

The Patent Regulation Board and the Trade Mark Regulation Board

Agenda

Thursday 7 November 2024 at 1.00 pm

Orwell Room, 20 Little Britain, London EC1A 7DH

1. Apologies
2. Notification of any conflicts of interest

Items for decision/discussion

3. Minutes of September 2024 meeting and matters arising
4. Education:
 - a. Scoping the Education Review (SG)
 - b. Approach to PEB re-accreditation requirements (SG)
 - c. Approach to PEB Foundation Certificate review (FG/SE)
 - d. European Qualifying Exams (SE)
 - e. Apprenticeships (FG/SE/SG)
 - f. Report from EWG on 16 October (KK)
5. Feedback from strategy morning (Chair) – no paper
6. IT system update (SE) – no paper
7. Technology & Innovation Working Group meeting (FG, VS, SE)
8. Regulatory Performance Assessment – LSB information request (VS)
9. IPReg Limited Articles of Association (KD/FG) – no paper
10. Complaints update (SE)
11. IP Inclusive funding request (FG)
12. CEO's report (FG)
13. Full Risk Register (FG)

Items to note

14. Action Log (FG)

15. Finance Report (KD)

16. Regulatory Statement

Confirmation that, except where expressly stated, all matters are approved by the Patent Regulation Board and the Trade Mark Regulation Board.

Board meeting 7th November 2024

Scoping IPReg’s planned education review

Agenda item: 4a

Author: Sally Gosling, Head of Education Review

This paper will be published. The Annexes will not be published (policy development).

This paper is for discussion.

Summary

This paper shares initial ideas on progressing IPReg’s planned education review. It is intended to support Board discussion on IPReg’s strategic ambition in progressing the review. This includes in terms of the review’s intended scope, outputs and outcomes. The paper also raises issues relating to

- What could potentially be achieved through the review.
- Defining a realistic timeframe to complete the review and implement changes arising from it.
- Managing inter-dependencies in how the review is run.
- Mitigating key risks in how the review is conducted and to achieve its intended outcomes.
- Progressing effective stakeholder communication, collaboration and engagement to optimise the success of the review.
- Addressing current barriers to entry to the professions and wider equality, diversity and inclusion (EDI) issues, recognising this forms a key rationale for the review.
- Specific areas and issues for potential exploration within the review.

Recommendation

The Board is invited to agree to the production of a full project initiation document (PID).

Risks and mitigations

Financial	Conducting the review will have financial implications for IPReg. These will be itemised in the full project initiation document (PID) for the Board’s consideration and sign-off. The PID will include some options relating to the scope and scale of review components, with an indication of their relative financial implications.
[REDACTED]	[REDACTED]
Reputational	How the review is conducted and changes resulting from it will be critical to upholding IPReg’s reputation. Planning and managing effective stakeholder communications and engagement will be central focuses within the review.
Resources	IPReg has created the Head of Education Review role to progress the project. Some additional resources will be needed to undertake the review at sufficient pace and to secure specific expertise to progress particular project components. Resources will also be needed to commission independent consultation exercises on proposals generated by the review. The full resource implications of progressing the review will be itemised in the project initiation document.

Purpose of the paper

1. This paper outlines, for discussion, how IPReg might best progress its planned education review. It shares early thinking on the review's potential ambition, scope and scale are defined, how it should be conducted, and a notional timeframe for its staging and completion. The paper was shared with the Education Working Group for discussion at its meeting on 16th October 2024.
2. The paper is designed to support the Board to do the following:
 - Consider the goal of the education review, what is due to be achieved through the exercise, what will be key to its success, and what it should not or cannot cover.
 - Provide feedback on these early suggestions on what the planned review should cover and address, including to identify where modifications and/or additions are needed and to inform the paper's development as a full project initiation document (PID).
 - Guide how recommendations on plans for IPReg's education review, and the PID, are submitted to the Board for consideration and sign-off.
3. The following annexes provide some additional information:
 - **Annex I:** summary of what would potentially be achieved through the review and its intended benefits for different stakeholders.
 - **Annex II:** key reference points in undertaking the review.
 - **Annex III:** potential areas for the review to explore.
 - **Annex IV:** notional timeline for conducting the review.
 - **Annex V:** initial thinking on risk management.
4. Key considerations for the Board are as follows:
 - What are the strategic priorities in enacting the review (both to address current problems and risks and to seize opportunities to do things differently)?
 - What is the appetite for change (in terms of the nature and scale of possible change and potentially to revisit issues that have previously been considered, but not led to change)?
 - What is the feasible scope and scale of change (including to address the needs of both professions within a single review)?
 - What are the biggest risks attached to current arrangements?
 - What are the biggest risks attached to enacting change (in terms of how the review is progressed and its potential outputs and outcomes)?

Purpose of the review

5. The review's intended broad purpose is to consider whether and how IPReg should update how it exercises its regulatory functions relating to education and therefore how it admits individuals to registration as a patent or trade mark attorney. In line with this, it seems logical that the review should address how an updated approach to enacting IPReg's education role can achieve the following:
 - Demonstrate fitness for purpose, including in the context of changing needs.
 - Uphold high educational and professional standards.
 - Sustain access to the services of patent and trade mark attorneys who demonstrate professional capability, high levels of expertise and client-centred professionalism.

- Win and sustain the trust and confidence of all stakeholders.
- Adhere to best practice in contemporary approaches to professional and higher education and assessment.
- Address equality, diversity and inclusion issues, including current barriers to entry to the professions.
- Demonstrate proportionality, fulfilment of IPReg's delegated regulatory functions, and compliance with LSB requirements.
- Take due account of previous consultation exercises (undertaken both by IPReg and other organisations) and their findings and recommendations (even if not adopted and implemented).

6. In defining the review's specific purpose, it will be necessary to assert the following:

- **The review's intended outputs** in terms of tangible deliverables; e.g. it would seem logical for these to include
 - **Updated IPReg competency or capability frameworks** that define the respective threshold requirements for registration as a patent and trade mark attorney and that accredited routes to registration support individuals to develop and demonstrate.
 - **An updated IPReg accreditation handbook** (or equivalent) that sets out IPReg criteria and processes for accrediting routes that, on successful completion, provide individuals with eligibility to apply for registration with IPReg as a patent or trade mark attorney.
 - **An updated approach to how IPReg enacts its broader quality assurance role** in terms of annual reporting requirements and re-accreditation of provision.
 - **A timeline for defining how IPReg will enact changes** arising from the review, including to manage the 'run-out' of existing arrangements and the lead-in to new arrangements being implemented and going live, crucially to give due notice to education/examinations providers, candidates and employers.
- **The review's intended outcomes**, in terms of what it is intended to achieve and the difference it is due to make; e.g. it would seem logical for intended outcomes to have a focus on achieving the following:
 - **Robust routes to individual IPReg registration** that assert and uphold high education and professional standards and follow best practice in professional and higher education approaches to adult learning and assessment.
 - **High-quality, up-to-date pre-registration education/assessment provision** that reflects changing professional/workforce, employer/service delivery and consumer needs, including those generated by innovations in technology and the trans-national nature of attorney practice, and that include a more overt emphasis on client-focused professionalism and ethical practice and transparency.
 - **More inclusive routes** into the professions (potentially through use of apprenticeships).
 - **More sustainable routes** into the professions, informed by evidence and projections of workforce supply and demand trends.
 - **An approach to enacting IPReg's education role that fully adheres and contributes to enacting its new regulatory arrangements** and reflects current best practice across regulators more broadly.

- **Up-to-date requirements across the continuum of pre- and post-registration education** within the professions, including to
 - Reflect current and projected professional and service delivery needs, including from employer and client perspectives.
 - Recognise trends in individual scope of practice, role and subject expertise requirements in line with the above.
 - Support trainees to prepare to engage with IPReg's new CPD requirements as future registrants.

Scope of the review

7. The defined scope of the review will need to do the following:

- Align with the review's agreed strategic ambition and intended outputs and outcomes.
- Provide clarity on what will be considered within the review and the rationale for this.
- Provide clarity on the review's key reference points (internal and external to IPReg), inter-dependencies and wider contextual factors.
- Be overt about elements and issues that will fall outside the review's parameters; e.g. because they fall outside IPReg's remit (but that may usefully be flagged up to be more appropriately addressed by other stakeholders), may not be realistic, practical or beneficial to consider, or may be logical to defer for consideration to potential follow-up activities to the project.
- Manage key inter-dependencies, both in relation to other components of IPReg activity and external developments (see para. 11 and 12).

8. Key components for inclusion in the review's scope are suggested below.

- Reviewing and updating IPReg's educational standards (requirements for accreditation).
- Reviewing and updating how IPReg exercises its quality assurance role (accreditation process).
- Reviewing and defining the provision to which IPReg applies its education requirements (see below).
- Addressing equality, diversity and inclusion (EDI) issues, with a focus on understanding and finding solutions to current barriers to entry to the patent and trade mark attorney professions.
- Engaging with the LSB on its processes and timeframes for seeking and securing its approval of the review outcomes, including by providing and discussing regular project updates with LSB representatives at key stages of the review and from early in the project.

9. Suggestions of more specific areas of focus in the review (as part of addressing those listed in para.8) are listed below.

- Understanding issues and trends in current education arrangements and entry into the professions.
- Identifying gaps in intelligence and data and ways to address these.
- Understanding changing needs in the professional practice of patent and trade mark attorneys, including UK and European practice requirements.
- Reviewing and defining the threshold or 'day-one' capability requirements for patent and trade mark attorneys, taking account of changing needs.

- Reviewing the academic level at which the updated threshold requirements for patent and trade mark attorneys sit and how this informs how IPReg defines its accreditation requirements.
- Appraising the risks attached to current routes into the professions (including the potential vulnerability of having singular routes to qualification and registration for each of the professions).
- Appraising the relevance and application of different education and assessment models for the professions, informed by current best practice in higher and professional education.
- Appraising the potential value, significance and impact of apprenticeship developments within one or both the professions.
- Reviewing how IPReg exercises its quality assurance role, including in how it most effectively and efficiently performs its regulatory function through what, when and how it accredits provision, again, informed by current best practice.
- Optimising the continuum between pre- and post-registration education and between threshold requirements for registration and registrants' ongoing professional development, according to scope of practice, role and workforce (employer, service delivery and client) needs.
- Optimising the approach to addressing shared and distinct needs within the patent and trade mark attorney professions.
- Understanding the perspectives of current and recent trainees, employers, education and examination providers, and consumers relating to all the above.
- Sequencing and coordinating activity to fulfil the review's purpose and intended outcomes, with a view to optimising how it achieves its strategic aims in the most effective, efficient and sustainable ways.
- Minimising and mitigating the risks attached to change (whatever the scale of logical change enacted by the review), including to fulfil the imperatives of
 - o Maintaining the stability and credibility of existing routes to registration as new arrangements are developed, approved and prepared for implementation, including safe arrangements for the existing routes' run-out.
 - o Paving the way for a smooth transition to new arrangements, including by building and maintaining stakeholder trust and confidence by ensuring clear, realistic and fair lead-in times.
 - o Upholding the public interest and stakeholder confidence in both the outgoing and incoming arrangements and requirements.
- Reviewing and updating the IPReg accreditation handbook, informed by all the above.

