



Department for  
Business, Energy  
& Industrial Strategy

# Better Regulation

Government's Annual Report, 2021-2022

January 2023



# Better Regulation: Government's Annual Report, 2021-2022

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

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# Better Regulation

The business impact target (BIT) concerns the economic impact of regulation on businesses. Each year we currently publish a progress report including:

- information on regulatory provisions that have come into force or ceased to be in force during the parliamentary year
- an assessment of the economic impact on business of the regulatory provisions

The government's 2019 manifesto undertook that the government "*will strive to achieve the right regulatory balance between supporting excellent business practice and protecting workers, consumers and the environment*".

The government does not believe that the current methods of assessing regulatory impacts allow for this. Therefore, the government is reforming the UK's better regulation framework to ensure the impact of regulation is reflected more effectively, so as to continue to provide necessary protections without placing undue burdens on business. Until the completion of the reforms, the government has set a BIT of zero.

The government ran a consultation on Reforming the Framework for Better Regulation<sup>1</sup> between July and October 2021. The consultation considered proposals to change the processes and requirements for new regulations and how we measure the impact of regulation.

The government's response to the consultation was published in January 2022 as part of *The Benefits of Brexit*<sup>2</sup> policy paper. The proposed reforms to the framework for better regulation are underpinned by four core policy changes, that aim to improve and control the flow of regulation across government, and assess its value:

1. **Adopting a greater emphasis on proportionality**, to ensure that we regulate in a way that focuses on allowing businesses to grow, while giving greater flexibility to try innovative new approaches.
2. **Ensuring that we are making the best use of alternatives to regulation** by introducing an earlier scrutiny point at which departments will be asked to justify their decision to regulate.
3. **Improving how we evaluate regulation**, including post-implementation reviews.
4. **Improving how we measure the overall impact of regulation**, including consideration of a more holistic approach and the removal of the Business Impact Target in its current form.

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<sup>1</sup> [www.gov.uk/government/consultations/reforming-the-framework-for-better-regulation](https://www.gov.uk/government/consultations/reforming-the-framework-for-better-regulation)

<sup>2</sup> [www.gov.uk/government/publications/the-benefits-of-brexit](https://www.gov.uk/government/publications/the-benefits-of-brexit)

Subject to the will of Parliament, the BIT will be repealed in 2023 via the Retained EU Law (Revocation and Reform) Bill. The government is currently working to finalise the reforms to the better regulation framework and will announce more on the detail of the replacement system ahead of it being introduced.

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

## Terminology used in this report

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

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

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



# Update on the previous Business Impact Target reports this Parliament

There were two measures which were implemented in previous reporting years which have not yet been verified. They are not included in the aggregated impacts for the Parliament to date but are listed in table 1 for reference. The instrument in the first row came into force on 6 January 2021; the instrument in the second row came into force on 1 December 2020.

**Table 1: Qualifying Regulatory Provisions of departments and ministerial regulators that came into force or ceased to be in force during the first or second Business Impact Target reporting period of the Parliament but were not yet verified.**

Department / ministerial regulator	Title of measure as in IA	Description of measure provided by department	Impact on business		
			EANDCB <sup>3</sup> (£ millions)	Business Impact Target score (£ millions)	Business Net Present Value (£ millions)
FCA	PS20/10: Prohibiting the sale to retail clients of investment products that reference crypto-assets	Proposed rules for prohibiting crypto-derivatives being sold to retail consumers to encourage customers to purchase products that are of benefit to them, rather than products which are not appropriate for them	Not yet verified	Not yet verified	
Home Office	Immigration Rules for Skilled Workers	Amends the Immigration and Asylum Act 1999 (Part V Exemption: Licensed Sponsors Tiers 2 and 4) Order 2009, to reflect the replacement of certain "Tier 2" immigration routes with new routes under the United Kingdom's new immigration system. It also further amends this Order in respect of Student Sponsors, to ensure a previous amendment remains in step with a further change to the UK Immigration Rules.	Independently reviewed but not verified	Independently reviewed but not verified	

<sup>3</sup> Equivalent Annual Net Direct Cost to Business

# Progress against the Business Impact Target (BIT) 2021-2022

The third reporting period of this Parliament from 17 December 2021 to 16 December 2022 delivered £9,894 million net costs to business from Qualifying Regulatory Provisions that came into force or ceased to be in force during this period<sup>4</sup>. The BIT is £0 for this Parliament.

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

Organisation	Business Impact Target score delivered (£ millions)
Cabinet Office	No qualifying measures
Department for Business, Energy and Industrial Strategy	£1,556.4
Department for Digital, Culture, Media and Sport	£2,352.5
Department for Education	£89.0
Department for Environment, Food and Rural Affairs	No qualifying measures
Department for International Trade	No qualifying measures
Department for Levelling Up, Housing & Communities	£2,376.5
Department for Transport	£672.5
Department for Work and Pensions	£491.5
Department of Health and Social Care	No qualifying measures
Foreign, Commonwealth and Development Office	£1,210.0
HM Treasury	£178.5
Home Office	No qualifying measures
Ministry of Defence	No qualifying measures
Ministry of Justice	No qualifying measures
Listed regulators	£967.0
<b>Total</b>	<b>£9,893.8</b>

<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 2019 prices with 2020 as the present value base year. This ensures consistency between all measures included in this report but means there will be some minor differences from figures in previously published impact assessments.

# Qualifying Regulatory Provisions

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

- A list of all the Qualifying Regulatory Provisions that have come into force or ceased to be in force during the third reporting period of this Parliament with their economic impact on business (see tables 3 and 4 below);
- A description of and the reason for any Qualifying Regulatory Provisions introduced during the reporting period that go beyond the minimum provision necessary for implementing an international obligation. For this reporting period, there were no measures that went beyond the minimum provision necessary for implementing an international obligation.

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

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

Department / ministerial regulator	Title of measure as in IA	Description of measure provided by department	Impact on business			Total Net Present Value (£ millions)
			EANDCB <sup>5</sup> (£ millions)	Business Impact Target score (£ millions)	Business Net Present Value (£ millions)	
BEIS	Raising the non-domestic Smart Meter consumer offer	Require energy suppliers to meet non-domestic smart meter customer (and their nominated third party) requests for up to 12 months of their energy use data for free and within a time limit from December 2022. Require energy suppliers to provide smaller organisations with ongoing energy use information (based on their smart meter data) by October 2024. This will a) deliver on government objectives where the current non-regulatory approach has not and b) will deliver a significant net benefit to society.	11.7	58.5	464.0	1061.0
BEIS	The National Minimum Wage (Amendment) Regulations 2022	Purpose of the instrument 2.1 This instrument amends the National Minimum Wage Regulations 2015 ("the 2015 Regulations"). 2.2 This instrument increases the single, main hourly rate of the National Living Wage	257.1	771.3	-1311.5	-3.2

<sup>5</sup> Equivalent Annual Net Direct Cost to Business

Department / ministerial regulator	Title of measure as in IA	Description of measure provided by department	Impact on business			Total Net Present Value (£ millions)
			EANDCB <sup>5</sup> (£ millions)	Business Impact Target score (£ millions)	Business Net Present Value (£ millions)	
BEIS	Mandating climate-related financial disclosures by publicly-quoted companies, large private companies and limited liability partnerships	The aim of the intervention is to improve the quality and quantity of climate-related financial disclosures by UK Registered Companies and Limited Liability Partnerships (LLPs) across the UK economy. This would better inform investors, policymakers, civil society, and businesses themselves, of the likely impacts of climate change. This should allow investment decisions to better reflect climate risks, leading to a more climate resilient economy.	145.3	726.5	-1250.8	-1250.9
DCMS	The Electronic Communications (Security Measures) Regulations 2022	The regulations set out specific security measures that public telecoms providers need to take in addition to the overarching legal duties in sections 105A and 105C of the Communications Act 2003 (as amended by the Telecommunications (Security) Act 2021). These measures are designed to ensure that public networks and services are following appropriate and proportionate security practices.	470.5	2352.5	-4102.9	-4103.9
DfE	Skills and Post-16 Education Act 2022	A series of measures that will help to reform the provision of Further Education (FE) and access to FE. The Act will improve alignment between the needs of potential employers and the courses or qualifications offered, changes to the regulatory and governance systems overseeing the FE sector and amending the constraints on access to student finance.	17.8	89.0	-165.9	-171.6

Department / ministerial regulator	Title of measure as in IA	Description of measure provided by department	Impact on business			Total Net Present Value (£ millions)
			EANDCB <sup>5</sup> (£ millions)	Business Impact Target score (£ millions)	Business Net Present Value (£ millions)	
DfT	Residential charging infrastructure provision (Building regulations)	The policy is intended to reduce the cost of EV transition by ensuring charge point-enabling infrastructure is installed more cheaply during the construction of new residential buildings as opposed to retrofitting post-construction.	128.2	641.0	-2393.5	1230.7
DfT	The Electric Vehicles (Smart Charge Points) Regulations 2021	To encourage consumer uptake of charge points that have smart functionality and provide appropriate protection for consumers and the grid and meet the following objectives: grid stability, cyber and data security - safety and data privacy and interoperability.	6.3	31.5	-119.3	486.5
DLUHC	Approved Document L Volume 1 – Conservation of fuel and power – Dwellings	Improve the energy efficiency of both new homes and existing homes using the standards set through the English Building Regulations to reduce carbon emissions.	475.3	2376.5	-4091.0	4394.0
DWP	Occupational Pension Schemes (Charges and Governance) (Amendment) Regulations 2022	This instrument introduces a new restriction on the permitted charges that trustees or managers of certain occupational pension schemes can impose upon their members, for the investment administration and general scheme administration of their pension savings (also known as “rights”) in the default fund. This new restriction applies to the flat-fee charges which can be levied on members of a defined contribution pension scheme used for automatic enrolment with rights invested in the pension scheme’s default fund.	6.1	30.5	-52.7	-1.8

Department / ministerial regulator	Title of measure as in IA	Description of measure provided by	Impact on business			Total Net Present Value (£ millions)
			EANDCB <sup>5</sup> (£ millions)	Business Impact Target score (£ millions)	Business Net Present Value (£ millions)	
DWP	The Pensions Dashboard Regulations 2022	Pensions dashboard services are an electronic communications service, which will allow individuals to see their pensions information (including the State Pension) in one place online. Pensions dashboard services will help individuals to be reunited with lost pensions and support people in better planning for their retirement. This instrument sets out requirements that need to be in place to enable pensions dashboard services to operate effectively.	92.2	461.0	-793.7	27.5
HM Treasury	The Russia (Sanctions) (EU Exit) (Amendment) (No. 12) Regulations 2022 [ban on new outward investments to Russia]	This instrument amends the 2019 Regulations to prohibit additional types of new investment in Russia; by restricting acquisitions of any ownership interest in land in Russia and in entities connected with or having a place of business in Russia; and by prohibiting the establishment of commercial arrangements such as branches in Russia and joint ventures with persons connected with Russia. The instrument also prohibits investment services directly related to those activities.	35.7	178.5	-307.1	-307.1
FCDO	The Republic of Belarus (Sanctions) (EU Exit) (Amendment) Regulations 2022	UK sanctions action aims at encouraging Belarus to cease supporting or enabling Russian actions destabilising Ukraine and also seeks to deter Belarus from engaging in further such action.	5.5	27.5	-345.6	-345.6



Department / ministerial regulator	Title of measure as in IA	Description of measure provided by department	Impact on business			Total Net Present Value (£ millions)
			EANDCB <sup>5</sup> (£ millions)	Business Impact Target score (£ millions)	Business Net Present Value (£ millions)	
FCDO	The Russia (Sanctions) (EU Exit) (Amendment) (No.2) Regulations 2022	The application of financial sanctions, relating to the securities and money-market instruments (SMMI), sovereign debt and correspondent banking and sterling payments, on the Russian Federation.	7.5	37.5	-64.3	-64.3
FCDO	The Russia (Sanctions) (EU Exit) (Amendment) (No.8) Regulations 2022	Deepening trade sanctions on the Russian Federation to limit access to quantum computing and advanced materials goods and technology, prohibit exports of oil refining goods and technology, and certain luxury consumer goods; and prohibit the import of certain steel and iron products from Russia, following the Russian assault on Ukraine.	108.3	541.5	-5525.0	-5525.0
FCDO	The Russia (Sanctions) (EU Exit) (Amendment) (No.3) Regulations 2022	The application of trade sanctions on the Russian Federation to prohibit exports of dual-use and critical industry goods and services, following the Russian assault on Ukraine.	27.6	138.0	-2335.4	-2335.4
FCDO	The Russia (Sanctions) (EU Exit) (Amendment) (No. 10) Regulations 2022	Deepening trade sanctions on the Russian Federation to prohibit the export of certain goods and technologies (and any ancillary services) and the import on goods which generate significant revenues for Russia.	19.2	96.0	-151.4	-151.4
FCDO	The Russia (Sanctions) (EU Exit) (Amendment) (No. 14) Regulations 2022	The proposal introduces further trade sanctions on Russia, including prohibitions relating to the 'G7 dependency and further goods list'. This list includes chemicals, materials, machinery goods and electrical appliances.	33.3	166.5	-262.5	-262.5

Department / ministerial regulator	Title of measure as in IA	Description of measure provided by department	Impact on business			Total Net Present Value (£ millions)
			EANDCB <sup>5</sup> (£ millions)	Business Impact Target score (£ millions)	Business Net Present Value (£ millions)	
FCDO	The Russia (Sanctions) (EU Exit) (Amendment) (No. 15) Regulations 2022	The measures assessed in this Impact Assessment are additional to the ones previously introduced. While existing measures are applying significant economic pressure on the Russian government, the continuation of the war demonstrates that they have not themselves been sufficient to dissuade decision makers from taking aggressive and destabilising actions against Ukraine	15.2	76.0	-120.0	-120.0
FCDO	The Russia (Sanctions) (EU Exit) (Amendment) (No.17) Regulations 2022	<p>This instrument provides for a number of financial sanctions measures and includes:</p> <ul style="list-style-type: none"> <li>• A prohibition on providing services related to trusts or similar arrangements to, or for the benefit, of persons designated for the purposes of this measure; and on providing new services related to trusts or similar arrangements to, or for the benefit of, persons connected with Russia.</li> <li>• Amendments to existing restrictions on dealing with securities or money market instruments (regulation 16) and loans and credit arrangements to persons connected with Russia (regulation17) to close loopholes.</li> <li>• Suspension of the Bank of England's duty under the Banking Act 2009 to make a decision in respect of a notification of third-country resolution action in respect of designated persons or persons owned or controlled by designated persons. Resolution is the process by which regulatory authorities manage the orderly failure of financial institutions.</li> </ul>	25.4	127.0	-200.0	-200.0

Department / ministerial regulator	Title of measure as in IA	Description of measure provided by department	Impact on business			Total Net Present Value (£ millions)
			EANDCB <sup>5</sup> (£ millions)	Business Impact Target score (£ millions)	Business Net Present Value (£ millions)	
		<p>This instrument also provides for a number of trade sanctions measures to build on those already in place. These further measures include:</p> <ul style="list-style-type: none"> <li>• An expansion of the current prohibitions on the export, supply and delivery, and making available of additional products (as well as related technical assistance, financial services and funds, and brokering services), to the critical-industry goods and critical-industry technology schedule. This measure includes prohibitions on camouflage, oil production and mining equipment.</li> <li>• An expansion of the current prohibitions on the export, supply and delivery, and making available of additional products (as well as related technical assistance, financial services and funds, and brokering services), to the defence and security goods and defence and security technology schedule. This measure includes prohibitions in relation to five additional chemicals.</li> <li>• A prohibition on the direct and indirect provision of auditing services to a person connected with Russia. The measure is designed to hamper Russian businesses' ability to operate efficiently in commercial and financial markets.</li> <li>• A prohibition on the direct and indirect provision of advertising services to a person connected with Russia. This measure will impact the ability of Russian business to sell its goods and services.</li> </ul>				

Department / ministerial regulator	Title of measure as in IA	Description of measure provided by department	Impact on business			Total Net Present Value (£ millions)
			EANDCB <sup>5</sup> (£ millions)	Business Impact Target score (£ millions)	Business Net Present Value (£ millions)	
		<ul style="list-style-type: none"> <li>• A prohibition on the direct and indirect provision of architectural and engineering services to a person connected with Russia. These are two separate sanctions measures, which are being imposed in tandem given these services are often used together in project lifecycles. These measures will disrupt Russia’s high-end engineering, scientific and other technical economic functions.</li> <li>• A prohibition on the direct or indirect provision of information technology consultancy and design services to a person connected with Russia. This measure will erode the capability of information technology systems to support the Russian economy.</li> </ul>				

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

Listed regulator	Title of measure as in IA	Description of measure provided by regulator	Business impact target score (£ millions)
Environment Agency	Water abstraction e-alerts	<p>Since 2018, the Environment Agency has been developing a service that allows water abstraction licence holders to manage their licences online. They can view their licences, delegate access to their account and submit information about how much water they have taken.</p> <p>In April 2022, the Environment Agency provided a new feature so its staff could send water abstraction e-alerts to manage hands-off flow conditions.</p> <p>E-Alerts provide slicker and quicker targeted warnings of approaching licence restrictions. They inform licence holders and operators when restrictions have taken effect and enable the Environment Agency to advise when abstraction can resume following recovery of flows/ levels. This way the Environment Agency can improve access to water when it is there, better protect the environment when it is not, and demonstrate how it is supporting abstractors to adapt to climate change.</p>	-31.5
Financial Conduct Authority	PS21/8: Regulation of funeral plans	Rules seek to address the harms associated with pre-paid funeral plans.	120.0

Listed regulator	Title of measure as in IA	Description of measure provided by	Business impact target score (£ millions)
Financial Conduct Authority	PS21/23: Enhancing climate-related disclosures by standard listed companies	Issuers of standard listed shares and standard listed issuers of Global Depositary Receipts representing equity shares must now include a statement in their annual financial reports setting out whether their disclosures meet the recommendations of the Taskforce on Climate-related Financial Disclosures (TCFD).	154.5
Financial Conduct Authority	PS21/24: Enhancing climate-related disclosures by asset managers, life insurers and FCA-regulated pension providers	FCA-regulated asset managers and asset owners must make disclosures about how they take climate-related risks and opportunities into account in managing investments, and about the climate-related attributes of their products.	668.5
Payment Systems Regulator	Extending Confirmation of Payee	<p>Confirmation of Payee (CoP) is a system that ensures that the name of the recipient account holder is cross checked against the name entered by a sender of a payment. As such, the system helps reduce certain types of fraud as well as accidentally misdirected payments.</p> <p>The PSR directed up to 400 PSPs to implement CoP. This direction came into effect in October 2022. Our assessment of the impact of this measure can be found in our Cost Benefit Analysis (chapter 4)</p>	55.5

# Aggregate progress made against the Business Impact Target

The third reporting period of this Parliament ran from 17 December 2021 to 16 December 2022, during which government departments and relevant regulators delivered £9.9 billion 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 to date, the aggregate economic impact of all the qualifying regulatory provisions is £14.3 billion net costs to business from Qualifying Regulatory Provisions. This is against a Business Impact Target of £0 for the Parliament.

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

Organisation	Business Impact Target score delivered 2019 – 2020 (£m)	Aggregate Business Impact Target score delivered 2019 – 2021 (£m)	Aggregate Business Impact Target Score delivered 2019-2022 (£m)
Cabinet Office	No qualifying measures	No qualifying measures	No qualifying measures
Department for Business, Energy and Industrial Strategy	£727.8	£956.1	£2,512.5
Department for Digital, Culture, Media and Sport	No qualifying measures	No qualifying measures	£2,352.5
Department for Education	No qualifying measures	£-700.0	£-611.0
Department for Environment, Food and Rural Affairs	£28.1	£-489.9	£-489.9
Foreign, Commonwealth and Development Office	No qualifying measures	No qualifying measures	£1,210.0
Department for International Trade	No qualifying measures	No qualifying measures	No qualifying measures
Department for Levelling Up, Housing & Communities	£-1,247.5	£-1,940.5	£436.0
Department for Transport	£122.5	£242.5	£915.0

Organisation	Business Impact Target score delivered 2019 – 2020 (£m)	Aggregate Business Impact Target score delivered 2019 – 2021 (£m)	Aggregate Business Impact Target Score delivered 2019-2022 (£m)
Department for Work and Pensions	No qualifying measures	£31.0	£522.5
Department of Health and Social Care	No qualifying measures	£371.8	£371.8
HM Treasury	£404.7	£404.7	£583.2
Home Office	No qualifying measures	No qualifying measures	No qualifying measures
Ministry of Defence	No qualifying measures	No qualifying measures	No qualifying measures
Ministry of Justice	No qualifying measures	-£3,619.5	-£3,619.5
Listed regulators	£5,593.4	£9,189.0	£10,156.0
<b>Total</b>	<b>£5,629.0</b>	<b>£4,445.2</b>	<b>£14,339.0</b>



# 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 third reporting period of the Parliament – (see tables 6 and 7) – table 7 sets out government measures which are non-qualifying because they are within the de minimis rule, and table 6 sets out government measures which are non-qualifying for other reasons; 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 third reporting period of the Parliament (see the series of tables set out on pages 61 to 135 “Non-legislative Non-Qualifying Regulatory Provisions”).

**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 third Business Impact Target reporting period of the Parliament which are non-qualifying for reasons other than the +/-£5 million de minimis threshold (assessments using the same business impact methodology as is used for qualifying measures are shown under the bold headings, and assessments taking into account wider impacts are in the columns headed in italics).**

Department / ministerial regulator	Title of measure as in IA	Description of measure provided by department	Exclusion category	Impact on business			<i>Total Net Present Value (£ millions)</i>
				<b>EANDCB (£ millions)</b>	<b>Business Impact Target score (£ millions)</b>	<i>Business Net Present Value (£ millions)</i>	
Department for Levelling Up, Housing and Communities	Building Safety Act 2022	To reform the building safety system to improve building safety and performance for all buildings and to establish a more stringent regime to strengthen the management of fire and structural safety risks for new and existing buildings in scope, which will initially be defined as all multi-occupied residential buildings of 18 metres or more in height, or more than six storeys (whichever is reached first). The system will have put in place stronger oversight, clearer accountability for, and stronger duties on, those responsible for the safety of buildings in scope throughout design, construction, and occupation, and stronger enforcement and sanctions to deter and rectify non-compliance. This measure is exempt from the Business Impact Target under the safety in buildings exclusion.	Building Safety				

Department / ministerial regulator	Title of measure as in IA	Description of measure provided by department	Exclusion category	Impact on business			Total Net Present Value (£ millions)
				EANDCB (£ millions)	Business Impact Target score (£ millions)	Business Net Present Value (£ millions)	
Department for Levelling Up, Housing and Communities	The Building Safety Act 2022 (Commencement No. 2) Regulations 2022	To commence the powers to create a Building Membership Scheme for developers and the prohibitions on developing land and building control which may be imposed on persons, including on persons who are eligible to be a member of a Membership Scheme but are not members. This measure is exempt from the Business Impact Target under the safety in buildings exclusion.	Building Safety				
Department for Levelling Up, Housing and Communities	The Building Safety (Leaseholder Protections) (Information etc.) (England) Regulations 2022	The provisions on protection of leaseholders from remediation costs in the Building Safety Act 2022 are new. There was no law in this area before these provisions. The new statutory provisions came into force on 28.6.22. Where the lease meets stipulated requirements on 14.2.22, the leaseholder is protected by fixed caps on meeting the costs of remediation, which are dependent on the property's value and their shared ownership status. The remainder of remediation costs will be apportioned between the relevant landlords. Specified persons may apply for a remediation order via the First-tier Tribunal. This measure is exempt from the Business Impact Target under the safety in buildings exclusion.	Building Safety				

Department / ministerial regulator	Title of measure as in IA	Description of measure provided by department	Exclusion category	Impact on business			Total Net Present Value (£ millions)
				EANDCB (£ millions)	Business Impact Target score (£ millions)	Business Net Present Value (£ millions)	
Department for Levelling Up, Housing and Communities	The Building (Approved Inspectors etc.) (Amendment) (England) Regulations 2022	To remove the requirement for approved inspectors to provide proof of adequate insurance when performing a number of their statutory functions. Powers for insurance oversight will pass to the new Building Safety Regulator as part of its professional standards for building control, should it so choose. This measure is exempt from the Business Impact Target under the safety in buildings exclusion.	Building Safety				
Department for Levelling Up, Housing and Communities	The Building Safety (Leaseholder Protections) (England) Regulations 2022	Sets detailed criteria needed for landlords to determine whether they are liable to pay for all remediation of historical safety defects and for landlords to be obliged to pass that information on to leaseholders. This instrument will provide detail for the landlord to calculate the value of a qualifying lease, and the leaseholder's maximum liability under the protections. This instrument also provides for applications to the First-tier Tribunal in relation to remediation contribution orders and the High Court in relation to building liability orders. Finally, it provides consequential definitions under the Building Safety Act 2022. This measure is exempt from the Business Impact Target under the safety in buildings exclusion.	Building Safety				

Department / ministerial regulator	Title of measure as in IA	Description of measure provided by department	Exclusion category	Impact on business			Total Net Present Value (£ millions)
				EANDCB (£ millions)	Business Impact Target score (£ millions)	Business Net Present Value (£ millions)	
Department for Levelling Up, Housing and Communities	The Building etc. (Amendment) (England) Regulations 2022	Brings hotels, hostels and boarding houses within the scope of the Combustible Materials Ban from which they were initially excluded. Also amends the list of materials covered within the Combustible Materials Ban and updates a number of definitions and classifications. This measure is exempt from the Business Impact Target under the safety in buildings exclusion.	Building Safety				
Department for Levelling Up, Housing and Communities	The Building Safety Act 2022 (Commencement No. 1, Transitional and Saving Provisions) Regulations 2022	Amends a number of transitional and saving measures within Building Safety and other legislation to enable the commencement of the Building Safety Act. This measure is exempt from the Business Impact Target under the safety in buildings exclusion.	Building Safety				
Department for Levelling Up, Housing and Communities	The Construction Products (Amendment) Regulations 2022	Permits the SoS, and therefore the National Regulator for Construction Products, in addition to the current enforcement authorities, to enforce the construction product regulations. The impact on the public sector of establishing a national regulator for construction products is included in the Impact Assessment for the Building Safety Act 2022. This measure is exempt from the Business Impact Target under the safety in buildings exclusion.	Building Safety				

Department / ministerial regulator	Title of measure as in IA	Description of measure provided by department	Exclusion category	Impact on business			Total Net Present Value (£ millions)
				EANDCB (£ millions)	Business Impact Target score (£ millions)	Business Net Present Value (£ millions)	
Department for Transport	The Merchant Shipping (Control and Management of Ships' Ballast Water and Sediments) Regulations 2022	To ensure that UK ships comply with requirements that will enable them to continue to trade internationally, and to control the discharge of ballast water to prevent the introduction of unwanted organisms and pathogens into UK waters.	International	24.4	122.0	-107.7	-107.7
Home Office	The Fire Safety Act 2021	The Fire Safety Order 2005 (FSO 2005) places duties on Responsible Persons (RPs) and Duty Holders (DHs). The clarification in law (via the Fire Safety Act 2021) will ensure that, under the FSO 2005, RPs and DHs will need to take external walls (including cladding, balconies and windows) and individual flat entrance doors into account in the fire risk assessment and as a result take any additional fire precautions as may be reasonably required. For enforcement authorities, the clarification will affirm their ability to take enforcement action where they assess that the RP or DH has failed to comply with the duties in the Regulatory Reform (Fire Safety) Order 2005.	Administrative	5.2	25.9	-51.6	-57.8

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

Department	Title of measure as in IA	Description of measure provided by department
Department for Business, Energy and Industrial Strategy	The Conduct of Employment Agencies and Employment Businesses (Amendment) Regulations 2022	<p>Regulation 7 of the Conduct of Employment Agencies and Employment Businesses Regulations 2003 (the 2003 Regulations) made it a criminal offence for an employment business to knowingly (including having reasonable grounds for knowing) supply agency workers to hirers for the purpose of covering for workers taking part in official industrial action or to cover for staff covering for those taking part in official industrial action. This prohibition did not apply to employment agencies.</p> <p>The 2022 Regulations amend the 2003 Regulations to revoke regulation 7. They came into force on 21 July 2022. From 21 July employment businesses have been permitted to provide temporary agency workers to employers facing industrial action. Agency workers will be able to perform some, or all functions not being carried out due to the industrial action allowing employers in disputes to provide key services which will reduce the impact of the dispute on the wider economy and society.</p> <p>Wider requirements in the Conduct Regulations, such as that employment businesses should verify that the agency worker is suitably qualified, and wider health and safety protections are unaffected by this change. Employment agencies are also unaffected by this change. Existing protections for striking workers are also unaffected by this change.</p> <p>It is a permissive change. It gives agency workers the choice to accept assignments covering strikes should they wish to, but they also remain free to turn down these assignments. It also gives employment businesses the opportunity to legally and knowingly supply agency workers to hirers / employers for the purpose of covering strikes. They are not compelled to provide agency workers to cover strikes.</p>
Department for Business, Energy and Industrial Strategy	The Eco-design for Energy-Related Products and Energy Information Regulations 2021 (WAS: Electronic Displays)	Update eco-design requirements for the products to reflect what the UK agreed at EU level as an EU Member State in December 2018. This would make it possible for the UK to realise the energy and carbon emission savings from improvements to the energy efficiency of electronic displays, contributing to the government's Carbon Budget and Net Zero targets, and maintaining high environmental product standards.

