



Department for
Business, Energy
& Industrial Strategy

Better Regulation

Government's Annual Report, 2019-20

January 2021

Better Regulation: Government's Annual Report, 2019-20

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



© Crown copyright 2020

This publication is licensed under the terms of the Open Government Licence v3.0 except where otherwise stated. To view this licence, visit nationalarchives.gov.uk/doc/open-government-licence/version/3 or write to the Information Policy Team, The National Archives, Kew, London TW9 4DU, or email: psi@nationalarchives.gsi.gov.uk.

Where we have identified any third-party copyright information you will need to obtain permission from the copyright holders concerned.

This publication is available from: www.gov.uk/beis

Any enquiries regarding this publication should be sent to us at: enquiries@beis.gov.uk

ISBN 978-1-5286-2370-4

CCS0121838332 01/21

Printed on paper containing 75% recycled fibre content minimum.

Printed in the UK by the APS Group on behalf of the Controller of Her Majesty's Stationery Office.

Contents

Contents	4
Better Regulation	5
Progress against the Business Impact Target	6
Qualifying Regulatory Provisions	7
Non-Qualifying Regulatory Provisions	18
Non-legislative Non-Qualifying Regulatory Provisions	41
Mitigating disproportionate impacts on smaller businesses	117

Better Regulation

The Manifesto undertook that Government *“will strive to achieve the right regulatory balance between supporting excellent business practice and protecting workers, consumers and the environment”*.

The Government does not believe that the current methods of assessing regulatory impacts allow for this. Therefore, the Government is reviewing the target to ensure the impact of regulation is reflected more effectively, so as to continue to provide necessary protections without placing unnecessary burdens on business. Until the completion of the review the Government will set a target of zero.

This will in effect be a holding target and will enable Government to continue to monitor regulatory impacts and remain transparent to business on the impacts of the regulatory programme it is delivering in the immediate term. This holding target makes clear that Government remains committed to achieving regulatory balance and does not intend to increase the regulatory burden on business.

Under the requirements of sections 23(1) and (12) of the Small Business, Enterprise and Employment Act 2015, the Government is required to publish a report on progress against the Business Impact Target. This report satisfies the requirements set out in of the Act.

Progress against the Business Impact Target

The first reporting period of this Parliament from 13th December 2019 to 16th December 2020 delivered £5,740 million net costs to business from Qualifying Regulatory Provisions that came into force or ceased to be in force during this period¹.

Table 1: Impacts delivered against the Business Impact Target during the first reporting period of this Parliament

Organisation	Business Impact Target score delivered (£ millions)
Cabinet Office	No qualifying measures
Department for Business, Energy and Industrial Strategy	727.8
Department for Digital, Culture, Media and Sport	No qualifying measures
Department for Education	No qualifying measures
Department for Environment, Food and Rural Affairs	28.1
Foreign, Commonwealth and Development Office	No qualifying measures
Department for International Trade	No qualifying measures
Department for Transport	122.5
Department for Work and Pensions	No qualifying measures
Department of Health and Social Care	No qualifying measures
HM Treasury	404.7
Home Office	No qualifying measures
Ministry of Defence	No qualifying measures
Ministry of Housing, Communities and Local Government	-1,137.0
Ministry of Justice	No qualifying measures
Listed regulators	5,593.4
Total (net costs)	5,739.5

¹ Note: To be consistent with the established methodology for the Business Impact Target (BIT), all figures included within the report are presented in 2019 prices with 2020 as the present value base year. This ensures consistency between all measures included in this report but means there will be some minor differences from figures in previously published Impact Assessments.

Qualifying Regulatory Provisions

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

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

In line with the government's approach to reporting regulatory impacts, the Qualifying Regulatory Provisions of government departments also show wider impacts as well as the direct impact on business. These are reflected in the columns headed "*Business Net Present Value*" and "*Total Net Present Value*" in table 2.

Table 2: Qualifying Regulatory Provisions of government departments and Ministerial regulators that came into force or ceased to be in force during the first Business Impact Target reporting period of the Parliament (statutory assessments in bold)

Department / Ministerial regulator	Title of measure as in IA	Description of measure provided by department	Impact on business			Total Net Present Value (£ millions)
			EANDCB ² (£ millions)	Business Impact Target score (£ millions)	Business Net Present Value (£ millions)	
BEIS	The National Minimum Wage (Amendment) Regulations 2020	This instrument amends the National Minimum Wage Regulations 2015.	242.6	727.8	-1610.7	-6.5
DEFRA	The Environmental Protection (Plastic Straws, Cotton Buds and Stirrers) (England) Regulations 2020 [Proposal to ban the distribution and/or sale of plastic drinking straws in England]	To introduce a ban on the distribution and/or sale of plastic drinking straws in England.	5.6	28.1	-48.0	-45.6

² Equivalent Annual Net Direct Cost to Business

Department / Ministerial regulator	Title of measure as in IA	Description of measure provided by department	Impact on business			Total Net Present Value (£ millions)
			EANDCB ² (£ millions)	Business Impact Target score (£ millions)	Business Net Present Value (£ millions)	
DfT	Taxi and private hire licensing – statutory guidance	Requires licensing authorities (Las) to "have due regard" to the statutory taxi and PHV standards for England and Wales. Las may deviate from them should they have good reason to do so, such as a specific risk profile in their area. This is in response to calls made by inquiries into child sexual abuse / exploitation for national standards for taxis and PHVs to safeguard children and vulnerable adults.	24.5	122.5	-211.0	-211.0
DfT	E Scooter trials	Allows for the trial of rented E scooters in specific areas of England. Introduced as a measure for Covid-19, providing another means of transport for individuals to get to places without using public transport.	Not yet validated by the Regulatory Policy Committee	Not yet validated by the Regulatory Policy Committee		
DfT	Driver medicals	Suspending the requirement for a D4 medical report for HGV drivers for a period of the duration of the Covid-19 Pandemic and therefore reissue licences (subject to self-certification of health by the driver) for a period of five years.	Not yet validated by the Regulatory Policy Committee	Not yet validated by the Regulatory Policy Committee		

Department / Ministerial regulator	Title of measure as in IA	Description of measure provided by department	Impact on business			Total Net Present Value (£ millions)
			EANDCB ² (£ millions)	Business Impact Target score (£ millions)	Business Net Present Value (£ millions)	
DWP	Automatic enrolment into workplace pensions: seafarer's regulations and offshore workers order	The secondary legislation removes a sunset clause which expired on 1 July 2020 to enable automatic enrolment (AE) into a workplace pension to seafarers and offshore workers to continue beyond this date. ³	26.0	-	-495.6	-4.7
HMT	The Money Laundering and Terrorist Financing (Amendment) Regulations 2019	The EU amended its Directive on the prevention of the use of the financial system for money laundering or terrorist financing (4MLD) in June 2018 and required transposition into domestic legislation by January 2020. The Government's objective is to make the UK's financial system difficult to exploit for illicit finance purposes while minimising the burden on legitimate business. The aim of the proposed legislative changes is to deter crime and terrorism by making it more difficult for criminals to benefit from the proceeds of their crime and easier to detect and investigate criminal or terrorist abuse of the financial system.	80.9	404.7	-697.6	-697.6

³ The BIT score for this measure is zero as it replaces an identical expired piece of legislation.

Department / Ministerial regulator	Title of measure as in IA	Description of measure provided by department	Impact on business			Total Net Present Value (£ millions)
			EANDCB ² (£ millions)	Business Impact Target score (£ millions)	Business Net Present Value (£ millions)	
MHCLG	The Town and Country Planning (Permitted Development and Miscellaneous Amendments) (England) (Coronavirus) Regulations 2020	Permitted development right to allow the upward extension of pre-existing free-standing blocks of flats to create new homes.	-60.4	-302.0	519.2	519.2
MHCLG	The Town and Country Planning (General Permitted Development) (England) (Amendment) (No. 2) Order 2020	Permitted development right to build new homes on certain existing free-standing buildings and terraces in certain commercial and residential uses to create new self-contained homes, as well as to allow an increase in living space of existing homes	-167.0	-835.0	1437.4	4964.0
MHCLG	The Town and Country Planning (General Permitted Development) (England) (Amendment) (No. 3) Order 2020	Permitted development right to allow the demolition of certain vacant light-industrial, commercial and residential buildings and to rebuild as residential buildings.	Not yet validated by the Regulatory Policy Committee	Not yet validated by the Regulatory Policy Committee		

Department / Ministerial regulator	Title of measure as in IA	Description of measure provided by department	Impact on business			Total Net Present Value (£ millions)
			EANDCB ² (£ millions)	Business Impact Target score (£ millions)	Business Net Present Value (£ millions)	
MHCLG	The Town and Country Planning (Use Classes) (Amendment) (England) Regulations 2020	Clarifies the ability of the A use classes (those normally found on the High Street) to diversify and incorporate ancillary uses without undermining the amenity of the area and making effective use of land. Supports high streets to adapt and diversify.	Not yet validated by the Regulatory Policy Committee	Not yet validated by the Regulatory Policy Committee		

Table 3: Qualifying Regulatory Provisions of listed regulators that came into force or ceased to be in force during the first Business Impact Target reporting period of the Parliament

Listed regulator	Title of measure as in IA	Description of measure provided by regulator	Business impact target score (£ millions)
Employment Standards Agency	Agency Worker (Amendment) Regulations 2019	The measure removes an 'opt out' whereby agency workers are able to opt out of their right to pay equal to permanent workers after twelve weeks in the same assignment.	1411.8
Environment Agency	Incinerator Bottom Ash Aggregate - Regulatory Position Statement RPS206	In September 2017 we published a regulatory position statement covering the use of unbound municipal incinerator bottom ash aggregate in construction activities. Regulatory position statements set out how we intend to regulate a particular activity for a set period, for example, until regulations are brought in or changed, or when a legislative review is completed. This entry accounts for the extension of the position from January 2020 until January 31 2021."	-102.6

Listed regulator	Title of measure as in IA	Description of measure provided by regulator	Business impact target score (£ millions)
Financial Conduct Authority	PS20/6: Pension transfer advice: feedback on CP19/25 and our final rules and guidance	<p>In CP19/25, we proposed a combination of remedies to improve the suitability of pension transfer advice. The proposals confirmed in PS20/6 include measures to:</p> <ul style="list-style-type: none"> • ban charges for advice that consumers only pay when a transfer or pension conversion proceeds (contingent charging), except in certain limited, identifiable circumstances which we describe as the 'carve-outs' • require firms to consider an available workplace pension scheme as a receiving scheme for a transfer and to demonstrate why any alternative destination scheme is more suitable • enable firms to give a short form of advice (abridged advice) to help consumers access initial advice at a more affordable cost, even if they may be unwilling or unable to pay for full advice • empower consumers to make better decisions by improving how advisers disclose advice charges • set up new data collections that advice firms must give us to improve our ability to supervise the sector 	4646.4
Financial Conduct Authority	FG20/1: Assessing adequate financial resources	<p>Our intention is to improve the way firms operate so they can take effective steps to prevent harm from occurring to markets and/or customers, by improving controls and/or reducing the risk in their activities and put things right when they go wrong.</p> <p>Having adequate financial resources:</p> <ul style="list-style-type: none"> • allows firms to operate and provide services through the economic cycle • allows for an orderly wind-down without causing undue economic harm to consumers or to the integrity of the UK financial system 	100.8

Listed regulator	Title of measure as in IA	Description of measure provided by regulator	Business impact target score (£ millions)
Financial Conduct Authority	PS19/16: High-Cost Credit Review: Overdraft Policy Statement	<p>In CP18/42 we explained why fundamental reform was needed to the way banks charge for overdrafts. Our package of remedies to make overdraft pricing simpler, fairer and easier to manage was widely supported. Our remedies:</p> <ul style="list-style-type: none"> • stopped firms from charging higher prices for unarranged overdrafts than for arranged overdrafts • banned fixed fees for borrowing through an overdraft – no daily or monthly fees, or fees for having an overdraft facility • required firms to price by a simple annual interest rate • issued new guidance to reiterate that refused payment fees should reasonably correspond to the cost of refusing payments • required firms to do more to identify customers who are showing signs of financial strain or are in financial difficulty and implement a strategy to reduce repeat use <p>We expect that the changes will result in a fairer distribution of charges, particularly benefitting vulnerable consumers, who were disproportionately hit by high unarranged overdraft charges. We would expect that the 30% of Personal Current Accounts (PCA) holders living in the most deprived areas in the UK, could see an aggregate reduction in overdraft charges of around £101m per year as a result of our pricing interventions.</p>	149.3

Listed regulator	Title of measure as in IA	Description of measure provided by regulator	Business impact target score (£ millions)
Financial Conduct Authority	PS19/30: Independent Governance Committees: extension of remit	<p>Having considered the feedback from stakeholders that we received on CP19/15, in December 2019 we published PS19/30 with final rules to extend the remit of Independent Governance Committees (IGCs) and Governance Advisory Arrangements (GAAs) to:</p> <ul style="list-style-type: none"> • a new duty for IGCs to consider and report on their firm's policies on environmental, social and governance (ESG) issues, member concerns, and stewardship, for the products that IGCs oversee • a new duty for IGCs to oversee the value for money of investment pathway solutions for pension drawdown (pathway solutions) <p>These rules aim to protect consumers from investments that may be unsuitable because of ESG risks, make sure that consumer concerns are taken into account, and encourage good stewardship of investments. Additionally, these rules address recommendations made by the Law Commission in its June 2017 report on Pension Funds and Social investments.</p> <p>We also want pathway solutions that deliver value for money for consumers. That means costs and charges that are good value relative to the quality of the pathway solution and associated services, and a pathway solution that is appropriate for the pathway objective and the characteristics of the consumers likely to be using it.</p>	61.9
Gambling Commission	Extending the ban on the acceptance of credit card payments for gambling	Extension of the ban on acceptance of credit card payments to include remote gambling businesses where gambling is undertaken via remote communications, such as via the internet, an app on a tablet or mobile phone, interactive TV or placing a bet via telephone.	160.5

Listed regulator	Title of measure as in IA	Description of measure provided by regulator	Business impact target score (£ millions)
The Insolvency Service	Corporate Insolvency and Governance Bill	Three permanent measures were introduced as part of the corporate and insolvency governance bill. This introduced new rescue options into the UK's insolvency framework: company moratorium, suspension of Ipso Facto clauses and a restructuring plan. There is a short-term policy objective to give the UK economy more restructuring tools that are flexible to help UK companies get through the Covid-19 emergency and be able to continue trading when the economy emerges. These measures will also have a longer-term benefit of saving viable companies, maintaining productivity and preserving jobs.	-834.7

Non-Qualifying Regulatory Provisions

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

- A list of all the legislative Non-Qualifying Regulatory Provisions which have come into force or ceased to be in force during the first reporting period of the Parliament – (see table four and five) – table five sets out government measures out of scope because they are within the de minimis rule, and table four sets out government measures which are out of scope for other reasons; and
- A summary of all the non-legislative, Non-Qualifying Regulatory Provisions which have come into force or ceased to be in force during the first reporting period of the Parliament (see sub-section entitled “Non-legislative Non-Qualifying Regulatory Provisions” on page 45).

Table 4: Legislative Non-Qualifying Regulatory Provisions of Government departments and Ministerial regulators that came into force or ceased to be in force during the first Business Impact Target reporting period of the Parliament above the +/-£5 million de minimis threshold (assessments using the same business impact methodology as is used for qualifying measures are shown in bold and assessments taking into account wider impacts are in the columns headed in italics).

Department / Ministerial regulator	Title of measure as in IA	Description of measure provided by department	Exclusion category	Impact on business			<i>Total Net Present Value (£ millions)</i>
				<i>EANDCB (£ millions)</i>	Business Impact Target score (£ millions)	<i>Business Net Present Value (£ millions)</i>	
BEIS	Amendments to the Heat Network (Metering and Billing) Regulations 2014	To introduce fairer billing by providing clear information on energy and heat networks	EU exit legislation	12.0	60.0	-135.0	95.0
DCMS	Revision of the audio-visual media services directive (AVMSD)	The way in which people consume audio-visual content has changed since 2007, so the directive has been updated to requirements for video sharing platforms for the first time.	EU exit legislation	10.0	50.1	-86.3	-102.9

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

Department	Title of measure as in IA	Description of measure provided by department
Department for Business, Energy and Industrial Strategy	The Electricity and Gas (Internal Markets) Regulations 2020	This instrument will update UK legislation to make it consistent with the recast Electricity Regulation (2019) on the internal market for electricity and recast Agency Regulation (2019), in order to ensure and enable UK compliance with the recast EU regulations.
Department for Business, Energy and Industrial Strategy	The Energy Efficiency (Building Renovation and Reporting) and (Encouragement, Assessment and Information) (Amendment) and Building Renovation Measures and Reporting Regulations 2020.	This SI will remove outdated regulations from the EE(BRR)R, and insert new requirements into the EE (BRR)R that transpose the three BEIS-led responsible articles of the updated 2018 Energy Performance of Buildings Directive (EPBD).
Department for Business, Energy and Industrial Strategy	The Electricity and Gas (Amendment) (EU Exit) Regulations 2020	The purpose of this instrument is to help ensure that the United Kingdom ('UK') has a functioning statute book by the end of the implementation period ('IP') ensuring continued regulatory certainty for electricity and gas market participants.
Department for Business, Energy and Industrial Strategy	The Gas (Internal Markets) Regulations 2020	The Statutory Instrument (SI) will introduce into UK law provisions that are required for the UK to be compliant with the recently amended 'EU Commission Directive 2009/73 concerning common rules for the internal market in natural gas'. Without this legislation the UK would not be compliant with the EU directive during the implementation period. The SI also includes a sunset clause, therefore any substantive changes made to the SI will be revoked at the end of the implementation period.
Department for Business, Energy and Industrial Strategy	The Companies (Shareholders' Rights to Voting Confirmations) Regulations 2020	This amends the original Shareholder Rights Directive (EU Directive 2007/36). It consists principally of new reporting and other requirements across the investment chain, i.e. on investor stewardship, proxy advisers and companies

Department	Title of measure as in IA	Description of measure provided by department
Department for Business, Energy and Industrial Strategy	The Enterprise Act 2002 (Turnover Test) (Amendment) Order 2020	This amends the turnover threshold and share of supply jurisdictional tests within the Enterprise Act 2002 to allow the Government to examine and potentially intervene in mergers that currently fall outside the thresholds in the three additional areas: artificial intelligence (AI); cryptographic technology; and materials and manufacturing science. The innovation within these areas has often been driven by small businesses and there is a risk that mergers involving these types of businesses, which fall below the current turnover threshold, could raise national security concerns.
Department for Business, Energy and Industrial Strategy	The Electricity (Individual Exemptions from the Requirement for a Generation Licence) (England) Order 2020	Article 3 of this Order grants exemptions from the requirements of section 4(1)(a) of the Electricity Act 1989 (which prohibits the generation of electricity for supply to any premises without a licence) in relation to two electricity generating stations in England. The companies granted exemptions are: Lostock Sustainable Energy Plant Limited in respect of Lostock Sustainable Energy Plant; and Rookery South Limited in respect of Rookery South Energy Recovery Facility.
Department for Business, Energy and Industrial Strategy	The Ecodesign for Energy-Related Products (Amendment) Regulations 2020	The purpose of the Ecodesign for Energy-Related Products (Amendment) Regulations 2020 ("the 2020 Regulations") is to amend domestic legislation, the Ecodesign for Energy-Related Products Regulations 2010 ("the 2010 Regulations"), so that the UK Market Surveillance Authority can enforce the new and updated ecodesign requirements for external power supplies in the UK.
Department for Business, Energy and Industrial Strategy	The Employment Tribunals (Constitution and Rules of Procedure) (Early Conciliation: Exemptions and Rules of Procedure) (Amendment) Regulations 2020	The primary impact of these changes is to reduce unnecessary bureaucracy in providing access to justice through the employment tribunal system. Many of the changes are designed to make it easier for Acas and HMCTS to process claims and help progress them more quickly (which would help parties to the case in lessening the emotional burden of having an unfinished claim to deal with).

Department	Title of measure as in IA	Description of measure provided by department
Department for Business, Energy and Industrial Strategy	The Online Intermediation Services for Business Users (Enforcement) Regulations 2020	The EU regulation on platform-to-business relations aims to promote fairness and transparency between online platforms (e.g. Amazon Marketplace and Google Search) and businesses by regulating their relationship and defining rules for cooperation. It requires the UK to ensure adequate and effective enforcement measures to prohibit non-compliance with the regulation, including a process for suitable independent organisations or public organisations designated by the government to bring cases on behalf of affected businesses.
Department for Business, Energy and Industrial Strategy	The Professional Qualifications and Services (Amendments and Miscellaneous Provisions) (EU Exit) Regulations 2020	This instrument makes legislative changes to the frameworks for the recognition of professional qualifications (RPQ) and services in the UK so that they will function effectively after the Transition Period (TP) and protect certain UK, European Economic Area (EEA) and Swiss nationals
Department for International Trade	Trade Bill (existing international trade and other related agreements)	The policy objective is not intended to bring about substantive changes to UK businesses in trade and investment relationships with third countries covered by existing agreements, especially businesses with fewer than 50 employees because the objective is to ensure continuity
Department for Transport	The Civil Aviation (Insurance) (Amendment) (EU Exit) Regulations 2020	Makes minor technical changes to that the UK legislation on aviation insurance continues to function effectively after the UK has left the EU.
Department for Transport	The Railways (Miscellaneous Amendments, Revocations and Transitional Provisions) (EU Exit) Regulations 2020	Makes minor technical changes, replacing all references to the term "exit day" with "IP completion day" where the reference to "exit day" is no longer appropriate due to the fact that the UK is now in a transition period as part of leaving the EU.
Department for Transport	The Aviation Security (Amendment) (Eu Exit) Regulations 2020	To correct deficiencies in retained EU legislation on aviation security to ensure that UK domestic legislation in this area will continue to function effectively after the end of the transition period.

