

The Patent Regulation Board and the Trade Mark Regulation Board

Agenda

Thursday 3 September 2020 at 12 noon

By video conference

1. Apologies
2. Notification of any conflicts of interest

PART A – NON-CONFIDENTIAL ITEMS

3. Minutes of July 2020 meeting and matters arising
4. Action Log (FG)
5. Discussion on Covid-19 – impact on:
 - a. IPReg team (FG) – no paper
 - b. Market (All) – no paper
6. 2021 budget and business plan (KD/FG)
7. Call for Evidence - regulatory arrangements review (AK/FG)
8. Other activities (not covered elsewhere):

CIPA and CITMA

- a. 3 x CEOs: 30 July (FG)
- b. Regulatory Forum: 3 September (Chair)

LSB

- c. Relationship management: 19 August (FG/VS)
- d. PCF consultation stakeholder event: 20 August (FG)
- e. Review of enforcement processes (FG/SE)

Other

- f. Law Tech UK: 28 July (FG)
- g. RPIG (CMA Market Study) quality indicators: 29 July (FG)

h. IP Inclusive Event - racial diversity in the IP professions: time for change: 29 July (FG)

9. Education Group update (CS/VS) – no paper

10. Attorney qualifying courses and examinations - accreditation costs (CS/VS)

11. Diversity funding request – Stemettes (FG)

PART B –CONFIDENTIAL ITEMS

12. Complaints update (SE)

13. Risk register – red risks (FG)



14. **Regulatory Statement**

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

Agenda Item 3: Minutes of July 2020 meeting and matters arising: Redacted in full – published separately

IPReg Board Meeting Actions Log - New and Outstanding Actions

Date of Meeting in which action arose	Agenda Item	Action	Responsibility	Status	Notes/Update
July 2020 Board Meeting					
Jul-20	Covid-19 - Impact on 2021 practising fees	Develop proposal for consideration at the September Board meeting.	IPReg team and SF	Closed	Board paper or be considered on 3 September
Jul-20	Risk registers	Add standing item to Board agenda to assess existing / flag new red items on the risk register.	IPReg team	Closed	
May 2020 Board Meeting					
May-20	Action log - Pro bono	Liaise with CIPA and IP Federation re Professional Indemnity Insurance issues	FG	Ongoing	
May-20	LSB Diversity Information Request	Liaise with IP Inclusive	FG	Closed	Separate dialogue with IP Inclusive on diversity data gathering
May-20	Brunel University Accreditation - Postgraduate Qualifying (Patent) Certificate	Publish Assessment Report on website	VS	Ongoing	Will publish following July Board meeting's consideration of implementation plan and trade mark pathway supplemental report
March 2020 Board Meeting					
Mar-20	Complaints update		MB	Open	
January 2020 Board Meeting					
Jan-20	Regulatory arrangements review	Procure quotes for legal support	FG	Open	Meeting to be arranged with [redacted] to discuss approach to pricing prior to contract
December 2019 Board Meeting					
Dec-19	Action log - Brunel University accreditation	Education Group to take forward Brunel's request to include a trade mark course in the reaccreditation assessment.	Education Group	Ongoing	Application received and assessment visit undertaken
October 2019 Board Meeting					
Oct-19	LSB CEO Meeting	Invite Matthew Hill to Board meeting	FG	Open	Discussed with Matthew. Date TBC
Oct-19	Responses to IPReg consultations on pro bono and run-off cover	Submit a draft pro bono application to LSB early 2020 following discussions with respondents	FG	Ongoing	FG met with IP Federation 25 March. Need to discuss with CIPA re PII
April 2019 Board meeting					
Apr-19	Queen Mary University London - progress report	Continue to monitor and take action as required	Education Sub-Committee	Ongoing	

Board Meeting 3 September 2020

2021 budget and practising fees

Agenda Item: 6

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

Summary

1. We have to consult on the level of the 2021 practising fee and budget/business plan. [REDACTED]

Recommendation(s)

2. The Board agrees to:

- delegate sign off for publication of the consultation document (**Annex A**) and draft budget (**Annex B**)¹ to the Chair, NW and CEO. Also attached at **Annex C** [REDACTED]
- consider the application to the LSB by email/video conference (if required) in advance of the next scheduled Board meeting;
- delegate sign off on the LSB’s consultation (see Resources section in Risks and Mitigations table below) to the Chair, NW and CEO.