10. **Annex III** provides a further, more in-depth itemisation of potential topics for inclusion in the review's scope.

Managing inter-dependencies

11. A number of inter-dependencies will need to be addressed in how the review is defined and managed. Key ones are outlined below, recognising there are others and that new inter-dependencies will arise, with all requiring careful management.

- Ongoing activity to enact IPReg's current (re)accreditation and annual reporting requirements to uphold education standards and fulfil IPReg's regulatory role and functions.
- Specific elements of live IPReg reaccreditation activity, including

- Management of the exercise to reaccredit PEB's final diploma examinations, with assurance needed by March 2025 that the 19 requirements and two recommendations attached to reaccreditation have been appropriately addressed.
- The consideration in 2025 of PEB's foundation certificate examinations for reaccreditation.
- Changes to the PEB foundation diploma examinations being due to go live for candidates from October 2025 (see above).
- Changes to the European Qualifying Examinations (EQE) going live for candidates from 2025 and the need for IPReg to explore equivalence between respective components of the updated EQE and PEB final diploma examinations.
- The planned review and updating of IPReg's accreditation handbook.
- The current consideration by a nascent (employer-led) trailblazer group of whether and how a degree apprenticeship could form an additional route to qualification or a partial route to qualification as a patent attorney, including as part of initiatives to widen entry to the profession.
- Implementation of IPReg's diversity action plan, with this having strands of activity that relate directly to fulfilling IPReg's education role.

12. It is proposed that IPReg takes a clear, transparent approach to managing accreditation-related activity under current arrangements, as well as its involvement in others' activity and external developments, during the education review. The approach outlined below is intended as a basis for managing the identified inter-dependencies.

- IPReg continues to enact its accreditation role to manage live business and provides clarity and assurance on this being the case as in how it communicates and engages with key stakeholders (e.g. PEB, CIPA, CITMA and accredited education providers) on its review plans.
- IPReg continues to explore the relationship between the new EQE and the PEB final diploma examinations, once there is full clarity on the changes to be made to each for 2025 onwards and therefore how the two sets of updated examinations
 - Each map to IPReg's competency framework for patent attorneys.
 - Map to one another, such that the scope for exemptions from sitting specific PEB examinations can be determined on the basis of trainees' successful completion of specific EQE modules.
- IPReg continues to engage with apprenticeship developments, including to ensure clarity on its role and, in part, depending on whether the focus of an apprenticeship(s) is on full or partial qualification towards registration as a patent attorney.
- IPReg continues to implement its diversity action plan, including those aspects that relate directly to how it fulfils its regulatory role and functions relating to education.
- IPReg distils learning from all the above to inform its approach to the education review (e.g. using learning from the progression of the apprenticeship proposal to consider whether and how it should continue to accredit education provision that provides part-qualification to becoming a patent or trade mark attorney).
- IPReg delays a substantive update of its competency frameworks and accreditation handbook until core components of the review are complete and decisions can be made on how it should enact its future education role, with production of the updated frameworks and handbook (or equivalent resources) forming key outputs from the project (see **Annex III**, points H and N).

- IPReg considers if minor updates or additions (rather than material changes) are required to its current handbook to provide due clarity on its current arrangements while the education review takes place, informed by clarity on how such changes could be enacted in line with section 21 of the Legal Services Act, 2007.

Conducting the review

13. How the review is conducted will be critical to its success. This includes to build and maintain stakeholder trust and confidence in the exercise as a process, as well as in its outputs and outcomes. One approach would be to formulate and share a set of principles to guide how the review will be run. These might logically focus on the following kinds of issues:

- Upholding a focus on IPReg's regulatory role and functions and delivery against its strategy and business plan and in line with its delegated responsibilities under the Legal Services Act, 2007.
- Being clear about the nature and scale of the review's ambition and the reasons for this.
- Addressing current barriers to entry to the professions.
- Maintaining stability in how IPReg fulfils its regulatory functions, including while the review is being undertaken and during its early implementation.
- Maintaining stability in current education/examination provision and how candidates are enabled to prepare for qualification as a patent or trade mark attorney and admission to IPReg's register.
- Providing assurance of a pragmatic timeline for enacting change, with due notice of the run-out and lead-in arrangements relating to changes in IPReg's requirements.
- Optimising opportunities for stakeholder collaboration and engagement at all review stages (see below).
- Building in arrangements for project evaluation, including to measure the extent to which its outputs and outcomes achieve their intended value and impact.

Stakeholder communication, collaboration and engagement

14. A key imperative within how IPReg conducts the review is that this is done in ways that seek to secure and maintain stakeholder confidence in the review process and its outputs and outcomes. This will include seeking to ensure the following:

- The purpose and scope of the review are clear, justified and justifiable, including in the context of potential contention, challenge, and divergence of views.
- Opportunities for engagement are clear, accessible and inclusive, across the life of the project and during its early implementation and evaluation.
- Approaches to testing ideas, sharing proposals and consensus-building are deployed as key features of the project, while retaining a focus on achieving the review's intended strategic ambition.
- Stakeholders are enabled to feel they have a voice and are listened to within the review.
- Communication on the review is clear, transparent and accessible, including through providing explanations of its purpose and aims and regular updates, progress reports and indications of next steps and timeframes (using different media and channels).

15. In support of the above, the following steps are planned:

- Completion of an initial stakeholder mapping and analysis.

- The development of a stakeholder communication and engagement management plan, informed by the stakeholder mapping and analysis and taking account of different needs.
- The implementation of approaches to stakeholder engagement that promote collaboration and involvement, including approaches to networking and seeking input and feedback (e.g. on an iterative basis throughout the review, including through formal calls for evidence and formal consultation on the planned changes).
- A plan for disseminating and sharing the approved outcomes of the review, taking account of different stakeholder needs (e.g. relating to 'run-out' and 'lead-in' arrangements during a transition period).
- Drawing on learning from what worked well within IPReg's regulatory arrangements review, including approaches to stakeholder engagement and for progress-reporting to the LSB.

16. As a minimum, it seems essential that arrangements include opportunities for stakeholders to comment, input and provide feedback via the following:

- Regular stakeholder meetings (individual and collective)
- Information sharing via existing and new channels
- Collaborative workshops and focus group sessions
- Calls for evidence
- Formal consultations
- Dissemination sessions on findings, proposals, outputs and implementation plans
- Feedback channels (using different forums and media).

Outline of potential review phases and timeframe

17. To fulfil its intended purpose, it is likely that the scope of the review will be significant. In turn, this will require a phased approach to manage activity within a realistic timeframe and available resources and to demonstrate the intended commitment to progress activity collaboratively and inclusively with stakeholders. **Annex IV** provides an outline of suggested phases of activity from October 2024 through to December 2029.

Resource requirements

18. Detailed consideration will need to be given to how available resources are drawn upon and deployed to manage, conduct and support the review at a realistic, sustainable pace to meet needs. In addition to the IPReg staff team, the intention is to draw on capability and capacity to which IPReg has access for progressing specific components of project activity. This includes to explore and analyse issues in depth, manage consultation exercises and their analysis, and draft new regulatory arrangements for enacting IPReg's education role and functions.

Risks and issues management

19. **Annex V** provides an initial consideration of risk management within the planned review. A full project-specific risk register will need to be developed and used as a project management tool for the duration of both live project activity and the early implementation of its outputs and outcomes. In turn, this will need to feed into the strategic risk register kept under review by the IPReg Board.

Governance and project management arrangements

20. It is planned that the full project initiation document (PID) for the review will itemise the following:

- Set-up and project management arrangements.
- Project milestones and a more developed timeline to progress activity to deliver against these.
- Project resource requirements.
- Arrangements for progress reporting, risk management and decision-making.
- Governance arrangements, including the suggested formation of a project steering group with defined terms of reference.
- Arrangements for ensuring compliance with wider IPReg governance processes and the use of governance tools (e.g. IPReg's strategic risk register, business plan and assurance mapping against LSB standards).
- An initial stakeholder mapping.

Suggested next step

21. Informed by Board discussion on this paper, it is planned that the key next step is to produce a full project initiation document.

Sally Gosling
IPReg Head of Education Review
31st October 2024

Board meeting 7th November 2024

Planned process to consider PEB's response to IPReg (re)accreditation requirements

Agenda item: 4b

Author: Sally Gosling, Head of Education Review

This paper is for discussion. It will be published, including the Annexes, after IPReg meets with PEB on 13th November 2025.¹

Summary

This paper updates the Board on the planned approach to considering PEB's response to the requirements and recommendations attached in 2022 to IPReg's (re)accreditation of the final diploma examinations (FD exams). It outlines how IPReg plans to do the following:

- Manage the key next stage of its 2022 accreditation exercise, with a view to ratifying IPReg's accreditation of the FD exams.
- Provide clarity to PEB on the process to determine the final outcome of the 2022 exercise (including the potential need for any additional next steps).
- Provide assurance to all parties that the process is robust, proportionate and fair.

Recommendation

The Board is invited to approve the progression of the process outlined in the paper.

Risks and mitigations

Financial	The outlined process will involve IPReg appointing two assessors to undertake the review. The model for managing the cost of this is due to be discussed with PEB.
Reputational	Completing the (re)accreditation of the FD exams is a high-stakes exercise for all parties, including IPReg, and key stakeholders (including exam candidates and their employers). The planned approach to conducting the review is designed to uphold IPReg's reputation. This includes by balancing rigour and proportionality, ensuring compliance with IPReg accreditation requirements, seeking to progress and achieve a final outcome in a timely way, and engaging in clear, transparent communications with PEB throughout the process.
Resources	IPReg staff resources will be deployed to manage the planned process. Two assessors will need to be appointed to undertake the review and to compile a report (see financial risks and mitigations above).

¹ The meeting with the PEB was on 13 November 2024. After the Board meeting the CEO decided that the Annexes should not be published as they are draft documents and policy development.