Department	Title of measure as in IA	Description of measure provided by department
Department for Business, Energy and Industrial Strategy	The Exclusivity Terms for Zero Hours Workers (Unenforceability and Redress) Regulations 2022	This instrument makes exclusivity terms unenforceable in contracts which entitle workers to net average weekly wages which do not exceed the Lower Earnings Limit, currently £123 a week. Exclusivity terms are already unenforceable in zero hours contracts and this instrument extends the protection to workers working under contracts where they are guaranteed a net average weekly wage that does not exceed the Lower Earnings Limit, to ensure that they are also not restricted by exclusivity terms. This instrument will give these workers the right to take on additional employment without being subjected to unfair dismissal (for employees), or detriment by their employer or needing to gain their permission in order to seek additional employment. Eligible individuals will be able to bring proceedings in employment tribunals and may be awarded compensation.
Department for Business, Energy and Industrial Strategy	The Eco-design for Energy-Related Products and Energy Information Regulations 2021 (WAS: Eco-design and energy labelling requirements for white goods)	Update eco-design requirements for the products to reflect what the UK agreed at EU level as an EU Member State in December 2018. This would make it possible for the UK to realise the energy and carbon emission savings from improvements to the energy efficiency of electronic displays, contributing to the government's Carbon Budget and Net Zero targets, and maintaining high environmental product standards.
Department for Business, Energy and Industrial Strategy	Commercial Rent (Coronavirus) Act 2022	This Act enables the matter of relief from payment of protected rent debts due from the tenant to the landlord under a business tenancy to be resolved by arbitration (if not resolved by agreement).
Department for Business, Energy and Industrial Strategy	The Construction Contracts (England) Exclusion Order 2022	<p>This instrument excludes two types of construction contract from the provisions of the Housing Grants, Construction and Regeneration Act 1996 ("the Act"):</p> <ul style="list-style-type: none"> <li>• Direct Procurement for Customers (DPC) Competitively Appointed Provider (CAP) Contracts - excluded from all requirements of Part 2 of the 1996 Act; and</li> <li>• Direct Procurement for Customers (DPC) First Tier Sub-Contracts - excluded from section 110(1A) of the 1996 Act.</li> </ul> <p>Both contract types (defined in sub-section 7.6) form part of a new procurement model, known as Direct Procurement for Customers (DPC) for the finance, design, building, operation and maintenance of high value water and sewerage infrastructure.</p>



Department	Title of measure as in IA	Description of measure provided by department
Department for Business, Energy and Industrial Strategy	The Competition Act 1998 (Vertical agreements block exemption) Order 2022	<p>This order is a block exemption order under section 6 of the Competition Act 1998 (“the Act”). It gives effect to the Competition and Markets Authority’s recommendation that the Secretary of State should make an order that specifies certain categories of vertical agreements to exempt them from the prohibition in Chapter I of the Act which prohibits agreements between firms that prevent, restrict or distort competition.</p> <p>The purpose of the order is to ensure that businesses are not prevented or disincentivised from entering into agreements that the Competition and Markets Authority (CMA) considers to be overall beneficial and not anticompetitive.</p>
Department for Business, Energy and Industrial Strategy	The Trade Union (Power of the Certification Officer to Impose Financial Penalties) Regulations 2022	<p>The Trade Union Act 2016 provided for the Certification Officer, who regulates trade unions and employer associations, to have the power to impose penalties where those organisations had breached regulations that apply to them. The proposed regulations will implement the powers in the 2016 Act to enable the Certification Officer to impose a financial penalty on trade unions which are in breach of their statutory obligations. They provide a framework that sets appropriate penalty maxima and minima for different types of statutory obligation breached and by different membership size of union.</p>
Department for Business, Energy and Industrial Strategy	Professional Qualifications Bill	<p>Creates a new framework for the recognition of professional regulations following exit of the EU.</p>
Department for Business, Energy and Industrial Strategy	The National Security and Investment Act 2021 (Monetary Penalties) (Turnover of a Business) Regulations 2021	<p>SI specifies how to determine the turnover of a business for purposes of calculating penalties and to define when a business is to be treated as controlled by another business.</p>
Department for Business, Energy and Industrial Strategy	The National Security and Investment Act (Procedure for Service) Regulations 2021	<p>The SoS may need to issue notices and other documents to parties, for example to require them to take certain actions. This SI specifies how these documents should be served.</p>

Department	Title of measure as in IA	Description of measure provided by department
Department for Business, Energy and Industrial Strategy	The National Security and Investment Act 2021 (Prescribed Form and Content of Notices and Validation Applications) Regulations 2021	SI specifies how notifiers will provide information for three purposes - Mandatory notification; Application for retrospective validation of a notifiable acquisition; and Voluntary notification.
Department for Business, Energy and Industrial Strategy	The Small Business, Enterprise and Employment Act 2015 and Pubs Code etc. (Amendment) Regulations 2022	Following consultation, these amendments are intended to improve the practical operation of the Pubs Code by streamlining some of its processes, allowing for balanced and meaningful negotiation between the parties and providing greater clarity for POBs and tenants.
Department for Business, Energy and Industrial Strategy	The Accounting Standards (Prescribed Bodies) (United States of America and Japan) (Amendment) Regulations 2022	The Accounting Standards (Prescribed Bodies) (USA and Japan) 2015 regulations gave parent companies listed on the securities and stock exchanges in the USA or Japan up to 4 years following their UK incorporation in which to make the transition to prepare their group accounts in line with UK accounting principles. These regulations were due to lapse in September 2022.
Department for Business, Energy and Industrial Strategy	The National Security and Investment Act 2021 (Prescribed Form and Content of Notices and Validation Applications) (Amendment) Regulations 2022	These regulations amend the existing National Security and Investment Act 2021 (Prescribed Form and Content of Notices and Validation Applications) Regulations 2021 to correct the inconsistent use of the term "national infrastructure sector" in three separate lines. This is a minor correction to the existing 2021 regulations.
Department for Business, Energy and Industrial Strategy	The Storage of Carbon Dioxide (Amendment) (EU Exit) 2022	The changes being made by this legislation provides clarity on emissions obligations under climate change legislation by reflecting the new UK Emissions Trading Scheme (ETS) and referencing the 'exit day' from the EU.
Department for Business, Energy and Industrial Strategy	The National Security and Investment Act (Notifiable Acquisitions) Regulations 2021	SI sets out the types of acquisitions that must be notified.

Department	Title of measure as in IA	Description of measure provided by department
Department for Business, Energy and Industrial Strategy	The Toys and Cosmetic Products (Restriction of chemical substances) Regulations 2022	The measure restricts or prohibits the use of certain chemical products in toys or cosmetics, following scientific assessment that they pose a risk.
Department for Digital, Culture, Media and Sport	Charities Act 2022	This measure gives effect to the Law Commission's recommendations to reform various technical issues in the law governing charities. These changes will improve the efficiency of the sector, release more funds for use on charitable purposes rather than administration, and reduce unnecessary and overly bureaucratic regulation that not only increases the sector's costs but also is a factor in discouraging people from volunteering to become trustees.
Department for Digital, Culture, Media and Sport	The Charities (Royal Holloway and Bedford New College) Order 2022	The measure amends the objects of the Royal Holloway and Bedford New College so that the College can continue to provide instruction leading to the award of degrees of the University of London, but also award degrees in its own name and the name of any third party, and provides a power for the College to change its name, subject to the approval of the Privy Council, in order to be referred to as a University.
Department for Digital, Culture, Media and Sport	Electronic Communication (Universal Service) (Amendment) Order 2022	This measure removes the requirement that the publicly available telephone services that a universal service provider must provide, where reasonably requested by an end-user, must be capable of allowing end-users to make and receive facsimile.
Department for Digital, Culture, Media and Sport	Safety of Sports Grounds (Designation) (Amendment) (England) Order 2022	This measure designates Alexander Stadium, occupied by Birmingham City Council, as a sports ground requiring a safety certificate under the Safety of Sports Grounds Act 1975.
Department for Digital, Culture, Media and Sport	Safety of Sports Grounds (Designation) (Amendment) (England) (No.2) Order 2022	This Order designates the VBS Community Stadium, occupied by Sutton United Football Club, and Blundell Park, occupied by Grimsby Town Football Club, as sports grounds requiring a safety certificate under the Safety of Sports Grounds Act 1975. This Order also amends the designation for Boundary Park, occupied by Oldham Athletic Football Club, and Edgeley Park, occupied by Stockport County Football Club. In addition, it de-designates Glanford Park, (currently known as "The Sands Venue Stadium") occupied by Scunthorpe United Football Club.

Department	Title of measure as in IA	Description of measure provided by department
Department for Digital, Culture, Media and Sport	Football Spectators (Seating) Order 2022	This measure revises the licensing conditions in relation to seating (i.e. only seated accommodation is to be provided for spectators at designated football matches, except in areas where there are seats incorporating a barrier or seats with independent barriers) for all clubs currently subject to the all-seater policy.
Department for Digital, Culture, Media and Sport	Protection of wrecks (Designation and Amendment) (England) Order 2022	This measure designates a number of areas as restricted areas under the Protection of Wrecks Act 1973.
Department for Digital, Culture, Media and Sport	Cultural Objects (Protection from Seizure) Act 2022	Under section 134 of the Tribunals, Courts and Enforcement Act 2007, cultural objects on loan from abroad to UK museums and galleries approved under the 2007 Act are protected from seizure or forfeiture for a period of 12 months from the date the object enters the UK. This measure allows the period of protection to be extended for a further period of up to 3 months for objects on loan to approved museums and galleries in England and Scotland.
Department for Digital, Culture, Media and Sport	Amendment of the Russia (Sanctions) (EU Exit) Regulations 2019 - Prohibition on provision of certain internet services	This measure introduces new obligation on all ISPs and online media services to take reasonable steps to block/restrict distribution or facilitation of a designated service.
Department for Digital, Culture, Media and Sport	Renewal of digital terrestrial television (DTT) multiplex licences expiring in 2022 and 2026	The measure allows five national multiplex licences on the DTT platform that are due to expire in 2022 and 2026 to be renewed for a further period until 2034. The measure gives Ofcom the power to carry out these renewals, accompanied by the appropriate regulatory flexibility via the inclusion of a new revocation power that cannot take effect before the end of 2030.

Department	Title of measure as in IA	Description of measure provided by department
Department for Environment, Food and Rural Affairs	Changes to regulation surrounding the bass fishery	<p>Defra's rationale for intervention is to allow for some of the bass that fishers were previously obliged to discard to be marketable. The objectives for 2022 are as follows:</p> <ul style="list-style-type: none"> <li>• Reduce wasteful mortality.</li> <li>• Turn previously wasteful mortality into economic gain in the form of increased sales revenue.</li> <li>• Reduce the size of this deadweight loss.</li> <li>• Fulfil the agreed position with the EU.</li> </ul>
Department for Environment, Food and Rural Affairs	Changes to the Protection Status of Beavers	<p>The main rationale for government intervention is the need for regulation to protect beavers in line with international obligations. These obligations seek to promote the conservation and animal welfare of endangered species.</p>
Department for Environment, Food and Rural Affairs	Extending national measures against Oak processionary moth	<p>This measure will:</p> <ul style="list-style-type: none"> <li>• Designate the area within England where OPM is present and prescribe containment measures for this area.</li> <li>• Restrict high risk imports (oak trees with a girth &gt;8cm at 1.2m above the root collar can only be imported if they meet 2019 measures requirements) into the whole of GB, rather than just into the PFA.</li> <li>• Restrict the movement of high-risk oaks from the area in which OPM is present, into the area which is free from the pest. [The impact of this on trade is likely to be low, particularly considering that restrictions will only apply to large oak trees, and there are already restrictions for moving such trees].</li> </ul>

Department	Title of measure as in IA	Description of measure provided by department
Department for Environment, Food and Rural Affairs	Compulsory Microchipping of Cats	<p>The policy objective for the proposed measures is to improve the effectiveness of the microchipping regime to benefit cat welfare. The intended outcomes of intervention are to:</p> <ul style="list-style-type: none"> <li>i. Achieve better traceability of all owned cats and their keepers through maximising the proportion of cats that are microchipped. This will lead to improved cat health and welfare and incentivise responsible keepership.</li> <li>ii. Make it easier to return a stray cat to its owner- If more stray cats are traceable to their keepers, then the number of unidentified strays found will fall and so will the associated costs to animal rescues and shelters.</li> <li>iii. Enable greater use of control orders and prosecutions of cruel and irresponsible keepers (as increasing traceability means offenders will be easier to identify).</li> <li>iv. To be a deterrent against cat theft – as cats become identifiable to their keepers if microchipped.</li> </ul>
Department for Environment, Food and Rural Affairs	Permit the use of a non-penetrative captive bolt device for slaughter of neonate piglets, lambs and kids	The government is seeking to permit the use of the non-penetrative captive bolt device as a killing method for neonate piglets, lambs and kids.
Department of Education	Statutory underpinning for local skills improvement Plans (LSIPs)	Provides statutory underpinning for local skills improvement plans. The measures outline what an LSIP is and enable the SoS to designate and remove a designation of an Employer Representative Body (ERB) to lead the development and reviews of an LSIP for a specified area. Duties are placed on providers (FE Colleges, 6th Form Colleges, Designated Institutions, Independent training providers and Higher Education Institutions) to co-operate with ERB in the development and review of an LSIP and to have regard to the LSIP when making decisions on post-16 technical or training offered. Duties are placed on the SoS to take account of certain factors when approving an LSIP.

Department	Title of measure as in IA	Description of measure provided by department
Department of Education	Flexi-job apprenticeships	Creates a legal alternative apprenticeship which allows employers employing an apprentice on a flexi-jobs apprenticeship to commit up front to a minimum 3-month apprenticeship contract instead of the minimum of 12 months required within a standard apprenticeship.
Department of Education	Duty on colleges and designated institutions in relation to local needs	The duty to review in relation to local needs is a new duty on the governing bodies of providers in the FE statutory sector, further education corporations (colleges), sixth form colleges, corporations and designated institutions. The duty requires governing bodies to regularly review their provision against the local needs of their area and consider what action they could take alone or in conjunction with other educational institutions to better meet those needs.
Department of Education	Statutory Further Education intervention powers	New powers will enable the SoS to intervene where the education or training provided by an institution is failing, or has failed, to adequately meet local needs.
Department of Education	Improvements to FE insolvency regime	Clarifies certain parts of the FE insolvency regime regarding Company Voluntary Arrangements (CVAs) and Transfer Schemes, and the associated process to create a designated institution, as set out in separate legislation
Department of Education	Standards for residential special schools	This raises the bar in terms of the minimum standard of quality offered by residential special schools to achieve better outcomes for pupils.
Department of Education	Standards for boarding schools	This raises the bar in terms of the minimum standard of quality offered by boarding schools to achieve better outcomes for pupils.
Department of Education	Keeping Children Safe in Education (KCSIE)	Strengthens statutory guidance to remind schools and colleges to be aware of HRA/PSED obligations; to make safeguarding and child protection training provision for governors; and to withdraw SVSH advice.

Department	Title of measure as in IA	Description of measure provided by department
Department of Education	Higher Education ([Other] Fees) (England) Regulations 2022	Enable the OfS to charge for investigation and inspection activity where there is an adverse finding that is directly attributable to that specific provider.
Department for Transport	The Aviation Safety (Amendment) (EU Exit) Regulations 2020	To amend the retained EU law to remove legal inoperabilities and correct terms used in the EU aviation safety legislation.
Department for Transport	M1 J13-16 Smart Motorway Scheme	To allow the operation of variable mandatory speed limit (VMSL) between junctions 13 to 16 of the M1 motorway.
Department for Transport	High Speed Offshore Service Craft	To facilitate and add value to the growth of an expanding market in the UK for High-Speed Offshore Service Craft.
Department for Transport	Driving Licence Upgrade Arrangements	This is so that a driver passing a test for an automatic vehicle also gets the manual entitlement for the same category, provided they meet certain criteria.
Department for Transport	The Civil Enforcement of Moving Traffic Contraventions by Local Authorities in England Outside London	Gives local authorities powers to issue Penalty Charge Notices (PCNs) based on evidence produced by CCTV cameras; set penalty charge levels; set financial provisions for income and expenditure; make provision for adjudication, representations and appeals, and prescribe the approval process for camera equipment.
Department for Transport	Motorcycle A2 test, minimum test vehicle	To reduce the engine size requirement for the A2 test to 245cc.
Department for Transport	Enclosed Spaces DMA	To extend the Merchant Shipping (Entry into Dangerous Spaces) Regulations 1988 to aid in improving safety awareness, within the merchant shipping and fishing industry, of the dangers of enclosed spaces.



Department	Title of measure as in IA	Description of measure provided by department
Department for Transport	Merchant Shipping (Radiocommunications) (Amendment) Regulations 2021	To implement the latest safety requirements governing maritime radiocommunications, laid down in Chapter IV of the Annex to the International Convention for the Safety of Life at Sea, 1974 (SOLAS), into UK law.
Department for Transport	Airspace DMA SI 1: The Enforcement of Airspace Change Directions (Determination of Turnover for Penalties) Regulation 2021	To enable turnover of airspace to be customised for different areas.
Department for Transport	Airspace DMA SI 2: The Licensed Air Traffic Services (License Modification and Prescribed Aerodromes) Regulations 2021	To enable the owner or manager of "prescribed aerodromes" to appeal a decision made by the Civil Aviation Authority regarding changes to licence conditions made without the consent of the licence-holder.
Department for Transport	The Carriage by Air (Revision of Limits of Liability under the Montreal Convention) Order 2021	To increase the certified limits of liability for aircraft carriers registered outside of the EU and UK.
Department for Transport	Removing B+E testing	To increase the number of lorry drivers within Great Britain by increasing the number of test slots available to drivers wishing to pass a lorry driving test.
Department for Transport	The Taxis and Private Hire Vehicles (Disabled Persons) Bill DMA	To require Local Licensing Authorities to provide disabled passengers with the protection they require in taxis and private hire vehicles.
Department for Transport	TCA requirement to extend the operator licensing regime to light goods vehicles	To make minor amendments to the current heavy goods vehicle operator licensing regime, setting new criteria for assessing whether an operator is suitable to hold a licence.

Department	Title of measure as in IA	Description of measure provided by department
Department for Transport	Moving Traffic Contraventions DMA	To bring civil parking enforcement arrangements in line with those in London and Wales, reducing pressures on police who would continue to prioritise more serious traffic violations.
Department for Transport	Road Vehicles (Construction and Use) (Amendment) Regulations 2022	To amend domestic legislation, which governs the maximum length of vehicles, to allow for the fitment and use of elongated cabs and aerodynamic rear devices onto heavy goods vehicles (HGVs) on GB roads, without increasing the load capacity.
Department for Transport	Healthcare Professionals LRO DMA	To change primary legislation to permit the flexibility of driving licence holders to use a registered healthcare professional instead of a registered medical practitioner during investigation.
Department for Transport	Commission Implementing Regulation (EU) No 716/2014 (Amendment) Regulations 2022	To put in place more appropriate implementation dates for the technologies required under the Pilot Common Project, mandating technology roll out across different areas of Air Traffic Management.
Department for Transport	PSVAR Medium Term Exemptions DMA	To make travel on public services easier for disabled people through the use of Administrative Orders.
Department for Transport	Modifying Regulation 109 of the Road Vehicles (Construction and Use) Regulations 1986	Modifying Regulation 109 of the Road Vehicles (Construction and Use) Regulations 1986.
Department for Transport	The Aviation Security (Amendment) Regulations 2022	To ensure that government-imposed security requirements do not unnecessarily interfere with hiring processes in the aviation sector, particularly to ensure that the peak summer period is not constrained due to staffing factors, while also maintaining a high level of security.

Department	Title of measure as in IA	Description of measure provided by department
Department for Transport	M5 Junction 1-3 Speed Limit SI	To implement a continuation of the 60mph speed limit which is currently in place between just north of junction 1, and just south of junction 2 of the M5, required to help address issues with air quality in this area.
Department for Transport	Street Works Reform	To reduce the impact of works on congestion through fewer disputes, better planned works and by providing more up to date and accurate information to road users.
Department for Transport	Non-residential charging infrastructure provision (Building Regulations)	To ensure that non-residential car parks have the necessary electric vehicle charging infrastructure to support future electric vehicle uptake.
Department for Transport	Taxis and Private Hire Vehicles (safeguarding and road safety) Bill	To place a statutory duty on licensing authorities to share information and allow authorities to be in possession of the full facts regarding taxis and private hire vehicles applicants' adverse licensing histories.
Department for Transport	Unmanned Aircraft (Drone) Product Requirements DMA	To ensure that new unmanned aircraft are not prohibited from being sold in the UK.
Department for Transport	Mobile Phone Use	To ban the standalone use of hand-held mobile phones while driving.
Department for Transport	The Train Driving Licences and Certificates (Amendment) Regulations 2022	To amend regulations providing for a two-year recognition period that currently applies to all EU issued train driving licences ("TDLs") used in Great Britain.
Department for Transport	The Merchant Shipping (Polar Code) (Safety) Regulations 2021	To provide low-cost information to those on the vessel board (i.e. crew), that the ship is safe to operate within these harsh polar regions.

Department	Title of measure as in IA	Description of measure provided by department
Department for International Trade	The Trade Remedies (Review and Reconsideration of Transitioned Trade Remedies) Regulations 2022	Sets out how the trade remedies call-in power as provided for in the Finance Bill 2021 will work.
Department for International Trade	The Trade Remedies (Miscellaneous Amendments) Regulations 2022	Allows for the implementation of amendments to the trade remedies secondary legislation under the Taxation (Cross-border Trade) Act 2018, which includes a number of technical changes to support the efficient running of the system and giving a power for the Trade Remedies Authority to conduct exemption reviews and make recommendations to the SoS to grant exemptions to certain UK trade remedies measures.
Department for International Trade	The Trade in Dual-Use Items (Council Regulation (EC) No 428/2009) (Amendment) Regulations 2022	Updates the list of controlled dual-use items so they reflect changes made to the international export control regimes. The updates are required to keep DIT aligned with its international commitments.
Department for International Trade	The Export Control (Amendment) Order 2022	Introduces a new prohibition on the export of certain items where the SoS has informed the relevant person that items are or may be intended for a military end-use in a UK embargoed destination or a country subject to an arms embargo by the Organization for Security and Co-operation in Europe or the UN Security Council. The control will only apply to items that have a relevant consequence as set out in the Export Control Act 2002. The instrument also moves China (and its Special Administrative Regions Hong Kong and Macao) into the list of countries that are embargoed destinations and subject to transit control for military goods.
Department for International Trade	The Cat and Dog Fur (Control of Movement etc.) (EU Exit) Regulations 2022	Corrects deficiencies in retained EU law by removing references to the EU, its institutions, and its regulations; clarifies penalties; and implements the NI Protocol.