Risks and mitigations

Financial	Practising fees are the main source of IPReg’s income. They are collected mainly between January and March each year.
Legal	[REDACTED]
Reputational	<p>We need to consult even though we are not proposing an increase in fees. In June this year, the LSB has provided “feedback” to regulators about its expectations for 2020 practising fee applications. Discussions with the LSB have made clear that this “feedback” is, in reality, guidance that it expects regulators to follow. The LSB has stated in the document:</p> <p><i>“Given the current situation with COVID-19 our starting position is that we would expect a consultation to be conducted by all ARs and [Regulatory Bodies] (even if no PCF increase is proposed) so that they can properly assess the impact of their PCF proposal on their regulated community in the current climate. In doing so, we would expect the</i></p>

¹ [REDACTED]

	<p><i>ARs and [Regulatory Bodies] to demonstrate that they have made reasonable endeavours to engage with their respective regulated community, ask appropriate questions about the PCF and be clear as to how consultation responses were considered. If no consultation is undertaken, we would expect a compelling justification.”</i></p> <p>We would have preferred to consult earlier in the year but the uncertainty caused by the pandemic meant that it was prudent to wait until later in the year. We are proposing a 4-week consultation period. This means that responses will be due around the beginning of October. The LSB takes around 4 weeks to make a decision on our practising fee applications. The next Board meeting is not until 5 November so in order to ensure we have sufficient time to deal with any queries raised by the LSB and to makes necessary changes to the CRM system, we will need Board consideration by email/video conference before the next scheduled meeting.</p>
<p>Resources</p>	<p>The LSB application takes considerable resources each year, particularly those of the Chief Finance Officer and the CEO.</p> <p>The Board should note that the LSB is currently consulting on changes to its requirements for practising fee applications. The proposed changes are likely to increase the resources required for these applications. The consultation closes on 8 October.</p>

Agenda Item 6: 2021 Budget and Business Plan: Redacted in full – for later publication/consultation

Board Meeting 3 September 2020

Review of regulatory arrangements – call for evidence

Agenda Item: 7

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

Summary

Recommendation(s)

1. The Board agrees to launch the Call for Evidence (Annex A).

Risks and mitigations

Financial	We have allocated £40k in the budget for external legal support from [REDACTED] Of this, we anticipate that £24k will come from our reserves.
Legal	[REDACTED]
Reputational	This is a significant piece of work for IPReg and we will need to consult widely in order to ensure that our proposals are informed by as many views as possible including potential new entrants.
Resources	We will need external legal support for this project. The project will need significant resources from the IPReg team and Board over the course of the next 2 years. Recruiting the junior policy officer should help to some extent.

Background

2. The review has been delayed as a result of the pandemic. It now seems appropriate to launch the review and to make use of the now familiar video conferencing facilities to conduct detailed discussions with interested parties.
3. Rather than launch a consultation with a detailed set of proposals we are proposing to launch a wide-ranging call for evidence (Annex A).
4. The January 2020 Board meeting established a sub-group to steer the project. This comprises: AK to chair and AC, ER, KH and SG to be members.

Agenda Item 7 Annex A: Call for Evidence: Redacted in full – for later publication/consultation

Board Meeting 3 September 2020

Decision Paper: Attorney qualifying courses and examinations – accreditation costs

Agenda Item: 10

Lead Board Member: Caroline Seddon, Chair of the Education Working Group

Author: Victoria Swan, Director of Policy (victoria.swan@ipreg.org.uk)

