

The Patent Regulation Board and the Trade Mark Regulation Board

Agenda

Friday 24 March at 10am

Orwell Room, 20 Little Britain, London, EC1A 7DH and online

1. Apologies and welcome
2. Notification of any conflicts of interest

Items for decision/discussion

3. Appointment of Henrietta Rooney and Alan Clamp as Directors of IPReg Limited.
4. Minutes of January 2023 meeting and matters arising
5. IT issues – Drupal migration (FG/SE)
6. Review of Regulatory Arrangements – implementation (FG/SE)
7. Governance Action Plan implementation (FG)
8. Complaints update (SE)
9. IPReg Annual Report (VS/FG)
10. CEO's report (FG)
11. Sanctions update (FG) – this paper and Annexes will not be published – regulatory action being considered

Items to note

12. Action Log (FG)
13. Red Risks (FG)
14. Finance Report (KD)

15. Regulatory Statement

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

The IPReg Board agreed that the new regulatory arrangements will come into force on 1 July 2023.



Board Meeting 23 March 2023

New regulatory arrangements – implementation plan

Agenda Item: 6

Author: Fran Gillon, CEO

This paper is for decision.

Summary

1. Following the LSB's [decision](#) to agree the changes to our regulatory arrangements, we have developed an implementation plan (**Annex A**) for the Board to consider. Key matters to note in the plan are:
 - a. We are proposing that all the arrangements should come into force on 1 May 2023, but with different transitional arrangements (e.g. for CPD and the new requirements for transparency on hidden charges);
 - b. It sets out which topics we will arrange webinars for to explain the changes. CIPA and CITMA have confirmed that they are happy to facilitate webinars;
 - c. It summarises the key points from the LSB's decision notice.
2. The Legal Services Consumer Panel is reviewing our transparency leaflet and will provide a speaker for the transparency webinar. The design agency that is redesigning the Annual Report will also design the final version of the leaflet. We will discuss with them whether it would be cost-effective to develop an animated short video for the website as well.

Recommendation(s)

3. The Board agrees:
 - a. That all the new regulatory arrangements will come into force on 1 May 2023;
 - b. That there will be a transitional period to 30 September for full compliance with the transparency requirements;
 - c. Appoints another lay Board member as Chair of the Review Working Group following Alan Kershaw's resignation from the IPReg Board to take up appointment as Chair of the LSB;
 - d. Delegates to the Review Working Group decisions on queries that the IPReg Team may have about the approach to implementation unless it considers that the issue is one that should be reviewed by the whole Board;
 - e. Waivers - in its decision notice, the LSB encouraged IPReg to consider whether it should formally reserve particularly novel or complex waiver decisions to its Board as part of its overall

governance arrangements. Given the safeguards set out in paragraphs 10 and 11 it does not seem necessary at this stage to reserve these waiver decisions to the Board.

Risks and mitigations

	Risk	Mitigation
Financial	Some expenditure is likely to be required: <ul style="list-style-type: none"> - Training for Disciplinary and Interim Orders Tribunal (formerly JDP) - Transparency leaflet and embedded video content - Changes to Civi CRM to ensure waiver transparency 	Budget of £30k has been allocated for the implementation of the new arrangements.
Legal		
Reputational	This is a high profile project for IPReg. Unclear messaging about the changes is likely to damage our reputation.	<p>Clear explanations through existing channels such as IP Practice Directors' Group, CIPA, CITMA, IP Federation.</p> <p>Publish guidance on the website alongside the new regulatory arrangements asap and publicise to stakeholders.</p>
Resources	This can be managed through our existing resources.	N/A

Background

4. On 7 February 2023, the LSB agreed the full set out changes to our regulatory arrangements that we had developed during the Review. Key changes that the Review implements are:
 - a. Introduction of Overarching Principles;
 - b. Client money rules and Third Party Managed Accounts (TPMAs);
 - c. Continuing Professional Development;
 - d. Mandatory transparency requirements;
 - e. Recognition of overseas qualified attorneys;
 - f. Disciplinary policy and process;
 - g. MDPs;
 - h. PII Sandbox.

5. The changes have been publicised widely throughout the consultation process, a well-attended webinar and in meetings with stakeholders. We have now developed a plan for the work needed to implement them (see Annex A) which includes a communications including webinars.

Options and discussion

Implementation date

6. In order to provide for smooth implementation of the new arrangements, we need to:
 - a. Ensure that IPReg has sufficient time to make changes to its internal systems to support the new arrangements. These changes include:
 - Changes to the CRM and website to ensure that information about waivers is provided on it. This has been developed by our CRM provider, has been tested and is ready to go live;
 - Adapting the entity application process to include information about the need to include transparency information in client-facing literature;
 - Creating the application form for attorneys who apply for recognition of their non-UK qualifications. This will be a paper based form, at least initially, and will draw heavily from the applications used for mutual recognition under the former EU Directive.
 - b. Liaise with stakeholders such as CIPA and CITMA to confirm webinar events;
 - c. Publish the changes to allow attorneys and firms to consider what changes they may need to make to their internal processes in order to comply with the rules;
 - d. Hold a training session for the newly appointed Disciplinary and Interim Orders Tribunal members (formerly the JDP) to be trained in the new disciplinary framework. This has been scheduled for 3 May (see below).
7. We have forecast for some time that the changes will be brought in “no earlier than Spring 2023” and so registrants are aware of the likely general start date of the new arrangements. We consider that 1 May 2023 gives sufficient time for the above steps to have been completed.
8. We considered whether it would be preferable to bring forward some of the requirements so that they come into force before 1 May:
 - a. Transparency requirements – these are likely to require process changes within firms in order to provide the required information to clients. We are developing consumer information for our website and this can be published as soon as it is available;
 - b. Disciplinary and enforcement – although these do not impact most attorneys an earlier introduction would bring us into line with best practice more quickly. However, training needs to be arranged for the Disciplinary and Interim Orders Tribunal (formerly JDP) members. There are 12 members of the Tribunal and we would like the training to be in person as they have never met as a group (their initial training was moved online due to a train strike). Due to availability issues, training has been arranged for 3 May. Although

this will be after the actual date that we are proposing that the new arrangements come into force, there are no investigations that would require a hearing immediately and so there is no risk that we will not have fully trained members of the Disciplinary and Interim Orders Tribunal when we have a case that needs to be referred to them. We have invited [Jonathan's Voice](#) to this training session to raise awareness about mental health and wellbeing issues in disciplinary cases;

- c. PII Sandbox – there has been a higher than expected level of interest in the PII Sandbox (although still fewer than 10). Introducing the PII Sandbox before 1 May would therefore provide an earlier opportunity for these firms/attorneys to benefit from alternative PII arrangements. However, the LSB has insisted that changes to the IPReg website linking the registers to a new waiver page must be in place before any waiver provisions come into effect. Entry to the PII Sandbox would need a waiver of the requirement to have PII that is consistent with the Minimum Terms and Conditions (MTCs) so we have had the necessary changes made to the CRM to facilitate the online process. Further details on timing will be provided at the meeting but it does not seem practical to introduce this prior to 1 May.
9. We also considered whether it would be proportionate to commence the requirements for transparency of charges that are often hidden (such as foreign exchange uplifts) at a later date (perhaps 1 September) to provide for more time for firms to adapt their internal processes to provide the information in their client-facing literature. Our view is that it more consistent to have all the rules come into force on the same day (1 May). This has the advantage that all new applications for registration have to comply with the new rules (we review firms' terms and conditions as part of entity registration applications). However, it may be appropriate for our approach to enforcement to mirror that of the CPD regime, although with a shorter 'grace' period – 30 September would give firms 6 months to make the necessary changes. Firms have already had the opportunity to see the proposed changes and guidance through the extensive consultation process. A set date should motivate firms to move towards compliance as soon as possible. In addition, the consumer leaflet has been prepared (**Annex B**) and we can put that on our website once it is finalised; this will also provide firms with a guide to the sort of information they should be providing.

Waivers

10. Our approach to waivers is set out in one of our new Standard Operating Procedures which was submitted to the LSB. This states:

Decisions [on waivers] are usually made by the CEO or the Head of Registration (on authority delegated by the CEO). Where the decision maker has any doubt as to whether an application should be granted, the matter can be referred to the PRB and/or TRB for determination.

11. Our draft guidance (which was submitted to the LSB) on the PII sandbox states:

The CEO will make the decision whether to admit the applicant to the sandbox and, if so, whether there should be any conditions imposed on their practice. The CEO will take advice from the Board if necessary. The CEO may also ask the Board to make the decision.

12. Waivers will be reported to the Board in the CEO's report. In its decision notice, the LSB encouraged IPReg to consider whether it should formally reserve particularly novel or complex waiver decisions to its Board as part of its overall governance arrangements. The revised governance arrangements are due to be considered at the Board's meeting on 18 May. The most common waiver applications concern CPD; these are normally straightforward and we have significant experience of considering them. At this stage, it therefore seems likely that the only novel or complex waiver decisions will be ones that concern applicants for the PII sandbox.

13. The concept behind the PII sandbox is to provide a 'safe space' in which to test whether appropriate consumer protection measures can be put in place without detailed regulatory prescription of MTCs. The sandbox means that new approaches to PII can be put in place without the usual regulatory penalties for technical breaches.

14. It is possible that we will get applications for the PII sandbox before 1 May (although the power to waive the requirement to have PII that is consistent with MTCs would not be available before 1 May). Given the safeguards set out in paragraphs 10 and 11 it does not seem necessary at this stage to reserve novel or complex waiver decisions to the Board.

Next steps

15. The IPReg Team will take forward the steps agreed by the Board.

Supporting information

Links to strategy and business plan

16. This is a significant programme of work to implement the changes and to ensure that registrants and others that IPReg regulates are aware of their responsibilities under the new Code. We have allocated £30k in the budget to cover the cost of this work.

Supporting the regulatory objectives and best regulatory practice

17. The overall aims of the Review balanced all of the regulatory objectives and in particular:

- Protecting and promoting the public interest - by ensuring adequate standards are in place for all regulated persons;

- Promoting competition in the provision of services - by removing unnecessary barriers to competition and enabling new business models;
- Protecting and promoting the interest of consumers - by providing an appropriate level of consumer protection and ensuring that consumer needs can be serviced by a suitably diverse market of legal services providers.

Impacts

18. We prepared a full [impact assessment](#) as part of the rule change consultation and application. Going forward we will note discussions with, and feedback from, stakeholders to add to our evidence base and amend guidance if necessary.

Communication and engagement

19. We are planning a series of webinars which will focus on the main changes that are being introduced. We will also meet stakeholders on a one to one basis as necessary.

Equality and diversity

20. We prepared a full [impact assessment](#) as part of the rule change consultation and application. This sets out in detail our analysis of the impact of the changes including on EDI.

Evidence/data and assumptions

21. The [impact assessment](#) sets out the evidence and data that we have used.

New regulatory arrangements – implementation plan

Regulatory arrangement	Work done/required	Notes/implementation date	LSB comments in decision notice
Chapter 1 - Overarching Principles			
	Guidance drafted	1 May	None
Chapter 2 – Code of Conduct			
Client care	<ul style="list-style-type: none"> • Transparency: <ul style="list-style-type: none"> ○ Guidance drafted; ○ Finalise consumer information leaflet has been reviewed by the LSCP; design company (Ocean Design) has developed final version (Annex B); ○ Develop embedded video content if cost effective; ○ Webinar to be arranged. 	<ul style="list-style-type: none"> • 1 May – 6 month transitional period (to 30 September) • Prior to 1 May – transparency consumer information leaflet online; • We will consider whether we should include a new category in the first tier complaint monitoring about transparency. Will need notice – requires system change by firms. 	<ul style="list-style-type: none"> • Thematic review – to report Q1 2025; • Monitor the impact of the new transparency arrangements. In particular, it should consider what evidence it will use to determine whether its arrangements are effective, or whether alternative arrangements that offer greater transparency will be needed in the future.

Regulatory arrangement	Work done/required	Notes/implementation date	LSB comments in decision notice
Competence	<ul style="list-style-type: none"> • Guidance drafted • Changes to Civi CRM • Webinar to be arranged 	<ul style="list-style-type: none"> • 1 May – with transitional period of 18 – 24 months • Links to waivers 	Note the intention to review the new approach to ensure it is meeting its objectives and takes into account the LSB’s Statement of Policy on Ongoing Competence
Managing your practice	None	1 May	None
Client money	<ul style="list-style-type: none"> • Guidance drafted • Webinar to be arranged • Changes to Entity Annual Return 	<p>1 May</p> <p>Change to definition was supported during the consultation; firms see benefits of the change; if firms slower to adopt change due to internal processes, client money remains in client account so no risk to consumers; TPMA’s are voluntary.</p> <p>Other requirements unchanged so little impact on firms.</p> <p>We will consider whether a new category in the first tier complaint monitoring about client money is necessary. Will need notice – requires</p>	IPReg must keep under review whether its new approach to client money results in any consumer detriment, and to promptly act should it obtain evidence of harm occurring as a consequence of its approach.