Department	Title of measure as in IA	Description of measure provided by department
Department for International Trade	The Export Control (Amendment) (No.2) Order 2022	Updates and amends Schedule 2 to the Export Control Order 2008, which lists the military goods, software and technology subject to strategic export controls, to reflect changes to the UK's international export control commitments.
Department for International Trade	The Export Control (Amendment) (EU Exit) Regulations 2022	Makes necessary changes to the Export Control Order 2008 to ensure that the EU Regulation (EU) 2021/821 operates effectively in Northern Ireland. It provides definitions in relation to Great Britain to reference retained EU law, and in relation to NI to reference EU law, as that EU law has effect by virtue of the Protocol on Ireland/Northern Ireland in the EU withdrawal agreement.
Department for International Trade	Extraterritorial US Legislation (Sanctions against Cuba, Iran and Libya) (Protection of Trading Interests) (Amendment) (EU Exit) Regulations 2022	Amends the Extraterritorial US Legislation (Sanctions against Cuba Iran and Libya) (Protection of Trading Interests) Order 1996 to accord with the new wording of the UK's Small Business, Enterprise and Employment Act 2015, while removing an outdated reference to EU law from the 1996 Order which no longer applies in the UK.
Department for Levelling Up, Housing and Communities	Approved Document L Volume 2 – Conservation of fuel and power – Buildings other than dwellings	Reduces carbon emissions and improves the energy efficiency of buildings by ensuring building work carried out on non-domestic buildings is performed to a higher standard of energy efficiency.
Department for Levelling Up, Housing and Communities	Approved Document F Volume 1 – Ventilation – Dwellings & Approved Document F Volume 2 – Ventilation – Buildings other than dwellings	Improves ventilation standards in new and existing domestic and non-domestic buildings and reduces the risk of the spread of illness through improved internal air quality.
Department for Levelling Up, Housing and Communities	Approved Document O – Overheating in residential buildings	Protects the health of occupants potentially at risk of overheating in residential buildings by limiting unwanted summer solar gains, removing excess heat and avoiding the widespread uptake of mechanical cooling systems.

Department	Title of measure as in IA	Description of measure provided by department
Department for Levelling Up, Housing and Communities	Leasehold Reform (Ground Rent) Act 2022	Restricts ground rents on regulated newly established leases of houses and flats where a premium is paid to a token one peppercorn per year, effectively restricting ground rents to zero financial value to make leasehold ownership fairer and affordable.
Department for Levelling Up, Housing and Communities	The Leasehold Reform (Ground Rent) Act 2022 (Commencement) Regulations 2022	These Regulations bring into force the Leasehold Reform (Ground Rent) Act 2022.
Department for Levelling Up, Housing and Communities	The Leasehold Reform (Ground Rent) (Business Lease Notices) Regulations 2022	Provides an exception for 'Business Leases' from the peppercorn provisions where the tenant and landlord give each other written notices at or before the time the lease is granted. This confirms their intentions that the premises will be used and continue to be used for business purposes and ensure that it is clear from the outset that both parties are aware of the reason that a rent may be charged for the property.
Department for Levelling Up, Housing and Communities	The Housing (Approval of Code of Management Practice) (Student Accommodation) (England) Order 2022	Updates the Code of Practice for privately-run purpose-built student accommodation, setting out requirements for student facilities in line with the Codes of Practice for educational establishments.
Department for Levelling Up, Housing and Communities	The Town and Country Planning (General Permitted Development) (England) (Amendment) Order 2022	Streamlines the planning system to make it easier for mobile service operators to upgrade existing sites in England for 5G delivery and reduce the cost involved in upgrading network infrastructure in response to the growing demands for network capacity.

Department	Title of measure as in IA	Description of measure provided by department
Department for Work and Pensions	The Occupational and Personal Pension Schemes (Disclosure of Information) (Statements of Benefits: Money Purchase Benefits) (Amendment) Regulations 2021	This instrument makes amendments to the regulations governing the disclosure requirements for occupational pension schemes and personal pension schemes. The amendments place a new requirement on trustees or scheme managers of certain occupational and personal pension schemes offering money purchase benefits (defined contribution (DC) pension schemes) and which are used for automatic enrolment to provide that a statement given to certain members informing them of their pension savings must not exceed one double-sided sheet of A4-sized paper when printed, and the equivalent if printed from an online statement.
Department for Work and Pensions	The Occupational Pension Schemes (Collective Money Purchase Schemes) Regulations 2022	This instrument implements the new authorisation and supervisory regime for collective money purchase schemes. These will be the first schemes of their type in the United Kingdom pensions market. Collective money purchase schemes provide an alternative in which the contributions of members and employers are pooled and invested with a view to delivering benefits at the level to which the scheme aspires. They will enable single or connected employer collective money purchase schemes to apply to the Pensions Regulator for authorisation to operate in Great Britain.
Department for Work and Pensions	The Occupational and Personal Pension Schemes (Disclosure of Information) (Requirements to Refer Members to Guidance etc.) (Amendment) Regulations 2022	This will place new requirements on the trustees or managers of certain occupational pension schemes (defined contribution pension schemes) to ensure relevant beneficiaries are referred to appropriate pensions guidance, provided by the single financial guidance body or one of its delivery partners. They will be provided with an explanation of the nature and purpose of the guidance as part of the application process when a beneficiary applies to receive or transfer their flexible benefits.
Department for Work and Pensions	The Occupational Pension Schemes (Governance and Registration) (Amendment) Regulations 2022	This instrument integrates an Order produced by the Competition and Markets Authority (CMA) into pensions legislation. The order implemented the CMA remedies to address weak competition found within the investment consultancy ("IC" – the provision of advice to pension scheme governance bodies) and fiduciary management ("FM" – the provision of advice combined with the delegation of investment decisions) markets. It will require trustees of occupational pension schemes in scope to set objectives for their investment consultant and carry out a tender exercise in certain circumstances before appointing a fiduciary manager. It will also enable The Pensions Regulator (TPR) to oversee the remedies which apply to such trustees and ensure compliance.

Department	Title of measure as in IA	Description of measure provided by department
Department for Work and Pensions	The Occupational Pension Schemes (investment) (employer-related investments by master trusts) (amendment) regulations 2022	This instrument amends regulations which restrict the extent to which occupational pension schemes can make certain investments with links to the employers who use the scheme, defined in the Pensions Act 1995 as “employer-related investments”. It will update the Occupational Pension Schemes (Investment) Regulations 2005 to reflect the current defined contribution (DC) Master Trust pension system following the introduction of automatic enrolment, and relaxes the restrictions on employer-related investments for DC Master Trust pension schemes which are authorised by the Pensions Regulator and have 500 or more participating employers (“large Master Trusts”). This delivers the original policy intent of preventing malpractice at the top of the scheme’s governance structure whilst removing outdated unnecessary restrictions which limit the ability of large Master Trusts to invest freely in the best interests of their members.
Foreign, Commonwealth & Development Office	The Russia (Sanctions) (EU Exit) (Amendment) Regulations 2022	Amendment to the existing 2019 Regulations, which aimed to encourage Russia to cease actions destabilising Ukraine or undermining or threatening the territorial integrity, sovereignty and independence of Ukraine. The amendments expand the existing designation criteria to provide a basis for the UK to designate individuals or entities that are or have been involved in obtaining a benefit from or supporting the government of Russia.
Foreign, Commonwealth & Development Office	The Russia (Sanctions) (EU Exit) (Amendment) (No.4) Regulations 2022	The Regulations prohibit Russian ships, and other ships specified by the SoS, from entering ports in the UK. There is a notification and publicity requirement where the specification power is used. The Regulations provide the SoS with a power to control the movement of Russian ships or specified ships by requiring them to leave or enter specified ports, proceed to a specified place or remain where they are. The Regulations also confer powers on the SoS and harbour authorities to detain Russian ships or specified ships at ports or anchorages. The registration of ships on the UK Ship Register is prohibited where they are owned, controlled, chartered or operated by a designated person or persons connected with Russia, or where they are a specified ship.



Department	Title of measure as in IA	Description of measure provided by department
Foreign, Commonwealth & Development Office	The Russia (Sanctions) (EU Exit) (Amendment) (No. 5) Regulations 2022	The amendments insert a restriction on the provision of financial services for the purposes of foreign exchange reserve and asset management involving the Central Bank of the Russian Federation, the National Wealth Fund of the Russian Federation, the Ministry of Finance of the Russian Federation, or persons owned or controlled by, or acting on behalf of, or at the direction of, the same. The Regulations insert licensing grounds relating to these new provisions.
Foreign, Commonwealth & Development Office	The Russia (Sanctions) (EU Exit) (Amendment) (No. 6) Regulations 2022	The Regulations prohibit Russian aircraft from overflying or landing in the UK. The Regulations also confer powers on the SoS, air traffic control and airport operators to issue directions for the purpose of preventing Russian aircraft from entering the airspace over the UK or from landing in the UK, or requiring aircraft to leave the airspace over the UK. The Regulations also confer powers on the CAA to refuse, suspend or revoke permissions in respect of Russian aircraft. The registration of aircraft on the register kept by the CAA is prohibited where they are owned, operated or chartered by demise by a designated person. The Regulations also amend the trade measures in the 2019 Regulations to add new categories of aviation and space goods and technology, based on items falling within chapter 88 of the Tariff of the UK.
Foreign, Commonwealth & Development Office	The Russia (Sanctions) (EU Exit) (Amendment) (No. 7) Regulations 2022	The Regulations extend the existing finance, shipping and trade sanctions relating to the Autonomous Republic of Crimea and city of Sevastopol (“Crimea”) to the non-government controlled areas of the Donetsk oblast and Luhansk oblast of Ukraine (“non-government controlled areas of the Donetsk and Luhansk oblasts”). The Regulations also extend the relevant exceptions and licensing provisions to the non-government controlled areas of the Donetsk and Luhansk oblasts. The Regulations also make provision to correct or resolve a number of issues arising from the Russia (Sanctions) (EU Exit) (Amendment) (No. 6) Regulations 2022 (S.I. 2022/241): first, to remove the SoS’s power to issue directions under regulation 57J(8) (movement of aircraft) and instead replace it with a power to issue a licence to authorise a movement of aircraft that would otherwise be prohibited; second, to ensure the effective resolution of conflicts between provisions of the Air Navigation Order 2016 and any direction under regulation 57J(9)(c) or (d) to suspend, rather than just revoke a permission; third, to ensure that regulation 63(1) (exception for acts done for purposes of national security or prevention of serious crime) applies to prohibitions in and under Part 6A (Aircraft); and fourth to amend regulation 80 (penalties for offences) to ensure that each offence in Part 6 (Ships) and Part 6A (Aircraft) may be enforced through the appropriate level of penalties.

Department	Title of measure as in IA	Description of measure provided by department
Foreign, Commonwealth & Development Office	The Russia (Sanctions) (EU Exit) (Amendment) (No.9) Regulations 2022	New regulation 54A of the 2019 Regulations (inserted by regulation 5 of these Regulations) requires providers of social media services, internet access services (i.e. internet service providers) and application stores to take reasonable steps to prevent their users in the UK from encountering or accessing online content generated by designated persons. Regulation 5 of the 2019 Regulations (amended by regulation 4 of these Regulation) confers on the SoS the power to designate a person for the purposes of new regulation 54A. Failure to comply with a requirement imposed under new regulation 54A is a criminal offence.
Foreign, Commonwealth & Development Office	The Sanctions (EU Exit) (Miscellaneous Amendments) Regulations 2022	The Regulations make corrections and amendments to a number of sanctions regulations which have been made under section 1 of the Sanctions Act. The Regulations insert a new information sharing power in each of the sanctions regulations mentioned above to authorise other government departments, agencies and relevant bodies to share information to enable or assist the Treasury to discharge its functions in connection with sanctions. Sanctions regulations impose various obligations on “relevant firms” to report to the Treasury. The Regulations widen the definition of “relevant firm” to capture cryptoasset exchange providers and custodian wallet providers in each of the sanctions regulations mentioned above.
Foreign, Commonwealth & Development Office	The Sanctions (EU Exit) (Miscellaneous Amendments) (No. 2) Regulations 2022	The instrument makes certain corrections to sanctions regimes currently in effect in UK law and also introduces new provisions as follows. The instrument amends and corrects certain technical provisions relating to trade sanctions. It also introduces financial sanctions measures insofar as it amends certain provisions relating to licences.
Foreign, Commonwealth & Development Office	The Haiti (Sanctions) Regulations 2022	This instrument is made under the Sanctions and Anti-Money Laundering Act 2018 (‘the Sanctions Act’) to give effect to the UK’s obligations under United Nations Security Council Resolution 2653 (2022) <sup>1</sup> (“resolution 2653”). Resolution 2653 provides for a sanctions regime for Haiti, (“the UN Haiti sanctions regime”) which was adopted on 21 October 2022.

Department	Title of measure as in IA	Description of measure provided by department
Foreign, Commonwealth & Development Office	The Afghanistan (Sanctions) (EU Exit) (Amendment) Regulations 2022	This instrument is made under the Sanctions and Anti-Money Laundering Act 2018 ('the Sanctions Act') to make amendments to the Afghanistan (Sanctions) (EU Exit) Regulations 2020. It implements an exception created by the United Nations (UN) Security Council to financial sanctions under the UN Afghanistan sanctions regime, to facilitate humanitarian assistance and other activities that support basic human needs in Afghanistan.
Foreign, Commonwealth & Development Office	The Democratic Republic of the Congo (Sanctions) (EU Exit) (Amendment) Regulations 2022	This instrument is made under the Sanctions and Anti-Money Laundering Act 2018 ('the Sanctions Act') to make amendments to the Democratic Republic of Congo (Sanctions) (EU Exit) Regulations 2019 ('the DRC Regulations'). These amendments are being made to enable the UK to implement UN sanctions measures by inserting a reference to a new designation criterion in paragraph 3 of UN Security Council Resolution (UNSCR) 26411, and to remove references to UNSCRs which have been superseded, as well as to add the new criterion to the domestic designation criteria.
Home Office	The Antique Firearms (Amendment) Regulations 2021	To correct an error in the Antique Firearms Regulations 2021 (S.I. 2021/215) (the 2021 Regulations). The 2021 Regulations specify types of propulsion system, types of cartridge and a date of manufacture, which make a firearm eligible to be regarded as antique and therefore able to be possessed without the need for a firearm certificate. This instrument amends the list of cartridges in the Schedule to the 2021 Regulations to include vintage rifles, punt guns and shot guns with bores greater than 10. It also makes minor corrections to the descriptions of some other types of cartridge in the Schedule.
Home Office	The Misuse of Drugs (Amendment) (England, Wales and Scotland) Regulations 2021	Following an assessment of their harms, the Advisory Council on the Misuse of Drugs has recommended that three drugs, Gamma-Hydroxybutyric Acid (GHB), Gamma-Butyrolactone (GBL) and 1,4-Butanediol (1,4-BD), be moved from Class C to Class B under the Misuse of Drugs Act 1971 and that GBL and 1,4-BD be placed in Schedule 1 to the Misuse of Drugs Regulations 2001 (the 2001 Regulations) and further recommended the removal of an exemption from the 2001 Regulations that made certain activities in relation to GBL and 1,4-BD lawful, meaning that legitimate industrial users will require a controlled drugs licence. Collectively, these three drugs are referred to below as "GHB and related substances". This instrument places GBL and 1,4-BD in Schedule 1 to the 2001 Regulations.

Department	Title of measure as in IA	Description of measure provided by department
Home Office	The Misuse of Drugs Act 1971 (Amendment) Order 2022	Following an assessment of their harms, the Advisory Council on the Misuse of Drugs has recommended that three drugs, Gamma-Hydroxybutyric Acid, referred to for the purposes of this Order in Council as 4-Hydroxy-n-butyric acid, (GHB), Gamma-Butyrolactone (GBL) and 1,4-Butanediol (1,4-BD), be moved from Class C to Class B under the Misuse of Drugs Act 1971 owing to evidence of harm and of the prevalence of these drugs in the UK. The ACMD also recommended that GBL and 1,4-BD be placed in Schedule 1 to the Misuse of Drugs Regulations 2001, and further recommended the removal of an exemption from these 2001 Regulations that made certain activities in relation to GBL and 1,4-BD lawful, meaning that legitimate industrial users will require a controlled drugs licence. Collectively, these three drugs are referred to below as “GHB and related substances” (GHBRs). This Order in Council places GHBRs in Class B under the Misuse of Drugs Act 1971.
Home Office	The Immigration and Police (Passenger, Crew and Service Information) (Amendment) Order 2022	To amend the Immigration and Police (Passenger, Crew and Service Information) Order 2008 (S.I. 2008/5), removing the sunset clause, inserted in 2015, which would otherwise mean the 2008 Order would cease to have effect from 15th April 2022. This Order also makes minor amendments to the requirements that may be imposed on carriers to ensure the 2008 Order remains fit for purpose.
Home Office	The Immigration (Restrictions on Employment and Residential Accommodation) (Prescribed Requirements and Codes of Practice) and Licensing Act 2003 (Personal and Premises Licences) (Forms), etc., Regulations 2022	<p>This instrument relates to measures that control migrant access to social housing and homelessness assistance; private rented accommodation; employment and current accounts in the UK and makes minor corrections to prescribed licensing application forms.</p> <p>(1) It implements changes to the Right to Work and Right to Rent Schemes to allow employers and landlords to use Identity Document Validation Technology providers to carry out digital checks on their behalf for British and Irish citizens who hold a valid passport (or Irish passport card).</p> <p>(2) It appoints Synectics Solutions Ltd as the specified anti-fraud data-sharing interlocutor with the financial sector. There are potential opportunities to make ongoing scheme improvements, to incorporate the immigration restrictions into wider work and the costs to the financial sector in creating systems changes to address the GDPR and potential for offshore access to these data are similar irrespective of the provider.</p>

Department	Title of measure as in IA	Description of measure provided by department
Home Office	CP 632 - Statement of Changes in Immigration Rules (CP 632 immigration rules)	Closure of the Tier 1 (Investor) visa route to all new applicants from all nationalities with immediate effect.
Home Office	HC 1118 - Statement of Changes in Immigration Rules (HC 395 immigration rules)	As part of the plan for growth to recover from the impacts of COVID-19, the government is aiming to attract high-skilled labour from across the globe. The Global Business Mobility immigration routes aim to increase the UK's attractiveness to highly-skilled labour and enable businesses to plug skills gaps.
Home Office	The Terrorism Prevention and Investigation Measures (Polygraph) Regulations 2022	Following changes made by the Counter-Terrorism and Sentencing Act 2021, an individual subject to a Terrorism Prevention and Investigation Measures (TPIM) notice may, subject to certain conditions being met, be required by the SoS to participate in a polygraph session. These Regulations relate to the conduct of TPIM polygraph sessions. In particular, they set out qualification requirements for polygraph operators and supervisors, set out requirements for the conduct of polygraph examinations, make provision for review of every polygraph session, and provide for regular reporting to the Home Office.
Home Office	The Immigration and Nationality (Fees) (Amendment) Regulations 2022	To remake existing fee provisions for applications made by children seeking to register as British Citizens and introduces a discretionary affordability-based fee waiver as well as a fee exception for children who are looked after by a local authority and a related exception from the fees payable for the arrangement of a citizenship ceremony or administration of a citizenship oath and pledge. It provides specific fee exceptions for the applications under the Ukraine Schemes introduced by the UK and Crown Dependencies by adding to their respective immigration rules. It also provides a fee for applications for leave to remain in the UK on the new High Potential Individual route.

Department	Title of measure as in IA	Description of measure provided by department
Home Office	The Alcohol Licensing (Coronavirus) (Regulatory Easements) (Amendment) Regulations 2022	<p>In response to the coronavirus pandemic, section 11 of the Business and Planning Act 2020 (“the 2020 Act”) made temporary provision to allow sales of alcohol for consumption off the premises to licensed premises that did not have that permission. This temporary provision was originally due to expire on 30.9.21. The 2020 Act included an enabling power whereby the premises licence provisions can be extended through the 2020 Act if the SoS considers it reasonable to do so to mitigate an effect of coronavirus. This enabling power has been used once previously in the Business and Planning Act 2020 (Alcohol Licences) (Coronavirus) (Amendment) Regulations 2021 to extend the period during which this temporary provision applies until 30.9.22.</p> <p>The purpose of this instrument is to use this enabling power to further extend the period during which this temporary provision applies, until 30.9.23.</p>
Home Office	The Police, Crime, Sentencing and Courts Act 2022	<p>To protect the police and other emergency workers and protects the public including by giving the police the tools needed to tackle crime and disorder, enhancing the wellbeing of police officers and staff and by addressing the root causes of serious violent crime using multi-agency approaches to prevention. The intended effects are to decrease crime and disorder, ensure offenders are brought to justice and to reduce the emotional and economic costs to victims, their families and the public and private sectors.</p>
Home Office	Nationality and Borders Act 2022	<p>Makes provision about nationality, asylum and immigration; about victims of slavery or human trafficking; provides a power for Tribunals to charge participants where their behaviour has wasted the Tribunal’s resources; and for connected purposes.</p>
Home Office	Economic Crime (Transparency and Enforcement) Act 2022	<p>To deliver the government’s ambitious economic crime agenda and targeting more kleptocrats and corrupt elites by ensuring enforcement authorities are equipped to investigate with the appropriate powers. It will reform, strengthen and reinforce the unexplained wealth order regime to have maximum effect, particularly to ensure property held via complex ownership structures and trusts is within scope of the regime.</p>

Department	Title of measure as in IA	Description of measure provided by department
HM Treasury	Financial Services and Markets Act 2000 (Regulated Activities) (No.2) Order 2022	This SI made two amendments to the Financial Services and Markets Act 2000 (Regulated Activities) Order 2001 ("the RAO"). The first amendment clarified the regulatory position of certain credit agreements entered into by high-net-worth individuals. The second amendment was made to take account of the formation of the Money and Pensions Service (MaPS) in relation to pensions guidance.
HM Treasury	The Money Laundering and Terrorist Financing (High-Risk Countries) (Amendment) (No. 2) Regulations 2022	This measure updates the list of high-risk third countries in respect of which the regulated sector needs to apply enhanced due diligence in a timely manner in order to ensure the UK maintains robust defences against money laundering, terrorist financing and proliferation financing.
HM Treasury	The Russia (Sanctions) (EU Exit) (Amendment) (No.17) Regulations 2022	This measure disapplies the Bank of England's duty under s.89H(2) of the Banking Act 2009 to make a recognition decision in relation to a notification of third-country resolution action where this relates to an entity which is (a) a designated person under the asset freeze provisions of the Russia Regulations or (b) owned or controlled directly or indirectly by such a designated person.
HM Treasury	The Financial Services (Gibraltar) (Amendment) (EU Exit) Regulations 2022	This instrument extends by 12 months the transitional arrangements under Parts 2 and 3 of the Financial Services (Gibraltar) (Amendment) (EU Exit) Regulations 2019, which enable specified categories of Gibraltar-based firms to provide financial services in the UK and facilitate the access by similar types of UK-based firms to Gibraltar's financial services market. On commencement of a new permanent regime (the Gibraltar Authorisation Regime) these transitional arrangements will fall away.

Department	Title of measure as in IA	Description of measure provided by department
HM Treasury	<p>The Capital Requirements Regulation (Amendment) Regulations 2021</p> <p>The Financial Services Act 2021 (Prudential Regulation of Credit Institutions and Investment Firms) (Consequential Amendments and Miscellaneous Provisions) Regulations 2021</p> <p>The Financial Services Act 2021 (Prudential Regulation of Credit Institutions and Investment Firms) (Consequential Amendments and Miscellaneous Provisions) Regulations 2022</p> <p>The Financial Services and Markets Act 2000 (Consequential Amendments of References to Rules) Regulations 2021</p>	<p>These instruments enabled the implementation of the Basel 3 standards by the Prudential Regulation Authority and the Investment Firms Prudential Regime by the Financial Conduct Agency on 1.1.22.</p>
HM Treasury	<p>Payment and Electronic Money Institution Insolvency (England and Wales)(Amendment) Rules 2022</p>	<p>The Payment and Electronic Money Institution Insolvency (England and Wales) Rules 2021 introduced rules for England and Wales as part of the wider Special Administration Regime. The rules have been introduced specifically to facilitate the achievement of the unique objectives of the special administration procedures set out in the Regulations. The rules were introduced for England and Wales. Following review from the Joint Committee Statutory Instruments, minor errors were identified, which this instrument corrected.</p>



Department	Title of measure as in IA	Description of measure provided by department
HM Treasury	Economic Crime (Transparency and Enforcement) Act - amendments it makes to financial sanctions legislation	<p>The measures have four purposes:</p> <ul style="list-style-type: none"> <li>a. A more robust legal test that will support compliance and help the Office of Financial Sanctions Implementation (OFSI) to impose monetary penalties for breaches of financial sanctions</li> <li>b. Greater flexibility in how the Treasury manages the review process for monetary penalties.</li> <li>c. Enhanced intelligence and information sharing powers to give OFSI better tools to do enforcement through greater access to information from other agencies.</li> <li>d. A statutory power to publicly censure for financial sanctions non-compliance even if a decision is made not to impose a monetary penalty for the breach</li> </ul>
HM Treasury	The Packaged Retail and Insurance-based Investment Products (UCITS Exemption) (Amendment) Regulations 2021	This extends the exemption for Undertakings for the Collective Investment in Transferable Securities (UCITS) funds from the requirements of the Packaged Retail and Insurance-based Investment Products (PRIIPs) Regulation by five years to 31 December 2026. This means that, instead of producing a Key Information Document (KID), UCITS funds providers must produce a Key Investor Information Document (KIID), as per the requirements of the UCITS Directive.
HM Treasury	The Financial Services and Markets Act (2000) – Section 38 Exemption Order (Amendment; Norges Bank (2022)).	This statutory instrument added Norges Bank to the list of exempt persons under section 38 of the Financial Services and Markets Act (2000) with respect to specified Articles in the Regulated Activities Order
HM Treasury	The European Market Infrastructure Regulation (United States of America Regulated Market Equivalence) Regulations 2022	This instrument revoked and replaced an existing equivalence decision for the U.S. (Commodity Futures Trading Commission) under Article 2A of UK European Market Infrastructure Regulation. It did not change the substance of the decision, only the list of firms to which the original decision applies. The effect of the decision (allowing UK firms to treat derivative transactions as a less burdensome variant (Exchange Traded Derivatives vs Over the Counter) when traded on specific markets) only applies to markets named within the decision's annexe.