The planned process

1. IPReg needs to review PEB's response to the requirements and recommendations attached to the (re)accreditation of the final diploma examinations (FD exams) in 2022. The deadline for PEB's response to the requirements and recommendations is March 2025. The purpose of the planned review exercise is to consider whether and how IPReg's 19 requirements have been met and whether and how the two IPReg recommendations have been addressed. This is with a view to ratifying IPReg (re)accreditation of the FD exams. The outlined approach is intended to manage the high-stakes nature of the exercise for all parties.
2. The focus of the review will be to consider changes that PEB has made over the last two years that are relevant to meeting IPReg's requirements and addressing its recommendations. Consideration will need to be given to the potential relevance of wider changes PEB has made or is making in response to one or more of the following:
 - The recommendations of the Mercer review.
 - PEB's current review and update of the FD exams.
 - Recommendations in the Quality Assurance Agency's 2024 report on PEB's exams.
 - Feedback from candidates and other stakeholders, or other sources of data and intelligence.
3. The planned approach to the review is designed to do the following:
 - Adhere to IPReg's published approach to (re)accreditation, recognising that
 - o The process needs to align with what is set out in IPReg's accreditation handbook, but is not fully defined by the handbook.
 - o The way it is managed needs to align with how IPReg enacted the accreditation exercise in 2022.
 - o The exercise needs to achieve a final outcome, potentially through the progression of some additional steps.
 - Provide clarity and assurance to PEB about the purpose, scope, parameters and possible outcomes of the review exercise.
 - Manage the number of requirements (19) attached to PEB (re)accreditation and their nature, scope and scale (individually and collectively).
 - Form an approach that is robust, proportionate and fair for all parties and stakeholders.
 - Provide support and guidance to PEB on engaging with the review exercise.
 - Provide support and guidance to IPReg assessors on undertaking the review exercise on IPReg's behalf.
 - Provide clarity on the outcome of the exercise, and any required next steps, for all parties and stakeholders.
4. The planned approach is intended to ensure that both the process and its outcome
 - Maintain stakeholder trust and confidence in IPReg's approach to accreditation.
 - Maintain stakeholder trust and confidence (including IPReg's own) in PEB's FD exams.
 - Help to maintain stability in PEB's delivery of the FD exams for exam candidates and their

- employers, as well as for PEB, CIPA and IPReg.
 - Provide assurance to the LSB that IPReg continues to fulfil its education role fully and appropriately, in line with how its regulatory functions are defined and approved.
 - Identify useful learning points to inform IPReg's education review.
 -
5. Conversely, the planned approach is designed to avert the risks outline below.
- IPReg fails to provide sufficient clarity on what PEB needs to do for the FD exams' accreditation to be ratified.
 - The process has to be extended to achieve a final outcome (e.g. to secure the required information on whether and how the requirements have been met), impacting on PEB's delivery of its updated FD exams.
 - IPReg is perceived to have changed what PEB needs to do in order for the FD exams' accreditation to be ratified.
 - IPReg is deemed to have failed to fulfil its regulatory functions relating to education.

Components of the planned process

6. The planned stages of the exercise are outlined in **Annex I**. The activities involved are further itemised in **Annex II**. A notional timeline (subject to discussion and agreement with PEB) is set out in **Annex III**. The agreed timeline will need to balance the following potentially competing factors:
- Adherence to the original timeframe set for PEB's response to the requirements and recommendations, including the March 2025 deadline.
 - The feasibility for PEB of engaging with the process stages and meeting the original deadline, including in the context of PEB's progression of changes to the FD exams ahead of their delivery in October 2025.
 - The feasibility of enacting the process, achieving a final outcome, and PEB being able to deliver the updated FD exams from October 2025, informed by PEB's required lead-in time to prepare for the exams' delivery.
7. The above points affirm the importance of discussing and agreeing the timeline for the planned process with PEB.

Engagement with PEB

8. It will be essential that IPReg maintains clear lines of communication and engagement with PEB in enacting the review exercise. This includes ahead of the review process going live, while it is underway, and once there is an outcome from it. This includes to seek to ensure the following:
- The purpose, nature and stages of the process are clear.
 - The timeline for enacting the review is feasible (see above).
 - IPReg expectations of PEB in the process are clear, including what needs to be done by when.
 - PEB has confidence in the process.
 - PEB has confidence in the outcome, including if any additional required steps arise from it.

9. IPReg plans to enact the approach outlined below to achieve the above:

- It is meeting with PEB representatives on 13th November.
- It will share guidance with PEB on the process after the November meeting, informed by specific queries and points of discussion in the meeting.
- It will seek to hold regular meetings with PEB while the process is running to address any queries and with a view to managing activity within the agreed timeline.
- It will encourage PEB to maintain contact throughout the process on any specific queries or concerns.

Managing the possible outcome of the exercise

10. It will be important to be clear about the possible outcome of the review exercise before it is enacted in order to manage different potential scenarios. This includes to maintain engagement and transparency in the process, and to mitigate the risks outlined in paragraph 5. Possible outcomes of the exercise that will need to be managed are outlined in **Annex IV**.

Summary

11. The Board is invited to consider and approve the outlined approach to progressing the review exercise.

Sally Gosling
Head of Education Review
31st October 2024

Board Meeting 7 November 2024

Technology & Innovation Working Group

Agenda Item: 7

Author: Fran Gillon, CEO (fran.gillon@ipreg.org.uk); Shelley Edwards, Head of Registration (shelley.edwards@ipreg.org.uk)

This paper is for decision

Summary

1. The Technology & Innovation Working Group (“TIWG”) met on 2 October 2024. Attendees were Board members Gary Wilson, Justin Bukspan and Samantha Peters and Fran Gillon, Shelley Edwards and Victoria Swan, together with external consultant, David Bish.
2. This working group has been set up to take forward IPReg’s work on data, innovation and emerging technologies.

Recommendation(s)

3. The Board agrees:
 - a. To combine the former Data Working Group with TIWG to form one working group, the Technology, Data and Innovation Working Group to take forward all related matters.
 - b. To appoint a Board member as Chair of the TIWG
 - c. To endorse the proposed Terms of Reference

Risks and mitigations

	Risk	Mitigation
Financial	David Bish, external consultant will attend each meeting at previously agreed rates. There may be additional costs if we engage an external research company to support further work	
Reputational	Emerging technologies, including AI, has been the subject of recent guidance published by the LSB which requires regulators to achieve 3 outcomes through its regulatory levers. Failure to address this guidance through IPReg’s regulatory activities will damage IPReg’s	This group, through its planned activities, will create a proportionate work plan which addresses the LSB’s guidance and adds value to the regulated community

	reputation with the LSB and other stakeholders	
Resources	Some activities are likely to be undertaken internally, particularly those involving direct engagement with regulated firms/attorneys to understand how technology is currently being used, its perceived value and risks	The need for external support may be sought if required

Background

4. The Data Working Group was initially formed to support the development of IPReg’s data analysis capabilities, identify priorities for data collection, analysis and use, identify data sources and to implement measures to monitor and improve the quality of IPReg’s data.
5. This group was initially tasked to meet twice yearly. Its main piece of work when in operation was in relation to the data needed to understand how IPReg regulated firms and attorneys were complying with sanctions obligations imposed by the UK Government.
6. The Data Working Group has not met in 2024.
7. In April 2024, the LSB published its Guidance on promoting technology and innovation to improve access to legal services. The Guidance expects regulators to achieve three outcomes:
 - a. Outcome 1: Regulation enables the use of technology and innovation to support improved access to legal services and to address unmet need.
 - b. Outcome 2: Regulation balances the benefits and risks, and the opportunities and costs, of technology and innovation in the interests of the public and consumers.
 - c. Outcome 3: Regulation actively fosters a regulatory environment that is open to technology providers and innovators.
8. Ultimately, the LSB will monitor progress against the three outcomes as part of its Annual Regulatory Performance Assessment process.
9. At the meeting on 2 October, the TIWG discussed how it might approach the development of a proportionate and targeted workplan to meet these requirements and other requirements that IPReg may identify. It agreed that it would report to the November Board meeting to put forward the above recommendations to advance its work in this area. It further agreed:
 - a. Mapping work was going to be done in relation to LSB’s guidance
 - b. FG and SE were to meet with Enventure Research to discuss how it might support the TIWG’s work
 - c. We would contact the Regulatory Response Unit to investigate how it might assist with our work
 - d. Through our regular relationship management meetings, we would engage in early conversations with the LSB regarding IPReg’s action plan once the mapping work was underway
 - e. David Bish would include technology and information in his regular horizon scanning reports to the Board

Next steps

10. The TDIWG will meet quarterly to take its work plan forward.

Supporting information

Links to strategy and business plan

11. This work links to our strategic priority to carry out our regulatory activities proactively, effectively and inclusively, ensuring the efficient use of resources. We have undertaken to do this by:

- Building our capacity to understand and respond to global and market trends (including the use of technology) that impact on intellectual property matters, the wider environment and our approach to regulation.
- Acting quickly and consistently when we identify potential breaches of regulatory requirements and conducting investigations efficiently and effectively.
- Encouraging innovation and competition in the provision of regulated IP legal services

Supporting the regulatory objectives and best regulatory practice

12. This work is relevant to all the regulatory objectives however it directly supports:

- RO3 - improving access to justice
- RO4 - protecting and promoting the interests of consumers, and
- RO5 - promoting competition in the provision of services.

Impacts

13. This workstream currently has no apparent impacts on particular stakeholders, though this may change as the work progresses. It will consolidate the work we are doing across a number of workstreams in relation to building our evidence base and data collection.

Monitoring, Evaluation and Key Metrics

14. The TDIWG will report to the Board following each of its meetings.

Communication and engagement

15. The TDIWG will report to the Board following each of its meetings. Board minutes are published, unless sensitive.

Equality and diversity

16. There are no specific equality and diversity impacts.

Board Meeting 7 November 2024

Regulatory Performance Assessment – LSB information request

Agenda Item: 8

Author: Victoria Swan (victoria.swan@ipreg.org.uk)

This paper is for decision.

The Annexes are for internal purposes and are not for publication.

Summary

1. This paper relates to the Legal Services Board's (LSB) regulatory performance information request issued¹ to regulators on 27 September 2024 under its [Regulatory Performance Framework](#). The letter is provided at **Annex A**. The LSB requires a response by 14 November.

2. The LSB's performance information request covers the period of June 2023 - September 2024. It includes questions specific of IPReg, such as progress against commitments, such as implementation of the governance action plan, Equality, Diversity and Inclusion policies and action plan, the review of risk management and thematic reviews. It seeks information on the 3 common themes which its February 2024 [Regulatory Performance Report](#) identified as areas in need of development by several regulators. These relate to transparency of decision-making, use of evidence base and skills sets. It also takes account of the LSB's 28 May 2024 letter to regulators regarding its expectations in relation to transparent decision making. The proposed narrative self-assessment response to the regulatory performance information request is provided at **Annex B**.

3. The performance request includes a requirement for an assurance mapping assessment against the LSB's 3 Regulatory Standards (RS):

- RS1 Well-Led
- RS2 Effective approach to regulation
- RS3 Operational delivery

and the 20 Characteristics which underpin the RSs. A first draft of the assurance mapping was considered by the 12 September meeting of the Board. The mapping has been updated in light of that meeting and is at **Annex C**. This will be submitted to the LSB alongside the self-assessment narrative and the evidence source benchmarking longlist also considered by the 12 September meeting of the Board.

3. Ultimately, the LSB will provide a red, amber, green (RAG) traffic light rating for each regulator against each of the RSs². The Board is asked to endorse (or not) that it has green/full assurance that IPReg meets each of the Regulatory Standards.

Recommendation(s)

4. The Board endorses the documents subject to any amendments it may have:

¹ The specific information requests are due to be issued by the LSB in mid-September with regulators expected to respond by mid-November.

² They do not RAG-rate, or comment on, any of the 20 underpinning Characteristics.

- a) **Annex B** – narrative self-assessment, responses to specific information requested in the LSB’s letters of 24 May 2024 and 27 September 2024
- b) **Annex C** – assurance mapping

for submission, under delegated authority, to the LSB in time for its 14 November deadline.

Risks and mitigations

	Risk	Mitigation
Financial	Previously our approach to building our evidence base led to criticism from the LSB that we have not allocated sufficient priority to this area. Use of evidence is one of the three common themes identified by the LSB’s February 2024 report .	We have contracted with Cut-Through Consulting to provide support on data and evidence gathering and analysis and he is actively participating in the regulators’ research/risk groups.
Reputational	Previously the LSB has criticised specific aspects of IPReg’s work and raised questions about the Board’s approach to governance.	We adopted, published and delivered , a detailed Governance Action Plan.
Resources	Compilation of the assurance mapping process and regulatory performance information request response take a significant amount of resources (time period specific renders the text from the previous submission does not lend itself to being directly transferred).	The Director of Policy has focused on this area of work, having undertaken the previous regulatory performance assurance mapping.

