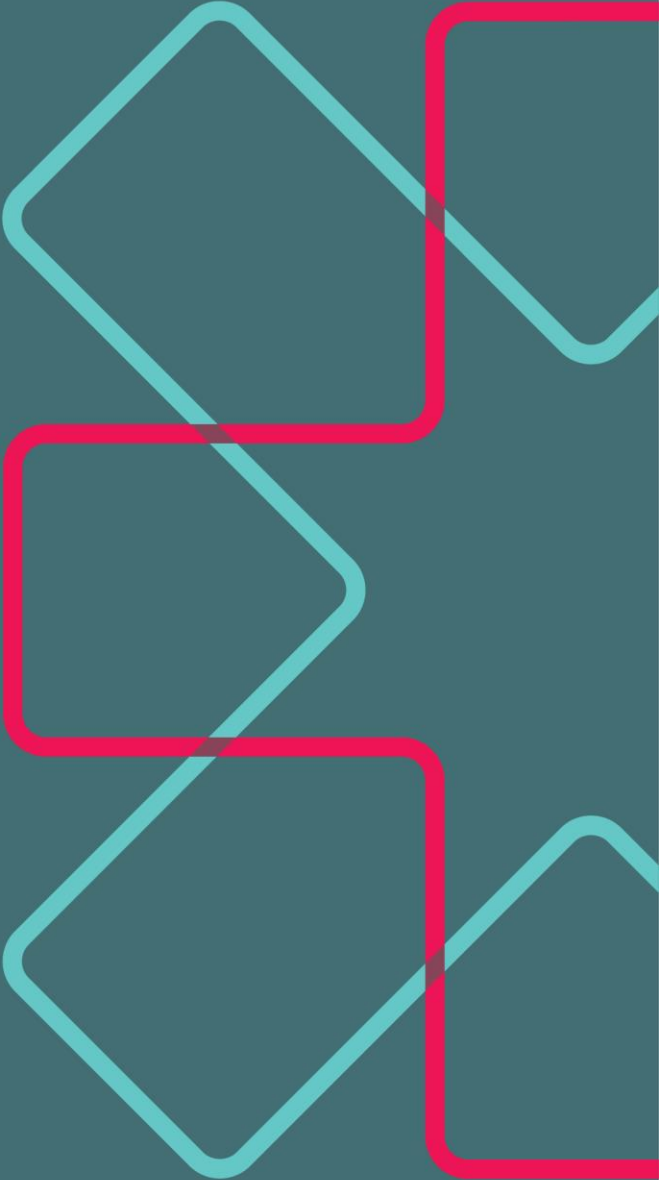


Evaluation of the Government Regulatory Practice Initiative (G-REG)

Final Report



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Preface

This report has been prepared for the Ministry of Business, Innovation and Employment by Jo Smith, Matthew Fanselow and Megan Prentice, and reviewed by Penny Fitzpatrick, Tom Gott and Michael Flett from MartinJenkins (Martin, Jenkins & Associates Ltd).

For 30 years MartinJenkins has been a trusted adviser to clients in the government, private, and non-profit sectors in Aotearoa New Zealand and internationally. Our services include organisational performance, employment relations, financial and economic analysis, economic development, research and evaluation, data analytics, engagement, and public policy and regulatory systems.

We are recognised as experts in the business of government. We have worked for a wide range of public-sector organisations from both central and local government, and we also advise business and non-profit clients on engaging with government.

Kei te āwhina mātau ki te whakapai ake i a Aotearoa. We are a values-based organisation, driven by a clear purpose of helping make Aotearoa New Zealand a better place. Our firm is made up of people who are highly motivated to serve the New Zealand public, and to work on projects that make a difference.

Established in 1993, we are a privately owned New Zealand limited liability company, with offices in Wellington and Auckland. Our firm is governed by a Board made up of executive directors Kevin Jenkins, Michael Mills, Nick Davis, Allana Coulon, Richard Tait, and Sarah Baddeley, as well as independent director Sophia Gunn and chair David Prentice.

Executive summary

G-REG was established to lift the capability and practices of the regulatory workforce

The Government Regulatory Practice Initiative (G-REG) was established in 2015, in response to recommendations by the Productivity Commission in its 2014 inquiry into *Regulatory institutions and practices*. That inquiry found significant skill gaps among regulatory staff, with regulatory agencies finding it challenging to train staff in core, generic skills and competencies.

G-REG aims to achieve greater professionalisation of the regulatory workforce. It builds on and expands the work begun by the Compliance Common Capability Programme (CCCP), which developed regulatory compliance qualifications, ran regulatory practice workshops, and developed a framework of regulatory practice skills.

G-REG operates as a network of 13 central government regulatory agencies and Taituarā (as representative of local government). The Ministry of Business, Innovation and Employment (MBIE) hosts the initiative and provides corporate support for a Secretariat function. G-REG is club-funded from participating agencies. From 2015/16 to 2019/20 its annual budget was \$260,000 (funded by the 13 central government agencies), and for 2021/22 and 2022/23 it was \$480,00 (including a financial contribution from Taituara).

An independent evaluation to inform the development of future funding and operating models

MBIE, on behalf of G-REG, commissioned MartinJenkins to conduct an independent evaluation of G-REG. The findings will be used to inform the development of future operating and funding models.

The evaluation explores the value G-REG has delivered for regulatory practitioners and their organisations. It also considers the opportunities that exist for G-REG, including future areas of focus and delivery. Due to difficulties in quantifying outcomes, the evaluation does not seek to assess G-REG's impacts on system-level workforce capability or performance.

We used a combination of methods, to glean evidence from a range of sources. We triangulated the findings across these sources to ensure a robust evidence base. Our methods included:

- a rapid review of literature relating to workforce professionalisation and communities of practice
- semi-structured interviews with 28 stakeholders, as well as a group discussion with Regional Council representatives



- an online survey, which received 161 responses
- a desktop review of programme documentation
- analysis of administrative data, including financial data
- two case studies, exploring how G-REG could better support local government practitioners, and regulatory practitioners partnering with Māori.

Key findings

G-REG is maturing as a workforce professionalisation initiative

The creation and implementation of a national qualifications programme that began under CCCP and continued under G-REG, has helped promote a common language and shared understanding of regulatory principles, and give weight to regulation as a profession. Participation in the qualifications programmes, in particular the Core Knowledge programme, has delivered value to individual regulatory practitioners, through helping to lift basic foundational knowledge.

Another of G-REG's core offerings has been its annual conferences, which have been run every year since 2015. These have been well-attended, with well over 500 participants in several years

G-REG has also provided opportunities for peer learning, workshops and networking. These have been valued by those who have engaged with them, though participation in most of these activities has been modest. There have also been some examples of cross-agency sharing of insights and resources, but these are small scale and *ad hoc*, and largely undocumented.

Together, these efforts represent important components of a workforce professionalisation initiative. However, participation across regulatory agencies has been patchy, and dominated by a small number of agencies. Participation tends to be dependent on having key individual champions within an agency.

The G-REG concept is valuable, but this value is yet to translate into impact

High-profile regulatory failures since G-REG's inception reinforce the need for a lift in the quality and consistency of regulatory practice. Most stakeholders that engaged with the evaluation are supportive of the concept of G-REG.

However, while G-REG has delivered pockets of value for individual regulatory practitioners and their organisations, this is yet to translate into impact and the desired system-wide lift in individual and organisational capability is not yet evident. So, despite many years of effort, much of G-REG's potential value remains latent.



G-REG lacks clarity on its role and focus

G-REG is currently struggling with lack of clarity around its purpose and objectives, as well as who it is for. We found a lack of shared understanding and documentation of the purpose and objectives for G-REG, in particular, around:

- the definition of the "regulatory workforce" and hence the target audience
- the core features and key success measures of a workforce professionalisation initiative, and
- the type of network or community of practice that G-REG aims to create, and therefore what features and achievements we should expect to see.

This lack of clarity is reflected in its difficulty in articulating a clear value proposition and in developing a coherent suite of initiatives.

G-REG has become synonymous with the qualifications programmes

G-REG has prioritised the design, implementation and promotion of the qualifications programmes. This focus has partly been driven by the partnership with Skills, and the ability to leverage additional resources through Skills. The upshot is that G-REG's brand has become synonymous with the qualifications programmes. The vast majority of people who have engaged with G-REG have done so through these programmes, primarily the Core Knowledge programme.

Questions exist around the effectiveness of the qualifications programmes

Many people told us the foundational qualifications programmes are too basic or too generic, as well as outdated. There were also very divergent views on the effectiveness of online and self-directed delivery of the foundational qualifications programmes, as well as their focus on assessment and skills recognition, rather than active learning.

We heard strong desire for participatory learning models, involving discussions (whether face-to-face or virtually) with teachers and peers. Practitioners value the peer sharing and networking aspects of the conferences, and the peer learning panels have also been well-received.