Department	Title of measure as in IA	Description of measure provided by department
HM Treasury	The Money Laundering and Terrorist Financing (High-Risk Countries) (Amendment) Regulations 2022	This measure updates the list of high-risk third countries in respect of which the regulated sector needs to apply enhanced due diligence in a timely manner in order to ensure the UK maintains robust defences against money laundering, terrorist financing and proliferation financing.
HM Treasury	Economic Crime (Transparency and Enforcement) Bill 2022 - relating to high-risk third countries list.	This streamlines the process by which the UK's High Risk Third Countries list is updated. It will no longer require SIs to be laid, and instead, HMT will be able to update and amend the list on gov.uk
HM Treasury	The Money Laundering, Terrorist Financing (High-Risk Countries) (Amendment) (No.3) Regulations 2022	This measure updates the list of high-risk third countries in respect of which the regulated sector needs to apply enhanced due diligence in a timely manner in order to ensure the UK maintains robust defences against money laundering, terrorist financing and proliferation financing.
HM Treasury	The Financial Services and Markets Act 2000 (Regulated Activities) (Amendment) Order 2022	This measure i) allows the Financial Conduct Agency to make rules to ensure that the Financial Services Compensation Scheme can operate most effectively if a regulated funeral plan provider fails, and ii) makes it easier for funeral plan providers exiting the market to transfer their plans to other providers
HM Treasury	The Financial Services Act 2021 (Prudential Regulation of Credit Institutions and Investment Firms) (Consequential Amendments and Miscellaneous Provisions) Regulations 2022	Part of a series of instruments enabling the introduction of Basel 3 standards and the IFPR, allowing the regulators to set rules on prudential matters.
HM Treasury	The Financial Services Act 2021 (Commencement No. 4) Regulations 2022 No. 163	This SI commenced sections 24, 26, and Schedule 9 of the Financial Services Act 2021 (the 'FS Act') which legislate for the Overseas Funds Regime (OFR) in February 2022. It also commenced section 25 of the FS Act, which amends the existing section 272 regime for recognising funds on an individual basis, on the same date. This is except one area, which will be commenced in January 2023 to allow the FCA time to consult on updates to their rulebook.

Department	Title of measure as in IA	Description of measure provided by department
HM Treasury	The Money Laundering and Terrorist Financing (Amendment) (No. 2) Regulations 2022 Statutory Instrument	This makes some time-sensitive updates to the Money Laundering Regulations (MLRs), to ensure the UK continues to meet international standards, as well as some other mature proposals to help strengthen and clarify the UK’s Anti-Money Laundering system. Effective anti-money laundering regulations contribute to strengthening the UK’s defences against illicit finance, protecting the UK’s reputation as a safe place to conduct business and maintaining confidence in the financial system with associated benefits to inward investment and access to foreign market by UK firms.
Ministry of Justice	The Whiplash Injury Regulations 2021	<p>This statutory instrument makes regulations under the Civil Liability Act (CLA) 2018 which:</p> <ul style="list-style-type: none"> <li>i. specify, by way of a tariff, the amount of damages payable for pain suffering and loss of amenity (PSLA) for any road traffic accident (RTA) related whiplash injury or injuries (as defined by the CLA) lasting up to 2 years, and any whiplash injury or injuries and any minor psychological injuries suffered on the same occasion as any whiplash injury. The tariff presents an ascending scale of fixed sum payments, with the appropriate tariff figure for any given case being determined by the duration of the whiplash injury incurred;</li> <li>ii. allows the court to apply a discretionary uplift (up to 20%) to the appropriate tariff figure in exceptional circumstances;</li> <li>iii. specifies what constitutes appropriate medical evidence for the purposes of settling a personal injury claim which includes a whiplash injury (and which, under section 6 of the CLA 2018 must be obtained before the claim may be settled) as well as specifying those experts who may provide such evidence.</li> </ul>
Ministry of Justice	The Cremation (England and Wales) (Amendment) Regulations 2022	This statutory instrument amends the Cremation (England and Wales) Regulations 2008 (the “2008 Regulations”) (S.I 2008/2841) to remove the confirmatory medical certificate as a required form for a cremation application.

Department	Title of measure as in IA	Description of measure provided by department
Ministry of Justice	The Marriages and Civil Partnerships (Approved Premises) (Amendment) Regulations 2022	This statutory instrument is to continue to give couples who wish to have a civil wedding or civil partnership ceremony greater choice and flexibility, by permitting all aspects of their ceremony to take place outdoors on approved premises. It is also to continue to enable venues that offer civil ceremonies to make greater use of their premises by offering couples the choice of either an indoor or outdoor ceremony.

## Non-legislative Non-Qualifying Regulatory Provisions

### Animal and Plant Health Agency (APHA)

Exclusion category	Summary of activity
Civil Emergencies	<p>The 2021-22 Avian Influenza outbreak had a total of 152 confirmed cases of H5N1 highly pathogenic, in England, Scotland and Wales. Since the start of the Avian Influenza 2022/23 outbreak, on 1.10.22, a total of 131 confirmed cases (120 in England, 3 in Wales and 8 in Scotland) of H5N1 HPAI have been confirmed.</p> <p>APHA Bee Teams have responded to routine endemic disease only in this period, which is treated as BAU. There have also been four confirmed sightings of the Asian Hornet.</p> <p>Plant Health dealt with 39 outbreaks, varying in type, which required eradication action. The most frequent being 13 incidences of Ramorum disease (<i>Phytophthora ramorum</i>).</p>
Fines and Penalties	<p>Egg Marketing and Salmonella Controls: 11 Penalty Notices totalling £6926.00 and 11 warning letters issued.</p> <p>APHA referred 921 cases to the Rural Payment Agency (RPA) for consideration of applying cross compliance penalties for those farmers who failed to test for TB on time.</p> <p>APHA has assisted Defra with the development of the Ivory Act to prohibit the sale of ivory and the introduction of civil sanctions as an enforcement tool to deal with any offending. The Ivory Act 2018 (commencement No.2) Regulations 2022 came into force on 6.6.22. The number of advice letters given in the reporting period is 72.</p>
Casework	<p>APHA continues to register and inspect a range of premises and licence movements of animals, the export of animals, animal by-products, plants, and plant products. APHA also controls the import of animals, plants and bees and trade in bovine and porcine semen and embryos.</p> <p>APHA issues authorisations to hauliers for the transport of animals.</p> <p>APHA licence trade in endangered species and register certain birds kept in captivity.</p> <p>APHA undertakes surveillance to detect the presence or spread of animal, bee and plant diseases/pests and inspect farms and other holdings in response to reports of disease or conditions of animal welfare.</p>

Exclusion category	Summary of activity
<p>Education, communications and promotion</p>	<p>Regular guidance published for importers, exporters, Official Vets, associated industries and those travelling with pets on what is required of them to comply with requirements. This includes how and when to take the required action, as well as direct communications to Official Vets and others affected.</p> <p>Multi-channel alerts, advice, guidance and information provided in respect of Avian Influenza. This was to help ensure poultry keepers, vets, associated industries and the public understand the threats and potential impacts, as well as biosecurity requirements, restrictions and controls. Channels include leaflets, posters, videos, graphics, press, and mass messaging (email / SMS).</p> <p>Direct communications, blogs, media, and social media to promote understanding of the government and industry approach to the control of a range of plant and animal diseases.</p> <p>Campaigns to ensure that all those involved with animals understand the importance of high welfare standards and take the necessary action to meet legal requirements.</p>
<p>Activity related to policy development</p>	<p>Since the onset of the war in Ukraine, incoming pets to the UK have been managed by APHA. The number of applications received to date is 3035. It is worth noting that not as many pets came into the country as a number of applications were later withdrawn.</p> <p>Applicants importing pets from Ukraine must now complete an online application, as opposed to an ID106 form, to notify us of intent to import a non-compliant pet.</p> <p>Applicants importing pets from Ukraine do not have to pay the quarantine costs for that pet, which has not been the case in previous years.</p> <p>Applicants are able to apply for home isolation instead of having the animal quarantined for the full isolation period, for this we require them to complete a form providing us with the home details.</p> <p>When applicants have animals in home isolation, they are required to keep in touch with their assigned VDP vet by weekly phone calls to keep them updated on the pet's condition.</p>

## Assay Office London

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	Post the UK's withdrawal from the mutual recognition arrangement within the EU afforded by the European Court of Justice Houtwipper judgement, The UK domestic hallmark is no longer recognised in the EU. A steady flow of hallmarking work has been lost to Assay offices within the EU as a result.
Pro-competition	The UK Assay Offices are in competition with one another and have independent pricing policies and service offerings. Maximum prices for hallmarking are set by the British Hallmarking Council not the Assay Offices.
Civil Emergencies	Pandemic measures impacted the level of service offered by individual Assay Offices at differing points in the year.
Casework	In 2021 the Hallmarking market in the UK rebounded to 8.7 million articles, higher than the last full year pre pandemic
Education, communications and promotion	The Assay Office's engage with their customers in a variety of ways to promote and educate, this includes in person talks and seminars, and strong digital offers.
Activity related to policy development	Ways in which Hallmarking enforcement is carried out regarding precious metal items sold online remains an area of constant investigation between the Assay Offices.

## British Hallmarking Council (BHC)

Exclusion category	Summary of activity
Measures certified as being below de minimis (measures with an EANDCB below +/- £5 million)	<p>No new assay sub-offices were approved in the period.</p> <p>The BHC continued to monitor the effects of the UK's exit from the EU on the jewellery industry.</p> <p>The BHC ran the first year of the HALO Award to promote education regarding hallmarking in online settings.</p> <p>The BHC ran the Touchstone Award in 2022 which helps to stimulate enforcement of hallmarking law.</p>
EU Regulations, Decisions and Directives and other international obligations, including the implementation of the EU Withdrawal Bill and EU Withdrawal Agreement	<p>The BHC continue to monitor the effects of the UK's exit from the EU on the jewellery industry.</p>
Pro-competition	<p>One of the BHC's functions is to consider applications to open assay sub-offices. No new assay sub-offices were approved in the period.</p>
Civil Emergencies	<p>The BHC continued to carry out its statutory functions during the Covid-19 pandemic using virtual means for meetings; face to face meetings for the full Council were re-established in October 2022.</p>
Casework	<p>The BHC via the Secretary receives numerous email queries from members of the public usually relating to the application of hallmarking law or concerns about sellers not apparently complying with hallmarking law. Responses are sent to all queries.</p>
Education, communications and promotion	<p>The BHC ran the first year of the new HALO Award to be awarded to the online retailer who has run the most effective online initiative relating to the display of hallmarking information and education surrounding UK hallmarking.</p> <p>The BHC ran the Touchstone Award in 2022 which helps to stimulate enforcement of hallmarking law. In 2022, a Special Recognition Award was presented to recognise pro bono work researching the extent of non-compliance with hallmarking law in online sales of precious metal jewellery.</p>



Exclusion category	Summary of activity
Activity related to policy development	<p>The BHC ran the first year of the new HALO Award to be awarded to the online retailer who has run the most effective online initiative relating to the display of hallmarking information and education surrounding UK hallmarking.</p> <p>The BHC ran the Touchstone Award in 2022 which helps to stimulate enforcement of hallmarking law. In 2022, a Special Recognition Award was presented to recognise pro bono work researching the extent of non-compliance with hallmarking law in online sales of precious metal jewellery.</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>Care Quality Commission introduced an additional condition of registration to strengthen regulation of services for people with a learning disability and people with autism.</p> <p>Care Quality Commission amended guidance for the scope of registration under the Health and Social Care Act 2008, adding information to clarify some sections and reflect changes in the way health and social care is delivered.</p> <p>Care Quality Commission began a trial of a new provider online registration process including implementation of a new assessment framework, ahead of wider sector roll out in 2023.</p>
Casework	<p>Care Quality Commission undertook the following by 24.11.22:</p> <ul style="list-style-type: none"> <li>• conducted 10,712 inspections (7,424 in adult social care services; 2,325 primary medical services; 963 core NHS hospital services).</li> <li>• processed 52,144 applications for the registration of healthcare services.</li> <li>• published 62 urgent enforcement decisions concluded against 50 locations.</li> <li>• published 16 fixed penalty notices against 15 locations.</li> <li>• referred 647 safeguarding alerts (for example, including alerts to protect people's health, wellbeing, and human rights) and taken 21,197 mandatory actions (for example, including actions if care services do not have suitable arrangements to keep people safe).</li> </ul>
Education, communications and promotion	<p>Care Quality Commission conducted a public campaign 'Because we all care' to understand people's experience of services and use this to shape future care. The campaign has focused on different user groups including unpaid carers, people who are deaf or hard of hearing and people who have long-term and chronic illnesses. Care Quality Commission communicates regularly with healthcare providers to update about ongoing regulatory developments. Webinars and other events are optional for healthcare providers to attend.</p>

Exclusion category	Summary of activity
Activities related to policy development	<p>Care Quality Commission undertook the following:</p> <ul style="list-style-type: none"> <li>• published an annual overview of health and adult social care in England, the State of Care 2021/22 report.</li> <li>• launched a new maternity inspection programme to gather an overview of the quality and safety of maternity care across England.</li> <li>• published the Community Health Survey 2022 findings, exploring the experiences of people who use community mental health services.</li> <li>• published 'who I am matters' report which captures experiences of being in hospital for people with a learning disability and autistic people.</li> <li>• published an annual report about enforcing the Ionising Radiation (Medical Exposure) Regulations in England.</li> <li>• issued a joint consultation with Ofsted on a new framework for inspecting services for children and young people with special educational needs and/or disabilities in a local area.</li> <li>• published a report exploring how community treatment orders have been used in nine boroughs across London.</li> <li>• published findings from an adult inpatient survey, capturing experiences of people who stayed at least one night in hospital as an inpatient.</li> <li>• published findings from research exploring how the regulatory process can capture and consider innovation in general practices, to respond to health inequalities.</li> <li>• published findings from a maternity survey exploring experiences of women who had a live birth in early 2021.</li> <li>• completed a survey exploring the impact of lockdown measures on the mental health and dignity of people who use care services.</li> <li>• monitored how providers are caring for patients under the Mental Health Act, and whether patients' rights are being protected.</li> <li>• published a report addressing progress against recommendations the Care Quality Commission made in its 'Out of sight – who cares? restraint, segregation, and seclusion review' in 2020.</li> <li>• published findings and insight on the use of controlled drugs in health care and adult social care services.</li> <li>• published findings from research into the impact and experience of Care Quality Commission's regulatory approach on ethnic minority-led GP practices.</li> </ul>
Changes to management of regulator	<ul style="list-style-type: none"> <li>• Ian Dilks OBE was appointed as Chair of Care Quality Commission from April 2022 for a three-year role (replacing Peter Wyman).</li> </ul>

## Charity Commission for England and Wales

Exclusion category	Summary of activity
Measures certified as being below <i>de minimis</i> (measures with an EANDCB below +/- £5 million)	<p>New guidance:</p> <ul style="list-style-type: none"> <li>• Preventing and dealing with failed appeals (3 guides)<sup>1</sup></li> <li>• Political activity 5-minute guide</li> </ul> <p>Revised/updated guidance:</p> <ul style="list-style-type: none"> <li>• Disaster appeals<sup>1</sup></li> <li>• Payments and expenses for college governors<sup>1</sup></li> <li>• Royal Charter Charities<sup>1</sup></li> <li>• Fundraising guidance<sup>1</sup></li> <li>• NHS Charities guidance<sup>1</sup></li> <li>• Elections and referendums</li> </ul> <p><sup>1</sup>Consequent to Charities Act 2022 implementation</p>
Civil Emergencies	Specific guidance related to the Covid-19 crisis was withdrawn.
Casework	<p>Casework is the Commission's primary regulatory activity:</p> <ol style="list-style-type: none"> <li>1. Registration of organisations that pass the legal tests for a charity and are required to register.</li> <li>2. Advice and permissions for certain transactions – managing potential risks to the public interest in charity.</li> <li>3. Regulatory compliance – looking into concerns about charities and taking action to put charities back on track.</li> <li>4. Statutory inquiry (investigation) into serious concerns about a charity, using protective or enforcement powers.</li> <li>5. Monitoring – proactive identification of regulatory issues.</li> </ol> <p>Details are given in the Commission's annual report.</p>
Education, communications and promotion	The Commission published relevant news stories and alerts about issues affecting charities, and a quarterly newsletter for charities. A campaign was carried out to drive awareness and usage of the Charity Commission guidance.
Activity related to policy development	Research into public trust in charities, charity trustees' awareness of their role, responsibilities and public expectations, and charities' needs and expectations of the Commission.

Civil Aviation Authority

Exclusion category	Summary of activity
<p>EU Regulations, Decisions and Directives and other international obligations, including the implementation of the EU Withdrawal Bill and EU Withdrawal Agreement</p>	<p><b>Amendment of Commission Regulations:</b> (EU) No 1178/2011 (aircrew), (EU) 2018/395 (balloons), (EU) 2018/1976 (sailplanes), (EU) 2020/723 rules for the acceptance of third-country certification of pilots. <b>Acceptable Means of Compliance (AMC) and Guidance Material (GM)</b> for UK Reg (EU) No 923/2012. Amendments to Article 2 and the Annex to UK Reg (EU) No 923/2012. GM for UK Reg (EU) No 923/2012. Amendments to Article 2, Annex I Part-Definitions and Annex IV Part-ATS to UK Reg (EU) 2017/373 the Air Traffic Management (ATM) / Air Navigation Services (ANS), (AMC) and GM for UK Reg (EU) No. 2017/373, UK Reg (EU) no.139/2014. Transitioned approx. 30 GA maintenance and continuing airworthiness management organisations from their Part-M Subpart F&amp;G approvals to Part-CAO.</p>
<p>Casework</p>	<p><b>Licences:</b> 7655 Flight Crew, 2436 Radio Telephony, 753 Engineering ,1462 ATCO, 3 Standard UAV permits (sub 20kg).</p> <p><b>Approval and Certification:</b> 3 Airworthiness (AW), 112 AW aircraft certification, 34 AW contracts SAFA military approvals, 1 AW EASA, 202 AW fixed wing Continuing Airworthiness Management (CAMO), 752 AW fixed wing maintenance, 259 AW propulsion and production, 159 AW rotorcraft, 2 GA combined airworthiness organisation, 1 GA design and production organisation, 1 GA maintenance organisation, 5 approved training organisations, 44 Aeroplane &amp; 5 Helicopter FSTD qualifications, 1605 Air Travel Organisers' Licences (ATOL), 92 applications granted for new / first time ATOLs.</p> <p><b>Space Applications:</b> 74 orbital operator applications, 210 orbital applications, spaceport licence, 5 launch &amp; 2 range applications.</p> <p><b>Permissions Approvals and Variations: (PAVEs),</b> 175 Helicopter PAVEs, 194, Dangerous Goods PAVEs, 3 Specialised GA Operations organisations, 2 Declared Balloon organisations, 30 Combined GA Airworthiness Organisations, 3 Ex-Military aircraft GA operators, 1 Part 21 Sub Part G GA Production organisation, 243 Permits to Fly.</p> <p><b>Audits:</b> 1,284 Flight Operations onsite, 1,735 Flight Operations Desktop.</p> <p><b>Suspensions/Revocations, Prosecutions and Cancellations:</b> 2 Approved Training Organisations revoked, 2 Helicopter AOCs surrendered, 1 Helicopter PAVE revoked, 4 Ex-Military GA aircraft operators, 1 Declared Balloon Organisation, 2 British Civil Airworthiness Approvals, 45 EASA Airworthiness Approvals, 1 Specialised Operations GA organisation, 3 prosecutions, 5 Private Pilot provisional suspensions, 3 Approved Organisations suspended, 5 AOCs suspended, 16 Certificate of Airworthiness revoked.</p>

Exclusion category	Summary of activity
	<p><b>Enforcement of Health Protection (Coronavirus, International Travel and Operator Liability) (England) Regulations 2021:</b> 82 fixed penalty notices issued, of which 63 were rescinded 263 fixed penalty notices were paid. <b>553 Aircraft Registered, 683 de registered.</b></p> <p><b>Approved Airspace Change Programmes (ACP):</b> Swanwick Airspace Improvement Programme (SAIP) Deployment 6 (ACP-2018-65), Free Route Airspace Deployment 1 &amp; 2 (ACP-2018-11, 2019-12), LAMP2 Deployment 1.1 (ACP-2017-70), Southend CTA 10/11 (ACP-2017-25), Virgin Orbit - Rocket Flight from Cornwall Spaceport (ACP-2021-031).</p> <p><b>Remote Piloted Aircraft Systems (RPAS):</b> 362,000 Flyer ID's &amp; ~91,000 Operator ID's issued/renewed, 5,000 Operational Authorisations issued, 30 Recognised Assessment Entities approvals issued.</p> <p><b>Predefined Risk Assessment Development Process (PDRA1):</b>2789 initial issues,868 renewals, <b>Safety Case 1 (Requirements):</b>98 initial issues, <b>Safety Case 2 (Design and Build Assurance):</b> 4 initial issues, 9 renewals, 36, Recognised Assessment Entities.</p>
<p>Education, communications, and promotion</p>	<p><b>Airworthiness Code</b> for General Aviation September 2022.</p> <p><b>Safety Sense leaflet</b> for GA pilots July 2022, GA Podcast.</p> <p><b>Communications to industry</b> on air passenger rights obligations following major disruption.</p> <p><b>Trade communications to industry (ATOL holders)</b> and consumer groups regarding T&amp;Cs of ATOL protected refund credit notes &amp; ATOL holder failures requirements.</p> <p><b>CAP 1616 Review.</b> Multiple RPAS Campaigns, Drone and Model Aircraft Registration &amp; Education Service. Campaign on the EU-UK conversion applications deadline.</p>
<p>Activity related to policy development</p>	<p><b>Consultations:</b> Assessment of Environmental Effects: SaxaVord Spaceport, Economic regulation of NATS (En Route) plc: Initial Proposals for the next price control review (NR23). Call for Evidence: Airspace Classification Review of the Barnsley Region, <b>(EU) 2019/947.</b> CAA Statutory Charges Consultation 2023/24. General Aviation Pilot Licensing &amp; Training Simplification Phase 1. Consumer Environmental Information: Call for Evidence, Pilot Medical Declaration Review, UK legal or AMC safety consultation. BCAR: Section S.</p> <p><b>Publication and amendment of CAA Publications (CAPs):</b> 217, 285A, 493 &amp; SUP. ,670,774,785B,797,1032,1054, 2151A, 2173, 2304, 2374.</p> <p><b>CAA Official Record Series 3:</b> amendments to remove references to selling in EEA countries, make changes in reporting requirements for Small Business Air Travel Organiser's Licence (ATOL) holders and Franchise Member ATOL holders, and to the requirements of ATOL and ARA logos.</p> <p><b>Official Record Series 4:</b> 1526, 1528, 1544, 1546, 1547, 1549, 1552. Acceptable Means of (EU) 1321/2014: Recognition of the EASA Form 1.</p>

## The Coal Authority

Exclusion category	Summary of activity
Pro-competition	There are currently 2 active surface mines, 1 surface mine at planning stage. There are currently 8 active underground mines, 1 underground mine at planning stage.
Fines and Penalties	Security for the financing of mining operations falls part of the licensing regime and are governed by the Coal Industry Act 1994. No fines and penalties are applicable to the licensing regime.
Casework	There are currently 2 active surface mines, 1 surface mine at planning stage. There are currently 8 active underground mines, 1 underground mine at planning stage.
Education, communications and promotion	Guidance notes for applicants and application forms have not been updated during this reporting period and no promotional literature or best practice documentation has been created or produced during this reporting period, in respect of the regulated activity of licensing mining operations.

