

# Professional Development Training for Regulators

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*Report prepared by Dr Lorraine Cherney*

*for the National Regulators Community of Practice (NRCoP)*

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## Report Overview and Structure

This report is structured around the following four sections: the first section presents an overview from an environmental scan which explored the types of training and professional development opportunities that are available to regulators. This section includes a proposal on how to approach this topic by conceptualising regulatory training as *horizontal* and *vertical competencies* and using language and terminology suitable for Australian regulators. The second section presents relevant analysis from a survey of professional regulators conducted by the NRCoP in October 2020. The third section of the report briefly considers some discussions with New Zealand colleagues regarding the use of regulatory communication strategies to assist the successful implementation of training and professional development programs. The final section of this report contains the relevant Appendices for your information and reference.

<p><b><u>Environmental Scan of Professional Development and Regulatory Training</u></b></p> <p>This section of the report draws on findings from an environmental scan that explored training programs and professional training programs currently on offer to regulators. The scan considered the learning competencies, training modules and topic areas of programs, mode of delivery and training providers. Please note that the environmental scan was not a comprehensive scan of all training options available for regulators. It serves to give an indication of the types of training options available and the regulatory topics covered in the courses. This section begins by looking at training ‘competencies’ and the adoption of a tiered approach to any framework. This analysis recommends conceptualizing training competencies as horizontal competencies (thick, wide, broad) and vertical competencies (long, thin, narrow). The author has presented findings from the environmental scan of training and professional development courses in a table format, grouped under sub-headings according to whether they fall under horizontal (wide) or vertical (narrow) training. This presentation is designed to enable readers to begin thinking about regulatory training in terms of these categories of horizontal (wide) or vertical (narrow) training competencies. The full environmental scan is located at Appendix B and will serve as a useful document for anyone wishing to conduct further work in this area.</p>	pp. 4-10
<p><b><u>NRCoP Survey and Analysis</u></b></p> <p>The National Regulators Community of Practice (NRCoP) conducted a survey with their members to explore previous experiences of training, including mode of delivery; current and future training needs; and whether respondents required broad transferrable regulatory skills or workplace-specific skills. The analysis contained in this section of the report relates to findings that have implications for this project. For example, findings related to workplace specific training needs versus broad transferrable regulatory training, and findings related to training topics which could be included in a future broad based professional development training program for regulators. For your reference, the survey results are located at this location: <a href="https://www.anzsog.edu.au/regulators/tell-us-your-issues-and-challenges">https://www.anzsog.edu.au/regulators/tell-us-your-issues-and-challenges</a> and Appendix A of this report contains the full analysis of the survey findings.</p>	pp. 11-12

<p><b><u>Regulatory Communication Strategies</u></b></p> <p>The next section provides a short synopsis of discussions with New Zealand colleagues regarding the use of regulatory communication strategies to assist the successful implementation of training and professional development programs. The author was prompted to have this discussion following reading the review of the New Zealand G-Reg model by van der Heijden (2020)<sup>1</sup> who found a risk with the introductory level (core knowledge) training with regulators who were experienced or highly educated and could pre-judge this training as beneath them/their abilities. Although this was not a significant finding by van der Heijden (2020), the author considered that given the results of our NRCoP survey of regulatory practitioners revealed we have skilled and experienced regulators who are also highly educated professionals, this was an area worthy of consideration. Additionally, research from the Canadian context was also drawn upon here.</p>	pp. 13-14
<p><b><u>Relevant Appendices</u></b></p> <p>The remainder of the report is comprised of the two appendices, for you reference only. Appendix A presents analysis of findings from the survey of regulatory professions conducted by the NRCoP in October 2020. In addition to showing a strong preference for the transferrable regulatory skills training, referred to as horizontal competencies in this report, this section also presents information on the topics and training areas our regulators have identified they would like to receive training in. Appendix B presents the full environmental scan of regulatory training and professional development courses. For anyone wishing to conduct further work in this area, this appendix will be invaluable as it also contains the relevant web links for each course or provider.</p>	pp. 15-20 pp. 21-37

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<sup>1</sup> van der Heijden, J. (2020) Towards a profession of public regulation: lessons from the New Zealand G-REG Initiative.

## Professional development and training regimes on offer

An environmental scan<sup>2</sup> was conducted to explore the range of training that was currently available to regulators. Countries included in the environmental scan included Australia, New Zealand, the United Kingdom, Ireland, Canada, and the Netherlands, as well as the OECD and the WHO. Elements of training regimes canvassed included the following: type of training, modules or topics covered in any training course, format, structure, mode of delivery, and service provider. For the purposes of this document, attention has mainly been given to exploring how the courses have been structured and the modules or topics covered.

### Types of training and competencies

The following table illustrates the differences in terminology and structure in regulatory training frameworks. Training was typically categorised into groupings or levels of competencies. Typically training frameworks comprised of two sets of competencies, however, some had as many as six or seven and some had as little as only one competency.

Table 1: Competency terminology and structure

Number of competencies and terminology used						
1	2	3	4	5	6	7
Core competency						
Behavioural competency	Technical competency					
Core - foundational	Applied - role based					
Individual Skills	Specialist Competency					
Mandatory workplace competency	Core or generic competency	Role-specific or occupation related competency				
Core Knowledge	Operational Knowledge	Operational Practice	Specialised Operational Practice	Specialist Investigation Practice		
Principle: public service principle	Principle: encouraging compliance	Principle: principle of monitoring, inspection & regulation	Principle: exercising regulatory powers	Principle: natural resource mgt	Principle: undertaking inspections and monitoring	
Principle: align learning with the business	Principle: integrate learning with HR	Principle: create a learning culture	Principle: provide learning options	Principle: manage learning effectively	Principle: support application of skills in workplace	Principle: evaluate learning & development

<sup>2</sup> The environmental scan is not to be taken as a *complete* list of all training sources, regulatory topics covered nor providers of regulatory training. Rather, its purpose serves to give the reader an *indication* (rather than a comprehensive list) of the types of training on offer, range of topics covered, mode of delivery, etc.

### Horizontal Competencies

When thinking about competencies for regulators, it is useful to consider that there is a group of competencies or skills that can be applied to the work of regulators *in a general sense*. It is not difficult to imagine regulators from different domains (e.g., mine safety, education, liquor and gaming, health) sharing skill sets and competencies in the following areas: regulatory planning and design; managing a compliance program; principles of monitoring, inspection and regulation; and project management. These skills are often referred to as ‘transferrable regulatory skills’. It is helpful to think of these competencies as wide-ranging and broad in scope, in that they are applicable across multiple regulatory and policy domains, roles, and positions. For the purposes of this document, these competencies are referred to as *horizontal* (i.e., wide, broad, thick). Examples of horizontal competencies can be illustrated in the following way:

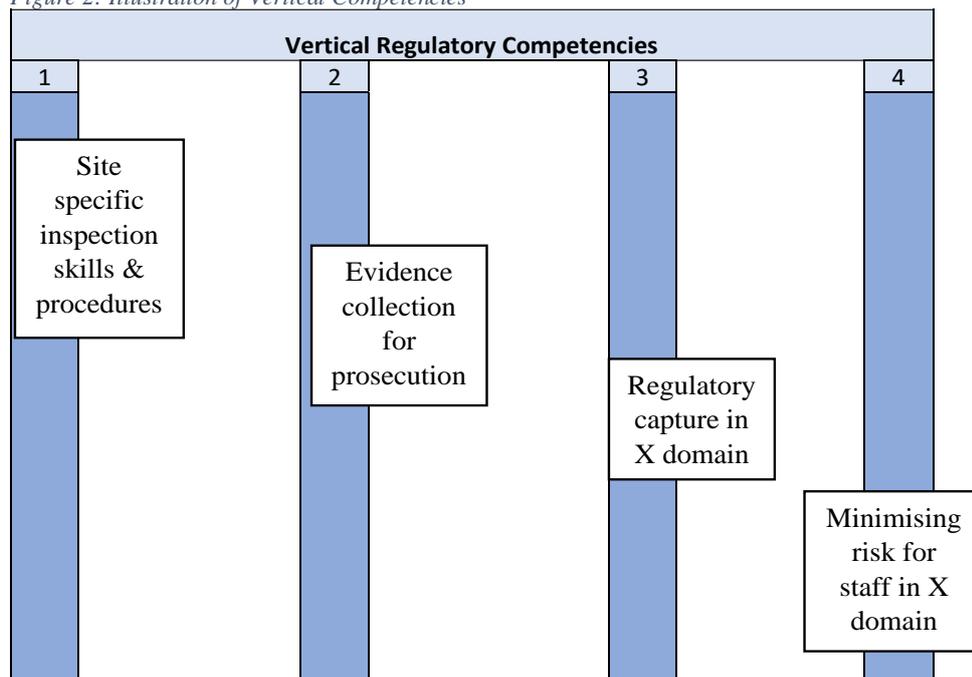
Figure 1: Illustration of Horizontal Competencies

<b>Regulatory Competency 1</b>	The A to Z of Investigations
<b>Regulatory Competency 2</b>	Fundamentals of a Compliance Program
<b>Regulatory Competency 3</b>	Stakeholder identification, engagement & management
<b>Regulatory Competency 4</b>	Regulatory approaches & frameworks

### Vertical Competencies

Regulators require role-specific or sector-specific expertise to competently carry out regulatory roles and functions. Not all regulators will require the same skill set or competencies, and needs may vary across a regulators career. These competencies may take the form of technical expertise with a certain regulatory function (e.g., ability to conduct a forensic audit), authority to operate effectively as a regulator within a certain environment (e.g., regulator requires a license to conduct his/her role) or the ability to conduct a certain type of investigation in a particular regulatory domain. It is helpful to think of these competencies as narrower in scope, in that they are targeted and specific to a role or position or require a particular technical expertise. For the purposes of this document, these competencies are referred to as *vertical* (i.e., long, thin, narrow). Examples of vertical competencies can be illustrated in the following way:

Figure 2: Illustration of Vertical Competencies



### Structure of training: a tiered approach

Typically, regulatory training or professional development courses were offered to regulators in a tiered system. The most common systems involved an introductory or mandatory beginners level training course. The next tier involved an extension or intermediate course. The final stage of training was an advanced or specialist level course. It is important to note that not all training and professional development courses followed this pattern of having a three-tiered training structure. Additionally, there is no common language in relation to the tiers or pathways. For example, in Canada the *Regulatory Career Pathway* is comprised of a five-tiered career pathway with the following terminology: rookie, novice, seasoned, senior and leader.<sup>3</sup> It is recommended that any training framework is tiered and utilises recognisable terminology suitable for *Australian regulators*. For example: introductory level, intermediate level, and advanced level.