Regulatory arrangement	Work done/required	Notes/implementation date	LSB comments in decision notice
		system change by firms.	
Complaints handling	None	1 May – no substantive change to current requirements We will consider whether we should split the “costs” categories in the first tier complaints reporting in the Annual Return. Will require notice to firms.	None
Requirements for licensed bodies	None	1 May – no substantive change to current requirements	None
Chapter 3 – Admission and authorisation requirements			
Admission to the register - requirements for individuals	None	1 May – no substantive change to current requirements	None
Admission to the register - requirements for bodies	None	1 May – no substantive change to current requirements	None
Admission to the register – recognition of non-UK qualifications	<ul style="list-style-type: none"> Application form to be developed 	1 May. Application form to be largely based on EU	

Regulatory arrangement	Work done/required	Notes/implementation date	LSB comments in decision notice
	<ul style="list-style-type: none"> Website to be updated with new information 	<p>Recognition application form</p> <p>Website to be updated with information required under the Professional Qualifications Act 2022</p>	
Scope of Practice	MDPs – include in a webinar – date to be arranged	1 May – no substantive change to current requirements for existing firms	None
Annual renewal of registration for registered persons	None	1 May – no substantive change to current requirements	None
Additional provisions relating to registration, remaining on the register and re-entry to the register	None	1 May – no substantive change to current requirements	None
Authorisation requirements for role holders	None	1 May – no substantive change to current requirements	None
Approval of compliance officers	None	1 May – no substantive change to current requirements	None
Exiting the registers or removal from the registers	None	1 May – no substantive change to current requirements	None

Regulatory arrangement	Work done/required	Notes/implementation date	LSB comments in decision notice
Additional practising rights – litigation and advocacy certificates	None	1 May - no substantive change to current requirements	None
Requirements relating to education and training providers	None	1 May - no substantive change to current requirements	None
Chapter 4 - Investigation and disciplinary requirements			
Complaints	Training current Disciplinary and Interim Orders Tribunal (formerly JDP) members in new procedures	1 May – training has been arranged for 3 May	None
Interim Orders	Training current Disciplinary and Interim Orders Tribunal (formerly JDP) members in new procedures	1 May – training has been arranged for 3 May	None
Disciplinary stage	Training current Disciplinary and Interim Orders Tribunal (formerly JDP) members in new procedures	1 May – training has been arranged for 3 May	None
Appeals	None	1 May - no substantive change to current requirements	None
Costs	None	1 May - no substantive change to current requirements	None

Regulatory arrangement	Work done/required	Notes/implementation date	LSB comments in decision notice
Publication	None	1 May - no substantive change to current requirements	None
Chapter 5 – Appeals provisions			
Appeals	None	1 May - no substantive change to current requirements	None
Chapter 6 – Miscellaneous requirements			
Service of documents and notifications	None	1 May	None
Waivers	<p>Consider changes to Civi CRM:</p> <ul style="list-style-type: none"> • Online application; • IPReg internal process for considering waivers, risk assessments, scope, time-limits, practice conditions and recording decisions including on publication; • New waiver information page; • Link from Registers to new waiver information page; 	1 May – testing changes to Civi CRM has been completed	<ul style="list-style-type: none"> • Webpage to be complete before waiver provisions come into effect; • Transparency (i.e. publication on IPReg website) to be the default position, unless it was clear in exceptional circumstances that the information was unlikely to be of material significance to consumers. Where a decision not to share the existence of a waiver with consumers was made, we expect that decision to be recorded, along with the reasons for it and any parameters that apply to it (for example time limitation), in a way that would permit scrutiny; • Any waiver decision made by IPReg to be supported by a detailed record of the risk assessments carried out. The scope of such waivers (including, for example, time-limits and

Regulatory arrangement	Work done/required	Notes/implementation date	LSB comments in decision notice
	<ul style="list-style-type: none"> • Review of Scheme of Delegations to consider reservation to the Board for novel/complex applications; 		<p>practice conditions) should also be clear and unambiguous, and available publicly;</p> <ul style="list-style-type: none"> • Encourage IPReg to consider whether it should formally reserve particularly novel or complex waiver decisions to its Board as part of its overall governance arrangements; • Sandbox: <ul style="list-style-type: none"> ○ IPReg to take proactive steps to share information with the LSB through the relationship management process should any issues arise in practice with firms in the Sandbox; ○ Undertake an assessment in 2024 of how the Sandbox is working; ○ Keep the LSB updated through the relationship management process on the use of its sandbox and the evidence being captured over time, including evidence of innovation; ○ We expect the same level of transparency to apply to waivers granted from PII requirements as to any other waivers sought from IPReg.
Registers	None	1 May - no substantive change to current requirements	None
Avoidance of regulatory conflict	None	1 May - no substantive change to current requirements	None

Board Meeting 24 March 2023

Governance and Transparency

Agenda Item: 7

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

This paper is to note.

Summary

1. This paper updates the Board on progress in implementing the steps agreed for months 6-12 of the Governance Action Plan. **Annex A** shows progress made to 8 March 2023. **Annex B** updates the Board on the initial six months' work as at 8 March 2023; at the time of drafting this paper, there were two remaining actions – finding an external minute taker for Board meetings and taking forward IPReg's approach to risk through the Risk Working Group. We hope that we will be able to have an external minute taker at the meeting.

Recommendation(s)

2. The Board:
 - a. Notes progress implementing the Action Plan;
 - b. Agrees that the work on EDI currently scheduled as a Priority 2 action is more appropriately included in the next stage of the Action Plan (12-18 months);
 - c. Agrees to invite external speakers (see Action point 5 in Annex A) to speak to the Board before each meeting;

Risks and mitigations

	Risk	Mitigation
Financial	It is envisaged that there will be costs associated with the proposed work plan, for example for an external minute-taker.	Seek more than one quote.
Legal	[REDACTED]	[REDACTED]
Reputational	Boards which make decisions ineffectively, or in ways that lack	This work should assist IPReg with assurance that it is not exposing itself to such risks.

	transparency, expose their organisations to reputational risk.	
Resources	This work is an addition to the current year's work plans. The main resource currently being expended on it is the CEO's time.	The need for external support may be sought if internal capacity requires it.

Background

3. At its July 2022 meeting, the Board adopted a Governance and Transparency Action Plan in response to the LSB's performance management framework assessment. This was published with the July Board papers.

Discussion and options

4. Two items from the 0-6 months Action Plan are not yet complete:
 - a. Minute taker – after a tender process, we have invited Ubiquis to minute the March meeting;
 - b. Approach to risk – it seems appropriate for this work to be taken forward through the Risk Working Group and provide updates to the Board through reports from that group.
5. The 6-12 month Action Plan is on course. One of the actions is: Review arrangements for action plans, performance indicators and published policies concerning Equality, Diversity and Inclusion (EDI). The new Education and Diversity Officer is due to start on 27 March and this will be an area for him to focus on. Given the scale of the work involved and the high degree of overlap with our work on education, it seems appropriate to put back the target for completing this work to the next stage of the Action Plan (12-18 months) – aiming to complete, or at least make significant progress, by January 2024.

Next steps

6. The CEO will:
 - a. Take forward the appointment of a minute taker, subject to satisfactory minutes being produced of this meeting;
 - b. Set up a meeting of the Risk Working Group;
 - c. Take forward the remaining Priority 2 actions in the Governance Action Plan
 - d. Set up a series of guest speakers for future Board meetings.

Supporting information

Links to strategy and business plan

7. The changes to our approach to governance will support delivery of IPReg's strategic and business plans.

Supporting the regulatory objectives and best regulatory practice

8. Good governance enables the Board to discharge its objectives effectively and transparently. Therefore any improvements to IPReg's governance should support the Board's ability to deliver the regulatory objectives in a manner which is open, transparent, and accountable.

Impacts

9. There are no specific impacts on any type of registrant or consumer.

Communication and engagement

10. We keep the LSB updated on progress at our regular relationship management meetings.

Equality and diversity

11. There are no specific equality and diversity impacts.

Evidence/data and assumptions

12. Nothing specific to this paper.

Priority 2 – medium term actions (6-12 months) – complete by 14 July 2023

1. Revise the format for the next Strategic Plan to ensure IPReg has strategically articulated objectives, clearly aligned with the LSA 2007, with related performance indicators and measurements.

Rationale: These actions are intended to enhance strategic planning and performance monitoring. These initiatives will enable the Board to improve its strategic plan and augment its scrutiny of organisational performance. It will also support the Board in holding the executive to account. This action should support the delivery of LSB Well Led 1.

Suggested approaches: It is suggested that this work is timetabled to align with the current strategic planning cycle. So, the timeline for this needs to take account of the LSB publication of its decision on the regulatory performance framework Standards and Characteristics in Autumn 2022. Substantive thinking would need to take place in November 2022 when IPReg Board considers its strategic objectives in the light of this.¹ Then in July 2023 we would consult on 2024/25 business plan taking account of these discussions. It is important that these plans incorporate Key Performance Indicators which enable the Board to monitor and scrutinise performance. In setting these will be a need to take account of whether the LSB dispenses with the requirement for the performance management database. Such reviews should be underpinned by a reflective approach, with the Board learning from past actions and achievements. Ongoing horizon scanning should be built into this strategic planning process.

Action taken

Date	Action taken
<u>January 2023</u>	<p><u>Strategy meeting agreed strategic priorities for the next 3-4 years:</u></p> <ul style="list-style-type: none"> • <u>Ensuring that IPReg has the staff, IT, external expertise and other resources to provide its core regulatory activities in a pro-active way and to perform well;</u> • <u>Increasing the range of good quality education providers accredited by IPReg, in particular as a tool to increase the diversity of the trade mark and patent attorney professions;</u> • <u>Increase the public profile of IPReg to the regulated community and users of IP legal services.</u>

¹ Note that this was deferred to January 2023 due to a train strike.

2. Develop a cycle of Board Reflection Events which support a culture of reflective practice at this level.

Rationale: These actions are intended to support effective Board planning and performance monitoring. These initiatives will enable the Board to improve its strategic plan and enhance its scrutiny of organisational performance. It will also enhance the Board’s ability to hold the executive to account.

Suggested approaches: An open, reflective approach supports a Board to learn from its past actions or decisions. Developing the Board’s skill in reflective practice will enable it to better learn from its own work. It is suggested that reflection time is built into the Board’s planning cycle. As part of that it is also suggested that IPReg organises some events without the executive present to assist the Board in reflecting on its own practice. Learning from these reflections should be fed into future development of strategies, policies, and procedures where appropriate. It is suggested that the first one of these Board only events should be before the November 2022 strategy meeting.² Ongoing horizon scanning should be built into this reflection process.

Action taken

Date	Action taken
<u>12 January 2023</u>	<u>Board-only discussion took place prior to the strategy morning.</u>
<u>Ongoing</u>	<u>Each Board meeting gets a market update from our external research adviser.</u>
<u>June 2023</u>	<u>Proposed informal Board-only dinner following Board to Board meeting with CLSB</u>

3. Review Rules of Procedure and Terms of Reference (ToR) for the Board and all its working groups and publish these in the Governance Handbook.

Rationale: This action is intended to provide clarity regarding the Board’s role, conduct and behaviour. Ensuring all Committee ToR are up to date (and easily available) will aid transparency in IPReg’s governance arrangements. This action should support the delivery of LSB Well Led 3.

Suggested approaches: It is recognised that our role emanates from the Delegation Agreement (with CITMA and CIPA). Additional governance documents are produced in keeping with this. It is suggested that IPReg periodically reviews these and publishes them in one easily accessible Governance Handbook. It is suggested that, as part of this review, all ToR’s are also checked for consistency with the Delegation Agreement.

Action taken

² Note that this was deferred to January 2023 due to a train strike.

Date	Action taken
<u>January/February 2023</u>	<p><u>Documents updated:</u></p> <ul style="list-style-type: none"> • <u>Code of Conduct</u> • <u>Rules of Procedure</u> • <u>Scheme of Delegations</u> • <u>Schedule of Matters Reserved to the Board</u> • <u>Gifts and Hospitality Policy</u> <p><u>Documents in the process of being developed:</u></p> <ul style="list-style-type: none"> • <u>Board member appraisals and Board effectiveness</u> • <u>Social media and communications policy</u> • <u>Process for Team and Board appointments</u> • <u>Tendering</u> <p><u>It is currently anticipated that the suite of documents will be added to the May Board meeting agenda.</u></p>

4. Set out procedures for annual internal individual Board member and Chair appraisals in writing in the Governance Handbook.

Rationale: This action is intended to support and develop the Board. Appraisal helps the Board to pinpoint good practice as well as identify areas for improvement. As an ongoing process, it helps Boards to maintain their effectiveness.

Suggested approaches (as for independent external evaluation which is priority 3): It is suggested that independent external Board evaluation takes place three years, supported by internal annual Board evaluation annually in-between. The process for the latter can be developed in partnership with external evaluators. These evaluations should help ascertain the effectiveness of the Board’s meetings, decision-making and ability to hold the executive to account, on an ongoing basis. It is suggested that such evaluations include a reflection on, and review of, the quality and timeliness of the information provided to the Board by the executive. Board events without the executive present for the purpose of reflecting on the Board’s own effectiveness and/or support systems may form part of this process. It is also suggested that IPReg produces an action plan setting out any developments agreed as a result of these Evaluations. This may be reported on in the Annual Report. There are budget implications for this area.

Action taken

Date	Action taken
	<u>See above – Governance Handbook</u>
<u>12 January 2023</u>	<u>Board only discussion held</u>

5. Review our use of external expertise in the light of the regulatory arrangements review and consider the potential benefits of using such a system more widely.

Rationale: This action is intended to enhance Board effectiveness, by ensuring it can easily source expertise required for the development of policy and strategy. It should support the delivery of LSB Well Led 3.

Suggested approaches: Not specified

Action taken

Date	Action taken
<u>January 2023</u>	<p><u>Following discussion at strategy day in January 2023, draw up list of external speakers to be invited to Board meetings (30 minutes before the start of each meeting). Current suggestions include:</u></p> <ul style="list-style-type: none"> • <u>IP Practice Directors' Group;</u> • <u>PAMIA;</u> • <u>IP Inclusive;</u> • <u>IPO;</u> • <u>EQE expert;</u> • <u>Apprenticeships expert;</u> • <u>Legal Ombudsman;</u> • <u>Consumer Panel;</u> • <u>Johnathan's Voice/Law Care;</u> • <u>LawTechUK.</u>

6. Review the scope of the Annual Report, with a view to providing enhanced transparency about how IPReg operates.

Rationale: This action is intended to enhance organisational transparency. It should support the delivery of LSB Well Led 3.

Suggested approaches: It is suggested that the Annual Report could include:

- attendance of directors at board and committee meetings;
- key findings arising from Board Evaluation in the Annual Report;
- a section on IPReg's principal risks and approach to risk management.

It is also suggested that alongside this the audited accounts are published on the IPReg website. It is suggested that changes are introduced in the 2022 and 2023 Accounts in keeping with the work required.

Action taken

Date	Action taken
<u>January 2023</u>	<u>CEO has obtained quotes from 3 companies to redesign the annual report to make it more accessible and user friendly. There is a reserve of £10k for Board recruitment and communications.</u>
<u>February 2023</u>	<u>Agreed contract with Ocean Design.</u>
<u>March 2023</u>	<u>Board meeting to consider re-designed Annual Report.</u>

7. Review arrangements for action plans, performance indicators and published policies concerning Equality, Diversity and Inclusion (EDI).

Rationale: This action is intended to enhance organisational transparency and improve planning and performance monitoring. This action should support the delivery of LSB Well Led 3.

Suggested approaches: It is suggested that this considers arrangements for publishing Equality, Diversity, and Inclusion (EDI) policies, and develops EDI action plans with clearer milestones to facilitate an easier assessment of progress. There should be clear performance indicators to measure progress against the Diversity Action plan.

Action taken

Date	Action taken
<u>January 2023</u>	<u>Suggest that this action is likely to take longer than 6 months and needs to be developed once the new Education and Diversity Officer has been in post for a few months.</u>

Priority 1 short term Actions: 0-6 months – complete by 14 January 2023

1. *Review the items considered at Board meetings to ensure agendas meet IPReg's current and future strategic and regulatory objectives.*

Rationale: This action is intended to support effective Board decision-making. Developing clarity and precision about what the Board wishes to consider at its meetings (both now and in future) will enable it to ensure its discussions are well-planned and that it receives the information it needs to set strategy and scrutinise performance. Regular review of this nature also enables the Board to learn from its reflections about its own effectiveness. This action should support the delivery of LSB Well Led 1.