## Companies House (CH)

Exclusion category	Summary of activity
<p>Measures certified as being below <i>de minimis</i> (measures with an EANDCB below +/- £5 million)</p>	<p><b>The Economic Crime (Transparency and Enforcement) Act 2022</b> received Royal Assent on 15 March 2022, with the Register of Overseas Entities going live on 1 August 2022. In this period, Companies House worked at pace to introduce this <a href="#">new product</a>, enabling the beneficial owners of UK land to register with Companies House according to their duties under the new Act.</p> <p><b>Auto-accepting digital incorporations for limited companies:</b> Auto-acceptance of digital incorporations for limited companies was extended in January 2022 to applications filed through third-party software. Similar to that introduced for web applications in 2021, the system checks are applied to the applications and if there are no queries, the application is accepted, and the incorporation registered without any human intervention. An application that requires a human check can take up to 2 working days to be registered after receiving the application. Auto-accepted applications can be registered, and the company incorporated, within as little as 3 minutes of the application being received. Companies House currently auto-accept around 35-40% (approx. 1,000 digital applications) each day. Auto-accept for digital incorporations is available 24/7/365.</p> <p><b>Digital Insolvency Service:</b> The first digital method for the delivery of insolvency forms was introduced in 2022. The API was developed and put into production in March 2022. Companies House received its first digital filing of an insolvency transaction in July 2022, which was made by a third-party provider of Insolvency Practitioner software. Work continues on increasing the number of insolvency transactions that can be filed digitally through the new API.</p>
<p>Fines and Penalties</p>	<p>Companies House take compliance action against company directors who do not file their annual accounts and confirmation statement (annual return) on time. In 2021-2022:</p> <ul style="list-style-type: none"> <li>• 97.2% of companies were up to date with filing the confirmation statement.</li> <li>• 98.4% of companies filed their annual accounts.</li> <li>• 97.4% of LLPs were up to date with filing their confirmation statement.</li> <li>• 97.6% of LLPs filed their annual accounts up to date.</li> <li>• 378,787 civil penalties were issued to private companies for the late filing of accounts and 621 were cancelled.</li> <li>• 6323 civil penalties were issued to public companies and LLPs for the late filing of accounts and 31 were cancelled.</li> </ul>



Exclusion category	Summary of activity
Casework	<p>Companies House take enforcement action against directors who do not meet their legal obligations. In 2021-2022:</p> <ul style="list-style-type: none"> <li>• 1381 charges were laid in court for failure to deliver accounts.</li> <li>• 732 convictions were made.</li> <li>• 499 charges were withdrawn.</li> <li>• 631 charges were brought for failure to deliver a confirmation statement.</li> <li>• 382 convictions were made.</li> <li>• 227 charges were withdrawn.</li> <li>• 1487 directors were summoned to court.</li> <li>• 763 were convicted.</li> <li>• 1188 companies were involved in proceedings.</li> <li>• 695 companies had directors who were convicted.</li> </ul>
Education, communications and promotion	<p>Companies House sent regular newsletters to over 500,000 subscribers regarding on directors' responsibilities, legislative and service updates, and BEIS priorities. Companies House communicated with relevant stakeholder groups about the new Register of Overseas Entities, and wrote to all entities who currently own land or property in England, Wales and Scotland and fall within the scope of the Act. Companies House delivered 2 phases of the Directors' Responsibilities campaign.</p>
Activities related to policy development	<p>Companies House engaged in policy development activity in relation to the Economic Crime and Corporate Transparency Bill which is currently before the Houses of Parliament.</p>

## 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><b>Competition enforcement guidance</b> During the reporting period, the CMA issued 2 guidance documents in relation to competition enforcement.</p> <p><b>Advice / guidance resulting from the CMA's other casework</b> During the reporting period, the CMA issued 7 relevant guidance documents.</p> <p><b>Advice / guidance resulting from the creation of the CMA's new functions</b> During the reporting period, the CMA issued 3 guidance documents in relation to the CMA's new functions.</p> <p><b>Other CMA guidance or advice</b> During the reporting period, the CMA issued 11 other guidance documents.</p>
<p>Casework</p>	<p>Competition and consumer enforcement work in relation to non-compliant individual businesses falls under the casework exclusion in line with ensuring operational independence.</p> <p><b>Competition enforcement</b> During the reporting period, the CMA launched, reached a significant milestone in, or closed 16 separate anti-trust and civil cartel enforcement cases (closed cases may be subject to follow-up work).</p> <p><b>Consumer Enforcement</b> During the reporting period, the CMA launched, reached a significant milestone in, or closed 9 separate cases using our Consumer Enforcement powers (closed cases may be subject to follow-up work).</p> <p><b>Warning and Advisory letters (17/12/21 to 4/11/22) [To be updated]</b> During the reporting period, the CMA issued 218 advisory letters and 43 warning letters to businesses where we had concerns about possible law breaking and to promote compliance. A register of advisory and warning letters can be found here: <a href="https://www.gov.uk/government/publications/competition-law-warning-and-advisory-letters-register">https://www.gov.uk/government/publications/competition-law-warning-and-advisory-letters-register</a></p>

Exclusion category	Summary of activity
	<p><b>Merger control (17/12/2021 to 23/11/2022) [To be updated]</b>                      Under the merger control regime, the CMA considers the facts and circumstances specific to the case under the relevant statutory tests. The outcome of each case is in relation to the individual companies related to the merger in question. The CMA cannot set policy for markets through their mergers work. During the period:</p> <ul style="list-style-type: none"> <li>○ At Phase 1, we made 12 references to Phase 2, 14 unconditional clearances, 1 de minimis clearance and 13 sets of Undertakings in Lieu of a Reference decision. 2 cases resulted in a report to the Secretary of State for Business, Energy &amp; Industrial Strategy under public interest ground of national security (where he accepted statutory undertakings from the parties involved). 4 cases were found not to qualify. 8 cases were ongoing at the end of the reporting period.</li> <li>○ At Phase 2, the CMA cleared 3 cases and found a substantial lessening of competition (SLC) in 7 (which includes 1 remittal). 3 cases were abandoned. From the cases where they found an SLC there were 3 prohibitions and 4 impositions of remedies by divestment. 5 cases were ongoing at the end of the reporting period.</li> </ul> <p><b>Market reports</b>                      During the reporting period, the CMA launched, reached a significant milestone in, or published our final report in 6 separate projects.</p> <p><b>Office for the Internal Market</b>                      During the reporting period, the CMA launched, reached a significant milestone in, or published our final report in one separate project.</p> <p><b>Regulatory appeals</b>                      During the reporting period, the CMA undertook no regulatory appeals.</p> <p><b>Remedy Reviews</b>                      During the reporting period, the CMA undertook no Remedy Reviews.</p>

## Drinking Water Inspectorate (DWI)

Exclusion category	Summary of activity
Measures certified as being below <i>de minimis</i> (measures with an EANDCB of +/- £5 million)	<ul style="list-style-type: none"> <li>• Information Letter 02/2022 - Reporting of Taste Results.</li> <li>• Updated Notification of Events Guidance.</li> <li>• Information Letter 03/2022 - Poly and Perfluorinated Alkyl Substances (PFAS) Guidance.</li> <li>• Guidance Note: Long term planning for the quality of drinking water supplies.</li> <li>• Revised information letter 04/2022 – Annual provision of information on consumer contacts</li> </ul>
Civil Emergencies	Information Letter 01/2022 - Guidance on Alternative Supply Operations 2022.
Casework	<p>One measure to log all regular casework completed by the Inspectorate this parliamentary session. This includes (this list is not exhaustive but represents the predominant casework areas for the Inspectorate): <b>Regulation 28(4) notices; Regulation 9(4) notices; Section 19 undertaking; Section 18 final enforcement orders; Regulation 15 risk assessments; radioactivity notices (regulation 6(12)); event assessments; prosecution assessment; Regulation 31 approvals; compliance assessments; risk assessment reviews, and audits.</b></p>
Education, communications and promotion	<ul style="list-style-type: none"> <li>• Triennial Report 2017 to 2019 - Drinking water quality in England.</li> <li>• Chief Inspectors Reports for Quarters 2, 3, and 4 of 2021.</li> <li>• Drinking Water 2021 The Chief Inspector's report for drinking water in England.</li> <li>• Chief Inspectors Report for Quarter 1 of 2022.</li> <li>• Press Release - Southern Water fined for drinking water offence.</li> <li>• Press Release - South West Water fined for drinking water offence.</li> <li>• Publication of company statistics for 2021.</li> <li>• Annex to Information Letter 03/2022 - Q&amp;A section on the updated PFAS guidance.</li> <li>• Information Letter 05a/2022 - Guidance for water companies in England with respect to drought orders.</li> <li>• Guidance on Regulation 16 Collection and analysis of samples - Updated May 2022.</li> <li>• Published Research Report: Advanced Oxidation Processes (AOP) - Disinfection By-Products (DBPs) Phase II.</li> <li>• Publication of Research Report: Organophosphorus flame retardants - risk to drinking water in England and Wales.</li> <li>• Publication of research report: Method for the Determination of Concentrations of Perfluoroalkyl Substances (PFAS) in Drinking Water.</li> <li>• Publication of research report: Removal of Microplastics by Drinking Water Treatment Processes.</li> <li>• Lead request to companies</li> </ul>

Exclusion category	Summary of activity
	NOTES: ** Measures not included in the submission to the RPC for validation. These measures were added after submission to the RPC, but it is expected they will be published before 16.12.22 and have been included in this summary report with justification for visibility.

## Driver and Vehicle Standards Agency (DVSA)

Exclusion category	Summary of activity
Pro competition	<p>DVSA continues to support new businesses that carry out roadworthiness tests on vehicles. It has approved 266 new MOT garages, or garages under new ownership, and has a further 231 applications in progress. In this reporting period, DVSA has approved 18 new Approved Test Facilities (for testing commercial vehicles). These approvals help to create open competition in the respective sectors.</p> <p>In addition, DVSA publishes data on the MOT History of vehicles. This allows consumers access to information to decide which vehicles, private or commercial, to purchase. In this reporting period, DVSA has also started publishing vehicle roadside encounter information. This gives businesses that might use hauliers, visibility of operator compliance. It should also improve road safety by helping people who want to hire a coach to make an informed choice.</p>
Civil Emergencies	<p>To assist the country with the movement of goods, DVSA introduced a target to reduce the number of HGV encounters, where the vehicle proved to be complaint, by 10%. The aim being to reduce the disruption caused to complaint business from enforcement checks. As a result, compliant roadside encounters have decreased by approx. 12,500 between April and November.</p> <p>To assist the recovery from the Coronavirus pandemic, DVSA introduced a series of measures to reduce driving test waiting times, especially for those wanting to acquire 'vocational' licences. This included training up car examiners to conduct vocational tests, recruiting new examiners and increasing overtime. As a result, the weekly number of heavy goods vehicle test slots increased by 90%. DVSA is continuing to work hard to get test waiting times down.</p>
Fines and Penalties	<p>During the period, in its roadworthiness enforcement role, DVSA continued to target the serially non-complaint operators. That resulted in finding around 12,000 serious offences and produced around £4.4m in roadside fines. Although the fines are for the driver to pay, rather than the Operator, information about hauliers and passenger service operators that are not compliant is also reported to the Office of the Traffic Commissioners.</p>
Casework	<p>DVSA introduced a system to analyse MOT garage data remotely and target onsite inspections. This allows garages to continue to operate their business uninterrupted. It also allows DVSA to redeploy resource towards garages suspected of being non-compliant. DVSA's Counter Fraud &amp; Investigation Team have processed over 1,200 cases through the period leading prosecutions such as custodial/suspended sentences, fines, community service and driving disqualifications.</p>

Exclusion category	Summary of activity
Education, communications and promotion	In order that the public can better understand DVSA's services, and that the sectors that we regulate have correct guidance, DVSA frequently posts information on GOV.UK. In this reporting period, up to 7 November, DVSA published 71 items of broader interest, including test statistics, complaints procedures, Freedom of Information logs, and guidance such as how to be ready for the driving test and on learning to tow a trailer. DVSA also published 31 items of interest to wider industry, for example, on vehicle maintenance and how to apply for vehicle approval. Finally, DVSA published 54 items of specific interest to the businesspeople that it regulates, such as updates on the MOT manual and businesses in the Earned Recognition Scheme.
Activity related to policy development	On motorcycle training, DVSA is considering introducing Disclosure and Barring Service (DBS) checks for motorcycle trainers. A de-minimis Impact Assessment has been prepared for this measure which shows the cost to the industry to be about £18,000 per annum.

Environment Agency (EA)

Exclusion category	Summary of activity
<p>Measures certified as being below <i>de minimis</i> (measures with an EANDCB below +/- £5 million)</p>	<p>New <a href="#">Regulatory Position Statements</a></p> <ul style="list-style-type: none"> <li>• (RPS 255) – Treating, storing, and using carbon dioxide from anaerobic digestion.</li> <li>• (RPS 257) – Treating municipal waste by aerobic digestion.</li> <li>• (RPS 269) – Storing food waste.</li> </ul> <p>Revised Regulatory Position Statements</p> <ul style="list-style-type: none"> <li>• (RPS 9) – Collecting and storing mixed fuel from mis-fuelled vehicles.</li> <li>• (RPS 112) – Heat treatment of waste plastics for reuse.</li> </ul> <p>New <a href="#">standard rules</a> for waste operations</p> <ul style="list-style-type: none"> <li>• Revised standard rules for composting, anaerobic digestion, sludge treatment and healthcare waste facilities.</li> </ul> <p>New guidance:</p> <ul style="list-style-type: none"> <li>• Regulating Climate Change adaptation within management systems (EPR waste and installations).</li> <li>• Waste treatment and transfer – waste electrical and electronic equipment (WEEE).</li> <li>• Monitoring stack emissions: low risk Medium Combustion Plants and specified generators.</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>Revised recording frequencies for abstraction licences to increase the records required for waterbodies that are capable of impacting:</p> <ul style="list-style-type: none"> <li>• sites designated under the Habitats Directive (92/43/EEC).</li> <li>• waterbodies with flow concerns, as assessed under the Water Framework Directive (2000/60/EC).</li> </ul>
<p>Civil Emergencies</p>	<p>New Regulatory Position Statement (RPS 251) – Burning waste in the open air after an animal disease outbreak.</p>



Exclusion category	Summary of activity
Casework	<p><b>Permitting decisions</b></p> <ul style="list-style-type: none"> <li>• 11,637 permit determination decisions made across the Environmental Permitting Regime; 1,600 of these were permit variations to secure the required environmental outcomes from the Water Company Periodic Review process (Asset Management Plan outputs).</li> <li>• 554 permits issued for fish introduction, 1,421 removal authorisations issued for fish and crayfish and 319 authorisations issued for commercial fishing.</li> </ul> <p><b>Appeals against permitting decisions:</b></p> <ul style="list-style-type: none"> <li>• 8 appeals against permitting decisions received.</li> </ul> <p><b>Appeals against regulatory decisions:</b></p> <ul style="list-style-type: none"> <li>• 5 independent internal reviews carried out under the provisions of the Regulators' Code.</li> </ul> <p><b>Compliance assessment advice:</b></p> <ul style="list-style-type: none"> <li>• 28,619 Compliance Assessment Report forms and letters issued across various regimes.</li> </ul> <p><b>Registrations:</b></p> <ul style="list-style-type: none"> <li>• 252,422 exempt waste activities registered and 627 de-registered under the Environmental Permitting Regulations.</li> <li>• 877 exemptions for flood risk activities registered under the Environmental Permitting Regulations.</li> <li>• 1,081 commercial boats registered.</li> </ul> <p><b>Operations Regulatory Services:</b></p> <ul style="list-style-type: none"> <li>• International waste shipments: 512 consents issued, 6 of these were for radioactive wastes.</li> <li>• Producer Responsibility: 13,209 registrations and 268 compliance assessment audits.</li> <li>• Climate Change Trading: 1,582 permitting decisions made, 755 compliance checks completed, 812 entrants registered and 200 de-registered, 17 appeals received, 85 civil penalty notices issued.</li> </ul> <p><b>Enforcement activity</b></p> <ul style="list-style-type: none"> <li>• 104 prosecution cases completed this period</li> <li>• 1 formal caution accepted</li> <li>• 66 enforcement notices served.</li> <li>• 871 warning letters sent.</li> <li>• Civil sanctions used on 36 occasions*</li> </ul> <p>* These are sanctions issued under the Regulatory Enforcement and Sanctions Act 2008.</p>
Activity related to policy development	195 national external consultations held.

## Financial Conduct Authority (FCA)

Exclusion category	Summary of activity
Measures certified as being below <i>de minimis</i> (measures with an EANDCB below +/- £5 million)	<ul style="list-style-type: none"> <li>• <b>PS21/13:</b> LIBOR transition and the derivatives trading obligation.</li> <li>• <b>PS22/3:</b> Diversity and inclusion on company boards and executive management.</li> <li>• <b>PS22/4:</b> Temporary asset retention requirement for certain firms subject to the proposed British Steel Pension Scheme consumer redress scheme.</li> <li>• <b>PS22/6:</b> Preventing claims management phoenixing by financial services firms.</li> <li>• <b>PS22/8:</b> Protecting investors in authorised funds following the Russian invasion of Ukraine.</li> <li>• <b>FG22/1:</b> The FCA's approach to the review of Part VII insurance business transfers.</li> <li>• <b>FG22/3:</b> Finalised Guidance (non-Handbook) on parts of the UK MMF Regulation [PDF].</li> <li>• <b>FG22/4:</b> FCA's approach to compromises for regulated firms.</li> <li>• <b>FG22/6:</b> Branch and ATM closures or conversions.</li> </ul>
Systemic financial risk	<ul style="list-style-type: none"> <li>• <b>PS 21/3:</b> Building operational resilience.</li> </ul>
Fines and Penalties	<ul style="list-style-type: none"> <li>• <b>PS22/1:</b> FCA authorisation application fees: new structure.</li> <li>• <b>PS22/7:</b> FCA regulated fees and levies 2022/23.</li> </ul>
Education, communications and promotion	<ul style="list-style-type: none"> <li>• <b>FG22/2:</b> Primary Market Bulletin No. 38.</li> </ul>

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>	<ul style="list-style-type: none"> <li>• Amendments to Basis for Conclusions FRS 101 – 2021/22 cycle.</li> <li>• Public Interest Entity (PIE) Registration Regulations.</li> <li>• International Standard on Quality Management: (UK) 1 - Quality Management For Firms That Perform Audits Or Reviews Of Financial Statements, Or Other Assurance Or Related Services Engagements; (UK) 2 - Engagement Quality Reviews.</li> <li>• International Standard on Auditing (UK) 220 - Quality management for an audit of financial statements.</li> <li>• Revised ISA (UK) 600 Special considerations - Audits of group financial statements (including the work of component auditors).</li> <li>• Amended Delegation Agreements with the Recognised Supervisory Bodies (“RSBs”) to take account of the new Secretary of State Direction on delegation of audit regulatory tasks.</li> <li>• Revised Actuarial Standard Technical Memorandum (AS TM1).</li> <li>• Revised Audit Firm Governance Code.</li> <li>• Revised Guidance on Strategic Report.</li> <li>• Professional Judgement Guidance.</li> <li>• Guidance for Recognised Supervisory Bodies on the approval of Key Audit Partners for local audit.</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>FRED 80 Draft amendments to FRS 100 – The interpretation of equivalence: proposes to update the application guidance following the UK’s exit from the EU.</p>

Exclusion category	Summary of activity
Fines and Penalties	<p><b>As of 23.11.21</b>, there were 52 investigations with a total of 110 subjects under investigation for audit and financial reporting. Of these 110 subjects, 83 are under AEP and the rest under the Accountancy Scheme. Of the 52 investigations, 3 investigations with 7 subjects were closed awaiting publication or publication decision.</p> <p><b>23.11.21 to 16.12.21</b>: 1 further investigation commenced into 3 further subjects; 4 investigations closed with 6 subjects; and 3 investigations with 7 subjects remained closed awaiting publication or publication decision.</p> <p><b>As of 17.12.21</b> there were 46 investigations with a total of 101 subjects under investigation for audit and financial reporting. Of these 101 subjects, 76 are under AEP and the rest under the Accountancy Scheme.</p> <p><b>17.12.21 to 23.11.22</b>: 8 further investigations commenced into 21 further subjects; 1 investigation went to tribunal - tribunal imposed sanctions upon 6 subjects; 7 investigations concluded with settlements made with 14 subjects; 2 investigations closed with 2 subjects; and case settled for 1 subject; case closed for 2 subjects.</p> <p>Total financial sanctions imposed at Tribunal were £20,365,000 (£14,765,000 after discounts) whilst Total financial sanctions imposed at settlement (and published) were £17,945,000 (£11,573,650 after discounts).</p> <p>In respect of non-financial sanctions imposed upon subjects there were 14 reprimands/severe reprimands; 7 requirements; 11 declarations, and 5 exclusions.</p> <p><b>As of 23.11.22</b>, there were 44 investigations with a total of 97 subjects under investigation for audit and financial reporting, including 2 concluded cases awaiting publication. Of these 97 subjects, 80 are under AEP and the rest under the Accountancy Scheme. Two investigations with 4 subjects are closed awaiting publication.</p>
Casework	<p><b>Audit inspections</b>: the FRC undertook 152 inspections for 2021/22 and is currently forecast to deliver 150 for 2022/23.</p> <p><b>Corporate reporting review</b>: Since 1.11.21, the FRC has completed its 2021/22 corporate reporting monitoring cycle by opening a further 58 routine reviews and writing an additional 62 opening substantive letters to companies. It has started its 2022/23 monitoring cycle by opening 213 reviews (113 routine and 100 thematic). To date, it has written 37 opening substantive letters as part of these reviews.</p> <p><b>Monitoring visits</b>: The FRC has conducted monitoring visits, including remotely, at RSBs and five Recognised Qualifying Bodies (RQB) for statutory audit purposes; and at one RSB and one RQB for local audit purposes.</p>
Activity related to policy development	<ul style="list-style-type: none"> <li>• Consultation: proposed audit quality indicators.</li> <li>• Consultation: Technical Actuarial Standard 100.</li> <li>• Consultation: Audit Committee Standard.</li> <li>• Calls for Feedback: Post Implementation Review: ISA (UK) 540; Sector Specific Technical Actuarial Standards.</li> <li>• Consultation: FRC consultation on Funding the Audit, Reporting and Governance Authority (ARGA). Consultation: FRED 82 FRS 102 and other FRSs – Periodic Review (2023).</li> <li>• Consultation: FRED 81 FRS 101 – 2022/23 cycle.</li> </ul>

## Food Standards Agency (FSA)

Exclusion category	Summary of activity
Measures certified as being below <i>de minimis</i> (measures with an EANDCB below +/- £5 million)	The FSA self-certified the publication of the revised <b>Guidance on Wild Game</b> (July 2022) in England as introducing familiarisation costs to business below the de-minimis threshold.
Casework	<p>The FSA carries out the following daily routine activities, which will vary in scale and complexity on a case-by-case basis. These activities relate generally to business non-compliance or suspected non-compliance and as such do not represent any change in the burden placed on food businesses.</p> <ul style="list-style-type: none"> <li>• The FSA leads on the 24/7 government response to food and feed incidents.</li> <li>• The FSA National Food Crime Unit (NFCU) gathers, analyses and disseminates intelligence in relation to food fraud and other offences of dishonesty within the food supply chain.</li> <li>• The FSA carries out criminal investigations into legislative non-compliance at FSA approved establishments. Where necessary, it prosecutes or refers relevant cases to the Crown Prosecution Service (CPS).</li> </ul>
Education, communications and promotion	<p>The FSA routinely:</p> <ul style="list-style-type: none"> <li>• uses an extensive range of social media techniques to inform, educate and influence stakeholders on a variety of issues to promote consumer protection and other interests.</li> <li>• produces a varied range of factsheets and information leaflets that are published on its website (<a href="http://www.food.gov.uk">www.food.gov.uk</a>).</li> <li>• communicates with food business on many different subjects and consults them on regulatory changes that may impact them.</li> </ul>

## Forestry Commission

Exclusion category	Summary of activity
<p>Measures certified as being below <i>de minimis</i> (measures with an EANDCB below +/- £5 million)</p>	<p><b>Decision support framework for peatland protection, the establishment of new woodland and re-establishment of existing woodland on peatland in England (May 2022)</b>                      Guidance has been updated by Natural England, Forestry Commission and Forest Services and now includes a decision support framework, impacting landowners proposing woodland creation/replacement on sites with peaty soils. It should be used to ensure that woodland creation/re-establishment will not adversely affect the peatland. The guidance remains interim for another year to test the re-establishment decision support framework and a supporting forest to bog metric (in beta testing). The guidance and tool will be reviewed by June 2023, including consideration of a Business Impact Test.</p> <p><b>Guidance to help inform when an upland breeding wader survey is needed and when woodland creation is likely to be appropriate (August 2022)</b>                      This interim guidance sets out how new, resilient woodlands can be accommodated in the uplands to safeguard wading birds. It provides clarity about the decision-making process for woodland creation schemes in upland areas, and the preparation necessary by applicants to facilitate a swift decision. This in turn allows appropriate proposals to progress without impediment and encourages a greater number and variety of woodlands, including larger commercially productive schemes. The interim guidance will be reviewed by August 2023. There is no intention to either relax or tighten existing protections for waders through this updated process or replace <a href="#">full assessment</a> of sites submitted for afforestation.</p> <p><b>The Phytosanitary Conditions (Amendment) Regulations 2022</b>                      Amends the current Phytosanitary Controls Regulation (Commission Implementing Regulation 2019/2072, to introduce import control measures against 2 conifer pests from Russia:</p> <ul style="list-style-type: none"> <li>○ <i>Scolytus morawitzi</i> Morawitz's bark beetle.</li> <li>○ <i>Polygraphus proximus</i> Sakhalin fir bark beetle.</li> </ul> <p>Bacterial canker of hazel, <i>Pseudomonas avellanae</i> was reclassified as a quarantine pest and the existing requirements for Oak Processionary Moth were adjusted to list it as a quarantine pest present in GB. This enables import restrictions for high-risk oak trees to be extended to the whole of GB to further strengthen protections against this pest.</p> <p><b>The Phytosanitary Conditions (Amendment) (No. 2) Regulations 2022</b>                      Emergency legislation introduced to place further restrictions on the importation of pine and cedar trees into GB in response to interceptions of Pine Processionary Moth.</p> <p><b>IT changes</b>                      In September 2022 the Forestry Commission will launch a new online system for customers to apply for export phytosanitary certificates.</p> <p><b>Introduction of new forestry enforcement measures for illegal felling as part of the Environment Act 2021</b>                      Revised forestry enforcement measures providing the Forestry Commission with more powers to address illegal felling and strengthen environmental protection comes into effect as of 01/01/2023.</p>

Exclusion category	Summary of activity
	<p>It includes the introduction of Court ordered Restocking Orders, increased fines for illegal felling, and Restocking Notices and Enforcement Notices to go on local land charges register. Forestry Commission are unlikely to see any application of these measures within the BIT 2021-22 window.</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><b>Further amendments to Commission Implementing Regulation (EU) 2019/2072</b>                      In November 2022 new listings of provisional quarantine pests, will include:</p> <ul style="list-style-type: none"> <li>• <i>Heterobasidion occidentale</i> a root and butt rot of conifers.</li> <li>• <i>Candidatus Phytoplasma fraxini</i> Ash yellows phytoplasma</li> <li>• <i>Neodiprion abietis</i> the Balsam fir sawfly.</li> </ul> <p>The amendment will also clarify measures for the bacterial disease of trees, <i>Xylella fastidiosa</i> and the Emerald ash borer, <i>Agrilus plannipennis</i> and introduce phytosanitary checks on pines and Douglas fir in respect to pitch canker of pine <i>Fusarium circinatum</i>.</p>
<p>Civil Emergencies</p>	<p><b>SPHNs</b>                      SPHNs requiring the person served to fell of infected trees are issued by the Forestry Commission to prevent the spread of pests and diseases. The Forestry Commission issued 247 SPHNs under the Plant Health Act 1967 during this reporting period. Of which, 9 were for Phytophthora pluvialis, 21 for Ips typographus and 217 for Phytophthora ramorum.</p>
<p>Casework</p>	<p><b>Restocking Notices</b>                      The Forestry Commission issued 29 Restocking Notices during the period in relation to alleged illegal felling, compelling the individual served to replant felled land with trees.</p> <p><b>Enforcement Notices</b>                      The Forestry Commission issued 41 Enforcement Notices during the period in relation to alleged illegal felling, non-compliance with felling licence restocking conditions or breaches of forestry Environmental Impact Assessment Regulations. Enforcement Notices compel an individual to comply with Restocking Notice or Felling Licence conditions or otherwise restore the land.</p>
<p>Education, communications and promotion</p>	<p><b>Applicants' Focus Group</b>                      The Forestry Commission chairs the AFG on a quarterly basis to discuss grant and regulatory changes with members of the sector.</p> <p><b>Forestry and Woodlands Advisory Committees (FWACs)</b>                      FWACs advise the Forestry Commission on implementing forestry and related policies. This includes providing expertise to the National Delivery Teams and sitting on Reference Committees in an appeal process.</p>

## Gangmasters and Labour Abuse Authority (GLAA)

Exclusion category	Summary of activity
<p>Measures certified as being below <i>de minimis</i> (measures with an EANDCB below +/- £5 million)</p>	<p>During the period of this report the GLAA issued the following guidance notes to its licence population:</p> <p><a href="#">GLAA Brief 76 - Change of Principal Authority - March 2022</a> – explained the process for a licence holder to arrange a replacement Principal Authority – the businesses key contact with the GLAA concerning the maintenance of the licence.</p> <p><a href="#">GLAA Brief 77 - Guidance on buying a GLAA licence holding business</a> – explained that a licence is non-transferable, and that if a business buys an existing licensed business the licence does not transfer, and a new licence is required. This protects against abuse of the licensing framework.</p> <p><a href="#">GLAA Brief 78 - Charge Rate Guidance - April 2022</a> - To provide guidance on the legal minimum charge rate to pay all statutory deductions for tax/NI and meet the National Minimum wage rate. This supersedes Brief 68 covered in the 2021 BIT return.</p> <p><a href="#">GLAA Brief 79 - How licensing applies to businesses outside of the UK - July 2022</a> – provided up to date guidance on the requirement for overseas agencies to hold a licence if they were able to supply workers to the UK, and therefore to ensure that any UK based licence holders, who sought to use an overseas sub-contractor understood the rules and did not commit a criminal offence of using an unlicensed gangmaster.</p>
<p>Casework</p>	<p>There are currently just over 1000 licence holders, each of which require renewal after a year. Decisions on application inspections and compliance inspections may occur based on the compliance strategy, set in 2021.</p> <p>As a result of the Covid-19 pandemic the number of physical inspections has reduced, as alternative methods to conduct interviews through video conferencing is used. In 2022 to date, 10 cases have been tasked for compliance inspection, and 113 for application inspections, for new licenses.</p>
<p>Education, communications and promotion</p>	<p>The GLAA continues to promote its national education qualification working with the Skills and Education Group, who are the awarding body. The target audience are vulnerable workers entering or re-entering the labour market who may benefit from awareness and understanding of their employment rights and signs of labour exploitation.</p> <p>The GLAA also engaged with a diverse range of business stakeholders using a variety of media and communication channels. This included a webinar co-hosted with NMW &amp; EASI, to raise awareness of the importance of being a compliant business, ensuring workers are treated fairly and legally in respect of their working conditions and pay.</p>



## Gambling Commission (GC)

Exclusion category	Summary of activity
Measures certified as being below <i>de minimis</i> (measures with an EANDCB below +/- £5 million)	In the reporting period, the Commission made changes to the Licence Conditions and Codes of Practice (LCCP) following a consultation on Remote Customer Interaction. No changes were made to existing regulatory requirements following our Licensing, Compliance, and Enforcement consultation.
Fines and Penalties	<p>The Commission has agreed nine regulatory settlements, including payments in lieu of financial penalty made by the licensees and recovery of the Commission's investigative costs. Where possible, monies have been divested to socially responsible purposes.</p> <p>The Commission has imposed nine financial penalties for breaches of licence conditions and codes of practice (e.g., anti-money laundering and social responsibility conditions). Funds from financial penalties are diverted into the Consolidated Fund.</p>
Casework	<p>The Commission imposed the following regulatory sanctions: one personal licence revocation due to enforcement action; one personal licence warning; one operating licence revocation; one operator warning; twelve operators received either warnings, additional licence conditions or financial penalties; three operating licences suspended by the Commission pending investigation; two operating licences suspended by the Commission as a regulatory outcome.</p> <p>These actions against non-compliant businesses were to secure compliance with existing regulatory requirements.</p>
Education, communications and promotion	<p>The Commission has provided general information to operators and co-regulatory partners, industry and others via 23 e-bulletins, 39 press releases, six speeches, nine blog posts and various updates to our website content including guidance notes.</p> <p>The commission has attended 181 stakeholder meetings, including industry, trade bodies, politicians and third sector organisations.</p>
Activity related to policy development	The Commission is currently consulting on remote customer interaction guidance in relation to the requirements in licence condition 3.4.3. The consultation outcome will be reported in next year's NQRP assurance statement.