### Modules and topic areas covered

When looking at the content of the regulatory training and professional development courses, there was a wide range of topics on offer. In certain instances, the training modules and content was specifically tailored to the regulatory domain offering the course. For example, the Queensland Department of Natural Resources and Mines *Regulatory Officer Training Framework – Student Resource Learner Guide* (2014)<sup>4</sup> is comprised of a series of learning principles, some which can be

<sup>3</sup> Canada: Competencies Framework for Career Progression in Regulation Development, See: [https://wiki.gccollab.ca/images/c/cf/Regulatory\\_Career\\_Pathway\\_-\\_EN.pdf](https://wiki.gccollab.ca/images/c/cf/Regulatory_Career_Pathway_-_EN.pdf)

<sup>4</sup> Queensland Department of Natural Resources and Mines (2014) *Regulatory Officer Training Framework – Student Resource Learner Guide* See: [https://www.dnrme.qld.gov.au/\\_data/assets/pdf\\_file/0011/1447832/16-006\\_D.pdf](https://www.dnrme.qld.gov.au/_data/assets/pdf_file/0011/1447832/16-006_D.pdf)

considered to be ‘transferrable regulatory skills’ in that they are applicable across multiple regulatory domains and roles (these competencies are referred to as *horizontal* in this document). For example, Principles of Monitoring, Inspection and Regulation; Government structure and regulatory functions; and Exercise Regulatory Powers.

The resource guide also has a set of learning principles that are tailored to the regulatory domain of natural resources and mines and the regulatory officers who work there (these competencies are referred to as *vertical* in this document). For example, Natural Resource Management; Vegetation Management; and DNRM officer’s strategic role. As such, the DNRM *Regulatory Officer Training Framework – Student Resource Learner Guide* can be considered to have both horizontal competencies (i.e., those that are applicable across other domains and roles) and vertical competencies (i.e., targeted/specific capabilities for the regulatory context and DNRM staff).

The following table presents data from the environmental scan of regulatory training and professional development courses. The table is structured in the following manner: it groups *like* or *similar* modules and topics together (e.g., using topic sub-headings) and assigns these to horizontal (wide) or vertical (narrow) training competencies. A generic ‘X’ is used to denote that the training should be tailored for a particular regulatory agency or domain.

Table 2: Modules and topic areas covered in training courses<sup>5</sup>

<p style="text-align: center;"><b>HORIZONTAL</b> Thick, cross-boundary competency. Applicable across multiple regulatory and policy domains, roles, and positions. Transferrable regulatory skills.</p>	<p style="text-align: center;"><b>VERTICAL</b> Narrow in scope. Specific to an industry, policy domain or related to a technical capability.</p>
<p><b>Regulation 101</b></p> <ul style="list-style-type: none"> <li>• The regulation-making process and the regulatory life cycle</li> <li>• Instrument choice</li> <li>• Compliance and enforcement</li> <li>• Performance measurement</li> </ul>	<p><b>Evidence</b></p> <ul style="list-style-type: none"> <li>• Undertake evidence gathering - interviewing</li> <li>• Undertake evidence gathering - documents</li> <li>• Manage evidence</li> <li>• Analyse evidence and data findings</li> <li>• Manage witnesses</li> <li>• Undertake proceedings - criminal</li> <li>• Undertake proceedings – civil</li> <li>• Undertake proceedings - administrative</li> </ul>
<p><b>Legislation 101</b></p> <ul style="list-style-type: none"> <li>• Basic legal framework and terminology</li> <li>• Legislation and common law: jurisdiction or regulatory domain specific</li> <li>• Working effectively with lawyers</li> <li>• Your remit and your powers</li> <li>• Handling a case</li> <li>• Your organisation and the law</li> </ul>	<p><b>Data collection &amp; Mgt:</b></p> <ul style="list-style-type: none"> <li>• Competency: X’s data strategy and context</li> <li>• Competency: data resources and analysis capabilities</li> <li>• Apply X project methodologies</li> <li>• Collect data</li> <li>• Analyse data in X domain and communicate findings</li> <li>• Apply data collection and governance principles</li> <li>• Explore data and critically assess quality and fitness for purpose</li> </ul>

<sup>5</sup> Data contained in this table is drawn from the environmental scan of regulator training and professional development – see Appendix B for further details.

<p><b>Regulatory Mgt:</b></p> <ul style="list-style-type: none"> <li>• Demonstrate regulatory professionalism and confidence</li> <li>• Analyse business models</li> <li>• Develop and apply effective supervision and surveillance strategies</li> <li>• Apply behavioural science principles to regulatory work</li> <li>• Develop regulation and regulatory policy</li> <li>• Measure success of regulatory actions</li> <li>• Develop regulatory professionalism</li> <li>• Develop learning agility</li> <li>• Build effective communication skills</li> <li>• Develop technological adeptness</li> <li>• Build business skills</li> <li>• Develop skills in leading others</li> </ul>	<p><b>Principles of Monitoring, Inspection and Regulation in X domain</b></p> <ul style="list-style-type: none"> <li>• Monitoring, auditing and inspection to support compliance in X domain</li> <li>• The fundamentals of monitoring, auditing and inspection</li> <li>• What to monitor, inspect or audit</li> <li>• Monitoring, auditing and inspection and the laws of evidence</li> </ul>
<p><b>Regulatory Planning and Design</b></p> <ul style="list-style-type: none"> <li>• Developing and implementing a risk-based framework</li> <li>• Identify the problem and options for an appropriate response</li> <li>• Regulatory design - application of regulatory theory to achieve a particular policy outcome.</li> <li>• Stakeholder engagement and relationship management</li> <li>• Design strategies to support compliance and address non-compliance</li> </ul>	<p><b>Undertake Inspections and Monitoring</b></p> <ul style="list-style-type: none"> <li>• Operating in your regulatory environment</li> <li>• Conducting inspections or monitoring activities in X domain</li> <li>• Reporting on inspection activities</li> <li>• Determining an appropriate response to non-compliance</li> <li>• Managing threats in the regulatory environment</li> <li>• Threat, risk and safety assessment</li> </ul>
<p><b>Understanding your regulatory environment</b></p> <ul style="list-style-type: none"> <li>• Regulatory approaches and impact analyses</li> <li>• Achieving behavioural change by regulation</li> <li>• Risk assessment and management</li> </ul>	<p><b>Risk &amp; Harm:</b></p> <ul style="list-style-type: none"> <li>• Identify the key regulatory harms and solutions in X domain</li> <li>• Respond effectively to regulatory harms</li> <li>• Apply relevant/specific/tailored team inspection and surveillance methodologies and processes</li> <li>• Exercise regulatory professionalism, judgement and skill</li> <li>• Analyse indicators of culture</li> <li>• Provide forensic accounting services and support enforcement teams</li> <li>• Forensic specialists (e.g., computer forensics and forensic accounting)</li> <li>• Apply X compliance framework</li> </ul>
<p><b>Regulatory Implementation</b></p> <ul style="list-style-type: none"> <li>• Process and operational policy design</li> <li>• Managing Probity</li> <li>• Making evidence based regulatory decisions</li> <li>• Regulatory Information, intelligence and data management</li> <li>• Resource planning.</li> <li>• Stakeholder management and education</li> <li>• Complaints management</li> <li>• Monitor compliance</li> </ul>	<p><b>Applying &amp; Understanding Standards</b></p> <ul style="list-style-type: none"> <li>• Apply relevant Industry Standards, ethical standards, financial analytical skills, accounting requirements.</li> <li>• Apply knowledge of relevant industries to work undertaken</li> <li>• X Dept's officer's strategic role</li> </ul>

<ul style="list-style-type: none"> <li>Responding to noncompliance, significant breaches and adverse events</li> </ul>	
<p><b>Understanding how government works</b></p> <ul style="list-style-type: none"> <li>Policy and regulation</li> <li>Working with stakeholders</li> <li>Applying the Cabinet Directive on Regulation</li> <li>Understanding the roles, responsibilities and accountabilities within a regulatory context</li> </ul>	<p><b>Understanding those you regulate</b></p> <ul style="list-style-type: none"> <li>Context</li> <li>Stakeholders</li> <li>Community</li> <li>Policy / Legal Environment</li> <li>Social and Political Environment</li> <li>Community education</li> </ul>
<p><b>Project management skills</b></p> <ul style="list-style-type: none"> <li>Apply written skills</li> <li>Apply information disclosure procedures</li> <li>Working with internal stakeholders</li> <li>Working with external stakeholders</li> </ul>	
<p><b>Risk &amp; Harm:</b></p> <ul style="list-style-type: none"> <li>Identify the key regulatory harms and solutions</li> </ul>	
<p><b>Principles &amp; Indicators of good practice</b></p> <ul style="list-style-type: none"> <li>Licensing and Approvals</li> <li>Monitoring and Compliance</li> <li>Enforcement</li> <li>Advice and Guidance</li> </ul>	
<p><b>Regulatory review and reform</b></p> <ul style="list-style-type: none"> <li>Monitor and assess regulatory performance</li> <li>Adjust and improve ongoing regulatory performance</li> <li>Regulatory reform and review</li> </ul>	
<p><b>Public Service Principles</b></p> <ul style="list-style-type: none"> <li>Fundamental ethics, values and principles in the workplace</li> <li>Managing ethical decisions and unethical conduct</li> </ul>	
<p><b>Compliance</b> Encouraging Compliance</p> <ul style="list-style-type: none"> <li>Government structure and regulatory functions <ul style="list-style-type: none"> <li>The role of government</li> <li>Separation of powers doctrine</li> <li>Societal issues</li> <li>Approach to regulation</li> <li>Regulatory risks and risk-controls</li> <li>Compliance assessment methods</li> </ul> </li> </ul>	
<p><b>Exercise Regulatory Powers</b></p> <ul style="list-style-type: none"> <li>Understanding legislation and powers under enabling legislation</li> <li>Information, collection methodologies and reporting</li> </ul>	
<p><b>Inter-personal skills</b></p> <ul style="list-style-type: none"> <li>Analytical thinking</li> </ul>	