Department	Title of measure as in IA	Description of measure provided by department
Department for Transport	The Air Traffic Management (Amendment ETC.) (EU Exit) (No2) Regulations 2020	Corrects deficiencies in retained EU legislation. This SI will ensure the continuity of a functioning regulatory framework for the UK Air Traffic Management system at the end of the transition period.
Department for Transport	The Aviation Safety (Amendment) (EU Exit) Regulations 2020	Amends the retained EU law to remove legal inoperabilities and correct terms used in the legislation.
Department for Transport	Motor Vehicles (Compulsory Insurance and Rights Against Insurers)	Allows UK victims of traffic accidents in the EU, who started their legal proceedings against the Motor Insurers' Bureau during the transition period, to continue and conclude legal proceedings when the period ends.
Department for Transport	M23 J8 to J10 SMP Scheme	Reduces the permanent fixed speed limit from 70 mph to 50mph on the M23 westbound Gatwick Spur between J9 and Gatwick roundabout. The spur is 1.2km in length
Department for Transport	M1 J13-16 Smart Motorway Scheme	The SI will allow the operation of variable mandatory speed limit (VMSL) between junctions 13 to 16 of the M1 motorway. VSML is a key part of smart motorway schemes, and the SI wil allow for this to be implemented, enabling the realisation of the scheme's reliability benefits to businesses.
Department for Transport	The M25 Motorway (Junction 5) and The M1 Motorway (Junction 2) (50mph Speed Limit) Regulations 2020	No person shall drive a vehicle on either of the specified roads at a speed exceeding 50 miles per hour.

Department	Title of measure as in IA	Description of measure provided by department
Department for Transport	Revocation of the car-share lane restrictions on M606/M62	Revokes the car share lane on the M606/m62 and opens the lane to all road users, making slip road white lining/signing changes only, and decommissioning the ramp metering system.
Department for Transport	Covid-19 travel operator information provision amendments	This is a measure to amend existing requirements on approximately 140 transport operators to provide information on the relevant restrictions and isolation conditions for entering the UK. This amendment specifies new wording for operators. The costs will be some updating of the wording on current systems.
Department for Transport	Street Manager and updates to permit schemes	Mandates the use of Street Manager to replace a costly and ineffective system with one which allows more consistent and accurate data on road works to be available to road users and organisations at lower cost.
Department for Transport	Restricting the use of tyres on the front axles of heavy vehicles	Restricting the use of tyres on the front axles of heavy vehicles
Department for Digital, Culture, Media and Sport	The Royal Parks (Changes to the Parks Regulation) Order 2020	Reduce Speed Limits on roads in Green Park, St James Park, Regents Park and Hyde Park. This would bring the area in line with those in Greenwich, Richmond and Bushy Parks and with an increasing number of roads elsewhere in London. Increase hourly Parking Charges
Department for Digital, Culture, Media and Sport	Analogue Commercial Radio Licence Renewables	Renewing radio licences as opposed to putting them up for tender which would involve huge costs. The preferred option was to allow the renewal of licenses for a further ten years. The main monetised benefit in this instance was the cost savings businesses obtained as a result of not having to re-apply for licenses

Department	Title of measure as in IA	Description of measure provided by department
Department for Digital, Culture, Media and Sport	Birmingham Commonwealth Games Bill	<p>Intended to help the operational delivery of the Commonwealth Games. The Legislation would do the following:</p> <ol style="list-style-type: none"> 1) Provide Powers to close roads and regulate road use for the games; 2) Create an enforceable right of association for the same, that would protect the rights of authorised sponsors. The authorised sponsors' support is necessary to help meet the cost of the games; and 3) Prohibit unauthorised advertising and street trading around Games Venues or related locations.
Department for Digital, Culture, Media and Sport	Implementation of the Audio-Visual Media Services Directive (AVMSD)	<p>Intended to create a regulatory environment that is fairer for all players in the audio-visual sector. It was needed to bring the directive in line with the impact of technological developments since the original Directive was negotiated in 2010. The new regulations were intended to create a regulatory environment that is fairer for all players in the audio-visual sector, protecting minors and tackling hate speech.</p> <p>The main cost in this instance was the familiarisation cost to broadcasters and video on demand platforms from reading and circulating relevant changes of AVMSD to employees.</p>
Department for Digital, Culture, Media and Sport	Revision of the Audio-Visual Media Services Directive (AVMSD)	<p>The way in which people consume audio-visual content has changed since 2007 so the Directive has been updated to include requirements for video sharing platforms for the first time.</p>
Department for Environment, Food and Rural Affairs	The Official Controls (Plant Health and Genetically Modified Organisms) (England) Regulations 2019	<p>Implements part of the EU Smarter Rules for Safer Food ("SRSF") package of regulations, a set of three EU regulations for the protection against animal disease and plant pests. The package will modernise, simplify and improve existing H&S standards for the agri-food chain, taking a risk-based approach to animal, plant and public health protection, introducing more efficient pest and disease control measures.</p>

Department	Title of measure as in IA	Description of measure provided by department
Department for Environment, Food and Rural Affairs	The Countryside Stewardship (England) Regulations 2020	Allows the Countryside Stewardship grant scheme to open for applications in February 2020. The scheme will provide funding for farmers, woodland owners, foresters and land managers to make environmental improvements through activities such as: conserving and restoring wildlife habitats; managing flood risk; creating and managing woodland; reducing water pollution from agriculture and encouraging educational access by hosting school visits.
Department for Environment, Food and Rural Affairs	The Trade in Animals and Related Products (Amendment) Regulations 2020	The Official Controls (Animals, Feed and Food, Plant Health Fees etc.) Regulations 2019 (S.I 2019/1488) ("the 2019 Regulations") amends the Trade in Animals and Related Products Regulations 2011 (S.I. 2011/1197) ("the 2011 TARP Regulations"). Four further amendments are required to implement the new Regulation (EU) 2017/625 on official controls and other official activities to ensure the application of food and feed law, rules on animal health and welfare, plant health and plant protection products ("the EU Regulation"). These will amend provisions that relate to the seizure of non-compliant animals and animal product consignments as well as the remit of Official Fish Inspectors. Following an internal review of provisions relating to payments to importers, DEFRA are removing such provisions, which were inserted into the 2011 TARP Regulations by the 2019 Regulations.
Department for Environment, Food and Rural Affairs	The Isle of Scilly (Application of Water Legislation) Order 2020	Main purpose is to apply certain provisions of the Environment Act 1995 and Water Resources Act 1991 to the Isles of Scilly with modifications to provide for the specific circumstances on the Isles. The Order also applies certain secondary legislation to the Isles of Scilly. The application of this legislation to the Isles of Scilly will enable environmental regulation of water and sewerage services and water and waste activities, and for the water and sewerage undertaker to provide both household and non-household services on the Isles.

Department	Title of measure as in IA	Description of measure provided by department
Department for Environment, Food and Rural Affairs	The Wildlife and Countryside Act 1981 (Variation of Schedule 2) (England) Order 2020	Amends Part I of Schedule 2 to the Wildlife and Countryside Act 1981 ("the 1981 Act"), which lists birds that may be killed or taken outside the close season (a period of the year during which the hunting of a particular type of animal is illegal) for that bird. This Order excludes Greenland White-fronted Goose from Part I of Schedule 2 in England so that it can no longer be killed outside of the close season and therefore cannot be killed at any time of year.
Department for Environment, Food and Rural Affairs	The Single Use Carrier Bags Charges (England) (Amendment) Order 2020	Amends the Single Use Carrier Bags Charges (England) Order 2015 (S.I. 2015/776) ("the 2015 Regulations") by temporarily removing the obligation for large retailers to charge a minimum of 5p for single-use carrier bags ("SUCB") intended to be used solely to carry goods purchased for home delivery as part of an online grocery delivery services.
Department for Environment, Food and Rural Affairs	Environmental Protection (Disposal of Polychlorinated Biphenyls and other Dangerous Substances) (England and Wales) (Amendment) Regulations 2020	Ensures that all relevant PCB contaminated equipment (contamination below 0.05% but above 0.005%/ 0.05dm ³) is safely removed from use by the legal deadline. This will ensure that we adhere to the law, fulfil our international commitment and safely remove the possibility of further damage to the environment and human health.
Department for Environment, Food and Rural Affairs	The Food Information (Amendment) (England) Regulations 2020	Makes provision to enforce Commission Implementing Regulation (EU) No 2018/775 by introducing offences and penalties relating to food information provided to consumers in England. Specifically, it enforces Article 26.3 of Regulation (EU) No 1169/2011 of the European Parliament and of the Council ("the EU Regulation"). Article 26.3 requires either the indication of the country of origin of the primary ingredient, or the indication that the country of origin is different, when it is different from the given origin of the food.

Department	Title of measure as in IA	Description of measure provided by department
Department for Environment, Food and Rural Affairs	The Official Controls (Plant Protection Products) Regulations 2020	Enforces and applies Regulation (EU) 2017/625 of the Parliament and of the Council (“the new EU Regulation”) on official controls for plant protection products (agricultural pesticides). The new EU Regulation regulates official controls and other official activities performed to ensure the application of food and feed law, rules on animal health and welfare, plant health and plant protection products. It has applied from 14 December 2019. This instrument will implement the new EU Regulation and will enable the UK to strengthen and develop the efficiency and effectiveness of its control system.
Department for Environment, Food and Rural Affairs	The Wine (Amendment) Regulations 2020	Maintains the standards for wine marketed within the UK. UK domestic legislation currently references EU legislation that sets out the details for the rules on wine production based on International Organisation for Vine and Wine (‘OIV’) approved processes and practices. These wine production rules are applicable in the United Kingdom both during the Implementation Period and beyond, in accordance with the European Union (Withdrawal) Act 2020. However, references to the EU legislation in the current UK domestic legislation are out of date because the EU legislation has been amended. Therefore, the UK domestic legislation needs to be amended to ensure that it references the amended EU legislation.

Department	Title of measure as in IA	Description of measure provided by department
Department for Environment, Food and Rural Affairs	The Resources and Waste (Circular Economy) (Amendment) Regulations 2020	<p>Transposes six amending EU Directives in the field of waste, amending the legislation that transposed Directive 2008/98/EC on waste (“the Waste Framework Directive”); Directive 1999/31/EC on the landfill of waste (“the Landfill Directive”); Directive 94/62/EC on packaging and packaging waste (“the Packaging Directive”); three other waste related Directives in England and Wales; and some legislation that partially transposed the same Directives in Scotland and Northern Ireland.</p> <p>It is also making all the legislative changes required to transpose the 2020 Circular Economy Package (CEP) measures on behalf of England and Wales, apart from some amendments relating to hazardous waste which Defra is making for England only. The Welsh Government will be making a Wales-only SI to include amendments relating to hazardous waste, as well as updating references in several Wales-only SIs. Through amendments made to legislation that apply in Scotland and Northern Ireland, this instrument is partially transposing the 2020 CEP measures on behalf of Scotland and Northern Ireland (see section 6 below for further information). Further amendments to complete the transposition of the CEP will be made by Scotland and Northern Ireland.</p>
Department for Environment, Food and Rural Affairs	The Agriculture and Horticulture Development Board (Amendment) Order 2020	Amends three separate domestic regulations, and revokes one, relating to the implementation of the European Union Common Agricultural Policy and also amends one Order concerned with the Agriculture and Horticulture Development Board (“AHDB”), in order to address operability issues created by the UK leaving the EU. The amendments will ensure this legislation continues to operate effectively after EU Exit.
Department for Environment, Food and Rural Affairs	The Water Abstraction (Transitional Provisions) (Amendment) (England) Regulations 2019	Amends the Water Abstraction (Transitional Provisions) Regulations 2017 to extend the period during which abstractors currently exempt from obtaining a licence must make an abstraction licence application. The application deadline is extended by six months to 30th June 2020. This will allow businesses and individuals more time to apply for a licence. The date by which the Environment Agency must determine applications made under the Transitional Regulations (31st December 2022) will not change as a result of these amendments.

Department	Title of measure as in IA	Description of measure provided by department
Department for Environment, Food and Rural Affairs	Greenland white fronted goose - The Wildlife and Countryside Act 1981 (Variation of Schedule 2) (England) Order 2020	In order to meet DEFRA's legal obligations under the AEWA Treaty and Species Action Plan this measure plans to remove Greenland White fronted Geese from Schedule 2 (birds which may be killed or taken) of the Wildlife and Countryside Act (1981) (WCA) in England and Wales. This will mean that it will no longer be legal to hunt this species in England
Department for Environment, Food and Rural Affairs	The Financial Assistance for Environmental Purposes (England) Order 2020	The 1990 Act allows the SoS, with the consent of HM Treasury, to give financial assistance to certain organisations that are listed in section 153(1) for purposes relating to the protection, improvement or better understanding of the environment. The current list as set out has been found to be too restrictive as it only allows financial assistance to be given to a limited number of named organisations the purpose of this measure is to amend section 153(1) of the Environmental Protection Act 1990 to extend the list of purposes for which the SoS may give financial assistance.
Department for Environment, Food and Rural Affairs	The Thames Water Utilities Limited (Thames Tideway Tunnel) (Amendment) Order 2020	<p>The Thames Water Utilities Limited (Thames Tideway Tunnel) Order 2014 (S.I 2014/2384) ("the 2014 Order") granted development consent within the meaning of the Planning Act 2008 (c. 29). The amendment makes the following changes:</p> <p>Article 2 is amended so that the book of reference includes the additional plots to be included within the Order limits;</p> <p>Article 6 is amended so that the limits of the deviation apply to the connection tunnel between the King Edward Memorial Park Foreshore combined sewer overflow drop shaft and the main tunnel;</p> <p>Part 1 of Schedule 1 is amended to provide consent for the connection tunnel;</p> <p>Part 1 of Schedule 2 is amended to make amendments to two of the Works Plan and Section drawings for the main tunnel to show the revised tunnel alignment, new connection tunnel and associated limits of deviation and Order limits, and related revisions to the plan references; and</p> <p>Part 2 of Schedule 2 is amended to make amendments to the Land Plan to show the revised limits of deviation for the main tunnel and the additional plots to be included within the Order limits, and the related revision to the plan reference.</p>

Department	Title of measure as in IA	Description of measure provided by department
Department for Environment, Food and Rural Affairs	The Water Industry (Specified Infrastructure Projects) (English Undertakers) (Amendment) Regulations 2020	Ensures Infrastructure Providers are able to continue to deliver large or complex water infrastructure projects with the benefits made available from application of the Water Industry Regulations 2013. The measure amends the 2013 Regulations by removing the ("sunsetting provision") provision that would cause them to expire seven years from the date they came into force (i.e. 27 June 2020).
Department for Environment, Food and Rural Affairs	The Sea Fishing Enforcement (Amendment) Regulations 2020	Updates an out of date reference to EU fisheries legislation in the Sea Fishing (Enforcement) Regulations 2018 (S.I. 2018/849). This reflects the EU's introduction of new EU fishing opportunity fixing legislation for 2020. The measure replaces a reference to fisheries conservation measures in relation to sea bass, including measures on bass catch limits for vessels and recreational bass bag limits, in EU legislation applying in 2019 with a reference to the new measures for 2020. This will enable Inshore Fisheries and Conservation Officers to enforce these updated measures in England's inshore waters.
Department for Education	Keeping Children Safe in Education - update 2020	This updated statutory guidance helps schools and colleges understand what they need to do to respond quickly and effectively when an incident occurs, or they have concerns about a child. It clarifies what policies (including a child protection policy) and preventative measures should be implemented to keep their children safe. Ofsted also use it as part of their inspection framework
Department for Education	The Education (Independent School Standards) (Coronavirus) (Amendment) Regulations 2020	Disclosure and Barring Service checks for Independent School proprietors are no longer required to be countersigned by the Education Secretary
Department for Education	Amending The Education (Pupil Registration) (England) (Coronavirus) (Amendment) Regulations 2020	Gives schools the ability to appropriately record pupils who will not be attending school, because they are following public or clinical health advice by shielding or self-isolating, or quarantining if returning from abroad. Allows schools to record attendance if/when there are local or regional lockdowns without further changes to Regulations.

Department	Title of measure as in IA	Description of measure provided by department
Department for Education	The Early Years Foundation Stage (Learning and Development and Welfare Requirements) (Coronavirus) (Amendment) Regulations 2020	Temporarily modifies early years providers' duty in relation to early learning goals and educational programmes to "reasonable endeavours". Cancels end of reception year assessment and disappplies the need to carry out the two year old progress check. Modifies some of the provisions on qualifications of staff and gives some flexibility on child ratios.
Department for Work and Pensions	The Occupational Pension Schemes (Investment and Disclosure) (Amendment) Regulations 2019	Transposes two Articles of The European Union revised Directive 2007/36/EC1 ("the Shareholders' Rights Directive) and published EU Directive 2017/8282 (commonly known as 'SRD II') Directive relating to scheme's policies on engagement with investee firms (investee firms are collectively, the company in which the scheme invests and its subsidiaries), asset managers and others and the transparency of trustees regarding their investment strategies.
HM Treasury	The Over the Counter Derivatives, Central Counterparties and Trade Repositories (Amendment, etc., and Transitional Provision) (EU Exit) Regulations 2020	The update to European Market Infrastructure Regulation (EMIR 2.2) entered into application in the EU on 1 January 2020. EMIR 2.2. will become part of retained EU law at the end of the Transition Period. This instrument is a necessary government intervention to address deficiencies in EMIR, as amended by EMIR 2.2. This SI will ensure a coherent and functioning financial services regulatory regime in the UK at the end of the Transition Period.
HM Treasury	The Friendly Societies Act 1992 (Accounts) (Amendment) Order 2020	Gives friendly societies greater flexibility in their choice of accounting standards, allowing them to adopt a standard of accounting which best suits their business needs and practices. It is also intended to align this section of the legislation with the corresponding section within the Companies Act, so that there are identical rules regarding the choice of accounting standards for provision of accounts.

Department	Title of measure as in IA	Description of measure provided by department
HM Treasury	The Financial Services (Miscellaneous Amendments) (EU Exit) Regulations 2020	Contains deficiency fixes which do not clearly fit with other EU Exit SIs covering more specific areas of regulation. It contains deficiency fixes that need to be made to address new EU legislation that took effect shortly before exit day, or during the Transition Period, and will form part of retained EU law at the end of the Transition Period through the operation of the European Union (Withdrawal) Act 2018, as amended by the European Union (Withdrawal Agreement) Act 2020.
HM Treasury	The Financial Services (Consequential Amendments) Regulations 2020	Delays the application of a number of financial services temporary permissions and transitional regimes established by previous EU Exit instruments, so that they apply by reference to the end of the Implementation Period (IP) rather than exit day. All other characteristics of the regimes, such as their scope and duration, remain unchanged.
HM Treasury	The Payment Services and Electronic Money (Amendment) Regulations 2020	Amends the Electronic Money Regulations 2011 and the Payment Services Regulations 2017 in order to apply certain sections of the Banking Act 2009, with modifications, to authorised electronic money institutions, small electronic money institutions, authorised payment institutions and small payment institutions. This will allow HM Treasury to make regulations to modify insolvency law with respect to these institutions, including setting up a bespoke insolvency regime applicable to them, through further Statutory Instruments in 2021. This instrument does not implement or create any new regulations or rules (for businesses or consumers) in its own right.
HM Treasury	The Financial Services (Gibraltar) (Amendment) (EU Exit) Regulations 2019	Extends the temporary arrangements that enable Gibraltar-based firms to continue operating in the UK on current terms by an additional 12 months, in the lead up to the commencement of the new permanent market access arrangements contained in the Financial Services Bill, introduced to Parliament on 21 October 2020. The SI also facilitates the access by UK-based firms to Gibraltar's financial services market, although market access is a sovereign matter for the Government of Gibraltar to legislate on.

Department	Title of measure as in IA	Description of measure provided by department
HM Treasury	The Financial Services and Markets Act 2000 (Central Counterparties, Official Listing and Qualifying EU Provisions) (Amendment) Regulations 2020	Regulations make a series of necessary minor updates to UK law in order to ensure that the UK financial services framework remains fully effective and enforceable following the introduction of new EU legislation. These regulations are necessary to implement three European Union regulations and one European Union directive related to financial services. There are four pieces of legislation which are implemented via these Regulations.
HM Treasury	The Civil Liability (Information Requirements) and Risk Transformation (Amendment) Regulations 2020	Places a requirement on relevant insurers to provide information to the Financial Conduct Authority about the costs and premiums of private motor insurance policies issued over a three-year period from April 2020. The purpose of these provisions is to allow the Government to assess whether any cost savings made by insurers from the Civil Liability Act 2018 reforms, which made changes to the compensation system for whiplash injuries and to the way in which the Personal Injury Discount Rate is calculated, have been passed onto consumers. The Regulations also repair a defect in the Risk Transformation Regulations 2017 which inadvertently inhibited access to the markets for certain investors.
HM Treasury	The Equivalence Determinations for Financial Services (Amendment etc.) (EU Exit) Regulations 2020	<p>The amendments made are technical in nature and this SI does not introduce new policy or significant additional requirements on business.</p> <p>This SI also makes minor amendments to modify errors in the following onshored legislation:</p> <ul style="list-style-type: none"> • Central Securities Depositories (Amendment) (EU Exit) Regulations 2018; • The Credit Rating Agencies (Amendment etc.) (EU Exit) Regulations 2019

Department	Title of measure as in IA	Description of measure provided by department
HM Treasury	The Consumer Credit (Enforcement, Default and Termination Notices) (Coronavirus) (Amendment) Regulations 2020	A negative SI to amend the Consumer Credit (Enforcement, Default and Termination Notices) Regulations 1983, which were made under the Consumer Credit Act 1974. The amendment changes the prescribed language in and form of Enforcement, Default and Termination Notices. Default Notices are the letters consumers are sent when they default on a regulated consumer credit or consumer hire agreement, such as a loan or credit card, before a lender can take certain actions, such as terminating the agreement. The instrument aims to reduce any adverse impacts of Enforcement, Default and Termination Notices, reducing their negative impacts on borrowers' mental health and empowering borrowers to take control of their finances by making it easier to understand the notices and access appropriate support.
HM Treasury	The Financial Services and Economic and Monetary Policy (Consequential Amendments) (EU Exit) Regulations 2020	Uses powers in the European Union (Withdrawal Agreement) Act 2020 ("the 2020 Act") to make consequential amendments to HM Treasury Financial Services EU Exit SIs made previously under the European Union (Withdrawal) Act 2018 ("EUWA 2018"). This instrument also amends a reference to "exit day" in the European Union Budget, and Economic and Monetary Policy (EU Exit) Regulations 2019 to "IP completion day". These amendments are required as a consequence of the 2020 Act, which delayed the coming into force date of these SIs until the end of the Transition Period. This SI is needed to ensure there is an independent, coherent and effective financial services legal and regulatory regime at the end of the Transition Period.
HM Treasury	The Securities Financing Transactions, Securitisation and Miscellaneous Amendments (EU Exit) Regulations 2020	Addresses deficiencies across a number of pieces of retained EU law arising as a result of the UK's withdrawal from the EU, in line with the approach taken in other financial services EU exit instruments under the European Union (Withdrawal) Act 2018. This SI ensures that there is a coherent and functioning financial services regulatory regime in the UK at the end of the Transition Period ("TP"). It amends and revokes aspects of retained EU law and related UK domestic law; makes a small number of necessary clarifications and a minor correction to earlier financial services EU Exit instruments; and provides sufficient supervisory powers for the financial services regulators to effectively supervise firms during and after the end of the TP.