The last regulatory performance assessment

5. The new LSB [regulatory performance framework](#) which went live on 1 January 2023, focuses on 3 Regulatory Standards:

“RS1 Well-Led: regulators are well-led with the resources and capability required to work for the public and to meet the regulatory objectives effectively (8 underpinning Characteristics);

RS2 Effective approach to regulation: regulators act on behalf of the public to apply their knowledge to identify opportunities and address risks to meeting the regulatory objectives (7 underpinning Characteristics);

RS3 Operational delivery: regulators’ operational activity (e.g. education and training, authorisation, supervision, enforcement) is effective and clearly focused on the public interest” (5 underpinning Characteristics).

6. Later that year, the LSB issued a regulatory performance information request of all regulators, relating to October 2022 - May 2023, focused upon an assurance mapping against RS1 and RS2 and their underpinning Characteristics. Additionally, it asked questions of all regulators related to items such as consumer empowerment and ongoing competence, the public interest, use and deployment of evidence and

proactiveness in supervision, examples of innovation. These were accompanied by specific questions for each regulator. IPReg’s questions related to progress in areas such as our implementation of the new core regulatory framework, and scheduled reviews of the Accreditation Handbook, and Competency Frameworks.

7. The LSB’s [Regulatory Performance Report](#) informed by these self-assessments, and other documentation, was published in February 2024. It stated that the LSB had amber/partial assurance³ that we met RSs 1 and 2. In keeping with our self-assessment, it identified that we would gather information on the impact of our new core regulatory framework and that we need to develop our evidence base and our work on Equality, Diversity and Inclusion. It recognised the significant work programme undertaken by IPReg and our positive trajectory, “IPReg has worked hard to build on the progress we identified last year and has introduced tangible actions to improve its regulatory activities. These should enable it to provide sufficient assurance against all three standards by the time of our next assessment”.

8. The broader LSB review identified three common themes that it considered legal regulators needed to address:

- **Transparency of decision making** – some regulators are not open enough ‘about how they make decisions affecting consumers, the public and their regulated communities’ – the LSB identified our Board paper template as good practice;
- **Skills** – some regulators ‘need to do more to ensure they have the right skills, expertise and systems in place’ – we have proactively reviewed systems, such as risk management and governance, and have brought in specialist resources as appropriate;
- **Use of evidence** – ‘several regulators need to do more to show how they use evidence to make decisions and evaluate the impact of their work’ – we are actively working on this, including the research/horizon scanning update provided to each meeting of IPReg Board.

June 2023 – September 2024 regulatory performance information request

9. On 28 May 2024, the LSB issued a [letter](#) to all regulators regarding the next regulatory performance information request which it advised would cover all 3 RSs, and a time period of June 2023 until September 2024, “We intend to send you our request for assurance and specific information in mid-September. Your response will be due in early November”. We received the LSB performance information request on 27 September. It has a 14 November response deadline. It asks questions relating to common themes, which will be asked of all regulators. It also asks questions specific to each regulator. Each item in the **Annex B** response quotes the wording from the 27 September LSB letter, in bold/within speech marks, followed by the IPReg response. Areas covered include:

Intro- the development of our self-assessment	sets out how we have approached the exercise at several scheduled points throughout the year
1. Transparency, particularly in decision-making	a common theme for the regulators, likely less applicable for IPReg given its Board papers were praised in the last regulatory

³ Our own self-assessment assurance mapping had full assurance on RS1 (well-led) on the basis of our comprehensive governance review and implementation and related direction of travel commitments; and we had also proposed, as the LSB ultimately did, that there was partial assurance on RS2 (effective approach to regulation) on the basis of Equality, Diversity and Inclusion [EDI] work needed.

	performance assessment round, we have benchmarked against each of the expectations in the LSB's 28 May 2024 letter
2. Capacity and capability	a common theme for the regulators, we provide information on the expertise and experience of our Board, and the external specialist resources being harnessed, and the evaluation of Board effectiveness
3. Use of evidence and evaluation of impact upon regulatory activities	a common theme for the regulators, new regulatory arrangements and thematic reviews, including the recent review of how well the new reflective continuing competence responsibilities are being applied
4. Horizon scanning and risk	horizon scanning updates brought to each meeting of the Board, see also the risk management policy below
5. How assure Board that the Characteristics are met	see introduction of self-assessment narrative (Annex B) and assurance mapping (Annex C)
6. Regulatory Standard 1 Well-led	governance review, action plan implemented, review of approach to risk
7. Taken account of new regulatory objective on economic crime	specialist training provided to the Team, lead person assigned to take forward
8. Thematic reviews	continuing competence thematic review completed, compensation arrangements review upon a claim being made, or at 2 years, transparency thematic review pending
9. Governance action plan	will be complete with the Board effectiveness evaluation to be considered by the 7 November 2024 meeting of Board
10. Proactivity/meaningful engagement	a challenging area for us given the predominantly business-to-business nature of the IP sector, develop proxies and engage in a number of stakeholder events and meetings, a number of commitments made to build upon this
11. Regulatory Standard 2 Effective approach to regulation	new regulatory arrangements and awareness-raising on them
12. Ongoing competence	new reflective approach to CPD provisions and a thematic review undertaken
13. Understand needs, engaged with stakeholders, identifying risks	Board paper template requires that policy proposals consider the regulatory objectives, risks and a range of evidence, data and assumptions
14. Regulatory and sectoral risk assessments	expands on all of the explicit considerations that must be made when making a policy proposal, as required by the Board paper template
15. Risk Management Policy	sets out how we approached the review of the approach to risk management and how we oversee it
16. Data/evidence gathering	horizon scanning updates, actuarial review, annual returns data, and the Board paper template
17. EDI policies	EDI strategy and action plan published, progress update provided, diversity profiling exercise undertaken and training scheduled
18. Innovation	waivers, guidance, PII sandbox, innovation and technology roundtable and working group

19. Appropriate usage of regulatory levers	new procedures, protocols and guidance, complaints review update to each meeting of the Board, annual report provides regulatory performance information
20. Regulatory Standard 3 Operational delivery	new regulatory arrangements, barriers of entry project
21. CPD review	reported to 12 September meeting of Board, to be published shortly
22. Effectiveness of supervision	complaints handling update paper, new decision-making guidance and annual report regulatory performance information
23. Awareness-raising activities	3 webinars regarding new regulatory arrangements, the recordings of which remain live, stakeholder events
24. Annual regulatory return	first tier complaints information, holding client monies, inform risk profiles
25. Economic sanctions	verified IPO information against our own, corroborated the minimal risk position
26. Enforcement	new approach to Overarching Principles, guidance and CPD, complaints performance information update to each meeting of the Board

10. In the timeframe⁴ to which this regulatory performance assessment applies, there have been some significant pieces of work for IPReg, including:

- a) implementation of the new regulatory arrangements on 1 July 2023, promoted through three webinars - one covering the arrangements as a whole, one relating to the new Continuing Professional Development (CPD) requirements, the other on transparency of costs information to potential clients - delivered with CIPA and CITMA;
- b) the new arrangements include: a broad range of [guidance](#) and a [costs transparency leaflet](#) designed to help new or sophisticated consumers understand different sorts of information, new disciplinary processes, and reflective CPD regulatory responsibilities;
- c) we undertook a review, consultation, and successful [rule change application](#) in relation to our compensation arrangements;
- d) a thematic review of how well the new CPD arrangements have been implemented;
- e) a risk working group was created to review the organisation's approach to risk, resulting in both a new [Risk Management Policy](#) and a revised risk register;
- f) successful implementation of the comprehensive [governance](#) review action plan;
- g) development and publication of an [Equality, Diversity and Inclusion](#) policy, strategy and action plan, as well as a diversity profiling exercise of the regulated community.

11. These achievements are reflected in the introduction to the self-assessment narrative at **Annex B**. It also reflects input from the 12 September 2024 meeting of Board by making clear that Characteristics 4 (understand the needs of consumers and the public) and 9 (comprehensive understanding of the market) are active works in progress and are undergoing continuing enhancement. Please note that text in red denotes pending items, in the form of hyperlinks to be added when items are published shortly, as well as a small number of potential considerations for Board, ahead of submission to the LSB.

⁴ June 2023-September 2024

12. The assurance mapping (**Annex C**) has been updated in light of feedback received at the 12 September 2024 meeting of the Board, particularly in relation to Characteristics 4 and 11, and emphasising the impact element of both.

Discussion

13. The Board is asked to discuss whether the case for RAG green/full rating for each of the Regulatory Standards is well-made:

- RS1 (Well-led),
- RS2 (Effective approach to regulation), and
- RS3 (operational delivery),

or whether another rating – or other evidence - would be appropriate.

Next steps

14. **Annexes B and C** (amended as appropriate) will be submitted to the LSB by the 14 November deadline. The letter from the LSB does not state when it expects to provide regulators with the first draft of their corresponding regulatory performance assessment of IPReg. When in receipt⁵, we will share this with the Board for review.

Supporting information

Links to strategy and business plan

15. The proposed response aims to draw from all the work we are doing as set out in the business plan and strategic priorities.

Supporting the regulatory objectives and best regulatory practice

16. This work supports all the regulatory objectives including, to a limited extent, the new regulatory objective relating to promoting the prevention and detection of economic crime. This in the form of the economic sanctions work undertaken by the Data Working Group, the client money query in the most recent annual return, and the dedicated staff training on 11 September 2024.

Impacts

17. There do not appear to be any impacts on specific types of regulated persons.

Communication and engagement

18. Will become more relevant when the LSB has provided its draft regulatory performance assessment, and when the final version is published. We will bring both versions to the Board for review and to determine the appropriate engagement and communication approaches.

⁵ The last RPA response we made was made in July 2023, the LSB published its [review of the regulators](#) in February 2024.

Equality and diversity

19. We were clear in our 2022-23 regulatory performance assessment that development was needed. To that end, we are able to provide evidence of progress in this area, in particular the new [Equality, Diversity and Inclusion](#) Action Plan, and the recently undertaken [Diversity Survey](#).

Evidence/data and assumptions

20. There are no specific issues for this paper. We continue building our evidence base as set out in the proposed response. We provided to the 12 September meeting of Board a benchmarking longlist against the LSB's evidence examples and our own evidence sources which support the Regulatory Standards. The RS longlist approach removes the many duplications presented by the LSB's [Regulatory Standards and Characteristics Sourcebook](#) which documents evidence sources. The evidence will be included in the response

Board Meeting 7 November 2024

Complaints Update

Agenda Item: 10

Author: Shelley Edwards, Head of Registration (shelley.edwards@ipreg.org.uk 020 7632 7175)

This paper is to note

Summary

1. This paper is an update on complaints received and processed by IPReg. From 1 July 2023, the complaints process is governed by Chapter 4 of the [Core Regulatory Framework](#) and the Investigation and Disciplinary Requirements [Standard Operating Procedure](#).
2. Annex A contains case-specific updates which are confidential and will not be published.