Suggested approaches: It is strongly suggested that future Board Agendas should include a quarterly review of organisational performance against the Strategic and/or Business Plan. It is also suggested that the Board considers including reports from the Chair and/or Chief Executive alongside regular reports from Chairs of Sub-Committees or Working Groups at each Board Meeting. Other regular reports could include learning from organisational complaints. It is also suggested that this review also consider the current break down between public and confidential Board Agenda items, as well as IPReg's overall approach to redaction, with a view to increasing transparency. Lastly, it is suggested that the Board develops a rolling Forward Plan of Agenda items. This will provide stakeholders with transparency about the Board's decision-making cycle. Board away, reflection time, horizon scanning, and strategy development could be included in this.

Suggested actions:

- a. Board agenda structure:
 - Standing items (each meeting) = apologies; conflicts; minutes; action log; Chair's report; CEO report; working group reports; red risks; finance report; Governance Action Plan implementation;
 - Quarterly reports = performance vs business plan; KPIs (when developed – currently LSB's performance management data set); research update report including horizon scanning; diversity – work in progress, updates from sponsored organisations;
 - 6-monthly reports = risk register; complaints about IPReg;
 - Policy items – non confidential = Review of regulatory arrangements progress;
 - Policy items – confidential = complaints (suggest that this is broken down into a publishable covering paper with numbers + confidential Annex with case details; LSB engagement;
- b. Board agenda to indicate whether a paper and related Annexes will be published. Also whether the paper is for decision/discussion or to note;
- c. Forward planning – standing items:
 - January: staff pay review; annual declaration of interests review;
 - March: IPReg Annual Report;

- July: auditor’s report and IPReg Limited accounts; business plan and practising fees;
- September: decision on business plan and practising fees;
- November: strategy day (preceded by Board only discussion).

d. CEO’s report to include:

- CIPA/CITMA CEOs meetings;
- Other external meetings;
- TBC

Planned actions

- Develop new Board agenda template
- Test with Team and amend as necessary

Action taken

Date	Action taken
August 2022	Structure drafted – see above
September 2022	Further revisions to structure of agenda – to be trialled at November Board meeting
September 2022	Standing items identified and will be included in draft agendas for 2023 Board meetings
December 2022	Action completed

2. *Review the template for Board Meeting papers to ensure that these meet IPReg’s current and future strategic and regulatory objectives.*

Rationale: This action is intended to support effective Board decision- making. Reviewing the structure and content of meeting papers will enable the Board to ensure it receives the information it needs to make effective decisions and hold the executive to account. Regular review of this nature also enables the Board to reflect on its own effectiveness. This action should support the delivery of LSB Well Led 1.

Suggested approaches: It is believed that all Board papers should clearly appraise different options, fully explore risks and mitigations, set out the relevant the evidence base and/or summarise relevant stakeholder feedback. Papers should also set out the background to recommendations including the process used to develop proposals so that any previous discussion and decisions affecting the item are understood. Other beneficial additions to the papers template might be details on communication plans, equality, diversity and inclusion considerations, and linkages to the strategic plan. [FG 4 August 2022 – also: (a) discussion of relevant regulatory objectives; (b) better regulation principles]

Planned actions

- a. Design new template;
- b. Discuss new template with Team and amend as necessary;
- c. Introduce new template at November Board meeting – amend as necessary following Board feedback;

Action taken

Date	Action taken
5 August 2022	New template drafted for discussion with IPReg Team
August 2022	Agreed that new template will be trialled at the November 2022 Board meeting
November and December Board meetings	Feedback from November Board meeting on new board paper structure fed back to team. Changes to be implemented in December Board papers.
<u>January 2023</u>	<u>Action completed</u>

3. *Expand Board minutes to provide detailed reasoning for Board decisions.*

Rationale: This action is intended to support effective Board decision-making. More fulsome minutes will provide enhanced clarity about the board’s decision-making process, better reflect its rationale underpinning such decisions and better demonstrate its effectiveness in holding the executive to account. This action should support the delivery of LSB Well Led 1.

Suggested approaches: It is suggested that minutes should outline options considered, capture issues raised during discussion, and provide more of the reasoning for decisions taken. It is suggested that this is best enabled by a modest expansion of the budget to fund a minute taker.

Planned actions

- a. Design new template for minutes – linked to structure of new Board paper template
- b. Explore professional minute takers – [Chartered Governance Institute](#) (CGI) and others

Action taken

Date	Action taken
August	Outline template for Board minutes drafted for discussion with IPReg Team
11 August	CGI public practice membership directory is being upgraded, not currently available. NB – website states “use the Public Practice tab to find members that provide independent governance services”.
August	Agreed that new approach to minutes will be trialled at the November Board meeting
2 September	Contacted CGI by web contact form
3 October	Response from CGI – try posting on their LinkedIn, Facebook and Twitter. KH investigating other options.
November	Member of IPReg Team conducting search for minute taker
January 2023	Invited 3 companies to tender for minute taking following initial research and discussions. Two companies responded positively. They were sent a recording of the January meeting after signing NDAs and were asked to provide minutes of two of the discussions for which the relevant Board papers were also provided.
March 2023	Evaluation of the minutes drafted by the two companies resulted in Ubiquus being invited to the March Board meeting to minute it in full. Their charge (TBC) is £450 + VAT for a three hour meeting.

4. *Publish the Governance Action Plan with Board papers, and report on progress in subsequent Annual Reports and Board meetings*

Rationale: This action is intended to enhance organisational transparency. It should support the delivery of LSB Well Led 3.

Suggested approaches: none

Planned actions

- a. Publish Action Plan;
- b. Updates to September, November, December 2022 Board meetings;
- c. Updates to all 2023 Board meetings;
- d. 2023 Annual Report to include update (NB – Action Plan #17: 6-12 month priority: review the scope of the Annual Report, with a view to providing enhanced transparency about how IPReg operates);

Action taken

Date	Action taken
August	Governance Action Plan published with July Board papers
September	Update to Board meeting
November	Update to Board meeting
December	Update to Board meeting
January 2023	Action completed – regular Board updates will continue

5. *Publish a Publication Policy setting out what IPReg will publish or make available to the public*

Rationale: this action is intended to enhance organisational transparency. It should support the delivery of LSB Well Led 3.

Suggested approaches: none

Action planned

- a. Review other regulators' publication policies;
- b. Draft IPReg's Board publication policy – to take into account new Board paper template and new approach to minutes. NB – policy on publication of disciplinary information is being developed separately as part of the Review of regulatory arrangements;

Action taken

NB - needs to go to the Board December 2022 for approval

Date	Action taken
September 2022	Other regulators' policies reviewed
September 2022	Draft publication policy being developed based on ICO model policy
October 2022	Publication policy on schedule for December Board meeting
December 2022	Board paper to consider draft publication policy
<u>January 2023</u>	<u>Publication policy and scheme published on website</u>
	<u>Action completed</u>

6. *Review the Board’s approach to risk and set out its policy and procedures for managing risk in writing*

Rationale: this action will support the Board in its ability to manage risk strategically and operationally. This action should support the delivery of LSB Well Led 3

Suggested approaches: none

Action planned

January 2023 Strategy meeting – to discuss approach to risk.

Action taken

Originally this had been planned for a decision at the Board meeting in January 2023 – to take into account outputs from the November 2022 strategy day. The strategy day has been postponed to January 2023 due to industrial action on the rail network. This issue will therefore probably be for decision at the March 2023 meeting.

Date	Action taken
<u>January 2023</u>	<u>Board discussion at strategy morning considered its approach to risk oversight and decided:</u> <ul style="list-style-type: none">• <u>To establish a Board Risk Working Group (RWG) (task and finish) to develop the Board’s approach together with the scope of key risk and performance indicators. Membership: VO, SF, JB, SP;</u>• <u>The RWG’s remit would be to:</u><ul style="list-style-type: none">○ <u>Develop the risk policy;</u>○ <u>Develop a set of procedures for the Board to use to enhance its assessment of risk;</u>○ <u>Consider whether improvements could be made to the assessment of, and the approach to, risk.</u>• <u>That it would be appropriate to have a bolder risk appetite in order to support its desire to encourage innovation in the provision of IP legal services;</u>• <u>That it would continue its approach whereby red risks are considered at each Board meeting and the entire risk register would be considered every 6 months;</u>• <u>An annual review of risk management arrangements;</u>• <u>An external review of the Board’s approach to risk oversight would be conducted approximately every 2 years.</u>

January 2023 – continuing actions required:

#3 – external minute taker

#6 – development of approach to risk oversight through the Risk Oversight Group

Board Meeting 24 March 2023

Complaints Update

Agenda Item: 8

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

This paper is to note

Summary

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

Recommendation(s)

2. 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.
Legal	[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	Analysis of complaints data over the last 6 years shows that whilst the number of complaints received seems to be increasing,

	<p>Head of Registration. There is a risk that a significant increase in cases will outstrip the internal capacity of the team</p>	<p>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</p>
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Background

3. 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 received information about the subject of the complaint due to IPReg’s current disciplinary process which may result in Board members sitting as decision makers on the Complaint Review Committee.
4. The Board has indicated it would find different information helpful, focussing less on the individual complaint and more on general trends and timeliness.

Discussion

5. The Board should note the information in this paper.

Next steps

6. The Board should note the information in this paper.

Supporting information

Links to strategy and business plan

7. 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

8. 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.
9. IPReg follows best regulatory practice in the identification, investigation and processing of complaints and disciplinary hearings. Internal decision makers are qualified legal professionals with backgrounds in regulation and professional discipline. Members of the Complaint Review

Committee and Joint Disciplinary Panel 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

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

Communication and engagement

11. 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

12. There are no specific equality and diversity issues.

Evidence/data and assumptions

Cases by numbers

As at 16.3.23

- Total open cases 6
- Cases opened since last meeting 3
- Cases closed since last meeting 3
- Change (from last meeting) -

Year to date (from 1 January 2023)

- Total cases received 3
- Total cases closed 2

Legal Ombudsman

Complaints received in last month 0

Cases open 0

Timeliness

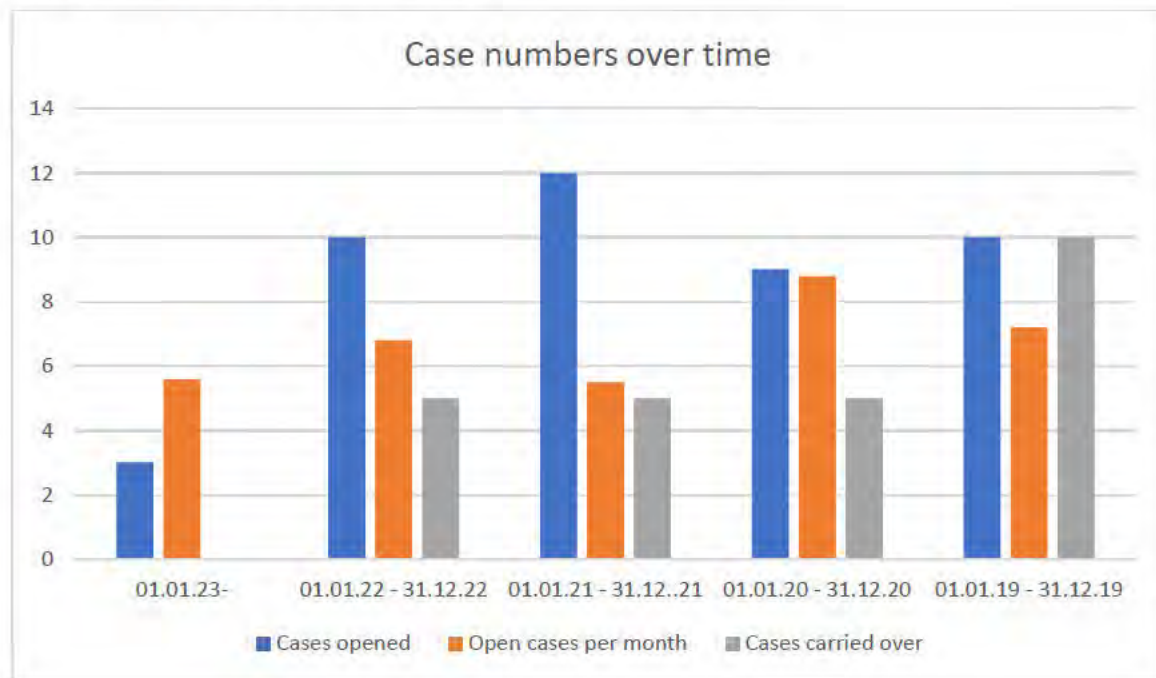
Oldest open case 126 weeks (2y 22w)

Newest open case 2 days

Mean 25.4 weeks

Median 42 weeks

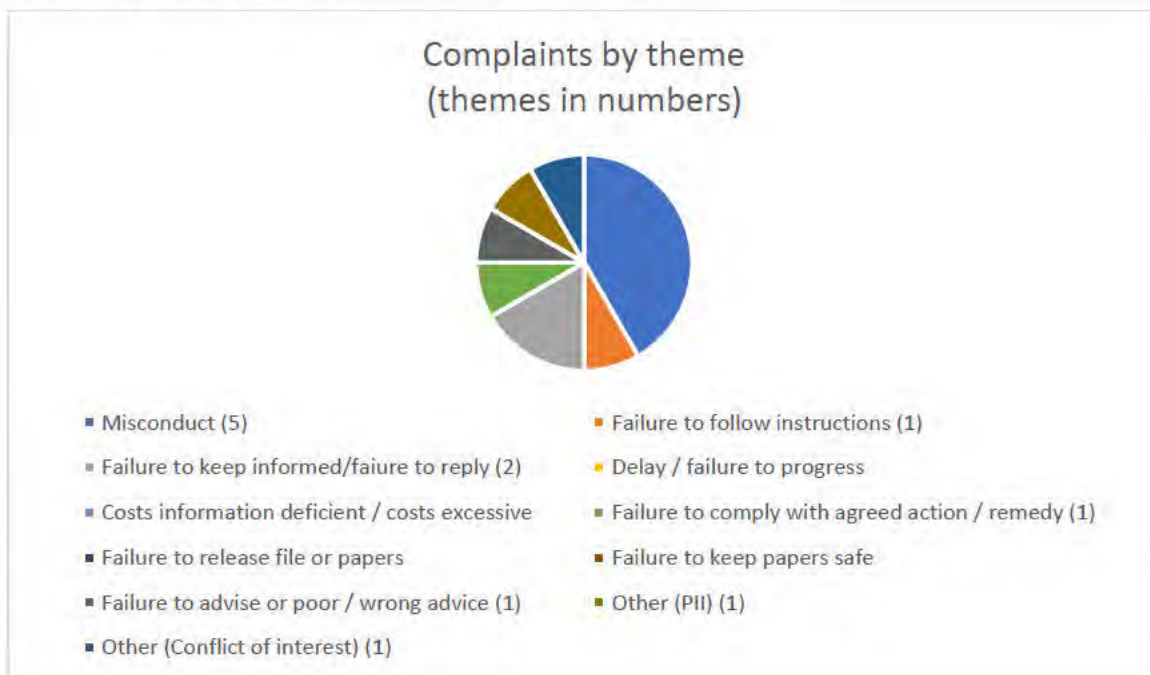
Analysis and trends (12 month periods)



	01.01.23 - date	01.01.22 – 31.12.22	01.01.21 – 31.12.21	01.01.20 – 31.12.20	01.01.19 – 31.12.1 (4 cases carried over from previous period)
New cases opened / received	3	10	12	9	10
Total open cases during period	8	16	17	19	14
Overall case numbers open per month (range)	5 - 7	6 - 9	3 - 8	5 - 12	5 - 9

Overall case numbers open per month (avg)	6	6.8	5.5	8.8	7.2
Cases carried over to next period		5	5	5	10
Cases closed/resolved within 12 weeks	33%	50%	50%	44%	10%
Cases closed/resolved within 26 weeks	33%	60%	58%	50%	50%

Open complaints by theme



Misconduct includes:

- Misappropriation of funds (2 cases)
- Unprofessional / inappropriate conduct with a third party (2 cases)
- Dishonesty / fraud in filing patent applications (1 case)

Board Meeting 24 March 2023

2022 Annual Report

Agenda Item: 9

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

This paper is for decision/discussion.