Exclusion category	Summary of activity
Changes to management of regulator	<p>There were the following changes at Executive level:</p> <ul style="list-style-type: none"> <li>• Helen Venn, Executive Director for Licensing, Compliance, Enforcement and Intel left the Commission in March 2022</li> <li>• Helen Gibson joined the Commission as Finance Director in March 2022</li> <li>• Kay Roberts joined the Commission as Executive Director of Operations in September 2022</li> <li>• Charlotte Leonard, Interim COO, left the Commission in November 2022.</li> </ul> <p>Terry Babbs, Brian Bannister and Jo Hill resigned as Commissioners in September 2022.</p>

### Groceries Code Adjudicator (GCA)

Exclusion category	Summary of activity
Education, communication and promotion	<p>The GCA delivered an annual conference and published general information and promotional material such as newsletters. This information includes the 7 'golden rules' for responding to cost price increase requests identified and shared by the GCA based on best practice by Designated Retailers.</p>

## Health and Safety Executive (HSE)

Exclusion category	Summary of activity
Measures certified as being below <i>de minimis</i> (measures with an EANDCB below +/- £5 million)	HSE has withdrawn or published various updated guidance documents for duty holders and inspectors to simplify language or reflect up to date practices without changing requirements. Compliant duty holders are not expected to do anything different to manage risk.
EU Regulations, Decisions and Directives and other international obligations, including the implementation of the EU Withdrawal Bill and EU Withdrawal Agreement	<p>The Personal Protective Equipment at Work (Amendment) Regulations 2022 came into force on 6 April 2022 which included a new definition of worker.</p> <p>The Chemicals (Health and Safety) Trade and Miscellaneous Amendments Regulations 2022 came into force on 1 November 2022. They implement regulatory cooperation provisions in a trade agreement with EEA/EFTA states and correct minor deficiencies in several retained chemicals regulations.</p> <p>Guidance was published on the requirement to complete an individual risk assessment for new or expectant mothers (to avoid potential risk of under implementation of the Pregnant Workers Directive 92/85/EEC).</p>
Measures certified as relating to the safety of tenants, residents and occupants in response to the Grenfell tragedy	HSE updated publication HSG168 "Fire safety in construction" but does not impose new burdens on compliant duty holders.
Casework	HSE's regulatory activities during 2021/22 included over 16,900 targeted inspections from April 2021 to 31 March 2022, issuing over 6,900 notices during this period. During 2021/22 HSE continued to undertake activities related to reducing the transmission of COVID-19 in workplaces, completing over 2,200 COVID-19 compliance inspections. HSE undertook a programme of inspections of individual asbestos licensed contractors to ensure compliance with Control of Asbestos Regulations, completing over 880 inspections. HSE regulatory work also included a programme of inspections at major hazard sites in order to assess the management of cyber risks that may impact upon industrial control systems. None of these activities represent a change in the burden of regulation placed on business compared with previous years. Further information can be found on HSE's website in HSE's Annual Report and Accounts 2021/22 and the annual publication of the Health and Safety Statistics in Great Britain.

Exclusion category	Summary of activity
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> <p>HSE has published a set of clear and simple 'principles' that employers would be expected to apply, to support disabled people and those with long-term health conditions in the work environment.</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="https://www.legislation.gov.uk">legislation.gov.uk</a>.</p>
Changes to management of regulator	<p>All changes to HSE Board, management and structures are detailed in the Annual Report and Accounts 2021/2022, including the programme to establish the Building Safety Regulator for England in HSE.</p>

## HM Land Registry

Exclusion category	Summary of activity
Measures certified as being below <i>de minimis</i> (measures with an EANDCB below +/- £5 million)	<p>HM Land Registry has identified the following measures as having a regulatory impact but falling below the <i>de minimis</i> threshold:</p> <ol style="list-style-type: none"> <li>1. First Registrations – (a) Extension of Rejection Policy. Once trial now Business as Usual. Certain defective applications are now rejected, rather than accepted and a request for information (requisition) made. (b) New requirement for customers to retain original deeds until their application is completed, in case they need to be re-lodged for quality assurance purposes.</li> <li>2. Practice Guides, Directions and other Guidance – 58 amendments to our published guidance, mostly familiarisation costs only. Total cost for all 58 is still under £1 million.</li> <li>3. Business Gateway (BG) Improvements – (a) to allow BG customers to order copies of documents from a list of those available; (b) to supply proprietor’s names when a title number is entered on an application. Changes to bring BG into line with our other electronic application system.</li> <li>4. Lasting Powers of Attorney – we now allow the short summary to be submitted instead of the 16-page full copy. Small saving of about 500 hours scanning time to customers estimated.</li> <li>5. Determination of Lease by Effluxion of Time – minor changes relating to Communication Apparatus (e.g., phone masts) leases.</li> <li>6. Index of Proprietors’ Names Applications – changes to allow submission by email instead of paper.</li> </ol>
Casework	Details of business activity can be found in HM Land Registry’s Annual Report and Accounts published on GOV.UK.
Education, communications and promotion	<p>HM Land Registry has identified the following measures affected:</p> <ol style="list-style-type: none"> <li>1. Practice Guides – amendments to 32 guides fall under this exemption.</li> </ol>

Exclusion category	Summary of activity
Activity related to policy development	<p>HM Land Registry has identified the following measures affected:</p> <ol style="list-style-type: none"> <li>1. Qualified Electronic Signatures Pilot – HLMR continuing to explore the potential introduction of qualified electronic signatures.</li> <li>2. Practice Guides – amendments to 3 guides fall under this exemption.</li> <li>3. HMLR continues to roll out its Digital Registration Service (DRS). This service will be the default route for most applications lodged electronically by business customers from November 2022.</li> <li>4. HMLR is onboarding several customers within a private beta for the purpose of exploring conveyancing professionals giving assurance as to particular facts on, initially, straightforward applications. If this assurance can be given then the register may be changed without the manual intervention of a caseworker.</li> </ol>
Changes to management of regulator	<p>HM Land Registry has identified the following measures affected:</p> <ol style="list-style-type: none"> <li>1. Review of Complaints Procedures – changes to definition of complaint, service standards, ways to complain and internal processes.</li> </ol>

## Human Tissue Authority (HTA)

Exclusion category	Summary of activity
<p>Measures certified as being below <i>de minimis</i> (measures with an EANDCB below +/- £5 million)</p>	<p>The HTA revised and published (2.9.22) its <b>Code of Practice F part 2</b>, to reflect the introduction, in Spring 2023, of deemed consent for deceased organ and tissue donation for the purpose of transplantation in Northern Ireland (NI). The code is currently laid before the UK parliament and will come into force in NI in Spring 2023.</p>
<p>Casework</p>	<p>As of 21 October 2022, 614 establishments had an HTA licence across six diverse sectors. Of these, 328 establishments were public sector organisations and 286 were classified as businesses.</p> <p>Casework figures have been determined for an annual period deemed representative of the reporting period.</p> <p>Between 1.10.21 and 21.10.22 the HTA delivered:</p> <p>224 inspections, of which 45 inspections were site based, 63 were entirely virtual and 116 had both a site visit and virtual component.</p> <p>The HTA continues to utilise a hybrid model of assessments using Virtual Regulatory Assessments (VRAs) with an onsite inspection component for establishments conducting higher risk activities.</p> <p>This resulted in 835 shortfalls identified with corrective actions required.</p> <p>In addition:</p> <p><b>818 incidents</b> were reported  <b>36 new licence applications</b> were submitted  <b>899 licence variation requests</b> were received  <b>58 preparation process</b> dossier submissions  <b>144 establishments</b> in the Human Application sector submitted an annual activity return.</p> <p>The HTA made a decision on 1021 living organ donation cases – a panel of HTA Board Members made a decision on 230 of these. Eighty-five bone marrow/Peripheral Blood Stem Cell cases were also considered and approved by the HTA.</p>

Exclusion category	Summary of activity
Education, communications and promotion	The HTA revised and published (27.9.22) <b>Code B Standards and Guidance: Postmortem examination</b> guidance to reinforce the importance of establishments considering all risks to the dignity of the deceased
Changes to management of regulator	On 1.1.22 the HTA appointed Dr Colin Sullivan as Chief Executive Officer. Lynne Berry, Chair of the HTA Board, was reappointed to 2025.



## Information Commissioner's Office (ICO)

Exclusion category	Summary of activity
Pro-competition	<p>The Information Commissioner's Office (ICO) approved Certification Schemes in the areas of age-appropriate design, age assurance, and asset disposal. Fifty organisations applied for certification. The schemes certify that products, services and processes provided are compliant with data protection legislation.</p> <p>The ICO is also a member of the Digital Regulation Cooperation Forum (DRCF), working with the CMA, Ofcom, and FCA to explore the impacts of data protection and competition law in digital markets. The DRCF's 2022-23 workplan outlines a focus on fostering competitive online advertising markets that deliver innovation and economic growth, while respecting consumer and data protection rights. And over 2022 the ICO has been working with the CMA to review Google's emerging proposals to phase out third-party cookies; and Apple's App Tracking Transparency and Intelligent Tracking Prevention features.</p>
Fines and Penalties	<p>The ICO has issued fines of over £1.7m for breaches of the Privacy and Electronic Communications Regulations and approximately £13.5m under the Data Protection Act and General Data Protection Regulations.</p> <p>In respect of non-registrations just under 30,000 notifications of intent have been issued generating over £800k, primarily from businesses.</p>
Casework	<p>The ICO handles complaints from individuals under the Data Protection Act and the General Data Protection Regulations. In the reporting period the ICO received 34,000 complaints from the public about data protection issues of which over a third relate to businesses.</p>
Education, communications and promotion	<p>Guidance has been published on privacy-enhancing technologies. The ICO also launched two reports on Biometric Technologies to help advise businesses.</p> <p>The ICO also consulted on its statutory code of practice for journalism, clarifying how the law applies to journalism.</p> <p>Over the reporting period the ICO also published new guidance to help industry comply with the law including on:</p> <ul style="list-style-type: none"> <li>• research, archiving and statistics; and</li> <li>• employment related issues including employee monitoring and the handling of health data.</li> </ul> <p>Information relating to international data transfer agreement and guidance was published to help businesses transferring personal data outside the UK.</p> <p>A pilot has been launched to provide data protection guidance to small and medium sized enterprises understand data protection. Just under 50 companies have signed up and the pilot will be evaluated in January 2023. Feedback to date is good.</p>

Exclusion category	Summary of activity
Changes to management of regulator	The Office welcomed John Edwards as the new Information Commissioner early in the period. Following a listening exercise the Office has issued a new plan, ICO25, effective from October 2022, taking the organisation through to October 2025.

## The Insolvency Service (INSS)

Exclusion category	Summary of activity
Fines and Penalties	There were 45 sanctions imposed from January 2021-Dec 2021 these include reprimands, fines, costs awards, warnings and cautions.
Casework	<p><b>Licences</b> – The Recognised Professional Bodies (RPBs) licensed 1,570 Insolvency Practitioners on 1.1.22, of which 1,288 were authorised to take insolvency appointments. A licence lasts for 1 year and if the Insolvency Practitioner stays with the RPB for subsequent years there is an annual renewal process.</p> <p><b>Complaints to RPBs</b> – The RPBs received 423 complaints forwarded from the Agency's Insolvency Practitioner Complaints Gateway in 2021 (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><b>Complaints about RPBs</b> – Insolvency Practitioner Regulation Section deal with complaints about the RPBs – 15 complaints were received in 2021.</p> <p><b>RPB Monitoring</b> – The RPBs monitor Insolvency Practitioners using a risk-based approach, usually on a 3-year rotation, but sometimes more frequent visits are necessary if the Insolvency Practitioner has had a previous poor report, or their type of work warrants it, i.e. Volume IVA providers. There were 433 monitoring visits in 2021 (January – December). These usually consist of a review of a sample of insolvency cases and a report is issued to the Insolvency Practitioner. The report and any recommended further actions, including any potential disciplinary matters, are considered by a committee.</p>
Education, communications and promotion	Insolvency Practitioner Regulation Section publishes a number of documents each year including the Annual Review of Insolvency Practitioner Regulation, monitoring reports on the RPBs, Dear IP (a regular newsletter, including technical updates) and sanctions against Insolvency Practitioners imposed by the RPBs.
Activity related to policy development	<p>The Insolvency Code of Ethics and Statements of Insolvency Practice (SIPs) are developed by the Joint Insolvency Committee (JIC) and are adopted as a regulatory standard by all the RPBs.</p> <p>There have been no SIPs issued since December 2021.</p> <p>A revised SIP 3.1 (IVA advice) is due for issue in December 2022 but a date has not yet been agreed. There will be a three-month period to lead into full use.</p>

Exclusion category	Summary of activity
Changes to management of regulator	A Consultation was published in 2021 to consider changes to regulation of Insolvency Practitioners, the Insolvency Service are reviewing the responses and will draft and publish a government response soon.

## Maritime and Coastguard Agency (MCA)

Exclusion category	Summary of activity
<p>Measures certified as being below <i>de minimis</i> (measures with an EANDCB below +/- £5 million)</p>	<p>The Maritime and Coastguard Agency (MCA) has implemented 4 EU, International obligations/de minimis measures and 1 Order in Council:</p> <ul style="list-style-type: none"> <li>• <b>The Merchant Shipping (Nuclear Ships) Regulations 2022.</b></li> <li>• <b>The Merchant Shipping (Control and Management of Ships' Ballast Water and Sediments) Regulations 2022.</b></li> <li>• <b>The Merchant Shipping and Fishing Vessels (Entry into Enclosed Spaces) Regulations 2022.</b></li> <li>• <b>The Merchant Shipping (High Speed Offshore Service Craft) Regulations 2022.</b></li> <li>• <b>The Merchant Shipping (Control and Management of Ships' Ballast Water and Sediments) Order 2022.</b></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 (MCA) has implemented 4 EU, International obligations / de minimis measures and 1 Order in Council:</p> <ul style="list-style-type: none"> <li>• <b>The Merchant Shipping (Nuclear Ships) Regulations 2022.</b></li> <li>• <b>The Merchant Shipping (Control and Management of Ships' Ballast Water and Sediments) Regulations 2022.</b></li> <li>• <b>The Merchant Shipping and Fishing Vessels (Entry into Enclosed Spaces) Regulations 2022.</b></li> <li>• <b>The Merchant Shipping (High Speed Offshore Service Craft) Regulations 2022.</b></li> <li>• <b>The Merchant Shipping (Control and Management of Ships' Ballast Water and Sediments) Order 2022.</b></li> </ul>
<p>Casework</p>	<p>The MCA has continued its programme of Port State Control inspections and Flag State Control surveys. Issuing prohibition and improvement notices or detentions where necessary.</p> <p>The MCA has continued its programme of training course approvals, competency examinations for seafarers and the issuing of boat master licences.</p> <p>The MCA has continued its programme of International Safety Management audits and Document of Compliance audits.</p> <p>No activities within this exemption represent a change in the burden of regulation placed on business, except where there result from a separate qualifying regulatory provision which has been assessed.</p>

Exclusion category	Summary of activity
Education, communications and promotion	<p>The MCA has published nearly 200 documents providing the UK maritime sector with general information and guidance.</p> <p>The MCA's Coastguard volunteers attend numerous local shows and events to promote coastal safety for pleasure users, providing advice and guidance on maritime legislation.</p> <p>Attendance at educational and promotional events is not compulsory and none of the material produced creates a new regulatory standard that businesses will be expected to follow. Any new regulatory standards will follow the regulatory process and their impacts assessed as part of this process.</p>
Activity related to policy development	<p>The MCA has undertaken 11 consultations in the reporting period.</p>

Medicines and Healthcare products Regulatory Agency (MHRA)

Exclusion category	Summary of activity
<p>Measures certified as being below de minimis (measures with an EANDCB below +/- £5 million)</p>	<p>Legislative amendments to the Human Medicines Regulations 2012 were made in March 2022 to provide a statutory basis for the Early Access to Medicines Scheme (EAMS). The EAMS gives patients with life threatening or seriously debilitating conditions access to medicinal products that are either not authorised or not authorised for that clinical use. As this legislation provides a statutory basis for EAMS, which has been in operation since 2014, there are not significant changes in the requirements for businesses who utilise the scheme. An economic impact analysis identified the level of impact to be less than £5 million per annum.</p> <p>As of 1.1.22 the combined review service, formerly known as the Combined Ways of Working (CWoW) pilot, is now the way that all new Clinical Trials of Investigational Products (CTIMPs) applications are prepared, submitted and reviewed. Combined review offers a single application route for Clinical Trial Authorisation and Research Ethics Committee opinion and a co-ordinated review process leading to a single UK decision for CTIMPs. This is reducing duplication, saving applicants time and effort, and speeding up approval times.</p> <p>A Pilot of Combined Investigational Medicinal Products (IMP)/Device research was introduced on 1.1.22 to deliver the agency objective for a single decision on research using both a medicine and a device and will provide a more streamlined route for combined IMP/devices clinical trials.</p>
<p>Measures certified as concerning EU Withdrawal Bill operability measures</p>	<p>The MHRA published the government response to the public consultation on the future regulation of medical devices in the UK. The response outlined the intended regulatory reform including transitional arrangements for CE and UKCA marked devices placed on the Great Britain market. The MHRA announced a 12-month extension to the implementation of the future Medical Devices Regulations, with an aim to bring the new regulations into force by July 2024. <a href="https://www.gov.uk/government/consultations/implementation-of-the-future-medical-devices-regulations">Implementation of the Future Regulations - GOV.UK (www.gov.uk)</a>.</p> <p>The MHRA has continued to work closely with central government to develop our system of regulation following EU Exit and to secure the supply of medicines for UK patients. In particular, legislative amendments to the Human Medicines Regulations 2012 came into effect in January 2022 to introduce a new route for supply of prescription-only medicines from GB into Northern Ireland. This route is known as the Northern Ireland MHRA Authorised Route (NIMAR) and permits certain medicines authorised by the MHRA in GB to be supplied to Northern Ireland on the basis of the medicine's authorisation in GB. The MHRA has published updated guidance on the NIMAR: <a href="https://www.gov.uk/government/consultations/the-northern-ireland-mhra-authorised-route-nimar">The Northern Ireland MHRA Authorised Route (NIMAR) - GOV.UK (www.gov.uk)</a>.</p>

Exclusion category	Summary of activity
	<p>The MHRA has held webinars for stakeholders and worked closely with industry throughout this period on the evolving issues for the supply of medicines, post EU exit.</p>
<p>Activity related to policy development</p>	<p>The MHRA consulted on proposals to improve and strengthen the UK clinical trials legislation, to help make the UK the best place to research and develop safe and innovative medicines. <a href="https://www.gov.uk/government/consultations/consultation-on-proposals-for-legislative-changes-for-clinical-trials">Consultation on proposals for legislative changes for clinical trials - GOV.UK (www.gov.uk)</a>.</p> <p>The MHRA consulted on proposals for changes to the Agency's statutory fees to ensure the MHRA is resourced to provide the service required for patients, the public and industry, and to achieve full cost recovery in line with HM Treasury principles on Managing Public Money:</p> <p><a href="https://www.gov.uk/government/consultations/consultation-on-proposals-for-changes-to-the-medicines-and-healthcare-products-regulatory-agencys-statutory-fees">https://www.gov.uk/government/consultations/consultation-on-proposals-for-changes-to-the-medicines-and-healthcare-products-regulatory-agencys-statutory-fees</a></p> <p>There was a total of 8 public consultations held by the MHRA during the period. These are available at <a href="https://www.gov.uk/government/policy-papers">Policy papers and consultations - GOV.UK (www.gov.uk)</a>.</p> <p>The MHRA has also engaged with industry on a review into the future position/use of the MHRA's COVID-19 regulatory flexibilities, which were introduced from March 2020 in response to the COVID-19 pandemic. <a href="https://www.gov.uk/government/consultations/mhra-regulatory-flexibilities-resulting-from-coronavirus-covid-19">MHRA regulatory flexibilities resulting from coronavirus (COVID-19) - GOV.UK (www.gov.uk)</a>.</p>
<p>Changes to management of regulator</p>	<p>Following the MHRA One Agency transformation, the new organisation structure became fully operational from 1 June 2022. This new operating model is designed around the product lifecycle with a focus on patients and the public. Chief Officers have been appointed to lead on Science, Research and Innovation; Healthcare, Quality and Access; Safety and Surveillance; Partnerships; and Technology.</p>



## Natural England

Exclusion category	Summary of activity
<p>Measures certified as being below de minimis (measures with an EANDCB below +/- £5 million)</p>	<p>During the reporting period, Natural England continued to make amendments to its wildlife licensing regime under the scope of the original SI, (the <a href="#">Wildlife Licence Charges Order 2018</a>). In January 2022, Natural England started charges for continued registrations for class survey licences. New online "Qualtrics" forms were brought in for dormouse CL10a; CL10b; white clawed crayfish CL11 and barn owl CL29. Charges for <b>bat class survey licences</b> started in June '22. New online "Qualtrics" forms were introduced for bat CL17, CL18, CL19, CL20.</p> <p><b>Specialist interest licences:</b> Natural England intend to start charging for 5 specialist interest / sustainable use licences to sell or exhibit wildlife and to disturb birds for photography (dates TBC).</p> <p>Wildlife licence fees brought in £1.5 million for 21 / 22. For 22/ 23, the figure is expected to be about £1.7 million from wildlife licence charges. Charges are deemed to be below de minimis due to the relatively low costs of accessing a general licence. Charges enable reforms, for example online forms introduced for class survey licences that are easier and quicker for both customers and Natural England while enabling the collection of better data on wildlife.</p>
<p>Casework</p>	<p>Between 17.12.21 and 16.12.22 Natural England responded to 31,734 items of casework relating to Terrestrial and Marine planning consultations, and 21,667 relating to SSSI and Land Management Consents/Assents and Wildlife licenses.</p>
<p>Education, communications and promotion</p>	<p>Natural England has continued to update and make minor amendments to 546 pieces of guidance on GOV.UK, covering wildlife management, protected species and protected areas in response to customer feedback and requests. It made 127 new publications available on its Access to Evidence portal. In February 2022, Natural England updated its approach to permitting the release of non-native game birds on Protected Sites. Natural England also published the report for Phase 4 Catchment Sensitive Farming (CSF) delivery from April 2018 to March 2021 which demonstrates the partnership's positive impact on improving water and air quality in agriculture.</p> <p>In May 2022 Natural England celebrated the 70th anniversary of the first NNRs to be declared in England. In August, the Nutrient Neutrality Principles were published. 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>