Department	Title of measure as in IA	Description of measure provided by department
HM Treasury	The Financial Holding Companies (Approval etc.) and Capital Requirements (Capital Buffers and Macro-prudential Measures) (Amendment) (EU Exit) Regulations 2020	This SI transposes provisions of the 5th Capital Requirements Directive (CRD V). It contains a requirement for certain financial holding companies to apply for supervisory approval. It also makes changes to the macro-prudential toolkit, preserving the current level of macro-prudential flexibility. In addition, it allows for the removal of management boards by the regulators where they are no longer fit to serve in their role. Finally, it also addresses failures of retained EU law to operate effectively and other deficiencies arising from the withdrawal of the United Kingdom from the European Union.
Home Office	Increase the fees, in respect of the Animals (Scientific Procedures) Act 1986, for Financial Year 2020/21	ASRU's financial forecast highlights that expenditure will exceed income by £445,000 in 2020/21. Self-funding is required to maintain regulatory standards and service levels.
Home Office	Hong Kong British National (Overseas) Visa	The UK Government's decision to introduce a new Hong Kong British Nationals (Overseas) (BN(O) citizens) Route follows the imposition by the Chinese Government of a national security law on Hong Kong that restricts the rights and freedoms of the people of Hong Kong and constitutes a clear and serious breach of the Sino-British Joint Declaration. The UK is creating a new bespoke immigration route for BN(O) citizens from Hong Kong, reflecting the unique and unprecedented circumstances in Hong Kong and the UK's historic and moral commitment to BN(O) citizens who elected to retain their ties with the UK through obtaining BN(O) status.
Home Office	Offensive Weapons Act	Responds to an increase in serious violence involving knives, firearms and corrosive substances.
Home Office	Scheduling of a cannabis-based product for medicinal use, Epidyolex, under the Misuse of Drugs Regulations 2001	Intended to reschedule 'Cannabidiol with clobazam', also known as "Epidyolex", from a schedule 2 drug to a schedule 5 drug under the Misuse of Drugs Regulations 2001. It is be used to treat patients with severe forms of epilepsy.

Department	Title of measure as in IA	Description of measure provided by department
Home Office	Immigration and Social Security Co-ordination (EU Withdrawal) Act 2020	Makes provision to end rights to free movement of persons under retained EU law and to repeal other retained EU law relating to immigration; to confer power to modify retained direct EU legislation relating to social security co-ordination; and for connected purposes.
Ministry of Housing, Communities and Local Government	The Mobile Homes (Requirement for Manager of Site to be Fit and Proper Person) (England) Regulations 2020	Prohibits the use of land as a residential mobile home site unless the local authority is satisfied that the owner or manager of the site is a fit and proper person to manage the site. The regulations make related provision as to matters to be taken into account by local authorities in making a fit and proper person assessment, the establishment of a fit and proper person register, procedure for application for inclusion on the register, and enforcement, including the creation of criminal offences.
Ministry of Housing, Communities and Local Government	Changing Places Toilets	Makes changes to approved document M to require large (12m2), well-equipped accessible toilet facilities to be designed and incorporated into new large public buildings in scope. At least one new Changing Places toilet will be required in properties that fall in scope that are either new or subject to a material change of use.
Ministry of Housing, Communities and Local Government	The Insolvency Act 1986 Part A1 Moratorium (Eligibility of Private Registered Providers) Regulations 2020	Seeks to help Housing Associations in financial difficulties through the introduction of a mix of temporary and permanent measures. This includes the power for a company to apply for a 20 day "moratorium" from action by creditors while it seeks to sort out financial difficulties. Housing legislation already includes a range of measures to help housing associations (technically private registered providers – PRPs – in the legislation) that get into financial difficulty. This includes a similar moratorium period to provide time to address financial issues. HAs are also subject to economic oversight by the Regulator of Social Housing (RSH).
Ministry of Housing, Communities and Local Government	Business and Planning Act 2020 (Sections 16 to 22)	The only permanent MHCLG measure (lasting 12 months or more) in the Bill is that of providing Planning Inspectors with the flexibility to use more than one procedure type for planning appeals, enabling appeals to progress at a faster pace.

Department	Title of measure as in IA	Description of measure provided by department
Ministry of Housing, Communities and Local Government	The Town and Country Planning (Local Planning) (England) (Coronavirus) (Amendment) Regulations 2020	<p>The main measure will be in force for less than 12 months and therefore exempt from the Better Regulation Framework and does not need an impact assessment.</p> <p>The statutory instrument does however include a permanent minor amendment to update a reference to the Planning and Compulsory Purchase Act 2004.</p> <p>The current legislation refers to section 113(4) of the Planning and Compulsory Purchase Act 2004 that has been repealed by the Criminal Justice and Courts Act 2015. The effect of the regulation is that local planning authorities may cease to make a document available once a 6 week period has expired. The minor amendment will update the reference to section 113(3)(b) of the Planning and Compulsory Purchase Act 2004 which also specifies a 6 week period. The practical impact will be to maintain the status quo that local planning authorities may cease to make a document available once a 6 week period has expired.</p>
Ministry of Housing, Communities and Local Government	The Town and Country Planning (Border Facilities and Infrastructure) (EU Exit) (England) Special Development Order 2020	Planning permission granted by the MHCLG SoS to allow development of land for temporary border infrastructure to help increase capacity for customs checks when the UK leaves the EU.
Ministry of Housing, Communities and Local Government	The Town and Country Planning (General Permitted Development) (England) (Amendment) Regulations 2020	A temporary national permitted development right for pubs, restaurants and cafes to be able to provide a takeaway or delivery service without the need to apply for full planning permission.

Department	Title of measure as in IA	Description of measure provided by department
Ministry of Housing, Communities and Local Government	The Electrical Safety Standards in the Private Rented Sector (England) Regulations 2020	Regulations to ensure that electrical safety standards are met in properties in the private rented sector, how and when checks of electrical installations are carried out, who may carry out checks and that certificates are provided confirming that standards are met. It allows for proportionate enforcement powers, including the imposition of financial penalties and local housing authority-led remedial works if the landlord does not comply with the duties. It also allows for an appeal process and the recovery of costs from landlords by local housing authorities after remedial works. This instrument makes provision for remedial action, urgent remedial action and a financial penalty to be imposed in respect of a breach.
Ministry of Housing, Communities and Local Government	The Town and Country Planning (General Permitted Development) (England) (Amendment) (No. 4) Order 2020	The amendment applies to two of the permitted development rights relating to upward extension buildings, and only to buildings that are 18 m or more in height. This measure makes an amendment to require developers who wish to upwardly extend using these PDRs on buildings that are 18 m in height or more to first provide a report evidencing that the external wall construction meets B 4(1) of building regulations in respect of fire resistance.
Ministry of Justice	Family Procedure Rules 2020 Practice Direction 25G. (Toxicology Test Evidence).	Enables quality control by way of providing that the court may admit expert evidence in family proceedings in the form of or based on toxicology testing only if provided by a laboratory accredited to specified International Organisation for Standardisation (ISO) standards.
Ministry of Justice	Legal Services Act 2007 (Chartered Institute of Legal Executives) (Appeals from Licensing Authority Decisions) Order 2020	Enables the General Regulatory Chamber of the First-tier Tribunal to hear and determine any licensing appeals made against the Chartered Institute of Legal Executives.
Ministry of Justice	Legal Services Act 2007 (Designation as a Licensing Authority) ICAEW Order 2020.	Enables the Institute of Chartered Accountants in England and Wales (ICAEW) to authorise its members to provide an additional reserved legal activity – the administration of oaths.

Department	Title of measure as in IA	Description of measure provided by department
Ministry of Justice	Legal Services Act 2007 (Approved Regulator) ICAEW Order 2020.	Enables the Institute of Chartered Accountants in England and Wales (ICAEW) to licence Alternative Business Structure entities to provide the same reserved legal activity.

Non-legislative Non-Qualifying Regulatory Provisions

Animal and Plant Health Agency (APHA)

Exclusion category	Summary of activity
Measures certified as being below de minimis (measures with an EANDCB below +/- £5 million)	Due to COVID 19 restrictions there was a reduction in the number of inspections delivered in the growing season under the Seed Potato classification scheme. This will reduce the fee in 2021 charged to growers as charges are calculated retrospectively based on previous year activity. This will not have a direct impact until next year.
Civil Emergencies	<p>The Coronavirus pandemic brought unprecedented challenges to APHA's ability to provide some services, and financial risks to raising fees and charges. In February 2020, a Coronavirus Incident Management Team was created at short notice, in line with the Incident Management Framework, to deal with and assess the risks. Real time information fed into both Defra and central government response structures to allow for the rapid assessment of risks and appropriate mitigations across government. APHA refocussed its attention on business-critical activities to continue to safeguard animal, plant and public health and animal welfare.</p> <p>The business adapted well to smarter working initiatives, working from home and utilising virtual platforms where possible. In December 2019, a case of low pathogenic avian influenza was confirmed at a commercial chicken farm. APHA undertook depopulation and bio-secure disposal activities, and put movement restrictions in place to limit the spread of disease.</p> <p>To date in November 2020, there has been 6 further cases of avian influenza, both high and low pathogenic strains, in England. Dead wild birds have also been. APHA continues to work to deliver the disease control response.</p>
Fines and Penalties	<p>APHA referred 322 cases to the Rural Payment Agency (RPA) for consideration of applying cross compliance penalties for those farmers who failed to TB test on time within their testing window. Severity of the penalty was dependant on the number of days overdue the test was when it was completed and imposed by RPA.</p> <p>Egg Marketing and Salmonella Controls: 15 Penalty Notices totalling £10,200 and 12 warning letters issued.</p> <p>Defra Investigation Service (DIS) referrals – there have been 5 egg marketing cases referred for investigation and 2 successful prosecutions.</p>

Exclusion category	Summary of activity
Casework	<p>No activities listed in this section represent a change in the burden of regulation placed on business. Licensing, registration and inspection - APHA licences, approves or registers a range of premises, such as markets (and other animal gatherings including shows), animal by-products plants (including rendering facilities, knackers yards, hunt kennels, maggot farms), quarantine centres, nurseries and other plant production sites, designated inspection points and egg producers. We licence movements of animals, the export of animals, animal by-products, plants and plant products, the import of animals, plants and bees and trade in bovine and porcine semen and embryos. APHA issues authorisations to hauliers for the transport of animals. We licence trade in endangered species and register certain birds kept in captivity. These licensing activities are supported by risk-based inspection regimes, often in partnership with local authorities and are designed to ensure ongoing compliance with the conditions of approval for the premises and activities concerned. We inspect farms and other holdings in response to reports about disease risk or conditions of animal welfare and to check compliance with welfare standards for the purposes of the single farm payment scheme. APHA inspects zoos, museums and other establishments that hold collections of endangered species.</p> <p>Surveillance and testing - APHA undertakes surveillance to detect the presence or spread of animal diseases, for example bovine tuberculosis and salmonella, through testing samples taken on farm, at abattoirs, markets and at animal by-products plants. APHA performs surveillance to detect plant and bee pests and diseases to measure their spread, this is achieved through inspection and sampling on nurseries, in public spaces and in the natural environment. We also take samples as part of our activities to regulate the trade in endangered species, for example to establish the species or to verify that an animal has been captive bred. The majority of animal health and welfare legislation that APHA regulates is enforced by the Local Authorities who are the named statutory enforcers and prosecuting authority.</p>
Education, communications and promotion	<p>On behalf of APHA, the Defra group Communications Team have been focusing on providing information relating to the UK's exit from the EU and continued operations during the coronavirus pandemic. Information for businesses has been through a range of channels; principally via GOV.UK, APHA's Vet Gateway system and also using social media.</p> <p>Communications have encouraged businesses to prepare for the end of the Transition Period by explaining what will be needed in future to trade, where that information can be found and regularly publicising new requirements once agreed.</p> <p>APHA hosted a digital campaign to mark World Antimicrobial Awareness Week in November 2020.</p> <p>APHA endorsed the International Year of Plant Health 2020 FAO Food and Agriculture Organization of the United Nations</p>

Exclusion category	Summary of activity
Activity related to policy development	Part of APHA's role is to provide expert veterinary advice and scientific evidence to Defra and Devolved Administrations policy development. Whilst this is often related to EU legislation, implementation is determined by the disease profile within a specific country. APHA has provided advice to Defra on its Bovine TB (bTB) policies to help with the next stage of its strategy to eradicate bTB. Government sets out next phase of strategy to combat bovine tuberculosis - GOV.UK. APHA is leading on the UK Government's commitment to tackle the threat of antimicrobial resistance (AMR) through a range of initiatives in the 20 year vision for AMR.

Assay Offices

Exclusion Category	Summary of activity
EU Regulations, Decisions and Directives and other international obligations, including the implementation of the EU Withdrawal Bill and EU Withdrawal Agreement	The Houtwipper EU Courts of Justice judgement concerns and impacts mutual recognition of national hallmarks, and thus trade, of hallmarked items between EU states. At the end of the transition period on the 31st of December 2020 the UK will no longer be obliged to recognise the national hallmarks of other EU members and EU members will no longer be obliged to recognise UK national hallmarks. Although the UK and other EU member states remain signatories to the Convention for the control of precious metals, and can continue to rely on the mutual recognition provided by the Convention common control mark, not all EU members are signatories to the Convention. This will have a significant impact on the reach of UK hallmarking in general and the financial performance of the Assay Offices. Companies who require to operate across all EU countries will no longer be able to rely solely on UK hallmarking services. Indeed, many companies have already taken action in anticipation of the cessation of the judgement and UK assay offices have lost business as a result of this. That said, opportunities might arise for new business as some EU companies without access to Convention marking will have to use UK assay offices to gain access to the UK market.
Pro competition	The Assay Offices are in competition with one another and have independent pricing policies and service offerings. Maximum prices for hallmarking are set by the British Hallmarking Council not the Assay Offices.
Civil Emergencies	The COVID situation had a profound effect on hallmarking. Assay Offices were closed for a period of time during the first lockdown. The impact of COVID on the trade filters down to the Assay Offices and work has been severely depleted.

Exclusion Category	Summary of activity
Measures certified as relating to the safety of tenants, residents and occupants in response to the Grenfell tragedy	All Assay Office take health and safety matters, and the welfare of their staff, very seriously and their policies, premises and practises are reviewed regularly. The terrorist incident at the Fishmongers Hall, a fellow livery company of the Goldsmiths' Company (London Assay Office), instigated a major review of its Risk Register.
Casework	In the calendar year 2019, 8,80,246 articles were hallmarked, a drop of 3.9% on the previous year. This was the lowest level for a generation and the latest estimate for 2020 with the impact of COVID is 6.6m. The downturn in 2019 (prior to COVID) was down to prevailing economic conditions, uncertainties over Brexit, the relatively high gold prices and the impact of articles which are sold online by those who do not follow hallmarking law.
Education, communications and promotion	<p>The Assay Offices gave a number of talks for the trade and Trading Standards to inform them on matters associated with hallmarking.</p> <p>The Assay Offices funded the Touchstone Award. This is an award given each year for the best effort by a Trading Standards authority in support of hallmarking activity.</p> <p>Work had begun on producing a more intuitive Dealer's Notice, particularly for use online.</p> <p>None of the material produced created a new regulatory standard that businesses will be expected to follow.</p>
Activity related to policy development	<p>The Assay Offices formed the Technical Committee of the British Hallmarking Council. A new protocol for the use of the XRF testing methodology was produced. Another initiative to ensure common approaches to marking practices had also begun.</p> <p>The Assay Offices are actively looking at sub-contracting services between themselves to save costs and offer better overall services.</p>
Changes to management of regulator	There were no changes to senior management of the Assay Offices.

British Hallmarking Council (BHC)

Exclusion category	Summary of activity
<p>Measures certified as being below de minimis (measures with an EANDCB below +/- £5 million)</p>	<p>One of the Council's statutory functions is to consider applications to open assay sub-offices. No new sub-Assay Offices were approved in the period.</p> <p>EU Exit: the BHC participated in a number of discussions with government regarding the uncertainties thrown up by the planned EU Exit.</p> <p>With the support of the Assay Offices the Council ran the Touchstone Award during 2019. The Touchstone Award, whose purpose is to enhance awareness of hallmarking and is presented to the Trading Standards Department which has taken the most innovative approach to raising the profile of hallmarking, is regarded as an important, yet cost-effective, way of raising the profile of hallmarking among the Trading Standards community. There was no Touchstone Award during 2020 due to covid19.</p> <p>The Council via the Secretary receives numerous telephone and email queries from members of the public usually relating to the application of hallmarking law or concerns about jewellery purchased which did not appear to be hallmarked. Responses are sent to all queries.</p> <p>The Council continued to work within the recommendations of the Triennial review.</p>
<p>EU Regulations, Decisions and Directives and other international obligations, including the implementation of the EU Withdrawal Bill and EU Withdrawal Agreement</p>	<p>EU Exit: the BHC participated in a number of discussions with government regarding the uncertainties thrown up by the planned EU Exit.</p>
<p>Measures certified as concerning EU Withdrawal Bill operability measures</p>	<p>EU Exit: the BHC participated in a number of discussions with government regarding the uncertainties thrown up by the planned EU Exit.</p>

Pro-competition	One of the Council's statutory functions is to consider applications to open assay sub-offices. No new sub-Assay Offices were approved in the period.
Casework	The Council via the Secretary receives numerous telephone and email queries from members of the public usually relating to the application of hallmarking law or concerns about jewellery purchased which did not appear to be hallmarked. Responses are sent to all queries.
Education, communications and promotion	With the support of the Assay Offices the Council ran the Touchstone Award during 2019. The Touchstone Award, whose purpose is to enhance awareness of hallmarking and is presented to the Trading Standards Department which has taken the most innovative approach to raising the profile of hallmarking, is regarded as an important, yet cost-effective, way of raising the profile of hallmarking among the Trading Standards community. There was no Touchstone Award during 2020 due to covid19.
Activity related to policy development	A new protocol for XRF testing was produced. In light of the increased volume of internet sales the Council has been working on ways to increase enforcement of hallmarking law in online sales including ensuring visibility of the Dealer's Notice in retail websites, and building a strategy for long term stimulation of enforcement of hallmarking law.