This posed challenges for the evaluation

People's identification of the G-REG initiative with the qualifications programmes posed challenges for the evaluation, as the qualifications dominated the feedback we received. While evaluating Skills, and reviewing the qualifications programmes, was out of scope, in practice it was impossible to disentangle them from the G-REG initiative.



Many people described benefits to individuals from completing Core Knowledge, and because this has been how most people have engaged with G-REG, it accounts for the greatest proportion of value delivered to date, due to the sheer volume of participants.

However, the feedback was also extremely polarised, with many people expressing frustration at the quality, relevance, currency and delivery format of the programmes. This represents a major tension in the evaluation findings.

G-REG was not set up to succeed

We encountered high levels of support and enthusiasm for the concept of G-REG. However, its progress has been impeded by insufficient and insecure funding. The insecurity of the annual club-funding contributions has meant that the Secretariat has been unable to employ permanent staff, or undertake strategic planning, and systematic monitoring and reporting. This has been reflected in *ad hoc* activities that lack coherence and clear objectives. It has also seen activities wax and wane over time. Coupled with the inadequacy of funding levels, this means that G-REG was not set up in a way that enabled it to deliver on the desired outcomes or level of expectations placed on it.

G-REG, like its predecessor CCCP, has continued to rely heavily on in-kind support and goodwill from a small number of key individuals and organisations. Stakeholders consider this to be unsustainable.

Recommendations for building an effective, sustainable G-REG

A strategic reset to determine its unique value proposition

A critical next step for G-REG is to clarify its objectives, and identify where and how it can bring the greatest value within the regulatory workforce capability system. The strategic reset should clarify G-REG's purpose and objective, in order to develop the right balance of offerings. This should include consideration of how qualifications programmes may (or may not) fit within a broader workforce capability building programme. A greater focus on supporting ongoing professional development through communities of practice may be a more effective approach for delivering lasting changes to day-to-day regulatory practices.

These choices will in turn drive different choices around operating model and funding needs/model: form should follow function. This includes whether and how G-REG aims to meet the needs of local government.

Sufficient and stable funding and operating model

G-REG requires sufficient and stable funding, to provide a critical mass of resourcing and enable the Secretariat to employ permanent staff, and lift its planning horizon. Secured multi-year funding would provide the foundation for more strategic programme planning as opposed to its current *ad hoc*



approach to designing activities. It would also support more rigorous programme management disciplines, such as more formal and comprehensive outcomes-focused reporting to the governance group. Future funding arrangements should include improvements to financial management and reporting systems, to provide greater transparency and accountability around budget and expenditure.

G-REG needs to be more connected and responsive

G-REG needs a mechanism for staying abreast of developments in regulatory practice and contexts, and the government operating environment, and then adjusting its offerings accordingly. It also needs better connections with its audience, in order to plan, build and evolve its offerings according to changing demand and need. This is particularly important for the qualifications programmes.

Establish and resource better monitoring systems

Developing a clear purpose and objectives would enable G-REG to design a fit-for-purpose results monitoring framework. This should include consistent measures for tracking their outputs, and short-term impacts on individuals and organisations. This would enable comparison over time and support greater transparency to funders. Our evaluation report provides some suggestions for improved monitoring systems, including dedicated funding and resourcing.



EVALUATION OF THE GOVERNMENT REGULATORY PRACTICE INITIATIVE (G-REG)

About G-REG

2015 est

Established in 2015, to achieve greater professionalisation of the regulatory workforce.

14 funding organisations

Operates as a network of 13 central government agencies and Taituarā, on behalf of local Government.

MBIE

hosts the Secretariat.

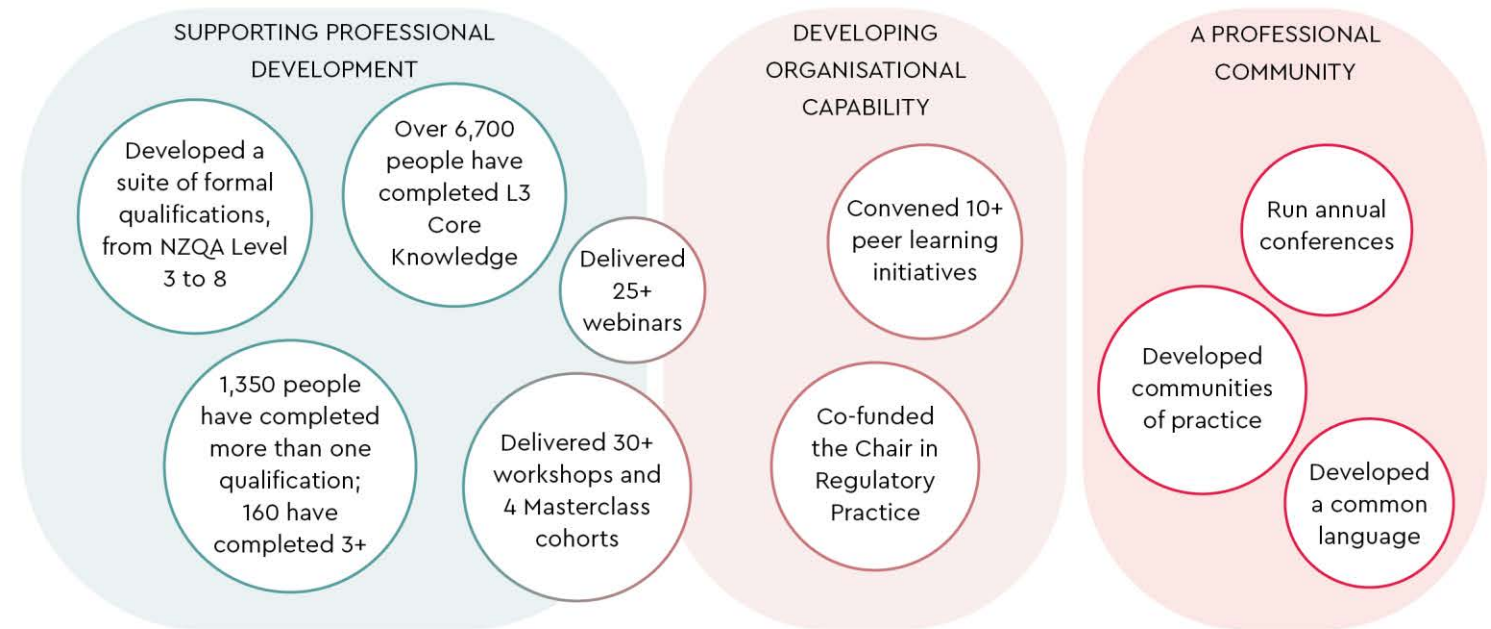
\$2.26m

Total club-funding from participating agencies over 2015–2023.

SUPPORTED BY

significant in-kind contributions from key agencies, and goodwill of committed individuals.

Activities and achievements to date as at June 2022



Key findings

G-REG is valued and supported by the regulatory community. But it lacks clarity on its role and focus.



Conclusions and recommendations for building an effective, sustainable G-REG

G-REG needs a **strategic reset** to determine its unique value proposition.

It has helped lift basic foundational knowledge and instil a common language, but is still developing as a workforce professionalisation initiative.



Focussing on **supporting ongoing professional development** through communities of practice may be a more effective model.

G-REG lacks a mechanism for staying up to date, and for understanding and responding to the needs of its audience.



G-REG needs to be more **connected and responsive** to emerging best practice, and the needs of its audience.

Questions exist around the effectiveness of G-REG's qualifications programmes in lifting regulatory practice.



Practitioners value **participatory and active learning approaches**, and peer learning.

The funding model is not fit-for-purpose or sustainable.



G-REG requires **sufficient and stable funding** in order to be effective.

About this evaluation





Background and context

High-performing regulatory systems matter for wellbeing outcomes

High-performing regulatory systems have the potential to improve health and wellbeing, and contribute to a range of social, economic, and environmental outcomes. Conversely, failures in the design or implementation of regulation can result in significant harms, potentially including injury, loss of life, economic losses (such as employment and income), and many other adverse consequences. Notable regulatory failures include the weathertight homes ("leaky building") problems from the mid-1990s, the Pike River coal mine tragedy in 2010, and a string of finance company failures between 2006 and 2012.

A capable workforce is essential for achieving regulatory outcomes

Effective compliance is critical to achieving the desired outcomes from regulatory systems. Aotearoa New Zealand has tens of thousands of regulatory practitioners employed across all levels of government. Their functions span a range of activities, including operational policy and regulation-making; education and awareness raising; licensing and certification; inspections; audit and monitoring; intelligence gathering; investigations; and enforcement. The capability and practices of this workforce is essential to achieving good regulatory outcomes. Gaps in workforce capability can undermine the achievement of these outcomes, and contribute to regulatory failures and avoidable harms.

Government has been working to build regulatory capability for many years

In 2008, a group of regulatory agency representatives formed the Compliance Common Capability Programme (CCCP). The CCCP was "focused on professionalising and strengthening people, organisations, and the community of people involved in the implementation of regulation".¹ The CCCP worked with Learning State (then the Industry Training Organisation for the Public Sector) to create three national qualifications in regulatory compliance that were listed on the National Qualifications Framework in 2011.