<ul style="list-style-type: none"> <li>• Strategic thinking</li> <li>• Communication</li> <li>• Working cooperatively/horizontally</li> <li>• Initiative</li> <li>• Leading and participating in teams</li> <li>• Conflict resolution</li> </ul>	
<p><b>Auditing and inspection skills</b></p> <ul style="list-style-type: none"> <li>• Scoping an audit</li> <li>• Planning</li> <li>• Information management</li> <li>• Quantitative and qualitative analysis</li> <li>• Gathering evidence</li> <li>• Preparing documents</li> </ul>	
<p><b>Team-management skills</b></p> <ul style="list-style-type: none"> <li>• Communication skills</li> <li>• Legal and criminal investigation</li> <li>• Data management</li> <li>• Public relations and media</li> <li>• Intelligence analysis</li> <li>• Regulatory Comms</li> </ul>	

## NRCoP Members and Training

The National Regulators Community of Practice (NRCoP) conducted a survey of regulatory professionals in October 2020.<sup>6</sup> For the purposes of this report, the following findings are relevant to consider:

<p>Respondents were asked to identify whether training provided for their <b>current role</b> should be <i>workplace specific</i> or incorporate <i>transferrable regulatory training</i>.</p>	<ul style="list-style-type: none"> <li>• A total of <b>40 respondents</b> indicated a preference for <b>workplace-specific training</b> (responses 1-3)</li> <li>• <b>82 respondents</b> indicated a preference for <b>transferrable regulatory skills</b> training (responses 8-10).</li> </ul>
<p>Respondents were asked to identify whether training provided for their <b>future career as a mobile, professional regulator</b> should be <i>workplace specific</i> or incorporate <i>transferrable regulatory training</i>.</p>	<ul style="list-style-type: none"> <li>• A total of <b>27 respondents</b> indicated a preference for <b>workplace-specific training</b> (responses 1-3)</li> <li>• <b>101 respondents</b> indicated a preference for <b>transferrable regulatory skills</b> training (responses 8-10)</li> </ul>

These findings indicate that for our NRCoP members (or those who responded to the survey), that in relation to their *current regulatory role*, there was a greater preference for transferrable regulatory skills. Another way of thinking about ‘transferrable regulatory skills’ is to consider these as similar to the horizontal (wide, thick, broad) training competencies that we saw from the environmental scan.

The survey also asked respondents to consider their *future training needs*. In particular, their career as a ‘*mobile, professional regulator*’. The preference for horizontal (wide, thick, broad) training competencies becomes even more important for our NRCoP members in relation to career progression.

Learning topics and subject areas identified by NRCoP members for training are similar to the subject areas and courses captured in the environmental scan. For example: Understanding how government works; Regulatory review and reform; Principles & Indicators of good practice; Project management skills; Understanding your regulatory environment; Regulatory Planning and Design; Regulatory Mgt; Regulation 101; Legislation 101.

<sup>6</sup> See Appendix A for survey analysis. The survey results are located at: <https://www.anzsog.edu.au/regulators/tell-us-your-issues-and-challenges>

Respondents who indicated a preference for **broad-based, transferable professional development**, were asked to identify learning areas and topics for training (Q.12). The most popular responses included the following:

Identified learning area / topic	%	No. of respondents
<i>Cross-cutting skills, such as introduction to administrative law, behavioural insights and regulation, regulatory data analysis and intelligence</i>	62.86%	154
<i>Regulatory decision-making: lawful, proportionate, fair and evidence-based</i>	57.96%	142
<i>Introduction to major regulatory concepts and models</i>	39.59%	97
<i>Leading and managing regulatory teams</i>	36.73%	90
<i>Novice, intermediate and advanced: Tools for supporting, risk-assessing and monitoring compliance</i>	31.69%	58
<i>Being a public-facing regulator/working with members of the public</i>	26.94%	66
<i>Implementing my organisation's strategic objectives and regulatory posture</i>	26.53%	65
<i>Broad introduction to public sector regulation and the role of public sector regulators in the landscape of government in Australia</i>	26.12%	64

Free-text responses:

- **Skills in writing** for regulatory reports and to better assist regulators influence the behaviour of regulates (i.e., legal and accurate yet influential and persuasive); written communication skills
- Managing **conflicts of interests**
- Developing **policy that works in practice** (regulation and policy)
- **Leadership** courses (e.g., aimed at Level 3 to 6 employees)
- Use of **technology** to aid the task of regulation
- **Advanced courses:** administrative law or regulatory concepts and models

## Skillful training: overcoming hurdles

In 2020, van der Heijden<sup>7</sup> conducted a review of the New Zealand G-Reg model and found there existed a risk with how the introductory level training courses, known as ‘*core knowledge*’ in the G-Reg model, could be perceived with certain groups of regulators. For example, experienced regulators who had been in their roles for an extended period of time or who were highly educated were suspicious that an introductory level (beginners) course was beneath them and their skill set.<sup>8</sup>

This is an important area to consider given the NRCoP survey of regulatory practitioners found that our members are highly experienced and highly qualified:

- 36.25%<sup>9</sup> (108 respondents) reported they had been a regulator for more than 15 years.
- A further 28.86% (86 respondents) reported being a regulator for between 5 and 10 years.
- This equates to 65.11% of all respondents having been regulators for more than five years.
- A total of 57.82% of respondents (170 respondents) hold a postgraduate qualification (e.g., postgraduate diploma, masters or doctorate).

Research from the Canadian context,<sup>10</sup> also found a need to consider missing competencies (e.g., leading regulatory teams) and ‘next steps’ of development of new competencies.

A discussion was held with New Zealand colleagues regarding their experience with implementing the G-Reg model. In particular, the author wanted to know “*what hasn’t been captured or written down?*” in relation to success and failure of the training program.

- Approximately 95% of staff have completed the introductory level training courses, known as ‘*core knowledge*’ in the G-Reg model
- It was estimated that 10% of staff initially thought this program was “beneath them”
- This 10% were identified early on, as they could have the potential to disrupt and undermine success.
- The 10% were targeted to be “brought in on the journey” early on – identify them and give them a role.
- Identify the ‘barriers’ to success: many were concerned with ‘what if I fail?’ questions. They responded with ‘we have a well-developed support network to assist you’.
- They ran “Expo” style events every 6 months (similar in style/nature to conferences) with staff presentations, workshops, events, catering, seminars and feedback sessions. These were considered ‘essential’ to drive the success of the program. Senior staff and leaders were

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<sup>7</sup> van der Heijden, J. (2020) Towards a profession of public regulation: lessons from the New Zealand G-REG Initiative.

<sup>8</sup> Although this was not a significant finding by van der Heijden (2020), the author considered that given the results of our NRCoP survey of regulatory practitioners revealed we have highly skilled and highly educated professionals, this was an area worthy of consideration in this project.

<sup>9</sup> See Appendix A for further details.

<sup>10</sup> Sharma, S. & Wildgoose, N. Regulatory Governance Initiative, No. 11, March 2010. Research Brief Publication: Core Competencies for Canada’s Regulatory Community See: [https://www.researchgate.net/publication/228125011\\_Core\\_Competencies\\_for\\_Canada's\\_Regulatory\\_Community](https://www.researchgate.net/publication/228125011_Core_Competencies_for_Canada's_Regulatory_Community)

required to attend – this set the tone and signaled that it was important for everyone. All sections of the organisation need to be involved.

- They ran a ‘Regulatory Craft Program’ (further info on this to follow, including their Comms info).
- For all new inspectors, they will be qualified in the introductory level training course (core knowledge) and the following two levels (3 levels in total) within 12 months. They are also piloting this with a small cohort of 6 staff.
- Strong indicator of success: management time for training – must be seen as a priority.

It is important to note that this account may or may not reflect the experiences of other regulators in New Zealand taking part in the G-Reg program. It is not the intention of the author to suggest that this experience is uniform or standard. It does, however, provide a valuable insight into the need to understand your regulatory staff and the ‘context’ in which you operate when attempting to implement change (in this case, a regulatory training program).

## Appendix A: Survey of Regulatory Practitioners (Analysis Report)

In October 2020 the NRCoP surveyed its members to determine the level of need for professional development and regulatory training for members. A total of 298 members completed the survey. The following document provides an analysis and overview of the survey results.

We sought to gain a greater understanding of the following areas:

- the degree of professional development and regulatory training that was currently being undertaken by departments and agencies, including mode of delivery and training provider;
- whether respondents considered that they had received sufficient training to carry out their current role, and for advancement as a ‘professional regulator’;
- whether respondents judged training should be ‘workplace specific’ (i.e., tied to their current role/position) or focused on ‘transferrable regulatory skills’;
- respondents were asked to identify priority ‘transferrable regulatory skills’ for future training and the suitability of training providers;
- respondents were asked to consider whether any future training program should fall under the Australian Qualifications Framework and the potential impact of this for their current position, promotion prospects and career mobility.

### About our Respondents

#### *Type of regulator*

Respondents identified as belonging to the following regulators: safety regulator (47 respondents); environmental regulator (42 respondents); health regulator (38 respondents); education regulator (32 respondents); and agriculture regulator (26 respondents).

#### *Experience of regulators*

The survey results reveal that our NRCoP members are experienced regulators, with 36.25%<sup>11</sup> (108 respondents) reporting they had been a regulator for more than 15 years. A further 28.86% (86 respondents) reported being a regulator for between 5 and 10 years. This equates to 65.11% of all respondents having been regulators for more than five years.

#### *Qualification of regulators*

The survey results reveal that our members are highly qualified. A total of 57.82% of respondents (170 respondents) already hold a postgraduate qualification (e.g., postgraduate diploma, masters or doctorate).

#### *Job Level and Role*

Respondents identified their current role/position as falling within the following categories:

- 21.81% (65 respondents) identified as *Officer: e.g., regulatory officer, policy officer, advisor, project officer, analyst, legal officer, investigator, program officer, inspector*
- 20.81% (62 respondents) identified as *Senior officer: e.g., senior policy officer, senior advisor, senior regulatory officer, senior project officer, senior legal officer, senior analyst, senior program officer*
- 14.43% (43 respondents) identified as *Manager: also principal policy officer*

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<sup>11</sup> All data have been taken from the following two documents: 1) Excel spreadsheet titled *NRCoP Survey of Australian Regulatory Practitioners* and 2) the associated PDF titled *Final Results\_2020\_11\_23*. This report uses the same format and style as the two original documents (i.e., percentages appear with two decimal places).