Care Quality Commission (CQC)

Exclusion category	Summary of activity
<p>Measures certified as being below de minimis (measures with an EANDCB below +/- £5 million)</p>	<p>Registering the Right Support In October 2020, CQC published a revised version of the above guidance, making CQC's policy clearer. The title of the policy was changed to 'Right Support, Right Care, Right Culture.' However, these changes did not include any changes to the policy itself. It is CQC's understanding is that it will take the same amount of time to review as the previous guidance. As such, the net cost of this guidance to businesses is zero.</p> <p>Revised 'Scope of Registration' guidance It is CQC's understanding that the additional updates to the above guidance will take providers 0.4 hours to read. Working with a maximum pay for those who would be required to read the guidance (i.e. nominated individuals or registered managers) of £27.77 (Source: ONS), the net cost of this guidance to businesses is £460,615. This is below the £5 million threshold.</p> <p>Revised 'Locations' guidance It is CQC's understanding that the additional updates to the above guidance will take providers 0.5 hours to read. Working with a maximum pay for those who would be required to read the guidance (i.e. nominated individuals or registered managers) of £27.77 (Source: ONS), the net cost of this guidance to businesses is £575,769. This is below the £5 million threshold.</p> <p>Changes to statutory notifications As part of CQC's regulatory function providers are required to notify CQC on certain events or incidents, such as the death of a service user. These notifications require providers to fill in forms that are then submitted to CQC. Recently CQC has updated these forms in two key areas. The first updates include changing the way Protected Characteristics are asked to be more in line with current best practice. The second update involves the ordering of forms to allow for a better user experience. As these forms are required to be filled in already and the changes mainly involve re-wording and re-arranging, rather than adding new sections, it is assumed that no additional time will be required to fill in the forms. As such, the net cost to businesses will be zero</p>

Exclusion category	Summary of activity
Casework	<p>The Care Quality Commission (CQC) is the independent regulator of health and adult social care in England. In 2019/20 the organisation received 76,000 applications for the registration of services. Completed more than 16,000 inspections. In adult social care, inspected over 11,000 services. In primary medical services inspected over 3,400 services; as well as inspecting but not rating 1,210 dental providers. CQC inspected over 500 core NHS hospital services (e.g. maternity or A & E services); as well as 130 independent ambulance services. Also, CQC carried out 1,052 Mental Health Act Review visits. Over 12,300 people shared their experience of care with CQC by completing a web form - in response, 28 inspections were brought forward. CQC took 1,213 enforcement actions including 176 criminal actions. (Source: CQC Management Information – more information will be available when the 2019/20 CQC Annual Report and Accounts is published.)</p>
Education, communications and promotion	<p>CQC has been involved in the COVID-19 pandemic. Most recently the Department of Health and Social Care has requested CQC to investigate and report on the issue of 'Do not attempt resuscitation' (DNAR) orders. This is being led by the Chief Inspector of Primary Medical and Integrated Care.</p> <p>CQC has published COVID-19 Insight Reports online. These reports are designed to aid everyone involved in health and social care to learn from the pandemic and increase working together. This includes sharing and reflecting on learning and helping preparation for the future. The latest report can be found here: https://www.cqc.org.uk/news/stories/keeping-people-safe-supported-through-pandemic</p> <p>CQC CEO Ian Trenholm was recently interviewed by HSJ and discussed the transitional regulatory approach (described in the Qualifying Regulatory Provisions report). The article can be found here: https://www.hsj.co.uk/quality-and-performance/trenholm-cqc-inspections-will-no-longer-be-big-disruptive-events/7028284.article</p> <p>Previously CQC published its findings of an independent review into its regulation of Whorlton Hall between 2015 and 2019. The recommendations are being incorporated into our future strategy. The report and findings can be found here: https://www.cqc.org.uk/news/stories/cqc-publishes-independent-review-its-regulation-whorlton-hall-between-2015-2019</p> <p>CQC has continued to be involved in promotion and education activity related to sexual safety in health and social care settings: https://www.cqc.org.uk/news/releases/cqc-calls-culture-openness-support-peoples-sexual-needs-keep-them-safe-sexual-harm</p>
Activity related to policy development	<p>There were three policy and guidance documents that were updated in the time period. All are noted above.</p>

Coal Authority

Exclusion category	Summary of activity
Pro-competition	<p>One new underground conditional licence has been granted in November 2019 which was advertised via a newsletter. Following consideration of this exclusion category there are no measures for the reporting period that qualify for the exclusion.</p>
Fines and Penalties	<p>Security for the financing of mining operations is part of the licensing regime and are governed by the Coal Industry Act 1994. No fines and penalties are applicable to the licensing regime. Following consideration of this exclusion category there are no measures for the reporting period that qualify for the exclusion.</p>
Casework	<p>There are currently 3 active surface mines and 2 at planning stage. There are 7 active underground, 2 licenced but non-operational, 2 underground mines in the planning stage. Following consideration of this exclusion category there are no measures for the reporting period that qualify for the exclusion.</p>
Education, communications and promotion	<p>Guidance notes for applicants and application forms have been updated during the period, however, no promotional literature or best practice documentation has been created or produced during this reporting period in respect of the regulated activity of licensing mining operations. Following consideration of this exclusion category there are no measures for the reporting period that qualify for the exclusion.</p>
Activity related to policy development	<p>An updated Licensing enforcement policy has been drafted and advertised on our website in November 2019. Additional guidance has been provided around the provision of information and sanctions. Following consideration of this exclusion category there are no measures for the reporting period that qualify for the exclusion.</p>

Charity Commission for England and Wales

Exclusion category	Summary of activity
Measures certified as being below de minimis (measures with an EANDCB below +/- £5 million)	<p>Updated guidance for charities completing their annual return.</p> <p>Updated guidance on independent examination of charity accounts (shortened guidance – small cost saving for c.59,000 charities).</p> <p>5 “5 minute” summary guides on key topics for charities (anticipated November).</p>
Civil Emergencies	<p>Coronavirus (COVID-19) guidance for the charity sector – guidance on holding virtual trustee and membership meetings, financial help and support, complying with accounting and filing requirements etc.</p>
Casework	<p>Casework is the Commission's primary regulatory activity:</p> <ol style="list-style-type: none"> 1) registration of organisations that pass the legal tests for a charity and are required to register 2) advice and permissions for certain transactions – managing potential risks to the public interest in charity 3) regulatory compliance – looking into concerns about charities and taking action to put charities back on track 4) statutory inquiry (investigation) into serious concerns about a charity, using protective or enforcement powers 5) monitoring – proactive identification of regulatory issues <p>Details are given in the Commission's annual report.</p>
Education, communications and promotion	<p>The Commission has published relevant news stories on its website and alerts about issues affecting charities. Periodic newsletter to charities should resume in November.</p>
Activity related to policy development	<p>Research into public trust in charities, charity trustees' awareness of their role, responsibilities and public expectations, and charities' needs and expectations of the Commission.</p>

Companies House (CH)

Exclusion category	Summary of activity
<p>Measures certified as being below de minimis (measures with an EANDCB below +/- £5 million)</p>	<p>Report a discrepancy about a beneficial owner on the PSC register by an obliged entity (Fifth Money Laundering Directive) January 2020</p> <p>This on-line service enables obliged entities, such as company formation agents, financial institutions and estate agents, who are required, under the fifth Anti Money Laundering Regulations, to report discrepancies in the PSC register kept at CH with the information they have been given about beneficial owners of entities they are undertaking customer due diligence on. This is a legal requirement on the obliged entities and the service enables discrepancy reports to be given on-line to enable an efficient reporting and feedback loops for those caught by the legislation.</p> <p>Emergency Filing Service (upload service) April 2020</p> <p>CH has developed a temporary service to upload a document electronically as an emergency response to the coronavirus outbreak. This service includes documents that were not already covered by the current electronic filing services. It allows –</p> <ul style="list-style-type: none"> • a secure sign-in to the service using the existing free CH Account service • auto-populating company information when uploading a document based on the company number entered • developing a form type selection screen to allow users to easily select the form they wish to file • developing a secure upload service that allows users to attach PDF versions of forms and evidence (if required) • providing confirmation screens and emails, so users can be confident the submission has been received • allowing authentication of filings using the company authentication code <p>Until the service went live delivery of certain paper forms was only available by post or in person at the Cardiff HQ or one of the regional offices. The temporary service allows an upload of completed forms electronically and sends them to CH directly and instantly. The upload service helps protect the welfare of CH's customers and employees by removing the dependency on paper forms, the postal services and in-person contact. The service is continually being updated with more form types as and when the development of them is completed.</p>

Exclusion category	Summary of activity
Fines and Penalties	<p>CH takes compliance action against company directors who don't file their annual accounts and confirmation statement (annual return) on time. We have a target to ensure that 97% of companies have an up to date confirmation statement. In 2019-2020:</p> <ul style="list-style-type: none"> • 97.2% of companies were up to date with filing their confirmation statement • 98.7% of companies filed their annual accounts up to date • 199,137 civil penalties for late filing of accounts by private limited companies were issued and 668 were cancelled. <p>533 civil penalties for public companies were issued and 7 were cancelled.</p>
Casework	<p>CH takes enforcement action against directors who don't meet their legal obligations. In 2019-2020:</p> <ul style="list-style-type: none"> • 3533 charges were laid in court for failure to deliver accounts, • 1910 convictions made, • 1233 charges were withdrawn. • 1823 were brought to court for failure to deliver a confirmation statement, • 1275 convictions made, • 578 withdrawn. • 3781 directors were summoned to court, 1929 were convicted <p>3090 companies were involved in proceedings and 1676 companies in which directors were convicted.</p>

Competition and Markets Authority (CMA)

Exclusion category	Summary of activity
<p>Measures certified as being below de minimis (measures with an EANDCB below +/- £5 million)</p>	<p>Competition enforcement guidance</p> <ul style="list-style-type: none"> - During the reporting period we issued 2 guidance documents in relation to competition enforcement. <p>Brexit guidance</p> <ul style="list-style-type: none"> - During the reporting period we issued 1 guidance document in relation to Brexit. <p>Advice / guidance in relation to issues resulting from the coronavirus pandemic</p> <ul style="list-style-type: none"> - During the reporting period we issued 5 guidance documents in relation to the coronavirus pandemic. <p>Miscellaneous advice/guidance</p> <ul style="list-style-type: none"> - During the reporting period we issued 3 guidance documents in relation to miscellaneous advice.

Casework	<p>Competition and consumer enforcement work in relation to non-compliant individual businesses falls under the casework exclusion in line with ensuring operational independence.</p> <p>Competition enforcement</p> <ul style="list-style-type: none"> - During the reporting period we launched, reached a significant milestone in or closed 20 separate anti-trust and civil cartel enforcement cases. <p>Consumer Enforcement</p> <ul style="list-style-type: none"> - During the reporting period we launched, reached a significant milestone in or closed 10 separate cases using our Consumer Enforcement powers. <p>Warning and Advisory letters</p> <ul style="list-style-type: none"> - During the reporting period, we issued 3 advisory letters (relating to 2 cases and complaints) and 97 warning letters (relating to 11 cases and complaints) to businesses where we had concerns about possible law breaking and to promote compliance. <p>Merger control</p> <p>During the reporting period:</p> <ul style="list-style-type: none"> - At Phase 1, we made 11 references to Phase 2, 21 unconditional clearances, one de minimis clearance and 6 sets of Undertakings in Lieu of a Reference decision. 12 cases were ongoing at the end of the reporting period. - At Phase 2, we cleared 3 cases and found a substantial lessening of competition (SLC) in 8 cases. From the cases where we found an SLC there were 3 prohibitions and 5 impositions of remedies (4 of which were behavioural and one requiring divestment). 6 cases were abandoned by the parties. 3 cases were ongoing at the end of the reporting period. <p>Market reports</p> <ul style="list-style-type: none"> - During the reporting period, we launched, reached a significant milestone in or published our final report in four separate projects. <p>Regulatory appeals</p> <ul style="list-style-type: none"> - During the reporting period, we undertook an appeal or made a determination (provisional or final) in two projects. <p>Remedy Reviews</p> <ul style="list-style-type: none"> - We launched no remedy reviews in the period. - We varied Part 6 of the Retail Banking Order so that certain obligations of the order were transferred to the FCA. - We published a final decision to de-designate Ocado Group plc's designation under the Groceries Market Investigation Order 2009. <p>Research</p>
----------	---

Exclusion category	Summary of activity
	- We published a research report into certain aspects of the Scottish legal services sector

Drinking Water Inspectorate (DWI)

Exclusion category	Summary of activity
Measures certified as being below de minimis (measures with an EANDCB below +/- £5 million)	<p>Update to the Inspectorate's position paper on 'Drinking Water Quality in England and Wales as the UK exits from the European Union' following the EU-exit.</p> <p>DWI Secondment Programme.</p> <p>Publication of new Long Term Planning Guidance - Water Resources and Sufficiency of Supplies.</p> <p>Information Letter 05/2020 on cyanide formation</p> <p>Revision of Inspectorate's Consumer complaints handling procedure</p> <p>Information Letter 06/2020 supply of chemicals</p> <p>Revisions to the Water Industry (Suppliers' Information) Direction 2019 and Information Letter 07/2020</p> <p>Revised PFSO/PFOA guidance</p>
Casework	<p>Casework (general measure, encompassing all regulatory casework undertaken by the DWI during the period).</p> <p>Metaldehyde update and implications for legal instruments (e-mail to industry).</p>
Education, communications and promotion	<p>Chief Inspectors Report Q1-Q4 2019</p> <p>Chief Inspectors Annual Report 2019</p> <p>Chief Inspector Quarterly Reports – Q1& Q2 2020</p> <p>Publication of chlorate research</p> <p>Communication to the Industry on IT technicalities</p> <p>Drinking Water Quality Regulation Guidance Update</p> <p>Risk Assessment Risk Index</p> <p>Revision of the DWI website</p>
Activity related to policy development	<p>Following consideration of the exclusion category there are no measures for the reporting period that qualify for the exclusion</p>
Changes to management of regulator	<p>Drinking Water Inspectorate's Strategic Objectives and Vision</p> <p>Cascade update</p>

Driver and Vehicle Standards Agency (DVSA)

Exclusion category	Summary of activity
EU Regulations, Decisions and Directives and other international obligations, including the implementation of the EU Withdrawal Bill and EU Withdrawal Agreement	Amendments to Driver CPC, including exemptions. This measure introduced small changes to the regulations around Driver CPC training. Including the type of training permitted, and who is exempt from Driver CPC training. It was implemented due to a change in the EU Directive. This measure was also assessed as being below the de-minimis threshold.
Education, communications and promotion	Published 111 articles on gov.uk that provide information to the public and to the businesses with which we engage. It has also published 30 pieces of guidance including notices to tachograph centres, MoT centres, and organisations that provide Driver CPC training.
Changes to management of regulator	One non-executive director has left and two new non-executive directors were appointed. It has also been announced that DVSA's Chief Executive will be retiring and a new one will take up post on 1.1.21. In addition, there have been some changes at Board level.

Employment Agency Standards Inspectorate (EAS)

Exclusion category	Summary of activity
Casework	<p>EAS predominantly deals with inbound complaints or undertaking specific targeted investigations, either by sector or location, which fall within the Casework heading. Its strategic aim is to ensure compliance with the Employment Agencies Act 1973 and associated regulations. In the limited number of cases where compliance cannot be obtained, EAS can use its powers to take enforcement action. Current enforcement powers available to EAS include:</p> <ul style="list-style-type: none"> • Prosecution in either a Magistrates or Crown Court • Prohibition of individuals by application to an Employment Tribunal • Issuing a Labour Market Enforcement Undertaking (LMEU) • Seeking a Labour Market Enforcement Order (LMEO) where a LMEU has not been complied with, has been breached or as part of the sanctions imposed by a Court <p>The Immigration Act 2016 created the LMEU and LMEO powers for EAS and other Labour Market Enforcement bodies.</p> <p>April 2020 saw the repeal of the Pay Between Assignments ('Swedish Derogation') element of the Agency Worker Regulations. It also saw an amendment to the Conduct of Employment Agencies and Employment Businesses Regulations 2003 that requires all employment businesses to provide work-seekers with a Key Information Document (KID) which sets out the ways in which the employment business may engage with them. The KID provides information on who will be the employer, who will be responsible for paying them, the contract they will be on, holiday entitlement and an example pay breakdown so they can see what happens to their pay.</p> <p>Further legislative change will occur with the extension of EAS' remit to cover Umbrella or Intermediary Companies. These are companies that generally employ temporary work-seekers and pay them for work done but are not responsible for finding them work. This function is still carried out by the employment business(es) that the work-seeker has asked to find them work.</p>

Environment Agency (EA)

Exclusion category	Summary of activity
<p>Measures certified as being below de minimis (measures with an EANDCB below +/- £5 million)</p>	<p>New Regulatory Position Statements:</p> <ul style="list-style-type: none"> - (RPS 233) – Treating microbiological laboratory waste on the site where it is produced - (RPS 234) – Accepting, classifying and disposing of household packaging waste - (RPS 235) – Treating and using water that contains concrete and silt at construction sites - (RPS 239) – Temporary storage of recyclable waste at collection points by or for charities - Revised Regulatory Position Statement (RPS 055) – Dewatering and depositing silts from sustainable drainage systems on land <p>Extension of Regulatory Position Statements:</p> <ul style="list-style-type: none"> - (RPS 211) – Excavated waste from utilities installation and repair - (RPS 207) – Classifying waste wood from mixed waste wood sources <p>Withdrawal of Regulatory Position Statement (RPS 056) – Treatment by laboratory autoclave of containment level 1-3 microbiological waste on the premises it is produced</p> <p>New Low Risk Waste Positions:</p> <ul style="list-style-type: none"> - (LRWP74) – Burning dunnage packing material - (LRWP76) – Recycling waste spectacles <ul style="list-style-type: none"> - New Standard Rules (SR2020 No.1) – Storage of Publicly Available Specification (PAS 107) certified clean cut tyre shred and chip at a port - New Guidance – Healthcare waste: appropriate measures for permitted facilities

EU Regulations, Decisions and Directives and other international obligations, including the implementation of the EU Withdrawal Bill and EU Withdrawal Agreement

- New Regulatory Position Statement – slurry stores on permitted pig and poultry farms with less than 1% dry matter, to extend the date for when slurry stores have to implement Best Available Techniques
- Extension of Regulatory Position Statement (RPS 228) – Storing and treating waste plastic produced from processing Waste Electrical and Electronic Equipment
- New Guidance – Chemical waste: appropriate measures for permitted facilities

Casework	<p>Permitting decisions</p> <ul style="list-style-type: none">- 11,883 permit determination decisions made; 1,550 of these were permit variations to secure the required environmental outcomes from the Water Company Periodic Review process (Asset Management Plan outputs).- 1,517 permit determination decisions and 1087 exemptions for flood risk activities under the Environmental Permitting regime.- 163 permit determination decisions made across the entire radioactive substances regulation Environmental Permitting regime- 462 permits issued for movement of live fish to or from fisheries.- 519 authorisations issued for commercial fishing*. <p>* These figures relate to the 2020 season. Authorisations are granted on a seasonal basis and are compiled over each calendar year.</p> <p>Appeals against permitting decisions</p> <ul style="list-style-type: none">- Four appeals against permitting decisions received. <p>Appeals against regulatory decisions</p> <ul style="list-style-type: none">- Four independent internal reviews carried out under the provisions of the Regulators' Code <p>Compliance assessment advice</p> <ul style="list-style-type: none">- 8,896 Compliance Assessment Report (CAR) forms issued to permitted waste operations and facilities which carry out industrial processes- 4,017 CAR forms and letters issued for permitted water discharge activities- 856 CAR forms issued to water abstraction and impoundment licence holders (data January to September 2020, due to quarterly reporting period).- 729 CAR forms issued across the radioactive substances regulation Environmental Permitting regime. <p>Registrations</p> <ul style="list-style-type: none">- 304,672 exempt activities registered and 1,739 de-registered under the Environmental Permitting Regulations.- 501 commercial boats registered.
----------	--

	<p>National Trading Regulatory Services</p> <ul style="list-style-type: none"> - 498 consents issued for international waste shipments, 2 of these were for radioactive wastes. - 12,469 registrations and 165 compliance assessment actions carried out under the Producer Responsibility laws. <p>Climate Change Trading and Regulatory Services</p> <ul style="list-style-type: none"> - 295 permitting decisions made - 441 compliance checks completed - 846 entrants registered and 114 de-registered - Seven appeals received - 68 civil penalty notices issued. <p>Enforcement activity</p> <ul style="list-style-type: none"> - 48 prosecution cases completed in this period - Eight formal cautions accepted - 203 enforcement notices served - 993 warning letters sent - Civil sanctions used on 74 occasions* <p>* These are sanctions issued under the Regulatory Enforcement and Sanctions Act 2008</p>
<p>Activity related to policy development</p>	<p>Five national external consultations held.</p>

Financial Conduct Authority (FCA)

Exclusion category	Summary of activity
<p>Measures certified as being below de minimis (measures with an EANDCB below +/- £5 million)</p>	<p>PS20/4: Amendment of COBS 21.3 permitted links rules - final rules and feedback to CP18/40</p> <p>PS19/23: FCA and PRA changes to mortgage reporting requirements</p> <p>PS20/01: Mortgage advice and selling standards: feedback to CP19/17 and final rules</p> <p>PS20/2: Publishing and disclosing costs and charges to workplace pension scheme members and amendments to COBS 19.8</p> <p>PS20/3: Signposting to travel insurance consumers with medical conditions</p> <p>PS20/5: Extending the Senior Managers Regime to Benchmark Administrators: Final rules</p> <p>Multi-Firm Review: Outsourcing in the Life Insurance Sector</p> <p>Changes to the handbook for the UK corporate governance code</p> <p>The equity release sales and advice process: key findings</p> <p>TR20/1: The effectiveness of Independent Governance Committees and Governance Advisory Arrangements</p> <p>FG20/3: Branch and ATM closures or conversions</p> <p>Multi-Firm Review: Retail Banking: Our review of basic bank accounts</p> <p>Multi-Firm Review: Relending by high-cost lenders</p> <p>PS20/11: Mortgages: Removing barriers to intra-group switching and helping borrowers with maturing interest-only and part-and-part mortgages</p>
<p>Pro-competition</p>	<p>In September 2019, we published the final report of our General Pricing Practices Market Study. Its aim was to understand whether pricing practices in home and motor insurance support effective competition and lead to good customer outcomes. We proposed a range of remedies in CP20/19. Remedies and interventions targeted at promoting competition are covered by the pro-competition exclusion of the Act.</p> <p>As part of CP18/42 we published rules to tackle 1 of the drivers of harm we identified in the overdraft market – low levels of awareness and engagement around overdrafts. Our aim with these rules was to promote competition for Personal Current Accounts (PCAs) with overdrafts, and in the wider PCA market, by making it clear to consumers how overdrafts work, what they will cost, and how much consumers are using them. This will lead to consumers being more engaged and making more informed decisions. Increased competition between firms may reduce prices and increase service quality. The rules that we have put in force follow recommendations to the FCA from the Competition and Markets Authority as part of their retail banking investigation to improve competition in the retail banking market. As such we have applied the pro-competition exclusion to these measures.</p>