¹ Manch, K. 2014. "Improving the Implementation of Regulation: Time for a systemic approach." *Policy Quarterly*, 10(4)



CCCP also ran regulatory practice workshops, and developed a framework of regulatory practice skills. It operated on the goodwill and voluntary, in-kind contributions of participating individuals and organisations.

A 2014 inquiry provided further impetus for strengthening workforce capability

In 2014, the Productivity Commission released its report on its inquiry into *Regulatory institutions and practices* in New Zealand. The purpose of this inquiry was to improve the design of New Zealand's regulatory system and make recommendations for system-wide changes to the operation of regulatory regimes.² The inquiry presented a broad range of findings and recommendations for the regulatory system, regulatory practice, and workforce capability.

In terms of workforce capability, the inquiry found that the majority of regulators share a common set of core functions, but that specialist subject knowledge is often required to perform these core functions. The inquiry found significant skill gaps among regulatory staff, with regulatory agencies finding it challenging to train staff in core, generic skills and competencies. It also noted the unsustainability of the CCCP's funding and operating model, which relied on a voluntary forum of key regulatory leaders.

The Commission made several recommendations to strengthen workforce capability in the regulatory system:

- develop a set of minimum expectations for regulatory capability
- provide updated guidance on regulatory practice, including how to identify and address risks, and to understand the wider influences shaping the responses of regulated parties
- provide government funding for regulator communities of practice, and strengthened expectations on agencies to engage with these networks, and
- create a position to provide intellectual leadership in regulatory practice.

The Government's response to these recommendations stated that Chief Executives of regulatory agencies had agreed to work together to build regulatory capabilities, with an initial focus on further developing a qualifications framework and best practice compliance strategies. The Ministry for Business, Innovation and Employment (MBIE) would provide leadership and secretarial support for this cross-government initiative, with other agencies providing financial support. The initiative would provide a forum to:

- share regulator practices and experiences

² Productivity Commission. 2014. *Regulatory institutions and practices*: <https://www.productivity.govt.nz/assets/Documents/6c8805d9a5/Summary.pdf>



- promote greater consistency between regulators' compliance strategies where there are overlapping mandates, and
- further develop the programme previously run by a voluntary network of individuals working in local and central government regulation (CCCP).³

The initiative would draw on the Productivity Commission's recommendations in developing its work programme.

G-REG aims to achieve greater professionalisation of the regulatory workforce

The subsequent initiative, the Government Regulatory Practice Initiative (G-REG), was established in 2015. G-REG aims to achieve greater professionalisation of the regulatory workforce. It expands the work begun by the CCCP, with a broader, regulatory system-wide commitment to increasing the skills and capability of the regulatory workforce, through formal qualifications, networking, and thought leadership, to support continuous improvement within regulatory agencies and across the regulatory system

G-REG's work programme has three components (Figure 1):

- developing a professional community
- developing organisational capability, and
- developing people capability.

³ The Treasury (2015) *Government response to the New Zealand Productivity Commission report on regulatory institutions and practices*, 28 July 2015 [Government Response to the New Zealand Productivity Commission Report on Regulatory Institutions and Practices \(29 July 2015\) \(treasury.govt.nz\)](https://www.treasury.govt.nz/publications/government-response-to-the-new-zealand-productivity-commission-report-on-regulatory-institutions-and-practices)



Figure 1: A capability building initiative



Source: G-REG 2020-2021 work programme.

G-REG operates as a network of 13 central government regulatory agencies and Taituarā (on behalf of local government). The participating agencies are:

- Civil Aviation Authority (CAA)
- Commerce Commission
- Customs
- Department of Internal Affairs
- Environmental Protection Authority (EPA)
- Financial Markets Authority
- Inland Revenue
- Land Information New Zealand (LINZ)
- Maritime NZ
- Ministry for Business, Innovation and Employment (MBIE)
- Ministry for Primary Industries
- Taituarā



- Waka Kōtahi, and
- WorkSafe.

MBIE hosts the initiative.

We undertook an independent evaluation of G-REG

MBIE has commissioned MartinJenkins to conduct an evaluation of G-REG. The evaluation explores the outcomes of G-REG for regulatory practitioners, and its impact on the regulatory community as a whole. The evaluation also considers the opportunities that exist for G-REG, including future areas of focus and delivery. It will be used to inform the development of future operating and funding models being undertaken as part of a Single Stage Business Case.

Structure of this report

- The next chapter explains the evaluability assessment process we undertook to design the evaluation. It sets out the evaluation questions, scope, methods and analytical frameworks. As part of the evaluation design, we developed a theory of change and intervention logic map, which are in Appendix 1.
- We then document G-REG's journey to date, describing its activities, funding and governance arrangements, and changing operating environment.
- The following four chapters set out our findings. These include:
 - describing G-REG's outputs from its inception in 2015 to June 2022. Details of the qualifications and other activities are set out in Appendix 2 and Appendix 3
 - discussing our findings in relation to the value, effectiveness and relevance of G-REG. Detailed survey results are in Appendix 4
 - presenting the findings from our two case studies.
- The final chapter presents our conclusions, and recommendations for any future phase of G-REG.



Approach and method

Designing a fit-for-purpose evaluation

We undertook an evaluability assessment

We conducted an evaluability assessment to help us design a fit-for-purpose evaluation plan. Our assessment explored what should be evaluated: in theory, in context, and in practice. We did this through:

- reviewing programme documents, including descriptions of the purpose, design, and activities of G-REG
- reviewing programme data, to assess what has been monitored and measured in terms of uptake and participation, and outcomes, and
- interviewing six key stakeholders, including the Programme Director, the Programme Sponsor (MBIE GM), and representatives from key funding, participating and stakeholder agencies, including Treasury and Taituarā.

Challenges for the evaluation

Programme documentation not complete or continuous

During this assessment, we found that there has been little in the way of formal long-term programme management of G-REG. This is due to the resourcing constraints, and the funding insecurity, which have meant that G-REG has been operated on a year-to-year basis according to each annual funding decision. It means that documentation we might expect to review, such as foundation documents, programme planning, communications and engagement plans, budget management and progress reporting, was quite light, and not always complete or continuous. Many of the documents provided to the evaluation were committee-based, comprising agendas and minutes.

Available data is focused on participation measures

Administrative data is focused on course enrolments and completions, along with conference attendance and participant feedback.

Data on participants in the qualifications programmes includes details such as organisation and role. However, alumni from these programmes have not been traced over time, so there is no data on the subsequent impact or outcomes for participants (such as career progression) or their organisations (such as dissemination of learnings).

There has not been systematic or consistent (and centralised) data collection on participation in other activities, such as peer learning seminars and workshops.



Lack of a clear and consistent articulation of G-REG's purpose and objectives

We found a lack of shared understanding and documentation of the purpose and objectives for G-REG. In particular, around:

- the definition of the "regulatory workforce" and hence the target audience
- the core features and key success measures of a workforce professionalisation initiative, and
- the type of network or community of practice that G-REG aims to create, and therefore what features and achievements we should expect to see.

This posed challenges for designing the evaluation, both in terms of articulating the intervention logic and developing the evaluation questions and measures. We developed a theory of change and intervention logic that builds on the available documentation around CCCP and G-REG (Appendix 1).

It is not possible to estimate G-REG's contribution to long-term outcomes

By strengthening workforce capability, G-REG aims to improve regulatory practices and thereby the performance of regulatory systems, thus contributing to better outcomes and reduced avoidable harms. It is not possible to estimate the benefits of G-REG in terms of these improved long-term outcomes. To do so, we would need quantitative data on:

- the relative performance of individual regulatory systems (eg food safety), either compared over time, or to a comparable system in another sector or overseas, so that changes or differences in the regulatory system could be identified or benchmarked
- a clear definition and identification of the regulatory workforce, and
- trends in New Zealand's regulatory workforce capability or practices, for example by regulatory system.

This would allow us to test the relationship between the two (ie look for a positive correlation). Neither of these types of data is available, and in any case such an approach may not be cost-effective. Quantifying G-REG's contribution to medium-term outcomes is similarly challenging.

In light of the difficulty in quantifying outcomes, the evaluation focused on assessing G-REG's contribution to short-term outcomes for individuals and organisations, rather than its impact on system-level workforce capability and performance.

A discovery approach to assessing value and effectiveness

Given the obstacles noted above, we also did not set definitive assessment criteria for assessing G-REG's value and effectiveness. Instead, we used a discovery approach, guided by literature in relation to two core paradigms:

- G-REG as a workforce professionalisation initiative



- G-REG activities to create/contribute to expected characteristics
- engagement, use, and value attributed to G-REG by the workforce
- G-REG as a community of practice/knowledge networks initiative
 - demonstration of expected characteristics
 - stage of maturity
 - evidence of value creation being delivered.

We explored evidence across these dimensions to articulate the strengths, weaknesses and future-focused opportunities for G-REG.