Annex A to this Board paper will not be published – draft document.

Summary

1. Each year, IPReg publishes an Annual Report setting out its work against its business plan for the previous year. This year, we have engaged an external agency to help us redesign the report to make it more accessible and user friendly. The draft report is at **Annex A**.
2. The re-design for the 2022 Annual Report is a ‘one—off’. We will need to do work on shaping a brand identity through the choice of colour palettes and typefaces which can be used as the basis for other marketing and communication materials to create consistency. This could be done as a standalone piece of work or in conjunction with website redevelopment. We would tender for the work.

Recommendation(s)

3. The Board agrees to publication of the 2022 Annual Report.

Risks and mitigations

	Risk	Mitigation
Financial	No specific financial risks. The work on this Annual Report does not commit us to work with the same company in future.	N/A
Legal		
Reputational	The redesigned report should enhance IPReg's reputation and encourage more people to read it. This will in turn support our moves to greater organisational transparency.	N/A
Resources	The work has been managed within existing resources with external support from design experts.	N/A

Background

4. The Governance Review identified the need to review the scope of the Annual Report, with a view to providing enhanced transparency about how IPReg operates. It suggested that the Annual Report could include:

- attendance of directors at board and committee meetings;
- key findings arising from Board evaluation;
- a section on IPReg's principal risks and approach to risk management.

Options and discussion

5. The approach to the 2022 Annual Report provides a stepping stone in the process to make the documents we put on the website more accessible and informative. There are still some gaps in terms of the changes identified by our governance review – notably our principal risks and our approach to risk management which we will be developing. There has not yet been an external Board evaluation; the process for doing this will be considered in a paper to the May 2023 Board meeting. However, the re-design is a major change which should make the report more eye-catching and readable.

Next steps

6. CEO to publish the 2022 Annual Report on the website.

Supporting information

Links to strategy and business plan

7. The Annual Report provides registrants and others with details about how we have implemented the previous year's business plan as well as financial information and governance matters.

Supporting the regulatory objectives and best regulatory practice

8. Publication of the Annual Report supports all the regulatory objectives since it covers all the work that we undertake. It also supports the better regulation principle of transparency of regulatory activities.

Impacts

11. There is no direct impact on any group of attorneys.

Communication and engagement

9. The Annual Report is a key document about our activities. We will put it on the website and draw it to registrants' attention. We will also provide a link to CIPA, CITMA and other stakeholders such as IP Inclusive.

Equality and diversity

10. No direct impact, although a new design could make information about us easier to read. Tags have been added throughout the document that should aid readers using reading software. These will be manually checked by Ocean in the final draft to ensure none have gone out of sequence.

Evidence/data and assumptions

11. This does not apply to the issues considered in this paper.

Board Meeting 24 March 2023

CEO report

Agenda Item: 10

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

This paper is for discussion.

Summary

1. This paper sets out the main issues to bring to the Board’s attention that are not subject of a full Board paper.

Recommendation(s)

2. The Board is asked to:
 - a. Agree to sponsor the In2Science programme for 10 young people (see paragraph 20) at a cost of £10k;
 - b. Agree that IPReg Team members can have an additional bank holiday on Monday 8 May for the King’s coronation (see paragraph 23);
 - c. Note this paper.

Risks and mitigations

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

Background

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

Meetings held

CIPA and CITMA

4. The 3 CEOs met on 25 January; the planned 22 February meeting was postponed. The meeting discussed:
 - a. IPReg's Patent Examination Board re-accreditation report;
 - b. Staff changes at IPReg;
 - c. Review of regulatory arrangements – update and proposed webinars;

- d. Sanctions.

LSB engagement

5. At the relationship management meeting on 8 February we discussed:
 - a. Regulatory performance assessment – the LSB has not yet finalised the process for what they will require regulators to provide in order for them to conduct their assessment. The first request will be in June as planned. The LSB will write “in the next few weeks” about the role of Boards in the new framework. **An update will be provided at the Board meeting.** See also paragraph 8;
 - b. Sanctions – we gave an update on our work;
 - c. PEB reaccreditation;
 - d. Ongoing competence – responses are being analysed and we will be contacted if any issues are identified. Publication of results may be done in April;
 - e. First tier complaints – a research report is due at the end of March followed by a consultation in April/May;
 - f. Review of regulatory arrangements – we explained our plan for a consumer information leaflet and involving the Legal Services Consumer Panel in it;
 - g. Governance – IPReg and LSB Board changes.

Conferences/webinars attended by Team and Board members

6. None to report.

2023 Annual Renewal and fee collection process

7. This started on Monday 5 December. Suspension warning emails were sent on 1 February to those attorneys who had not completed their annual returns/paid their fees. **An oral update will be provided at the meeting.**

Regulatory Performance

8. A letter dated 16 February was received by the IPReg Team on 9 March. This is attached at **Annex A**. The letter suggests that “assurance mapping” would “involve Boards identifying in advance the sources of assurance they would likely rely on in assessing the extent to which they demonstrate the 20 characteristics, and, summing that up, their performance against the three standards. The assurance map might then be used as a template for suitably regular performance reporting, both internally and to the public and stakeholders”. The IPReg Team will consider what this might mean in practice. There is also the suggestion from the LSB of further bi-lateral or collective discussions about the new framework.

Horizon scanning and research

9. David Bish has provided an External Market Update report at **Annex B**. Looking at legal and economic market trends, he has identified several areas on which IPReg should consider focussing attention in the

context of financial pressures on consumers and markets as a result of a lack of confidence in the UK and other global economies. Environmental, social and governance (ESG) impacts and responsibilities of those we regulate and of IPReg itself, increasing drivers for diversity within top UK companies and the LSB's focus on transparency and data-driven decision making are among the areas that IPReg should consider committing resources. He reports that while there are signs of reducing demand for legal work, (notably transactional work) Law Tech continues to grow and develop, potentially accelerating the need for legal regulators to grapple with some of the issues that AI such as Chat-GPT will inevitably create.

Contracts (commercially confidential information about contracts will be redacted)

10. I invited three companies to tender for the design of the 2022 Annual Report. With the Chair's agreement, [Ocean Design](#) has been awarded the contract. The estimated total cost for the Annual Report is [REDACTED] (plus VAT as applicable). Ocean Design has also agreed to produce a version of the consumer facing transparency leaflet for and estimated cost of [REDACTED] (plus VAT as applicable) which we can put on the IPReg website. In due course I will discuss with them producing a 1.5 – 2 minute video on transparency.
11. All the companies I contacted recommended developing an "IPReg brand" including brand guidelines. Depending on the success of the work on the Annual Report and consumer leaflet I will take that discussion forward and go out to tender for the work.

Patent Examination Board (PEB) – discussion with CIPA (Annex not for publication – draft document)

12. On 9 March we met with CIPA officials and Council members. The meeting discussed at a high level CIPA's developing thinking about the changes that could be made to resolve the governance issues that the recent accreditation exercise had identified. The discussion was wide-ranging and included: how the governance and operational aspects of the PEB's work could be separated; issues that would be raised if the PEB were brought back "in-house" to CIPA; the model that had been developed by the CLSB and had recently been approved by the LSB; outputs from the Mercer review; the need to review the competency framework and ensure that competencies at "day 1" are identified; the importance of separating knowledge from competence; the EQE proposals and the impact they might have.
13. We encouraged CIPA to develop its ideas further and emphasised the importance of getting wider input into any changes it wants to propose.
14. In terms of next steps on the wider approach to routes to entry to the patent profession, having considered possible approaches, I have moved away from the idea of getting paid consultancy advice at this stage. I am proposing a wider discussion with the IP and academic community which should provide a rich source of ideas and possible solutions for us to take forward. It would be helpful to get a steer from the Board on a draft initial scoping paper (**Annex C**) so that work can be taken forward by the Education Working Group.

Other matters

CPA Global/Clarivate – class action update

15. Board members will be aware of the class action that is being taken against an IPReg-regulated firm. A recent High Court decision rejected the firm's request to strike out the action. This was reported in [Legal Futures](#) and we received a press enquiry about it. The enquiry and my response is at **Annex D**. We have also been contacted by Peter Rouse and have responded to him along the same lines.

IPReg Finance Report

16. Please see separate agenda item

IP Inclusive – funding operational costs

17. In March 2021, the IPReg Board agreed, amongst other things: in principle to continue to sponsor IP Inclusive's operating costs at around the current level; this will provide certainty to IP Inclusive for future years. On 17 January, I received a request from IP Inclusive to fund its £2,500 operating costs for 2023. Feedback on last year's funding was very positive: we donated £2,000 to cover basic operating costs and an extra £600 to set up the accounting package Xero which has been extremely useful to IP Inclusive.
18. The Chair agreed by email that the request was consistent with the Board's March 2021 decision and that we should continue to fund IP Inclusive's operating costs in 2023. This can be funded from the Diversity Initiatives Reserve of £20k.
19. IP Inclusive's [2022 Annual Report](#) has been published.

In2Science – request to fund summer programme

20. The CEO met In2Science on 25 January. **An oral update will be provided at the meeting.** In2Science's impact report is at **Annex E** and its 2022 summer programme report including an IP case study is at **Annex F**. In2Science has also requested that we fund 10 young people on its 2023 summer programme at a total cost of £10k (**Annex G**). This can be funded from the Diversity Initiatives Reserve of £20k (less the IP Inclusive funding set out above).
21. Although IPReg does not have a formal framework for assessing funding applications, at a meeting of the (then) 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.
22. Funding this initiative is consistent with the regulatory objective of encouraging an independent, strong, diverse and effective legal profession. In addition, as the impact report and summer 2022 programme report show, In2Science is having a significant impact on encouraging a more diverse cohort of young people into STEM subjects/careers and has increased its focus on IP as a career. In 2022, we funded eight places at a cost of £8k and we have included reference to In2Science in the 2022 Annual Report to highlight the diversity issues that the funding addresses.

Coronation bank holiday

23. **The Board is asked to agree** that the IPReg Team members can have an additional bank holiday on Monday 8 May for the King's coronation. This is consistent with our approach in previous years (e.g. the Queen's platinum jubilee and her funeral).

Switching regulators – from the SRA to IPReg

24. We are discussing with the SRA a process by which firms could switch from being regulated by them to being regulated by IPReg. Although we have had firms switching to us before, it has not been within the framework of a formal agreement. The framework is likely to be based on:

- a. A bi-lateral Memorandum of Understanding (MoU) which formalises our current approach of working together and resolving complex issues to protect consumers;
- b. A Switching Protocol to:
 - Confirm the parties' responsibility for a firm's regulation and its indemnity arrangements once a firm switches regulator;
 - Provide a framework to facilitate the switching between the parties, including the sharing of lawful information in support of the protection of consumers;
 - Support the parties in keeping consumers informed about who regulates which individuals and firms.

An oral update will be provided at the meeting.

IP Federation Annual Report 2022

25. This has been [published](#) on the IP Federation website.

Press reports

26. Board members may be interested in these articles:

- a. <https://www.legalfutures.co.uk/latest-news/lawtechuk-confirms-it-will-survive-closure-of-host-body>
- b. <https://www.legalfutures.co.uk/latest-news/legal-services-board-needs-to-focus-more-on-access-to-justice>
- c. <https://www.legalfutures.co.uk/latest-news/new-chair-a-dominating-issue-for-legal-services-board>. This external evaluation report (the results of which were, in the consultant's view, "unusually positive") is on the LSB website [here](#). The external stakeholders who were interviewed were: Ministry of Justice, the Office for Legal Complaints, the Legal Services Consumer Panel and the Judicial Diversity Forum.

Chris Smith
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16 February 2023

Dear Chris

Providing assurance under the LSB's new regulatory performance framework

Following the publication of our 2022 Regulatory Performance Assessment report, our attention has turned to the full implementation of our new Regulatory Performance Framework. I have had helpful initial conversations with some of you (for which many thanks) about how the boards of regulatory bodies might go about seeking their own assurance of their performance against the new standards in our framework. To this end, I thought it would be helpful to set out some thoughts on how you might approach this, with a view to reducing the need for additional information to be produced at assessment time.

Background

As we were transitioning from our previous framework to our new one, we used a hybrid approach for our 2022 assessment. This meant that we asked regulators to provide us with assurance about their performance against the standards in our previous (2018-2022) framework, but we used our new framework's rating system and a narrative approach to presenting our assessments.

We found that using the hybrid approach for our 2022 assessment worked well. We believe that evaluating the level of assurance regulators provided about their performance against the standards combined with the narrative approach to presenting our assessments provided a more realistic picture of where regulators were doing well and where there were opportunities (and indeed requirements) for improvement.

Our 2023 assessment, which will start in June, will be the first to be done entirely under our new framework. This means that as well as using our new rating system and approach to presentation, we will seek assurance from regulators about their performance against the new standards set out in our [Sourcebook of Standards and Characteristics](#), which are as follows:

- **Well-led:** Regulators are well-led with the resources and capability required to work for the public and to meet the regulatory objectives effectively.
- **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.
- **Operational delivery:** Regulators' operational activity (e.g. education and training, authorisation, supervision, enforcement) is effective and clearly focused on the public interest.