Exclusion category	Summary of activity
Systemic Financial Risk	<p>In September 2019, we published PS19/24 following feedback to our consultation on illiquid assets and open-ended funds. We changed our rules as we are seeking to reduce the potential harm for investors in funds that hold inherently illiquid assets, such as property, particularly under stressed market conditions.</p> <p>Our measures should:</p> <ul style="list-style-type: none"> - Help investors understand better any restrictions on access to their investments and the circumstances in which these restrictions will be placed on the funds - In the case of the funds investing in immovables, reduce the potential for some investors to gain at the expense of others because units have been incorrectly priced, due to uncertainty about the value of assets held in the fund - Reduce the likelihood of a run, which could substantially reduce the value of investments for those left in the fund and possibly destabilise the market more widely <p>Given the implications for market integrity and systemic risk we have classified this work as non-qualifying.</p>
Casework	<p>Our work means that we process applications for authorisation. In this reporting period, we have processed 2,466 applications for authorisation from firms (this includes applications which were approved, rejected and withdrawn). We also processed 1,218 applications for approval of a change in control, 2,615 cancellations of permission and 375 individual waivers. We also varied 2,081 firms' permissions, processed 4,654 mutual societies' returns and 5,010 firms' applications for passporting.</p> <ul style="list-style-type: none"> • During the reporting period we held approximately 2,900 meetings with our larger – fixed-portfolio - firms. This reporting period saw the FCA identify 220 new Firm Specific Risks at our larger, fixed portfolio firms. • Between December 2019 and November 2020, the Supervision Hub took 137,211 phone calls from firms, answered 39,069 emails/web forms/webchats and 1,648 letters. • Over the reporting period we closed 60 investigations about firms, and we opened 42. We commenced 11 proceedings against firms. At the end of the period, we had 225 live matters about firms, of which 193 were at investigation stage and 32 were in litigation. We cancelled the permissions of 93 firms, imposed a Public Censure on 1 firm, and issued 5 fines to firms.
Activity related to policy development	<p>We launched 62 consultations during the reporting period. This includes quarterly consultation papers, guidance consultations, discussion papers and calls for input. Under the exclusion for policy development, we classify these as NQRPs.</p>

Financial Reporting Council (FRC)

Exclusion category	Summary of activity
<p>Measures certified as being below de minimis (measures with an EANDCB below +/- £5 million)</p>	<p>Amendments to FRS 102 The Financial Reporting Standard applicable in the UK and Republic of Ireland - Interest rate benchmark reform.</p> <p>Amendments to FRS 101 Reduced Disclosure Framework 2019/20 cycle – to provide an exemption from the disclosure of cash flows required by paragraph 24(b) of IFRS 6 Exploration for and Evaluation of Mineral Resources.</p> <p>FRED 74 Draft amendments to FRS 102 – Interest rate benchmark reform (Phase 2).</p> <p>The Local Auditors (Transparency) Regulations 2020.</p> <p>International Standard on Auditing (UK) 570 (Revised) - Going Concern.</p> <p>Ethical Standard (2020) and ISAs (UK) 700, 250 A and 250 B, ISA (UK) 701 and ISA (UK) 720 (2020).</p> <p>International Standard on Auditing (UK) 315 (Revised) - Identifying and Assessing the Risks of Material Misstatement.</p> <p>Client Asset Assurance Standard (Revised November 2019) – for CASS auditors reporting to the FCA.</p> <p>Standards for Investment Reporting (SIRs) 1000-6000.</p> <p>International Standard on Auditing (UK) 540 (Revised) - Auditing Accounting Estimates and Related Disclosures and conforming amendments.</p> <p>International Standard on Assurance Engagements UK 3000 (Revised).</p> <p>Revision to the Technical Actuarial Standard for work supporting Funeral Plan Trusts (TAS 400).</p> <p>Bulletin: Miscellaneous Reports by Auditors Required by The United Kingdom Companies Act 2006.</p> <p>Bulletin: Auditor's Reports on Revised Accounts and Reports in The United Kingdom.</p> <p>Bulletin: Illustrative Auditor's Reports on United Kingdom Private Sector Financial Statements .</p> <p>Practice Note 19 (Revised) The audit of banks and building societies in the United Kingdom.</p> <p>Bulletin: Guidance for auditors and matters to consider where engagements are affected by Coronavirus (Covid-19); Guidance for companies on Corporate Governance and Reporting facing uncertainty due to Coronavirus (Covid-19).</p> <p>Bulletin: Guidance on how to arrange and conduct AGMs in light of Covid-19 - a number of temporary measures.</p>

Exclusion category	Summary of activity
Fines and Penalties	<p>Enforcement cases: At 1 November 2019 there were 51 investigations (including 4 preliminary enquiries) involving audit and financial reporting with a total of 109 subjects under investigation. From 1 November 2019 to 12 December 2019: 1 further investigation commenced into 2 further subjects; 1 investigation concluded with settlements made with 2 subjects; and 1 preliminary enquiry closed with 1 subject; and case closed for 2 subjects. Total financial sanctions (at settlement) were £670,000 (£435,500 after discounts). In respect of non-financial sanctions imposed upon subjects: there was 1 declaration. As at 13 December 2019 there were 50 investigations, and 3 preliminary enquiries) with a total of 106 subjects under investigation for audit and financial reporting. From 13 December 2019 to 20 November 2020: 13 further investigations commenced into 25 further subjects; 1 investigation went to tribunal with tribunal-imposed sanctions imposed upon 3 subjects; 7 investigations concluded with settlements made with 10 subjects; 4 investigations closed with 11 subjects; 2 preliminary enquiries closed with 6 subjects; and case closed for 3 subjects. Total financial sanctions imposed at Tribunal were £15,750,000 whilst Total financial sanctions imposed at settlement were £4,445,000 (£2,956,750 after discounts). In respect of non-financial sanctions imposed upon subjects there were: 10 reprimands/severe reprimands; 5 requirements; and 2 declarations. As at 20 November 2020 there were 49 investigations (including one preliminary enquiry) with a total of 97 subjects under investigation.</p>
Casework	<p>Audit Inspections: The FRC has completed the inspection of 130 audits in 2019/20, including 15 Local Audits under the Local Accountability and Audit Act 2014. The 2020/21 inspection programme is currently forecast to deliver between 145 and 150 audit inspections. Corporate Reporting Review: Since 1 November 2019, the FRC has completed its 2019/20 monitoring cycle by opening a further 44 routine reviews and writing an additional 42 opening substantive letters to companies. The 2020/21 monitoring cycle has started by opening 190 reviews, consisting of 77 routine and 113 thematic reviews, with 30 substantive letters written to date as part of these reviews. Monitoring visits: Professional Oversight Team has conducted monitoring visits at four Recognised Supervisory Bodies (RSB) and five Recognised Qualifying Bodies (RQB) for statutory audit purposes; at one RSB and one RQB for local audit purposes.</p>

Exclusion category	Summary of activity
Activity related to policy development	<p>Consultation on annual review of FRS 101: FRED 77 Draft amendments to FRS 101 Reduced Disclosure Framework.</p> <p>Consultation on revised review standard (ISRE (UK) 2410) for interim financial statements.</p> <p>Consultation on revised practice note for the audit of housing associations in the UK.</p> <p>Consultation on revised auditing standard for the auditor's responsibilities relating to fraud.</p> <p>Discussion paper proposing a future for corporate reporting based on a principles-based framework.</p> <p>Consultation on FRC governance changes to enforcement and operating procedures.</p> <p>Exposure draft: FRED 75 Draft amendments to FRS 104 – Going Concern.</p> <p>Exposure draft: FRED 76 Draft amendments to FRS 102 and FRS 105 – Covid-19 related rent concessions.</p> <p>Consultation: Local Auditors (Transparency) Regulations 2020.</p> <p>Consultation: to adopt International Standard on Assurance Engagements (ISAE 3000).</p> <p>Consultation on changes to Technical Actuarial Standard TAS 400: Funeral Plan Trusts.</p> <p>Consultation: proposed revision to UK standard (ISA (UK) 315).</p>

Fish Health Inspectorate (FHI)

Exclusion category	Summary of activity
Civil Emergencies	<p>The Fish Health Inspectorate applied statutory controls on 26 fisheries and 5 fish traders to control the listed (notifiable) condition koi herpesvirus (KHV) disease. Work is continuing on the characterisation of emerging diseases including a condition, cranial maxilla fibrosis which has been observed on a single trout farm in England.</p> <p>There were no changes to the health status of the shellfish sector during the reporting period.</p>
Casework	<p>The Fish Health Inspectorate served 6 enforcement notices, issued 22 official warning letters, and undertook 26 enforcement visits during the reporting period. This casework relates to non-compliant businesses. There were no prosecutions of businesses for non-compliance with statutory responsibilities during the reporting period.</p> <p>The Fish Health Inspectorate is also involved in multi-agency investigations with other regulatory bodies including Border Force and the Environment Agency (EA). A prosecution case led by Border Force is under preparation as a result of an investigation into illegal trade in live aquatic animals.</p> <p>None of the activities listed in this section represent a change in the burden of regulation on business, and the potential offences investigated relate to existing longstanding regulatory requirements.</p>
Education, communications and promotion	<p>The FHI continued to engage with businesses through attendance at trade body events such as those held by the Ornamental Aquatic Trade Association (OATA), the British Trout Association (BTA), and the Coarse Fish Conference. The FHI also attends scientific conferences and meetings and provides the UK co-ordinator for aquatic animal diseases to the World organisation for Animal Health (OIE).</p> <p>Information on regulation is published on the Gov.UK website, the Marine Science blog, and for events such as disease outbreaks, on the FHI Facebook page. Businesses in proximity to disease outbreak events are contacted directly by letter or email to ensure that they are aware of the increased biosecurity risk in their area.</p> <p>Attendance by businesses at promotional or educational events is not compulsory, and none of the material produced creates a new regulatory standard that businesses would be expected to follow.</p>
Activity related to policy development	<p>The Fish Health Inspectorate provides advice to Defra on policy related issues in several areas including aquatic animal health, non-native species, trade in live aquatic animals, and aquaculture development. However, the FHI has no responsibilities in relation the development of government policy, review of policy or the undertaking of consultations.</p>

Food Standards Agency (FSA)

Exclusion category	Summary of activity
<p>Measures certified as being below de minimis (measures with an EANDCB below +/- £5 million)</p>	<p>The FSA introduced enhanced controls for raw drinking milk (RDM) production in England and Wales in April 2020. The enhanced controls introduced a familiarisation and implementation cost to business that the FSA certified as being below the de minimis threshold.</p> <p>The FSA published the following revised Guidance documents that introduced familiarisation costs to business, certified by the FSA as being below the de minimis threshold:</p> <ul style="list-style-type: none"> • Guidance for producers of raw drinking milk for direct human consumption (March 2020) • Food allergen labelling and information requirements (June 2020) • Home Slaughter of Livestock Guidance (September 2020)
<p>Civil Emergencies</p>	<p>In response to the CoVid-19 global pandemic the FSA introduced emergency easement measures to support the continuation of food business activity and the delivery of official control and enforcement activity. All measures were made available on a time limited basis and are NQRPs under the scope of the Business Impact Target.</p> <p>None of the measures introduced by the FSA in England were legislative and many of these easements took the form of guidance to local authorities with no direct impact on business. Some of the measures related to official controls performed in FSA approved meat establishments within the inherent flexibilities in the official controls regulatory regime and, while achieving their principle aim of helping maintain the food supply chain, are also understood to have delivered a small benefit to the very limited number of businesses to which they were applied.</p>
<p>Casework</p>	<p>The following routine activities are carried out by the FSA daily and will vary in both scale and magnitude on a case by case basis. They largely relate to business non-compliance or suspected non-compliance and do not represent any change in the burden placed on food businesses:</p> <ul style="list-style-type: none"> • The FSA leads on the 24/7 government response to food and feed incidents. • The FSA National Food Crime Unit (NFCU) gathers, analyses and disseminates intelligence in relation to food fraud and other offences of dishonesty within the food supply chain. • The FSA carries out criminal investigations into legislative non-compliance at FSA approved establishments. Where necessary, it takes forward prosecutions or refers relevant files to the Crown Prosecution Service (CPS).

Exclusion category	Summary of activity
Education, Communications and Promotion	The FSA routinely uses a range of social media techniques to inform, educate and influence stakeholder behaviours on a variety of issues intended to promote consumer protection and other interests; produces a wide range of factsheets and information leaflets that are published on its website; and communicates with business on a range of subjects and consults them on regulatory changes that may impact them.
Activity related to policy development	A significant amount of FSA activity is directly related to policy development, including EU Exit transitional preparation for after the transition period ends on 31.12.20, developing UK legislation to provide enforcement provisions for directly applicable EU regulations while in the transition period and monitoring and reviewing business compliance as well as the delivery of official controls and enforcement to ensure the effectiveness of the UK Regulatory approach to food law.

Gangmasters and Labour Abuse Authority (GLAA)

Exclusion category	Summary of activity
Casework	<p>GLAA continue to issue, revoke, monitor, inspect, and handle appeals from licence holders, determining whether to inspect based on information received, and make decisions on the extent of regulatory non-compliance that may be identified.</p> <p>It also continues to exercise a broader criminal investigation responsibility across the labour market in England and Wales using its extended police powers. The use of these powers are proportionate to the allegations of criminal behaviour.</p>
Education, communications and promotion	<p>None of the GLAA Briefs to its licence holders introduced additional business burdens.</p> <p>Additionally, the GLAA issued 51 press releases on a range of issues, covering the outcome of operations, changes in senior managers and Board members, information on Covid, publication of corporate documents, such as annual reports, etc:</p>
Activity related to policy development	<p>During the year the GLAA contributed to the Home Office's response to the Director of Labour Market Enforcement's (DLME) strategy, and recommendations for change in labour market regulation. The DLME strategies are public documents, when published, as are the Government responses, which can be found on Gov.UK. This process is required by legislation under sections 4 and 5 of the Immigration Act 2016. Any agreed recommendations may then result in activity that features in the annual business plan, which can be found here: https://www.gla.gov.uk/media/6354/strategic-plan-2020-23-and-business-plan-2020-21-final-221020-002.pdf . The 2020-21 plan reflects ongoing work, particularly in relation to the licensed community, that should reduce regulatory burdens, but will not be completed, or assessed until 2021.</p>

Gambling Commission (GC)

Exclusion category	Summary of activity
<p>Measures certified as being below de minimis (measures with an EANDCB below +/- £5 million)</p>	<p>The Commission made changes to licence conditions and codes of practice following consultations on:</p> <ul style="list-style-type: none"> • Proceeds and prize limits imposed on society lottery operators, local authority lottery operators and external lottery managers. • Improving transparency in relation to society lotteries. • Reducing reporting requirements imposed on operators. • Updating licence status information that licensees must display on their websites and mobile apps. • Requirements and guidance related to the management and incentivisation of High Value Customers. <p>The Commission also consulted on changes to its Regulatory Panel and on an enhanced framework for the approval of third-party test houses, responsible for the testing of online gambling games.</p>
<p>Fines and Penalties</p>	<p>The Commission has agreed seven regulatory settlements which have included payments in lieu of financial penalty made by the licensees. Where possible, monies have been divested to either an identified victim/s or used for socially responsible purposes and/or to cover the Commission's investigative costs.</p> <p>The Commission also imposed one financial penalty (paid for breach of anti-money laundering conditions), in which funds are diverted into the Consolidated Fund.</p>
<p>Casework</p>	<p>The Commission imposed the following regulatory sanctions:</p> <ul style="list-style-type: none"> • 12 personal licence revocations • 7 personal licence warnings • 3 operator licence revocations • 2 operators received a warning • 2 operators received warnings, additional licence conditions and financial penalties • 3 operator licences suspended by the Commission pending investigation <p>These actions against non-compliant businesses were to secure compliance with existing regulatory requirements. Since 13 December 2019, 103 new operating licences were issued and 215 surrendered.</p>

<p>Education, communications and promotion</p>	<p>The Commission has:</p> <ul style="list-style-type: none"> • Hosted, facilitated or attended 164 external stakeholder events, including meetings with senior stakeholders, visits, speaking at conferences, roundtables, committees and, since March, video calls. • Provided general information to operators and co-regulatory partners, industry and others via 24 e-bulletins, 70 press releases and various updates to our website content including advice notes, guidance notes, and mini blogs. <p>The Commission has published:</p> <ul style="list-style-type: none"> • National Strategic Risk Assessment • Compliance and Enforcement report for 2019-2020 • Business Plan for 2020/21 • Guidance for remote and non-remote casinos on Money Laundering Regulations 5th edition • Additional guidance and data during COVID-19 outbreak • Industry statistics, statistics on young people and gambling and gambling participation statistics <p>No activities listed in this section represent a change in the burden of regulation placed on business.</p>
<p>Activity related to policy development</p>	<p>The Commission is consulting on changes to its customer interaction requirements and guidance alongside a call for evidence on player affordability. A response to a review of the Commission's Regulatory Panels framework will be published in the next reporting period. A consultation on changes to participation and prevalence methodology could potentially fall within this business reporting period. The outcomes from these activities will be reported in next year's NQRP assurance statement.</p> <p>No changes were made to existing regulatory requirements as a result of reviews on category B machines and gambling website blocking software in previous reporting period.</p>
<p>Changes to management of regulator</p>	<p>Commissioner appointments include: Terry Babbs, Brian Bannister and Jo Hill (all appointed for five years from 30 April 2020), Stephen Cohen (four years from 12 November 2020), Sir Martin Narey appointed in April 2020 and left in May 2020. Jonathan Scott ended his term as a Commissioner on 30 April 2020. Sarah Gardner appointed to the position of Deputy Chief Executive Officer. Sally Jones appointed to the position of Chief Operating Officer</p>

Groceries Code Adjudicator (GCA)

Exclusion category	Summary of activity
Education, communications and promotion	The GCA continues to publish general information and promotional material such as newsletters.
Changes to management of regulator	Mark White was appointed the UK's second Groceries Code Adjudicator on 31.10.20 after Christine Tacon stepped down. (30/12/2020)

Health and Safety Executive (HSE)

Exclusion category	Summary of activity
Measures certified as being below de minimis (measures with an EANDCB below +/- £5 million)	HSE has withdrawn or published various updated guidance documents for dutyholders and inspectors to simplify language or reflect up to date practices without changing requirements. Compliant dutyholders are not expected to do anything different to manage risk.
EU Regulations, Decisions and Directives and other international obligations,	HSE transposed Directive (EU) 2017/2398 amending Directive 2004/37/EC on the protection of workers from the risks related to exposure to carcinogens or mutagens at work by publishing a revised version of EH40/2005 and by an amendment to the Mines Regulations 2014 to implement the EU occupational exposure limit value for respirable crystalline silica below ground in coal mines. HSE has published policy statements on how some specific Genetically Modified Organisms (GMO) Contained Use regulatory requirements have been temporarily suspended until the pandemic is declared over by a direct acting EU Regulation on human medicines containing GMOs intended to treat or prevent Covid-19.
Casework	HSE took action to reduce risk at over half of the workplaces visited in completing over thirteen thousand targeted inspections making regulatory contact with over nine hundred major hazard sites from 1 April 2019 up to 31 March 2020. None of these activities represent a change in the burden of regulation placed on business. Further information can be found on HSE's website in HSE's Annual Report and Accounts 2019/20 and the annual publication of the Health and Safety Statistics in Great Britain. Since April 2020 HSE's intervention activities have been affected by COVID19. While high-hazard intervention activities have continued there has been a significant reduction in the number of planned inspections HSE has re-prioritised resources and undertaken significant activity in supporting the government to address the pandemic including scientific advice and new COVID compliance spot-checks.
Education, communications and promotion	HSE campaigns, publications, press releases, news and stakeholder engagement events are available on the website. None of the material produced creates a new regulatory standard that businesses will be expected to follow and attendance at educational and promotional events is not compulsory.
Activity related to policy development	HSE public consultations held during the reporting period can be found on the HSE website. HSE has published completed Post Implementation Reviews on legislation.gov.uk.
Changes to management of regulator	All changes to HSE Board, management and structures are detailed in the Annual Report and Accounts. From 1 May 2020, a new Building Safety and Construction Division was set up and in July 2020 HSE appointed Sarah Newton as the new Chair.

HM Land Registry

Exclusion category	Summary of activity
Measures certified as being below de minimis (measures with an EANDCB below +/- £5 million)	<p>In this reporting period HM Land Registry has:</p> <ul style="list-style-type: none"> - introduced the View My Applications service, which enables HM Land Registry portal users (over 210,000 customers) to view and manage their applications and correspondence in one place. The time saving being minimal (around 15 seconds) even were this to be undertaken on all portal applications received (2.28m transactions per month) with approximately £16.5k familiarisation costs would come well within the <i>de minimis</i> threshold. - made more than 40 updates to practice guides and other guidance held on GOV.UK (where not covered by another administrative exclusion) to add new guidance and examples, to improve readability by consolidating information and removing unnecessary information, to reflect changes in and/or clarify its practices, processes and requirements and to the law around to aid customers in making quality applications and in the understanding of the process. Familiarisation costs in total amount to less than £1million. - as a result of the pandemic, developed and introduced new practice for the acceptance of witnessed electronic signatures on deeds, which customers are now beginning to use - introduced the ability to make certain Land Charges services (approximately 30,000 such applications were received last year) available by email - provided guidance on how to make an application to upgrade a possessory or qualified leasehold title there being currently no such option available on the relating application form. Familiarisation costs of less than £20,000.
Casework	Details can be found in HM Land Registry's Annual Report and Accounts published on GOV.UK.
Education, communications and promotion	HM Land Registry has amended three practice guides to explain changes in legislation by other government departments. HMLR has also produced promotional material through webinars, videos, and news stories on GOV.UK to aid the preparation and lodgement of quality applications and the promotion of new services and products.
Activity related to policy development	HM Land Registry is trialling an enhanced Digital Registration Service to submit HM Land Registry applications online.
Changes to management of regulator	HM Land Registry has also undertaken some internal organisational reform which resulted in the processing of certain applications being centralised.