Recommendation(s)

3. The Board agrees to note this paper.

Risks and mitigations

	Risk	Mitigation
Financial	We have allocated a budget of £35,000 for costs associated with processing complaints and conducting disciplinary hearings. There is a risk that an unanticipated increase in cases will cause us to exceed the budgeted figure	It is IPReg's policy to seek the external costs incurred in bringing disciplinary cases before a tribunal from the respondent, and recover any debt as appropriate.
[REDACTED]	[REDACTED]	[REDACTED]
Reputational	There may be a risk to IPReg's reputation if it were considered that IPReg was not conducting its investigation and enforcement process appropriately - pursuing cases with no evidential basis, not taking enforcement action where there is a clear breach of regulatory arrangements, poor decision-making at hearings etc.	IPReg has developed, in conjunction with legal advisers, a comprehensive decision-making policy to underpin its new enforcement and disciplinary procedures which form part of the regulatory arrangements review. A new Joint Disciplinary Panel has recently been appointed following a comprehensive recruitment campaign, and all new members have received training and induction.

Resources	IPReg manages the initial triage and investigation of cases internally, between the Assurance Officer and Head of Registration. There is a risk that a significant increase in cases will outstrip the internal capacity of the team	Analysis of complaints data over the last 6 years shows that whilst the number of complaints received seems to be increasing, IPReg has become more efficient at resolving these cases, resulting in cases being closed more quickly and the number of open cases in any given month holding steady or reducing
------------------	--	---

Background

- The Board has routinely been updated on Complaints information, including the number of new complaints received and closed per month with a focus on the nature of individual complaints and the anticipated timetable for resolving them. The Board has not, to date, received information about the subject of the complaint due to IPReg’s former disciplinary process which may have resulted in Board members sitting as decision makers on the Complaint Review Committee.
- The Board has indicated it would find it useful to understand how cases are being monitored and advanced, to ensure timeliness of case progression.

Discussion

- The Board should note the information in this paper.

Next steps

- The Board should note the information in this paper.

Supporting information

Links to strategy and business plan

- The investigation and enforcement of complaints made about regulated persons is an integral part of IPReg’s remit.

Supporting the regulatory objectives and best regulatory practice

- A robust investigation and enforcement process protects and promotes the public interest by demonstrating that regulated persons who breach any of IPReg’s regulatory arrangements are appropriately investigated and taken through a fair and transparent disciplinary process. IPReg’s process supports the constitutional principle of the rule of law in that justice must be done and be seen to be done in accordance with the principles of natural justice. Publishing decisions about disciplinary matters, protects and promotes the interests of consumers, promotes competition within the regulated community and increases public understanding of their legal rights by allowing consumers to make fully informed choices about their legal representatives. A clear, transparent and proportionate enforcement policy encourages an

independent, strong, diverse and effective legal profession by creating a deterrent to poor practice or professional misconduct.

10. IPReg follows best regulatory practice in the identification, investigation and processing of complaints and disciplinary hearings. Internal decision makers have backgrounds in regulation and professional discipline, and one is a practising solicitor. Members of the [Disciplinary and Interim Orders Tribunal](#) receive regular training on best practice in decision making, and are supported by legal advisers with a regulatory and professional discipline specialism. Best regulatory practice is therefore at the forefront of all decisions across all aspects of investigation and the running of disciplinary hearings.

Impacts

11. There are no specific impacts on any type of regulated person, consumer or group.

Monitoring, Evaluation and Key Metrics

12. In addition to headline information reported in this paper, case progression information is reported at every Board meeting in a confidential annex (to ensure ongoing investigations are not prejudiced). The Board has oversight of the number of complaints made, how long they are open, case status, next steps and anticipated timeframes on ongoing investigations. Departures from timescales set out in the Investigation and Disciplinary Requirements [Standard Operating Procedure](#) are reported in the confidential annex.

Communication and engagement

13. Disciplinary decisions are published on IPReg's website [here](#) and, where applicable, against the name of the attorney or firm on the [online register](#).

Equality and diversity

14. There are no specific equality and diversity issues.

Evidence/data and assumptions

Cases by numbers

As at 31 October 2024

- Total open cases 3
- Cases opened since last meeting 0
- Cases closed since last meeting 2
- Change (from last meeting) -1

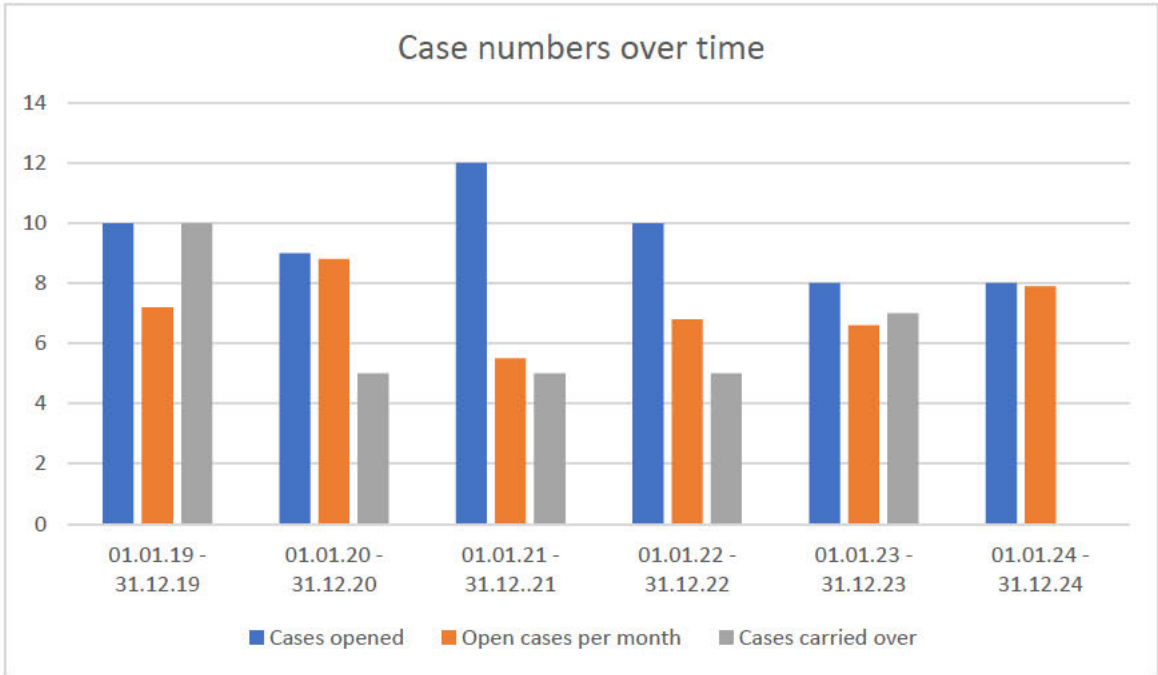
Year to date (from 1 January 2024)

- Total cases received 8
- Total cases closed 13

Legal Ombudsman

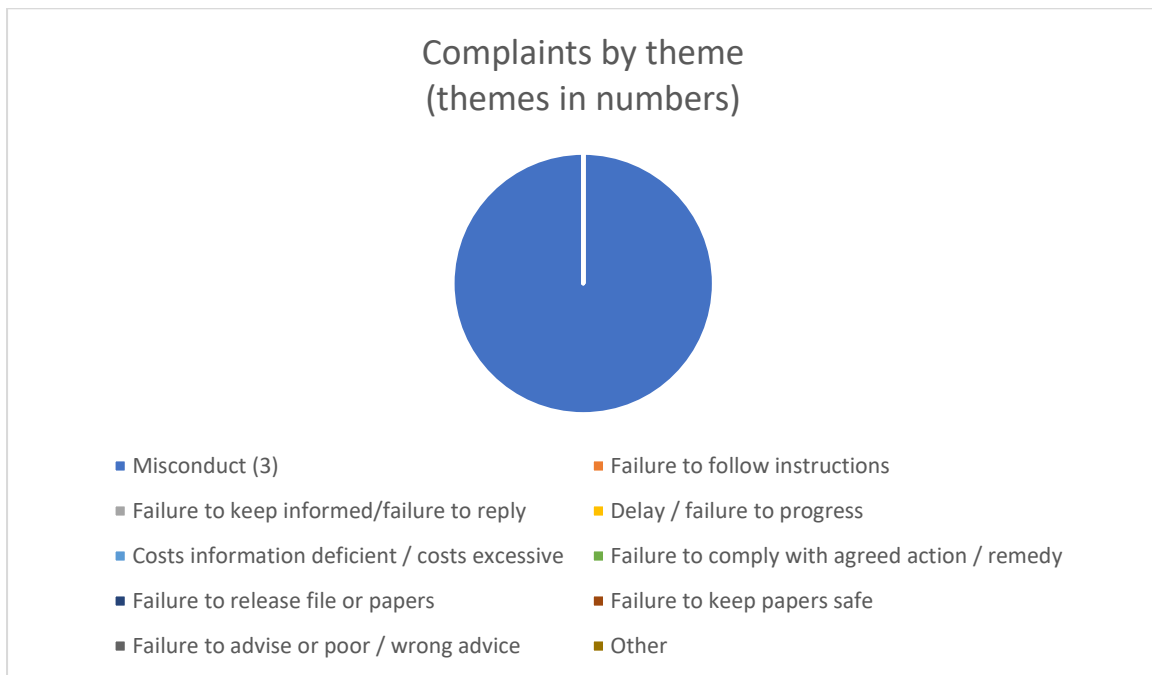
Complaints received in last month	0
Cases open	0
Timeliness	
Oldest open case	85 weeks
Newest open case	19 weeks
Mean	54 weeks
Median	58 weeks

Analysis and trends (12 month periods)



	01.01.19 – 31.12.1 (4 cases carried over from previous period)	01.01.20 – 31.12.20	01.01.21 – 31.12.21	01.01.22 – 31.12.22	01.01.23 – 31.12.23	01.01.24 - 31.12.24
New cases opened / received	10	9	12	10	11	8
Total open cases during period	14	19	17	16	17	16
Overall case numbers open per month (range)	5 - 9	5 - 12	3 – 8	6 - 9	5 - 9	4-10
Overall case numbers open per month (avg)	7.2	8.8	5.5	6.8	6.3	7.9
Cases carried over to next period	10	5	5	5	8	
Cases closed/resolved within 12 weeks*	10%	44%	50%	50%	60%	53.8%
Cases closed/resolved within 26 weeks*	50%	50%	58%	60%	70%	61.5%

*Of cases closed this calendar year

Open complaints by theme

Misconduct includes:

- Misappropriation / mismanagement of funds (1 case)
- Unprofessional / inappropriate conduct with a third party (1 case)
- Conviction (1 case)

Board Meeting 7 November 2024

IP Inclusive funding

Agenda Item: 11

Author: Fran Gillon, CEO (fran.gillon@ipreg.org.uk 020 7632 7174)

Summary

1. IP Inclusive has asked the Board to donate £4,500 for its 2024-25 costs.
2. IPReg has previously donated to IP Inclusive's "operating costs". However, IP Inclusive has explained that it has expanded its work in terms of the activities and events it has been involved in. This means that although it is still spending small amounts on basics like insurance, website hosting and online accounts, its staffing costs have gone up considerably and now comprise a large proportion of its annual budget (**Annex A**). IP Inclusive has explained that its staff are the most important thing it invests in and delivers the most value in return.