1. Summary

- 1.1 Agencies are required to make an application to become an IPReg-accredited attorney qualification pathway provider. This paper seeks to outline options for the charging of reflective costs to an accreditation applicant. IPReg currently recharges to the applicant agency only the costs of the (two) independent specialist assessors. This paper seeks to prompt discussion as to whether other costs, namely those of the IPReg office and/or the Education Working Group, should be also charged to the agency.
- 1.2 The Education Working Group seeks to have this discussion, with the intention that the profession, through its practice fees, does not incur the costs of accreditation of a qualification. The group proposes a cost reflective of time spent on the review of an application (i.e. cost would be particular to each application, not a flat fee) and would aim to incentivise a targeted and accountable application.
- 1.3 In the recently completed cycle of (re)accreditation of 5¹ qualification pathway providers, the average recharged cost to an applicant agency was £3,966 (this would have been £5162 without the differential absorption as at Footnote 3) with the highest cost being £4860 (this would have been £6260 without the differential absorption). Even should the Board determine to recharge the costs of both IPReg office and the Education Working Group, all other elements being equal, it is envisaged that an accreditation application would not cost an applicant agency more than £10,000.
- 1.4 For the avoidance of doubt, there is no intention to retrospectively charge for either IPReg office time or that of the Education Working Group. The recording of time allocated to Brunel accreditation was to inform the considerations of this paper and was not for recharging in that instance.

¹ The PEB Final Diploma examinations have not yet been subject to (re)accreditation against the Accreditation Handbook, this because of the previous FD4 review and now the wider ranging Mercer Review. Timing of exercise to be agreed with the PEB following Mercer Review.

2. Recommendation(s)

- 2.1 The Board is asked to consider the options for charging accreditation applications at a cost reflective of the resources applied to its consideration, to include the (unsubsidised) recharging of the two specialist assessors consultants and one of the following options:
- a) IPReg office time allocated to the administration, liaison, oversight and review of the accreditation application;
 - b) IPReg Education Group time allocated to the review of the accreditation application and its consequent recommendation to wider Board;
 - c) both a) and b)
 - d) none of the above, the assessors costs only.

3. Risks and mitigations

Financial	There will be financial implications for agencies seeking accreditation though the costs increase would be proportionate and representative of the costs to IPReg.
Legal	There are no identified specific legal risks.
Reputational	It is important that the examinations and courses which would seek to form elements of the attorney qualification pathways meet the accreditation standards.
Resources	Both IPReg office and Education Working Group resources are allocated to consideration of an accreditation application, this paper seeks to charge costs to an accreditation application agency which reflect allocation of those resources.

4. Current accreditation costs

- 4.1 Agencies are required to make an application to become an IPReg-accredited attorney qualification pathway provider. The application needs to demonstrate how the applicant agency seeks to meet the accreditation standards as set out in the [IPReg Accreditation Handbook](#).
- 4.2 An independent legal education specialist is appointed as lead assessor (the individual sets their daily rate) and an independent assistant assessor (daily rate is that of the Board at the time of the accreditation) provides professional practice input. Together they review the accreditation application, visit the application agency and meet with staff (and students, where possible), and submit to IPReg an assessment report setting out whether or not they recommend accreditation.
- 4.3 IPReg recharges the costs of the assessors to the applicant agency. Of the 5 accreditations undertaken against the Accreditation Handbook ², the average cost recharged to an accreditation application agency was £3,966, the highest cost recharged was £4,860. For those 5 accreditations IPReg absorbed a differential of cost³ in relation to the costs of the lead

² The Handbook went live in November 2016.

³ A daily rate of £200 was absorbed by IPReg due to a historically appointed lead assessor (though ultimately did not complete an assessment) who charged £200 less per day than the other lead assessor and IPReg sought to provide parity of charging across the accredited applications. It is considered that the cost differential case is now at an end given all accredited agencies have all been charged at that rate.

assessor. It did not recharge the applicant agency for the costs of the IPReg office in their support for, and oversight of, the accreditation process. Neither did it recharge for the costs of the IPReg Board Education Working Group members in their review of the assessment and subsequent recommendation to the IPReg Board.