Human Fertilisation and Embryology Authority (HFEA)

Exclusion category	Summary of activity
<p>Casework</p>	<p>Casework Figures cover the 2019/20 business year. This is considered as representative of a 12 month period.</p> <p>As of June 2020, the HFEA licensed 133 establishments across its sector. Of these, 68 establishments were public sector organisations and 65 were classified as businesses.</p> <p>For this reporting period, the HFEA's casework did not introduce any new measures, or changes to activity, that would change the burden of regulation placed on business.</p> <p>Between 1 April 2019 and 31 March 2020 the HFEA managed:</p> <ul style="list-style-type: none"> • 101 site visits of licensed premises, resulting in 180 shortfalls • 667 incidents reported – none of which met our criteria for Grade A (critical) incid
<p>Education, communications activities and promotional campaigns</p>	<p>Education, communications activities and promotional campaigns</p> <p>The HFEA produces a newsletter for professional stakeholders approximately every two months called Clinic Focus. This contains general information about the HFEA's activities and signposts new/updated guidance.</p> <p>During the reporting period, the HFEA published a revised Code of Practice that updated a number of areas ion relation to procedures and standards.</p> <p>It also published guidance for establishments on how to prepare for EU Exit.</p> <p>The HFEA also published it State of the Sector and Fertility Trends reports and the results of it's first National Patient Survey.</p>

Human Tissue Authority (HTA)

Exclusion category	Summary of activity
<p>Measures certified as being below de minimis (measures with an EANDCB below +/- £5 million)</p>	<p>The Organ Donation (Deemed Consent) Act 2019 introduced a system of deemed consent for organ and tissue donation in England. To coincide with the law change, the HTA published a revised Code of Practice, providing advice and guidance to transplant professionals in England on how the new deemed consent system will affect their practice. Updated guidance for emergency mortuary licensing in a pandemic scenario and on consent and licensing for removing samples from the deceased for testing.</p> <p>Changes to regulatory processes</p> <p>Change to the management of processes for relating to the publication of data relating to incidents reported in three sectors. This change decreased the time spent on agreeing incident closure statements and is intended to streamline publication processes.</p> <p>Introduction of fixed-term licences to facilities that remove samples from the deceased for testing.</p> <p>The HTA introduced Virtual Regulatory Assessments (VRAs), with 10 carried out in the reporting period. These allow regulatory oversight and assessment of establishment compliance without an on-site inspection and can be targeted to risk.</p>
<p>Casework</p>	<p>At the end of September 2020, the HTA licenced 579 establishments across six sectors. Of these, 327 establishments were public sector organisations and 252 were classified as businesses.</p> <p>Casework figures have been determined for an annual period deemed representative of the reporting period.</p> <p>Between 1st October 2019 – 30th September 2020, the HTA managed:</p> <ul style="list-style-type: none"> 71 site visits of licensed premises, resulting in 297 shortfalls identified with corrective action required. 575 incidents reported across six sectors 27 new licence applications 833 licence variations requests 82 preparation process dossiers submissions 129 establishments in the Human Application sector submitted an annual activity return. <p>Between 1st October 2019 – 30th September 2020, the HTA made a decision on 872 organ donation cases from living donors – a panel of HTA Authority Members made a decision on 233 of these.</p>

Information Commissioner's Office (ICO)

Exclusion category	Summary of activity
<p>EU Regulations, Decisions and Directives and other international obligations, including the implementation of the EU Withdrawal Bill and EU Withdrawal Agreement</p>	<p>Launch of "Age Appropriate Design; a code of practice for on-line services" to support compliance with the Data Protection Act 2018 (DPA) and the General Data Protection Regulation (GDPR) - estimated one-off cost to business £60m.</p> <p>The code is risk based, which means it does not apply to all organisations in the same way.</p>
<p>Measures certified as concerning EU Withdrawal Bill operability measures</p>	<p>The ICO's Business Services set up a new dedicated helpline for organisations with specific queries about EU withdrawal. They produced a suite of guidance and resources to help organisations prepare for the end of the transition period on the ICO's website.</p>
<p>Pro-competition</p>	<p>The ICO, Competition and Markets Authority, and Ofcom have set up a forum to help ensure online services work well for consumers and businesses in the UK. The Digital Regulation Cooperation Forum strengthens existing collaboration between the regulators and aims to harness expertise when data, privacy, competition, communications and content interact.</p> <p>Based on feedback the ICO has redeveloped its SME web hub to make it as easy as possible for SMEs to find, understand and act on our advice. Fourteen new easy-to-follow blogs and guides, and dozens of new FAQs have been added to complement the existing SME helpline and live chat services. The ICO has responded to 170,000 organisations most of which are SMEs.</p>
<p>Fines and Penalties</p>	<p>The total amount of fines issued to non-public sector organisations for not registering with the ICO was £145,000. Fines for other data protection breaches totalled almost £41m, including a fine of £20m for British Airways and one of over £18m for Marriott Hotels Ltd and £.125m for Ticketmaster.</p> <p>The ICO also undertook a range of other regulator interventions, including issuing enforcement notices, such as the order given to Experian Limited to make fundamental changes to how it handles people's personal data within its direct marketing services.</p> <p>Fines for Privacy and Electronic Communications Regulation breaches were just over £1.4m.</p>

Exclusion category	Summary of activity
Measures certified as relating to the safety of tenants, residents and occupants in response to the Grenfell tragedy	<p>Following consideration of the exclusion category there are no measures for the reporting period that qualify for the exclusion.</p> <p>However, the planned Data Sharing Code will give guidance on data sharing in an urgent situation such as Grenfell</p>
Casework	<p>The ICO's casework activities include handling complaints from individuals under Articles 57(1) (f) and (2), and 77, of the GDPR and Section 165 of the DPA 2018.</p> <p>In the reporting period the ICO received over 25,500 complaints from members of the public about data protection issues of which over a third relate to businesses; with over 8,503 personal data breaches reported.</p>
Education, communications and promotion	<p>The ICO has published guidance for organisations on:</p> <ul style="list-style-type: none"> developing GDPR codes of conduct and certification schemes; preparation for Brexit; handling requests for personal data; and best practice for data protection-compliant Artificial Intelligence; including advice on the law and recommendations on good practice. <p>In response to Covid 19 the ICO also created an information hub to support businesses including advice on holding and sharing Covid related information about employees and customers, contact tracing, and home working.</p> <p>The ICO opened applications to the ICO regulatory sandbox; a free service designed to support organisations using personal data to develop innovative products.</p> <p>The ICO published it's 'Openness by design' strategy, which aims to ensure that access to information rights are upheld in a consistent and timely manner and operate effectively in a digital age.</p>
Activity related to policy development	<p>The Information Commissioner's Office launched consultations on its draft:</p> <ul style="list-style-type: none"> Direct Marketing code of practice; and Statutory Guidance document. <p>The ICO also launched its new Accountability Framework, a practical tool to help organisations manage their approach to privacy and to understand what good accountability looks like.</p>

Intellectual Property Office (IPO)

Exclusion category	Summary of activityCM
<p>Measures certified as being below de minimis (measures with an EANDCB below +/- £5 million)</p>	<p>The IPO introduced a basket of practice changes to streamline patent examination. It is estimated that applicants for patents will save around £750k a year in attorney fees due to the reduction in the work attorneys will need to carry out on each examination report. This estimate is based on around 25,000 examination reports being issued a year by the IPO and a saving of around £30 per examination on average for business. This estimated EANDCB clearly falls significantly within the ± £5 million and therefore the de minimis exclusion applies.</p> <p>The IPO have received the following number of applications between 13 December 2019 and 9 November 2020: Patent Applications: 18,445 Trade mark applications: 118,385 (Domestic 102,222, and International 16,163) Designs applications – 27,089 (Domestic 22,223, and International 4,866)</p>
<p>Education, communications and promotion</p>	<p>Since 13 December 2019 through to present, the IPO's Business Engagement team has engaged with 3789 businesses and business advisors regarding Intellectual Property (IP), through attending or running 29 events including seminars, workshops, webinars or business exhibitions.</p> <p>The IPO has also delivered 6 IP Masterclass courses (a combination of face to face and virtual versions) to 92 delegates during this period, with 84 of those consenting to further communications and GDPR.</p> <p>It has facilitated IP audits for 218 businesses. In addition, from December 2019 to June 2020 our network of Patent libraries provide support to 11,329 businesses.</p> <p>IPO updated the following guidance: Update to the Manual of Trade Marks practice providing additional guidance on the practice relating to marks which may signify Royal patronage. Tribunal Practice Notice published containing information about the relevance of trade mark disclaimers/limitations and their significance in dispute proceedings – this followed a judgment from the CJEU.</p>

The Insolvency Service (INSS)

Exclusion category	Summary of activity
<p>Measures certified as being below de minimis (measures with an EANDCB below +/- £5 million)</p>	<p>The Insolvency Act 1986 (Prescribed Part) (Amendment) Order 2020</p> <p>This measure raises the cap on the “Prescribed Part” in insolvency proceedings, a fund ringfenced for payment to unsecured creditors from assets which would otherwise be available to “floating charge” holders, whose claims are met after fixed charge and preferential creditors have been paid in full. The purpose of the ringfenced fund is to ensure that unsecured creditors, who are usually SME sized suppliers, have a chance to recoup at least some of the money owed to them even though they are the lowest priority creditor.</p> <p>The cap is set by order and amounts to £600,000. It was introduced in the Enterprise Act 2002 and has remained unchanged since being brought into force in 2003. This measure raises the cap to £800,000, a change in line with inflation. If it were not changed, then the value of the fund would continue to diminish in real terms, and unsecured creditors would lose out.</p> <p>For cases that do breach the cap the increase of the Prescribed Part cap from £600,000 to £800,000 represents a transfer from floating charge creditors to unsecured creditors. Where transfers are between different types of businesses, they net out to zero for EANDCB purposes, however where unsecured creditors are Government creditors there will be a transfer from business to Government. The best estimate for the EANDCB is £216,000, reflecting how uncommon breaches of the cap are, and will therefore fall within the De Minimis threshold.</p> <p>The Insolvency (Amendment) (EU Exit) Regulations 2019 Amendment Regulations 2020</p> <p>Expert Stakeholders estimate that a large proportion of UK insolvencies will have some form of asset in a foreign jurisdiction that insolvency practitioners must deal with. To do so would require the insolvency practitioner to be recognised by that foreign jurisdiction, and any judgements made by a UK court in relation to that insolvency to be formally recognised also in a foreign jurisdiction. The EU Insolvency Regulation provides for automatic recognition of both these principals which saves time and cost for UK insolvency practitioners to deal with assets in foreign jurisdictions to have them returned for creditors. The UK’s exit from the EU means that insolvency practitioners will have to return to pre EU insolvency Regulation by having to spend resources to be formally recognised. The purpose of these EU Exit regulations and the subsequent amendments is to make the situation in the UK for insolvencies originating in EU Member States equal to that which UK based insolvencies will have in EU Member States. Put simply, they make the competitive field for UK insolvency practitioners equal to their competitors in EU Member States. The instrument, covered by this IA, makes amendments to the Insolvency Amendment (EU Exit) Regulations 2019 to remove transitional provisions that are no longer required as a result of the UK entering into a withdrawal agreement with the EU.</p>

Exclusion category	Summary of activity
	<p>In addition it gives affect to the Withdrawal Agreement in relation to insolvency proceedings open under the EUIR on the day of exit from the EU. Failure to make these amendments would leave a potential conflict between the provisions of the Insolvency Amendment (EU Exit) Regulations 2019 and that withdrawal agreement. The primary impact on business is as a result of the removal of the automatic recognition of insolvency cases contained in the Insolvency Amendment (EU Exit) Regulations 2019, this had an EANDCB of £2.8m, the current regulations do not make changes to that principle and as such the current regulations should have no further impact on businesses.</p>
Casework	<p>Licences – The Recognised Professional Bodies (RPBs) licensed 1,553 insolvency practitioners at 1 January 2020, of which 1,236 were authorised to take insolvency appointments. A licence lasts for 1 year and if the Insolvency Practitioner stays with the RPB for subsequent years there is an annual renewal process.</p> <p>RPBs received 428 complaints forwarded from the Insolvency Service Gateway in 2019 (January–December). These complaints are assessed, investigated (if the evidence suggest such an investigation should take place), placed before committee where appropriate and possibly progressed to disciplinary action against the Insolvency Practitioner.</p> <p>IP Regulation Section deal with complaints about the RPBs – 12 complaints were received in 2019.</p> <p>The RPBs monitor IPs usually on a 3-year rotation but sometimes more frequent visits are necessary if the IP has had a previous poor report or their type of work warrants it. There were 362 monitoring visits in 2019 (January – December). These usually consist of a physical visit to the IPs office and the sampling of cases; the IP receives a copy of the report. The report and any recommended further actions are considered by a committee</p>
Education communications and promotion	<p>IP Regulation Section publishes a number of documents each year including the Annual Review of IP Regulation, monitoring reports on the RPBs, Dear IP and sanctions against IPs imposed by the RPBs.</p>
Activity related to policy development	<p>The Insolvency Code of Ethics and Statements of Insolvency Practice (SIPS) are developed by the Joint Insolvency Committee (JIC) and are adopted as a regulatory standard by all the RPBs. The ethical code was revised and issued with effect from 1 May 2020. The JIC consulted on changes to a number of SIPs (including SIPs 3.1, 3.2, 7 and 9) and work on final revisions is ongoing. SIP16 is also being reviewed.</p>
Changes to management of regulator	<p>The ACCA ceased to license any insolvency practitioners from the end of 2019 and a change will be made to the legislation to revoke its RPB status.</p>

Maritime and Coastguard Agency (MCA)

Exclusion category	Summary of activity
<p>EU Regulations, Decisions and Directives and other international obligations, including the implementation of the EU Withdrawal Bill and EU Withdrawal Agreement</p>	<p>The Maritime and Coastguard Agency has implemented 9 EU, International obligations / de minimis measures:</p> <ul style="list-style-type: none"> The Merchant Shipping (Safety of Navigation) Regulations 2020 The Merchant Shipping (Safety Standards for Passenger Ships on Domestic Voyages) (Miscellaneous Amendments) Regulations 2020 The Merchant Shipping (Technical Requirements for Inland Waterway Vessels) (Amendment) Regulations 2020 The Merchant Shipping (Life-Saving Appliances and Arrangements) Regulations 2020 The Merchant Shipping (Ship-to-Ship Transfers) Regulations 2020 The Merchant Shipping (Prevention of Pollution by Sewage from Ships) Regulations 2020 The Merchant Shipping (Maritime Labour Convention and Work in Fishing Convention) (Amendment) Regulations 2020 The Merchant Shipping (Tonnage) (Amendment) Regulations 2020 The Merchant Shipping (Prevention of Pollution by Garbage from Ships) Regulations 2020 <p>These guidance documents reflect international requirements, do not gold plate and do not place additional burdens on business beyond those required under international legislation.</p>
<p>Casework</p>	<p>In light of the ongoing Covid-19 pandemic and therefore only where appropriate the MCA has continued its programme of Port State Control inspections and Flag State Control surveys. Issuing prohibition and improvement notices or detentions where necessary. All detentions, prohibition and improvement notices relate to non-compliant ships.</p> <p>Improvements notices are issued to allow ships to continue trading whilst improving deficiencies. Ships are only detained in port, or prohibited from operation, when deficiencies are sufficiently serious to merit a Port State Control Officer having to return to a ship to be satisfied the deficiencies have been rectified before the ship is allowed to sail.</p> <p>In light of the ongoing Covid-19 pandemic and therefore only where appropriate the MCA has continued its programme of training course approvals, competency examinations for seafarers and the issuing of boat master licences as well as its programme of International Safety Management audits and Document of Compliance audits.</p> <p>No activities within this exemption represent a change in the burden of regulation placed on business, except where they result from a separate qualifying regulatory provision which has been separately assessed.</p>

Exclusion category	Summary of activity
<p>Education, communications and promotion</p>	<p>We published over 100 documents providing the UK maritime sector with general information in the following areas: Approved doctors, medical referees and health seminar presentations; Approved radio surveyors, MARPOL surveyors and Certifying Authorities; Approved service stations; Recruitment and placement agencies Marine safety bulletins, safety information and Scientific, Technical and Operational Advice Notes Training materials for counter pollution training courses; National Contingency Planning and Search and Rescue Cooperation Plans; Companies offering maintenance of radio equipment; Local fuel oil suppliers register; SAR statistical information; List of protected wrecks in the UK; Seafarer application forms; Survey and Inspection, and UK Shipping Register Newsletters</p> <p>Our Coastguard volunteers attend numerous local shows and events to promote coastal safety for pleasure users. MCA surveyors and policy teams are actively involved in, the Southampton Boatshow, Seaworks, Skipper Expo International in Aberdeen and Bournemouth providing advice and guidance on maritime legislation.</p> <p>Attendance at educational and promotional events is not compulsory and none of the material produced creates a new regulatory standard that businesses will be expected to follow. Any new regulatory standards will follow the regulatory process and their impacts assessed as part of this process.</p> <p>The above promotions have only taken place where appropriate in light of the ongoing Covid-19 pandemic.</p>
<p>Activity related to policy development</p>	<p>The MCA has undertaken the following consultations:</p> <ul style="list-style-type: none"> Consultation on merchant shipping (counting and registration of persons on board passenger ships) (amendment) regulations 2020 Consultation on the proposed merchant shipping (cargo ship) (bilge alarm) regulations 2021 Implementation of MLC 2018 amendments Consultation on the draft Merchant Shipping (Prevention of Pollution by Sewage from Ships) Regulations 2020 Consultation on the draft merchant shipping (prevention of pollution by garbage from ships) regulations 2020 Review of marine guidance notes and methodology for offshore renewable energy installations

Medicines and Healthcare products Regulatory Agency (MHRA)

Exclusion category	Summary of activity
<p>Measures certified as being below de minimis (measures with an EANDCB below +/- £5 million)</p>	<p>MHRA has worked closely with the Department of Health and Social Care (DHSC) and other healthcare partners and stakeholders to rapidly identify where flexibilities in the regulation of medicines and medical devices may be possible. This is with a view to supporting the healthcare products supply chain and wider response to the coronavirus (COVID-19) outbreak in the UK. Guidance for industry on flexible approaches to regulation we are taking during the COVID-19 outbreak. https://www.gov.uk/guidance/mhra-regulatory-flexibilities-resulting-from-coronavirus-covid-19</p> <p>On 16 April 2020, flexibility was allowed for dissemination of Direct Healthcare Professional Communications (DHPCs) via email rather than sending hard copies by post. Before this time, a Marketing Authorisation Holder or representative of a group of MAHs traditionally disseminated these letters by post. Since April, we understand email-only or email/post-hybrid models have been used for 7 safety letters to healthcare professionals (up to 1 October). While the time and monetary resource gained would be a question for industry, we understand from feedback that an electronic option for these letters is preferred by both industry and healthcare professionals. Industry estimates that savings from 7 safety letters is in the region of £300,000</p> <p>For a number of years the British Generic Manufacturers Association (BGMA) has been working with MHRA to co-ordinate the implementation and dissemination in the UK of a single Direct Healthcare Professionals Communication (DHPC) or other educational materials on behalf of marketing authorisation holders for a medicine or group of medicines. This has the advantage of ensuring consistency of messaging and materials, less burden for recipients of what could otherwise be many sets of similar materials, and reduced costs for individual companies. During the period 13 December 2019 to 16th December 2020, five BGMA projects were completed with between four and twenty companies taking part in each one. The total savings to industry are about £2,210,000.</p>
<p>Measures certified as concerning EU Withdrawal Bill operability measures</p>	<p>From 1 January 2021, the Medicines and Healthcare products Regulatory Agency (MHRA) will be the UK's standalone medicines and medical devices regulator. As such, the MHRA has published detailed guidance on how medicines and medical devices will be regulated at the end of the Transition Period, in both a negotiated and non-negotiated outcome with the EU. https://www.gov.uk/government/collections/mhra-post-transition-period-information</p> <p>MHRA successfully delivered nine webinars to companies on the post transition guidance in October 2020. 11,500 joined the live event with full representation across pharmaceutical and devices industry. Recordings of the webinars will be posted on gov.uk and emailed to delegates and those on wait lists. Full evaluation of the events will be available in November.</p>
<p>Changes to management of regulator</p>	<p>Stephen Lightfoot was appointed Chair of the MHRA from 1 September 2020.</p>

Natural England

Exclusion category	Summary of activity
<p>Measures certified as being below de minimis (measures with an EANDCB below +/- £5 million)</p>	<p>During the reporting period, Natural England made amendments to its wildlife licensing regime as follows:</p> <p>The addition of Stoats to Schedule 6ZA of the Wildlife & Countryside Act 1981 following introduction of the Humane Trapping Standards 2019, now requires those engaged in trapping of the species to hold a General licence. It is not possible to quantify the cost to business of this move, but it is anticipated to be below de minimis due to the relatively low costs of accessing a General licence and the long lead in time provided by the international agreement on which the Standards are based which has enabled trap suppliers and users to conform with the new requirement.</p> <p>Moved the control of both herring and lesser black backed gulls from a General to an Individual Licence. It has not been possible to quantify the costs of this move to business as no baseline data on the cost of General licensing for gulls was available. Natural England will work with Defra to quantify the cost of this change following the 2021 breeding season and report thereafter.</p>
<p>Casework</p>	<p>13 December 2019 and 16 December 2020 Natural England responded to 49,874 items of casework. See the Casework breakdown below.</p>
<p>Education, communications and promotion</p>	<p>Natural England has continued to update and make minor amendments to 106 pieces of guidance on GOV.UK, covering wildlife management, protected species and protected areas in response to customer feedback and requests. It made 20 new publications available on its Access to Evidence portal, which includes the Agri environment Evidence Annual Report. It has published 213 items of new information on GOV.UK including corporate reports, updates to its services, policy and an outline for a shared vision to use nature-based solutions to tackle the climate emergency. Also included was training, advice and grant support for farmers and land managers to reduce water and air pollution from agriculture. It continues to make available, free of charge, maps and geographic information through its MAGIC website as well as updating and maintaining its designated sites database.</p>
<p>Activity related to policy development</p>	<p>During the BIT reporting period, Natural England supported Defra in its ongoing consultations around wildlife management and protected species. The organisation also published 46 open access restriction consultations or reported on their outcomes. It published proposals or updates on 70 stretches of the England Coastal Path and 7 Marine Area Site Packages. It also provided 30 updates relevant to Countryside stewardship.</p>

Exclusion category	Summary of activity
Changes to management of regulator	Natural England appointed Marian Spain as Chief Executive of Natural England in May 2020. Four new members were appointed to the Natural England Board, with effect from Monday 1 June in line with the introduction of the Natural England Roadmap and the focus on four programmes of work.

