

APPENDIX 11.1

Actions for CRL arising from the RPA 2022

	Theme	Issues	Actions	Responsibility	Progress
1	Introduction of new standards	How old framework maps to existing standards and CRL's view of compliance with the new standards	<ul style="list-style-type: none"> Mapping old framework to new requirements 	DoG	<ul style="list-style-type: none"> Completed 01/2023, though limited benefit
			<ul style="list-style-type: none"> Keeping records against new requirements to ensure compliance or working towards compliance and report at each Board meeting via DoG report 	DoG	<ul style="list-style-type: none"> LSB Sourcebook re-purposed as record linking to evidence of compliance with new requirements – complete 01/2023
2A	Transparency	Publication of Board papers	<ul style="list-style-type: none"> Write February Board papers and minutes in line with assumption of publication unless for a reason outlined on the agenda 	All	<ul style="list-style-type: none"> Completed 02/2023
			<ul style="list-style-type: none"> Publish CRL Business Plans, Risk Heat map and revised performance data and update after each Board meeting 	COO	<ul style="list-style-type: none"> To complete after February Board meeting, and then update following each subsequent Board meeting - continuing
2B		Board papers consider resourcing and regulatory objectives	<ul style="list-style-type: none"> Update template for Board to include impact on regulatory objectives 	COO	<ul style="list-style-type: none"> Completed – 01/2023
			<ul style="list-style-type: none"> Resourcing is already included in the impact assessment – include impact assessment on all papers 	COO	<ul style="list-style-type: none"> Completed – 01/2023

3A	Regulatory approach	Rule change applications require additional information on evidence base and understanding of current regulatory approach/ future approaches	<ul style="list-style-type: none"> • Create end-to-end policy document setting out actions required to complete rule changes 	COO	<ul style="list-style-type: none"> • In progress – to complete Q2 2023
			<ul style="list-style-type: none"> • Amend template for submission to LSB 	COO/DoO	<ul style="list-style-type: none"> • Template to be reviewed and amended as preliminary to next rule change application – to complete Q2 2023
			<ul style="list-style-type: none"> • Amend QA approach to include more challenge in relation to changes to regulatory approach 	DoG/COO	<ul style="list-style-type: none"> • To complete Q3 2023
			<ul style="list-style-type: none"> • Review other rules changes submissions from other regulators and learn from successful submissions 	DoG/COO	<ul style="list-style-type: none"> • To complete Q3 2023
3B		LSB statements of policy	<ul style="list-style-type: none"> • Include in our policy document and in impact assessment table for Board papers to ensure they are also discussed as part of the impact assessment of the Board papers 	COO	<ul style="list-style-type: none"> • Completed 01/2023
3C		Evaluation and monitoring of rules changes	<ul style="list-style-type: none"> • Review all historic rules reviews and create a schedule for evaluation and monitoring as well as publication of results 	DoO/COO	<ul style="list-style-type: none"> • To completed Q2 2023
			<ul style="list-style-type: none"> • Remote hearings data collection 	DoO	<ul style="list-style-type: none"> • To be incorporated into Enforcement Annual Report 2023 onwards

			<ul style="list-style-type: none"> • QE data collection 	DoO	<ul style="list-style-type: none"> • To be incorporated into Admissions & Licensing Annual Report 2023 onwards
			<ul style="list-style-type: none"> • Effectiveness of consumer empowerment objectives 	DoG	<ul style="list-style-type: none"> • To complete Evaluation Q3 2023
4	Enforcement	Based on reading of assessment of other regulators, review the potential for issues to be identified and addressed prior to any external assessment by the LSB as part of its business plan	<ul style="list-style-type: none"> • Continue with reducing old and serious complaints, including: <ul style="list-style-type: none"> ○ drafting a policy to formalise approach ○ creating a regular scheduled review of cases on hold ○ keeping complainants informed ○ understanding and managing backlogs 	DoO	<ul style="list-style-type: none"> • Agree policy Q2 2023
			<ul style="list-style-type: none"> • Review KPIs to ensure they remain fit for purpose 	DoO/COO	<ul style="list-style-type: none"> • To complete Q2 2023
			<ul style="list-style-type: none"> • Utilising risk matrices to inform prioritisation of complaints 	DoO/COO	<ul style="list-style-type: none"> • Process actioned Q1 2023
			<ul style="list-style-type: none"> • Publication of information on treatment of enforcement cases for benefit of consumers and the regulated community – ensure it is user friendly and 	DoO	<ul style="list-style-type: none"> • To complete Q1 2023

			outcomes-focused and includes indicative timescales		
			<ul style="list-style-type: none"> Progress the planned enforcement rules review set out in the business plan 	DoO	<ul style="list-style-type: none"> Handbook to be drafted Q4 2023
5	Consumer		<ul style="list-style-type: none"> Review consumer information on others' websites to inform CRL's approach 	DoG	<ul style="list-style-type: none"> To complete Q2 2023

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