.</p> <p>Twitter following has reached more than 2,000 – it is well ahead of the Regulators end of year target and a very active account. We have developed a series of Webinars which are proving extremely effective and have been utilised numerous of times. These are often delivered in conjunction with partner organisations such as Companies House, IPO and HMRC.</p> <p>CIC will be looking to further develop our digital communication methods through more interactive digital methods.</p>
Activity related to policy development	<p>CIC have delivered online filing for CIC incorporations – this went live in March 2019. This has made our operational processes more efficient and is delivering better service level delivery times with incorporation times reducing from two weeks to two days and reduced costs to applicants.</p> <p>CIC are currently developing online filing options for CIC Annual Reports and Accounts to further make processes even more efficient.</p>



## Office for Nuclear Regulation (ONR)

Exclusion category	Summary of activity
Measures certified as being below de minimis (measures with an EANDCB below +/- £5 million)	<p>The ONR has determined all costs to fall below the de minimis exclusion during this reporting period. No activities have been undertaken which represent a change in regulatory requirements or principles.</p> <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).</p> <p>ONR has withdrawn or published various TIGs and TAGs to simplify language / add clarity or reflect up to date practices without changing existing requirements or introducing new ones. The guidance documents reflect good practice and international standards and are available on the ONR website. Whilst duty holders may wish to familiarise themselves with the guidance, it is judged that the additional regulatory burden is minimal.</p>
EU Regulations, Decisions and Directives and other international obligations, including the implementation of the EU Withdrawal Bill and EU Withdrawal Agreement	<p>ONR has drafted statutory guidance (which will be published in 2019/20) to assist duty holders in their compliance with the new Radiation (Emergency Preparedness and Public Information) Regulations (REPPPIR) 2019. This transposes the emergency preparedness and response elements of the Directive 2013/59/EURATOM (Basic Safety Standards), which came into force on 22 May 2019.</p> <p>In addition, non-statutory guidance has also been drafted to ensure compliance with the transport elements of the above Directive.</p>
Measures certified as concerning EU Withdrawal Bill operability measures	<p>ONR supported the Impact Assessment undertaken by BEIS for the Nuclear Safeguards (EU Exit) Regulations 2019 between June and November 2018.</p>
Casework	<p>ONR uses different interventions such as inspections, investigations, permissioning and licensing regimes to reduce the hazards of the nuclear industry as low as reasonably practical. None of these activities represent a change in the burden of the regulation placed on business. A comprehensive list of ONR's regulatory activities can be found in ONR's Annual Report and Accounts (ARA) 2018-19 expected to be published on 20 June 2019.</p>
Education, communications and promotion	<p>A list of ONR publications, press releases, news and engagement events are available on the ONR website. None of the material produced creates a new regulatory standard that businesses will be expected to follow and attendance at educational and promotional events is not compulsory.</p>
Activity related to policy development	<p>ONR undertook a self-assessment against the Regulators Code which was published in May 2018</p>

<b>Exclusion category</b>	<b>Summary of activity</b>
Changes to management of regulator	ONR's ARA provides full details of the ONR Board, management and structures including, the appointment of a new Chair who commenced his appointment on 1 April 2019.

## Office of Gas and Electricity Markets (Ofgem)

Exclusion category	Summary of activity
Measures certified as being below de minimis (measures with an EANDCB below +/- £5 million)	Published 61 documents each with an EANDCB of less than +/- £5 million. This included measures such as minor changes to industry codes.
EU Regulations, Decisions and Directives and other international obligations, including the implementation of the EU Withdrawal Bill and EU Withdrawal Agreement	Published 56 documents 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.
Pro-competition	Published a total of 76 documents 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 RIIO price controls, the Offshore Transmission Owners regime, the Competition in Connections Code of Practice, Competition and Market Authority Remedies, and Modifications to SLC 14 and 15.
Fines and Penalties	Published 7 documents relating to fines and penalties.
Casework	Published 258 documents regarding specific investigation and specific enforcement activity, and individual licence decisions. The majority of these documents related to the applications for, 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 and promotion	Published 22 documents that were educational and did not create new regulatory standards that businesses would be expected to follow.

Exclusion category	Summary of activity
Activity related to policy development	Published 85 documents regarding our own policy development such as formal and informal consultations and ad hoc information requests.
New Exclusion	The Domestic Gas and Electricity (Tariff Cap) Act 2018 created a new duty for Ofgem to design and implement a temporary cap on domestic standard variable and default gas and electricity tariffs. The cap was introduced on 1 Jan 2019 at around £1,137 per year for typical single rate dual fuel customers paying by direct debit. Around 10.7 million households were expected to benefit from it. A cap will run until at least the end of 2020, at which point Ofgem will make a recommendation to the Secretary of State for Business, Energy and Industrial Strategy regarding any possible extension.

Office of Road and Rail (ORR)

Exclusion category	Summary of activity
<p>Measures certified as being below de minimis (measures with an EANDCB below +/- £5 million)</p>	<p>Some of the following activities relate to policy development and therefore also fall into the policy development exemption:</p> <p>The ORR has made simple factual changes to aspects of our guidance on safety management systems, safety certification and risk assessment. This has included publication of a toolkit (factsheet) designed to assist industry navigate which aspects of the legislation apply to them.</p> <p>Changes to ORR guidance and templates consequential to Periodic Review 2018 (PR18) in relation to Network Rail updated ORR model connection contract (change Retail Price Index (RPI) to Consumer Price Index (CPI)) updated Freight track access contract and General Approval updated Passenger track access contract updated Charter track access contract updated its track access guidance models</p> <p>Research on passenger information during disruption, to be published 2019.</p> <p>Review of Disabled Persons Protection Policy (DPPP) guidance (November 2018).</p> <p>Statutory licence modification of the Complaints Handling Procedure (CHP) licence condition to require membership of an ADR scheme (February 2019)</p> <p>Remedies put in place, including undertakings accepted from the Rail Delivery Group to improve competition in the markets for automatic ticket gates and ticket vending machines. This exemption may also fall into the 'pro-competition' category. (March 2019).</p> <p>Research and publication of framework for monitoring the impact and on-going operation of Open Access Operators (March 2019).</p>
<p>EU Regulations, Decisions and Directives and other international obligations, including the implementation of the EU Withdrawal Bill and EU Withdrawal Agreement</p>	<p>ORR is in the processing of updating its access guidance to reflect new European legislation and has published the following:</p> <p>guidance on how, and in what circumstances, it will carry out an Economic Equilibrium Test on new proposed new 'open access' train services. This was required by new EU Implementing Regulation, which applies from 1 January 2019.</p> <p>an up to date and comprehensive suite of guidance on the requirements of EU Directive 2007/59/EC on the licensing and certification of train drivers.</p> <p>a suite of factsheets for industry on the "no deal exit Statutory Instruments" that touch on our areas of regulatory competence. It should be noted that these documents do not "come into force" during this reporting period.</p>