- 4.4 To manage cost expectations we currently advise applicants of the assessors' daily costs⁴ (and any reasonable travel and expenses) to be recharged and that the duration of the project is not ringfenced – we are clear that the more targeted and complete the application the more timely the assessment – though we expect it to take a minimum of 5 days and that we expect the lead assessor's time allocation to be more considerable than the individual providing professional input. It is mentioned that both rates are inclusive of VAT though IPReg is not VAT registered.
- 4.5 One of the items of the Education Working Group's work plan was to consider the case for charging more reflective charges for accreditation in order that these costs are not absorbed by the profession. To inform this work, the IPReg office recorded the time allocated to the most recent accreditation exercise⁵. The IPReg office also sought to gain a proxy of the time spent by the Education Working Group in its review of the accreditation assessment. This with a view to being able, going forward, to advise applicants of the scope of costs and to give an idea of their likely timeframe application. The aim of the Education Group is that neither a flat fee, nor a subsidised one, is charged to an accreditation applicant, but one which reflects the costs afforded to consideration of its application (whilst also seeking to incentivise the applicant agency to provide a complete application).
- 4.6 The costs comparison table (annex) sets out:

Column 1 - the costs actually charged to applicant agencies

- i) average cost recharged to an accreditation application agency was: £3,966
- ii) highest cost recharged to an accreditation application agency was: £4,860

Column 2 – the rechargeable costs to those applicant agencies if not absorbing the £200 daily differential of the lead assessor

- i) average cost rechargeable to an accreditation application agency would have been: £5,162
- ii) highest cost rechargeable to an accreditation application agency would have been: £6,260

Column 3 – the rechargeable costs to those applicant agencies if including the proxy IPReg office time allocation to an accreditation

- i) average cost rechargeable to an accreditation application agency would have been: £6,702
- ii) highest cost rechargeable to an accreditation application agency would have been: £7,800

⁴ £500 a day for the lead assessor when absorbing the £200 differential (would be otherwise £700), contemporaneous Board daily rate for professional practitioner assessor.

⁵ Brunel University London – the May 2020 and July 2020 Board meetings considered the accreditation applications of the patent attorney and trade mark attorney pathways.

Column 4 - the rechargeable costs to those applicant agencies if including the proxy IPReg Education Group (proxy) time allocation to an accreditation

- i) average cost rechargeable to an accreditation application agency would have been: £7,872
- ii) highest cost rechargeable to an accreditation application agency would have been: £8,970.

Please note that the Education Group costs are based upon two meetings of the group and work related to them. At both of these meetings, a range of items were covered, not solely the Brunel accreditation. Should the Board decide to include the recharging of IPReg Education Group costs in the consideration of an accreditation the time spent on this will be recorded separately and will be likely significantly less than the proxy.

- 4.7 Whichever option is opted for, potential applicants would be advised of the proxies (and/or likely thresholds, as with the Education Group) of time allocation and daily rates in each instance to give an idea of the possible costs involved. It is not envisaged that an application would cost more than £10,000 in its consideration and it would likely cost approximately £2,000-£3,000 more than it would historically even if recharging both the costs of the IPReg office and the Education Working Group.

5. Recommendations

- 5.1 The Board is asked to consider the options for charging accreditation applications at a cost reflective of the resources applied to its consideration, to include the (unsubsidised) recharging of the two specialist assessors consultants and one of the following options:
 - a) IPReg office time allocated to the administration, liaison, oversight and review of the accreditation application;
 - b) IPReg Education Group time allocated to the review of the accreditation application and its consequent recommendation to wider Board;
 - c) both a) and b)
 - d) none of the above, the assessors costs only.

Annex - Accreditation Costs: Charged vs. Cost Reflective Options

Lead Assessor – costs absorption differential (Column 2): the lead assessor charged £700 a day, IPReg recharged this at £500 a day, this because of the historic appointment of another lead assessor who charged £500 a day; IPReg sought to charge the same rate across all agencies.

Practitioner Assessor (All Columns): the costs were charged at the daily rate of the Board as it was at the time of the accreditation exercise (and is why the daily rate cost varies between £360 and £374, depending upon the calendar year in which the accreditation was undertaken).

IPReg office time (Column 3): IPReg office recorded 5.6 days (8 hour working day/45 hours) to the Brunel accreditation exercise, if it had been recharged to the applicant at office daily rate⁶ of £274 it would have been c£1540 costs.

Education Working Group time (Column 4): this reflects the Board daily rate (£392) at the time of the March 2020 and June 2020 Education Group meetings which considered the Brunel accreditation assessment reports and the total time invoiced for these at 2.8 days (7 hour working day/19.5 hours); if recharged this would be c£1170 costs. Other items were covered in these meetings so this is very much a proxy for a likely smaller amount of time which might typically be charged (should the Board determine to do so).