The standards are supported by 20 characteristics which describe the features of effective regulators and are derived from regulators' statutory duties and regulatory arrangements.

Assurance mapping

When we consulted on our new framework, we emphasised that one of its aims was to give regulators more autonomy about how they carry out their work while providing clarity about our expectations of their performance.

One helpful suggestion that has come up in discussion, and which I share with you now, relates to "assurance mapping". This would involve Boards identifying in advance the sources of assurance they would likely rely on in assessing the extent to which they demonstrate the 20 characteristics, and, summing that up, their performance against the three standards. The assurance map might then be used as a template for suitably regular performance reporting, both internally and to the public and stakeholders.

In an ideal world we might aim for a position that the regulator's own assurance mapping, with regular reporting against it and effective self-challenge obviates the need for any additional information to be supplied to the LSB at assessment time. While we recognise that such an ideal world may not in fact exist, we ought to be able to get quite a long way towards it.

We would like to develop these ideas further with you, either bilaterally or collectively. My colleagues at the LSB will be in touch with IPReg to discuss our new framework and our approach to the 2023 assessment in the next few weeks. If you have any questions in the meantime, please do not hesitate to contact Steve Violet.

Yours sincerely



Helen Phillips
Chair

E: Helen.Phillips@legalservicesboard.org.uk

From: Fran Gillon
Sent: 01 March 2023 12:05
To: O'Neill, Rory (UK)
Subject: RE: Deadline: Commission-for-referrals in IP legal sector

Dear Rory

Thank you for your email. IPReg's response is:

We are aware of the High Court's decision. IPReg does not comment on ongoing litigation.

It is a matter of public record that our new Core Regulatory Framework (which has been approved by the Legal Services Board) includes (amongst other things) the following requirements for client care:

1.1 Clients receive the best available information about your work and costs, both at the time of engagement and, when the context applies, as work progresses.

1.2 Clients receive an appropriate explanation of any financial benefits, including but not limited to any commission, foreign exchange uplifts, discount or rebate received as a result of their instructions.

1.4 Information about any referral arrangements in place, including the payment of a referral fee and fee sharing arrangements is provided to the client.

Our draft Guidance on transparent information for clients has also been published.

Fran

Fran Gillon
Chief Executive
Intellectual Property Regulation Board, 20 Little Britain, London EC1A 7DH

t 020 7632 7174 THE IPREG TEAM IS WORKING REMOTELY. PLEASE CONTACT US BY EMAIL.
e fran.gillon@ipreg.org.uk

Please note that my working days are normally Wednesday, Thursday and Friday.
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From: O'Neill, Rory (UK) <rory.oneill@legalmediagroup.com>
Sent: 27 February 2023 12:00
To: Fran Gillon <fran.gillon@ipreg.org.uk>
Subject: Deadline: Commission-for-referrals in IP legal sector

Hi Fran,

How're things? I'm a reporter at Managing Intellectual Property. I'm just getting in touch as I'm covering Commission Recovery Limited's class action lawsuit against Marks & Clerk over alleged secret

commissions-for-referrals paid to partners of the firm by CPA Global.

You might have seen CRL's latest statement after the High Court rejected M&C's application to strike out. Peter Rouse said: "There are many other firms who have also routinely referred IP renewals to CPA Global (now Clarivate plc) and been paid large commissions for doing so (more than 20% of the fees paid to CPA Global for each renewal in examples I have seen). The Regulator, IPReg, has so far done nothing to address this clear breach of the long-standing professional obligation to put a client's interests before their own."

I'm writing an article on the issue and I was wondering if IPReg could comment? Here are the questions I had in mind.

- Has IPReg looked into the alleged practice of referring IP renewals to CPA Global or other service providers in exchange for commissions?
- Has IPReg at any point been asked to look into this practice and what action was taken, if so?
- Do you agree with Mr. Rouse that there is a potential issue of misconduct here and is there a role for IPReg to play in addressing it? What form of action could IPReg take?

If you could get back to me by the end of the day tomorrow, I'd really appreciate it. If you or another IPReg representative would be free for a call to discuss, that would be great, but answers via email would also be very helpful. Many thanks, I'd really appreciate your help.

Best
Rory

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Managing IP
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In2scienceUK | Summer Programme 2022

Improving Social Mobility and Diversity in STEM



Intellectual Property Regulation Board Case Study

Thank You For Supporting Our Mission

The 2022 In2scienceUK Programme supported 669 young people across the UK, providing them with opportunities to interact with cutting edge STEM researchers, learn employability skills and gain an insight into STEM degrees, apprenticeships and careers.

The programme wouldn't be possible without the support of our funders, partners and volunteers, who believe in our mission to promote social mobility and diversity in STEM and empower young people from disadvantaged backgrounds to achieve their full potential.



669

Students on the programme

252

Volunteer hosts leading placements

39

Skills, employability and careers workshops delivered

86

Workshop leads and panellists delivering workshops

Programme Engagement

Workshops

Our schedule of workshops throughout the summer enhance participants' skills, knowledge and confidence in successfully pursuing STEM careers. IPREG employees contributed to an online workshop, 'Panel: Intellectual Property'. 15 students attended the workshop live, and a recording was made available for students unable to attend live.



15

Live workshop attendees

"I really liked this workshop, it was refreshing to hear that you just need to do what you enjoy and that many of the patent attorneys didn't actually know what they wanted to do. It was very informative and gave lots of detailed information about the career of a patent attorney."

Student feedback from 'Panel: Intellectual Property'

"The workshop was really insightful and eye opening. It definitely gave me a lot to think about and relieved some stress regarding my career options."

Student feedback from 'Panel: Intellectual Property'

"It was interesting to learn about STEM patenting and how STEM interacts with law."

Student feedback from 'Panel: Intellectual Property'

"It was good, it gave me a better insight into the different careers and what they involve."

Student feedback from 'Panel: Intellectual Property'

Student Case Study - Sakib

Sakib is an aspiring computer scientist. He applied to the In2scienceUK Summer Programme to gain experience in the workplace and develop his understanding of what a career in computer science would involve. Sakib really enjoyed his placement with TPXImpact and is now more confident that this career path is the right decision for him. He is excited to continue this journey by studying computer science in university.



“I found out about the In2scienceUK programme through my school as they like to show us opportunities that can help us. I was drawn to apply because it’s really hard to get work experience in computer science. I was really looking forward to getting this technical experience.

The placement was really interesting! I worked on a web development project throughout the week. I did a lot of coding in the programming languages HTML, JavaScript and CSS which were all new to me. I found JavaScript and CSS harder and more complicated than HTML so I had to put a bit more effort into understanding these to use in my project work.

“The experience has made me want to pursue a career in computer science even more!”

“I’d recommend this experience to someone who is passionate about science.”

Learning languages is a strongly required skill in computer science and it’s important to learn them quickly, so it’s good to get this practice! I continued to work on my project after I got home in the afternoons and it paid off. I completed the project work that was set ahead of schedule and had some new tasks given to me that were more challenging! It was also helpful to have another In2scienceUK student to work with during the placement.

I learnt a lot from this experience. Aside from the technical skills I picked up, I also gained a good insight into the field of computer science in terms of pay, company culture, and work flexibility - it’s definitely something that appeals to me. I’m planning to pursue a joint degree in computer science and maths at university.”

Student Case Study - Amelia

Amelia applied to the In2scienceUK Summer Programme to experience what it is to work in a laboratory and to expand her knowledge of chemistry. She completed a placement with Manchester Metropolitan University and found the experience very rewarding. Amelia is confident about her plans for higher education and future career. She credits her experience with In2scienceUK for helping her start this journey.

“I took part in the In2scienceUK Summer Programme to gain in-person experience in a lab. My time on the programme was inspiring, exciting, and helpful. The placement was incredibly useful for my personal statement and any future applications.

Having first-hand experience in a lab has cemented my desire to work in research and continue my studies into university. During my time on the In2scienceUK programme, I also worked with a wide range of people, from PhD students to postdocs, to political figures, and each person I met has been incredibly helpful.

Personally, I love learning about sustainability and how we can advance our day-to-day lives through chemical processes, so working in a fuel-cell centre was inspiring. My favourite part of the programme was watching and learning how hydrogen can be used as an alternative fuel and can be produced by splitting water molecules.



“My experience with In2scienceUK has made me feel more comfortable stepping into higher education.”

“The programme has cemented the fact that I want to do a STEM degree in the future.”

I learned many skills from how to use different appliances to how to write a good personal statement. The placement in the lab taught me hands-on skills and the online workshops helped me gain skills that are more academic, such as interview skills.

Once I have finished year 13, I am going to do an integrated Master’s degree in Chemical Engineering. I have applied to top universities across the country and plan to do a year of studying abroad during my degree. I would definitely advise other students to apply to the programme because it is worth it and the experience I have gained has been amazing!”

Student Case Study - Mary

Mary is interested in psychology and she took part in the In2scienceUK Summer Programme to learn more about this career path. She found the programme valuable as she was able to gain insight directly from industry professionals through discussions and interviews. This helped solidify her decision to pursue psychology.

“I wanted more insight into psychology and I wanted to see what the normal workplace would look like. I applied to the In2scienceUK Summer Programme after my careers advisor at school recommended it to me.

I thought the programme was informative, fun and interesting. I mostly knew what to expect but there were a few surprises. I didn't realise The Anna Freud National Centre for Children and Families was as big as it is!

I liked the fact that there were a lot of meetings and the opportunity to talk to people in the field. Some people had different pathways into their career and the discussions and interviews enabled us to ask questions to the professionals. This gave me more information that I was looking for, such as the ups and downs of everyday work.

After year 13, I hope to go to university and achieve an undergraduate degree. In the future, I hope to get a PhD and then land a job in clinical psychology.”

“I would recommend In2scienceUK to other students. The experience will help a lot and there is nothing to lose!”

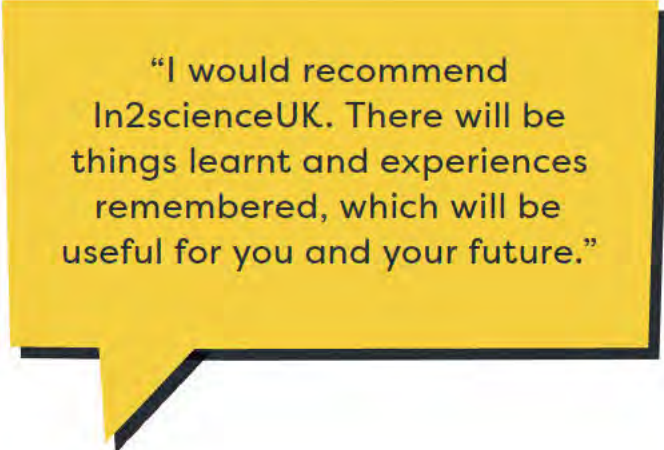
“During the placement, I really developed my analytical skills by looking into research papers. I also gained better communication skills through interviewing the people in the field.”

Student Case Study - Jason


Jason applied to the In2scienceUK Summer Programme to learn more about microbiology and what a career in this field would involve. His placement at The Liverpool School of Tropical Medicine was a rewarding experience. Jason developed a deeper understanding of how to work in a laboratory environment and he developed transferable skills that will be beneficial for his future. The In2scienceUK experience also helped solidify his career choices.

"I applied to the In2scienceUK Summer Programme because I wanted to find out more about the field of microbiology and to experience what day-to-day work is like in a laboratory. Another reason was to note down my experiences for future applications.

In three words, my experience was reassuring, fun, and educational. From my time on the programme, I felt more reassured about the kind of profession I want to go into and how I would be able to achieve it.



"I would recommend In2scienceUK. There will be things learnt and experiences remembered, which will be useful for you and your future."



"The programme has made my views more firm about what I want to do."

During the placement, I had fun exploring the different aspects of microbiology and biotechnology and the possible applications of them. For example, we were taught about genetically modifying mosquitoes to produce a desired result. We tried completing polymerase chain reaction tests and learnt about how easy it was to make mistakes, even when we became more experienced with carrying the tests out. I built on certain skills that I think will be useful for my future, including verbal communication, attention to detail, and cooperation.

I would like to go to university and study a microbiology course. Taking on a research project for a year will be advantageous to my future in microbiology. The programme was a valuable experience. If you're a student and it's feasible for you, please give some of your time and energy to try this opportunity out."



In²science^{UK}

In2scienceUK is a registered charity (1164821)
and company (07706662) in England and Wales

Our registered address:

10 Queen Street Place, London EC4R 1BE

In²science^{UK}

2022

Impact Report



**Improving social mobility
and diversity in STEM**

Foreword



I am pleased to report on a year of growing impact for our organisation, and hope you enjoy reading this as much as we did.

And there is more to come: as a trustee board we have been working closely with our growing senior team to develop a 5 year strategy for growth, and we are establishing board sub-groups to provide oversight - and really expert support - to driving that growth.

We will scale our core programmes of support to students in school year 12, our In2research programme, our support for Alumni into careers, and we will increasingly share insights from our work with policy makers. We share a deep belief in the moral imperative that underpins our work - social justice from which we all benefit, and social mobility for the fantastic young people we help.

Jonathan Flowers

In2scienceUK Chair of Trustees



2022 has been a year of exciting internal change at In2scienceUK. We have been working hard to lay the foundation to scale our work in the future.

In the new year we will be proud to officially launch our 2023-28 strategy. The strategy will take us into an exciting new stage of our development, focusing on developing our offer to reflect the changing needs of our community. Not only will we scale the work that we currently do, but we will offer new and different programmes to continue to best support our participants.

The 2022 data shows an organisation poised for success but working hard to bounce back from the effects of the pandemic, which has impacted many of our stakeholders. I am incredibly proud of the team's hard work and grateful for the continued support of our funders and partner organisations, who share our commitment to supporting the next generation to enter the STEM workforce.

Colby Benari

In2scienceUK Chief Executive Officer

Our Vision | Diversity in STEM

In2scienceUK is an award-winning charity that empowers young people from disadvantaged backgrounds to achieve their potential in science, technology, engineering and maths (STEM). We provide life-changing opportunities that improve our participants' access and aspiration for STEM education and careers.

Our participants face a number of overlapping barriers to progression in STEM careers and this is borne out in the data with only 15% of academics and 6% of medical doctors in the UK coming from a working class background¹. Supporting access and raising aspiration for STEM careers is an important part of bridging the gap. We offer a range of programmes to tackle this issue.