Exclusion category	Summary of activity
	<p>ORR is also in the process of examining what changes may be necessary to train and station operator licensing arrangements as a result of the decision not to renew the exemption to the Passenger Rights Obligation.</p>
Fines and Penalties	<p>Penalty of £5m on Govia Thameslink Railway for breaching condition four of its licence in respect of the provision of appropriate, accurate and timely information to passengers following the implementation of the 20 May 2018 timetable and during the subsequent disruption. (This is subject to any appeal by Govia Thameslink Railway and the penalty will be payable to HMT).</p>
Casework	<p>The following casework covers period 1 April 2018 – 31 March 2019):</p> <p>Licensing: ORR issued licences to five operators of railway assets; granted licence exemptions to seven operators of railway assets; and revoked seven licences/exemptions.</p> <p>Stations and depots: OR gave our specific approval to the following – 32 new agreements, 179 amending agreements. ORR ratified the closure of 1 station.</p> <p>Track Access: ORR approved numerous new track access contracts and amendments to existing contracts, which facilitate access to the rail network as follows:</p> <p>Framework agreements of Train Operating Companies (TOCs) and Freight Operating Companies (FOCs) with Network Rail:</p> <p>TOCs - Specific approvals: 103, notices of consent: 24</p> <p>FOCs – specific approvals 12, notices of consent 11.</p> <p>Connection contracts, where networks between different parties meet: Specific: seven cases</p> <p>Facility access contracts between TOCs/FOCs and facility owners: Specific: one case</p> <p>Parties were also able to use General Approvals for many other contracts.</p> <p>ORR made decisions on two appeals under Part M of the Network Code – concerning disputes between industry parties.</p>

Office for Product Safety and Standards (OPSS)

Exclusion category	Summary of activity
<p>Measures certified as being below de minimis (measures with an EANDCB below +/- £5 million)</p>	<p><b>Casework:</b>                      There have been no changes to the way Safety and Standards approaches its casework and investigatory activities within this reporting period.</p> <p><b>Education, communications and promotion:</b>                      As well as maintaining its ongoing programme of communication and awareness raising, Safety and Standards made the following change in this reporting year:                      Update of the published Forest Law Enforcement, Governance and Trade (FLEGT) verification form to ensure requisite information is obtained from importers and agents, and to help streamline the invoicing process.</p> <p><b>Changes to management of regulator:</b>                      The way in which Safety and Standards structures its enforcement activities has undergone significant change during this reporting period – with teams now focussing on regulatory themes.                      Most notably, this has seen our enforcement of RoHS, Ecodesign, Product Safety and other product regulations being brought together into one team; combining expertise on product regulation to ensure we make maximum impact across the sectors that we regulate.</p> <p><b>Activity related to Policy Development, EU Regulations, EU Exit:</b>                      The Office for Product Safety and Standards is a departmental office of BEIS, and as such activity related to policy development for product safety, metrology and standards and accreditation is reported in the BEIS BIT return.                      In addition, the Office, as part of EU Exit Preparations, has produced guidance for business applicable in a ‘No Deal’ outcomes. This has included preparations for UK databases and notifications that business would provide to UK authorities, instead of the Commission, in a No Deal.</p>

## Office for Standards in Education, Children's Services and Skills (Ofsted)

Exclusion category	Summary of activity
Measures certified as being below de minimis (measures with an EANDCB below +/- £5 million)	Limited clarifications/updates to the following guidance: Early years compliance handbook (March 2019) Relevant change that took place during this period: stopping routine health checks for group care providers (March 2019)
Education, communications and promotion	Ofsted provides information to enquirers via its general helpline. Information is also available through the Ofsted website.
Activity related to policy development	Ofsted engages with representatives from across the early years sector through its early years national consultative forum (NCF). It consulted on changes to the inspection framework between January and April 2019 to take effect from September 2019.
Changes to organisation or management	Early years inspection and regulation has been reorganised within Ofsted so that it is now managed through regional directors with effect from January 2019.



## Office for Students (OfS)

Exclusion category	Summary of activity
Measures certified as being below de minimis (measures with an EANDCB below +/- £5 million)	<p>Regulatory notices: In this period the Office for Students (OfS) issued one notice. This new version of Regulatory Notice one applies in respect of applications for the approval of access and participation plans for the academic year commencing 2020-21.</p> <p>Regulatory guidance: In this reporting period the OfS updated three regulatory advice documents. Additionally, advice was published on five new areas.</p> <p>Consultations: The OfS undertook three consultations during this reporting period on the approach to access and participation in higher education, draft terms and conditions of funding for academic year 2019-20 and views on the principles guiding the way in which the OfS counts student numbers for regulatory purposes.</p>
Fines and Penalties	In October 2018 the OfS fined one provider for a major breach in Access agreements.
Casework	<p>Initial registration and mitigations imposed: During this reporting period the OfS considered applications from and registered providers. The OfS applied specific conditions to providers at the point of registration.</p> <p>Notifications: The OfS receives, assesses and where appropriate, investigates notifications made about a provider that the OfS regulates to ensure that they comply with the ongoing conditions of registration.</p>
Education, communications and promotion	The OfS undertake presentations, organise webinars and communicate on specific topics. Attendance at events and participation in our online webinars is not mandatory.
Activity related to policy development	The OfS undertake data analysis, and commission and publish independent research to inform our decision making, and for transparency purposes.

## Office of the Immigration Services Commissioner (OISC)

Exclusion category	Summary of activity
Measures certified as being below de minimis (measures with an EANDCB below +/- £5 million)	<p>On 1 February 2019 the OISC introduced the new category of EU Settlement for regulation at level one. This is aimed at charities and not-for-profit organisations to specifically advise EU citizens on applications to the EU Settlement Scheme. Due to the limited nature of the advice, there is a simplified application form and the OISC will only be seeking assurances from those applying to become regulated of knowledge and skills in this area.</p> <p>The impact to business of this regulatory provision is less than the £5m qualifying target.</p>
Casework	<p>The OISC carries out 350 audits per year (1 April – 31 March). There were 14 prosecutions and 186 appealable decisions during the reporting period 1 April 2018 – 31 March 2019.</p>
Education, communications and promotion	<p>During the reporting period 1 April 2018 – 31 March 2019 there have been:</p> <ul style="list-style-type: none"> <li>Ten seminars held on various aspects of complying with OISC Codes</li> <li>Two new and one updated guidance documents produced; one new practice note produced</li> <li>Four OISC newsletters published</li> <li>Two webinars launched on the OISC website.</li> </ul>