Examination Agency	1 - Accreditation costs recharged (IPReg absorbing £200 a day differential of lead assessor)	2 - Approximate accreditation costs that would have been rechargeable had IPReg not absorbed a differential	3 - Approximate accreditation costs if including proxy IPReg office time of 45 hours - £1540	4 – Approximate accreditation costs if including proxy Education Working Group time of 19.5 hours - £1170
Bournemouth University	£4,860 <ul style="list-style-type: none"> 7 days lead assessor at £500 daily rate 3.5 days practitioner assessor at £374 daily rate Assessor travel expenses 	£6,260 <ul style="list-style-type: none"> 7 days lead assessor at £700 daily rate 3.5 days practitioner assessor at £374 daily rate Assessor travel expenses 	£7,800 <ul style="list-style-type: none"> 7 days lead assessor at £700 daily rate 3.5 days practitioner assessor at £374 daily rate Assessor travel expenses 5.6 days (45 hours) IPReg office time at £274 daily rate 	£8,970 <ul style="list-style-type: none"> 7 days lead assessor at £700 daily rate 3.5 days practitioner assessor at £374 daily rate Assessor travel expenses 5.6 days (45 hours) IPReg office time at £274 daily rate 2.8 days (19.5 hours) Education Group time at £392 daily rate

⁶ This is the gross salary rate (not including Employers NI rate).

Examination Agency	1 - Accreditation costs recharged (IPReg absorbing £200 a day differential of lead assessor)	2 - Approximate accreditation costs that would have been rechargeable had IPReg not absorbed a differential	3 - Approximate accreditation costs if including proxy IPReg office time of 45 hours - £1540	4 – Approximate accreditation costs if including proxy Education Working Group time of 19.5 hours - £1170
Brunel University	£3,190 <ul style="list-style-type: none"> • 4.7 days lead assessor at £500 daily rate • 2 days practitioner assessor at £360 daily rate • Assessor travel expenses 	£4,190 <ul style="list-style-type: none"> • 4.7 days lead assessor at £700 daily rate • 2 days practitioner assessor at £374 daily rate • Assessor travel expenses 	£5,730 <ul style="list-style-type: none"> • 4.7 days lead assessor at £700 daily rate • 2 days practitioner assessor at £374 daily rate • Assessor travel expenses • 5.6 days (45 hours) IPReg office time at £274 daily rate 	£6,900 <ul style="list-style-type: none"> • 4.7 days lead assessor at £700 daily rate • 2 days practitioner assessor at £374 daily rate • Assessor travel expenses • 5.6 days (45 hours) IPReg office time at £274 daily rate • 2.8 days (19.5 hours) Education Group time at £392 daily rate
Nottingham Trent University	£4,490 <ul style="list-style-type: none"> • 6.3 days lead assessor at £500 daily rate • 2.5 days practitioner assessor at £374 daily rate • Assessor travel expenses 	£5,800 <ul style="list-style-type: none"> • 6.3 days lead assessor at £700 daily rate • 2.5 days practitioner assessor at £374 daily rate • Assessor travel expenses 	£7,340 <ul style="list-style-type: none"> • 6.3 days lead assessor at £700 daily rate • 2.5 days practitioner assessor at £374 daily rate • Assessor travel expenses • 5.6 days (45 hours) IPReg office time at £274 daily rate 	£8,510 <ul style="list-style-type: none"> • 6.3 days lead assessor at £700 daily rate • 2.5 days practitioner assessor at £374 daily rate • Assessor travel expenses • 5.6 days (45 hours) IPReg office time at £274 daily rate • 2.8 days (19.5 hours) Education Group time at £392 daily rate
Patent Examination Board	£3,490 <ul style="list-style-type: none"> • 5.3 days lead assessor at £500 daily rate • 2 days practitioner assessor at £360 daily rate • Assessor travel expenses 	£4,560 <ul style="list-style-type: none"> • 5.3 days lead assessor at £700 daily rate • 3.5 days practitioner assessor at £360 daily rate • Assessor travel expenses 	£6,100 <ul style="list-style-type: none"> • 5.3 days lead assessor at £700 daily rate • 3.5 days practitioner assessor at £360 daily rate • Assessor travel expenses 	£7,270 <ul style="list-style-type: none"> • 5.3 days lead assessor at £700 daily rate • 3.5 days practitioner assessor at £360 daily rate • Assessor travel expenses

