

MODERN REGULATOR IMPROVEMENT TOOL: A SUMMARY

A tool for assessing organisational maturity against the qualities of a Modern Regulator

Problem Solving Approach

A way of resolving specific complex or complex problems by rearranging effort, skills and resources around the problem itself rather than through traditional functional structures. It is often associated with agile project management styles and concepts of double loop learning.

Risk based compliance planning

Mechanisms to allocate regulatory effort and response based on an assessment of the regulator's risk appetite, characteristics of the regulated community etc. This may include annual planning mechanisms, assessment frameworks or other systems to apportion and track effort.

Corporate Plan and Contribution

A corporate plan that articulates the organisation's goals, objectives and future work activities.

'Contribution' describes the regulator's ability to link its goals, objectives and activities with the government's agenda.

Stakeholder & Community Engagement

The regulator's ability to bring stakeholder and community voices into decisions that affect or interest them. This can involve different levels of engagement. The types of engagement can include: inform, consult, involve, collaborate and empower.

Regulatory Philosophy & Approach

The regulator's ability to clearly articulate and apply the theory that acts as a guiding principle for the way it regulates; how it will approach its role as a regulator and use its powers to regulate, and the factors that the regulator takes into consideration when responding to any identified non-compliance or harm.

Culture and Leadership Focus

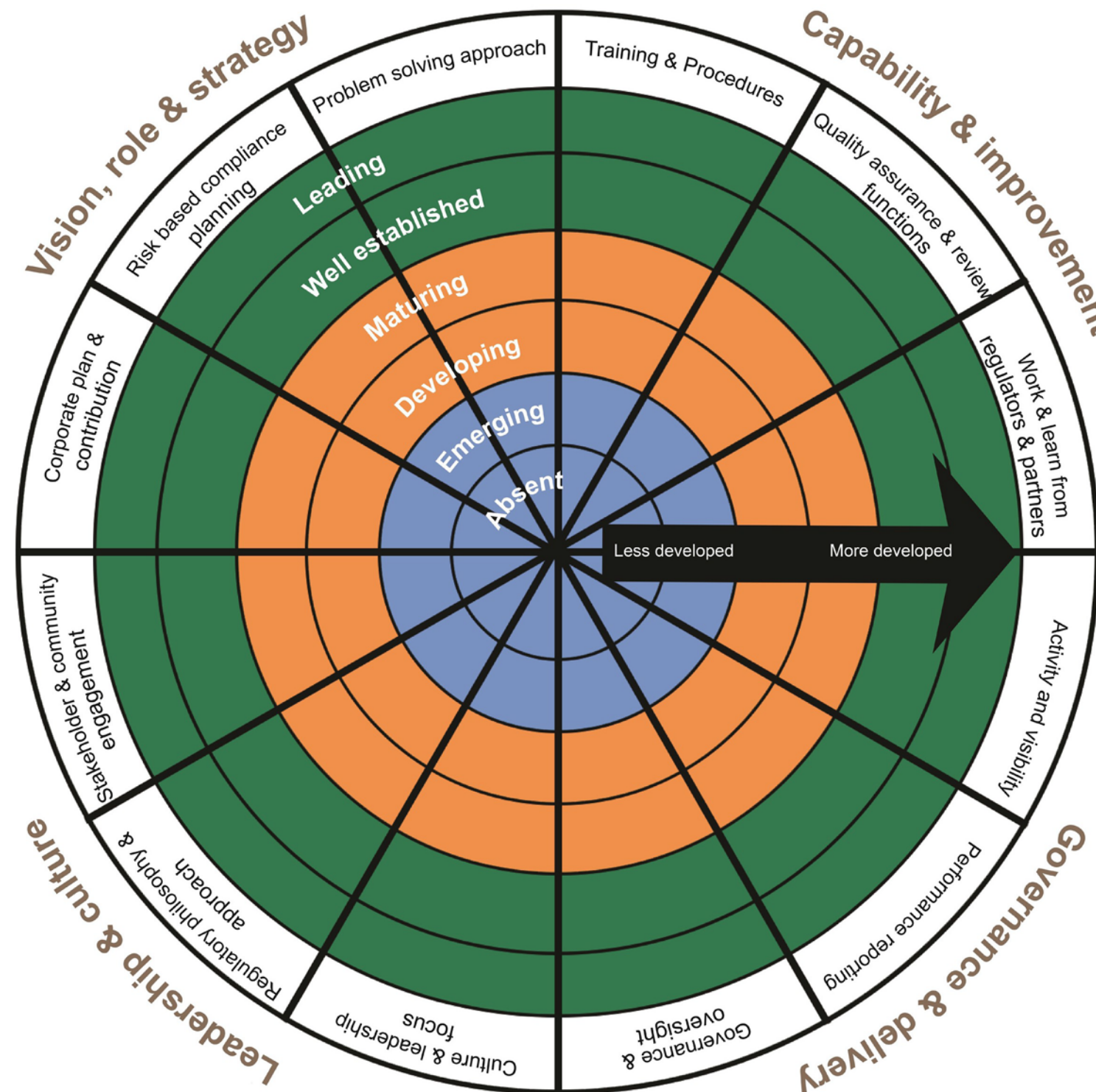
The regulator's expectations, experiences, philosophy, and values that hold it together (culture) and the regulator's ability to establish a clear vision, share that vision with others and coordinate and balance the conflicting interests of all members and stakeholders (leadership).

You can find the complete tool in the AELERT Resource Library: AELERT.NET/RESOURCES

The MRIT is a tool that is intended to allow AELERT members to identify their strengths and areas for improvement against the qualities of a modern regulator as identified in the statement of better regulatory practice. It is not intended to be a precise tool (it is qualitative rather than quantitative). Rather, it is designed to provide a useful way for regulators to assess where they are on their journey towards being a modern regulator.

Members can use the tool to assess those areas where they can celebrate success, and to identify areas on which they may wish to focus their future development activities.

Members are also encouraged to submit their assessments to AELERT, so that we can identify leading agencies in each of the attributes and link them up with other agencies that wish to develop in that attribute.



Training and Procedures

How the regulator ensures that it has the requisite combination of skills and competencies to achieve its regulatory role and organisational priorities (training).

The procedures and policies used to reinforce expected behaviours and to support staff to achieve the organisation's objectives (procedures).

Quality assurance & review functions

Initiatives that support operational consistency, fair and unbiased decision making and continuous improvement; including internal and external mechanisms such as structured assessments and reviews, and multiple avenues within and outside the regulator for duty holders to review decisions or lodge complaints.

Learning with others

The regulator's role in learning from, and sharing information and experiences with, other regulators as part of the broader regulatory profession.

Activity and Visibility

How active the regulator is in administering its legislation/regulatory scheme, including whether it is proactive or mostly reactive, and whether it uses all measures available to it (activity).

How much the regulated and wider community are aware of the regulator's role, function and achievements.

Performance Reporting

The collection and use of information to determine whether the regulator is effective in its regulatory mission and to inform organisational decisions, and to inform the public and stakeholders about the regulator's effectiveness.

Governance & Oversight

The systems and institutions for ensuring that the regulator is well-managed, accountable, ethical and transparent.