The discovery approach continued throughout and beyond the months of the evaluation. New information continued to come to light as this report was being finalised. We made best efforts to incorporate or refer to this new information, without changing the fundamental evaluation scope and purpose.

Evaluation purpose and objectives

Through the evaluability assessment process described above, we developed the following evaluation purpose, questions and scope.

Evaluation purpose

The purposes of the evaluation are to:

- Determine the extent to which we can quantify the impact and benefits of G-REG, in particular as it responded to the recommendations of the 2014 Productivity Commission report. For example, the extent to which:
 - G-REG's dedicated focus on regulatory practice capability is contributing to improved workforce capability and performance across the public service; including (but not only) the provision of qualifications
 - G-REG is providing (the right balance of) useful and relevant offerings to a range of functions and roles across the regulatory sector
 - G-REG is driving and/or supporting improved culture and leadership in regulatory organisations and systems.
- Make an assessment as to:
 - What extent the G-REG brand has come to represent professionalism, expertise and good regulatory practice across the public sector
 - Whether and how changes over the last seven years to the government operating environment and context might inform G-REG's next phase



- Whether the current funding and operating models are fit-for-purpose to drive G-REG into the future
- What evidence and insights would help G-REG to understand its value and impact in the future; and provide suggestions about how to establish and resource ongoing monitoring of the initiative.

Evaluation questions

To meet these purposes, the evaluation addresses the following questions.

History of G-REG

- What has been G-REG's journey to date?
- What has G-REG delivered so far (outputs)?

Value and effectiveness

- What value has G-REG provided, and for whom (individuals, organisations)?
- What are the relative contributions of G-REG's core activities?
 - To what extent does the design and delivery of core activities reflect good practice?
 - Which activities or combinations of activities contribute the greatest value?
- What conditions are associated with different outcomes (ie what are the success factors)?

Relevance for future

- How relevant are G-REG's offerings to the range and diversity of regulatory organisations and practitioners?
- How could G-REG incorporate or support regulatory practitioners to partner with Māori and deliver on Te Tiriti?
- What is G-REG's place within the regulatory stewardship system?
- How well placed is G-REG to understand and adapt to changing regulatory contexts and expectations?
- What changes could be made to G-REG to ensure it is effective, valuable and sustainable into the future?

Evaluation timeframe

The evaluation focuses on G-REG's activities from its inception in 2015 to 30 June 2022. Some events and activities beyond this point are noted for completeness.



Evaluation scope

In scope:

- implementation and design of G-REG, including institutional arrangements
- outputs and short-term outcomes for individuals and their organisations.

Out of scope:

- assessment of G-REG's contribution to medium- and long-term outcomes
- a wider assessment of the impact of G-REG on the regulatory system or regulatory outcomes
- reviewing the qualifications programmes
- evaluating Skills.

Detail of methods used

A mixed methods approach to fill information gaps

We used a combination of methods, drawing on diverse experiences to deliver rich and reliable evidence. The key methods for this evaluation were:

- a rapid review of literature relating to workforce professionalisation and communities of practice
- interviews with participating agencies and key stakeholders
- an online survey
- a desktop review of programme documentation, and
- analysis of administrative data.

We also undertook two case studies, based on information from the above methods.

Semi-structured interviews

We undertook semi-structured interviews with **28** people from stakeholder organisations, including central and local government. These included regulatory Chief Executives, Chief Advisors, regulatory managers and compliance managers. We also attended a group discussion with the Regional Councils' Compliance and Enforcement Special Interest Group.

The interviews focused on:

- the value of G-REG
- regulatory upskilling activities
- the design and governance of G-REG, and
- regulatory workforce professionalisation.



The interviews were conducted between September and November 2022.

Survey of regulatory practitioners

We co-designed a web-based survey aimed at regulatory practitioners, with the G-REG team. The survey was distributed to over 4,000 people by the G-REG Secretariat via LinkedIn, G-REG newsletters, and agency intranet pages. Respondents were invited to self-identify and opt-in as regulatory professionals.

The survey aimed to collect data from a much wider range of stakeholders than was covered in the interviews, including regulatory practitioners and agencies (including councils) that have not engaged with G-REG or its training courses.

The survey consisted of a combination of qualitative and quantitative questions, covering:

- awareness and understanding of G-REG
- perceptions of the relevance and value of G-REG to individuals and their organisations, and
- the benefits of G-REG to individual participants, such as career progression following completing a regulatory practice qualification.

We received a total of **161** responses:

- 90 responses from central government
- 66 from local government, and
- five from other organisations, such as professional bodies.

Details of the survey responses are provided in Appendix 4.

Document review

We reviewed the available background and supporting documents related to G-REG. As noted, programme documentation, including strategic and operational planning, and monitoring and reporting (including to the governance group of CEs), was light. In total, we reviewed more than 60 documents. Many of these related to the qualifications programmes, including course material and reviews of the qualifications.

Administrative data analysis

We analysed the available data on G-REG's activities and outputs. This included:

- course enrolments and completions (including by type of organisation)
- participation in conferences, seminars and workshops, and participant feedback surveys, and
- financial data (trends in revenue and expenditure).



Case studies

We undertook two case studies, to help inform the future focus of G-REG. These explored:

- the relevance and value of G-REG for local authorities
- how G-REG could add value in lifting regulatory capability as it relates to working effectively with Māori.

Analytical frameworks

Workforce professionalisation

Two core elements stood out in our rapid literature review as most important for increasing the professionalism of a workforce: a shared body of language; and training members of the workforce in that language.^{4 5 6} Several other components of a professionalised workforce were consistent across the literature:

- a core set of specialised and applied knowledge, including performance standards
- a grounded culture that instils a sense of "belonging to the regulatory profession", including shared ethics and sanctions against violations of these ethics
- training and qualifications as entry to, and development within the profession, including being continually challenged to stay up to date as a means of career progression for members of the regulatory profession
- conferences and networking across the community, including opportunities for mentoring and peer review, and
- respect and recognition by others in the profession and by the broader community for the knowledge they hold.

⁴ De Beelde, I. (2002). "Creating a profession 'out of nothing'? The case of the Belgian auditing profession". *Accounting Organisations and Society*, 27(4), 447-470.

⁵ Greenwood, E. (1957). "Attributes of a Profession". *Social Work*, 2(3), 45-55.

⁶ Tapper, A., & Millett, S. (2015). "Revisiting the Concept of a Profession". In M. Beard & S. Lynch (Eds.), *Conscience, Leadership and the Problem of "Dirty Hands"* (pp. 1-18). Bingley: Emerald Group Publishing Limited.



These characteristics need to not only be in place, but also valued, engaged with, and used consistently by the agencies and practitioners that make up a workforce.^{7 8 9 10 11}

We also found that it was important to not only recognise the core elements present in a professionalised workforce, but also the concept of professionalism itself. Professionalising a workforce is achieved by raising professionalism in both the broad and narrow sense. Narrowly, professionalism relates to undertaking advanced and specific training, and holding expertise based on recognised credentials; whereas in its broad sense, professionalism is being competent in one's job, striving for quality, and acting proficiently and ethically.^{12 13 14} Therefore, professionalism is related both "being a professional" and "practicing professionally".¹⁵

Communities of practice

Communities of practice (CoPs) are increasingly prevalent in capacity and capability building programmes, and as a means to workforce professionalisation in wide ranging sectors including health care, education, international development, and business. CoP is still an evolving concept; Jean Lave and Etienne Wenger coined the term in 1991 centred on the interactions between entrants and experts, and the process by which newcomers to a workforce create a professional identity. The focus shifted to professional development through participation in the group in their 1998 publication and shifted again in 2002 to being a tool for increasing an organisation's competitiveness.¹⁶

These different interpretations of CoP have made it challenging to apply the concept successfully, or to take full advantage of the benefits that groups such as these may offer. Despite this, it appears clear across the literature that CoP comprise a group of people who have a shared concern, or interest in a

⁷ Greenwood, E. (1957). "Attributes of a Profession". *Social Work*, 2(3), 45-55.

⁸ New Zealand Productivity Commission. (2014). *Regulatory institutions and practices*. Wellington: New Zealand Productivity Commission.

⁹ Tapper, A., & Millett, S. (2015). "Revisiting the Concept of a Profession". In M. Beard & S. Lynch (Eds.), *Conscience, Leadership and the Problem of "Dirty Hands"* (pp. 1-18). Bingley: Emerald Group Publishing Limited.

¹⁰ Fantham, P., et al (2020) *Professionalising regulatory practice: Lessons from the New Zealand G-REG initiative*. State of the Art in Regulatory Governance Research Paper 2020.05. VUW and G-REG. Includes a foreword by Professor Jeroen van der Heijden.

¹¹ van der Heijden, Jeroen (2020). *Towards a profession of public regulation: Lessons from the New Zealand G-REG Initiative*. State of the Art in Regulatory Governance Research Paper-2020.07. Wellington: Victoria University of Wellington/Government Regulatory Practice Initiative

¹² Ospina, S. (1996). *Illusions of Opportunity: Employee Expectations and Workplace Inequality*. London: Cornell University Press.