- 13.09% (39 respondents) identified as *Executive level one: e.g., director, general manager, group manager*
- 12.42% (37 respondents) identified as *Senior manager: also assistant director*

These respondents were also asked to describe their main role, irrespective of seniority. The following dot points present their most popular responses:

- 19.46% (58 respondents) identified *operational policy development and implementation/development of strategy*
- 12.08% (36 respondents) identified *inspecting, monitoring, auditing*
- 11.07% (33 respondents) identified *investigations*
- 9.40% (28 respondents) identified *policy advice to senior decision makers in department or Minister*

A total of 23 respondents (7.72%) completed the 'other' category response to this question. Following analysis of these responses, an additional three (3) respondents could be allocated to '*operational policy development and implementation/development of strategy*'; an additional four (4) respondents could be allocated to the category of '*inspecting, monitoring, auditing*'; an additional two (2) respondents could be allocated to the category of '*policy advice to senior decision makers in department or Minister*' and a new category created called '*all of the above*' comprised of five (5) respondents who considered that their role encompassed all regulatory duties described in the survey. A further two (2) respondents within the 'other' category described their roles as 'targeting/control testing' and 'evaluation'.

### Analysis of Training Provided

Respondents were asked to reflect on regulatory training and professional development opportunities. Respondents were asked to indicate their level of agreement with statements related to the amount of training that was currently provided, whether it was sufficient to do their current role; and whether the opportunities for professional development were sufficient for advancement as a 'professional regulator'. The following analysis relates to the 'strength of opinion' respondents held regarding these statements. For example, responses of 'disagree' (category 2) and 'totally disagree' (category 1) are grouped together to provide a response indicating the 'strength of negative opinion' and the responses of 'fully agree' (category 5) and 'agree' (category 4) are grouped together to indicate the 'strength of positive opinion'.

In relation to the statement "*My regulator provides all the regulatory training for me to effectively carry out my current role*" (Q.8) differences between the strength of negative and positive opinions could be detected:

- 29.69% (76 respondents) disagreed or totally disagreed with this statement
- 42.58% (109 respondents) agreed and fully agreed with this statement

In relation to the statement "*My regulator provides all the professional development required for me to advance as a professional regulator*" (Q.8), although more respondents disagreed with this statement, the difference between these two groups was not so significant:

- 37.50% (96 respondents) disagreed or totally disagreed with this statement
- 33.21% (85 respondents) agreed and fully agreed with this statement

Overall, respondents were more inclined to disagree (disagree and totally disagree) with these training statements than they were to agree (agree and fully agree) with them.

Respondents were asked to identify whether training provided for their **current role** should be *workplace specific* or incorporate *transferrable regulatory training*. Respondents indicated their responses along a line from 1 to 10, where one indicated workplace-specific training and 10 transferrable regulatory skills training. For the purposes of this analysis, responses 1-3 have been grouped together to show an indication or preference for workplace-specific training and responses 8-10 grouped together to show an indication for transferrable regulatory skills training. A total of 49 respondents did not provide an answer to this question.

A total of **40 respondents** indicated a preference for **workplace-specific training** (responses 1-3) whereas **82 respondents** indicated a preference for **transferrable regulatory skills** training (responses 8-10) in relation to their **current role**.

Respondents were asked to identify whether training provided for their **future career as a mobile, professional regulator** should be *workplace specific* or incorporate *transferrable regulatory training*. Respondents indicated their responses along a line from 1 to 10, where one indicated workplace-specific training and 10 transferrable regulatory skills training. For the purposes of this analysis, responses 1-3 have been grouped together to show an indication or preference for workplace-specific training and responses 8-10 grouped together to show an indication for transferrable regulatory skills training. A total of 49 respondents did not provide an answer to this question.

A total of **27 respondents** indicated a preference for **workplace-specific training** (responses 1-3), whereas **101 respondents** indicated a preference for **transferrable regulatory skills** training (responses 8-10) in relation to their **future career as a mobile, professional regulator**.

Respondents who indicated a preference for broad-based, transferable professional development, were asked to identify learning areas and topics for training (Q.12). The most popular responses included the following:

- 62.86% (154 respondents) identified *Cross-cutting skills, such as introduction to administrative law, behavioural insights and regulation, regulatory data analysis and intelligence*
- 57.96% (142 respondents) identified *Regulatory decision-making: lawful, proportionate, fair and evidence-based*
- 39.59% (97 respondents) identified *Introduction to major regulatory concepts and models*
- 36.73% (90 respondents) identified *Leading and managing regulatory teams*
- 31.69% (58 respondents) identified *Novice, intermediate and advanced: Tools for supporting, risk-assessing and monitoring compliance*
- 26.94% (66 respondents) identified *Being a public-facing regulator/working with members of the public*
- 26.53% (65 respondents) identified *Implementing my organisation's strategic objectives and regulatory posture*
- 26.12% (64 respondents) identified *Broad introduction to public sector regulation and the role of public sector regulators in the landscape of government in Australia*

A number of respondents provided free-text responses and suggestions for training which included the following:

- **Skills in writing** for regulatory reports and to better assist regulators influence the behaviour of regulates (i.e., legal and accurate yet influential and persuasive); written communication skills
- Managing **conflicts of interests**
- Developing **policy that works in practice** (regulation and policy)
- **Leadership** courses (e.g., aimed at Level 3 to 6 employees)
- Use of **technology** to aid the task of regulation
- **Advanced courses:** administrative law or regulatory concepts and models

#### *Training Providers*

Respondents were asked to consider the suitability of the following groups/organisations to provide professional education and training: the university sector; vocational educational (e.g., TAFE); ANZSOG; professional training service/consultant; and a professional association (e.g., CPA Australia). Respondents were asked to indicate their preference for each provider along a line from 1 to 5, where one indicated 'most preferred' and 5 their 'least preferred' provider. For the purposes of this analysis, responses 1-2 and 4-5 have been grouped together to show the strength of opinion in relation to preferred educational provider. A total of 64 respondents did not provide an answer to this question.

**ANZSOG** was ranked the **most preferred educational provider**, with 70.51% (165 respondents) ranking it as 1 or 2 on the scale (most preferred/preferred). The university sector was the second preferred educational provider (categories 1 and 2), although receiving significantly lower preferences from respondents with 42.74% (100 respondents) ranking it as most preferred or preferred. Professional training service/consultant was the least popular (categories 4 and 5) educational provider with 56.84% (133 respondents), followed closely by vocational educational (e.g., TAFE) with 50% (117 respondents).

#### *Australian Qualifications Framework*

Respondents were asked to consider the importance of any training or professional development falling under the Australian Qualifications Framework, and the impact of this across the following three career settings/stages:

- Their ability to effectively carry out their current role;
- Their prospects for promotion within their current organisation; and
- Their career mobility.

Respondents indicated their response to this question along a line from 1 to 10, where one indicated 'not at all important' and 10 indicated 'highly important'. For the purposes of this analysis, responses 1-3 have been grouped together to show an indication or strength of opinion in relation to the Australian Qualifications Framework not being important, and responses 8-10 grouped together to show an indication for the Australian Qualifications Framework being considered important. A total of 64 respondents did not provide an answer to this question.

When looking at the strength of opinion amongst those respondents who considered that the Australian Qualifications Framework was important (i.e., responses 8 to 10), this only becomes an issue for respondents to consider when they are thinking about **career mobility** (52.59%, 122 respondents).

### *No Training Provided*

Respondents were asked to report on any regulatory training that had been provided to them within the last three years. For those respondents who reported that they had not received any training, their free-text responses were grouped into two categories: those who *explicitly stated* that they had not received any training (the hard no's) and those who *indicated* they had not received training (the soft no's). A total of 41 respondents explicitly stated that no training had been provided. Examples of these responses included 'none' and 'nil' with several people stating that they had requested training at some stage but none was provided. A total of 27 respondents were categorized as 'soft no' responses. Examples of responses included the following: training had been provided for other staff members; unsure whether they had received any training; 'very little' or 'nothing specific' in relation to training.

The following table provides a sample of responses from respondents who reported not having received any regulatory training:

<i>Focus has been on training relevant for auditors, not investigators</i>
<i>Mostly on the job, learn as you go training. Little/almost no formal regulation related training.</i>
<i>No regulatory training was provided due to lack of resources.</i>
<i>There has been limited regulatory specific training. Rather there have been legal presentations on changes in regulations and subject matter presentation on specific decisions.</i>
<i>Significant training is provided in the initial stages of an officer's career, but then senior staff are offered little to no regulatory training. The only training completed has been WHS related.</i>
<i>All in house training has been focused on broader professional skillsets (e.g. leadership) and has been face-to-face, pre COVID. The only regulatory training has been seminars and talks by industry experts (such as those ANZSOG organise). I've not done any actual training in past three years on policy or regulation.</i>

### *Training was Provided*

Those respondents who indicated that they had received regulatory training were asked to report on additional information related to the training. For example, whether the training was tailored or generic in format, delivered inhouse or externally, and whether it was delivered face-to-face or in an online format. As this question asked respondents to report on *training over the previous three years*, it is important to note that respondents could provide responses related to multiple training occurrences. For example, a respondent could provide the following response to this question: *I attended an online training on X, a face-to-face training session on Y, a Sparrow workshop, and all the NRCoP webinars.*

### *Mode of Delivery*

- 47 respondents indicated they had received online training
- 80 respondents indicated they had received face-to-face training
- 57 respondents reported their training was delivered inhouse
- 43 respondents reported their training was delivered externally
- 33 respondents reported that they had received a form of tailored training package

### *Source of Training*

- 14 respondents indicated they had received their training from a free ANZSOG or NRCoP event
- 10 respondents indicated their training was a component of a university course
- 5 respondents indicated their regulatory training was obtained at a conference

- 22 respondents indicated their training was from a Malcolm Sparrow workshop or course
- 4 respondents reported that they sought out their own training

#### *Training Topics*

An attempt has been made to classify and group the *training topics* from the free-text responses provided. However, it was not possible to allocate a training topic to every response. The following is to be used as a guide only and serves as an indication of the types of topics that were reported by respondents.