## Ofqual (Office of Qualifications and Examinations Regulation)

Exclusion category	Summary of activity
<p>Measures certified as being below de minimis (measures with an EANDCB below +/- £5 million)</p>	<p>Ofqual made changes to its regulatory functions:</p> <ul style="list-style-type: none"> <li>revised rules and guidance regarding confidentiality of assessment materials. The total costs were estimated to be a £7.0 million one-off cost and £1.0 million per annum (an EANDCB of £1.6 million) across 158 awarding organisations.</li> <li>implementation of the changes needed to deliver reformed functional skills qualifications. The financial burden was estimated as a one-off cost of £2.2 million and £640,000 per annum across 16 awarding organisations.</li> <li>proposed new assessment arrangements for GCSE Computer Science (9-1). The estimated net impact was a one-off cost of £88,000 across four exam boards. However, an annual saving of £350,000 until 2020, when the new arrangements are in place is anticipated.</li> <li>changes to the review of marking, moderation and appeals of GCSE, AS, A level and Project qualifications. The estimated costs for updating rules and guidance was a total of £22,500 across five awarding organisations.</li> </ul> <p>Ofqual estimated minimal costs for the implementation of new rules for:</p> <ul style="list-style-type: none"> <li>GCSEs, AS and A level music and dance</li> <li>Technical Qualifications</li> <li>End-Point Assessments</li> <li>Essential Digital Skills qualifications.</li> </ul> <p>Ofqual estimated minimal costs for changes to the following activities:</p> <ul style="list-style-type: none"> <li>Continued development and functionality of its IT system, the AO Portal</li> <li>A revised list of qualification types</li> <li>Changes to the recognition process to reduce burden on potential awarding organisations</li> <li>Technical qualification rules added to the online Ofqual handbook.</li> </ul>
<p>Casework</p>	<p>Ofqual has undertaken casework activity in the following areas which have involved some engagement with / requests for information from awarding organisations.</p> <ul style="list-style-type: none"> <li>One notice of a monetary penalty (£175,000 issued with a Notice of Cost Recovery (£11,855).</li> <li>Two directions to awarding organisations to take specific action</li> <li>Nine undertakings by awarding organisations, accepted by Ofqual, setting out action they will take to ensure ongoing compliance with the General Conditions of Recognition.</li> <li>Special Conditions imposed in six cases on five awarding organisations to support potential investigations, or as part of the enforcement process, and in two further cases for new organisations as part of the recognition process.</li> </ul>

Exclusion category	Summary of activity
	<p>Entry and Inspection Conditions imposed in three cases, although one was withdrawn before execution.</p> <p>Ofqual received 83 applications or enquiries to the Exam Procedures Review Service (EPRS) during the period. Seven completed applications required a substantive response from the awarding organisations before the case could be concluded, including three that required an EPRS hearing.</p> <p>Ofqual completed 31 audit visits, six investigation visits and issued 100 recognition application decisions. In the 2018-19 financial year, Ofqual handled 391 complaints about awarding organisations and received 94 whistleblowing disclosures.</p>
<p>Education, communications and promotion</p>	<p>The key areas of regulation Ofqual communicated about included:</p> <ul style="list-style-type: none"> <li>context of our rules - through 'Ofqual explains' videos.</li> <li>findings from audits - high-level summaries of findings from audits shared with awarding organisations.</li> <li>new Ofqual logo - use of the new Ofqual logo on certificates.</li> </ul>
<p>Activity related to policy development</p>	<p>Ofqual formally consulted on all the entries referred to in the de minimis section above. In addition, the following proposed changes have also been consulted on:</p> <ul style="list-style-type: none"> <li>moderation and verification of centre assessment judgements.</li> <li>reform of the Exam Procedures Review Service.</li> <li>digital Functional Skills.</li> </ul> <p>Research activity:</p> <p>Key areas of research Ofqual has undertaken that has involved engagement with/requests for information from various awarding organisations:</p> <ul style="list-style-type: none"> <li>moderation and verification - to gain deeper understanding of moderation practices, processes and mark scaling.</li> <li>improving awarding - to develop improved methods for maintaining GCSE and A level grading standards.</li> <li>summer awarding monitoring - to monitor the summer series of examinations.</li> <li>grading - Ofqual published a report exploring grading in Vocational and Technical qualifications competence-based assessment.</li> <li>fee transparency - Ofqual issued a call for evidence from awarding organisations on qualification fee information.</li> <li>Qualification Price Index - Ofqual issued a request for pricing information from awarding organisations to create a new pilot research project looking at changes in qualification prices.</li> <li>inter-subject comparability - to consider whether there were grounds for an adjustment to standards in A level modern foreign language or science qualifications.</li> <li>evaluation of reform - Ofqual is gathering information from awarding organisations and teachers to help us evaluate the impact of new rules implemented as part of the reforms to GCSE, A and AS level qualifications.</li> </ul>

Exclusion category	Summary of activity
	National Reference Test (NRT) - For the first time in summer 2019, Ofqual will use NRT results to consider whether to adjust grade standards in GCSE English language and/or maths.

## Offshore Petroleum Regulator Environment and Decommissioning (OPRED)

Exclusion category	Summary of activity
Fines and Penalties	<p>OPRED has issued one enforcement notice (under the Offshore Petroleum Activities (Oil Pollution Prevention and Control) Regulations 2005). Five civil penalties under the Greenhouse Gas Emissions Trading Scheme Regulations 2012 were issued with five fines totalling £109,553 having been paid. The number of enforcement notices were broadly similar to those of previous years, whilst there was an increase in the number of civil penalties issued. One criminal case under The Offshore Chemical Regulations 2002, previously reported to the Scottish Crown Office Procurator Fiscal Service, was heard in court on 29 May. The Operator pled guilty under summary conviction and a fine of £6,000 was imposed (the maximum being £10,000).</p>
Casework	<p>Fourteen 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. None of the activities listed represent a change in the burden of regulation placed on business.</p>
Education, communications and promotion	<p>An updated guidance document on Decommissioning Offshore Oil and Gas Installations and Pipelines was published.</p> <p>An updated guidance document on the Mercury Regulation (EU) 2017/852 was published in May 2019. The guidance document, which updated previous guidance, sets out the existing legislative requirements on operators of offshore hydrocarbon installations under Defra's Control of Mercury (Enforcement) Regulations 2017 which implement the EU Regulation. The Guidance document also explains OPRED's role in providing assistance to the enforcement authorities concerning the provision of data (e.g. on offshore mercury waste streams) and inspection of offshore installations, to support enforcing authorities' functions under the Control of Mercury (Enforcement) Regulations 2017 in respect to offshore hydrocarbon installations.</p> <p>Updated Guidance on The Merchant Shipping (Oil Pollution Preparedness, Response and Co-operation Convention) Regulations 1998 for the preparation of oil pollution emergency plans was published in April 2019. This clarified queries that had been received from industry and removed reference to transition provisions that had now concluded.</p> <p>OPRED participates in regular meetings with Oil &amp; 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 continue to participate (quarterly) in an Industry Forum (created in July 2017), with representatives from a range of oil and gas companies to hear directly any industry concerns as well as advise of forthcoming regulatory activities.</p>

Exclusion category	Summary of activity
	<p>OPRED has presented at eight industry conferences on operational / environmental matters and offshore decommissioning, as well as giving numerous presentations to operators and other stakeholders throughout the period.</p>
<p>Activity related to policy development</p>	<p>A four-week public consultation was carried out in November / December 2018 in relation to the introduction of guidance to accompany The Offshore Environmental Civil Sanctions Regulations 2018 which entered into force on 1 October 2018. The Pipe-lines, Petroleum, Electricity Works and Oil Stocking (Miscellaneous Amendments) (EU Exit) Regulations 2018 were made / laid before Parliament in December 2018.</p> <p>The Regulations will fix 'post-exit' deficiencies within nine sets of existing legislation (which implement EU laws) in relation to:</p> <ul style="list-style-type: none"> <li>onshore and offshore oil and gas licensing;</li> <li>offshore oil and gas developments including pipe-lines;</li> <li>onshore pipe-lines;</li> <li>major offshore and onshore electricity works developments (i.e. generation stations and overhead lines); and</li> <li>the stockholding of oil. Given the nature of the legislative changes being introduced by the Regulations, a public consultation on a draft of the policy proposals was not deemed warranted.</li> </ul> <p>The Offshore Combustion Installations (Pollution Prevention and Control) (Amendment) Regulations 2018 entered into force on 18 July 2018. The Regulations implement the relevant provisions of the EU's Medium Combustion Plant Directive and the obligations of Chapter III of the Industrial Emissions Directive in respect to eligible combustion plants on offshore hydrocarbon installations.</p>

