

Non-qualifying Regulatory Provisions Summary Reporting Template

Regulator: Regulatory Delivery

Business Impact Target Reporting Period Covered: April 2016 to March 2017

Excluded Category*	Summary of measure(s), including any impact data where available**
A – EU and International	
B – Economic Regulation	
C – Price Control	
D - Civil Emergencies	
E – Fines and Penalties	<p>Regulatory Delivery is responsible for the implementation and enforcement of a wide range of European Regulations and Directives, some of which are long established with high compliance levels, others in their infancy where the focus is almost exclusively on awareness raising activities.</p> <p>Where non-compliances are identified Regulatory Delivery can impose a variety of administrative, civil and criminal sanctions, and we seek to do so proportionately, depending on the nature of the offence and its impact.</p> <p>Over the past 12 months the team has issued 10 Advice Notes, 43 Warning Letters, and 14 Notices of Remedial Action. The team has also issued 3 civil sanctions; 2 Stop Notices and 1 Enforcement Undertaking. We have not initiated any criminal proceedings during this period but it should be noted that a number of cases remain under investigation.</p>
F – Pro-Competition	
G – Large Infrastructure projects	
H – Misuse of Drugs/National Minimum Wage	
I – Systemic Financial Risk	
K – Industry Codes	
L1 – Casework	<p>Much of Regulatory Delivery’s market surveillance activity is carried out on the basis of specific enforcement projects which focus on particular areas of risk. We carry out assessments in order to identify non-compliance and investigate any specific or suspected offences which come to light.</p> <p>Over the past 12 months the team has undertaken over 2000 assessments and over 200 investigations. No activities listed in this section represent a change in the burden of regulation.</p>
L2 – Education, communications and promotion	<p>Supporting the businesses we regulate in their efforts towards compliance is a core priority for the team, especially as much of the legislation that we enforce is of a technical nature. Awareness raising activities range from hosting workshops and seminars to attending trade shows, answering enquiries and engaging</p>

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	<p>with trade bodies. No changes have taken place to the level of regulatory requirements placed on business as a result of these activities.</p> <p>Over the year we have answered 651 enquiries from industry, and attended 187 seminars, exhibitions, trade shows and individual support focussed meetings.</p>
L3 – Activity related to policy development	<p>Regulatory Delivery Enforcement does not actively develop policy. We do however work closely with the policy leads in each of the legislative areas in which we operate to ensure that policy thinking and development is informed by enforcement and implementation related issues. In this reporting period our interactions with policy leads have involved sharing expertise around the potential implications of EU Exit, as well as on impact assessments of changes to the regulations that we enforce, but where policy responsibility lies elsewhere.</p>
L4 – Changes to management of regulator	<p>Regulatory Delivery was created in April 2016 and since then a comprehensive review of team structure and approach to enforcement has been carried out. This work is ongoing and is likely to yield further qualifying measures in the 2017/2018 reporting period.</p>

*Delete categories that do not apply in the reporting period

** For certain excluded categories - such as A, B, C, F and I, it is good practice to provide narrative description of any significant measures. This will help provide greater transparency and assurance that BIT exclusions are being applied consistently and appropriately