<b>Training Topic</b>	<b>No. of Respondents</b>
Investigations (including Cert IV Investigations)	40
Authorised Officer Training	10
Auditing	9
Regulation - Other Task (e.g., compliance training, investigation skills, intelligence skills, regulatory standards training, enforcement training)	52
Legislation/Regulation/Policy change or Generic training related to Law	30
Behavioral Insights	2

The following quote is from a respondent who had received training:

*In the last 3 years I have completed ANZSOG's managing regulation, enforcement and compliance program, and have participated in the Commission for Better Regulation's community of practice and various other PD*

The following two quotes are from respondents who received training; however the responses indicate a shortfall in the level or quality of the training that has been provided:

*Malcom Sparrow - three day in-service. Three years ago. since then, all training has had to be sourced by me, outside of direct support from my employer.*

*Sparrow specific presentation to my regulator. But really about the problem-solving approach and not broader craft in terms of use of tools/powers and the regulatory system. At my more senior role, it's not really possible for my org to 'provide' for my education.*

A total of six (6) respondents indicated that they were responsible (to some degree) for initiating training for themselves and/or colleagues:

*I worked with colleagues in other regulatory agencies around Australia to build a tailored training course for regulatory staff that is delivered by experienced regulatory staff and commissioners to disseminate accumulated knowledge and experiences*

*Most training for my role has happened in house via rope learning. Work is being undertaken to try and formalise this into a training package.*

*The only regulatory training I've been involved in over the last 3 years has been that which I have developed inhouse myself. Much of this has been delivered face to face but some is online and all of it has been online for the last 6 months or so.*

## Appendix B: Environmental Scan

### Australia: ASIC Accountant/Auditor Framework

type of training / terminology used:	Core capabilities (foundational) Applied capabilities (role based)
modules or topics covered in any training course:	<p>Core capabilities (foundational):</p> <ol style="list-style-type: none"> <li>1. Apply relevant Industry Standards</li> <li>2. Apply APESB ethical standards</li> <li>3. Apply financial analytical skills</li> <li>4. Apply government accounting requirements</li> <li>5. Apply knowledge of relevant industries to work undertaken</li> </ol> <p>Applied capabilities (role based):</p> <ol style="list-style-type: none"> <li>6. Apply other legislation relevant to role</li> <li>7. Provide forensic accounting services and support enforcement teams</li> <li>8. Apply relevant team inspection and surveillance methodologies and processes</li> <li>9. Apply ASIC's financial reporting and compliance framework and prepare reports for internal stakeholders</li> </ol>

### Australia: ASIC Regulatory Practice Learning Framework

type of training / terminology used:	Core capabilities (foundational): Applied capabilities (role based):
modules or topics covered in any training course:	<p>Core capabilities (foundational):</p> <ol style="list-style-type: none"> <li>1. Understand the context for financial services regulation</li> <li>2. Identify the key regulatory harms and possible solutions to address them</li> <li>3. Demonstrate regulatory professionalism and confidence</li> </ol> <p>Applied capabilities (role based):</p> <ol style="list-style-type: none"> <li>4. Respond effectively to regulatory harms</li> <li>5. Exercise regulatory professionalism, judgement and skill</li> <li>6. Analyse business models</li> <li>7. Analyse indicators of culture</li> <li>8. Develop and apply effective supervision and surveillance strategies</li> <li>9. Apply behavioural science principles to regulatory work</li> <li>10. Develop regulation and regulatory policy</li> <li>11. Measure success of regulatory actions</li> </ol>

### Australia: ASIC Data Analyst Learning Framework

type of training / terminology used:	Core capabilities (foundational) Applied capabilities (role based)
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modules or topics covered in any training course:	<p>Core capabilities (foundational):</p> <ol style="list-style-type: none"> <li>1. Describe ASIC's data strategy and context</li> <li>2. Use, at a basic level, ASIC's data resources and analysis capabilities</li> <li>3. Apply basic data analytics project methodologies</li> <li>4. Collect data</li> <li>5. Analyse data at a foundational level</li> <li>6. Communicate analytics findings</li> </ol> <p>Applied capabilities (role based):</p> <ol style="list-style-type: none"> <li>7. Select the appropriate methodology to analyse data</li> <li>8. Apply data collection and governance principles</li> <li>9. Explore data and critically assess quality and fitness for purpose</li> <li>10. Conduct advanced statistical analysis</li> <li>11. Use data programming / computational tools to analyse data</li> <li>12. Communicate the analysis of data effectively</li> </ol>
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#### Australia: ASIC Organisational Learning Framework

type of training / terminology used:	Capabilities ( <u>single level</u> )
modules or topics covered in any training course:	<p>Capabilities:</p> <ol style="list-style-type: none"> <li>1. Develop regulatory professionalism</li> <li>2. Develop learning agility</li> <li>3. Build effective communication skills</li> <li>4. Develop technological adeptness</li> <li>5. Build business skills</li> <li>6. Develop skills in leading others</li> </ol>

#### Australia: ASIC Enforcement Learning Framework

type of training / terminology used:	Core capabilities ( <u>single level</u> )
modules or topics covered in any training course:	<p>Core capabilities:</p> <ol style="list-style-type: none"> <li>1. Apply legislation, case law and ASIC policies and procedures</li> <li>2. Project manage enforcement matters</li> <li>3. Work with internal stakeholders</li> <li>4. Undertake evidence gathering - interviewing</li> <li>5. Undertake evidence gathering - documents</li> <li>6. Manage evidence</li> <li>7. Analyse evidence and data findings</li> <li>8. Manage witnesses</li> <li>9. Undertake proceedings - criminal</li> <li>10. Undertake proceedings – civil</li> <li>11. Undertake proceedings - administrative</li> </ol>

	<p>12. Apply written skills</p> <p>13. Apply information disclosure procedures</p> <p>14. Apply basic accounting principles to enforcement matters</p>
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### Australia: PC Regulator Audit Framework (2014)

type of training / terminology used:	<p>See: <a href="https://www.pc.gov.au/research/supporting/regulator-audit-framework">https://www.pc.gov.au/research/supporting/regulator-audit-framework</a></p> <p>guidance for auditing the performance of regulators in regard to the compliance costs they impose on business and other regulated entities. the framework aims to provide the basis of an ongoing process to build incentives for regulators to minimise the costs they impose on business (subject to regulatory effectiveness), and enhance their capacity to do so (P.7)</p> <p>The core of the regulator audit framework ('the framework') presented in this chapter is a set of high level principles and good practice indicators establishing the standards of behaviour expected of regulators in the way they engage and interact with businesses and other regulated entities. It is against these principles and indicators of good practice that the performance of individual regulators should be assessed. Adherence to these principles and appropriate good practices should result in regulators minimising the compliance costs they impose on businesses while still achieving the objectives of the regulation. (P.11)</p> <p>***Provides insights into how to build a framework and what indications to use/choose and how to measure X and Y.</p>
modules or topics covered in any training course:	<p>For example:</p> <p><u>Advice and Guidance</u></p> <ul style="list-style-type: none"> <li>• Principles <ul style="list-style-type: none"> <li>○ Indicators of good practice <ul style="list-style-type: none"> <li>▪ Overarching indicators: xxx</li> </ul> </li> </ul> </li> </ul> <p><u>Licensing and Approvals</u></p> <ul style="list-style-type: none"> <li>• Principles <ul style="list-style-type: none"> <li>○ Indicators of good practice <ul style="list-style-type: none"> <li>▪ Overarching indicators: xxx</li> </ul> </li> </ul> </li> </ul> <p><u>Monitoring and Compliance</u></p> <ul style="list-style-type: none"> <li>• Principles <ul style="list-style-type: none"> <li>○ Indicators of good practice <ul style="list-style-type: none"> <li>▪ Overarching indicators: xxx</li> </ul> </li> </ul> </li> </ul> <p><u>Enforcement</u></p> <ul style="list-style-type: none"> <li>• Principles <ul style="list-style-type: none"> <li>○ Indicators of good practice <ul style="list-style-type: none"> <li>▪ Overarching indicators: xxx</li> </ul> </li> </ul> </li> </ul>

### Australia: AELERT (Australasian Environmental Law Enforcement and Regulators network) Regulatory Officer Capability Framework

type of training / terminology used:	Core regulatory capabilities ( <u>five levels</u> ) Foundational; Intermediate; Adept; Advanced; Highly Advanced.
modules or topics covered in any training course:	Skill sets 5 key capabilities:

### Australia: IPAA Regulatory Professional Capability Guidance (2015)

type of training / terminology used:	See: <a href="https://www.ipaa.org.au/wp-content/uploads/2019/06/Regulatory-Professional-Capability-Guidance-2015.pdf">https://www.ipaa.org.au/wp-content/uploads/2019/06/Regulatory-Professional-Capability-Guidance-2015.pdf</a> ***Based on work conducted in Victoria by: IPAA-ANZSOG Public Sector Regulators Community of Practice (P.7) A regulatory professional needs capabilities (knowledge and skills) that they can apply across the three different phases of the regulatory cycle within the overall regulatory context: (1) Make: Planning and design (2) Operate: Implementation, and (3) Review.
modules or topics covered in any training course:	<p>1. <u>Regulatory Context</u>: Understanding the role of regulation in the implementation of policy within society. A broad understanding of how regulation achieves its goals, the basis for a regulator's authority, the tools that can be used within regulation, and the intended and unintended impacts of regulation.</p> <ul style="list-style-type: none"> <li>• Regulatory approaches and impact analyses</li> <li>• Achieving behavioural change by regulation</li> <li>• Risk assessment and management</li> </ul> <p>2. <u>Regulatory Planning and Design</u>: Apply a risk based and consultative approach to the design of a regulatory regime and the deployment of resources to achieve the strategic intent of government</p> <ul style="list-style-type: none"> <li>• Identify the problem and options for an appropriate response</li> <li>• Regulatory design - application of regulatory theory to achieve a particular policy outcome.</li> <li>• Stakeholder engagement and relationship management</li> <li>• Design strategies to support compliance and address non-compliance</li> </ul> <p>3. <u>Regulatory Implementation</u>: Implement regulatory programs to deliver the intended outcome to the appropriate standard and enable sustainable ongoing delivery</p> <ul style="list-style-type: none"> <li>• Process and operational policy design</li> <li>• Managing Probity</li> <li>• Making evidence based regulatory decisions</li> <li>• Regulatory Information, intelligence and data management</li> <li>• Resource planning.</li> <li>• Stakeholder management and education</li> <li>• Complaints management</li> <li>• Monitor compliance</li> <li>• Responding to noncompliance</li> </ul>

	<ul style="list-style-type: none"> <li>• Significant breaches and adverse events</li> </ul> <p>4. <u>Regulatory review and reform</u> Monitor and review regulation to ensure it is efficient, effective, continues to meet its objectives, is responsive to the changing market and environment and does not impose unnecessary costs on regulated entities</p> <ul style="list-style-type: none"> <li>• Monitor and assess regulatory performance</li> <li>• Adjust and improve ongoing regulatory performance</li> <li>• Regulatory reform and review</li> </ul> <p>5. <u>Professional Development and Contribution</u> to the Professional Body of Knowledge</p> <ul style="list-style-type: none"> <li>• Applicable to all regulatory professionals</li> </ul>
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### Australia – Qld Dept of Natural Resources and Mines (2014)