Recommendation(s)

3. The Board agrees:
 - a. to donate £4,500 to IP Inclusive towards its 2024-25 costs;
 - b. in principle we will continue to donate to IP Inclusive at around the current level – this will provide certainty to IP Inclusive for future years. Decisions will not be brought back to the Board but will be discussed by the Chair and CEO and reported to the Board in the CEO's report.

Risks and mitigations

Financial	We have allocated £27,000 for diversity initiatives in the 2024 budget of which £20,000 is for diversity research and the survey. There is a reserve of £20,000. To date we have spent £20,160 (£10,800 on donations and £9,360 on the diversity survey).
[REDACTED]	[REDACTED]
Reputational	The LSB places considerable importance in regulators' work on diversity.
Resources	This work can be managed within our current resources.

Discussion

4. Although IPReg does not have a formal framework for assessing funding applications, at a meeting of the Governance Committee on March 2017, it was agreed that:
 - a. applications would be assessed on a case by case basis on their merits; and
 - b. IPReg should specifically identify the key diversity issues that each funding request addresses and publish the data.
5. [IP Inclusive](#) is committed to making IP profession more inclusive and encourages IP professionals to adopt best practice on increasing diversity and inclusion. Donating to IP Inclusive will enable it to continue to promote diversity and inclusion in the IP sector.

6. We have previously donated:

Annual running costs

2024	£2,500
2023	£2,500
2022	£2,600
2021	£2,000
2020	£2,000
2019	£1,000
2018	£1,000

Mentorloop programme: £800 in 2024.

7. Although the current request is an increase over previous years, this reflects the positive way in which IP Inclusive has expanded its work on EDI issues across the IP sector.

Background

8. The IP Inclusive [Business Plan](#) 2023/25 and [Annual Report](#) 2023 sets out the work it does.

IP Inclusive Management 2024-25 budget



IP INCLUSIVE

Working for diversity and inclusion in IP

This budget covers the second year of our 2023-25 business plan¹, from August 2024 to July 2025. Although we have moved to a two-year business planning cycle, we will continue to budget annually to allow for operational and other changes and to ensure sensible financial forecasting. This year's budget is based on an interim review, by IP Inclusive Management (IPIM), of our progress towards the 2023-25 business plan objectives.

During July 2025 we will publish a fresh business plan for the two years beginning August 2025, alongside a budget for the first half of that period.

We welcome feedback and suggestions on this budget from all our stakeholders. Please contact us via our Lead Executive Officer Andrea Brewster (andrea.brewster@ipinclusive.org.uk), or write to contact@ipinclusive.org.uk.

IP Inclusive Management
30 July 2024

¹ See <https://ipinclusive.org.uk/wp-content/uploads/2023/07/230724-ip-inclusive-2023-25-business-plan.pdf>

The budget

<i>Item</i>	<i>In</i> <i>£</i>	<i>Out</i> <i>£</i>	<i>Notes</i>
Fundraising campaign target	96,000		
HR costs:			
LEO fees		36,300	1
Executive support		37,500	2
Executive team expenses		3,000	3
IT & comms:			
Website hosting & maintenance		1,100	4
Domain name registrations (incl email accounts)		150	
Mailchimp, Eventbrite & SurveyMonkey accounts		1,500	
Xero subscription for online accounting		400	
MentorLoop subscription (Careers in Ideas Mentoring Hub)		9,800	5
Other operating costs:			
Accountants' fees		1,200	6
Third party liability insurance		350	
Other (bank charges, data protection fee)		100	
Contingency fund annual top-up		4,000	7
IP Inclusive ally pin badges & their distribution		600	
Totals	96,000	96,000	
Carried over from previous budgets:			
Surplus remaining from 2021-24 budgets	7,700		8
Outstanding costs for Careers in Ideas website rebuild (including intern support)		5,700	9, 10

Contingency fund

Of our cash assets, £13,000 is currently ring-fenced as a contingency fund. This will be increased to £17,000 during the 2024-25 budgeting year. See note 7 below.

Notes

1. From July 2024, the Lead Executive Officer (LEO) is paid up to £3,025 pcm, as a contractor, for 2.5 days' work a week. Additional work on specific projects is accommodated within the relevant project budgets where necessary.
2. A total of 28 hours a week provided by two employees, including payroll costs, employer's NI where applicable, pension scheme contributions and Christmas bonuses.
3. Whilst the executive team members work largely from their own offices, they need to travel occasionally to attend key events. We have allowed for about one such trip by the LEO a month, as well as attendance by the other executive team members at the 2025 annual meeting and one or two other events during the year. A small amount has also been included for team members' home office expenses.
4. Embraces the current website hosting plans, plus an additional £500 + VAT contingency for unforeseen technical issues with the IP Inclusive and Careers in Ideas websites.
5. Significantly higher than in the 2023-24 budget, as we have upgraded to a higher capacity package to accommodate both more Careers in Ideas mentees and also a potential trial for a Women in IP mentoring scheme.
6. Includes preparation of annual accounts and HMRC enquiry fee protection.
7. The ring-fenced contingency fund already contains £13,000, as provided in the 2023-24 budget. The intended 2024-25 top-up takes account of increases in HR and operational costs in line with IP Inclusive's development and external inflation. A total fund of £17,000 represents approximately 2.5 months' worth of essential operating costs (including HR costs), whilst our LEO's contract requires three months' notice and our employees' contracts one month. We will continue to increase the fund annually to take account of corresponding cost increases.
8. Our overspend on the 2023-24 budget (expenditure vs actual funds raised) was approximately £10,600. This used some of the £18,300 surplus from 2021-23 to cushion against under-achievement on fundraising. Most of the remaining £7,700 will be needed to cover outstanding costs for the Careers in Ideas website rebuild: see notes 9 and 10.
9. This includes outstanding developers' charges and intern support for content creation and migration. All the costs of this project, including for the intern support, were included in the 2023-24 budget and are covered entirely by donations received during that period. Thus, in effect, they will be taken from the 2023-24 surplus (see 8 above).
10. We have allowed for a total of 6 half-days (24 hours) a week of intern support, for 8 weeks, at a salary of £13.50 an hour (the current "Real Living Wage" is £13.15 an hour for London). The figures include payroll costs, employer's NI where applicable and a small allowance for intern office expenses.

Board Meeting 7 November 2024

CEO report

Agenda Item: 12

Author: Fran Gillon, CEO (fran.gillon@ipreg.org.uk)

This paper is for discussion.

All the Annexes will be published except Annex C (advice to Board).

Summary

1. This report sets out information about IPReg’s activities that are not covered elsewhere in today’s agenda.

Recommendation(s)

2. The Board is asked to note this paper.

Risks and mitigations

	Risk	Mitigation
Financial	No specific financial risks	N/A
█	█	█
Reputational	No specific reputational risks.	N/A
Resources	No specific resourcing risks	N/A

Progress on the 2024 Business Plan

3. The Board receives regular updates on our work through the Board papers on specific policy areas and business as usual. One of the suggestions from the governance review was to provide specific updates on progress against the business plan. I have therefore drawn out the main areas of work set out in the 2024/25 plan and updated them – **Annex A**. These are the areas of work over which we have control. I have not included the work involved in responding to the LSB’s consultations and related work, or our business as usual activities.

Meetings

CIPA and CITMA

4. The 3 CEOs met on 4 October and 30 October. They discussed:
 - a. practising fees 2025 – submission to the LSB;
 - b. MoJ work on expanding eligibility for judicial roles;
 - c. feedback from IP Practice Directors’ Group meeting on 2 October;
 - d. Law Works/IP Pro Bono;
 - e. education review project;

- f. IPO digital transformation project;
- g. continuing competence thematic review;
- h. LSB's findings on Axiom Ince;
- i. IPO matters;
- j. AI work;
- k. IPReg Board effectiveness review.

LSB engagement

- *Meeting with new LSB CEO*

5. This meeting was an introductory meeting which took place on 19 September.

An oral update will be given at the meeting.

- *Relationship management meeting*

6. The next meeting will be held on 15 November.

- *Information requests*

7. We received a request from the LSB for additional information to support our application for a 3% increase in practising fees for 2025. The LSB's request and our response is at **Annex B**.

- *Correspondence*

8. Nothing to note for this meeting.

IP Practice Directors' Group (IPPDG)

9. The meeting on 2 October which I attended with the CIPA and CITMA CEOs discussed:

- a. 2025 practising fees – IPReg will ask the LSB to agree a 3% increase;
- b. results from the diversity survey;
- c. changes to First Tier Complaints categories from 1 January 2025;
- d. upcoming transparency thematic review;
- e. education project including: apprenticeships; the need for clarity on EQEs and exemptions from the PEB exams;
- f. sanctions – the importance of OFSI as the primary source of information and advice;
- g. AI;
- h. CITMA's representation project – IPO meeting;
- i. CITMA has published its paralegal competency framework;
- j. CITMA has launched a net zero hub.

MoJ – increasing judicial diversity – expanding opportunities for attorneys

10. The most recent Regulatory Forum discussed whether there might be any interest from patent attorneys and trade mark attorneys in applying for judicial roles. They are currently eligible to apply for Chair or Deputy Chair of the Copyright Tribunal and Appointed Person in the Trademarks Registry Tribunal. IPReg, CITMA and CIPA had a meeting with MoJ officials on 20 September. The officials explained that work had been paused as a result of the general election and there was not yet a date it to be re-activated

Conferences/webinars attended by Team and Board members

11. None to report.

Regulatory Performance

12. Please see agenda item 8.

Waivers

13. PII Sandbox – nothing for this meeting.
14. Hardship – waiver from the requirement to pay an application fee before admission to the register.

Technology, innovation and artificial intelligence

15. Please see agenda item 7.

Horizon scanning and research

16. The External Market Update report is at **Annex C**. The report highlights that the LSB's report about the SRA and Axiom Ince has been published, resulting in the LSB starting enforcement action against the SRA. We intend to review the report's findings to assess whether there are any lessons for IPReg arising from it. We will also contact the ABS firm [rradar](#) which plans to launch a PII product for law firms in 2025.
17. The report recommends:

Sparing some capacity to engage some of these organisations that provide Intellectual Property advice could be useful for IPReg for a number of reasons:

- a. It is unclear whether the agencies that offer Intellectual Property advice have been similarly impacted – it is therefore worth seeing what situation they are in.
- b. These organisations could have key information about the types of consumers that seek out free legal advice, along with the issues they are facing. Sharing, and receiving,

information from these bodies could provide a significant amount of data towards filling any gaps in IPReg's evidence base.

I have been discussing with the CEOs of CIPA and CITMA the work that the representative bodies and their members undertake to facilitate *pro bono* clinics. It is likely that this will be a useful source of data for us to understand the extent to which the risk of unmet legal need is being mitigated.

Contracts and other expenditure (commercially confidential information about contracts will be redacted)

18. I have agreed with Enventure some additional analysis of the 2024 diversity data. This follows a request from a registrant. The cost of the work is £[REDACTED] + VAT.
19. We received two responses to our four invitations to conduct the transparency thematic review.
An oral update will be provided at the meeting.