The In2science summer programme, aimed at 16-17 year olds from disadvantaged backgrounds, offers a summer full of support, mentoring and skill building that culminates in a short placement in a STEM workplace. Students are supported to progress on to university, STEM jobs and apprenticeship programmes.

In²research

The In2research programme, aimed at university undergraduates and graduates, focuses on exposing participants to the academic research environment. The one-year programme, which features an eight-week research placement, prepares participants to apply for competitive PhD funding or to enter the academic workforce through other routes.

Both programmes are supported by the emerging Alumni Community, which will focus on supporting former participants and others into STEM careers.

In 2022 we delivered impactful programmes and reached participants across the UK. This was only possible with the dedicated support of our exceptional volunteers, funders, partners and the In2scienceUK team.



¹ Social Mobility Commission (2017) State of the Nation 2017: Social Mobility in Great Britain

Programme Overview

In 2022 we reached 766 participants through our In2science summer and In2research programmes despite continued pressures from Covid-19.

The In2science summer programme successfully supported 669 young people through a blended programme, involving face-to-face and online learning. For the first time since the start of the pandemic, we delivered 594 in-person, 1 to 2 week work experience placements, a significant increase from 245 1-day placements in 2021.

We saw continued growth in reach in the UK, building on our expansion last year in Manchester, Cardiff, Leeds, Liverpool, and for the first time expanding our reach further north to Edinburgh.

Our In2research programme has grown from a small pilot delivered with UCL in 2021 to an award-winning programme adopted across UCL, University of Cambridge and City University of London's science faculties, supporting a cohort of 50 participants in 2022.



“ My experience on the In2science summer programme was amazing, I had the opportunity to gain a placement at a prestigious institution with a great supervisor who met my needs and more! She allowed me to not only work with her on her project but also introduced me to her colleagues in the lab who were all willing to explain and teach me new pieces of knowledge. It solidified my choice of neuroscience being one of the subjects I want to study at university. ”

Emiola, In2science summer participant
who completed a placement at the Francis Crick Institute



“ In2research has shown me that I have options, and that there is a place for me in research. After my placement at the Wellcome Centre for Human Neuroimaging, I was offered a job in the research team, and now I am currently looking to apply for PhDs. Whilst I'm not sure of my exact next steps, I know that In2research has given me a toolkit of skills to help me in my future. ”

Ruben,
In2research programme participant



Improving access to STEM degrees, apprenticeships and careers



1 Increases the pipeline of UK STEM professionals

There is a **shortfall of STEM skilled workers** with the number of future technical jobs forecast to increase. Increasing the numbers of disadvantaged students in these careers would increase the UK's economic competitiveness².

2 Promotes social mobility

As STEM workers typically earn 20% more than in other fields, getting more young people from low-income backgrounds into these professions promotes social mobility and fights economic inequality³.



3 Builds a more diverse workforce

Businesses with diverse and inclusive cultures perform better financially, reduce staff turnover, and maintain increased creativity and problem-solving capacity.^{4,5}

4 Grows a science literate society

There are economic, political and social benefits to increasing science capital in all segments of the UK. In this technological age, it is vital that all people have the tools to communicate effectively, assess complex information and distinguish fact from fiction.



² Broughton, N. (2013) In the balance: The STEM human capital crunch, Social Market Foundation

³ Greenwood et al., (2011) The Labour market value of STEM qualifications and occupations, Department of Quantitative Social Science, Institute of Education

⁴ Desvaux, G., Devillard-Hoellinger, S. and Baumgarten, P. (2007) Women Matter: Gender diversity, a corporate performance driver, McKinsey & Company

⁵ Forbes Insights (2011) Fostering Innovation Through a Diverse Workforce, Forbes

Our Young People

In2science summer programme

We supported **669** young people from over **300** schools



81% were from minority ethnic groups;

- 39% Asian or Asian British
- 24% Black, Black British, Caribbean or African
- 19% White
- 16% Other ethnicity
- 2% Prefer not to say

379 students
(57%) were eligible for free school meals



555 (83%) have parents who did not have university degrees



357 (53%) participants at some point received **Pupil Premium, Education Maintenance Allowance** or the **16-19 Bursary**

95 (14%) have an Education Health Care Plan
14 (2%) disclosed they are currently in or have been in care



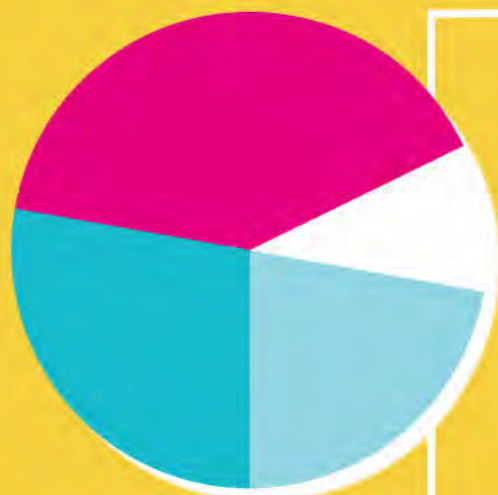
Our Participants In2research programme

We supported **50 participants** this year

72%
Female



28%
Male



90% were from minority ethnic groups ;

- 40% Asian or Asian British
- 28% Black, Black British, Caribbean or African
- 10% White
- 22% Other ethnicity

86% of our participants were from a **low income household**



72% of our participants were eligible for Free School Meals



58% met all three of these criteria

64% participants at some point received Pupil Premium, Education Maintenance Allowance or the 16-19 Bursary



70% of participants were from Russell Group universities

30% from non-Russell Group universities

The role of increased science capital in raising social mobility

Science capital refers to what you know, who you know, how you think and what you do².

The more of it you have, the more likely you are to believe that 'science is for me' which can lead to engaging better as well as taking science education further.

All of our programmes aim to increase science capital for our programme beneficiaries, so they are empowered to progress into careers in science, technology, engineering and maths.

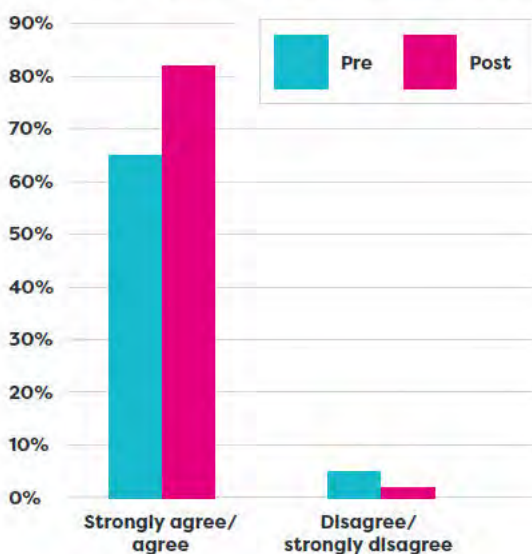


In2science summer Programme

Participants shared that their knowledge in STEM has significantly increased as a result of the programme (Figure 1) and furthermore, that their confidence grew around using scientific evidence to make an argument (Figure 2). 87% of respondents reported feeling more confident after the programme versus 71% pre-programme.

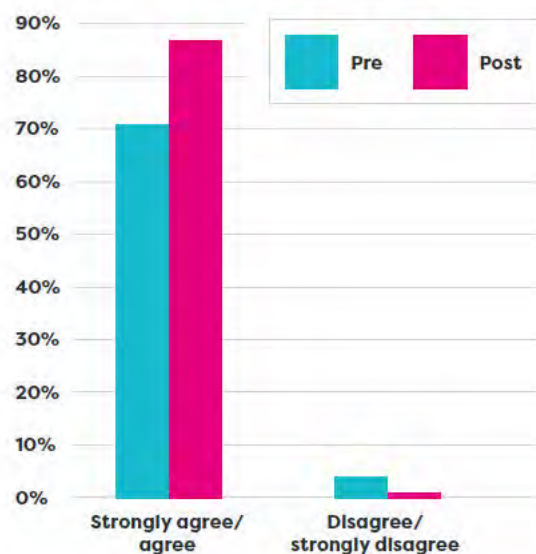
(Fig. 1)

'I know quite a lot about science, technology, engineering or maths'



(Fig. 2)

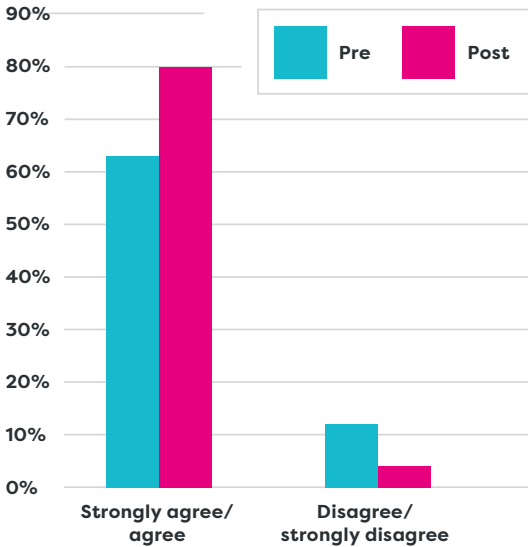
'I feel confident about using scientific evidence to make an argument'



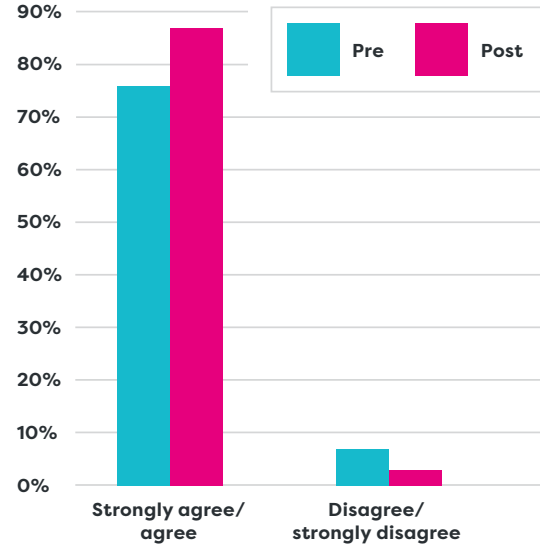
² Godec, S., King, H., & Archer, L (2017). The Science Capital Teaching Approach: engaging students with science, promoting social justice. London: University College London

Alongside a visible increase in ‘what you know’ for our participants, when it came to awareness and knowledge around STEM, we saw a rise in levels of confidence to engage with academics and professionals (Figures 3 and 4). 80% of young people post-programme felt confident engaging in-person with academics and professionals in STEM, compared to 63% pre-programme.

(Fig. 3)
‘I feel confident introducing myself to a researcher or STEM professional in person’

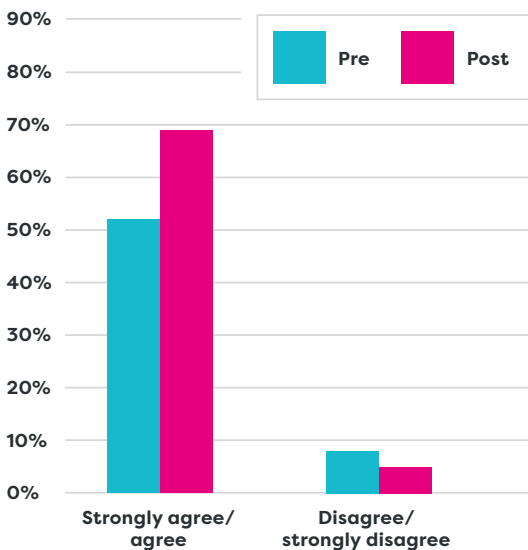


(Fig. 4)
‘I feel confident introducing myself to a researcher or STEM professional by email’

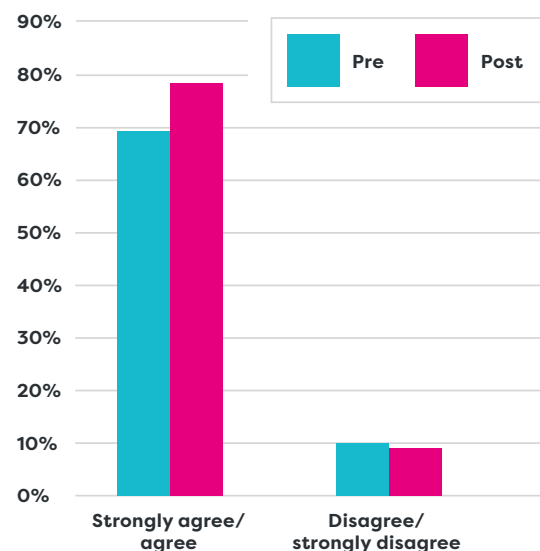


Positive shifts in ‘how you think’ were apparent for our programme participants when it came to how they identify with STEM studies and careers (see Figures 5 and 6). 69% of participants strongly agreed or agreed post-programme that ‘people like me’ work in STEM compared to just 52% pre-programme.

(Fig. 5)
‘People like me work in STEM’



(Fig. 6)
‘I think anyone can become a scientist, technologist, engineer or mathematician’



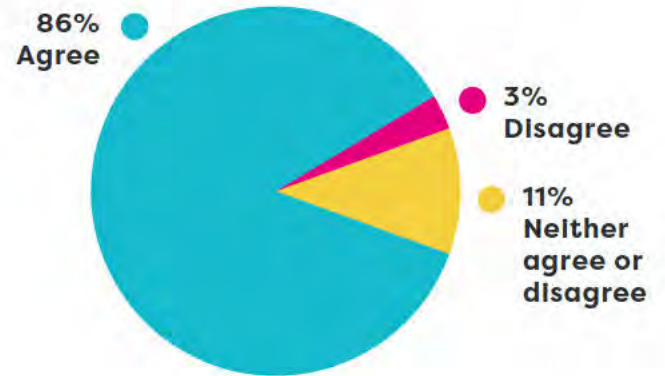
University Access

An understanding of the education and employment pathways, and being equipped with the core skills to enable access to them, is critical for young people to make informed decisions about their studies and careers.

Our data below provides a snapshot of how the summer programme helped our young people to gain knowledge and understanding of pathways available within STEM, as well as increased their confidence and ability in necessary, practical skills to access university.