## The Oil and Gas Authority (OGA)

Exclusion category	Summary of activity
<p>Measures certified as being below de minimis (measures with an EANDCB below +/- £5 million)</p>	<p>The OGA published seven new or updated guidance documents:</p> <ul style="list-style-type: none"> <li>• updated Notice setting out the powers granted to the OGA by the Energy Act 2016 for industry to inform the OGA in advance of meetings and provide it with relevant documentation.</li> <li>• updated guidance on when the OGA will consider the financial capability of a legal or natural person and the factors that the OGA will usually take into consideration when doing so.</li> <li>• updated guidance to aid those involved in the planning of new field developments and later consent to a field development plan leading to the production of first hydrocarbons.</li> <li>• guidance on the requirement for the planning for Cessation of Production (CoP) to assist field operators and licensees involved in the planning for CoP from a field, a group of fields, an asset within a field (e.g. a platform) or a field acting as a hub.</li> <li>• guidance for applications for suspension of inactive wells setting out the approach the OGA will take in considering applications from licensees for consent to initial suspension, and any extension of a suspension of inactive wells in support of cost-effective abandonment.</li> <li>• guidance on Satisfactory Expected Commercial Return (SECR) setting out the analytical approach the OGA will usually take in assessing whether a project achieves a SECR.</li> <li>• retention of information and samples guidance enabling industry to understand and fulfil their obligations to keep information and samples under the Offshore Petroleum Retention of Information and Samples Regulations 2018.</li> <li>• reporting and disclosure of Information and Samples guidance setting out what specific information and samples must be reported, how, to whom and by when and how the OGA will disclose the information.</li> </ul> <p>The OGA published 16 reports:</p> <ul style="list-style-type: none"> <li>• Projection of UK oil and gas production and expenditure reports (September 2018 and March 2019) setting out production and expenditure projections for oil and gas on the UK Continental Shelf (UKCS).</li> <li>• UK Oil and Gas Reserves and Resources Report showing the estimated extent of the UKCS overall remaining recoverable reserves and resources.</li> <li>• Well Insights Report 2018 providing a comprehensive insight into UKCS well stock and activity.</li> </ul>



Exclusion category	Summary of activity
	<ul style="list-style-type: none"> <li>• Gas to Wire Report looking at the technical considerations and potential benefits from gas to wire in areas such as the Southern North Sea and East Irish Sea.</li> <li>• Analysis of UKCS Operation Costs report</li> <li>• UKCS Production Efficiency in 2017</li> <li>• UKCS Decommissioning 2018 Cost Estimate Report giving an updated assessment of progress made since the last estimate of decommissioning costs in 2017.</li> <li>• OGA Investor Overview 2018 setting out why the OGA believes the UKCS is an attractive investment proposition.</li> <li>• UK &amp; Norway Technology Hackathon Output Report detailing the results of two hackathon events held in November 2017 detailing current operator challenges and solutions.</li> <li>• SNS Salting Study 2017 detailing the results of a study to qualify the impact of salt deposition on production losses and methods of mitigation.</li> <li>• Technology Insights Report detailing the results of over 60 operator's technology plans</li> <li>• The Maximising Economic Recovery (MER) UK Annual Update 2017 summarise the work of the MER UK Task Forces and the MER UK Steering Group.</li> <li>• The OGA published its annual report and accounts 2017-18 (for the year ended 31 March 2018).</li> <li>• The OGA published two overview documents (September 2018 and in March 2019) giving a high-level overview of the OGA and its background, responsibilities, and priorities.</li> </ul> <p>The OGA issued three consultation documents on:</p> <ul style="list-style-type: none"> <li>• Guidance to assess a licensee's financial capability at the time of a licensing event offshore and onshore.</li> <li>• Reporting and Disclosure of Information and Samples: Supplemental guidance post 2017</li> <li>• Reporting and Disclosure of Information and Samples: Supplemental guidance pre-2018</li> </ul>
Casework	<p>The OGA approved:</p> <p>32 Field Development Plans (FDP) and Field Development Plan Addendum (FDPA) cases for offshore oil and gas fields.</p> <p>During the reporting period there were 12 sanctions, disputes or infrastructure access cases resolved without formal intervention. There were no formal sanctions taken.</p> <p>498 Field consents (including production, venting, and flaring) were issued</p>

Exclusion category	Summary of activity
	<p>349 Pipeline works authorisations and associated consents were issued</p> <p>564 offshore license events including relinquishments, transfers and terminations took place</p> <p>65 onshore license events including relinquishments, transfers and terminations took place.</p>
<p>Education, communications, and promotion</p>	<p>The OGA has presented its work at various workshops and conferences including: Oslo Energy Forum, Subsea Expo, Scottish Council for Development &amp; Industry, Aker Solutions Technology Day. Decom Offshore 2018, and Topsides 2018 Conference.</p>

## Payment Systems Regulator (PSR)

Exclusion category	Summary of activity
<p>Measures certified as being below de minimis (measures with an EANDCB below +/- £5 million)</p>	<p>PSR gave a specific direction 8 (SD8) to require LINK to fully develop its policies and processes for applying and implementing its public commitments and to provide PSR with monthly reporting on changes to the protected ATM estate and the impact of its policies on the wider ATM network.</p> <p>PSR gave a specific direction 9 (SD9) to require Visa to test its crisis communication plan with its participants yearly, review the effectiveness of those plans following the test and revise the plan accordingly, and ensure the plan is used in the event of any future incident.</p> <p>PSR granted extensions to the compliance dates for three specific directions (SD2, SD3 and SD4).</p>
<p>Casework</p>	<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 set out its expectations for what PAY.UK must achieve in relation to its competitive procurement in an open letter.</p> <p>PSR has been actively monitoring compliance with the Interchange Fee Regulation (IFR) and the parts of the Second EU Payment Services Directive (PSD2) that PSR is responsible for.</p> <p>PSR has continued the work on its first Competition Act 1998 investigation.</p>
<p>Education, communications and promotion</p>	<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>
<p>Activity related to policy development</p>	<p>PSR has launched a market review into the supply of card-acquiring services.</p> <p>PSR undertook other consultations related to policy development. Including consulting on proposed directions for the implementation of Confirmation of Payee.</p> <p>PSR set up a steering group for the development and delivery of a voluntary industry code for the reimbursement of victims of APP scams.</p> <p>PSR undertook policy scoping work in a number of areas, which have not imposed direct costs on business.</p>
<p>Changes to management of regulator</p>	<p>During the reporting period, Hannah Nixon left her post as Managing Director of the PSR. Louise Buckley and Chris Hemsley are jointly acting as Managing Director until a permanent replacement has been appointed.</p>