Examination Agency	1 - Accreditation costs recharged (IPReg absorbing £200 a day differential of lead assessor)	2 - Approximate accreditation costs that would have been rechargeable had IPReg not absorbed a differential	3 - Approximate accreditation costs if including proxy IPReg office time of 45 hours - £1540	4 – Approximate accreditation costs if including proxy Education Working Group time of 19.5 hours - £1170
			<ul style="list-style-type: none"> 5.6 days (45 hours) IPReg office time at £274 daily rate 	<ul style="list-style-type: none"> 5.6 days (45 hours) IPReg office time at £274 daily rate 2.8 days (19.5 hours) Education Group time at £392 daily rate
Queen Mary University London	£3,800 <ul style="list-style-type: none"> 5.7 days lead assessor at £500 daily rate 2.5 days practitioner assessment at £360 daily rate Assessor travel expenses 	£5,000 <ul style="list-style-type: none"> 5.7 days lead assessor at £700 daily rate 2.5 days practitioner assessment at £360 daily rate Assessor travel expenses 	£6,540 <ul style="list-style-type: none"> 5.7 days lead assessor at £700 daily rate 2.5 days practitioner assessment at £360 daily rate Assessor travel expenses 5.6 days (45 hours) IPReg office time at £274 daily rate 	£7,710 <ul style="list-style-type: none"> 5.7 days lead assessor at £700 daily rate 2.5 days practitioner assessment at £360 daily rate Assessor travel expenses 5.6 days (45 hours) IPReg office time at £274 daily rate 2.8 days (19.5 hours) Education Group time at £392 daily rate
Average	£3,966	£5,162	£6,702	£7,872
Top threshold	£4,860	£6,260	£7,800	£8,970

Board Meeting 3 September 2020

Diversity initiatives funding request - Stemettes

Agenda Item: 11

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

Summary

1. IPReg has provision of £23,783 in its reserves for financing diversity initiatives.
2. We have been approached by one of the Trustees of [Stemettes](#) to see if we would be able to fund some future productions of its online magazine - [Zine](#). This costs around £1k an issue to produce and there are 26 issues a year.

Recommendation(s)

3. The Board agrees:
 - an initial donation of £5k and that we will consider further funding once we see whether there are additional requests for funding from other organisations.

Risks and mitigations

Financial	<p>We have £23,783 in the reserves for funding diversity initiatives.</p> <p>Contributing £2k to IP Inclusive’s operating costs funding was agreed at Board last year and was accrued at the year end and paid this year.</p> <p>We have not paid anything else this year in terms of diversity initiatives but we have projected £7k to the year (funding £2k again for IP Inclusive and £5k on other initiatives).</p>
Legal	<p>[REDACTED]</p> <p>[REDACTED]</p>
Reputational	<p>The LSB places considerable importance in regulators’ work on diversity. Funding appropriate initiatives forms part of our submissions to the LSB on work that we have been doing on diversity.</p>
Resources	<p>This work can be managed within our current resources.</p>

Background

Stemettes

4. Stemettes is a 7-year old social enterprise that operates in tandem with [Stemette Futures](#) (registered charity 1188774). Stemettes [website](#) states that:
 - Its mission is: “to inspire the next generation of females and nonbinary people into Science, Technology, Engineering and Maths (STEM) fields by showing them the diversity of people already in STEM via a series of cohort programmes, impactful events and inspirational content platforms”; and
 - Its vision is: “all girls will be able to make informed decisions about careers in Science, Technology, Engineering and Maths (STEM), so that eventually women can be proportionally represented in the field. So that we can have 30%+ of the UK's STEM workforce being female, as opposed to just 21%”.
5. The Trustee has provided the following information about Zine:
 - Zine is an online blog for young women aged 13+ to get STEM career advice, find female role model advice and access careers guides;
 - Stemettes’ Zine is averaging 4000 users a month with 10,000 views across the site, i.e. each person visiting the website looks on average at 2.5 pages a month. The figures have been affected by the pandemic;
 - There are 26 issues a year of Zine with a cost of around £1000 per issue, to cover 1.5 days a week staff time, online hosting and website maintenance costs plus a contribution to overheads.