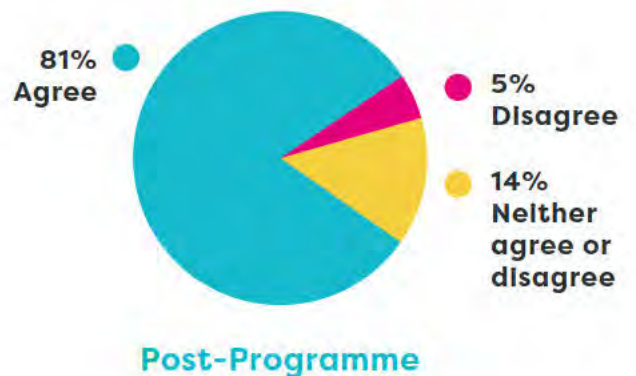
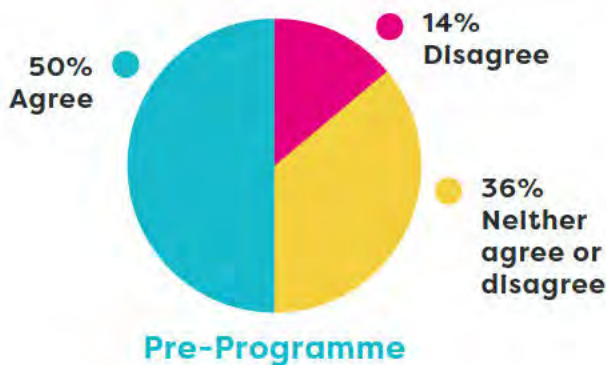
Overall, 86% of students reported that the programme made them more sure of their career aspirations, with 72% of respondents having drafted their personal statement for their UCAS application after the programme, versus 13% at the beginning of the programme.

(Fig. 7)
'The In2s programme has made me more sure of my career aspirations'



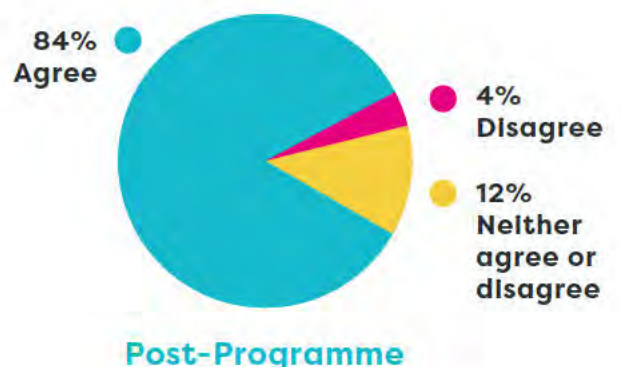
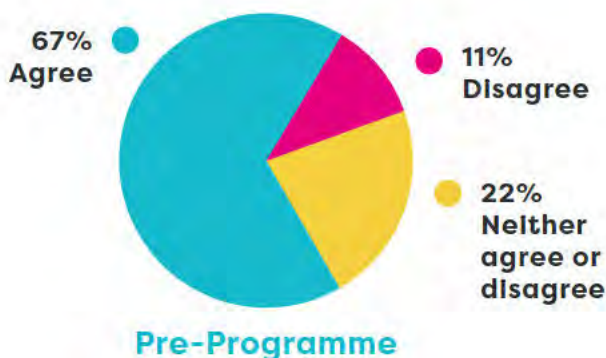
(Fig. 8)

'I understand the content and structure of a range of STEM degrees'



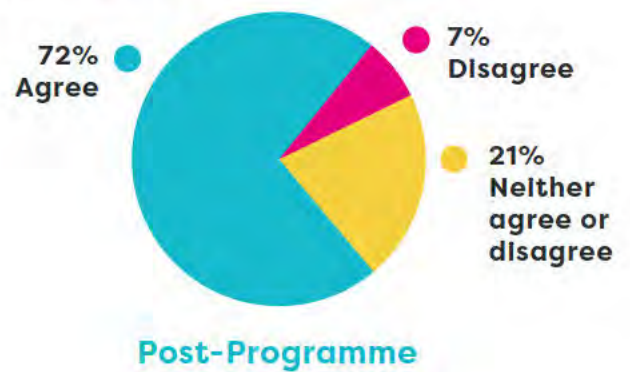
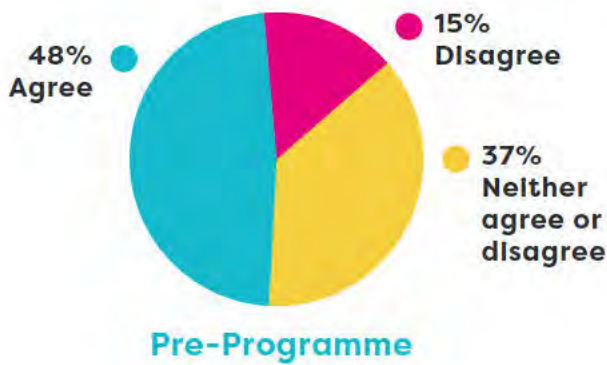
(Fig. 9)

'I know a number of diverse careers I could enter with degree I am choosing'



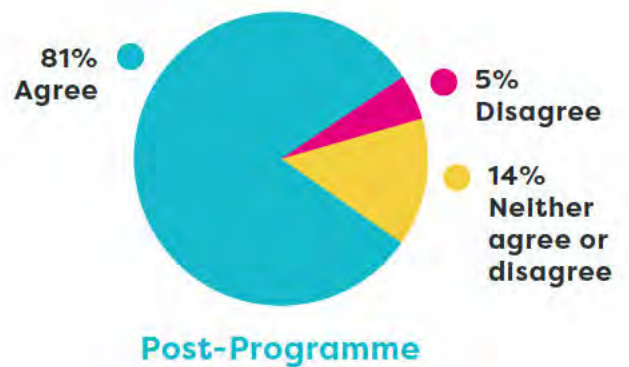
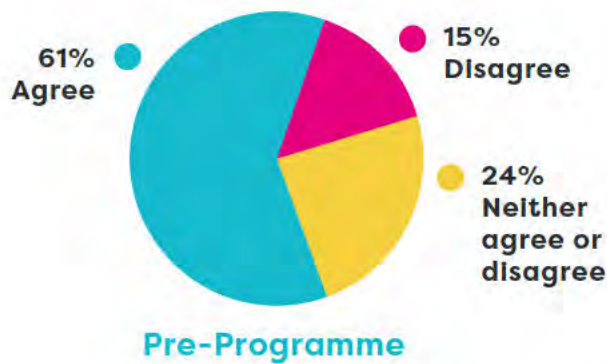
(Fig. 10)

'I feel confident I can write a high quality UCAS statement'



(Fig. 11)

'I know where to seek support and advice about the application process'



“

I joined the In2science summer programme because I had no exposure to the STEM sector beforehand and wanted to gain more experience in the STEM side of study - the In2science summer programme gave me that, and more. For example, I had initially thought I wanted to be a doctor; as everyone knows what a doctor is or does, though not everyone knows what being a researcher is and what kinds of things they do. I now know that cancer research is an area I want to get into.

I completed a placement in biology at the Lab for Molecular Cell Biology at UCL. I got to use an electron microscope which is something I have always been really interested in. I even grew cancer cells in a lab and observed their growth over a week. Even though my placement was in biology, I also had the opportunity to mix with both physics and chemistry students at the university. My incredible mentor, a PhD researcher, really helped me get the hang of biology life at university. I loved my placement, this has really helped me make a decision with my future, I learnt so much. I am so happy I participated. Thank you, this has been a really positive experience for me! ”

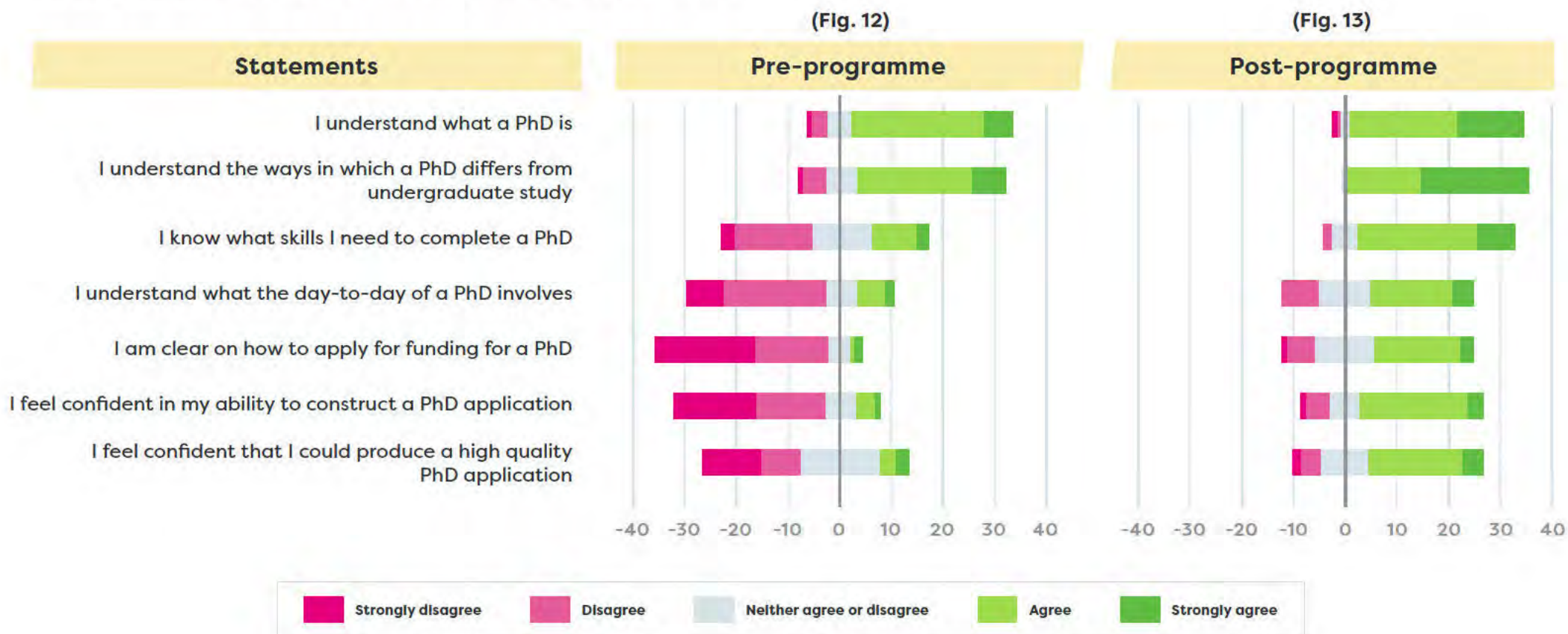
Hirah, In2science summer programme participant

In2research programme

Our In2research programme evidence suggests we are seeing improved access to postgraduate study and a bridging of the knowledge gap experienced by many people from disadvantaged backgrounds.

100% of participants on the In2research programme reported they strongly agree/agree that the In2research programme has improved their confidence in applying to, and ability to undertake, a PhD programme. 80% strongly agree/agree they will stay in contact with their placement host and research group after the programme. 13% of all participants were offered a job with the research groups where their placement was based after the programme and 4 participants, so far, have reported being accepted onto a PhD (9%), with 59% reporting they were in the process of applying for a PhD.

Figures 12 and 13 show a series of statements which In2research participants responded to before, during and after the In2research programme. Participants expressing negative sentiment (disagreeing or strongly disagreeing) are shown in **fuchsia**, whereas participants expressing positive sentiment (agreeing or strongly agreeing) are shown in **green**. Neutral answers are in **grey**. A visible, dramatic change in sentiment can be seen pre-programme compared to post-programme, with a clear increase in positive sentiments for all statements post-programme.



In2research programme - continued

(Fig. 12)

(Fig. 13)



Case Study



Sofia,
In2research
Programme

“

I am currently in my final undergraduate year studying Psychology. I applied for **In2research** because I wanted to do a clinical doctorate but I wasn't really aware of what a PhD was, how to apply for it, what it might be like. When I heard about this programme I thought it's a great opportunity for me to find out!

From the beginning, the In2research workshops and mentoring were great. I gained a lot from the workshops, covering useful topics like what a PhD is and is like, funding for PhDs, you learn how to write a CV, cover letter, interview, and more. The workshops prepare you for if you decide to apply for a PhD or postgraduate programme. My mentor was amazing too - it was great to get advice from a mentor within the same field I was interested in. She provided useful insight on what to expect from my final year at university and things I can do to support my grades.



My research placement was at Wellcome Centre for Neuroimaging at UCL, where I had the opportunity to work on predicting language outcomes after a stroke. The aim of the project is to create MAPS, which will allow future stroke patients to be told in earlier stages the recovery time and best treatment options. I learnt how to analyse brain lesions in CT scans, completed fMRI scans with participants, transcribing, and so much more. A personal highlight was seeing the structural MRI of my own brain!



My host and supervisor, in addition to a network of other people, taught me everything. Thanks to the supportive team, I never felt like I didn't know what to do. I want to do a clinical doctorate and this placement is helping me in the steps to get there. All the experience I am gaining in research and clinical studies will help me with my career progression. After my 8-week research placement I was offered a full-time job with Wellcome over the summer and they are supporting me to continue this role part-time, alongside university! ”

Our Volunteers

In2science summer programme

We are hugely grateful to all our volunteers who continue to play a crucial role in helping us deliver invaluable support for our beneficiaries.



“

I hosted an In2scienceUK student in my lab for a week. It was incredibly rewarding to meet such an enthusiastic, intelligent, curious person and introduce them to neuroscience. In addition, the student contributed to ongoing experiments and the data is so good that it has gone straight into a manuscript with the student as a co-author!

Diversity is essential in research to ensure that we get as many possible perspectives. We work on dementia and this is a very tough problem to solve, we need to be sure that we have people from all backgrounds working on the research.”

Professor Tara Spires-Jones, In2science summer host, University of Edinburgh

This year:

252

volunteer hosts supported students on the summer programme

39

workshops were delivered to our young people with the support of 45 volunteers



“

I wanted to get involved in the In2scienceUK programme as I wanted to show the students how motivating it is to do research, how exciting it is to know that you are working on something that is yet unknown, and how satisfying it is when you get the results at the end of the experiments...when we open up STEM to people from diverse backgrounds, we allow the problems to be investigated by people with diverse perspectives and this can only be a benefit for science.

Through volunteering with In2scienceUK, I got better at communicating science to students without any prior experience, specifically talking about all the things you do when you are in the lab. I found it super rewarding seeing how the students progressed in the lab and got more confident in doing things.”