## The Pensions Regulator (TPR)

Exclusion category	Summary of activity
Measures certified as being below de minimis (measures with an EANDCB below +/- £5 million)	The Pension Schemes Act 2017 (PSA17) set out the requirements from 1 October 2018 that all master trust pension schemes will have six months to apply for authorisation from us in order to continue operating and where the trustee(s) do not apply before end of the six month application period, they must wind up the scheme. Our Code of Practice 15, supporting guidance and application forms, clarifies how we will take PSA17 into account in deciding whether a master trust should be authorised and how information can be submitted to us for consideration.
Fines and Penalties	<p>In respect of the regulation of work-based pensions schemes during this reporting period: TPR issued 286 penalty notices.</p> <p>In respect of the regulation of the automatic enrolment duties under the Pensions Act 2008: TPR issued 22,012 fixed penalty notices and 5,114 escalating penalty notices.</p>

## Recognised professional bodies for Insolvency Practitioners (RPBs) and Insolvency Practitioner Regulation Section (Oversight regulator)

Exclusion category	Summary of activity
Fines and Penalties	<p>RPBs revoked the licenses of two insolvency practitioners.</p> <p>There were 54 sanctions imposed in 2018, these include reprimands, fines, costs awards, warnings and cautions.</p>
Casework	<p>Licences – Insolvency practitioners are licensed on an annual basis by 1 of 5 RPBs. At 1 January 2019, there were 1,565 authorised practitioners and around 80% held licences enabling them to take on insolvency appointments.</p> <p>Complaints to RPBs – The RPBs received 381 complaints forwarded from the Insolvency Service Gateway in 2018 (January –December), These complaints are assessed, investigated (if the evidence suggest such an investigation should take place), placed before committee where appropriate and possibly progressed to disciplinary action against the Insolvency Practitioner.</p> <p>Complaints about RPBs – IP Regulation Section deal with complaints about the RPBs – 13 complaints were received in 2018.</p> <p>RPB Monitoring – The RPBs monitor IP's usually on a 3-year rotation but sometimes more frequent visits are necessary if the IP has had a previous poor report or their type of work warrants it. There were 325 monitoring visits in 2018 (January – December). These usually consist of a physical visit to the IPs office and the sampling of cases, the IP receives a copy of the report. The report and any recommended further actions are considered by a committee.</p>
Education, communications and promotion	<p>IP Regulation section publishes a number of documents each year including the Annual Review of IP Regulation 2018, Dear IP' and sanctions against IPs imposed by the RPBs.</p>
Activity related to policy development	<p>Statements of Insolvency Practice (SIPs) are developed by the Joint Insolvency Committee (JIC) and are adopted as a regulatory standard by all the RPBs.</p> <p>SIP6 Scotland was revised from April 2019 to reflect changes to the law and consolidated generally with SIPs 8, 10 and 12 for Scotland (these remain only for some specialist types of insolvency procedures).</p> <p>Working groups of the JIC are reviewing potential changes to SIPs 3.1, 3.2, 7 and 9. This work is ongoing and will be subject to consultation.</p>

## The Coal Authority

Exclusion category	Summary of activity
Economic Regulation	Two new surface mining licences, four new Forest of Dean Underground mining licences and two exploration licences have been granted during the reporting period.
Pro-Competition	<p>There are currently ten active surface mines, two at planning stage. There are three active underground, four licenced but non-operational, two in the planning stage.</p> <p>Two new exploration licences, two surface licences and four forest of Dean underground licences have been granted during the reporting period.</p>
Casework	<p>There are currently ten active surface mines and two at planning stage.</p> <p>There are three active underground, four licenced but non-operational, two in the planning stage.</p>

## Rural Payments Agency (RPA)

Exclusion category	Summary of activity
<p>EU Regulations, Decisions and Directives and other international obligations, including the implementation of the EU Withdrawal Bill and EU Withdrawal Agreement</p>	<p>Rural Payment Agency (RPA) published updated guidance on a range of schemes administered under the Common Agricultural Policy (CAP) / Rural Development Programme for England including the following:</p> <ul style="list-style-type: none"> <li>Basic Payment Scheme (including Cross Compliance)</li> <li>Countryside Stewardship</li> <li>Environmental Stewardship</li> <li>External Trade (single common market organisation - sCMO)</li> <li>Livestock identification (administered by British Cattle Movement Service)</li> </ul> <p>These are all schemes administered under EU regulation so fall into this exempted category. All of the guidance products are regularly reviewed and updated to account for changes of dates, minor delivery improvements and/or to make them less ambiguous for the customer.</p>
<p>Changes to management of regulator</p>	<p>In October 2018, RPA took over the delivery of all land-based schemes under the CAP. This has led to changes within the organisation as with the transfer of staff from Natural England to RPA.</p> <p>RPA is realigning people to deliver the additional work, that work is the administration of all Countryside Stewardship (CS), Environmental Stewardship (ES) and Basic Payment Scheme (BPS) payment of EU subsidies and support RPA customers, the financial impact on those customers is negligible.</p>

## Security Industry Authority (SIA)

Exclusion category	Summary of activity
Civil Emergencies	The SIA and Police Scotland have run the You Can ACT initiative to raise counter-terrorism awareness among frontline private security operatives. 540 security operatives from across Scotland have attended You Can ACT events. The initiative was conceived and funded by the SIA.
Fines and Penalties	In the year to 9 April 2019, the SIA completed four prosecutions of businesses. These businesses received fines (as well as costs and Victim Surcharge) of £141,418. During the same period, the SIA prosecuted 29 individuals. These individuals received fines (as well as costs, confiscation orders and Victim Surcharge) of £477,159.99.
Casework	<p>As of 1 May 2019, the SIA was working on the following numbers of cases:</p> <ul style="list-style-type: none"> <li>• Compliance Cases (lowest risk) – 64</li> <li>• Intervention Cases – 180</li> <li>• Criminal Investigations – 80</li> </ul>
Education, communications and promotion	<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>During the reporting period the SIA published the following guidance:</p> <ul style="list-style-type: none"> <li>• a guide for door supervisors on how to be respectful to, and meet the needs of, trans customers.</li> <li>• a guide for disabled people on working in the private security industry.</li> <li>• guidance on the provision of security at events, including the licensing requirements for such security.</li> <li>• an explanation of the Licence Management Service journey.</li> <li>• a guide to the SIA's enforcement approach, and what businesses and licence holders can expect from SIA enforcement activity.</li> <li>• a Welsh language version of the Z-card summarising guidance on how to identify and tackle CSE</li> <li>• an operating manual on the Licence Management service.</li> <li>• a post on safer physical intervention for door supervisors.</li> </ul>
Activity related to policy development	Every five years, the SIA reviews the specifications for the learning and qualifications necessary to apply for an SIA licence. Such a review is currently underway.