#### Regulatory Officer Training Framework – Student Resource Learner Guide

type of training / terminology used:	<p>See:  <a href="https://www.dnrme.qld.gov.au/_data/assets/pdf_file/0011/1447832/16-006_D.pdf">https://www.dnrme.qld.gov.au/_data/assets/pdf_file/0011/1447832/16-006_D.pdf</a>  Regulatory Officer Competency Certification (ROCC)  <u>Six Principles</u></p>
modules or topics covered in any training course:	<p>PRINCIPLE 1: Public Service Principles</p> <ul style="list-style-type: none"> <li>• Fundamental ethics, values and principles in the workplace <ul style="list-style-type: none"> <li>○ Ethical behaviour and the public service</li> <li>○ Ethics in the workplace</li> <li>○ Ethics and personal standards</li> <li>○ Accessing and using ethics legislation and guidelines</li> </ul> </li> <li>• Managing ethical decisions and unethical conduct <ul style="list-style-type: none"> <li>○ Ethical decision-making</li> <li>○ Decision-making model</li> <li>○ Reporting unethical conduct</li> </ul> </li> </ul> <p>PRINCIPLE 2: Encouraging Compliance</p> <ul style="list-style-type: none"> <li>• Government structure and regulatory functions <ul style="list-style-type: none"> <li>○ The role of government</li> <li>○ Separation of powers doctrine</li> <li>○ Societal issues</li> <li>○ Approach to regulation</li> <li>○ Regulatory risks and risk-controls</li> <li>○ Compliance assessment methods</li> </ul> </li> <li>• DNRM officer's strategic role <ul style="list-style-type: none"> <li>○ Client service approach</li> <li>○ Service delivery</li> </ul> </li> </ul> <p>PRINCIPLE 3: Principles of Monitoring, Inspection and Regulation</p> <ul style="list-style-type: none"> <li>• DNRM's Principal responsibilities <ul style="list-style-type: none"> <li>○ Natural resource management and planning</li> </ul> </li> <li>• Monitoring, auditing and inspection to support compliance <ul style="list-style-type: none"> <li>○ Monitoring, auditing and inspection fundamentals</li> <li>○ What to monitor, inspect or audit</li> </ul> </li> <li>• Monitoring, auditing and inspection and the laws of evidence</li> </ul> <p>PRINCIPLE 4: Exercise Regulatory Powers</p>

	<ul style="list-style-type: none"> <li>• Understanding legislation <ul style="list-style-type: none"> <li>○ Powers under enabling legislation</li> </ul> </li> <li>• Offences under legislation <ul style="list-style-type: none"> <li>○ Locate and interpret offence provisions</li> </ul> </li> <li>• Information, collection methodologies and reporting <ul style="list-style-type: none"> <li>○ Field operations</li> <li>○ Reporting non-compliance</li> </ul> </li> </ul> <p>PRINCIPLE 5: Natural Resource Management</p> <ul style="list-style-type: none"> <li>• Resource terminology <ul style="list-style-type: none"> <li>○ Definition by legislation</li> </ul> </li> <li>• Natural resource management <ul style="list-style-type: none"> <li>○ Assessing operational work involving natural resources</li> </ul> </li> <li>• Vegetation management <ul style="list-style-type: none"> <li>○ Natural resources and the four pillar economy</li> </ul> </li> <li>• Monitoring methodologies</li> </ul> <p>PRINCIPLE 6: Undertake Inspections and Monitoring</p> <ul style="list-style-type: none"> <li>• Operating in the regulatory environment <ul style="list-style-type: none"> <li>○ Conducting inspections or monitoring activities</li> <li>○ Reporting on inspection activities</li> <li>○ Determining an appropriate response to non-compliance</li> </ul> </li> <li>• Managing threats in the regulatory environment <ul style="list-style-type: none"> <li>○ Threat, risk and safety assessment</li> <li>○ Conflict resolution</li> </ul> </li> </ul>
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#### Australia: ANAO Audit Manual (2020)

type of training / terminology used:	See: <a href="https://www.anao.gov.au/work/audit-manual/shared-content">https://www.anao.gov.au/work/audit-manual/shared-content</a> Section 6: Human Resources
modules or topics covered in any training course:	Continuing Professional Development
format:	A minimum of 20 hours PD for staff per financial year In addition, all audit staff are required to fulfill the requirements associated with the professional bodies to which they belong
mode of delivery:	Includes: Technical training: formal presentations, conferences, technical updates, e-learning.

#### OECD Resource: Driving Performance at Ireland's Environmental Protection Agency

See: <https://www.oecd-ilibrary.org/docserver/009a0785-en.pdf?expires=1609895504&id=id&accname=ocid177546&checksum=F15E8CB883C0D2507E8AF77FBEC6348F>

See in particular Table 2.5 EPA Human Resources Development Strategic Framework 2017-2021 which sets out goals, strategic priorities and outcomes on P.72

### OECD Best Practice Principles for Regulatory Policy: The Governance of Regulators (2014)

type of training / terminology used:	See: <a href="https://www.oecd.org/gov/regulatory-policy/governance-regulators.htm">https://www.oecd.org/gov/regulatory-policy/governance-regulators.htm</a>
modules or topics covered in any training course:	<p>Good regulatory outcomes depend on more than well-designed rules and regulations.</p> <p>It seeks to construct an overarching framework to support initiatives to drive further performance improvements across regulatory systems in relation to national regulatory bodies or agencies (regulators). Efficient and effective regulators, with good regulatory management and governance practices, are needed to administer and enforce regulations. (P.3)</p> <p>There are strong links between the overarching principles of good regulation and good governance of regulators. (P.24)</p> <p>three phases of a regulatory cycle – “Make”, “Operate” and “Review” ...</p> <p>Regulators commonly carry out many of the seven generic functions in the “Operate” phase of the regulatory cycle (P.25)</p>

### Canada: Community of Federal Regulators (Canada)

<p>Community of Federal Regulators (Canada):</p> <p><a href="https://www.canada.ca/en/health-canada/corporate/about-health-canada/legislation-guidelines/community-federal-regulators.html">https://www.canada.ca/en/health-canada/corporate/about-health-canada/legislation-guidelines/community-federal-regulators.html</a></p> <p>The Community of Federal Regulators (CFR) is a partnership of federal departments and agencies that facilitates collaboration and the professional development of employees involved in regulations across the federal government.</p> <p>The CFR provides valuable resources to advance regulatory excellence through the following three strategic objectives:</p> <ul style="list-style-type: none"> <li>• Talent Management: Targeted recruitment and strengthen regulatory capacity across the system.</li> <li>• Collaboration: Connect organizations to foster collaboration and share regulatory expertise.</li> <li>• Experimentation: Increase community understanding of innovative regulatory concepts and enable their application.</li> </ul> <p><a href="https://wiki.gccollab.ca/Community_of_Federal_Regulators">https://wiki.gccollab.ca/Community_of_Federal_Regulators</a></p>
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### Canada School of Public Service

type of training / terminology used:	<p>See: <a href="https://www.cspc.gc.ca/courses">Canada School of Public Service - CSPS (cspc-efpc.gc.ca)</a></p> <p>Courses: <a href="https://www.cspc.gc.ca/courses">Courses - CSPS (cspc-efpc.gc.ca)</a></p> <p>E.g., Introduction to Regulating course (RO01) <a href="https://www.cspc.gc.ca/courses/introduction-to-regulating-001">Course Description - Introduction to Regulating (R001) (cspc-efpc.gc.ca)</a></p> <p>Regulators are responsible for understanding the federal regulating process and the policies and guidance set out by the Cabinet Directive on</p>
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	Regulation. This introductory course provides an overview of the different aspects of the regulation process, including the triage process and the requirements for the development, implementation, review and assessment of results. Participants will gain a basic understanding of the federal regulatory process and the stages of the life-cycle approach to regulating within a Government of Canada context.
modules or topics covered in any training course:	<p><b>Topics include:</b></p> <ul style="list-style-type: none"> <li>• the tools and requirements of the Cabinet Directive on Regulation</li> <li>• applying the Cabinet Directive on Regulation</li> <li>• the regulation-making process and the regulatory life cycle</li> <li>• the importance of working with stakeholders</li> <li>• roles, responsibilities and accountabilities within a regulatory context</li> <li>• Topics: How government works; Policy and regulation</li> <li>• Community: Functional specialists</li> <li>• Audience: Regulators</li> <li>• Business line: GC and Public Sector Skills</li> <li>• Provider: Canada School of Public Service</li> </ul>
structure:	<p>Learning Tools: <a href="https://www.cspc.gc.ca/learning-tools">Learning tools - CSPS (cspc-efpc.gc.ca)</a></p> <ul style="list-style-type: none"> <li>• Blogs</li> <li>• Webcasts</li> <li>• Videos</li> <li>• Job Aids</li> <li>• Library Services</li> <li>• Podcasts</li> <li>• Mobile Apps</li> </ul> <p>Learning Catalogue</p>
mode of delivery:	<p>Mode: Classroom</p> <p>Duration: 7.5 hrs</p>
service provider:	School of Public Service (Canada)

### Canada: Research Brief Publication: Core Competencies for Canada's Regulatory Community

See:

[https://www.researchgate.net/publication/228125011\\_Core\\_Competencies\\_for\\_Canada's\\_Regulatory\\_Community](https://www.researchgate.net/publication/228125011_Core_Competencies_for_Canada's_Regulatory_Community)

Sunaina Sharma and Nancy Wildgoose, Regulatory Governance Initiative, No. 11, March 2010.

A number of individual departments and agencies have already begun to introduce improvements in how they train regulators. Health Canada, for example, has identified regulators and scientists as one of the "functional communities" for which they will design core learning programs. Achieving coherence, building community, and strong, cost-effective programs demand a whole-of-government approach.

The Community of Federal Regulators (CFR) is one body that has been established to support this approach.

One of the first and arguably the most important initiatives planned is the development of Core Competencies for the Government's regulators. Recognizing that Core Competencies are in fact building blocks for the subsequent development of tools such as learning roadmaps, courses, and other modern training approaches, the CFR is giving high priority to the development of these Core Competencies.

