

Table 1: Basic performance management dataset

Authorisation	
Applications	<ul style="list-style-type: none"> • Number of authorisations processed for <ul style="list-style-type: none"> ○ authorised persons ○ entities ○ licensed bodies • The outcomes of the applications for <ul style="list-style-type: none"> ○ authorised persons ○ entities ○ licensed bodies • The types of application (initial and renewal) for <ul style="list-style-type: none"> ○ authorised persons ○ entities ○ licensed bodies
Appeals	<ul style="list-style-type: none"> • Number of appeals received and concluded • Number of appeals where a decision has been made to overturn the initial decision and new information has been presented • Number of appeals where a decision has been made to overturn the initial decision, where no new information has been presented (all of the above broken down per type of applicant).
Timeliness	<ul style="list-style-type: none"> • From date of completed application: <ul style="list-style-type: none"> ○ median time taken ○ longest time taken ○ shortest time taken. • From the date of completed appeal lodged <ul style="list-style-type: none"> ○ median time taken ○ longest time taken ○ shortest time taken.
Supervision: given the significant differences in approaches to this area of work, we will consider the metrics to be collected with each of the regulators. As a minimum, the metrics will need to cover delivery against planned activity and timeliness.	
Enforcement	
Caseload	<ul style="list-style-type: none"> • Number of open cases at the time of the return
Timeliness	<ul style="list-style-type: none"> • From receipt of initial complaint to the interim order decision: <ul style="list-style-type: none"> ○ number of cases considered

	<ul style="list-style-type: none"> ○ median time taken ○ longest time taken ○ shortest time taken. ● From receipt of initial complaint to the final first stage Committee/Case Examiner decision (in all case types): <ul style="list-style-type: none"> ○ number of cases considered ○ median time taken ○ longest time taken ○ shortest time taken. ● From final first stage Committee/Case Examiner decision to final disciplinary hearing decision (in all case types): <ul style="list-style-type: none"> ○ number of cases considered ○ median time taken ○ longest time taken ○ shortest time taken. ● From receipt of initial complaint to the final decision (in all case types): <ul style="list-style-type: none"> ○ number of cases considered ○ median time taken ○ longest time taken ○ shortest time taken.
Decision type	<ul style="list-style-type: none"> ● Number of cases where a decision to conclude the case has been agreed (i.e. consensual disposals or regulatory settlement agreements) ● From receipt of initial complaint to the final decision for regulatory settlement and consensual disposals: <ul style="list-style-type: none"> ○ median time taken ○ longest time taken ○ shortest time taken.
Appeals	<ul style="list-style-type: none"> ● Number of appeals (in all case types): <ul style="list-style-type: none"> ○ outstanding ○ where decision was overturned ○ where decision was upheld ○ settled by consent.
Governance and leadership	
Organisational health	<ul style="list-style-type: none"> ● Staff turnover for those dedicated to regulatory activity for the financial year compared to the previous year.
Complaints	<ul style="list-style-type: none"> ● Number of justified complaints about the regulator ● The subject matter of the justified complaint against the regulator ● The timeframe for conclusion of the complaint resolution
Business planning	<ul style="list-style-type: none"> ● Number of planned business activities not completed within agreed timetable