¹³ Saks, M.(2012). "Defining a Profession: The Role of Knowledge and Expertise". *Professions & Professionalism*, 2(1), 1-10.

¹⁴ van der Heijden, Jeroen (2020). *Towards a profession of public regulation: Lessons from the New Zealand G-REG Initiative*. State of the Art in Regulatory Governance Research Paper-2020.07. Wellington: Victoria University of Wellington/Government Regulatory Practice Initiative

¹⁵ Dyer, 2018, cited in van der Heijden, Jeroen (2020). *Towards a profession of public regulation: Lessons from the New Zealand G-REG Initiative*. State of the Art in Regulatory Governance Research Paper-2020.07. Wellington: Victoria University of Wellington/Government Regulatory Practice Initiative

¹⁶ Li, L.C., Grimshaw, J.M., Nielsen, C. et al. "Evolution of Wenger's concept of community of practice". *Implementation Sci* 4, 11 (2009). <https://doi.org/10.1186/1748-5908-4-11>



topic, who come together to fulfil both individual and group goals through knowledge sharing and interacting on an ongoing basis.^{17 18 19 20 21 22}

Communities of practice are commonly understood to have three core characteristics with common functions:

- **Domain:** community members have a shared domain of interest, competence and commitment that distinguishes them from others. This shared domain creates common ground, inspires members to participate, guides their learning, and gives meaning to their actions.
- **Community:** members pursue this interest through joint activities, discussions, problem-solving opportunities, information sharing and relationship building. The notion of a community creates the social fabric for enabling collective learning. A strong community fosters interaction and encourages a willingness to share ideas.
- **Practice:** community members are actual practitioners in this domain of interest and build a shared repertoire of resources and ideas that they take back to their practice. While the domain provides the general area of interest for the community, the practice is the specific focus around which the community develops, shares and maintains its core of collective knowledge.

The literature also suggests that CoPs require a strong ongoing secretariat, as well as ongoing commitments and leadership, but tend to be reliant upon *ad hoc* resources from disparate sources.²³

¹⁷ Wenger E: "How we learn. Communities of practice. The social fabric of a learning organization". *Healthcare Forum Journal*. 1996, 39: 20-26.

¹⁸ Wenger E: *Communities of Practice: Learning, Meaning, and Identity*. 1998, New York: Cambridge University Press

¹⁹ Wenger, E., McDermott, R. A., & Snyder, W. (2002). *Cultivating communities of practice: A guide to managing knowledge*. Harvard business press.

²⁰ Li, L.C., Grimshaw, J.M., Nielsen, C. et al. "Evolution of Wenger's concept of community of practice". *Implementation Sci* 4, 11 (2009). <https://doi.org/10.1186/1748-5908-4-11>

²¹ Pink, G., & Lehane, J. (2011, June). "Environmental enforcement networks: Development of a network evaluation matrix". In *9th International Conference on Environmental Compliance and Enforcement*.

²² Pyrko, I., Dörfler, V., & Eden, C. (2017). "Thinking together: what makes communities of practice work?" *Human relations*, 70(4), 389-409.

²³ Pink, G. (2015). "Environmental enforcement networks: Theory, practice and potential". In *Environmental Enforcement Networks* (pp. 13-36). Edward Elgar Publishing.



G-REG's journey to date





An evolving initiative

This chapter describes the evolution of G-REG and the range of activities it undertakes. The following chapter looks at what G-REG has delivered (its outputs) across each of these activities.

The history of G-REG extends back to 2008. As discussed earlier, G-REG has its origins in an emergent community of practice driven by a group of central government regulatory agencies and the Society of Local Government Managers (SoLGM, now Taituarā) – the Compliance Common Capability Programme (CCCP). CCCP sought to build greater professionalisation of the regulatory workforce through strengthening capability and creating a common community of practice. Interviewees told us that the 2014 Productivity Commission report brought a greater focus on workforce professionalisation.

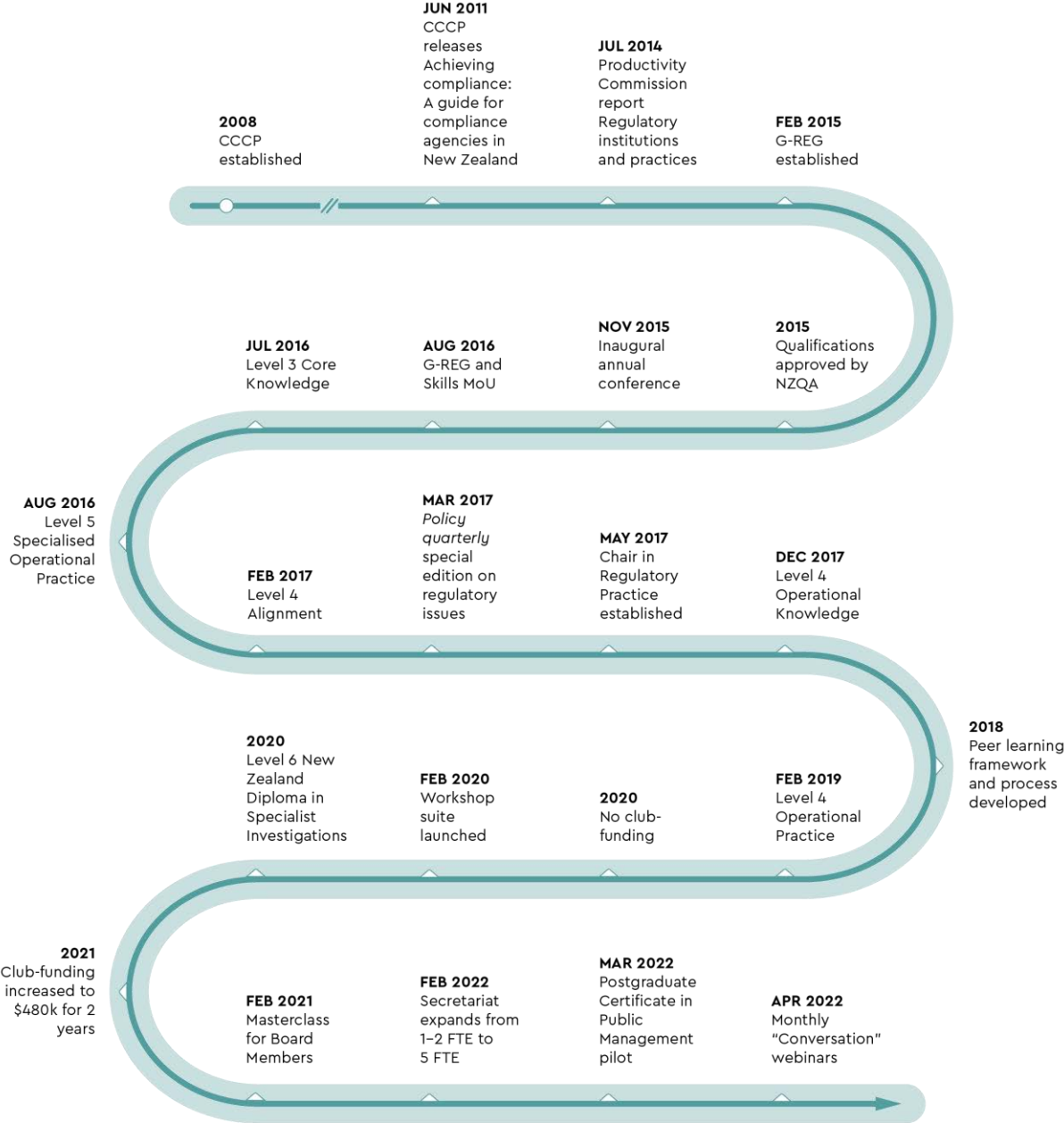
G-REG activities have ebbed and flowed over time, and the initiative has ultimately evolved, partly in response to changing demand, and according to the time and interests of the volunteers who have supported it. As explained later in this report, G-REG's operating environment has changed since its establishment. A key change has been the Government's strengthened expectations on public service agencies for stewardship of their regulatory systems. In turn, this has broadened interest in G-REG's activities to a much wider audience.

G-REG has sought to respond to these changes. For example, we were told that the range of topics at the annual conference has broadened from an initial focus on frontline compliance to include a wider range of regulatory roles (such as legal (prosecutions), investigations and intelligence, and management roles).

The initiative has also been impacted and disrupted by COVID-19. The pandemic response drew attention away from G-REG, and disrupted activities such as advisory group meetings, and the annual conferences (which moved to online delivery). During this time, the Director resigned and was not immediately replaced.



Figure 2: Timeline of G-REG's activities



Operating model

As noted earlier, G-REG is hosted by MBIE. From 2015 until 2020, the Secretariat had a core staff which has varied between one and two FTE, funded from participating agencies. In 2019, a full-time staff member was seconded from (and funded by) Inland Revenue. In 2021 that seconded staff member was



the sole permanent staff member supported in part by contractors. Between February and August 2022, the core team expanded to 5 FTE (three of whom are fixed-term or seconded due to the temporary nature of the committed funding). The team includes a Director, wholly funded by MBIE.