## Sports Ground Safety Authority (SGSA)

Exclusion category	Summary of activity
Measures certified as being below de minimis (measures with an EANDCB below +/- £5 million)	The SGSA prepared a document outlining how it will work with clubs and local authorities in the 2019-20 season in enforcing the government's all-seater policy. The document was shared in draft with key stakeholders in Spring 2019, and the final version will be published alongside SGSA licences in July 2019. The proposed enforcement approach is not new. Rather, it provides clarity and transparency on how the SGSA's statutory duties will be discharged in the context of emerging new technologies in the provision of spectator accommodation.
Casework	<p>SGSA issued 93 annual licences in July 2018, none of which contained specific licence changes. The SGSA issued a 94th annual licence in March 2019 in respect of the opening of Tottenham Hotspur's new stadium on the site of the former White Hart Lane.</p> <p>Additionally, in April 2019 the Secretary of State for Digital, Culture, Media and Sport accepted SGSA's recommendation that Brentford be granted a further 12-month extension to the all seater deadline, pending that club's anticipated relocation to a new ground for the start of the 2020-21 season. The Secretary of State's decision will be reflected in the conditions in the licence that SGSA will issue to Brentford as part of the SGSA licensing round in July 2019 for the 2019-20 season.</p>
Activity related to policy development	Following consultation in March 2018, SGSA published an updated version – the 6th edition – of the Guide to Safety at Sports Grounds ("the Green Guide") in October 2018. This publication forms part of the suite of Sports Grounds and Stadia Safety guides produced by the SGSA. The Green Guide makes clear that its contents are not definitive or applicable to all circumstances and advocates that independent professional advice should be obtained before taking any action or refraining from any action on the basis of the information provided.

## UK Space Agency

Exclusion category	Summary of activity
<p>Measures certified as being below de minimis (measures with an EANDCB below +/- £5 million)</p>	<p><b>Traffic Light Licensing system:</b> The UK Space Agency introduced a Traffic Light licensing system on 1st October 2018. This is a new pre-application process which gives prospective applicants an early indication of how likely it is that their mission would be granted a licence.</p> <p>The Traffic Light system is free of charge and non-obligatory. New applicants could rely on the existing pre-application meeting (which informs the applicant in a similar way), or they can submit an application without a Traffic Light rating.</p> <p>Since the Traffic Light system is optional it does not represent a change on the burden of regulation placed on business. In financial terms the costs to industry associated with the Traffic Light system are negligible.</p> <p>The system aims to provide greater transparency and a smoother, more tailored application process that reduces the administrative burden on the applicant.</p> <p>The Agency estimates that it would take an applicant's Technical Manager 30 minutes to complete the ten questions (0.5-hour x £30 per hour = £15). Multiplied by the number of assessments (five) equals a cost of just £75. The UK Space Agency's technical team estimates that the savings associated with a streamlined application would be approximately a 2-hour reduction in the time taken for an applicant to answer the licence question sets. Given seven applications qualified for the streamlined process, this generates savings of £420 (14 hours x £30 per hour). Therefore, overall this represents a saving of £345 to industry.</p> <p><b>In-orbit third-party liability insurance:</b> In order to protect both operators and the UK government from third-party claims, the UK Space Agency requires licensees to hold third-party liability (TPL) insurance for licenced activities. The minimum insurance cover required is determined at the discretion of the UK Space Agency, although operators have always been free to hold more than the UK Space Agency requires.</p> <p>In conjunction with the Traffic Light system the UK Space Agency also introduced, on the 1st October 2018, a new 'sliding scale' policy for licensees' in-orbit third-party liability insurance requirements. For missions such as a low-risk satellite deployed from or operating below the International Space Station this insurance requirement may be reduced or waived. On the other hand, it is likely that operators planning higher-risk missions will need to hold a greater level of insurance than that required for standard missions.</p> <p>Before the formal introduction of this policy the Agency already assessed insurance requirements on a case-by-case basis and could vary the amount (for example increase it for higher risk missions). However, in the majority of cases (which are standard missions) the insurance amount was set to €60m Euro.</p>

Exclusion category	Summary of activity
	<p>One of the key reasons for the introduction of this policy was to ensure alignment with standard practice in the insurance market. Therefore, officially recognising that a per-occurrence fleet policy may be acceptable (and in some cases with an aggregate).</p> <p>Since the introduction of the policy the majority of licensee's have seen no change in their insurance requirements. Most are standard missions (and the €60m Euro requirement for standard missions has remained the same) and many already had fleet policies in place. Operators of higher-risk missions licensed during this period had been notified of their insurance requirements before the implementation of this policy, but again saw no change after it was introduced.</p> <p>The policy gives prospective applicants greater transparency and a better indication of how insurance requirements are applied. It also makes it clear that for new types of future missions (for example 'very large constellations'), an aggregate on a fleet policy may be possible and that the insurance amount may increase if deemed non-standard. It should be noted that before the introduction of this measure aggregate policies were deemed acceptable in certain cases.</p> <p>During the reporting period the new policy did allow the UK Space Agency to waive the insurance (which would have been €60m Euro) for one low-risk mission. Calculating this saving is difficult because the cost of insurance is commercially sensitive information and often not shared with the Agency.</p> <p>However, it is possible to give a top end estimate of likely costs using a known rough guide to premium rates of 0.1% of the sum insured. Therefore, the saving would be a figure in the region of €60,000 (or £51,746) (exchange rate 10th April 2018, source: OANDA). On current activity the UK Space Agency only expect to grant waivers for a small number of missions, looking ahead possibly in the region of 2 – 3 per year.</p> <p>The UK Space Agency considers the administrative costs associated with the new website guidance for this change as negligible. For example, an insurance fact sheet was published on the Agency website which contains approximately 1200 words. At an average reading speed of 200 words per minute it would take approximately 6 minutes to read it. Although the UK Space Agency issued 28 licences during this reporting period it only issued them to 6 space operators. It also estimated that another 30 potential applicants may have read the fact sheet. This gives a total of 36 and multiplied by 6 minutes reading time for each entity equals 216 minutes. In monetary terms this equals £54 (216 minutes x £15 per hour for an operators Regulatory Manager).</p> <p>It is clear that the estimated costs associated with the Traffic Light licensing system and the sliding scale insurance policy fall significantly within the de minimis threshold. Overall, for this reporting period it represents a saving of approximately £52,037.</p>

## Veterinary Medicines Directorate (VMD)

Exclusion category	Summary of activity
Measures certified as concerning EU Withdrawal Bill operability measures	<p>To ensure the veterinary medicines framework continues to operate effectively after EU exit, and that the VMD can continue to operate a residues surveillance programme covering the same objectives, the following Measures have been introduced:</p> <p>The Veterinary Medicines and Animals and Animal Products (Examination of Residues and Maximum Residue Limits) (Amendment etc.) (EU Exit) Regulations 2019 No 676.</p> <p>The Food and Drink, Veterinary Medicines and Residues (Amendment etc.) (EU Exit) Regulations 2019 No 865.</p>
Casework	<p>During the period, the VMD:</p> <p>issued 240 marketing authorisations for veterinary medicines, and 23 animal test certificates for clinical trials for veterinary medicines.</p> <p>issued 366 warning letters and 386 advisory letters relating to illegal veterinary medicines, issued 11 Seizure notices, 11 Improvement notices and referred 36 cases to our investigation team for further investigation.</p> <p>The VMD carried out the following inspections:</p> <ul style="list-style-type: none"> <li>206 Feed Business Operators</li> <li>354 SQP retailers</li> <li>623 Vet practice premises</li> <li>46 veterinary medicines manufacturing sites</li> <li>39 veterinary medicines wholesale dealing sites</li> </ul> <p>The VMD issued 28,405 import certificates (certificates to authorise veterinary surgeons to import unauthorised medicines).</p>
Education, communications and promotion	<p>The VMD attended 7 events with the VMD publicity stand.</p>
Activity related to policy development	<p>The VMD commissioned a survey of vets on issues relating to the use and disposal of controlled drugs to better understand the extent of the issues it faces in complying with its legal obligations. 511 responses to the survey were received and the information from it will be used to inform the VMD's policy on the destruction of controlled drugs in veterinary practices.</p>