Discussion

6. 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:
 - applications would be assessed on a case by case basis on their merits; and
 - IPReg should specifically identify the key diversity issues that each funding request addresses and publish the data.
7. In terms of the request from Stemettes, the key diversity issue is to encourage more young women to consider undertaking STEM subjects (where they are currently under-represented). Zine provides a significant amount of information about STEM subjects and careers as well as articles by and about women working in STEM careers who can be seen as role models for young women.

8. We have been asked to consider funding 5-10 issues of Zine at a cost of £5-10k. This paper recommends an initial donation of £5k and that we will consider further funding once we see whether there are additional requests for funding from other organisations.

Board Meeting 3 September 2020

Information paper: Complaints update

Agenda Item: 12

Author: Shelley Edwards, Head of Registration (shelley.edwards@ipreg.org.uk 020 7632 7175), Mark Barnett, Assurance Officer (mark.barnett@ipreg.org.uk 020 7632 7171)

Summary

1. This paper stands as an update on complaints received and processed by IPReg.

Risks and mitigations

Financial	None. Existing resources are dedicated to the oversight and administration of complaints received.
Legal	[REDACTED]
Reputational	In common with all regulatory bodies, we can expect that complainants who are disappointed with the outcome of their regulatory complaint may make a corporate complaint about IPReg's decision or processes. This reputational risk will be mitigated by the Corporate Complaint policy and procedure which is currently being developed. This will be published on the website and followed where applicable.
Resources	Whilst the overall number of complaints received about regulated persons is low (an average of around 7 complaints every year since 2010), the complaints that have been investigated and taken forward to CRC (and beyond) have been resource-intensive. The development and refinement of internal procedures, as well as the additional capacity to investigate and process cases in-house should assist. The need for external legal support should also be reduced due to increased internal capacity.

Recommendations

2. The Board is asked to note this paper.

Investigation Stages

Under Investigation

Information has been received which is being investigated under Rule 5 Disciplinary Procedure Rules (“DPR”) to determine whether it amounts to a Complaint. If it does not amount to a Complaint¹, the case will be closed. If it does amount to a Complaint, it moves to the Complaint Initiated stage.

Complaint Initiated

Information has been received which suggests a breach of IPReg’s regulatory arrangements under Rule 5.3 DPR. Further investigation and liaison with parties may be required at this stage, including obtaining brief and concise observations on the complaint from the respondent.

CRC

Case has been referred to or is being dealt with by the Complaints Review Committee under Rule 8 DPR. A case at this stage may be adjourned for further investigation, closed, dealt with summarily or referred to the JDP.

JDP

Case has been referred to or is being dealt with by the Joint Disciplinary Panel / Disciplinary Board. under Rule 9.10 DPR.

Appeal

The Disciplinary Board has made a decision following a disciplinary hearing, and this is under appeal or notice has been given that an appeal will be lodged under Rule 20 DPR.

Cases by numbers

Category	Number	Notes
Complaints received in last month (since last meeting)	3	
Total open cases	8	Under investigation = █ Complaint initiated = █ CRC stage = █ JDP stage = █ Appeal stage = █
Complaints closed in last month (since last meeting)	4	

¹ For example, because information provided does not support an allegation of a breach of any of IPReg’s regulatory arrangements, no evidence has been provided to support any allegations made, allegations have been made prematurely (e.g. the firm’s complaints procedure has not been exhausted), the matter is not within IPReg’s jurisdiction (more appropriate to be dealt with by police, LeO, other regulator or organisation) etc

Open cases

Case ref	Stage and Status
[REDACTED]	[REDACTED] [REDACTED]
[REDACTED]	[REDACTED] [REDACTED]
[REDACTED]	[REDACTED] [REDACTED] [REDACTED] [REDACTED]
[REDACTED]	[REDACTED] [REDACTED] [REDACTED] [REDACTED]
[REDACTED]	[REDACTED] [REDACTED] [REDACTED] [REDACTED]
[REDACTED]	[REDACTED] [REDACTED]