Exclusion category	Summary of activity
Activity related to policy development	<p>During the BIT reporting period, Natural England supported Defra in its ongoing consultations around wildlife management and protected species. The organisation announced Catchment Sensitive Farming advice is now available to farmers, land managers and growers across England. 22 projects received funding through the new Landscape recovery scheme. A list of priority habitats and species in England ('Section 41 habitats and species') for public bodies, landowners and funders to use for biodiversity conservation has also been released. The sale of peat for use in the amateur gardening sector will be banned by 2024 to protect peatlands and the natural environment, plus information about the scheme to restore English peatlands.</p> <p>The government's <a href="#">plans to restore 300,000 hectares of habitat across England</a> were released. The new schemes will support nature recovery and climate action by rewarding farmers in their local area, alongside sustainable and profitable food production. The government announced in February 2022 that the England Coast Path will be fully walkable by the end of this Parliament – connecting communities from Northumberland to Cornwall. 2 Marine Area Site Packages were updated plus an announcement that the £2.5 million LIFE Recreation ReMEDIES project, led by Natural England, has now planted seagrass across a total of 3.5 hectares of seabed. It also provided 19 updates relevant to Countryside stewardship. The Natural England staff organisation licence (WML-OR06) was re-issued on 1 October. It enables staff to perform duties that may otherwise constitute wildlife offences. Natural England also updated the Countryside code with responsibilities for visitors to the countryside and those who manage the land.</p>
Changes to management of regulator	<p>Tony Juniper CBE has been reappointed as Chair of Natural England for a second term. His second term will be for three years and will run from 23.4.22 to 22.4.25. On 26.7.22 Lord Benyon was appointed as Minister for Rural Affairs, access to Nature and Biosecurity. He now has overall responsibility for Natural England.</p>

## North Sea Transition Authority

Exclusion category	Summary of activity
<p>Measures certified as being below de minimis (measures with an EANDCB below +/- £5 million)</p>	<p><b>The NSTA published two new guidance documents:</b></p> <ul style="list-style-type: none"> <li>• Innovate Seaward Production Licences: Guidance on Phase Transition in the initial Term which provides general guidance on the matters to be considered in relation to the continuation – or, in this guidance, ‘transition’ - of the Innovate Licence through the Initial Term Phases.</li> <li>• Governance Guidance which sets out when the NSTA will normally consider the adequacy of a company’s governance arrangements and the factors that the NSTA will usually take into consideration when doing so.</li> </ul> <p><b>The NSTA published five revised guidance documents:</b></p> <ul style="list-style-type: none"> <li>• Carbon Storage Licence Application Guidance for companies wishing to apply for a CS Licence and sets out general information and guidance on the licensing process.</li> <li>• Supply Chain Action Plan Guidance which replaces previously available guidance on Supply Chain Action Plans.</li> <li>• Well Consents Guidance clarifying the matters the NSTA considers when it receives an application for a well consent.</li> <li>• Revised Field Development Plan Guidance to reflect changes to the refreshed Strategy and Stewardship Expectations.</li> <li>• PON 9 Guidance sets out the requirements for current and former holders of Offshore UKCS Exploration and Production licences.</li> </ul> <p><b>The NSTA published 14 publications and reports:</b></p> <ul style="list-style-type: none"> <li>• Annual reports and accounts presented to Parliament pursuant of section 6 of the government resources and accounts Act 2000 ( Audit of non profit making companies)</li> <li>• UKCS decommissioning cost estimate 2000 report setting out the new cost estimate for offshore oil and gas decommissioning in the UK Continental shelf.</li> <li>• Measurement, Monitoring and Verification (MMV) of Carbon Capture and Storage Projects with co-location considerations review of the role of monitoring for offshore carbon storage sites.</li> <li>• UKCS Unit Operating Costs 2021 report.</li> <li>• UKCS Production Efficiency 2021 report.</li> <li>• NSTA Inclusion Report 2022 shares the work that the NSTA has been undertaking as an employer, and as the industry regulator to increase inclusion.</li> <li>• Supply Chain Report 2021 explains how the NSTA is supporting the UK supply chain.</li> <li>• NSTA Southern North Sea NUI Renewable Energy Package Optioneering Study Report sets out the results of a study to explore the application of renewable energy packages in the southern North Sea.</li> </ul>

Exclusion category	Summary of activity
	<ul style="list-style-type: none"> <li>• NSTA Overview 2022.</li> <li>• Central North Sea HPHT pressure Cell Study providing a regional understanding of overpressure distributions or pressure cells in the Central North Sea.</li> <li>• Wells Insight Report provides insight into well activity in the UKCS.</li> <li>• UKCS Decommissioning Benchmarking Report 2021 provides comparison data which benchmarks a wide range of UKCS decommissioning activities.</li> <li>• Emissions Monitoring Report.</li> <li>• Carbon Valuation Methodology report sets out information and assumptions for valuing the societal impacts of greenhouse gas emissions for appraisal purposes.</li> </ul> <p><b>The NSTA published two consultation documents:</b></p> <ul style="list-style-type: none"> <li>• Consultation on proposals on changes to the NSTA fees and data confidentiality periods.</li> </ul> <p>Consultation Response to NSTA Governance Guidance.</p>
Casework	<p>The NSTA approved:</p> <ul style="list-style-type: none"> <li>• Four Field Development Plans /Addendums (FDP / FDPA) cases for offshore oil and gas fields.</li> <li>• Five sanctions, disputes or infrastructure access cases resolved. There was one formal sanction taken.</li> <li>• 277 Field consents were issued.</li> <li>• 365 Pipeline works authorisations were issued.</li> <li>• 32 onshore licence events including FDP / FDPAs, relinquishments, transfers and terminations took place.</li> </ul>
Education, communications and promotion	<p>The NSTA OGA has presented its work at various workshops and conferences including the Southern North Sea Conference, the Offshore Energies UK Conference, and the Westminster Energy Forum.</p>

## Ofcom

Exclusion category	Summary of activity
Measures certified as being below <i>de minimis</i> (measures with an EANDCB below +/- £5 million)	<ul style="list-style-type: none"> <li>• Amendments to the National Telephone Numbering Plan to remove the requirement to provide local dialling.</li> <li>• Emergency video relay.</li> <li>• Extending the range of static indoor mobile phone repeaters available for people to self-install without a licence.</li> <li>• Strengthened rules to ensure that public call boxes that are still needed are protected from removal.</li> <li>• Ensuring that public call boxes continue to work in the event of a power cut.</li> </ul>
EU Regulations, Decisions and Directives and other international obligations, including the implementation of the EU Withdrawal Bill and EU Withdrawal Agreement	<ul style="list-style-type: none"> <li>• Updating the TV Access Code to reflect new statutory requirements implementing the revised Audiovisual Media Services Directive (AVMSD).</li> <li>• Making changes to our General Conditions (and associated guidance documents) as a result of implementing the European Electronic Communications Code (EECC).</li> </ul>
Measures certified as concerning EU Withdrawal Bill operability measures	On-demand programme services (ODPS) guidance: decisions on how we will implement new quotas for 'European works' content on regulated video on-demand services. These changes result from the UK's transposition of the revised Audiovisual Media Services Directive 2018 into UK law, as required under the terms of the EU Withdrawal Agreement.
Pro-competition	Review of the interaction between BBC Studios and the BBC public service. It found that two significant areas (secondary content sales and supply and pricing of goods and services) where we were not satisfied that the BBC was operating in line with our regulation.
Fines and Penalties	Ofcom has imposed a number of fines and penalties associated with a specific enforcement decisions. These are classed as a non-qualifying regulatory provision under the case work exclusion and are not recorded separately here.

Exclusion category	Summary of activity
Casework	<p>Ofcom carried out a significant level of casework during the period, including:</p> <ul style="list-style-type: none"> <li>• Investigation and enforcement activity in relation to broadcast standards<sup>1</sup> and competition and consumer enforcement<sup>2</sup>.</li> <li>• Licence awards.</li> <li>• Updates to licence terms.</li> <li>• Granting Code powers to persons providing an electronic communications network and/or system of infrastructure.</li> </ul> <p><sup>1</sup> These are published in the <a href="#">Broadcast and On Demand Bulletin</a>  <sup>2</sup> These are ordinarily published in the <a href="#">Competition and Consumer Enforcement Bulletin</a></p>
Activity related to policy development	<p>Ofcom have published various consultations and calls for inputs over the period to further develop our policy and regulatory decisions, including:</p> <ul style="list-style-type: none"> <li>• Consultation: Changes to BBC iPlayer.</li> <li>• Consultation: Aligning licence terms in the 3.4-3.8 GHz band.</li> <li>• Consultation: Review of postal regulatory reporting.</li> <li>• Call for evidence: Mobile strategy discussion document.</li> <li>• Call for inputs: Diversity in Broadcasting: Reviewing our data collection practices for promoting equality of opportunity in TV and Radio.</li> <li>• Call for inputs: To review Ofcom's Broadcasting Code Guidance.</li> </ul>

## Office for Students

Exclusion category	Summary of activity
<p>Measures certified as being below de minimis (measures with an EANDCB below +/- £5 million)</p>	<p>Following our consultation on revisions to <i>reportable events requirements</i>, changes took effect from 1.1.22.</p> <p>Following OfS's consultation on the <i>publication of information</i> about providers and individuals connected with them, changes were made to paragraph 72 of the OfS's regulatory framework (Content of the Register). This was to reflect final decisions on the approach to publication of information and associated guidance that came into effect on 30.9.22.</p> <p><b>Quality and standards (B conditions of registration)</b></p> <p>Following consultation, revised ongoing conditions of registration B1, B2, B4 and B5 came into effect from 1.5.22.</p> <p>Additionally, new initial conditions of registration B7 and B8 applied to applications for registration made on or after 1.5.22. Transitional arrangements apply to applications for registration which were live at any time between 1.3.22 and 30.4.22.</p> <p>Revised initial and ongoing condition of registration B3 came into effect from 3.10.22. Transitional arrangements apply to applications for registration which were live at any time between 26.7.22 and 2.10.22.</p> <p>Revised condition of regulation, condition B6 came into effect on 6.10.22, setting out requirements for provider participation in the Teaching Excellence Framework.</p> <p><b>Regulatory advice</b></p> <p>Associated guidance in relation to the measures above was:</p> <ul style="list-style-type: none"> <li>• Regulatory advice 20: Regulating student outcomes. Regulatory advice 21: Publication of information.</li> <li>• Regulatory advice 22: Guidance on the Teaching Excellence Framework 2023.</li> </ul>
<p>Casework</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>
<p>Education, communications and promotion</p>	<p>Consistent with our strategy to enable providers to comply with the regulatory framework, the OfS undertakes presentations, organises webinars and communicates on specific topics. Attendance at events and participation in online webinars is not mandatory.</p>
<p>Activity related to policy development</p>	<p>The OfS undertakes data analysis and commissions and publishes independent research to inform our decision making, and for transparency purposes.</p>

Exclusion category	Summary of activity
Changes to management of regulator	Susan Lapworth became interim chief executive with effect from 1.5.22. On 1.9.22 she was appointed as chief executive following an open appointment process conducted by the Department for Education.



## Office for Nuclear Regulation (ONR)

Exclusion category	Summary of activity
Measures certified as being below <i>de minimis</i> (measures with an EANDCB below +/- £5 million)	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.
EU Regulations, Decisions and Directives and other international obligations, including the implementation of the EU Withdrawal Bill and EU Withdrawal Agreement	<p>The EU's revised Nuclear Safety Directive (NSD) requires member states to undertake national assessments on a specific topic related to nuclear safety every six years, followed by peer review by other member states. These topics are selected by the European Nuclear Safety Regulators Group (ENSREG).</p> <p>Following its exit from the EU, the UK has become an observer of ENSREG and while we are no longer legally bound, the government decided to participate in the Topical Peer Review to share operating experience, identify good practice and deliver continuous improvement across the nuclear sector.</p> <p>ONR coordinated the UK's involvement on behalf of the Department for Business, Energy &amp; Industrial Strategy and prepared a National Assessment Report following extensive engagement with licensees (July – October). The national report is expected to be published in Autumn 2023 and an international peer review workshop is due to take place in 2024.</p>
Casework	Regulatory interventions are published on the ONR website as part of ONR's publication scheme. None of the activities represent a change in the burden of the regulation placed on businesses.
Education, communications and promotion	ONR publicity materials did not create a new regulatory standard that businesses are expected to follow. In February 2022 ONR undertook an annual stakeholder survey inviting more than 1350 stakeholders from over 175 organisations to share their views and help ONR to regulate effectively. The report is available on the ONR website.
Activity related to policy development	A Post Implementation Review (PIR) of Part 3 of the Energy Act 2013 (providing the framework setting out the governance, responsibilities and the powers of ONR) concluded in July 2022 with a report being laid in Parliament. Jointly led by Department for Business, Energy and Industrial Strategy (BEIS) and the Department for Work and Pensions (DWP), the government review noted that ONR is seen domestically and internationally as a strong example of an organisation which follows a modern, enabling regulatory approach, respected for its technical ability and regulatory performance.

Exclusion category	Summary of activity
	<p>The PIR's 14 recommendations and other suggestions helped shape ONR's published Corporate Plan 2022/23. They align to ONR's ambitions to enhance the proportionality and consistency of its regulation, focus more on innovation, and drive greater efficiency, as well as continuing to build stakeholder confidence and trust through effective engagement in its work. It concluded that the objectives of Part 3 of TEA13 are being met and ONR requires no changes to its sponsorship structure with DWP and BEIS, or its legislative functions as listed in the 2013 Energy Act.</p> <p>An independent review of ONR's Security Assessment Principles (SyAPs which are used to guide regulatory judgements when assessing duty holders' security submissions) commenced in August 2022 to evaluate whether the SyAPs approach and outcome focused methodology represents an effective and efficient approach for nuclear security regulation. Industry has been engaged and the review findings (due to report Spring 2023) will inform ONR's approach to regulation of nuclear security going forward and support our efforts for continuous improvement. The review follows on from amendments to the SyAPS in April 2022 to introduce a system of flexible security 'permissioning' which aligns with ONR's regulation of safety and will facilitate single sets of arrangements for both disciplines and provide duty holders with a coherent approach across the UK civil nuclear industry.</p>

## Office of Gas and Electricity Markets (Ofgem)

Exclusion category	Summary of activity
EU Regulations, Decisions and Directives and other international obligations, including the implementation of the EU Withdrawal Bill and EU Withdrawal Agreement	Ofgem published documents to reflect changes in EU regulations and did not include gold plating. These related to requirements under or changes to the (EU) 2019/243 (Electricity Regulation) and modifications to The Distribution Code to reflect the terms of the UK's departure from the EU.
Pro-competition	Ofgem published documents relating to regulatory provisions that are intended to deliver, or to replicate, better competition-based outcomes in the energy market. This includes matters such as RIIO price controls, Market-Wide Half-Hourly Settlement (MHHS) and The Network Innovation Competition (NIC) which is designed to stimulate innovation in the GB energy networks.
Casework	The majority of Ofgem's publications concerned specific investigation and specific enforcement activity, and individual licence decisions. These documents mostly related to 1) the applications for, notice of, or revocation of individual licences, 2) the appointment of new suppliers, and 3) final orders. Other documents related to regulatory activities such as specific approval of individual charging and service statements, and methodologies.
Activity related to policy development	Ofgem published documents regarding its own policy development such as formal and informal consultations and ad hoc information requests. These related to matters including the default tariff cap, RIIO innovation funds and renewable schemes such as the Renewables Obligation (RO) and the Feed-In Tariffs (FIT).

Office of Road and Rail (ORR)

Exclusion category	Summary of activity
<p>Measures certified as being below de minimis (measures with an EANDCB below +/- £5 million)</p>	<p>The following measures were certified as being below de minimis:</p> <ul style="list-style-type: none"> <li>• Guidance on Environmental Arrangements for Railway Licence Holders.</li> <li>• Guidance on the level crossing orders process and updated level crossing order templates.</li> <li>• Updated guidance to support The Train Driving Licences and Certificates Regulations 2010.</li> <li>• Criteria and procedures for the approval of depot access agreements.</li> <li>• Licensing guidance: How to apply for operator licences and licence exemptions.</li> </ul>
<p>Measures certified as concerning EU Withdrawal Bill operability measures</p>	<p>Update to Railways and Other Transport Systems (ROGS) guidance to reflect legislative changes.</p>
<p>Casework</p>	<p><b>Licensing operators of railway assets:</b></p> <ul style="list-style-type: none"> <li>• Issued licences to 9 operators.</li> <li>• Granted licence exemptions to 5 operators.</li> <li>• Revoked 4 licences/exemptions.</li> </ul> <p><b>Freight Track Access Contracts - 61 cases total</b> = 22 Specific Approvals (cases where ORR review and approve) + 39 General Approval (cases approved between parties)</p> <ul style="list-style-type: none"> <li>• Specific Approvals: 4 x Connection Contracts, 6 Supplemental Agreements, 7 Consents, 5 Facility Access Contracts (S18).</li> <li>• General Approvals: 1 x New TAC, 26 x Connection Contracts, 7 Supplemental Agreements, 5 Facility Access Contracts (S18).</li> </ul> <p><b>Passenger Track Access Contracts – 101 cases in total</b></p> <ul style="list-style-type: none"> <li>• 70 Specific Approvals (4 x Section 18 new contracts, 65 x Section 22 agreed amendments to the contract reviewed by ORR for validity, 1 x Section 22A amendment initially not agreed between the parties that ORR have provided directions on).</li> <li>• 2 consents.</li> <li>• 29 General Approvals to amendments of track access contracts.</li> </ul>

Exclusion category	Summary of activity
	<p><b>Stations &amp; Depots Access Contracts - 349 cases in total</b></p> <ul style="list-style-type: none"> <li>• Specific Approvals (11 x new agreements; 165 x amendments).</li> <li>• General Approvals (31 x new agreements; 142 x amendments).</li> </ul> <p><b>ROGS Safety Certificates and Safety Authorisations:</b></p> <ul style="list-style-type: none"> <li>• 6 Mainline Safety Authorisations.</li> <li>• 43 Mainline Safety Certificates (21 Part A's &amp; 22 Part B's).</li> <li>• 5 Non-Mainline Safety Authorisations.</li> <li>• 2 Non-Mainline Safety Certificates.</li> </ul> <p><b>ROGS Regulation 30(1) exemptions:</b></p> <ul style="list-style-type: none"> <li>• Two exemptions issued. These were to heritage railways to exempt them from the requirements of holding a non-mainline safety certificate and safety authorisation to carry out short term testing of railway vehicles at speeds greater than 25 miles per hour on their managed infrastructure.</li> </ul> <p><b>Level Crossing Orders, Directions and Traffic Signs Authorisations:</b></p> <ul style="list-style-type: none"> <li>• 21 Level Crossing Orders made.</li> <li>• 3 Directions made.</li> <li>• 2 Traffic Sign Authorisations made.</li> </ul> <p><b>Licences issued under the Train Driving Licences and Certificates Regulations 2010 (up to 15.11.22)</b></p> <ul style="list-style-type: none"> <li>• 1073 new GB train driving licences issued to domestic only drivers.</li> <li>• 253 new GB train driving licences issued to cross border drivers.</li> <li>• 51 GB train driving licences re-issued.</li> </ul>

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>Extension of Primary Authority in England to cover relevant enactments made under Part 2A of the Public Health (Control of Disease) Act 1984.</b></p> <p>The draft SI <i>updates</i> the list of legislation that primary authorities can provide assured advice on to include regulations made under Part 2A of the Public Health (Control of Disease) Act 1984. Primary Authority provides a number of benefits to businesses and society and the effect of this SI is estimated to provide an expected net benefit for business in England at approximately £20.9m over 2021-2030. Therefore, the net present value of its impact is estimated under +/-£5m a year.</p> <p><b>The Toys and Cosmetic Products (Restriction of Chemical Substances) Regulations 2022</b></p> <p>The objective of this Instrument is to prohibit or restrict the use of specific chemicals in certain toys and cosmetic products, following scientific assessment that they pose an unacceptable risk to human health. As a result of technical changes being made, some businesses will incur a cost as a result of this change in legislation, the value of which is expected to be less than £5m a year.</p> <p><b>The Product Safety and Metrology etc. (Amendment) Regulations 2021 [Please note, following further consideration, this draft SI is to be considered as part of the previous year's report (2020-21).]</b> This SI extends the UK's acceptance of certain products meeting EU requirements and markings until 31.12.22 and existing business easements on labelling to 31.12.23). Costs of applying these extensions were found to be De Minimis (costs of £2.6m p.a.).</p>
<p>Fines and Penalties</p>	<p>OPSS publishes a list of its statutory Enforcement Actions which is updated on a six-monthly basis. There have been no changes to the way OPSS approaches its casework and investigatory activities within this reporting period.</p>
<p>Casework</p>	<p>OPSS publishes a list of its statutory Enforcement Actions which is updated on a six-monthly basis. There have been no changes to the way OPSS approaches its casework and investigatory activities within this reporting period.</p>
<p>Education, communications and promotion</p>	<p>OPSS has an ongoing programme of consumer safety advice and awareness campaigns.</p>

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>Following consultations, Ofqual introduced the following regulatory provision:</p> <ul style="list-style-type: none"> <li>• Guidance on designing and developing accessible assessments</li> <li>• Revised GCSE qualifications in French, German and Spanish</li> <li>• New regulatory provision for digital functional skills qualifications</li> <li>• Regulating alternative academic and alternative technical qualifications at level 3</li> <li>• Ensuring the resilience of the qualifications system in 2023: GCSE, AS, A level, Project and AEA. Joint consultation with DfE</li> <li>• Proposed changes to the assessment of mathematics, physics, and combined science GCSEs in 2023</li> <li>• Proposed changes to the assessment of Modern Foreign Language GCSEs from 2023</li> </ul> <p>Ofqual amended the following regulatory provision:</p> <ul style="list-style-type: none"> <li>• Qualification Level Conditions for General Certificate of Education (GCE) / GCSE / Advanced Extension Award and Project</li> <li>• Terms of reference for exam procedure reviews</li> </ul> <p>Ofqual made changes to the regulatory provisions relating to 2021 qualification delivery:</p> <ul style="list-style-type: none"> <li>• Ofqual ceased the General Qualifications Alternative Awarding Framework for almost all purposes, except in specific circumstances relating to individual learners</li> <li>• Ofqual retained the Vocational and Technical Qualifications Contingency Regulatory Framework provisions relating to category A qualifications, in a non-compulsory manner</li> </ul> <p>From academic year 2022/23, Vocational and Technical Qualification awarding organisations are not expected or required to follow the Vocational and Technical Qualifications Contingency Regulatory Framework, however the option is there to allow flexibility as needed for Awarding Organisations</p>

Exclusion category	Summary of activity
Casework	<p>Ofqual undertook the following enforcement activity:</p> <ul style="list-style-type: none"> <li>• one undertaking with one awarding organisation to secure compliance with the Conditions of Recognition</li> <li>• two Notices of intention to impose a monetary penalty on one awarding organisation for £1,200,000 and £150,000</li> <li>• 25 special conditions imposed on 21 awarding organisations (16 of these were imposed at recognition and one was an Entry and Inspection Condition)</li> <li>• Two Notices of Monetary Penalty imposed on one awarding organisation for £1,200,000 and £150,000</li> <li>• Two Notices of Costs Recovery imposed on one awarding organisation for £25,452.20 and £6,261.68</li> </ul> <p>Ofqual undertook the following audit and investigation activity:</p> <ul style="list-style-type: none"> <li>• 61 compliance activities with awarding organisations</li> <li>• 4 investigations into four awarding organisations, including 1 use of Ofqual's entry and inspection power</li> <li>• 1 audit activity with an awarding organisation</li> </ul> <p>Ofqual undertook 159 Statement of Compliance reviews to assess awarding organisations compliance with the general conditions of recognition.</p>
Education, communications and promotion	<p>Ofqual communicates regularly with awarding organisations to keep them informed about existing and proposed regulatory requirements. Communication and education events arranged by Ofqual are optional for awarding organisations to attend.</p>
Activity related to policy development	<p>Ofqual undertook the following activity relating to policy development:</p> <ul style="list-style-type: none"> <li>• Policy and technical consultation for level 2 qualifications</li> <li>• End-Point Assessment qualification level guidance</li> </ul>
Changes to management of regulator	<p>Ian Bauckham CBE began a three-year position as permanent Chair of Ofqual in January 2022.</p>



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

Exclusion category	Summary of activity
Measures certified as being below de minimis (measures with an EANDCB below +/- £5 million)	<p>Changes to early years enforcement guidance from March 2022: early year providers' and childminders' familiarisation with changes to enforcement.</p> <p>Limited changes to early years inspection handbook from September 2022: early year providers' and childminders' familiarisation with changes to inspection.</p> <p>Limited changes to school inspection handbook from September 2022: independent schools' familiarisation with changes to inspection.</p>
Education, communications and promotion	<p>Ofsted provides information to enquirers via its general helpline. Information is also available through the Ofsted website: <a href="https://www.gov.uk">Ofsted - GOV.UK (www.gov.uk)</a>. Changes to inspection have also been communicated to providers by a range of other means including webinars, social media and events.</p>

## Ofwat

Exclusion category	Summary of activity
<p>Measures certified as being below de minimis (measures with an EANDCB below +/- £5 million)</p>	<p>Over the year, Ofwat has made several interventions relating to the codes that underpin the operation of the Business Retail Market, whose impact was below the de minimis level. For example, this has included:</p> <ul style="list-style-type: none"> <li>• A decision relating to the level of price caps that will apply to smaller business customers (those consuming &lt;0.5ML per year) who have not engaged in the market. This decision is expected to be published on 15 December 2022 with a view to updating the Retail Exit Code (REC) in April 2023.</li> <li>• Changes to the Wholesale Retail Code (January 2022 - November 2022) which facilitated MOSL's programme which is intended to improve business interactions in the business retail market.</li> </ul> <p>In July 2022 Ofwat granted a waiver for a specific contract of one of the additional procurement obligations in the specified infrastructure project licence of Bazalgette Tunnel Limited ("Tideway").</p>
<p>Pro-competition</p>	<p>Ofwat revised the Regulatory Accounting Guidelines, extending the requirements to undertakers appointed under the "new appointee" regime in order to underpin the confidence and effectiveness of the growing new appointee market as it continues to evolve.</p> <p>Ofwat approved changes to five Codes for Adoption Agreements (Sector Documents) which are designed to help to facilitate the expansion of the market for new connections and remove potential barriers to competition.</p> <p>Ofwat worked with incumbent water companies and new appointees to publish working group outputs on industry best practice with regard to bulk charging to new appointees in support of effective markets.</p> <p>Ofwat published a guidance note on Direct Procurement for Customers (DPC), a measure intended to introduce competition for delivery of large infrastructure projects required by water companies, in September 2022.</p> <p>In July 2022, Ofwat revised guidance on whether business customers in England and Wales are eligible to switch their retailer. No substantive changes were made, but rather clarifications given lessons learnt and enquiries on the guidance since its original publication.</p> <p>Ofwat must set price controls periodically (typically every 5 years) determining the revenue that water companies may collect from customers for receiving water and wastewater services provided within their monopoly areas, and the levels of service they undertake to provide. The final methodology for the forthcoming price control, PR24, will be published on 13 December 2022.</p>