<p>The Centre of Regulatory Expertise (CORE) in the Regulatory Affairs Sector of the Treasury Board Secretariat is another body focused on achieving increased coherence competency-based human resource management</p> <p>Definitions of Core Competencies abound but they are generally described as “characteristics of an individual which underlie performance or behaviour at work</p> <p>Competency profiling is considered to be most effective when applied in an integrated way across the entire spectrum of human resources management including selection and hiring, training and development, performance evaluation, and human resources planning</p> <p>For the regulatory community as a whole, agreement on Core Competencies holds out the promise of a stronger community, with a shared vocabulary and improved ability to work collaboratively and horizontally</p> <p>Learning and development structured around Core Competencies would contribute to a more flexible cadre of regulators in which selected members would be able to carry out a variety of regulatory functions over the course of their careers.</p> <p>Individual regulators, too, would benefit from a rational base for planning their careers. Core Competencies would help them understand the community’s requirements for the cadre, not only to understand what is required to excel in their current role, but also to plan their future careers, including their training and education progress to date on Core Competencies for the Regulatory Community.</p>	
modules or topics covered in any training course:	<p><u>Core Competencies</u></p> <p>Behavioural Competencies</p> <ol style="list-style-type: none"> <li>1. Analytical thinking</li> <li>2. Strategic thinking</li> <li>3. Communication</li> <li>4. Working cooperatively/horizontally</li> <li>5. Initiative</li> </ol> <p><u>Technical Competencies</u></p> <ol style="list-style-type: none"> <li>6. Instrument choice</li> <li>7. Compliance and enforcement</li> <li>8. Performance measurement</li> </ol> <p>(P.5)</p>
Additional info:	<p>While the introduction of Core Competencies might seem like a matter wholly internal to the Government, the private sector, universities and colleges engaged in education regulators and the broader public also has a stake in how Canada regulates and who will regulate (P.7)</p> <p><u>Missing competencies?</u></p> <ul style="list-style-type: none"> <li>• a solid understanding of both the national and international contexts within which regulatory decisions are made is fundamental</li> <li>• “enhanced competencies in the areas of promotion, persuasion, and dispute resolution consistent with the growing emphasis on instrument choice and the use of “softer” tools where possible to achieve compliance.</li> <li>• the importance of regulators being trained to lead and participate in teams. (P.8)</li> </ul> <p><u>Next Steps?</u></p> <ul style="list-style-type: none"> <li>• develop a generic regulatory process map that highlights the diverse functions of federal regulators throughout the regulatory lifecycle, to align associated competencies to specific functions identified, and to</li> </ul>

	<p>develop Learning Roadmaps (Paths) for Regulators (CHECK STATUS) (P.9)</p> <ul style="list-style-type: none"> <li>• develop additional Learning Roadmaps geared to each of the regulatory functions or “sub-communities of practice” within the federal regulatory community, such as inspectors and enforcers</li> <li>• a platform for the development of effective capacity building programs will emerge, resulting in a stronger, more cohesive regulatory community</li> </ul>
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**NZ G-Reg:**

type of training / terminology used:	<p>See: <a href="https://g-reg.govt.nz/">https://g-reg.govt.nz/</a> (five levels)</p> <p>Regulatory Compliance Qual Overview:</p> <ul style="list-style-type: none"> <li>• Core Knowledge (level 3)</li> <li>• Operational Knowledge (level 4)</li> <li>• Operational Practice (level 4)</li> <li>• Specialised Operational Practice (level 5)</li> <li>• Specialist Investigations Practice (level 6)</li> </ul>
modules or topics covered in any training course:	<p><b><u>NZ G-Reg Qualification</u></b></p> <p>See: <a href="https://g-reg.govt.nz/">https://g-reg.govt.nz/</a></p>

**NZ: Achieving Compliance: A guide for Compliance Agencies in New Zealand****Best-Practice Guide for Effective Compliance Agencies**

<p>See: <a href="https://apo.org.au/node/303500">https://apo.org.au/node/303500</a></p> <p>STAFFING THE AGENCY’S COMPLIANCE FUNCTIONS Creating and maintaining a staff that is capable of executing the agency’s compliance strategies and operational plans requires strategic planning in the human resources area. The agency’s recruitment, retention, and training programmes should be targeted at developing and maintaining the individual competencies that are essential for assessing, monitoring, and enforcing compliance. (P.118)</p> <p>The following are important individual skills for compliance staff:</p> <ul style="list-style-type: none"> <li>• <b><u>Technical skills</u></b> – Formal technical qualifications and recent industry experience build confidence that staff have the theoretical and practical skills to assess compliance fairly and to identify cost-effective improvements to the operations of those who are regulated.</li> <li>• <b><u>Audit and inspection skills</u></b> – The quality of a compliance assessment is enhanced when it is conducted by staff who have training or experience in auditing techniques. Important skills include: scoping an audit; planning; information management; quantitative and qualitative analysis; gathering evidence; and preparing documents.</li> <li>• <b><u>Team-management skills</u></b> – Skills and experience in leading multidiscipline audit/inspection teams help to maximise the contributions of each discipline and the collective output of the team.</li> <li>• <b><u>Inter-personal, cultural, and communication skills</u></b> – Well-developed oral communication and interpersonal skills enable staff to establish and maintain productive and professional relationships with the regulated sector. Good writing skills ensure that the agency’s documented decisions and formal communications with the regulated sector are clear (P.119)</li> </ul>
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Specialist competencies required:

- Risk and quality-management – The design and application of the agency’s risk- and quality-management systems and procedures are enhanced when staff have practical experience in applying the relevant national and international standards.
- Contract management – Staff with experience in handling contracts contribute to the effective management of outsourced compliance activities (discussed in the next section).
- Legal and criminal investigation – A compliance agency needs staff with appropriate legal and investigative skills to ensure that its compliance powers are exercised lawfully and that it uses sound practices for collecting evidence to support criminal prosecutions.
- Data management – Quality information is a key component of effective compliance activities (discussed in chapter 9). Staff with skills in designing and implementing data-management systems will be key members of a compliance agency.
- Public relations and media – The confidence of the agency’s stakeholders in its performance is enhanced when the agency communicates effectively with the public. Staff who are skilled in website design, public relations, and dealing with the media are central to this.
- Intelligence analysis – Regulatory intelligence will be central to a sound understanding of risk in the regulated sector and of problems and patterns to be prioritised (see 9.3).
- Forensic specialists – for example, computer forensics and forensic accounting. (P.119-120)

### **TOPRA competency framework**

Daniela Drago, Samantha Alsbury, and Tacye Connolly  
Regulatory Rapporteur – Vol 14, No 10, October 2017 ©TOPRA  
See:

[https://www.topra.org/TOPRA\\_Member/Professional\\_Development/Regulatory\\_Careers\\_Live\\_/Competency\\_framework/TOPRA/TOPRA\\_Member/CPD/Competency-framework.aspx?hkey=4fa05614-2956-49d0-ab52-a4dfa982df1c](https://www.topra.org/TOPRA_Member/Professional_Development/Regulatory_Careers_Live_/Competency_framework/TOPRA/TOPRA_Member/CPD/Competency-framework.aspx?hkey=4fa05614-2956-49d0-ab52-a4dfa982df1c)

Adopts a healthcare perspective in this publication

significant challenge of developing a skilled regulatory workforce

As the complexity of the tasks regulatory professionals face has increased, many have argued that more tools and resources should be devoted to the preparation of a new generation of regulatory professionals (P.1)

Regulatory Affairs Competency Framework:

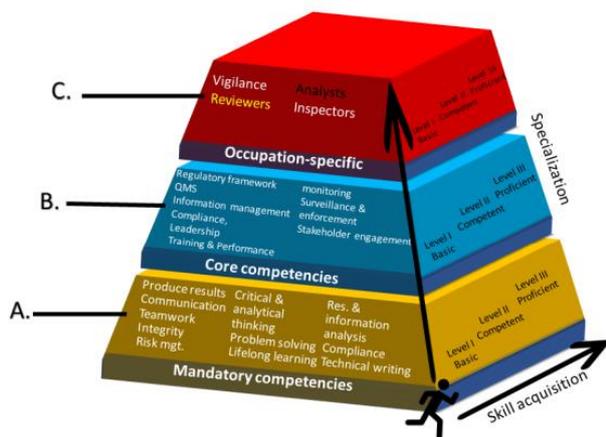
- Strategy (Competencies related to assessing information – by using an analytical thought process – and achieving a defensible conclusion)
- Communication (Competencies related to communicating with diverse populations through verbal, written and non-verbal means)
- Business and Organisational Awareness (Competencies related to the understanding of the business and/or regulatory agency’s authority, structure and activities)
- Technical (Competencies related to the regulatory oversight of healthcare products development and commercialisation)
- Core (Competencies that cut across all domains)
- Assessment Categories: Establishing; Consolidating; Driving; & Influencing

### **RAPS Regulatory Affairs Professional Society (USA)**

Framework info:	<p>Regulatory Competency Framework</p> <p>See: <a href="https://www.raps.org/careers/regulatory-competency-framework">https://www.raps.org/careers/regulatory-competency-framework</a></p> <p>Access to the RAPS Competency Framework is via RAPS for access and permission.</p> <p>***Have not been able to access this</p>
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### **WHO Framework**

Framework info:	<p>See: Towards a global competency framework for regulators of medical products WHO Drug Information, Regulatory News, Vol 33, No. 1, 2019</p> <p>See: <a href="https://www.who.int/medicines/publications/druginformation/issues/WHO-DI_33-1_Global-Framework.pdf">https://www.who.int/medicines/publications/druginformation/issues/WHO-DI_33-1_Global-Framework.pdf</a></p> <p>See: <a href="https://apps.who.int/iris/handle/10665/330894">https://apps.who.int/iris/handle/10665/330894</a></p> <p>having an internationally accepted set of competencies will maximize the benefits of collaboration and cooperation in medical product regulation working to develop a global competency framework and global curricula to support training and professional development of regulatory staff.</p>
modules or topics covered in any training course:	<p>(a) Mandatory workplace competencies: form the base of the model and provide the foundation for success in a regulatory work environment and are essential to perform the specific regulatory work functions</p> <p>(b) Core or generic competencies: are specific to the regulation of medical products and cut across all the regulatory functions. This is important to support the development of an agile workforce and facilitate movement not only between regulatory functions, but also between sectors, e.g., from industry to government and vice versa.</p> <p>(c) Role-specific or occupation-related competencies: initially defined for analysts, reviewers/assessors, inspectors and vigilance personnel.</p> <p>The framework defines the specific work functions (tasks/roles), underlying knowledge, and the skills or abilities to perform the detailed tasks/ roles for the core and role specific competencies.</p> <p>three stages of professional development or proficiency levels adapted from the five-stage model of skill acquisition</p>



(Ref: Figure 8, P. 8 [https://www.who.int/medicines/publications/druginformation/issues/WHO-DI\\_33-1\\_Global-Framework.pdf](https://www.who.int/medicines/publications/druginformation/issues/WHO-DI_33-1_Global-Framework.pdf) )