	[REDACTED]
[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]

Closed cases in last month

[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]

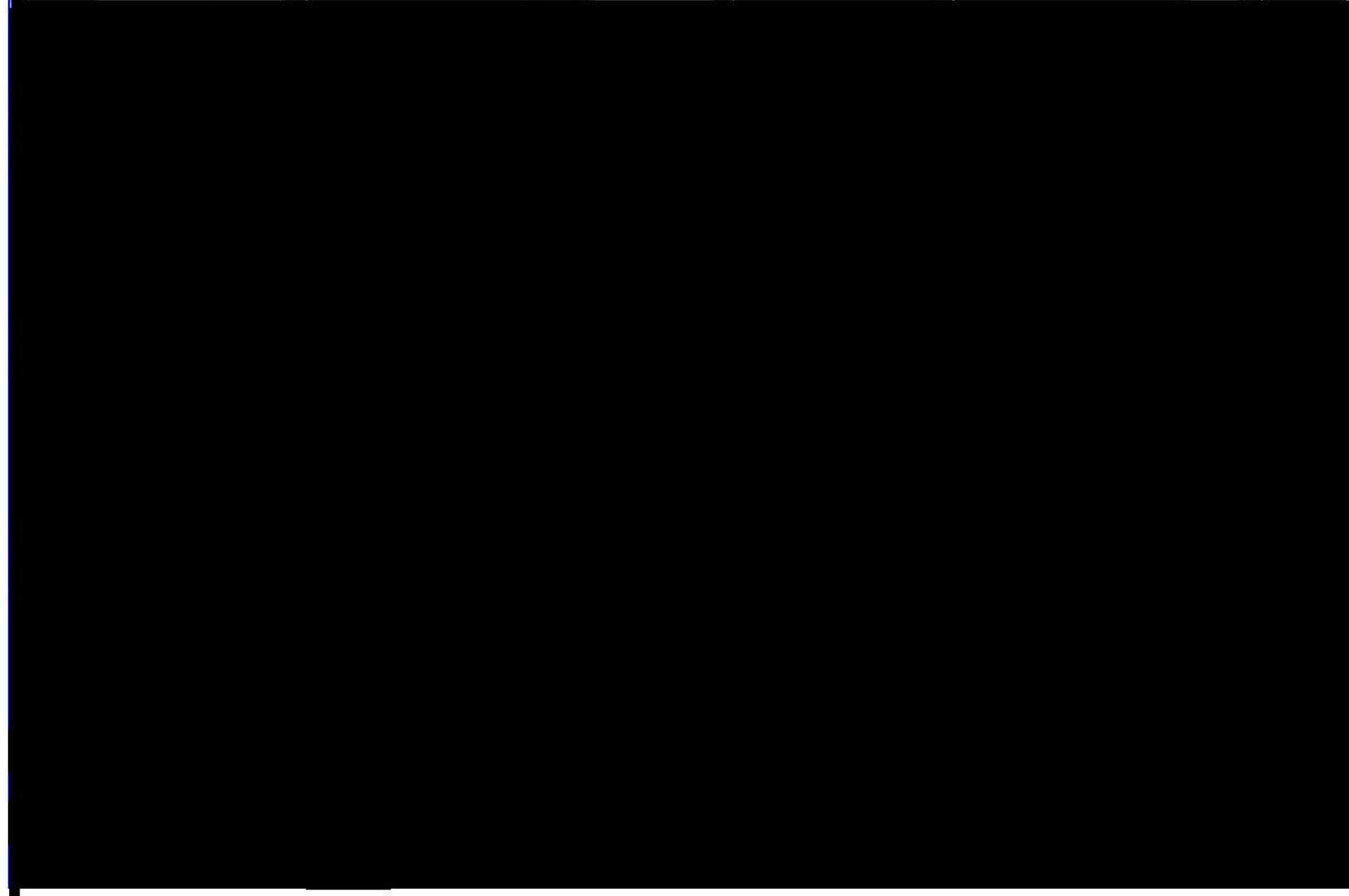
Recommendation

The Board is asked to note this information paper.

Item 13(a) – Risk Register – red risks

Please see next page

IPReg – risk register														
[Redacted]														
[Redacted]														



IPReg