## Water Services Regulation Authority (Ofwat)

Exclusion category	Summary of activity
Pro-competition	<p>During the reporting period, the following activities were carried out in preparation of publishing final determinations in December 2019:</p> <p>Ofwat published its decision on “putting the sector back in balance”;</p> <p>Companies submitted business plans to Ofwat;</p> <p>Ofwat conducted an initial assessment of company business plans to determine which plans could be fast tracked (i.e. subjected to less regulatory challenge and intervention);</p> <p>Ofwat published early draft determinations for three fast tracked companies;</p> <p>Companies whose plans fell short of the standard to be fast tracked submitted their revised business plans to Ofwat.</p> <p>Ofwat has also worked with the sector to pilot the use of two new customer experience measures that will apply to domestic customers (C-MeX) and developers (D-MeX) to replace the existing measure of customer satisfaction – the service incentive mechanism (SIM).</p> <p>The water and sewerage companies and sector that Ofwat regulates are subject to a series of obligations set out in legislation and/or in water and waste water companies’ licences. During the reporting period Ofwat:</p> <p>published a consultation on revised NAV policy guidelines.</p> <p>modified undertakers’ licences to simplify various conditions, and to impose a new condition in relation to undue discrimination/preference and use of information in relation to certain services.</p> <p>amended its regulatory accounting guidelines (RAGs) following a consultation</p> <p>published a consultation on strengthening the regulatory ring fence.</p> <p>Ofwat published a consultation on board leadership, transparency and governance in July 2018, setting out proposals for updating the existing principles in light of the need to address legitimacy concerns in the sector and developments in corporate governance. Ofwat had consulted on licence modifications to impose these principles.</p> <p>Companies published responses to Ofwat’s report ‘Out in the Cold’ with four required to submit externally assured detailed action plans.</p> <p>Ofwat has been engaging with the sector on a refreshed vision for the sector and strategy for Ofwat and published a discussion document inviting the sector to engage on the proposed vision and strategy.</p> <p>In April 2017 the business retail market for water opened and Ofwat made minor changes to the business retail market’s non-statutory codes to support the effectiveness of the market.</p>

Exclusion category	Summary of activity
	<p>Ofwat consulted on new charging rules for connections charges and has since published revised versions of charging rules. It consulted on new charging rules for connections charges for companies wholly or mainly in Wales in December 2018.</p> <p>Ofwat issued a call for information on proposals relating to the development of Bilateral markets.</p>
Casework	<p>Ofwat has opened seven cases since 21 June 2018 of which five have been closed.</p> <p>Water supply and/or sewerage licences: Six water and seven sewerage granted, with four water and four sewerage currently being processed.</p> <p>New appointment and variation licences: 25 granted with 42 currently being processed.</p>
Activity related to policy development	<p>In June 2019, Ofwat published a consultation in relation to modifying Bazalgette Tunnel Limited's Infrastructure Provider licence (as part of the Thames Tideway Tunnel initiative), primarily for the purposes of simplifying the licence.</p>

## Annex D: Mitigating disproportionate impacts on smaller businesses

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

**Table 8: Action taken by government departments to mitigate any disproportionate economic impacts on smaller business during the second Business Impact Target reporting period of the Parliament**

Department	Title of measure in IA	Description of mitigating action
BEIS	Radiation (Emergency Preparedness and Public Information) Regulations (REPPIR) 2018	REPPIR is supported by a suite of tools to enable compliance, continued operation and reduce burden. Guidance provides practical advice on how to comply. This may be particularly beneficial for smaller businesses.
BEIS	The Package & Linked Travel Arrangement Regulations 2018	There are no specific measures within the legislation to mitigate impacts to small businesses. However, the policy team did produce guidance to help small businesses understand the regulations better and they got support from enforcement agencies to take a pragmatic approach and work with businesses to enable them to comply.
BEIS	Nuclear Safeguards Regulations	<p>The legislation does contain a provision that provides a derogation, or lesser regime, for qualifying nuclear facilities with limited operation. The definition of “qualifying nuclear facility with limited operation” (regulation 2) is based on the amount of qualifying nuclear material used and its purpose, rather than the number of employees. Therefore, some small businesses may satisfy the requirements for a qualifying nuclear facility with limited operation.</p> <p>The regulations also include two exemptions, which some small businesses may meet the criteria for (and therefore benefit from). Regulations 32(1) provides an exemption from the regulations for a person who holds only end products which are used for non-nuclear purposes and which incorporate qualifying nuclear material that is in practice irrecoverable. Regulation 32(2) provides an exemption for certain educational establishments holding very small quantities of qualifying nuclear material. Regulations 32(1) and 32(2) are more likely to impact smaller businesses.</p>
BEIS	Companies Act 2006 (Miscellaneous Reporting) Regulations 2018	No mitigation action, mainly because the legislation does not apply to small businesses. Section 156 of the SaMBA says, 'Small and micro-businesses, as well as medium-sized businesses, are exempt from new s172 reporting requirements, which are only going to apply to the ca. 16,000 companies that are 'large' as defined by the Companies Act.'



Department	Title of measure in IA	Description of mitigating action
BEIS	Electricity and Gas (Energy Company Obligation) Order 2018	<p>The legislation does not contain anything which we would characterise as falling strictly within the definition of 'mitigating.'</p> <p>However, the regulations make it easier for manufacturers to introduce innovative products under ECO, through a partnership with an obligated supplier. This can be particularly helpful to small businesses, who would otherwise need to have their products tested and approved at their cost.</p>
BEIS	Energy Efficiency (Private Rented Property) (England and Wales) (Amended) Regulations 2019	<p>'The legislation (as last amended on 1 April 2019) applies equally to all landlords of Energy Performance Certificate (EPC) F and G properties, irrespective of the number of properties held. The Regulations require such landlords to upgrade their properties to EPC E. In the event that third-party funding is either not available or only partially available, landlords must wholly or partially self-fund relevant energy efficiency improvements, to a maximum contribution of £3,500 (incl. VAT). There are some prescribed exemptions from the obligations which landlords may be able to avail themselves of. Overall, there is no mitigating action for small businesses.</p>
DCMS	Government response to the consultation on proposals for changes to Gaming Machines and Social Responsibility Measures	<p>In conclusion government will seek to mitigate the impact of the policy on small and micro businesses by ensuring information is shared and an appropriate transition period is fully considered. On balance, other possible mitigation options have not been considered suitable when weighed against the policy objectives and the intention to protect the most vulnerable in society from gambling-related harm posed by B2 gaming machines.</p>
DEFRA	The Animal Welfare (Licensing of Activities Involving Animals) (England) Regulations 2018	<p>This measure introduces an updated licensing system in England for five activities involving animals: selling animals as pets, providing for or arranging for the provision of boarding for cats or dogs, hiring out horses, dog breeding and keeping or training animals for exhibition. This licensing system will be enforced by local authorities, to ensure, at a minimum, the standards required by this measure. To minimise the impact of the requirements on firms employing up to 50 people, the instrument will introduce a risk-based licensing system. This will allow local authorities to issue longer licences at a lower fee to businesses that are considered to be a lower risk (taking into account their size, compliance record and animal welfare standards).</p>