Ofcom

Exclusion category	Summary of activity
<p>Measures certified as being below de minimis (measures with an EANDCB below +/- £5 million)</p>	<ul style="list-style-type: none"> • Modifications to the Digital Radio Technical Code. • Modifications to Ofcom's Technical Guidance for DAB multiplex licensees. • Introduction of licencing requirements for Railway Level Crossing Radar Sensor Systems (Wireless Telegraphy (Exemption and Amendment) (Amendment) Regulations 2020). • Changes to the Code on Television Access Services. • Publication of a good practice guide on how providers can ensure that they are treating vulnerable customers fairly. • Changes to the conditions included in television, radio and multiplex licences granted by Ofcom under the Broadcasting Acts 1990 and 1996 which are regulatory provisions but which do not fall within another administrative exclusion
<p>EU Regulations, Decisions and Directives and other international obligations, including the implementation of the EU Withdrawal Bill and EU Withdrawal Agreement</p>	<ul style="list-style-type: none"> • Exempting the establishment, installation and use of short-range devices which comply with certain terms, provisions and limitations, from the requirement to be licensed (Wireless Telegraphy (Exemption and Amendment) (Amendment) Regulations 2020). (European Commission Implementing Decision 2018/1538/EU of 11 October 2018). • Changes to the conditions included in television, radio and multiplex licences granted by Ofcom under the Broadcasting Acts 1990 and 1996 resulting from the revised Audio-Visual Media Services Directive. • Changes to the Code on Television Access Services resulting from the revised Audio-Visual Media Services Directive. • The broadband universal service conditions, that will apply to BT and KCOM (as designated universal service providers for the broadband USO) as they deliver USO connections and services, came into effect. (Universal Service Directive). • A package of measures that protect broadband, mobile, pay TV and landline customers to implement the new customer protections in the European Electronic Communications Code came into effect.
<p>Measures certified as concerning EU Withdrawal Bill operability measures</p>	<p>Changes to the conditions included in television, radio and multiplex licences granted by Ofcom under the Broadcasting Acts 1990 and 1996 resulting from the Broadcasting (Amendment) (EU Exit) Regulations 2019.</p>

Exclusion category	Summary of activity
Pro-competition	<ul style="list-style-type: none"> • Inviting people and businesses to share their views on interactions they have had with BT and Openreach (Openreach Northern Ireland) since 1 April 2019, in the context of the voluntary commitments to further reform Openreach BT notified Ofcom of on 10 March 2017. • Agreeing to an Openreach request to waive the usual notification period for new offers to providers. This follows changes Openreach plans to make to the way it sells wholesale products - giving its customers more flexibility on the installation of new services during the Covid-19 period. • Limiting the application of our current rules which require Openreach to provide wholesale access to standard and superfast broadband on its copper network and to allow Openreach to vary some of its charges. These amendments will apply only to the Salisbury and Mildenhall trials (which relate to Openreach's plans to modernise its network to support the delivery of telephone services using internet protocol (IP) technology, and to upgrade its copper lines to fibre) and for a limited time.
Fines and penalties	<p>Ofcom has imposed a number of fines and penalties associated with a specific enforcement decisions. These are classed as a non-qualifying regulatory provision under the case work exclusion and are not recorded separately here.</p>
Casework	<p>Ofcom carried out a significant level of casework during the period including:</p> <ul style="list-style-type: none"> • investigation and enforcement activity in relation to broadcast standards² and competition and consumer enforcement; • licence awards; • updates to licence terms; and • applying Code Power to persons providing an electronic communications network and/or system of conduits
Activity related to policy development	<p>Ofcom have published various consultations and calls for inputs over the period to further develop our policy and regulatory decisions.</p> <ul style="list-style-type: none"> • Call for inputs: Making better use of spectrum in the 14 GHz band; • Consultation: Future of public service broadcasting; • Consultation: Implementing the European Electronic Communications Code; • Consultation: Improving spectrum access for wi-fi in the 5.89 and 6 GHz bands; • Consultation: Measures to support nationwide copper retirement; • Consultation: Process for simpler cross-platform broadband switching; • Consultation: Supporting innovation in the 100-200 GHz range - update to technical annex; and • Consultation: Wholesale voice markets review.

Office for Nuclear Regulation (ONR)

Exclusion category	Summary of activity
EU Regulations, Decisions and Directives and other international obligations, including the implementation of the EU Withdrawal Bill and EU Withdrawal Agreement	Following the UK's exit from the EU and Euratom, regulatory responsibility for UK Nuclear Safeguards transfers from Euratom to ONR on 1 January 2021. The new Nuclear Safeguards (EU Exit) Regulations 2019 were subject to a full (cost) assessment (including one-off transitional and familiarisation costs) provided by the Department for Business Energy and Industrial Strategy (BEIS). Included in the BEIS Impact Assessment, ONR updated existing guidance and only produced new guidance where there was a specific safeguards need.
Measures certified as relating to the safety of tenants, residents and occupants in response to the Grenfell tragedy	Following consideration of the exclusion category there are no measures for the reporting period that qualify for the exclusion. ONR is satisfied that its enforcement powers and regulatory approach are sufficient to ensure continued industry compliance in relation to the application of the Regulatory Reform (Fire Safety) Order 2005 (FSO) to the premises within scope of ONR's regulation now, and with regard to the future legislative proposals referenced in the Home Office Fire Safety consultation (July – October 20).
Casework	Regulatory interventions are published on the ONR website as part of ONR's publication scheme. None of the activities represent a change in the burden of the regulation placed on businesses. International Atomic Energy Agency's (IAEA) final report on the Integrated Regulatory Review Service (IRRS) mission to the UK published (July 2020) provides a peer review of the UK's regulatory infrastructure for safety against IAEA safety standards.
Activity related to policy development	ONR consulted on its five year strategy (January - February 2020) and worked closely with Government to inform policy development by responding to appropriate consultations.
Changes to organisation or management	Three new ONR Board members appointed: Janet Wilson (1/4/20); Tracey Matthews (1/6/20); Jean Llewellyn – Chair ONR's Security Committee (1/10/20).

Office of Gas and Electricity Markets (Ofgem)

Exclusion category	Summary of activity
Measures certified as being below de minimis (measures with an EANDCB below +/- £5 million)	We published three documents each with an EANDCB of less than +/- £5 million. These were measures such as minor changes to industry codes and a package of measures to improve outcomes for prepayment meter consumers who self-disconnect and self-ration, and for customers who struggle to pay their energy bills.
EU Regulations, Decisions and Directives and other international obligations, including the implementation of the EU Withdrawal Bill and EU Withdrawal Agreement	We published 16 documents to reflect changes in EU regulations and did not include gold plating. Two-thirds of these documents related to requirements under or changes to the EBGL regulation (European Electricity Balancing Guidelines). Other publications reflected changes to the Balancing and Settlement Code (BSC), proposals for the Ireland-United Kingdom (IU) TSO and Channel CCR (Capacity Calculation Region), and amendments to the Gas Charging Regime.
Pro-competition	We published 51 documents relating to regulatory provisions that are intended to deliver- or to replicate- better competition-based outcomes in the energy market. This includes matters such as RIIO price controls, accounting for the effects of COVID-19, calculation of the imbalance price and extension of the cash-out price arrangements, updating definitions and calculations methodologies, updating the Grid Code and removal or alignment of charges, and generally improving the protection of consumers. One measure also relates to the modification of the Special Conditions (also known as the Charge Restriction Conditions 'CRC') of the electricity distribution licence to recover bad debt resulting from the Network Charge Deferral (NCD) scheme.
Fines and Penalties	We published two documents relating to fines and penalties.
Casework	We published 266 documents regarding specific investigation and specific enforcement activity, and individual licence decisions. The majority of these documents related to the applications for, notice of, or revocation of individual licences and final orders. Other documents related to regulatory activities such as specific investigations or specific approval of individual charging and service statements and methodologies.
Activity related to policy development	We published 95 documents regarding our own policy development such as formal and informal consultations and ad hoc information requests.

Office of Road and Rail (ORR)

Exclusion category	Summary of activity
<p>Measures certified as being below de minimis (measures with an EANDCB below +/- £5 million)</p>	<p>Some of the following ORR activities relate to policy development and therefore also fall into the policy development exemption:</p> <ul style="list-style-type: none"> • Published a range of operational guidance during COVID-19 covering medical fitness and competence standards for train drivers and other safety critical staff; additional guidance relating to licensed train drivers and periodic medical requirements (see EU section below); engineering standards requirements for periodic inspections and maintenance; practical guidance for on-train/tram and station activities; RIDDOR reporting in relation to COVID; and guidance to the heritage sector on resuming operations (during the period March to September 2020). • Revised Accessible Travel Policy guidance published on 16 September 2020 to amend requirements on train operators in relation to rail replacement services. • Published a consultation on 30 June 2020 on the possible introduction of a new licence condition and codes of practice to improve access to, awareness of, delay compensation. • ORR is monitoring compliance with the Government's new Public Health Information Regulations introduced on 8 June 2020. in particular, Eurostar's and Eurotunnel's obligations to provide public health information to passengers. • Published a revised Health and Safety Regulatory Strategy document in September 2020. • ORR will be publishing some minor amendments to our guidance on the <i>Railways and Other Guided Transport Systems (Safety) Regulations 2006 (ROGS)</i> by December 2020. • Published revised chapters in our suite of Strategic Risk Chapters covering level crossings (February 2020) and occupational health (March 2020).
<p>EU Regulations, Decisions and Directives and other international obligations, including the implementation of the EU Withdrawal Bill and EU Withdrawal Agreement</p>	<ul style="list-style-type: none"> • Updated guidance on access to service facilities to reflect European railway legislation as it applies to GB. • Produced guidance on "leaving the EU without a deal" and the effects for EU freight and passenger licences, on safety regulation and on train driving licences. • Revised guidance to implement the EC regulation on service facilities as it applies to Northern Ireland. • Reviewed the implementation of the Consumer Protection Cooperation Regulation in January 2020 to evaluate whether it affects our consumer protection powers. • Updated guidance (March 2020, June 2020, September 2020 and October 2020) on the licensing of train drivers (EU Directive 2007/59/EC) in respect of the medical fitness requirements for train drivers during COVID-19. This included providing guidance on the effect of EU Regulation 2020/698 and Commission Decision 2020/1237

Exclusion category	Summary of activity
Casework	<p>The following casework covers period 1 April 2019 – 30 September 2020:</p> <p><u>Licensing</u>: issued licences to 23 operators of railway assets; we granted licence exemptions to 18 operators of railway assets; and we revoked 9 licences/exemptions.</p> <p><u>Stations and depots</u>: gave specific approval to the following – 15 new agreements and 157 amending agreements. We ratified the closure of 2 stations.</p> <p><u>Track Access</u>: approved numerous new track access contracts and amendments to existing contracts, which facilitate access to the rail network as follows:</p> <ul style="list-style-type: none"> • Framework agreements of Train Operating Companies (TOCs) and Freight Operating Companies (FOCs) with Network Rail: <ul style="list-style-type: none"> ○ TOCs - Specific approvals: 109, notices of consent: 9. ○ FOCs – specific approvals/directions 12 completed plus 14 notices of consent issued. • Connection contracts, where networks between different parties meet: Specific: 2 cases approved. • Facility access contracts between FOCs and freight facility owners: Specific: 9 new agreements. • Parties were also able to use General Approvals for many other contracts. <p>Made decisions on 3 appeals under Part M of the Network Code – concerning disputes between industry parties.</p> <p>13 December 2019 – 16 December 2020: issued new, amended or renewed railway safety certificates to 10 passenger or freight train operators. Issued safety authorisations to 5 infrastructure managers. ORR has not revoked, suspended or restricted any certificates or authorisations.</p> <p>Issued 648 train driving licences between 13 December 2019 and 22 October 2020.</p> <p>13 December 2019 – 3 October 2020: Interoperability – completed 31 authorisations under <i>The Railways (Interoperability) Regulations 2011</i> including: 12 rolling stock authorisations, 10 infrastructure authorisations and 9 authorisations of V4.0 GSM-R Cab Mobile sub systems</p>
Education, communications and promotion	Published Annual Report of Health and Safety Performance on Britain's Railways 2019/20 in July 2020.
Activity related to policy development	Realigned key documentation (principally the Network Rail Annual Assessment and the Regulatory escalator (one of ORR's key monitoring tools) so that they fit Network Rail's devolved Regional structure.

Office for Product Safety and Standards (OPSS)

Exclusion category	Summary of activity
Measures certified as being below de minimis (measures with an EANDCB below +/- £5 million)	<p>Updating the definitions of the seven units of measurement that form part of the International System of Units (SI base units) in the Units of Measurement Regulations 1986 and the Weights and Measures Act 1985.</p> <p>Legislative via 1) The Units of Measurement Regulations 1986 (Amendment) and Weights and Measures Act 1985 (Definition of Ampere) (Amendment) Regulations 2019; 2) The Weights and Measures Act 1985 (Definitions of "Metre" and "Kilogram") (Amendment) Order 2020.</p> <p>The legislation being amended is for the purposes of trade. As the value of the SI base units remains the same, business does not need to familiarise itself with the new definitions nor change any measuring or weighing equipment. As a result, updating UK legislation with the new definitions for seven SI base units does not create a cost to business or consumers.</p>
Measures certified as concerning EU Withdrawal Bill operability measures	OPSS has issued guidance documents on product safety and metrology from 1 January 2021 for Great Britain and Northern Ireland
Education, communications and promotion	OPSS has an ongoing programme of consumer safety advice and awareness campaigns.
Activity related to policy development	OPSS is a Departmental Office of BEIS, and as such activity related to policy development for product safety, metrology and standards and accreditation is reported in the BEIS BIT return

Office for Students (OfS)

Exclusion category	Summary of activity
<p>Measures certified as being below de minimis (measures with an EANDCB below +/- £5 million)</p>	<p><u>Regulatory notices</u> In this period the OfS paused some regulatory requirements to respond to the coronavirus pandemic, adapting its approach to reduce unnecessary burden and to support providers as they worked to support and protect their students.</p> <p>New reporting requirements were introduced on reportable events and data in March 2020 under the general ongoing condition of registration F3: Provision of information to the OfS and general ongoing condition of registration F4: Provision of information to the Designated Data Body, to provide the Specified Information at the Specified Time and in the Specified Manner. The notice was further updated in July 2020 setting out the approach to regulation and information about deadlines for data returns.</p> <p>Regulatory notice 1: Access and Participation was amended in May 2020, with minor changes.</p> <p>Regulatory notice 5: Condition Z3 Temporary provisions for sector stability and integrity (July 2020) introduced a time-limited ongoing condition of registration imposed to protect the stability and integrity of the English higher education sector during the unprecedented circumstances of the pandemic.</p> <p><u>Regulatory guidance</u> The OfS published new guidance documents dealing with regulatory requirements during the pandemic, such as how the OfS will adapt its regulatory approach to support providers during this time on matters such as reportable events and the approach to quality and standards</p> <p><u>Consultations</u> Several consultations were paused in March 2020 to reduce the burden placed on providers during the outbreak of coronavirus. When the process of consultation resumed, key consultations were: new student protection directions (July 2020) which outlined proposals for a new approach to enable the OfS to intervene more quickly and in a targeted way when the OfS considers that a provider is at material risk of leaving the higher education sector, and the OfS's approach to regulating quality and standards in higher education (November 2020).</p>
<p>Casework</p>	<p>The OfS website details its regulatory decisions.</p> <p><u>Notifications:</u> The OFS receives, assesses and where appropriate, investigates notifications made about a provider that the OfS regulates, to ensure that they comply with the ongoing conditions of registration.</p>

Exclusion category	Summary of activity
Education, communications and promotion	The OfS undertakes presentations, organises webinars and communicates on specific topics. Participation in these events is not mandatory.
Activity related to policy development	The OfS undertakes data analysis, and commissions and publishes independent research to inform decision making, and for transparency purposes.

Office of the Immigration Services Commissioner (OISC)

Exclusion category	Summary of activity
Measures certified as being below de minimis (measures with an EANDCB below +/- £5 million)	<p>Following a consultation, the OISC published a revised Complaints Scheme on 1 April 2020. There were only minor changes made and all that is required of the regulated adviser is to read the revised document.</p> <p>The impact to business of this regulatory provision is less than the £5m qualifying target.</p>
Casework	<p>The OISC carried out 264 premises audits during the business year 1 April 2019 – 31 March 2020.</p> <p>There were 7 prosecutions and 85 appealable decisions during the business year 1 April 2019 – 31 March 2020.</p> <p>No activities listed in this section represent a change in the burden of regulation placed on business, except where these result from a separate qualifying regulatory provision that has been assessed.</p>
Education, communications and promotion	<p>During the BIT reporting period 13 December 2019 – 12 December 2020 there have been:-</p> <ul style="list-style-type: none"> 2 new and 1 updated Guidance documents produced 3 OISC Newsletters published 1 online presentation launched on the OISC website 3 webinars on various aspects of complying with OISC Codes <p>No activities listed in this section represent a change in the burden of regulation placed on business, except where these result from a separate qualifying regulatory provision that has been assessed</p>

Ofqual (Office of Qualifications and Examinations Regulation)

Exclusion category	Summary of activity
<p>Measures certified as being below de minimis (measures with an EANDCB below +/- £5 million)</p>	<p>Consultations: Awarding organisation controls for centre assessments</p> <p>Ofqual changed some rules for controls for centres to ensure qualifications can be delivered to meet the needs of users. The cost associated with introducing changes to centre assessment regulations was for producing centre assessment standards scrutiny strategies. This was estimated as either £600 per strategy or £25000 in total per awarding organisation.</p> <p>Ofqual estimated a minimal cost for the implementation of new rules for: Regulating performance table qualifications</p> <p>Ofqual changed its approach to regulating Technical Award qualifications listed on the (DfE) Key Stage 4 performance tables for the 2023 tables onwards. The rules put in place covered aspects including the design, delivery and awarding of Technical Awards.</p> <p>Ofqual introduced changes aimed at improving the level of transparency and clarity of qualification fees, as well as changes to improve the structure and clarity of wording, aligned as far as possible with Northern Ireland and Wales.</p> <p>Consultation on the legal establishment and location of awarding organisations regulated by Ofqual</p> <p>Following consultation Ofqual implemented regulatory changes to allow new awarding organisations based, or with a substantial presence, in the UK (or Gibraltar) to be recognised by Ofqual and to prevent current awarding organisations based in the UK from breaching their conditions of recognition. This reflected the UK's exit from the EU on 31 January and was necessary because Ofqual's previous regulations required that awarding organisations must be based in an EU or EFTA member state.</p> <p>Ofqual introduced a provision for the Extraordinary Regulatory Framework which on the 12 October was extended to the Extended Extraordinary Regulatory Framework for awarding Vocational, technical and other general qualifications in 2020 to 2021.</p> <p>Ofqual estimated minimal costs/benefits for the continued development and functionality of the Ofqual awarding organisation Portal to make it more user friendly, this included making available an awarding organisation's scope of recognition and enabling expansion applications through the Portal.</p>

Exclusion category	Summary of activity
Casework	<p>Ofqual has undertaken casework activity in the following areas which have involved some engagement with / requests for information from awarding organisations.</p> <p>Ofqual can report the following enforcement activity:</p> <ul style="list-style-type: none"> • Three Undertakings were given by awarding organisations, and accepted by Ofqual, setting out actions they will take to ensure ongoing compliance with their Conditions of Recognition. • A total of ten Special Conditions were imposed on awarding organisations. Six of these were to support potential investigations, or as part of the enforcement process in respect of four awarding organisations. Four were imposed on new organisations as part of the recognition process. • Two Notices of a Monetary Penalty (£ 50,000 and £350,000) issued with Notices of Cost Recovery (£5,942 and £19,083). Ofqual received over 1000 applications or enquiries to the Exam Procedures Review Service (EPRS) during the period. 12 completed applications required a substantive response from the awarding organisations before the case could be concluded. No EPRS hearings were conducted during this period. <p>Between 13 December 2019 and 27 November 2020 Ofqual completed five remote investigation meetings and 47 compliance engagements, of which 44 were completed remotely.</p> <p>Between 13 December 2019 and 27 November 2020 Ofqual issued 62 recognition application decisions and 88 recognition expansion decisions.</p> <p>Between 13 December 2019 and 27 November 2020 Ofqual received 1162 complaints and 72 whistleblowing disclosures.</p>
Education, communications and promotion	<p>Ofqual communicates regularly with awarding organisations to keep them informed of Ofqual's existing and proposed regulatory requirements and for transparency purposes. This is done through events, workshops Portal articles, webinars, Responsible Officer letters, publications and guidance on the Ofqual website.</p> <p>A particular focus this year has been around supporting awarding organisations' understanding of the arrangements and regulatory frameworks in place for assessment and awarding in light of the pandemic.</p>
Activity related to policy development	<p>Ofqual formally consulted on the following proposals:</p> <ul style="list-style-type: none"> • To introduce new statutory guidance for Condition F1 • To adopt a clearer, narrative style of guidance relating to malpractice and maladministration. <p>Research activity: Key areas of research Ofqual has undertaken that has involved engagement with/requests for information from various awarding organisations are:</p> <p>Marking study – Ofqual conducted marking studies which included an experimental study to trial various modifications to marker training and mark schemes to determine if they improve marker reliability.</p> <p>Optionality – to gain deeper understanding of the comparability of optional routes through examination papers and the effect this may have on standard setting.</p>
Changes to management of regulator	<p>Ofqual has formally agreed with the Institute for Apprenticeships & Technical Education to expand Ofqual's role in delivering the provision of External Quality Assurance of apprenticeship End-Point Assessments.</p>

Offshore Petroleum Regulator Environment and Decommissioning (OPRED)

Exclusion category	Summary of activity
Fines and Penalties	OPRED has issued one Improvement Notice under the Health and Safety at Work Etc Act 1974; The Offshore Installations (Offshore Safety Directive) (Safety Case etc) Regulations 2015 and four civil penalties under the Greenhouse Gas Emissions Trading Scheme Regulations 2012 totalling £110,612 (paid in full). The number of notices and civil penalties issued were broadly similar to those in previous years.
Casework	15 Decommissioning Programmes for offshore oil and gas installations and pipelines under Section 29 of the Petroleum Act 1998 have been approved during the reporting period. OPRED have also supported the execution of a further 71 projects and held discussions regarding two new financial security agreements. No activities listed represent a change in the burden of regulation placed on business.