G-REG has no formal legal status, by which it could directly procure products or services. It also has little in the way of supporting infrastructure, beyond a website (until recently administered by Maritime NZ, now hosted by MBIE) and corporate support from MBIE.

A club-funded initiative

Direct funding contributions from participating agencies

G-REG has been funded primarily through annual contributions from 13 central government agencies. These contributions are not secured, but are sought and agreed to each year. The Secretariat has made at least three attempts to gain baseline funding through Budget bids, all of which have been unsuccessful.

From 2015/16 to 2019/20 agencies each contributed \$20,000 a year, providing a total annual budget of \$260,000. In October 2020, G-REG CEs discussed options for future funding and governance. They agreed that, in light of the extra financial demands caused by COVID-19, G-REG would use its reserves to fund its 2020/21 activities.²⁴

Since 2017, ten of the funding agencies along with Treasury and Victoria University of Wellington have also contributed funding for the Chair in Regulatory Practice, based on a five-year commitment.

In June 2021, agencies agreed to provide two years of interim funding at an increased level while baseline funding was again sought. They agreed to each contribute \$30,000 to 40,000 a year, along with \$30,000 from Taituarā on behalf of local government.²⁵ This took total committed club-funding to \$480,000 a year for 2021/22 and 2022/23. In addition to its club-funding contribution, MBIE agreed to wholly fund a permanent Director role.

Participating agencies who are contributing \$40,000 a year are:

- Customs
- Department of Internal Affairs
- Inland Revenue
- Land Information New Zealand
- MBIE
- Ministry for Primary Industries.

²⁴ *G-REG funding and governance*. Paper prepared by G-REG for the Chief Executives Oversight Group, 11 May 2021.

²⁵ *G-REG interim funding*. Paper prepared by G-REG for the Chief Executives Oversight Group, 1 June 2021. Agreed contributions were \$40,000 per department and \$30,000 per Crown Agent, Independent Crown Agency and SOLGM (now Taituarā).



And organisations contributing \$30,000 a year are:

- Civil Aviation Authority
- Commerce Commission
- Environmental Protection Authority
- Financial Markets Authority
- Maritime NZ
- Waka Kōtahi
- WorkSafe
- Taituarā.

During the course of this evaluation, G-REG learned that its latest Budget bid had been declined. At the time of writing, CEs had provided in-principle agreement to fund at the same levels for 2022/23, on the understanding that options will be presented as part of the final business case in April 2023.

There are some fees and cost-recovery charges

Learners pay a fee to the qualifications providers, and providers receive an additional subsidy from the Tertiary Education Commission for each learner. Learners pay a fee of \$350-500 (plus GST) per qualification delivered by Skills, and VUW charges \$7,070 (plus GST and a one-off student levy) for the Post-Graduate Diploma.²⁶ Participants in the Masterclasses for Board Members pay fees of \$1,500 per person, and some of the annual conferences and *ad hoc* events have incurred per person charges.

Light-touch governance arrangements

G-REG has light-touch governance arrangements. The enduring governance structure has been the Chief Executives Oversight Group. This group comprises the Chief Executives of the central government funding organisations and two representatives from Taituarā (for local government), and meets twice a year.

Over the years, the Oversight Group has received advice and reporting via the Secretariat and various Steering and Reference Groups, including:

- Steering Group: 2015-2020
- 3D Network: 2015-2019 (early adopter group)
- Marketing and Communications Committee: 2018-2021
- Partners Group: 2020-2021

²⁶ People working outside the government regulatory sector can do Level 3 Core Knowledge at a cost of \$595 plus GST.



- Champions Network: 2020-2021.

All of these groups had ceased by 2021/22, when a CEs' Representatives Advisory Group was formed to support both the Secretariat and the funding CEs.

As noted above, there has been little in the way of consistent formal programme reporting to governance bodies (such as systematic reporting on planning, deliverables, or expenditure). In the initial stages, regular briefings were provided to the Parliamentary Undersecretary to the Minister for Regulatory Reform.



What G-REG does

A suite of formal qualifications programmes

G-REG has developed and delivered formal qualifications programmes

In 2015, Aotearoa New Zealand's qualifications system was reformed following the Targeted Review of Qualifications. These reforms replaced the National Qualifications Framework with the New Zealand Qualifications Framework (NZQF) and required all national qualifications to be disestablished and new qualifications to be created.

Between 2012 and 2015, CCCP had worked in partnership with Skills²⁷ and New Zealand Police to create a suite of regulatory compliance qualifications and unit standards. These were approved by NZQA and registered on the NZQF in 2015. When G-REG was established, it worked with Skills to deliver programmes aligned to the newly approved qualifications. In 2020, the qualification programmes were revised and became regulatory practice qualifications.

The current NZQF qualifications programmes comprise:

- 2774 Core Knowledge (launched in 2016)
- 2777 Specialised Operational Practice (2016)
- 2775 Operational Knowledge (2017)
- 2776 Operational Practice (2019), and
- 2778 New Zealand Diploma in Regulatory Compliance Investigations (piloted in 2020).

Until 1 October 2022, these qualifications programmes were delivered by Skills. Driven by the Reform of Vocational Education (RoVE), in December 2021, CEs decided to transition from Skills to Te Pūkenga.

The qualifications and their unit standards underwent their first review (done in five-yearly cycles) in 2020. G-REG is now working on a set of requirements for Te Pūkenga to review the qualifications programmes' content, design and delivery to draw on the best of current good practice in performance improvement, evaluation, assessment and learning design.

In addition to the NZQF qualifications, 2022 was the first year of supporting Victoria University of Wellington (VUW) to deliver a Post-Graduate Certificate in Public Management, with a focus on regulatory management. (The Certificate is now marketed as the PGCPM for Regulatory Practitioners). Together with the NZQF qualifications, this means that G-REG can now offer six qualifications across

²⁷ Skills bought out Learning State in 2012. At that time, Skills was called the Electro-Technology Industry Training Organisation (ETITO).



NZQA levels 3 to 8. However, the delivery of the (level 6) Diploma, which was piloted in 2020, has been suspended pending its review.²⁸

Foundational knowledge assessment programmes

The **2774 New Zealand Certificate in Regulatory Compliance (Core Knowledge) (Level 3) – (Core Knowledge)** qualification is designed for everyone who works in, wants to work in, or is closely associated with a regulatory compliance organisation. This qualification's focus is on understanding New Zealand's regulatory compliance environment and key aspects of operating in it.

The Core Knowledge programme is formed around an online self-directed course comprised of six themed modules, delivered over six months. Each module has an online assessment component with a multichoice format. To gain the qualification, learners must achieve a score of 100% for all six assessments. However, the assessments are open-book. If learners cannot pass after two attempts, they are given coaching before attempting a third attempt. There is also a fourth attempt option, which is seldom used.

As a 40-credit qualification programme, there is an expectation that learners will be provided with appropriate learner support, relative to their experience and learning on the job. The expectations on learners' organisations to provide support are discussed below.

The **2775 New Zealand Certificate in Regulatory Compliance (Operational Knowledge) (Level 4) – (Operational Knowledge) qualification** is designed for those who are either preparing to carry out, or supporting others to carry out, frontline regulatory compliance work. This qualification aims to prepare learners to carry out operational regulatory compliance work and is a prerequisite qualification to Level 4 Operational Practice.

Operational Knowledge is also formed around an online self-directed programme comprising three modules: a foundational knowledge module; and two case studies (an investigation at Auckland Council and an audit at Maritime). Learners have four months to complete the qualification. As in the Core Knowledge qualification, successful completion of the course requires the learner to achieve 100% for all three post-module assessments. Like the Core Knowledge programme, the assessments are open-book and multichoice. If the learner makes two unsuccessful attempts they are locked out until they discuss their answers with their assigned Learning Support Person.

Practical qualifications: skills recognition

G-REG has also developed practical qualification programmes. These take the form of skills recognition rather than learning, meaning they certify the knowledge and skills that the participant has on the job. Participants must complete assessments that demonstrate these practical skills.

The **2776 New Zealand Certificate in Regulatory Compliance (Operational Practice) (Level 4) – (Operational Practice)** qualification is designed as a practical follow-on for those who have completed

²⁸ G-REG Regulatory practice qualifications dashboard October 2022.



Level 4 Operational Knowledge and carry out operational regulatory compliance and operational work. Operational Practice consists of five assessment parts: a self-assessment, a written assessment, collation of an evidence portfolio, workplace verification, and an assessment interview.

Once the learner completes the self-assessment, an assessor evaluates suitability to complete the qualification. Upon confirmation the assessor and learner work together to collate a portfolio of regulatory compliance activities, and the learner individually gathers evidence for regulatory compliance interventions and records. The portfolios are submitted to the assessor and once they are satisfied that all requirements have been met, the learner successfully completes the Operational Practice qualification.