Department	Title of measure in IA	Description of mitigating action
DEFRA	Control of Trade in Endangered Species Regulations 2018	This measure consolidates a number of existing pieces of secondary legislation in this area, primarily the Control of Trade in Endangered Species (Enforcement) Regulations 1997 (COTES) and subsequent amending legislation. COTES 2018 will also introduce updates to the existing enforcement regime. To minimise the impact of the requirements on small businesses (employing up to 50 people), the approach taken following consultation with stakeholders is to publicise the new Regulations and the new offences created, through existing customer contacts and particularly to known traders of specimens (in Annexes A to D of the Principal Regulation).
DEFRA	Equine Identification (England) Regulations 2018	This measure ensures the system of equine identification functions effectively in England. This system includes individual identification documents, marking of equines by way of a transponder, a central database and sets out a system of civil sanctions and criminal penalties for offences of breaching the EU Regulation or offences contrary to these measures. Wherever possible, the costs for business will be minimised, for example by allowing owners until October 2020 to microchip older horses not already microchipped and continuing to provide derogation for semi-wild ponies. Passport Issuing Organisations such as breed societies will be required to upload the data they create or amend on their own databases to the new UK Central Equine Database. Government Data, Digital and Technology Services has been working with Passport Issuing Organisations since 2016 to ensure a smooth transfer of data to the Central Equine Database.
DEFRA	Wildlife Licence Charges (England) Order 2018	This measure introduces a charging scheme for certain licences issued by Natural England relating to wildlife conservation. The impacts of the requirements on small businesses (employing up to 50 people) have been managed through a number of measures: costs for survey licences have been reduced, based on projected efficiency savings, impacts of mitigation licence costs issued to small businesses should be more than offset by the benefits of reduced delays in issuing licences, and the exemption for householder development projects should help to avoid any impact on small businesses engaged in this sector. The basis for the final decision on what action to take to minimise impacts on small businesses was determined through conversations with stakeholders (including representative bodies) and through the public consultation.
DEFRA	Carcase Classification and Price Reporting (England) Regulations 2018	This measure updates arrangements for administering and enforcing carcase classification and price reporting for beef and pigs. It is are designed to make the supply chain more transparent and ensure producers can get a fair price for their livestock. To minimise the impact of the requirements on small businesses (employing up to 50 people), the approach taken is to create an exemption from the regulations based upon the numbers of animals slaughtered per year in the abattoir.

Department	Title of measure in IA	Description of mitigating action
DEFRA	Humane Trapping Standards Regulations 2019	<p>This measure amends the Wildlife and Countryside Act 1981 in order to implement, in Great Britain, requirements contained in the Agreement on International Humane Trapping Standards (AIHTS) between the European Community, the government of Canada and the government of the Russian Federation. In doing so, the measure also implements the equivalent standards contained in the bilateral Agreed Minute between the European Community and the United States of America. Due to the nature of trapping, the cost of implementation will primarily fall to small businesses. The policy objectives and benefits cannot be achieved without impact to small business. Moreover, the AIHTS has no derogation options which would allow us to reduce its financial impact on this sector. To minimise the impact of the requirements on small businesses (employing up to 50 people), we have taken the least burdensome approach to implementation where possible: for example, we propose that the use of compliant traps for stoat be permitted via a general licence.</p>
DEFRA	Environmental Protection (Miscellaneous Amendments) (England and Wales) Regulations 2018	<p>This measure makes changes to the Environmental Permitting (England and Wales) Regulations 2016 to improve performance at permitted waste sites. It also makes changes to one exemption and one exclusion in respect of flood risk activities in the 2016 Regulations and fixes an unintended consequence in relation to radioactive substance activities and introduces a fixed penalty notice for breaches of the household waste duty of care. To minimise the impact of the requirements on small businesses (employing up to 50 people), the approach taken in relation to operator performance is that the regulator would expect an operator to produce a management system which is proportionate to its size and scale. Smaller sites will be required to complete and implement a less comprehensive system in comparison to a larger complex site. In addition, smaller sites performing lower risk activities would be expected to undertake a more straightforward technical competency qualification. The basis for the final decision on what action to take to assist small businesses was taken because small businesses account for a large part of the waste sector so excluding them would fail to improve operator performance across the sector and the associated risk of environmental and social impacts. The proposed changes to flood risk activity exemptions and exclusions will primarily affect those individuals, businesses and organisations that carry out works on or near to main rivers, such as: landowners and farmers; internal drainage boards; Canal and Rivers Trust; local authorities; riparian owners; and environmental groups. The changes are intended to introduce more flexibility for individuals and businesses. The changes related to radioactive substances activities remove a burden on businesses.</p>

Department	Title of measure in IA	Description of mitigating action
DEFRA	Wine (Amendment) Regulations 2019	<p>This measure will amend The Wine Regulations 2011 and in so doing update the definitions of “the European Regulations” Updating the definitions will maintain our capability of being able to apply and enforce the provisions contained in the regulations. Such provisions include rules on accompanying documentation and checks and the marketing and labelling of wine policy. It will also insert a new definition of “the Agency”. This will define both the Food Standards Agency and Food Standards Scotland. Food Standards Scotland superseded the Food Standards Agency’s role in enforcing The Wine Regulations 2011 in Scotland on 1 April 2015 and should therefore be denoted as the competent authority in Scotland. It will remove references to a vineyard register and also provisions requiring action by specified dates as these are no longer legal requirements. To minimise the impact of the requirements on small businesses (employing up to 50 people), the approach taken is to maintain the current level of regulation and thus maintaining the status quo with regard to the legislative requirements small businesses face.</p>
DfT	International Road Transport Permits Regulations 2018	<p>The requirements of a permit scheme are set out in international agreements and apply to all sizes of Operator so there could be no exemptions for SMEs in the regulations. The government consulted on allocation criteria to ensure that they are as fair and transparent as possible for small and medium sized businesses. The emissions standard criterion may proportionately favour larger operators, though it means that there are more permits overall (so more permits available for SMEs). Taking account of the number of international journeys could make it more difficult for SMEs to obtain permits. To mitigate this, we will take in account how many journeys made per permit so that small operators seeking fewer permits are not disadvantaged. Random selection is also included so that permits will be distributed to a greater number of hauliers. This is beneficial for SMEs as it means not all permits would be allocated to a small number of larger operators. The criteria have been selected so that, in combination, all sizes of operator will have a fair chance of obtaining permits.</p>
DfT	Civil Aviation (Air Travel Organisers’ Licensing) (Amendment) Regulations 2018	<p>Small businesses are able to take advantage of two (less burdensome) approaches to achieve compliance with the Package Travel Directive 2015: these are through small business ATOLs; and using Accredited Bodies. The CAA, Accredited Bodies and other trade bodies (such as ABTA) are able to assist small businesses on compliance with the proposal.</p>

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