Exclusion category	Summary of activity
<p>Education, communications and promotion</p>	<p>An updated OPRED Enforcement Policy document was published in January 2020.</p> <p>The Offshore Oil and Gas Exploration, Production, Unloading and Storage (Environmental Impact Assessment) Regulations 2020 (“the 2020 Regulations”) were laid before Parliament and enter into force on 31 December 2020. The 2020 Regulations address implementation issues associated with the previous Offshore Petroleum Production and Pipe-lines (Assessment of Environmental Effects) Regulations 1999 (as amended) [“the 1999 Regulations”] which transposed the Environmental Impact Assessment (EIA) Directive 2011/92/EU (as amended by Directive 2014/52/EU). The financial impact of the 2020 Regulations on the offshore oil and gas sector will be extremely limited, as it is not anticipated that there will be any significant additional costs relating to their implementation, as compared to the previous 1999 Regulations.</p> <p>A number of pieces of environmental guidance were published including on:-</p> <p>The Large Combustion Plant (LCP) Best Available Techniques (BAT) Reference (BREF) Conclusions (BATc) and Industrial Emissions Directive (IED) Article 15(4) and the LCP Cost Benefit Analysis Tool. The introduction of this guidance does not introduce any new costs for the offshore oil and gas sector, it provides a derogation process.</p> <p>- The Risk Based Approach for the Management of Produced Water which updated the previous guidance document to align with the OSPAR Recommendation reporting cycle.</p> <p>OPRED participates in regular meetings with Oil & Gas UK (OGUK), the industry representative body, as well as giving numerous presentations to operators, industry bodies, UK and international regulators and other stakeholders throughout the period.</p>

Exclusion category	Summary of activity
Activity related to policy development	<p>A 10-week public consultation was carried out on a draft of the Offshore Oil and Gas Exploration, Production, Unloading and Storage (Environmental Impact Assessment) Regulations 2020. The Government Response was published prior to the Regulations being laid before Parliament.</p> <p>Two-week engagement exercises with industry were carried out regarding the Large Combustion Plant (LCP) Best Available Techniques (BAT) Reference (BREF) derogation guidance and the Large Combustion Plant (LCP) Cost Benefit Analysis Tool guidance, respectively.</p> <p>A two-week engagement exercise with industry was carried out regarding the Risk Based Approach for the Management of Produced Water Guidance.</p>

The Oil and Gas Authority (OGA)

Exclusion category	Summary of activity
<p>Measures certified as being below de minimis (measures with an EANDCB below +/- £5 million)</p>	<p>The OGA published 2 new supplemental guidance documents: Supplemental Guidance setting out how certain Geophysical Survey Data (GSD) acquired or created under an Exploration Licence prior to 2018 will generally be published by the OGA Supplemental Guidance setting out how certain Geophysical Survey Data (GSD) acquired or created under an Exploration Licence in 2018, or thereafter, will generally be published by the OGA.</p> <p>The OGA published 11 reports: OGA Annual Report and Accounts 2019/2020 (for the year ending March 2020) Report benchmarking the flaring and venting of greenhouse gases on the UK Continental Shelf (UKCS) Report detailing the UK's oil and gas reserves as at the end of 2019. Annual report on the total cost of decommission UK offshore oil and gas production, transportation and processing infrastructure. Report exploring how different offshore energy systems could be co-ordinated across the UK Continental Shelf (UKCS) for environmental and efficiency gains Report detailing the UKCS improvements made to production efficiency in 2019 Analysis comparing the carbon intensity of UKCS gas with imported LNG and pipelined gas. Report of the annual Tier Zero meeting with senior oil and gas industry leaders Report created to help support improved inclusion and diversity practices within the oil and gas industry A report on the interim findings from the first phase of the UKCS energy integration project Sustaining Excellence in Decommissioning report recording the key messages of SPE Offshore Europe 2019</p> <p>The OGA published two strategy documents: Digital Strategy 2020-2025 describing how the OGA will deliver, promote and influence digital excellence through digitalisation to support MERUK and the energy transition Supply Chain and Exports Strategy updating the previous 2016 Strategy</p> <p>The OGA issued one consultation document and three consultation response documents on: The OGA's intention to refresh its core aim, including a requirement for industry to help the government achieve the target of net zero greenhouse gas emissions by 2050.</p>

Exclusion category	Summary of activity
	<p>OGA response to views on proposals to amend some of its existing fees and introduce new fees for some of its services.</p> <p>OGA response to the introduction of supplemental guidance for the disclosure of certain geophysical data created or acquired under an exploration licence pre-2018.</p> <p>OGA response to the supplemental guidance for the disclosure of certain geophysical data created or acquired under an exploration licence post-2017.</p>
Casework	<p>The OGA approved:</p> <p>12 Field Development Plans / Addendums (FDP / FDPA) cases for offshore oil and gas fields.</p> <p>19 sanctions, disputes or infrastructure access cases resolved without formal intervention. no formal sanctions were taken.</p> <p>126 Field consents (including production, venting, and flaring) were issued</p> <p>245 Pipeline works authorisations and associated consents were issued</p> <p>88 offshore license events including relinquishments, transfers and terminations took place</p> <p>21 onshore license events including relinquishments, transfers and terminations took place</p>
Education, communications, and promotion	<p>The OGA has presented its work at various workshops and conferences including:</p> <p>IP Week, Offshore Europe, and Prospex 2019</p> <p>None of the material produced creates a new regulatory standard that businesses will be expected to follow and attendance at educational and promotional events is not compulsory.</p>

The Pensions Regulator

Exclusion category	Summary of activity
Civil Emergencies	TPR implemented temporary easements in regards of specific duties for those running a pension scheme in response to the Covid19 pandemic. The easements included pausing the requirement to report breaches of the law for trustees and administrators and for reporting the late payment of contributions to pension schemes
Fines and penalties	<p>In respect of the regulation of work-based occupational pension schemes during this reporting period:</p> <ul style="list-style-type: none"> - TPR issued 91 penalty notices. <p>In respect of the regulation of the automatic enrolment duties under the Pensions Act 2008:</p> <ul style="list-style-type: none"> - TPR issued 6,270 fixed penalty notices and 17,378 escalating penalty notices.
Casework	<p>In respect of the regulation of work-based occupational pension schemes, casework activities in this reported period included:</p> <ul style="list-style-type: none"> - 3 reports published on casework under section 89 of the Pensions Act 2004; - 86 demands for information under section 72 of the Pensions Act 2004; - TPR appointed 306 trustees to pension schemes, in accordance with their powers to do so. <p>In respect of the regulation of the automatic enrolment duties under the Pensions Act 2008 casework activity included:</p> <ul style="list-style-type: none"> - 48,890 compliance notices - 14,893 unpaid contributions notices - 48 inspections <p>During this reporting period a total of around 92,772 employers completed their mandatory declaration of compliance, to inform TPR how they have complied with their legal duties under the Pensions Act 2008.</p>

<p>Education, communications and promotion</p>	<p>During this reporting period TPR officials participated at around 29 speaking events and seminars.</p> <p>TPR carried out around 30 campaigns on various topics relating to occupational pension scheme regulation and automatic enrolment.</p> <p>TPR published a series of COVID-19 related guidance for trustees and employers between March and November 2020 That guidance provides trustees and employers with further information about how they can still comply with their duties given the challenging situation resulting from the pandemic. To this end, the guidance links to previous published guidance by TPR and does not set new standards</p> <p>TPR published specific guidance on employer distress on 11 November. The guidance aims to raise awareness among trustees of how to better prepare for the possibility that the scheme sponsoring employer faces a financial distress situation. The guidance links to previous guidance published by TPR.</p> <p>TPR updated it's guidance for trustees, employers and those considering setting up and running a DB superfund providing further clarity on the implications of the government's consultation on superfunds, and our approach to regulating such schemes prior to legislation. This was an update following discussion and engagement with superfunds and other stakeholders."</p> <p>Overall, in respect of both the regulation of automatic enrolment and work-based pension schemes TPR made 315 updates to the website.</p> <p>TPR received and processed a total of 75 complaints and 78 Freedom of Information requests. TPR reported a total of 67 data breaches to the ICO.</p>
--	--

<p>Activity related to policy development</p>	<p>TPR carried out consultations on the future of trusteeship and governance in pension schemes, guidance on engaging with investment consultants and fiduciary managers, and targeted consultation with key stakeholders for superfunds entering the occupational pension scheme market.</p> <p>TPR published a discussion document setting out its strategy for the future and seeking feedback from stakeholders. In this document TPR outlines its commitment to savers and the five strategic priorities that they have identified as their potential future focus.</p> <p>TPR published a consultation document on the proposed changes to the DB funding code. The document sets out TPR's new proposed regulatory approach, the principles TPR thinks should underpin the new framework and how they could be applied in practice.</p>
---	--

Payment Systems Regulator (PSR)

Exclusion category	Summary of activity
Casework	PSR undertook reporting activity for the regulated payment systems and banks against the applicable General and Specific Directions as well as the Payment Account Regulations 2015.
Education, communications and promotion	PSR undertook communications and stakeholder management activity as part of fulfilling its role, and in relation to particular projects, including holding stakeholder meetings, workshop and publishing information. None of the information produced created any new regulatory standards that business will be expected to follow.
Activity related to policy development	<p>A series of amending directions have been published during the relevant reporting period, specifically:</p> <ul style="list-style-type: none"> Specific Direction 10 (Confirmation of Payee) (Varied February 2020) General Direction 4: Service-user interests (interbank payment systems) RP20/1 – Our final revised ‘day one’ Directions and response to consultation General Direction 1: Cooperative relationships with the PSR (2020) General Direction 2: Access (FSBRA) (2020) General Direction 3: Access (PSRs 2017) (2020) General Direction 4: Service-user interests (interbank payment systems) (2020) General Direction 5: Conflict of interest (FSBRA) (2020) Specific Direction 1: Access (sponsor banks) (2020)
Changes to management of regulator	PSR appointed Genevieve Marjoribanks as new Head of Policy.

Rural Payments Agency (RPA)

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

Security Industry Authority (SIA)

Exclusion category	Summary of activity
Civil Emergencies	The SIA changed the processes for the verification of applicants' identity, and the conducting of criminal records checks, in response to challenges arising from the Covid-19 pandemic. The SIA also made temporary changes to the Approved Contractor Scheme, e.g. giving an option of paying fees by instalments, allowing ACS businesses to subcontract to non-ACS businesses.
Fines and Penalties	From December 2019 to the end of October 2020, the SIA completed 15 prosecutions of individuals and 2 prosecutions of businesses. This resulted in £5,316 fines and Victim Surcharges, and £12,989.90 in costs. Confiscations in cases brought by the SIA under the Proceeds of Crime Act 2002 (POCA) between Dec 2019 - Oct 2020 totalled £44,215.
Casework	From 1 January to 2 November 2020, the SIA made approximately 84,300 licensing decisions, of which approximately 83,000 were decisions to grant a licence. It also suspended 456 licences and revoked 475 licences. As of 31 October 2020, the SIA was conducting 74 criminal investigations, involving 75 businesses and 171 individuals. It also had 198 intervention cases (non-criminal regulatory enquiries into businesses or individuals) underway.
Education, communications and promotion	<p>The SIA sends out a monthly e-newsletter to a distribution list of approximately 16,000 people, and sends out its monthly ACS Update e-newsletter to just over 1,000 Approved Contractors. In addition, the SIA is active on Facebook, Twitter and LinkedIn. For the period 13 December 2019 to 31 October 2020, the SIA website had 1,119,159 users and 5,629,355 page views.</p> <p>SIA regional teams work on an ongoing basis with the police, agency partners and charities on a variety of key awareness-raising initiatives.</p> <p>The SIA issued two pieces of guidance on SIA licensing requirement in particular contexts. One related to queue management (e.g. at supermarkets), and the other related to fire watch services.</p>
Activity related to policy development	<p>A public consultation was held on a draft Code of Conduct for applicants and licence holders. This draft Code includes additional provisions for the controlling minds of private security businesses where they hold a licence.</p> <p>A public consultation was held on the introduction of top-up training for people holding specific SIA licences.</p>

Exclusion category	Summary of activity
Changes to management of regulator	The SIA's Chief Executive stepped down from the role in mid-October 2020. An Acting Chief Executive is currently fulfilling the role.

Sports Grounds Safety Authority (SGSA)

Exclusion category	Summary of activity
<p>Measures certified as being below de minimis (measures with an EANDCB below +/- £5 million)</p>	<p>At the request of Government, SGSA prepared two guidance documents for local authorities on how they should discharge their sports grounds safety functions in a COVID-19 context. Both guidance documents were shared in draft with relevant stakeholders and issued on 9 July 2020. No impact assessment was prepared for these guidance documents as it is anticipated that the directions they contain will not be needed for more than 12 months.</p> <p>SGSA prepared a revised document outlining how SGSA will work with clubs and local authorities in the 2020-21 season in enforcing the Government's all-seater policy. The document was shared in draft with key stakeholders in June 2020, and the final version published alongside SGSA licences in July 2020. The proposed enforcement approach is not new. Rather, it builds on the previous enforcement approach 2019-20, updating it for the new season and continuing to provide clarity and transparency on how the SGSA's statutory duties will be discharged in the context of emerging new technologies in the provision of spectator accommodation. The 20-21 document also acknowledges the current context of the COVID-19 pandemic. SGSA considers the only additional costs to clubs arising directly from the 20-21 document will be for key staff at each club (principally the CEO/Club Secretary and the Safety Officer) to familiarise themselves with the content. Based on the scale and scope of the document, and consultation feedback received, SGSA estimates that total familiarisation costs will be <£50,000.</p>
<p>Casework</p>	<p>SGSA issued 89 annual licences in July 2020, none of which contained specific licence changes.</p> <p>SGSA also issued two annual licences in September - to Brentford FC as that club was moving to a new ground at that time, and to AFC Barrow as that club was newly promoted to the English Football League.</p> <p>At the end of the reporting period two further annual licences for two other grounds were being processed.</p>
<p>Activity related to policy development</p>	<p>In August 2020 SGSA published Supplementary Guidance (SG02) to the Guide to Safety at Sports Grounds (the Green Guide) on Planning for Social Distancing at Sports Grounds, and associated SGSA Policy Guidance on regulatory controls for sport with spectators. Both pieces of guidance were in response to the Government's decision to impose social distancing as a result of the COVID-19 pandemic. No impact assessment was prepared for these guidance documents as it is anticipated that the directions they contain will not be needed for more than 12 months.</p>

<p>Changes to management of regulator</p>	<p>The reappointment process of two SGSA Board members: Dr Rimla Akhtar MBE and Janet Johnson were both reappointed for three years to October 2023</p> <p>Following the completion of two terms as SGSA Chair, Alan Coppin is due to step down in March 2021. The recruitment process for his successor commenced in November 2020, and the new Chair is due to take up post in April 2021</p>
---	---

UK Space Agency

Exclusion category	Summary of activity
Casework	<p>Nine space operators have used the optional pre-application Traffic Light licensing process (which now includes two additional questions on security). The UKSA has issued 108 Outer Space Act licences to 5 operators during the reporting period and written to 15 space operators to check they are complying with their licence conditions (no non-compliance notices issued).</p> <p>The UKSA has undertaken significant additional casework related to one operator which filed for Chapter 11 proceedings in March.</p>
Education, communications and promotion	<p>The UKSA co-chaired two Regulatory Advisory Group meetings with representatives of the space industry, which, amongst other things, discussed the merits of potential future regulatory reforms.</p> <p>The UKSA Spaceflight Programme has held four industry engagement events setting out the proposed approach to forthcoming secondary legislation to be enacted under the Space Industry Act 2018. Attendance at these events was optional and to date none of the material produced creates a new regulatory standard that businesses will be expected to follow.</p>
Activity related to policy development	<p>UKSA collaborated with the Department for Business, Energy and Industrial Strategy, the Department for Transport and Civil Aviation Authority to produce draft regulations and guidance to implement the Space Industry Act 2018 (SIA). The Government has published two statutory consultations on the proposals, which include proposals to appoint the Civil Aviation Authority as the regulator for SIA functions. DfT will own the secondary legislation once it is approved (expected to go to Parliament in 2021). UKSA and BEIS are also developing draft legislation to delegate certain Outer Space Act 1986 functions to the Civil Aviation Authority (also expected in 2021).</p> <p>The UKSA is developing more detailed policy on Constellations, In-Orbit Servicing & Manufacturing (IOSM) and Active Debris Removal (ADR) to supplement the basic enabling policy already in place for such missions. The UKSA also continues to develop its policy approach on earth observation data security, alongside the Ministry of Defence (MOD).</p>
Changes to management of regulator	<p>The UKSA has recruited a Deputy CEO for Project Delivery and appointed a new Director of Regulation over the reporting period</p>

Veterinary Medicines Directorate (VMD)

Exclusion category	Summary of activity
Casework	<p>The VMD issued 66 marketing authorisations for veterinary medicines, and 16 animal test certificates for clinical trials for veterinary medicines.</p> <p>The VMD issued 451 warning letters and 151 advisory letters relating to illegal veterinary medicines. The VMD also issued 11 seizure notices, 3 improvement notices and referred 23 cases to our investigation team for further investigation. All these cases deal with non-compliance with the Veterinary Medicines Regulations 2013 by businesses or the general public.</p> <p>The VMD carried out the following inspections:</p> <ul style="list-style-type: none"> • 41 Feed Business Operators • 119 SQP retailers • 198 Vet practice premises • 21 veterinary medicines manufacturing sites • 42 veterinary medicines wholesale dealing sites <p>The VMD issued 28,189 import certificates (certificates to authorise veterinary surgeons to import unauthorised medicines).</p> <p>None of the activities listed in this section represent a change in the burden of regulation placed on business.</p>

Mitigating disproportionate impacts on smaller businesses

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

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

Department / Regulator	Title of measure in IA	Description of mitigating action
Employment Standards Agency	Agency Worker (Amendment) Regulations 2019	The measure removes an 'opt out' option whereby agency workers are able to opt out of their right to pay equal to permanent workers after twelve weeks in the same assignment. Government produced guidance to help businesses and workers prepare for the introduction of the measure. Government also left several months between the measure's passage through Parliament and coming into force date to allow business to prepare.
BEIS	Corporate Insolvency and Governance Bill	<p>Suspension of Ipso Factor clauses is a temporary measure and small company suppliers will be exempt from the requirement during the Covid-19 emergency.</p> <p>Company Moratorium changes: the risks to creditors, including small company creditors, will be mitigated in two ways. Firstly, when a company enters the moratorium, they will be obliged to meet ongoing trading costs and debt obligations during the moratorium. Secondly, if a company exits a moratorium and subsequently enters administration or liquidation, any unpaid moratorium costs will enjoy super-priority.</p> <p>Restructuring Plan changes: The measure is expected to almost always be proposed by the company, meaning that costs associated with the measure would be a choice for small and micro businesses</p>
HMT	The Money Laundering and Terrorist Financing (Amendment) Regulations 2019	The aim of the proposed legislative changes is to deter crime and terrorism by making it more difficult for criminals to benefit from the proceeds of their crime and easier to detect and investigate criminal or terrorist abuse of the financial system. The Treasury approved guidance containing detailed and accessible information on compliance requirements. The guidance has legal status and notably aims to help small and micro-businesses understand and comply with their obligations.
Gambling Commission	Extending the ban on the acceptance of credit card payments for gambling - BIT	Extension of the ban on acceptance of credit card payments to include remote gambling businesses where gambling is undertaken via remote communications, such as via the internet, an app on a tablet or mobile phone, interactive TV or placing a bet via telephone. The ban was not applied to society lotteries that only accept payment in a face-to-face capacity. Most land-based gambling businesses were already subject to restrictions on credit card payments, and dialogue with the betting industry showed that the impact of the new measure would be negligible.

Department / Regulator	Title of measure in IA	Description of mitigating action
Environment Agency (EA)	Incinerator Bottom Ash Aggregate - Regulatory Position Statement RPS206	In September 2017, the EA published a regulatory position statement covering the use of unbound municipal incinerator bottom ash aggregate in construction activities. Regulatory position statements set out how Government intend to regulate a particular activity for a set period, for example, until regulations are brought in or changed, or when a legislative review is completed. There are three principal companies involved in incinerator bottom ash aggregate production and who use the Regulatory Position Statement. There are no impacts on small and micro-businesses.

This publication is available from: www.gov.uk/beis

If you need a version of this document in a more accessible format, please email enquiries@beis.gov.uk. Please tell us what format you need. It will help us if you say what assistive technology you use.