Alignments are offered at Level 4 (for both Operational Knowledge and Operational Practice) where an organisation's in-house assessment and learning programmes are robust enough to meet the requirements of the qualifications and standards. Once "alignment" has been confirmed by Skills, all staff who complete the organisation's in-house training are eligible to be awarded the qualification.

There are currently four organisations that have been approved for Level 4 Alignment:

- Auckland Transport
- Civil Aviation Authority
- New Zealand Customs Service, and
- WorkSafe.

The **2777 New Zealand Certificate in Regulatory Compliance (Level 5), with strands in Audit, Inspection and Investigation (Specialised Operational Practice)** is a qualification designed for those who carry out audits, inspections, investigations as a senior regulatory compliance practitioner. Like Operational Practice, Specialised Operational Practice requires completion of a self-assessment, two evidence portfolios, a workplace verification, and an assessment interview within a maximum of eight months.

The **2778 New Zealand Diploma in Regulatory Compliance Investigations (Level 6) – (Specialist Investigations Practice)** qualification is designed for those who lead, manage, and conduct complex investigations. The requirements of the Specialist Investigations Practice programme are the same as the Level 4 and 5 practical assessments: an initial checklist and manager verification, collation of an evidence portfolio, and an assessment interview. The Specialist Investigations Practice programme additionally requires candidates to prepare and deliver a presentation to a panel of subject matter experts on the complex investigation(s) that make them eligible for entry to the programme. This qualification programme takes the longest to complete in the framework, with a maximum of 12 months.



A national pool of trained assessors for the practical qualifications programmes

For the practical skills recognition qualification programmes, learners require an approved assessor. Assessors are recruited from participating agencies and externally, and undergo Workplace Assessor Training.

Assessors are either paid, or provided as part of the in-support of G-REG participating agencies. For each qualification, assessors are paid:

- \$15 per credit for Operational Practice, a total of \$600, and
- \$25 per credit for Specialised Operational Practice, a total of \$1,500.

Skills has experienced ongoing challenges with sustaining an assessor pool. The current pool comprises 42 approved assessors nationwide, around 29 of whom are active.

A university-level course (Level 8)

In addition to the qualifications provided by Skills, Victoria University of Wellington began offering a **Postgraduate Certificate in Public Management (PGCPM)** in 2022. It is aimed at established managers and up-and-coming leaders in central and local government policy and delivery agencies.

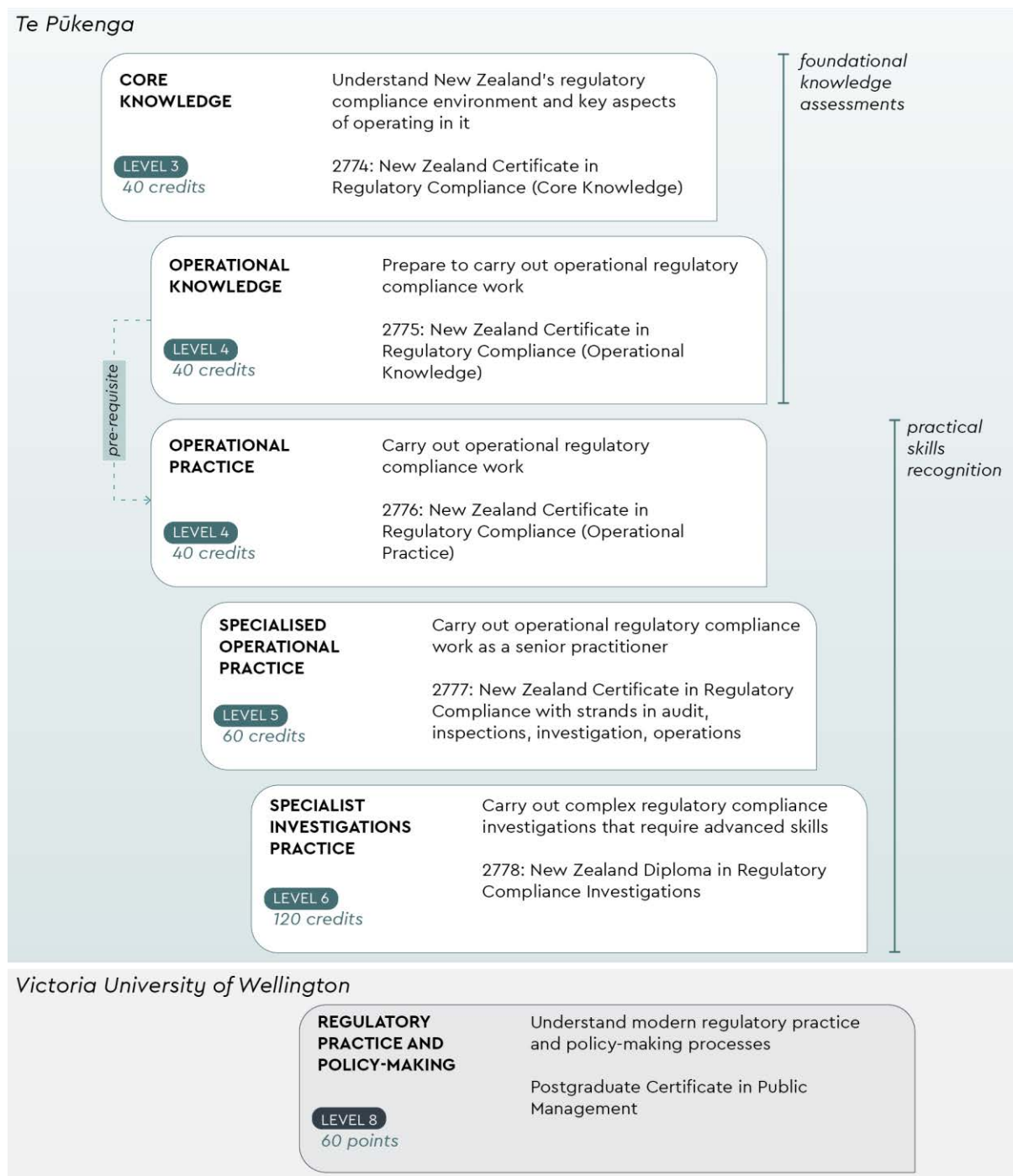
The formal entry requirements are more rigorous than for Skills-delivered qualifications; to be accepted, learners must have a Bachelor's degree, at least two years of relevant work experience in the public sector, and be accepted by the programme director. Where a student does not have any previous university-level study but has extensive practical or professional experience, they may apply for special entry to the course.

The qualifications suite

The following diagram illustrates the suite of regulatory practice qualifications programmes.



Figure 3: Regulatory practice qualifications programmes



Source: Adapted from Skills and VUW.



Agencies are expected to provide support for their staff undertaking qualifications programmes

The expectations on participating agencies are set out in implementation guidance.²⁹ A learner's manager is expected to be able to support the learner through any and all regulatory practice qualifications programmes, and provide advice and guidance when learners are required to collate evidence portfolios as part of a practical course. For Core Knowledge in particular, it is "strongly recommended" that the content is tailored so the learner can understand the content in the context of their own organisation or environment. Skills provides a manager support guide that outlines two options for creating context: either through creating workshops, additional learning material, or support groups that wrap around the online learning material, or by assigning each learner a learning support person that can help them work through the course material.

For qualifications that require evidence of regulatory compliance activities, the learner's manager plays a significant role through completing three verifications with commentary: at the outset to confirm the learner meets the qualification requirements; for the self-assessment; and for the submission of the learner's evidence portfolios.

Annual conferences

The other cornerstone of G-REG's activities has been the annual conferences. Each year since 2015, G-REG has hosted a conference that offers the regulatory community a chance to hear insights from speakers and consider some key challenges across the sector. These are held in Aotearoa New Zealand's major cities (Auckland, Wellington, and Christchurch), with the exception of 2020 and 2021 when, due to COVID-19 restrictions, the conferences were delivered through multi-day virtual events.

Other initiatives for developing people capability

On-going professional development

G-REG has also offered various opportunities for professional development, both for individuals and organisations. Despite a number of efforts, it has not been able to sustain an ongoing programme.

Workshops

Between 2015 and 2019 some *ad hoc* activities were delivered. In 2019, a suite of workshops was designed and scheduled to be delivered from March 2020 by members of the regulatory community and the Chair in Regulatory Practice, with support from Skills. In 2022, an existing Regulatory Stewardship workshop was redesigned to be delivered as a two-hour virtual workshops available on

²⁹ G-REG and Te Pūkenga (n.d.) *Implementation guide: Government regulatory compliance qualifications*. Version 1.0.



demand, and customisable to suit an agency or group. Work is underway to expand on the workshop offering, both virtually and in-person.