Exclusion category	Summary of activity
	<p>On 15.11.22 Ofwat published its final determinations on in-period Outcome Delivery Incentives to reflect out-performance and under-performance by water companies for the period 2021-22 under the terms of their PR19 price control. This required some specific information submissions to ensure that the impact under the price control could be correctly determined.</p>
Casework	<p>As of 17.12.21 Ofwat had three open cases, all of which were closed during this reporting period. Nine new cases were opened during this period, one of which was closed, with eight remaining open. As of 23.11.22 Ofwat has granted 1 new appointment and 351 variations to companies' areas of appointment. Ofwat are processing a further 238 applications for new appointments and variations.</p>
Activity related to policy development	<p>Ofwat published the draft methodology for the PR24 price review in July 2022.</p> <p>Through RAPID, Ofwat consulted on the regulatory and commercial framework for strategic water resource solutions, publishing a consultation outcome August 2022.</p> <p>With other regulators forming part of RAPID, Ofwat published strategic regional water resource solutions guidance (April 2022) and assessments (March 2022 and May 2022).</p> <p>In September 2022 Ofwat published a consultation exploring how monopoly water companies could use innovation in household charges to support affordability and potentially other goals, such as greater water efficiency.</p> <p>In July 2022 Ofwat published a <a href="#">consultation</a> on proposals to strengthen the regulatory ring fence in water companies' licences.</p> <p>In March 2022 and October 2022 Ofwat made amendments to Tideway's licence, addressing the consequences of Covid-19.</p> <p>Throughout Autumn 2022 Ofwat engaged with companies and stakeholders to develop policy on a possible licence condition to better protect customers with respect to customer service provided by their monopoly provider.</p>

## Offshore Petroleum Regulator Environment and Decommissioning (OPRED)

Exclusion category	Summary of activity
Fines and Penalties	<p>OPRED has issued 2 Enforcement Notices under the Fluorinated Greenhouse Gases Regulations 2015, one Enforcement Notice under the Offshore Chemicals Regulations 2002 and 1 Civil Sanction under the Offshore Environmental Civil Sanctions Regulations 2018 totalling £25,000 (paid in full). The number of notices and civil penalties issued were broadly similar to previous years.</p>
Casework	<p>Thirty five Decommissioning Programmes for offshore oil and gas installations and pipelines under Section 29 of the Petroleum Act 1998 have been approved and the Offshore Decommissioning Unit have also supported the execution of a further 103 projects.</p> <p>4,622 permits and consents for offshore oil and gas environmental activities have been issued.</p> <p>No activities listed represent a change in the burden of regulation placed on business.</p>
Education, communications and promotion	<p>Environmental guidance was published covering: Stack Monitoring, and the preparation of Oil Pollution Emergency Plans (OPEP).</p> <p>Updated guidance on safety and environmental issues for licensing and operatorship has also been published. The guidance sets out the requirements for prospective licensees and operators to provide a number of submissions in support of their licence application, including submissions to enable the assessment of their safety and environmental capability.</p> <p>The guidance provides clarification and does not represent a change in the burden of regulation placed on business.</p> <p>OPRED participated in regular meetings with Offshore Energies UK (OEUK), the industry representative body, as well as giving numerous presentations to operators, industry bodies, UK and international regulators / other stakeholders and engaged in OSPAR's Oil Industry Committee (OIC) activity throughout the period.</p>
Activity related to policy development	<p>A public consultation was carried out on the new Offshore Energy Strategic Environmental Assessment (OESEA4) Environmental Report, which sought views on the recommendations contained within it in relation to future licensing/leasing of offshore energy developments on the UKCS. A government Response was subsequently published, and a Written Ministerial Statement made.</p> <p>One other consultation was held with industry relating to Stack Monitoring guidance.</p>

Office of the Immigration Services Commissioner (OISC)

Exclusion category	Summary of activity
<p>Measures certified as being below de minimis (measures with an EANDCB below +/- £5 million)</p>	<p>During the reporting period the OISC made minor amendments to the following existing guidance documents:</p> <ul style="list-style-type: none"> <li>• <b>Practice note on Judicial Review Case Management</b> - additional information provided regarding work permitted.</li> <li>• <b>Guidance note on Fees and Accounts</b> – instructions on client accounts and staged payments.</li> <li>• <b>Immigration Assistance Practice Note</b> – updated the Ministerial Exemptions</li> <li>• Minor amendments to the published '<b>Competence assessment marking criteria</b>' and '<b>Application for Registration</b>' document.</li> </ul> <p>A new guidance document '<b>Guidance for Advisers: Ukrainians seeking to enter or remain in the UK</b>' was produced explaining work that could be completed by advisers authorised at different OISC levels.</p> <p>Advisers are required to read the revised document and note the changes.</p> <p>During the reporting period the OISC undertook the following engagement activities:</p> <ul style="list-style-type: none"> <li>• An online non-compulsory conference.</li> <li>• A regulation awareness campaign - online video and posters and leaflets made available.</li> <li>• Liverpool focused campaign meeting with approximately 10 key stakeholders housing sector.</li> <li>• Initial engagement with regulated organisations regarding a new Code of Standards.</li> </ul> <p>The impact to business of these regulatory provisions is less than the de minimis threshold.</p>
<p>Casework</p>	<p>During the business year 1.4.21 to 31.3.22 there were:</p> <ul style="list-style-type: none"> <li>• 68 premises audits.</li> <li>• 3 prosecutions awaiting trial.</li> <li>• 2 convictions.</li> <li>• 4 tribunal appeals.</li> <li>• 124 appealable decisions.</li> </ul> <p>No activities listed in this section represent a change in the burden of regulation placed on business, except where these result from a separate qualifying regulatory provision that has been assessed.</p>

Exclusion category	Summary of activity
Education, communications and promotion	<p>During the BIT reporting period 17.12.21 to 16.12.22 there have been:</p> <ul style="list-style-type: none"> <li>• 4 guidance documents updated.</li> <li>• 1 guidance document produced.</li> <li>• 1 adviser conference.</li> <li>• 3 OISC newsletters published.</li> <li>• 1 social media campaign focusing on the importance of using a regulated adviser and what to do if you receive poor advise.</li> <li>• 2 targeted campaigns one related to Ukrainian nations and one related to the Chagossian community.</li> <li>• Series of posters in multiple languages.</li> <li>• 1 Facebook advert promoting OISC EUSS video.</li> </ul> <p>No activities listed in this section represent a change in the burden of regulation placed on business, except where these result from a separate qualifying regulatory provision that has been assessed.</p>
Activity related to policy development	Changes were made to policies around JRCM and what work can be undertaken these are included in the 'Measures certified as being below de minimis'.
Changes to management of regulator	The OISC has undergone a change in its internal structures including a move to fully remote working, but there has been no amendment to the regulatory obligations on business.

## Payment Systems Regulator (PSR)

Exclusion category	Summary of activity
Measures certified as being below <i>de minimis</i> (measures with an EANDCB below +/- £5 million)	<p>Access to cash – Replaced SD8 with SD12 which required LINK to continue implementing policies and practices to maintain the geographic spread of free-to-use ATMs, so that people and businesses continue to have access and confidence in the ATM network.</p> <p>Confirmation of Payee (CoP) – PSR took a range of interventions: SD11, SD11a, SD13 directed changes to ensure that the technical and system requirements were in place to ensure the Phase 2 technical environment.</p>
Pro-competition	<p><b>Card acquiring</b> - PSR consulted further on specific remedies to improve services and choice for merchants. PSR gave final decisions (SD14, SD15 and SD16) to improve card services and choice for businesses in card-acquiring services. These measures are designed to promote more effective competition between card acquirers and enable merchants to better compare prices and switch between providers.</p>
Fines and Penalties	<p><b>Prepaid cards market</b> - Fines of c£33m imposed against Mastercard, allpay, Advanced Payment Solutions, Prepaid Financial Services and Sulion after parties infringed competition law.</p> <p><b>Interchange fee regulation (IFR)</b> – we fined the NatWest Group £1.82m for non-compliance with the IFR</p> <p><b>Interchange fee regulation (IFR)</b> – we fined the Barclays Bank £8.4m for non-compliance with the IFR</p>
Casework	<p><b>General and Specific Directions and Payment Account Regulations 2015</b> - 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>
Education, communications and promotion	<p>PSR undertook communications and stakeholder management activity as part of fulfilling its role, and in relation to particular projects, including holding stakeholder meetings, workshop and publishing information. None of the information produced created any new regulatory standards that business will be expected to follow.</p>
Activity related to policy development	<p><b>APP scams</b> - PSR consulted on:</p> <ul style="list-style-type: none"> <li>• proposals requiring mandatory reimbursement to place clear financial incentives on PSPs to prevent APP fraud and improve protection for victims. PSR will report on the business impact of any regulatory requirements resulting from the consultation when they happen.</li> <li>• proposals on publication of APP scams data (Metric C).</li> </ul>

Exclusion category	Summary of activity
Changes to management of regulator	Aidene Walsh appointed as interim Chair of PSR and Kate Fitzgerald appointed as Head of Policy.



## The Pensions Regulator

Exclusion category	Summary of activity
Civil Emergencies	TPR continued the implementation of temporary easements on specific duties for those running a pension scheme in response to the Covid19 pandemic until 1.1.21.
Fines and Penalties	<p>In respect of the regulation of work-based pensions schemes during this reporting period:</p> <ul style="list-style-type: none"> <li>• TPR issued 93 penalty notices</li> </ul> <p>In respect of the regulation of the automatic enrolment duties under the Pensions Act 2008:</p> <ul style="list-style-type: none"> <li>• TPR issued 27,970 AE fixed penalty notices and 12,050 AE escalating penalty notices.</li> </ul>
Casework	<p>In respect of the regulation of work-based pension schemes, casework activities in this reported period included:</p> <ul style="list-style-type: none"> <li>• Three reports published on cases of non-compliance under section 89 of the Pensions Act 2004.</li> <li>• 32 demands for information under section 72 of the Pensions Act 2004.</li> <li>• TPR appointed 213 trustees to pension schemes, in accordance with their powers to do so.</li> </ul> <p>In respect of the regulation of the automatic enrolment duties under the Pensions Act 2008 casework activity included:</p> <ul style="list-style-type: none"> <li>• 43,045 compliance notices.</li> <li>• 29,866 unpaid contributions notices.</li> <li>• 169 inspections.</li> </ul> <p>During this reporting period a total of around 126,784 employers completed their mandatory declaration of compliance, to inform TPR how they have complied with their legal duties under the Pensions Act 2008.</p>
Education, communications and promotion	<p>TPR officials participated at around 24 speaking events and seminars and carried out circa. 40 campaigns on various topics.</p> <p>In respect of both the regulation of automatic enrolment and work-based pension schemes TPR published around 2,350 publications - new guidance, blogs, and press releases. These included:</p> <ul style="list-style-type: none"> <li>• Revised guidance on tendering for fiduciary managers and setting objectives for investment consultants.</li> <li>• Consolidated and simplified enforcement policy and updated prosecution policy.</li> <li>• DWP/TPR joint statement on transfer regulations.</li> <li>• Guidance on maintaining liability-driven investment (LDI) resilience.</li> </ul>

Exclusion category	Summary of activity
	<p>TPR received and processed circa. 40 complaints (of which 13 were withdrawn) and 69 Freedom of Information requests. No security incidents merited reporting to the ICO.</p> <p>None of the above set new expectations or standards for our regulated community.</p>
<p>Activity related to policy development</p>	<p>TPR's Equality, Diversity &amp; Inclusion action plan was published in September. This sets out TPR's intentions to produce guidance, survey trustees to get diversity data and engagement with schemes in supervision (all of those actions will occur from March 2023 onwards).</p> <p>Scams, transfers and decumulation; TPR updated communicating and reporting guidance to reflect new requirements to nudge DC savers to Pension Wise (stronger nudge).</p> <p>Pensions dashboards guidance published in June.</p> <p>Collective Defined Contribution code of practice came into force 1 August 2022. First application received in October 2022.</p> <p><b>Consultations:</b></p> <ul style="list-style-type: none"> <li>• TPR consulted on the draft content for a new code of practice for collective defined contribution schemes.</li> <li>• Enforcement and prosecution; TPR consulted on a revised policy and update to the prosecution policy.</li> <li>• Compliance &amp; Enforcement Policy published for consultation on 24 November.</li> </ul>
<p>Changes to management of regulator</p>	<p>On 1 April, the TPR reorganised our directorate structure, creating three new directorates – Governance, Risk and Assurance, Strategy &amp; Communications (the former Strategy &amp; Risk directorate was absorbed into these) and Digital, Data &amp; Technology.</p>

## Rural Payments Agency

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>RPA published updated guidance on a range of schemes administered under the retained Common Agricultural Policy/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 (sCMO).</li> <li>• Livestock identification (administered by British Cattle Movement Service).</li> <li>• Sustainable Farming Incentive.</li> <li>• Lump Sum Exit Scheme.</li> </ul> <p>These are all schemes administered under UK retained 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>

## Security Industry Authority (SIA)

Exclusion category	Summary of activity
<p>Measures certified as being below de minimis (measures with an EANDCB below +/- £5 million)</p>	<p>On 1.4.22 an updated close protection qualification was introduced for new applicants into the sector. The updated qualification features four new units covering a range of knowledge and personal skills. The existing units which cover the theoretical and practical aspects of working as a close protection operative have also been refreshed.</p> <p>The SIA also announced the introduction of top-up training for existing close protection operatives who apply to renew their SIA licence from 1.10.22. The new top-up qualification includes physical intervention skills, safety-critical content and terror threat awareness.</p> <p>The top-up requirements only affect existing licence holders when they come to renew their licence after 1.10.22. This means that these changes for existing licence holders will roll out over the course of the next three years.</p> <p>These changes, which were based on the views of expert stakeholders, reflect extensive research and discussion with the industry. The net cost to business per year of this measure, combined with previous changes introduced in 2021, was assessed at £1.4m.</p>
<p>Fines and Penalties</p>	<p>From 17.12.21 to 4.11.22 the SIA completed 25 prosecutions of individuals and 5 prosecutions of businesses. This resulted in £15,411 in fines, £1,010 in Victim Surcharges, and £18,618 in costs.</p> <p>Over the same period, confiscations in cases brought by the SIA under the Proceeds of Crime Act 2002 (POCA) totalled £99,827.</p>
<p>Casework</p>	<p>From 17.12.21 to 11.11.22 the SIA made approximately 132,472 licensing decisions, of which approximately 130,135 were decisions to grant a licence. It also suspended 888 licences and revoked 961 licences.</p> <p>As of 10.11.21 the SIA was conducting 118 criminal investigations, involving 75 businesses and 239 individuals.</p>
<p>Education, communications and promotion</p>	<p>The SIA sends out a monthly e-newsletter to approximately 17,000 industry stakeholders and a monthly e-newsletter to approved contractors to approximately 1,400 addresses. It has active engagement on social media channels (Facebook, LinkedIn, and Twitter).</p> <p>The SIA has promoted and informed licence holders and businesses about changes to the licence-linked qualifications to ensure that they are ready for them. This includes hosting regular Facebook Q&amp;A sessions and hosting a series of webinars – including two covering the new close protection licence training.</p>

Exclusion category	Summary of activity
	<p>The SIA has run a full-scale programme of engagement across the private security industry to support strategies initiated by the UK government and devolved nations to tackle violence against women and girls. It has published and promoted materials and advice to the wider security sector to raise awareness of the safety of women and girls in all environments, for example content on its web pages and a timely blog and social media content to coincide with the Freshers' period in September/October.</p> <p>In addition, the SIA has on its gov.uk pages:</p> <ul style="list-style-type: none"> <li>• Published new guidance on changes to close protection licence training and top-up training for existing licence holders.</li> <li>• Published updated guidance for the suppliers of security for events.</li> <li>• Promoted a new Skills Board, launched by the SIA and the City Security Council, to address the need for higher standards of professionalism in the private security industry.</li> <li>• Promoted the availability of the SIA's grant for good causes including the award of £113,000 from reparations.</li> </ul> <p>The SIA ran three exercises in partnership with local police forces, private security companies and nightclubs. These were real-time simulations of possible emergency scenarios (such as a terrorist attack or acid attack) involving actors and volunteers.</p>
Activity related to policy development	<p>The first volume of the report of the Manchester Arena Inquiry made two monitored recommendations for the SIA (and Home Office) in relation to the regulation of private security. The SIA has worked with the Home Office on a research project, and held workshops with businesses and industry associations, to inform consideration of these recommendations. This has led to the development of proposals that have been put to Ministers.</p>
Changes to management of regulator	<p>Two non-Executive Directors were appointed to the SIA Board in 2022.</p>

## Sports Grounds Safety Authority (SGSA)

Exclusion category	Summary of activity
Measures certified as being below de minimis (measures with an EANDCB below +/- £5 million)	Before the start of the 2022/23 season SGSA published a revised version of the all-seater enforcement approach document. Originally published ahead of the 2019/20 season, the document was updated in July 2022 to reflect the current season, most notably the wider roll out of licensed standing (see also policy development below).
Casework	SGSA issued a total of 92 annual licences in July 2022 for the licensing period 1 August 2022 to 31 July 2023, including six licences with specific licence conditions to allow those six grounds to operate licensed standing areas from the start of the 2022/23 season. SGSA issued a further one licence in August 2022 to Grimsby Town for the licensing period 1.8.22 to 31.7.23 following that club's promotion to the English Football League (EFL).
Activity related to policy development	<p>From January-June 2022, five SGSA licensed grounds, known as 'early adopters', were allowed to operate licensed standing areas on a trial basis following changes to their licence conditions introduced in w/c 6.12.21. Following independent evaluation by CFE research of this 'early adopters' programme, SGSA made small amendments to the SGSA licensed standing criteria and the Supplementary Guidance 01: Safe Standing in Seated Areas (SG01).</p> <p>The amended criteria and SGO1 were both published on 4.7.22. On the same day the government announced a change of policy to allow licensed standing across all all-seated grounds from the 2022/23 season onwards, subject to those grounds meeting the SGSA's licensed standing criteria.</p> <p>In July-September 2022 SGSA consulted on proposed new SGSA policy guidance regarding the existing exemption in the Private Security Industry Act 2001 for in-house staff at sports grounds undertaking Security Industry Authority (SIA) licensable activities. Informed by comments received, this new policy guidance was finalised and published in November 2022. This policy guidance seeks to ensure a consistent approach to the future application of the existing exemption by using SGSA's existing powers under the Football Spectators Act 1989 to direct certifying authorities to insert a model general safety certificate condition regarding the training and vetting of directly employed in-house stewards at those grounds.</p>
Changes to management of regulator	The terms of office for three Board members that were due to expire in February 2022 have been extended for a further year to February 2023.

## Veterinary Medicines Directorate (VMD)

Exclusion category	Summary of activity
Casework	<p>The VMD issued 111 marketing authorisations for veterinary medicines, and 35 animal test certificates for clinical trials for veterinary medicines.</p> <p>The VMD issued 227 warning letters and 540 advisory letters relating to illegal veterinary medicines. The VMD also issued 24 seizure notices, 1 improvement notices and referred 9 cases to our investigation team for further investigation. All these cases deal with non-compliance with the Veterinary Medicines Regulations 2013 by businesses or the general public.</p> <p>The VMD carried out the following inspections:</p> <ul style="list-style-type: none"> <li>• 174 Feed Business Operators.</li> <li>• 248 SQP retailers.</li> <li>• 560 Vet practice premises.</li> <li>• 40 veterinary medicines manufacturing sites.</li> <li>• 39 veterinary medicines wholesale dealing sites.</li> </ul> <p>The VMD issued 36,422 import certificates (certificates to authorise veterinary surgeons to import unauthorised medicines).</p> <p>None of the activities listed in this section represent a change in the burden of regulation placed on business.</p>
Activities related to policy development	<p>The VMD has carried out a series of workshops with stakeholders to discuss our proposals for changes to the Veterinary Medicines Regulations 2013.</p>

## Mitigating disproportionate impacts on smaller businesses

The Small Business, Enterprise and Employment Act 2015 requires the government's Business Impact Target Report to describe the actions taken by government departments to mitigate any disproportionate economic impacts on activities carried on by smaller scale businesses (including voluntary or community bodies) from Regulatory Provisions which have come into force during the reporting period. This is set out in Table 8.



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

Department / Regulator	Title of measure in IA	Description of mitigating action
Department for Business, Energy and Industrial Strategy	Raising the non-domestic Smart Meter consumer offer.	<p>The impact of the policy on small and microbusinesses, as consumers who have had a smart meter installed, is expected to be positive. This has the potential to deliver substantial benefits to them in terms of energy savings, which would only be partly offset by suppliers charging for the most sophisticated, value-added tools they offer, and empowerment in controlling their energy use. In the long term, this can allow them not only to save on their energy bills but also to make better business decisions, choose tariffs that better align to their needs, and increase their own awareness of their environmental footprint.</p> <p>The impact of the policy on small energy suppliers is more uncertain, at least in the short term. It has not been possible to source complete data that distinguishes energy suppliers by their exact number of employees and so, given the absence of data on the number of employees by energy supplier, it has not been possible to undertake an assessment of the effect of this policy on small and micro businesses using the most typical definition of small and micro businesses (which are those with between 11-50 employees and 10 or fewer employees, respectively).</p>
Department for Business, Energy and Industrial Strategy	The National Minimum Wage (Amendment) Regulations 2022.	<p>The government has recently announced further measures to support businesses. The government is reducing the burden of business rates by over £7 billion over the next five years, including by freezing the business rates multiplier for a further year and providing almost £1.7 billion in further business rates relief for eligible retail, hospitality, and leisure businesses in England for 2022-23. Together with Small Business Rates Relief, this means that over 90% of retail, hospitality and leisure businesses will receive at least 50% off their business rates bills in 2022-23.</p>
Department for Business, Energy and Industrial Strategy	Mandating climate-related financial disclosures by publicly quoted companies, large private companies and limited liability partnerships.	<p>No small or micro companies are in scope of the policy under the preferred option, by virtue of the thresholds selected, which are based on company turnover and the number of employees. Small and Micro Businesses (SMBs) are therefore not targeted by the incoming regulations.</p>

Department / Regulator	Title of measure in IA	Description of mitigating action
Department for Digital, Culture, Media & Sport	The Electronic Communications (Security Measures) Regulations 2022.	The regulations include a micro-business exemption. Any disproportionate impact on small businesses, is expected to be mitigated by no expectation to follow the detailed requirements set out in the code, proportionality requirements built into the Act and limited oversight from Ofcom.
Department for Transport	Residential charging infrastructure provision (Building regulations).	<p>The preferred approach was not to grant exemptions for SMBs as this would contradict the government's policy decision to ensure charge points are rolled out as quickly as possible. The impact assessment therefore considers a number of ways that costs may be mitigated, through either government support, or due to characteristics of the market which may allow SMBs more price setting power. These actions are detailed below.</p> <p><i>Investment - Home Building and ENABLE Funds:</i> The government's £4.5 billion Home Building Fund is designed to be a flexible source of loan funding open to small developers and housebuilders.</p> <p><i>Passing on costs:</i> As all housebuilders are subject to the same regulations, they can influence landowners to reduce the asking price, otherwise they to have the possibility to pass on additional costs to consumers.</p>
Department for Transport	The Electric Vehicles (Smart Charge Points) Regulations 2021.	The IA provides a sufficient SaMBA and expects no disproportionate impact on small or medium enterprises.
Department for Levelling Up, Housing and Communities	Approved Document L Volume 1 – Conservation of fuel and power – Dwellings.	Most businesses are aware of the practice of periodic updates to the regulations and therefore would be expecting the increase in standards, hence an exemption for SMBs is not required. There is no precedent to exempt SMBs from uplifts to the Building Regulations. The industry-led Future Homes Hub plays a key role in supporting SMBs by coordinating pilot developments and prototypes. It also promotes closer working between, carrying out research and analysis into delivery challenges and producing technical guidance. Of particular use to SMBs will be the specialist guidance that the Hub will produce, which will focus on the practical ways in which SMBs can meet the regulations.

Department / Regulator	Title of measure in IA	Description of mitigating action
Department for Work and Pensions	Occupational Pension Schemes (Charges and Governance) (Amendment) Regulations 2022.	The proposed regulations will impact any provider who operate a qualifying scheme used for workplace pensions and who levy a flat fee. This may include small and micro pension businesses although most small businesses do not administer their own pension schemes, but instead use an external provider to meet their duties.
Department for Work and Pensions	The Pensions Dashboard Regulations 2022.	To minimise the impact of the requirements on small businesses (employing up to 50 people), the approach taken is to have a staging timeline with larger schemes staging earlier than smaller schemes.
Environment Agency	Water abstraction e-alerts.	<p>There are around 20,000 abstraction licences in England and approximately 20% have hands off conditions. These licences are held by a wide variety of businesses, including sole traders, limited and multi-national companies. Many sectors hold licences, including industry, charity, agriculture, power, and water supply.</p> <p>Abstractors can choose whether to receive a water abstraction alert by post or email. The default is email, but some abstractors do not use email, so a posted version must also be provided.</p>
His Majesty's Treasury	The Russia (Sanctions) (EU Exit) (Amendment) (No. 12) Regulations 2022 [ban on new outward investments to Russia].	The recommended policy option of a comprehensive ban on new outward investments will apply to small and large business in the same way, as they will all have to comply with these regulations. The regulations do not include any exemptions for small and micro-businesses ('SMBs'). Exemptions for SMBs would reduce the effectiveness of the measures, as they would allow some UK businesses to continue to support the Russian economy through investment.
Payment Systems Regulator	Extending Confirmation of Payee.	Following an initial consultation, all participants were required to implement 'send' and 'respond' capability. From the consultation, it was evident that not all firms had a business need to implement both capabilities and that, by requiring them to do so, would disproportionately impact smaller business, both in terms of cost and resourcing. The requirement has been amended so that firms only need to implement 'respond' capability. This means that implementing a Confirmation of Payee system will not be as resource intensive as originally proposed, and consequently, the costs to businesses will be lower.

Department / Regulator	Title of measure in IA	Description of mitigating action
		<p>Implementation of a Confirmation of Payee system will help firms, including smaller ones, identify authorised push payment scams. In the long term, firms will not need to spend as much time and expense that they otherwise would have to investigating and pursuing claims made by customers that are victims of authorised push payment scams. The introduction of Confirmation of Payee systems will also help firms to avoid the need to reimburse the customer for the lost funds.</p>

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