Other matters

Legal Services Consumer Panel (LSCP)

20. Nothing specific for this meeting.

Office move

21. We completed the move to a smaller office on 27 September with help from OSiT's team.

Press reports and other published information

22. The SRA has [extended](#) its Chair's term of office for a further two years.

CEO report November 2024 – Annex A – update on 2024/25 business plan

Education			
Policy area	What we said we'd do	Timescale	Progress/plans to date
Overall risk rating = red			
Barriers to entry	It is likely that this project will start formally with a Call for Evidence	Q1 or Q2 of 2024.	<p>Head of Education Review started on 10 September</p> <p>Detailed project scope considered by EWG on 16 October. Report to November 2024 Board for decision.</p> <p>Discussions have taken place with Hook Tangaza on project support for PEB foundation level exam re-accreditation and other aspects of the review</p>
Barriers to entry	Review the Competency Framework - patent	As part of barriers to entry project	See above
Barriers to entry	Review the Competency Framework – trade mark	Links to work on patent competency framework. Need to ensure consistency where appropriate and also reflect the requirements of the new Core Regulatory Framework	See above
Accreditation recommendations	Working with providers to ensure that accreditation recommendations are taken forward	As necessary in 2024/25	PEB – meeting took place on 26 June to discuss approach to implementation of some recommendations. Update on progress considered by EWG

			on 16 October. Report to November 2024 Board.
New providers	Working with providers to ensure that online delivery of courses and examinations meets the required standards	During 2024/25	Discussions were held with one potential entrant in 2023, no further progress to date
New qualification pathways	Working with stakeholders and potential providers to encourage new qualification pathway options	During 2024/25	Likely to be included in barriers work. Apprenticeships – further meeting of stakeholders held on 25 September. Report to November Board.
Reaccreditation	We will continue to undertake reaccreditation assessments (typically every 5 years) of qualification providers	During 2024/25	Following discussion in May we have developed specifications for the assessors who will evaluate the PEB foundation exams and held discussions with Hook Tangaza – see above
Impact of EQE changes	Consider the outcomes of the European Qualifying Examinations Modernisation Discussions and Proposals and the extent to which any changes impact on our qualification requirements (e.g. in relation to exemptions).	During 2024/25	EPO approved changes on 20 December 2023. Will be introduced in 2025. Discussion with Julia Gwilt on 28 August. Approach considered by EWG on 16 October. Report to November Board
Review Accreditation Handbook	Start a review of the Accreditation Handbook	During 2024/25	Not yet commenced. Links to apprenticeship work and development of what skills, knowledge and behaviours an apprentice needs.

Thematic Reviews			
Policy area	What we said we'd do	Timescale	Progress/plans to date
Overall risk rating = green			
Continuing competence	Conduct random sampling of attorneys' records or other material to assess how well the new requirements have been embedded and identify any barriers to compliance with them.	Q1 or Q2 2024 conduct review July 2024 – report to Board on the findings and lessons learned. [NB May Board meeting agreed that this should be considered in September]	Results were considered by the September 2024 Board meeting. Final report published in October 2024.
Transparency	Develop our approach and conduct the review	Q2 2024 develop our approach Q3 2024 conduct the review Q4 2024 or Q1 2025 report on findings	CEO has approached organisations who have had experience with this type of work. Two out of four organisations responded. Recommendation to be made to November Board meeting.
PII Sandbox	We will monitor closely how the sandbox is working throughout 2024 and report on it in the Annual Report for 2024. A wider thematic review is likely to be conducted in 2025 once the sandbox has been operational for at least 18 months, depending on the nature and extent of applicants and entrants.	2025 – but depends on nature and extent of entrants	

Building our evidence base			
Policy area	What we said we'd do	Timescale	Progress/plans to date
Overall risk rating = green			
Data and evidence gathering	In addition to the data and evidence gathering work that we plan to undertake for the thematic reviews on continuing competence and transparency, we will continue to gather data and evidence about the nature of the IP legal sector.	Ongoing with support from external adviser	Ongoing

Website redevelopment			
Policy area	What we said we'd do	Timescale	Progress/plans to date
Overall risk rating = green			
Redevelop website	Move from Drupal 7 to Drupal 10 and associated changes	2024	No further update since July 2024 meeting. Status has been changed to green

Diversity			
Policy area	What we said we'd do	Timescale	Progress/plans to date
Overall risk rating = amber – changed to amber from green in October 2024			
Stakeholder engagement	Develop our approach to data gathering/research with other stakeholders in the IP sector	2024	No further update since May Board meeting
Diversity survey	We will conduct a diversity survey	2024	Report to September 2024 Board meeting

Diversity Action Plan	Review the plan every 6 months ¹	Next review due in July 2024	Board agenda item at September 2024 meeting
-----------------------	---	------------------------------	---

¹ Note that this was not in the Business Plan but was agreed by the Board in January 2024.

IPReg PCF Questions

These queries/requests for additional information are aimed at providing the LSB with a better understanding of the material presented in the application. The responses will assist the LSB in completing its assessment under Section 51 of the Legal Services Act 2007 and are of relevance to the proposed alteration to the drafting of IPReg's Practising Fee Regulations.

Abolition of category

1. We note that following consultation, IPReg will now abolish the fee paying category "Registered attorney practising as a sole trader and employing other registered attorneys or other professionals". At paragraph 5 of the application, IPReg has explained the category was originally created to cater for a much larger number of attorneys who practised in this way and those people have either ceased to practise or they have changed their business model and set up a limited company.
2. IPReg has identified, and it has contacted the only attorney it has identified will be impacted, to talk through the impact of the proposed change and offered to assist once they decide how to change the firm's structure. We note that details of the firm's response have been provided to the LSB separately as it is commercially confidential. We note from this response that the firm intends to amend its structure so that it fits into one of the other PCF categories before practising fees are due at the beginning of the new year. IPReg also confirms it emailed all 110 sole traders separately to draw their attention to the proposal, in case there are additional people in this category that it is not aware of; and none have been identified.
 - i. Please confirm what specific safeguards that have been put in place to ensure the affected firm has restructured in time to fit into an existing practising fee category.

IPReg Response: The affected firm consists of one patent and trade mark attorney who employs one trade mark attorney. As was clear from the confidential email sent as part of the full application, the attorneys are very aware of the proposed change, have no objection to it and are prepared to make the necessary changes well before the end of 2024.

The renewal date for registration is 1 January 2025, and attorneys and firms can renew their registration without regulatory penalty or suspension, until 1 March 2025. The firm therefore has more than four months to complete the restructure, a timetable that is easily achievable for a small entity.

IPReg is experienced in processing authorisations applications within short timeframes. The 2023 performance management dataset provided to the LSB earlier this year shows that applications for registered and licensed bodies are processed within an average of 9.5 working days. This short timeframe is in large part due to the fact that applicants have one named contact within IPReg to work with in preparing the application (IPReg's Compliance and Authorisations Officer), and IPReg's responsiveness to their queries.

IPReg has no evidence to consider that the firm will not complete the anticipated restructure and registration processes within the timeframe.

- ii. Please also explain any contingency arrangements that IPReg has considered should this firm not be ready to fit into an existing fee paying

category by the next fee paying round?

IPReg Response: In the event that the restructure does not take place and the attorneys are not working through a registered entity by the time renewal of registration needs to be completed, the attorney that is in the position of being the employee within the Sole Trader / Employee relationship will themselves become a Sole Trader for the purposes of IPReg's practice fee arrangements. This is because both attorneys will continue to provide IP legal services to the public other than through a registered or licensed entity.

At IPReg's request, PAMIA, the firm's insurer has confirmed that it will continue to insure both attorneys under the same policy as it currently does.

As both attorneys will still be able to continue to practise and there would be no break in the insurance arrangements, there is no risk that clients of the firm /attorneys involved will be impacted if the position is not regularised by 28 February 2025.

Staff costs

3. We have compared the budgeted staff costs for 2024 as set out in Annex 3 and 4 of the 2024 PCF application¹ to the staff cost budget figures for 2024 as set out in Annex 10 in the 2025 PCF application. We note that these figures are £566,000 and £628,400 respectively.
 - i. Please explain why the figure changed significantly between the draft budget figure (submitted in 2023) and the budget figure submitted in this year's PCF application?

IPReg Response: As noted in point 4 below, IPReg recruited a Head of Education Review to take forward the work on the qualification route for patent attorneys.

The Education & Projects budget line in the 2024 Budget originally encompassed costs for this work. We reallocated the associated costs for this new role to Staff Costs to better aid comparisons between actual costs and budgeted costs. This was referenced in notes on Education & Projects and Staff Costs.

4. We note from Annex 10 that IPReg expects an underspend of £40,542 on staff costs for 2024 relative to the budgeted figure of £628,400. We note from paragraph 41c viii (staff costs) that the budget was adjusted for a new staff member to oversee the review of education. Further, Annex 10 forecasts the spend for 2024 for regulatory officers to be £37,193 under budget.
 - i. Please provide more information about the factors which has led to this underspend on staff cost for 2024.

IPReg Response: The budget figure was adjusted for a full year's costs for the new staff member. The staff member was recruited part-way through the year and consequently projected costs will be lower than the related

¹ See Annex 3 and 4 of IPReg Practising Fee application 2024

budgeted costs resulting in an underspend.

Reserves

5. Annex 8 shows that as of 30 June 2024 IPReg had £748,851 in its Income & Expenditure Account. We assume that this money is generated by budget surpluses over time. We note that IPReg has topped up its uncommitted reserves from this account in 2024.
 - i. Please provide more detail about this account in terms of where the money is derived from and how IPReg intends to use the monies in this account?

IPReg Response: IPReg reallocated £140,000 of the brought forward Income & Expenditure Account Reserves of £140,834 to other uncommitted reserves in 2024. These reserves have been built up from budget surpluses over time.

The £748,851 noted in Annex 8 is largely made up of the operating surplus arising at the six month point of the financial year ending 31 December 2024 i.e. £748,017 (see Annex 10 also). This operating surplus will be reduced by operating costs over the remaining six months of the year. IPReg's income is derived mainly from practice fees, the bulk of which is collected in the first three months of the year.

Equality Impact Assessment

6. At paragraph 48 of the application IPReg refer to the Equality Impact Assessment (EIA) that was carried out – with the final amended EIA shown in Annex 13 (which includes information from IPReg 2024 diversity survey). Prior to consultation, we note that IPReg had not identified any evidence that the level of the fee could discriminate against or unfairly disadvantage attorneys with protected characteristics. The draft EIA was consulted upon (see Annex 3). We note that IPReg considers that the 'not in practice' provision and the waiver mitigate against any potential adverse impacts on protected groups.
 - i. We note that the application and EIA has limited information on any plans for monitoring and responding to the actual impacts and/or evaluating the effectiveness of any mitigating action that has been put in place. Please provide further explanation around this.

IPReg Response: Of the 3,688 attorneys currently registered with IPReg, our records show that around 93.6% have their fees paid or reimbursed by their employer.

IPReg monitors the impact of practising fees on registered attorneys by:

1. Recording and monitoring the reasons an attorney leaves the register. Since IPReg started recording this information centrally in 2019, no attorney has ever cited the cost of IPReg's practising fee as the reason for leaving regulated practice.