Julie Nielsen, PhD student, The Francis Crick Institute

Our Volunteers

In2research programme



“

The programme this year has been great. I feel it has been a win-win situation for me and my student (as a biologist I might describe it as perfectly symbiotic!). I've benefited from a boost to my career and research by enabling me to sharpen my teaching abilities, develop leadership skills and communicate clearly why my research is important. It has also been a joy to work with somebody so bright and enthusiastic who asks refreshingly great questions. In return, my student learnt a whole range of cutting edge lab techniques that will make her a more competitive student for any PhD applications and has gained valuable insight into a career as a researcher. ”

Dr Stephen Terry,
In2research Host at UCL Ear Institute



“

Through the In2research programme, I was able to help participants develop essential professional skills by creating a safe and open space where they could hone these skills with constructive and supportive feedback. This programme broadened my understanding of the wealth of (often invisible) obstacles that many face when working toward a career in STEM. Most importantly, In2research encouraged me to reflect on my experience of privilege so far, and to think more deeply about how I can help to expose and break down those invisible barriers. ”

Dr Dezeræe Cox,
In2research Mentor at University of Cambridge

This year,
approximately:

68

mentoring
sessions were
delivered thanks
to our academic
mentors

73

volunteer hosts,
mentors and
workshop facilitators
helped us directly
deliver the
programme

50

hosts supported our
participants through
in-person, 8-week
summer research
placements

Looking forward 2023 and beyond

89%
of summer programme
participants found
in-person placements to
be the most enjoyable
part of the programme



We will continue to build on our success and support more eligible young people across STEM subjects, through blended In2research and In2science summer programmes (delivered in-person and online) and the introduction of an entirely online In2science summer programme aiming to serve young people in rural areas across the UK. In 2023 we will continue working with our generous volunteers and funders to offer placements and workshops for our programme participants. 89% of all summer programme participants found their in-person placements to be the most enjoyable part of the programme this year. We will provide more high quality, in-person STEM placements than ever before, responding to the needs of our participants, as well as focus on growing our offer of placements in technology, engineering and mathematics.



We have a vibrant alumni community of STEM undergraduates, graduates and early career professionals. In 2022 we launched a new Alumni and Careers programme, which aims to provide alumni and young people at an early career stage with opportunities to develop their career in STEM. This will include mentoring opportunities, exclusive job and internship opportunities, an extensive knowledge bank, and tailored support packages from partners. There will also be monthly workshops and career panels to enable young people to seek their first steps into employment.



Our first alumni mentoring programme also kicked off this year. This programme, generously supported by The Charity of Sir Richard Whittington, offers peer-to-peer mentoring to young people starting university for the first time. In 2023, this program will be the first part of a broader mentoring offer that will grow year after year.



With our new 2023-28 strategy launching in early 2023, we are very excited about our plans to secure a future in which many more young people from disadvantaged backgrounds can achieve their full potential and progress into careers within science, technology, engineering and maths.

With thanks to our funders and partners

Abcam
Alan Hirzel
Appleyard Lees
ARUK Scotland Network (Edinburgh group)
Avantor
Babraham Institute Cambridge
Biochemical Society
Blackfield
Cadent Foundation
Cancer Research
City University of London
Charity of Sir Richard Whittington
D Young & Co
Dr Leo James
EGA Institute for Women's Health
Eleanor Rathbone Charitable Trust
Institute for Epidemiology & Healthcare - Faculty of Population Health Sciences
Five Bees
Francis Crick Institute
Garfield Weston Foundation
Google DeepMind
GSK
Guarantors of Brain
Henry Royce Institute
HGF
Impellam
Innova Learning
Institute of Metabolism and Systems Research University of Birmingham
Institute of Neurology
Intelligent Conversation
IP Federation

IPReg
IPEM Kingston University
Leading Routes
LiFT
MRC AIM DTP
MRC Brain Dynamic Network Unit (Oxford)
MRC LMB Cambridge
National Institute for Health Research Biomedical Research Centre University College London Hospital
NCR Foundation
OHG Group
Operational Research Society
Paul Hamlyn Foundation
People's Postcode Lottery
Playstation
Quintessa Ltd
Rangoonwala Foundation
Royal National Institute for Deaf People
Royal Academy of Engineering
Sainsbury Wellcome Centre
SEC Recruitment
Singular Talent
Springer Nature
Sekisui Diagnostics
Syneos Health UK
The James Dyson Foundation
The IP Federation
The Manly Trust
The OR Society
The Royal Society
TPXimpact (Panoply)
UCL Bartlett
UCL Birkbeck

MRC DTP
UCL Ear Institute
UCL Engineering Sciences Faculty
UCL Faculty of Arts & Humanities
UCL Faculty of Brain Sciences
UCL Faculty of Life Sciences
UCL Faculty of Population Health Sciences
UCL Faculty of Social & Historical Sciences
UCL Finance & Business Affairs
UCL Great Ormond St Institute of Child Health
UCL Institute of Health Informatics
UCL Institute of Education
UCL MAPS
UCL Faculty of Life Science Gatsby Computational Neuroscience Unit
UCL Academic Careers Office
UCL School of Pharmacy
UCL Widening Participation
UK Dementia Research Institute
University of Birmingham Institute of Applied Health Research
University of Birmingham School of Biomedical Sciences
University of Cambridge
University of Essex
University of Exeter
University of Leeds
University of Oxford
UPSIGN
Uptake Strategies
Wellcome ISSF
Wellcome Centre for Human Neuroimaging
Zopa

Thank you to all our other fantastic supporters.

Winning drawing by one of our participants



“ My host Kirsty in her neurodevelopmental research lab. ”

by Marika, STEM Behind the Scenes Winner

Public engagement competitions are part of our In2science summer programme, supporting young people to develop tools to communicate effectively to different audiences, a key skill in many STEM careers. These competitions also give young people the opportunity to show off their talents!

To support us contact Colby Benari at colby@in2scienceuk.org
@in2scienceUK
in2scienceuk.org

In2scienceUK is a registered Charity (1164821) and company (07706662) in England and Wales.
Our registered address is 10 Queen Street Place, London, EC4R 1BE.

The IPReg Scholars Programme Proposal

Young people from low income backgrounds face major barriers when pursuing their careers in STEM.

The In2scienceUK Programme tackles these barriers through its innovative approach to support lasting positive change. We aim to help each young person secure their future while promoting diversity and inclusion in the STEM sector as a whole. We work with young people on an individual basis and give them the support they need to reach their potential and progress. 100% of the young people that take part in the In2scienceUK programme are:

- Recipients of free school meal
- Have parents who do not hold higher education qualifications
- From low income families.
- Live in a postcode in which few progress to higher education.

The In2scienceUK Programme

We have a four step programme that guarantees success by fostering a collaborative relationship with young people and developing projects that cater to their interests and career aspirations.



1. Inspiring STEM placements.



2. Innovative workshops, skills days and mentoring.



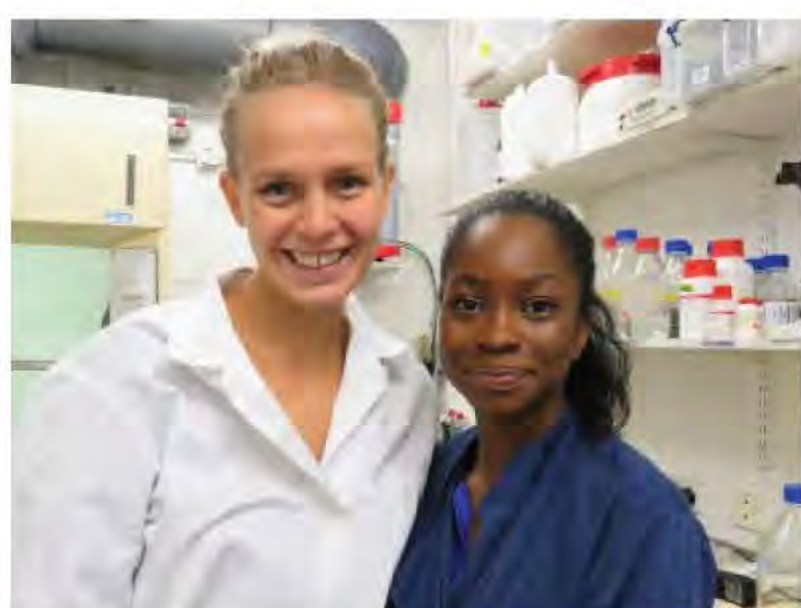
3. Career, university access and guidance.



4. Public engagement competitions.

Why In2scienceUK Matters

In2scienceUK addresses the STEM skills gap by creating a pipeline of diverse and skilled young people within the sector. Currently, only 11% of students on free school meals progress to top universities. However, independently compiled statistics conclude that The In2scienceUK Programme has a significant impact, with 56% of young people participating in The In2scienceUK Programme progressing to top universities. By working with a diverse array of STEM organisations, we hope to foster greater inclusion of underrepresented groups. In 2021 In2scienceUK received the Queen's Award for Promoting Opportunity through Social Mobility to recognise our high quality work with young people.

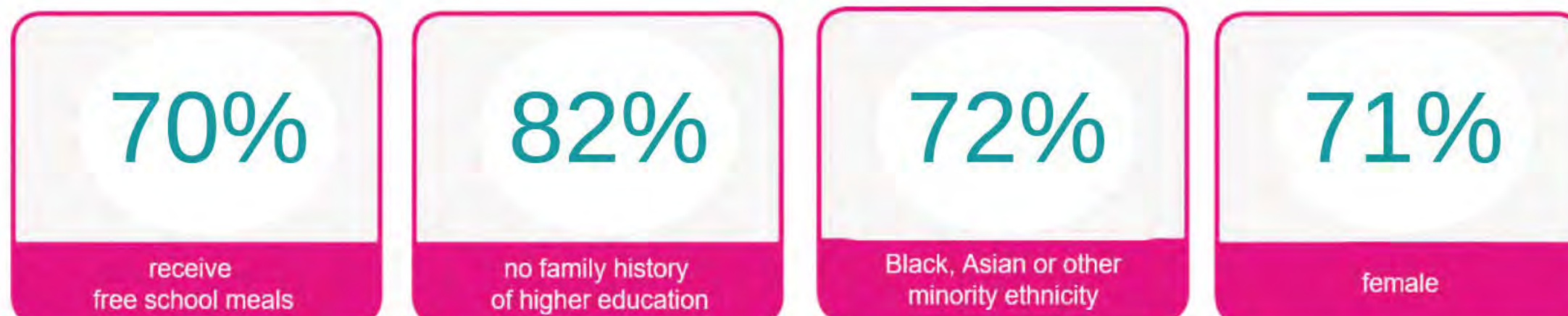


In2scienceUK students enjoying inspiring varied work placement opportunities.

IP Engagement Activities

The In2scienceUK Programme has positively impacted the lives of young people from diverse backgrounds by building a community of inclusive STEM sponsors. By working with IP professionals, young people can access mentors that enable them to reach their potential. IP partners can lead a workshop with the young people they sponsor and provide essential skills training such as a cv, personal statement writing or interview skills workshop. This will allow you to introduce young people to careers in IP and provide valued life skills.

The 2022 Student Cohort



The In2scienceUK Programme 2023

In2scienceUK's mission is to increase the STEM pipeline and enable young people to access the support and skills they need to reach their potential. It costs £1000 to support each young person through The In2scienceUK Programme in 2023. In 2022 we provided 680 young people with work placements. However, with more than 2700 young people applying each year, we need your support more than ever. By sponsoring a cohort of ten young people for £10,000 you will make a significant and positive difference in the lives of young people who suffer from both a lack of opportunities and positive role models.

Our Commitment to You

By supporting In2scienceUK, we will announce our partnership to the wider STEM community by producing a partnership launch. This launch will include a blog on The IP Inclusive website. In2scienceUK will promote this partnership on our social media channels and add The IPReg logo to our marketing materials and impact reports. We have a dedicated marketing executive who will regularly support your communications strategy by sharing your achievements with our wider community. After The In2scienceUK Programme is completed, you will receive case studies and testimonials from the young people you supported to highlight your contribution to greater inclusion in STEM.

Our Supporters in 2022



In2scienceUK is a Registered Charity in England and Wales Charity no. 1164821. Please contact Luke Mckelvey, Development Manager for more information: luke@in2scienceuk.org

IPReg Board Meeting Actions Log - New and Outstanding Actions

Date of Meeting in which action arose	Agenda Item	Action	Responsibility	Status	Notes/Update
January 2023 Board Meeting					
Jan-23	Ongoing Competence – Analysis	CEO to amend report to include the Board’s points and submit to the LSB.	FG	Completed	
Jan-23	Patent Examination Board Final Diploma Examinations – Accreditation Decision	VS to inform PEB of Board accreditation decision	VS		
Jan- 23	Patent Examination Board Final Diploma Examinations – Accreditation Decision	FG and VS to take to EWG the regulatory model options	FG/VS	Ongoing	
Jan-23	CEO’s report	CEO to contact CLSB CEO to arrange a Board meeting	FG	In progress	As at 8 March, Chair, VO, AC, SP available to attend on 27 June.
December 2022 Board Meeting					
Dec-22	Website upgrade	CEO and Head of Registration to consider further what approach would be preferable in terms of budget and staff time.	FG/SE	Ongoing	
Dec-22	Governance Action Plan Implementation	CEO to make changes to the draft publication policy document and publish	FG	Ongoing	
Dec-22	Education Working Group	Review EWG terms of reference and the scheme of delegation	TBC		

IPReg Board Meeting Actions Log - New and Outstanding Actions

November 2022 Board Meeting					
Nov-22	Speaking Up Policy	CEO to draw the policy to the attention of IPReg Team members	FG	Ongoing	
July 2022 Board Meeting					
Jul-22	Financial Statements (IPReg Ltd), Directors' Report and Letter of Representation	Update financial procedures	KD	Ongoing	
Jul-22	Education Working Group Update	Arrange a meeting with QMUL senior staff	VS	Scheduled for 24 January 2023	
Jul-22	Governance and Transparency Working Group – Report on findings and recommendations	Take forward Action Plan including regular updates to Board Meetings	FG	Ongoing	
Jul-22	Risk Register	Review risk wording	FG		Risk Working Group meeting to be arranged
January 2022 Board Meeting					
Jan-22	Annual Renewal Process Update	Review annual return information categories similar to PAMIA questions	SE	Ongoing	Any changes will be put in place for 2023 renewal year
November 2021 Board Meeting					
Nov-21	Governance Matters	Governance documents to be reviewed in 2 years' time	FG	Open – Nov-23	

IPReg Board Meeting Actions Log - New and Outstanding Actions

July 2021 Board Meeting					
Jul-21	Compensation Arrangements	Develop risk profile	FG/SE/MB	Ongoing	Auditor to update risk profile as part of one year review of compensation fund – December 2022 Board
May 2021 Board Meeting					
May-21	Diversity - next steps - workshop feedback	Implement the diversity initiatives	FG	Ongoing	
May-21	Diversity - Inclusive Language	Adopt and publish Inclusive Language Policy	FG	Ongoing	
July 2020 Board Meeting					
Jul-20	Risk registers	Discuss how cyber risks should be added to the risk register and arrange for IPReg to undertake the Cyber Essentials programme.	IPReg team and SF	Ongoing	
January 2020 Board Meeting					
Oct-19	LSB CEO Meeting	Invite Matthew Hill to Board meeting	FG	Open	Date TBC