**BUILDING CAPABILITY A framework for managing learning and development in the APS (2003)**

<p>Framework info:</p>	<p>See: A framework for managing learning and development in the APS                  See: <a href="https://www.apsc.gov.au/building-capability-framework-managing-learning-and-development-aps">https://www.apsc.gov.au/building-capability-framework-managing-learning-and-development-aps</a>                  The purpose of this guide is to:</p> <ul style="list-style-type: none"> <li>• provide a better practice model for managing learning and development processes across the APS</li> <li>• foster an APS learning culture for better business outcomes</li> <li>• provide a source of audit criteria for any future ANAO work in this area.</li> </ul> <p>Terminology = Principles</p>
<p>modules or topics covered in any training course:</p>	<p>PRINCIPLE 1: Align learning with the business                  PRINCIPLE 2: Integrate learning with HR and other business processes                  PRINCIPLE 3: Create a learning culture                  PRINCIPLE 4: Provide appropriate learning options                  PRINCIPLE 5: Manage learning effectively                  PRINCIPLE 6: Support application of skills in the workplace                  PRINCIPLE 7: Evaluate learning and development</p>
<p>structure:</p>	<p>Framework includes the following:</p> <ul style="list-style-type: none"> <li>• A checklist for managing learning and development</li> <li>• Suggested indicators of success</li> <li>• Case studies</li> <li>• Methodology options</li> <li>• List of possible learning interventions: On-the-job suggestions; Formal development; &amp; Professional and community</li> </ul>

**GOV.UK (Office for Product Safety and Standards, 2016)**

<p>type of training / terminology used:</p>	<p>Guidance: Core Competencies for Regulators (and people training as regulators)  <a href="https://www.gov.uk/guidance/core-competencies-for-regulators">https://www.gov.uk/guidance/core-competencies-for-regulators</a>                  a set of core competencies relevant to all regulators, regardless of the level and specific nature of their work. However, their interpretation will vary: the workplace expectations in relation to regulators at the start of their careers and those with long experience are clearly very different</p>
<p>modules or topics covered in any training course:</p>	<p>Core Competencies highlighted across the following categories:</p> <ul style="list-style-type: none"> <li>• Context</li> <li>• Risk Assessment</li> <li>• Understanding those you regulate</li> <li>• Planning your activities</li> <li>• Checking compliance</li> <li>• Supporting compliance</li> <li>• Responding to non-compliance</li> <li>• Evaluation</li> </ul>

**Core Regulatory Competencies Framework**



(Ref: Guidance: Core Competencies for Regulators (and people training as regulators) Located at: <https://www.gov.uk/guidance/core-competencies-for-regulators> )

**Canada: Regulatory Career Pathway - Competencies Framework for Career Progression in Regulation Development**

<p>type of training / terminology used:</p>	<p>See: <a href="https://wiki.gccollab.ca/images/c/cf/Regulatory_Career_Pathway_-_EN.pdf">https://wiki.gccollab.ca/images/c/cf/Regulatory_Career_Pathway_-_EN.pdf</a>                  core behavioural and technical competencies for career progression in the area of regulation development</p>
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	<p>This Pathway will help individuals to identify their strengths and weaknesses against a series of suggested competencies at the various stages of a career</p> <p>The competencies / framework designed to be transferable when an employee moves from one position to another and/or from one department to another</p> <p>core competencies into two types: behavioural and technical</p>
modules or topics covered in any training course:	<p><u>Behavioural Competencies:</u></p> <ol style="list-style-type: none"> <li>1. Demonstrating integrity and respect</li> <li>2. Thinking things through</li> <li>3. Working effectively with others</li> <li>4. Showing initiative and being action oriented</li> <li>5. Communicating clearly and effectively</li> </ol> <p>(1-4 are part of the Public Service Performance Agreement but no.5 is identified as a behavioural competency specific to 'regulatory professionals')</p> <p><u>Technical Competencies:</u></p> <ol style="list-style-type: none"> <li>1. Policy / Legal Environment</li> <li>2. Social and Political Environment</li> <li>3. Risk Management</li> <li>4. Design</li> <li>5. Stakeholder Engagement and Consultations</li> <li>6. Regulatory Process</li> <li>7. Project Management</li> </ol> <p>(Technical competencies are recognized as the behaviours, actions, skills and abilities expected of employees to hold specific jobs – additional technical competencies may be prescribed which are specific to a department)</p>
format:	<p><u>Five levels of career progression</u></p> <ol style="list-style-type: none"> <li>1. Rookie: Basic and introductory level of knowledge of the operating context</li> <li>2. Novice: Well-rounded knowledge of the operating context and ability to apply that knowledge</li> <li>3. Seasoned: Complete, in-depth knowledge of the operating context and ability to apply that knowledge strategically and advantageously</li> <li>4. Senior: Expert level of knowledge of the operating context and ability to apply that knowledge diversely by traversing policy realms and leading groups</li> <li>5. Leader: Ability to apply expert level of knowledge to motivate change and provide vision</li> </ol>

**TAFE: E.G., WA TAFE Regulatory Officer Compliance Skills 1 & 2**

type of training / terminology used:	See: <a href="https://www.centralregionaltafe.wa.edu.au/courses/regulatory-officer-compliance-skills-rocs-1">https://www.centralregionaltafe.wa.edu.au/courses/regulatory-officer-compliance-skills-rocs-1</a>
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	<p>This short course is designed to address the needs of a range of officers for whom ensuring compliance with local government legislation, regulations and by-laws is central to their role.</p> <p>This skill set is not designed to provide detailed technical and specific knowledge in, for example, building inspection, animal control, parking management or environmental health. This course meets the generic requirements for compliance management in specialised council work areas, such as environmental health and planning. Individual councils may apply different levels and types of regulatory authority to specific job roles associated with this skill set.</p>
modules or topics covered in any training course:	<p>You will gain the underpinning knowledge and skills in the complex areas of:</p> <ul style="list-style-type: none"> <li>• compliance monitoring and investigation</li> <li>• negotiation skills</li> <li>• communication skills</li> <li>• conflict resolution</li> <li>• community education</li> </ul>
format:	Certification: Upon successful completion students will be issued with a Certificate of Participation

### **Canada: Orientation to Regulation for all Federal Public Servants**

type of training / terminology used / additional info:	<p>See: <a href="https://www.algonquincollege.com/corporate/files/2019/03/CT_Orientation-to-Regulation-Brochure_2019.pdf">https://www.algonquincollege.com/corporate/files/2019/03/CT_Orientation-to-Regulation-Brochure_2019.pdf</a></p> <p>Course Objectives:</p> <ul style="list-style-type: none"> <li>• Provide participants with a strong understanding of why governments regulate and the role of regulation in advancing the public interest (Part 1)</li> <li>• Introduce participants to what makes excellent regulatory programs and systems (Part 2)</li> <li>• Introduce participants to the Canadian legal and policy requirements for regulating (Part 3)</li> <li>• Provide participants with strong knowledge of how regulations are delivered in Canada (Part 4)</li> </ul>
modules or topics covered in any training course:	<p>PART 1: WHAT IS REGULATION?</p> <ul style="list-style-type: none"> <li>• CONCEPTUAL: participants learn about regulation and its contribution to society</li> <li>• MAIN LEARNING OBJECTIVE: Put regulation into context as a policy response to a public problem</li> </ul> <p>PART 2: THE LEGAL AND POLICY FRAMEWORKS FOR REGULATING IN CANADA</p> <ul style="list-style-type: none"> <li>• PRACTICAL: participants are introduced to the frameworks that shape the federal regulatory system in Canada</li> <li>• MAIN LEARNING OBJECTIVE: Explain both the legal and policy contexts and requirements for regulating in Canada</li> </ul> <p>PART 3: WHAT MAKES EXCELLENT REGULATORY FRAMEWORKS?</p> <ul style="list-style-type: none"> <li>• CONCEPTUAL: participants learn about ideal regulatory systems and the processes that underpin them</li> </ul>

	<ul style="list-style-type: none"> <li>• MAIN LEARNING OBJECTIVE: Identify components of excellent regulatory programs and systems</li> </ul> <p>PART 4: REGULATION DELIVERY AND IMPLEMENTATION</p> <ul style="list-style-type: none"> <li>• PRACTICAL: participants are exposed to practices and processes for implementing regulatory programs</li> <li>• MAIN LEARNING OBJECTIVE: Describe the regulatory development and implementation processes</li> </ul>
format:	Duration: 32 hours

### **TOPRA (UK)**

<p>See:</p> <p><a href="https://www.topra.org/TOPRA_Member/Professional_Development/Qualifications/TOPRA/TOPR_A_Member/qualifications.aspx?hkey=975f6de3-be4b-4465-bb89-7930fbd4aa59">https://www.topra.org/TOPRA_Member/Professional_Development/Qualifications/TOPRA/TOPR_A_Member/qualifications.aspx?hkey=975f6de3-be4b-4465-bb89-7930fbd4aa59</a></p> <p>Postgraduate Certificate in Regulatory Affairs</p> <p>Postgraduate Diploma in Regulatory Affairs (Medicines/Medical Devices)</p> <p>MSc Regulatory Affairs (Medicines/Medical Devices)</p>
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### **UK Regulatory Training Course: Legal Awareness for Regulators**

type of training / terminology used:	<p>See: <a href="https://www.civilservicecollege.org.uk/course/law-legal-awareness/legal-awareness-for-regulators-50">https://www.civilservicecollege.org.uk/course/law-legal-awareness/legal-awareness-for-regulators-50</a></p> <p>Aim:</p> <p>To provide participants with a clear understanding of:</p> <ol style="list-style-type: none"> <li>1. Basic legal framework and terminology</li> <li>2. Legislation and common law: both UK and EU law</li> <li>3. Working effectively with lawyers</li> <li>4. Your remit and your powers</li> <li>5. The law of Judicial Review</li> <li>6. The impact of Human Rights Law</li> <li>7. Handling a case</li> </ol>
modules or topics covered in any training course:	<p>Sample program includes:</p> <ul style="list-style-type: none"> <li>• The Constitution: Parliament, the Executive, the Judiciary and the rule of law</li> <li>• Who regulates the regulators: judicial review</li> <li>• Looking at Judicial Review case studies</li> <li>• Handling a case</li> <li>• Feedback on case studies</li> <li>• Your organisation and the law</li> </ul>
structure:	Methodology: presentations; discussions; case studies; group work
service provider:	Training Provider: Civil Service College