2. Monitoring the numbers of applications for a practising fee waiver, and the reasons for the application. Since the introduction of this scheme in 2020, an average of 2.5 applications have been made per year, most on the basis of temporary unemployment, suggesting very low numbers of financial hardship within the professions. To date, only one application was made on the basis of unemployment due to a protected characteristic; this application (because of disability) was granted.
3. Horizon scanning and data collection. As part of our usual regulatory activities, we seek information proactively including via stakeholder engagement to understand how external forces may effect the IP professions and consider ways that financial impact on individual attorneys may be mitigated through regulatory levers.

An example of this was the introduction of the practising fee waiver scheme as a result of the Covid-19 pandemic. Four applications were made in the year we introduced the scheme and our evidence showed that this had a real and beneficial impact on the attorneys in question. The IPReg Board therefore subsequently decided that the scheme should be retained to include financial hardship more widely and this was included as part of IPReg's regulatory arrangements review in 2023.

IPReg has no evidence of any forthcoming issues in the short to intermediate term that will significantly impact the professions and our evidence shows that the regulated professions are increasing slightly, year on year.

Given the low number of attorneys who would themselves be directly impacted by the 3% increase in fees, and IPReg's ability as a small regulator of a small profession to be agile and responsive to individual cases, we are well placed to monitor and respond to actual impacts should they arise. Should the current measures in place be found insufficient, IPReg will consider whether changes need to be made for future years.

Appendix: Information published by the IPO on applications and grants/registrations

Chart 1: Monthly patent, trademark and design applications, January 2019 to August 2024, United Kingdom

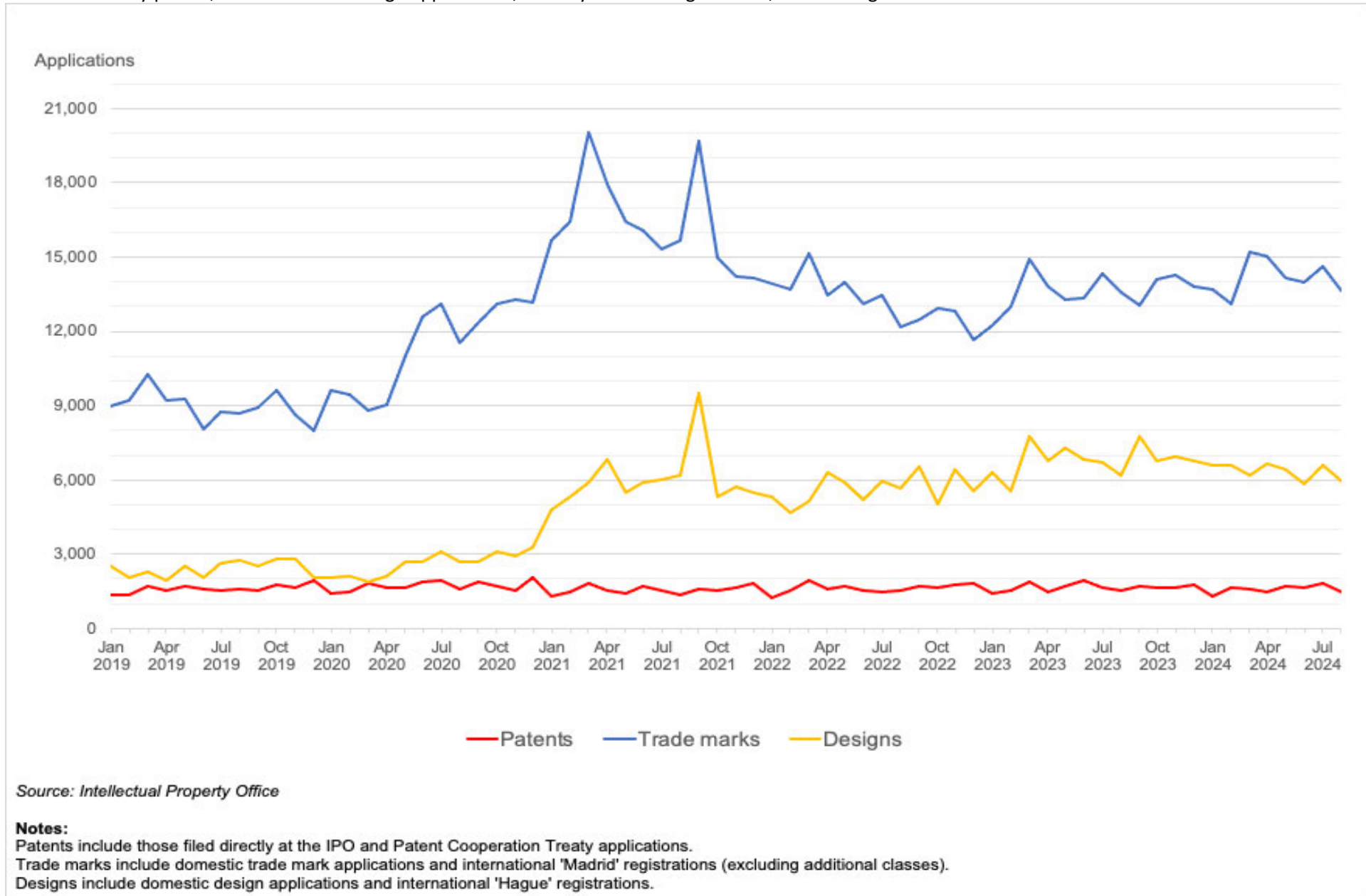
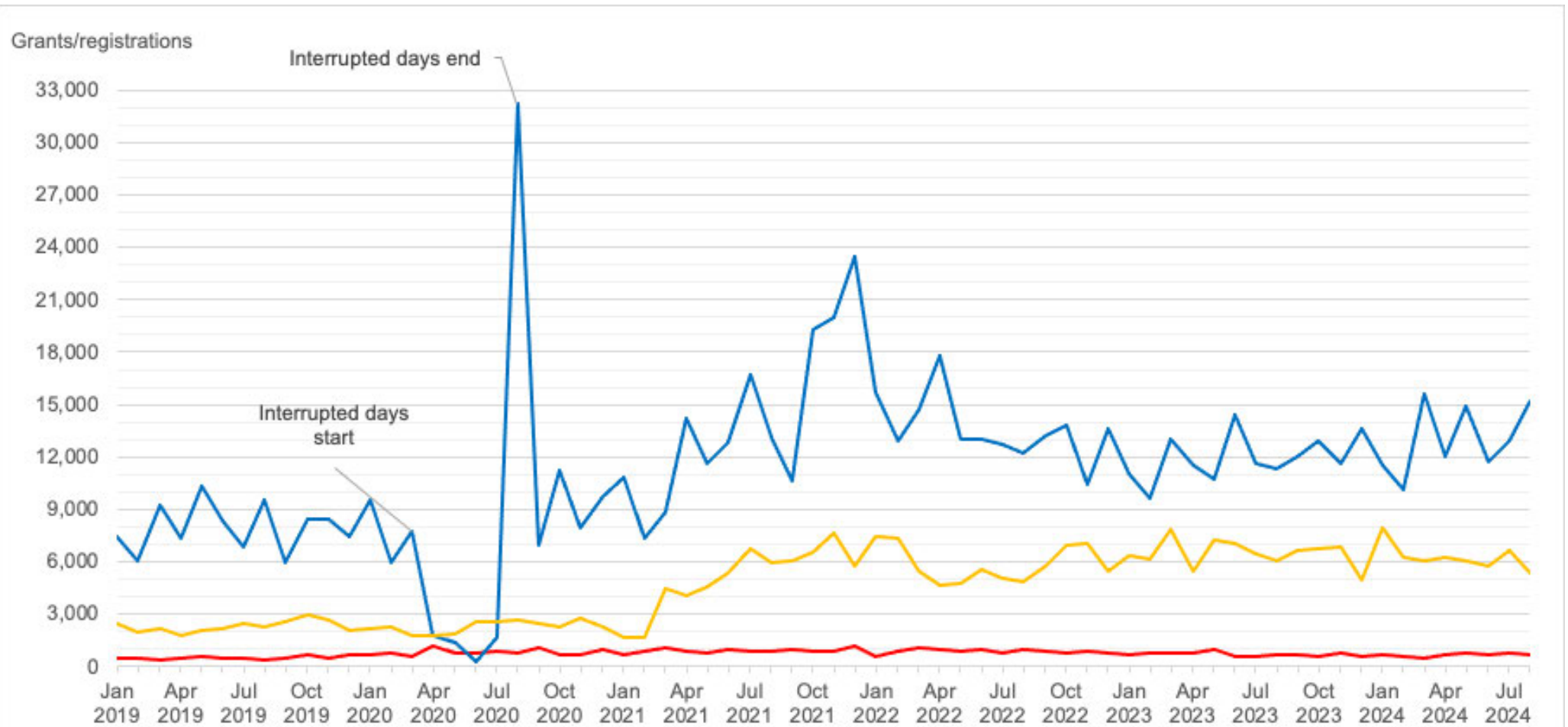


Chart 2: Monthly patent, trademark and design grants/registrations, January 2019 to August 2024, United Kingdom



Source: Intellectual Property Office

— Patents — Trade marks — Designs

Notes:

Patents include those filed directly at the IPO and Patent Cooperation Treaty applications.
 Trade marks include domestic trade mark applications and international 'Madrid' registrations (excluding additional classes).
 Designs include domestic design applications and international 'Hague' registrations.

IPReg Board Meeting Actions Log - New and Outstanding Actions

Item 14

November 2024 Board meeting

Date of Meeting in which action arose	Agenda Item	Action	Responsibility	Status	Notes/Update
September 2024 Board Meeting					
Sep-24	2025 Business Plan, Budget and Practising Fees – Outcome of Consultation	CFO to submit the draft 2025 practising fee application to the LSB	KD	Closed	
Sep-24	PII Sandbox application	Head of Registration to inform the applicant firm of the Board's decision	SE	Closed	
Sep-24	2024 Diversity Survey results	Head of Registration to finalise the diversity survey, publish it on the website and notify stakeholders	SE	Closed	
Sep-24	Continuing competence thematic review outcomes	Head of Registration to finalise the report and publish it on the website	SE	Closed	
Sep-24	Response to LSB information request on Internal Governance Rules (IGRs)	CEO to finalise the response and send to the LSB	FG	Closed	
Sep-24	Response to LSB information request on Consumer Empowerment	Director of Policy to finalise the response and send to the LSB	VS	Closed	

IPReg Board Meeting Actions Log - New and Outstanding Actions

May 2024 Board Meeting					
May-24	CEO's Report – Decisions	CEO to write to the LSB on LSA s167	FG	Open	Issue was raised again at the relationship management meeting on 6 September. LSB agreed to reconsider the matter
March 2024 Board Meeting					
Mar-24	Education	Education and Diversity Officer to seek someone new to conduct the assessment, with appropriate preparation	FG/SE	Ongoing	Discussions held with Hook Tangaza
January 2024 Board Meeting					
Jan-24	CEO's Report – New regulatory objective	CEO to consider how to conduct a sectoral risk assessment with external support	FG	Ongoing	Training on ECCTA held on 11 September
December 2023 Board Meeting					
Dec-23	CEO's Report – Articles of Association	CEO to take forward discussions with Kingsley Napley	FG/KD	Closed	Board to be updated November 2024 on process. This will include formal Resolution at December meeting