Webinars

Inspired by a format developed for the 2021 Annual Conference, G-REG initiated a “conversation” webinar series in April 2022. During these webinars, a range of guest speakers cover a particular topic on the last Friday of each month. The conversation series has been recorded and uploaded to G-REG’s YouTube channel, thereby building a resource library from which clips can be taken to support new learning materials and other G-REG activities.

Masterclasses

In 2021, the Chair in Regulatory Practice, Skills and the Chair of WorkSafe worked together on behalf of G-REG to establish a masterclass in regulation for Board members of regulatory organisations. Based on the success of the pilot, G-REG took over responsibility for administering and delivering the masterclasses in 2022. The masterclass is delivered online over four fortnightly sessions by the Chair in Regulatory Practice. It does not involve assessments and consequently does not lead to a formal qualification.

Providing resources for regulators

G-REG website

A G-REG website was initially developed and administered for many years by Maritime NZ, on behalf of G-REG. Resources were added over time, though these were not proactively curated. The website has recently come to end-of-life and has been transitioned to MBIE’s website.³⁰ A rebuild is underway.

The Chair in Regulatory Practice also has an online resource centre.³¹ Some of this material has been cross-posted on the G-REG site.

Policy Quarterly

Key members of G-REG oversaw the selection, preparation and peer review of articles for a 2017 edition of *Policy Quarterly* focused on regulatory issues.³²

G-REG YouTube channel

G-REG’s YouTube channel was launched in April 2022, with the aim of creating a resource library for the regulatory community. All webinars since those developed for the 2021 Annual Conference have

³⁰ [Government Regulatory Practice Initiative | Ministry of Business, Innovation & Employment \(mbie.govt.nz\)](https://www.mbie.govt.nz/)

³¹ [Chair in Regulatory Practice | Victoria University of Wellington \(vgtu.ac.nz\)](https://www.victoria.ac.nz/chair-in-regulatory-practice/)

³² *Policy Quarterly* 13(4) November 2017 [View of Vol. 13 No. 4 \(2017\): Policy Quarterly \(victoria.ac.nz\)](#)



been recorded and uploaded to the channel, as well as standalone and short film series, such as *Regulating in a crisis*.

Glossary of terms

Creating and using a common language is a key element of a professionalised workforce. The qualifications framework provides the major contribution in this regard. But building on the work of CCCP, G-REG has also published a glossary of terms used across the regulatory community.

Developing organisational capability

Peer learning panels

In 2018, a G-REG Regulatory Stewardship Working Group developed a tool that draws on national and international frameworks to guide peer learning discussions, *the G-REG framework for peer learning*. This framework was published on the G-REG website, and organisations could suggest a topic for a peer learning discussion that was then delivered in that organisation by a panel of nominated individuals with regulatory expertise from a peer advisory pool.

The G-REG Regulatory Stewardship Working Group wound up in 2020, and a core set of leaders enabled continuing support. The initiative was reintroduced in 2022 as a refreshed peer advisory offering.

Funding and support for the Chair in Regulatory Practice

One of the main recommendations from the Productivity Commission inquiry was to create a position to provide intellectual leadership in regulatory practice. Established in May 2017, the role of the Chair is to undertake research on regulatory practice and regulatory stewardship. Professor Jeroen van der Heijden was appointed as the inaugural Victoria University of Wellington (VUW) Chair in Regulatory Practice, for a five-year term. While the role is not technically part of G-REG, the Chair engages with the regulatory community and contributes to activities through hosting workshops, speaking at webinars, creating content such as YouTube videos and blogs, and thought leadership.

The Chair is supported by funding from VUW, ten of the G-REG funding agencies and Treasury. Central government funding contributions have totalled \$190,000 a year since 2018/19. An advisory group of representatives from the funding agencies endorsed the Chair's work programme.

A review of the role was undertaken by the Chair himself, and then a working group of G-REG CEs' representatives, in 2022. The purpose of the reviews was to inform recommendations for the future of the role, when the initial term ends in 2023. In June 2022, G-REG CEs decided a preferred future approach was to not continue with the Chair position, but to instead strengthen and fund G-REG to



provide a bridge with academia, thought leadership across the regulatory system, and develop a research and insights programme.³³

Facilitating a professional community

As mentioned above, one of G-REG's major activities, particularly in its early years, has been the annual conferences. These provide the main forum for facilitating a professional community, through knowledge sharing and networking.

Developing communities of practice

G-REG itself is a community of practice (CoP). Recently, three new CoPs focused on specific domains of regulatory practice have begun to develop. The G-REG Secretariat is providing supporting infrastructure including an FTE resource and use of dedicated MS Teams sites through MBIE. While the development of these CoPs has begun outside of the evaluation time period (post-30 June 2022), we note them here for completeness.

- The **Regulatory Capability Community** is focused on human resource practitioners and regulatory practitioners from central and local government, or people with an interest in regulatory capability building. Each central and local government regulatory organisation is invited to appoint a people practitioner and a regulatory practitioner to take part in the community, though organisations may nominate as many members as they wish, or individuals can join of their own accord.
- The **Investigations Community** is comprised of those working in the field of regulatory investigations in central and local government, or people with an interest in regulatory investigations and improving practices.
- The **G-REG and Treasury Regulatory Stewardship Community** is aimed at people who work in roles that share responsibility for regulatory stewardship in central and local government regulatory organisations.

³³ Next steps for the Chair in Regulatory Practice. Paper from the G-REG Director for the G-REG CEs' Oversight Group, 29 June 2022.



G-REG's activities are summarised in the following diagram.

Figure 4: G-REG's activities



Source: G-REG and MartinJenkins.



A changing operating environment

Changes in the operating environment

G-REG's operating environment has shifted since it was established. Key changes included legislative reforms through the Public Service Act 2020, which include greater expectations on public service agencies to:

- work collaboratively
- strengthen relationships with Māori and uphold the principles of Te Tiriti o Waitangi, and
- meet system stewardship responsibilities.

The Act introduced functional leads in a range of areas across the public services, including regulatory stewardship and assurance (which was assigned by the Public Service Commissioner to the Secretary for the Treasury).

These legislative changes apply to public service departments, departmental agencies and interdepartmental ventures and executive boards, as well as Crown agents (such as Waka Kōtahi, the EPA, CAA, Maritime NZ and WorkSafe). They do not apply to wide public sector organisations, such as autonomous and independent Crown entities or Local Government.

The changes have spurred increased interest in regulatory stewardship staff. They have also contributed to increased demand for supports to build capability in engaging with iwi and Māori.

The rest of this chapter explores G-REG's role in relation to regulatory stewardship. G-REG's potential role in supporting regulatory practitioners to partner effectively with Māori is discussed below, in the case studies chapter.

G-REG's role in regulatory stewardship

Regulatory stewardship involves taking a proactive, systems-view

Regulatory stewardship is the governance, monitoring, and care of regulatory systems. It aims to ensure that all the different parts of a regulatory system work together well to achieve its goals, and keep the system fit-for-purpose over the long term. Effective stewardship involves regulatory agencies taking a proactive and collaborative approach, and a whole-of-system and life-cycle view, so that regulatory systems adapt to changing circumstances in a timely way.



Regulatory agencies have stewardship obligations

Government agencies have stewardship obligations for the primary legislation they administer, and secondary legislation (regulation) made under that legislation. These expectations were introduced for all chief executives of public service agencies in 2013, under the State Sector Act 1988. The Public Service Act 2020 strengthened these expectations, raising stewardship to one of the five principles of public service.

The expectations for stewardship of individual regulatory systems are set out in guidance published by Treasury.³⁴ This stewardship role includes responsibilities for:

- monitoring, review and reporting on existing regulatory systems
- robust analysis and implementation support for changes to regulatory systems, and
- good regulatory practice.

Treasury has functional leadership of the regulatory stewardship system

Regulatory management is the set of policies, institutions, processes and tools used by central government to develop and maintain good quality regulation. Treasury is responsible for strategic coordination of this regulatory management system. This role involves overseeing the requirements around regulatory stewardship strategies and plans, Regulatory Impact Assessments, and good regulatory practice. A central agency, Treasury is not itself a major regulatory department.³⁵

As mentioned above, in 2020, the Public Services assigned the Secretary of the Treasury with the role of functional leadership of regulatory stewardship and assurance. The intention of this new role is to provide the Government with confidence that the public sector is actively delivering on its regulatory stewardship responsibilities. It is focused on providing targeted collaboration and support for chief executives managing key regulatory systems. This includes establishing a Chief Executives group to identify and respond to systemic issues; and overseeing (but not necessarily leading) current initiatives such as G-REG, and taking an active role in securing support or resources for those initiatives that add value.³⁶

Good regulatory practice is part of stewardship

Ensuring good regulatory practice is an integral part of stewardship. The government expects regulatory agencies to:

³⁴ New Zealand Government (2017) *Government expectations for good regulatory practice* (The Treasury: Wellington), p. 3.

³⁵ It does administer some legislation: the Public Finance Act 19089, Part 4 of the Crown Entities Act 2004, the State-Owned Enterprises Act 1986, all legislation relating to the annual Budget, and the Earthquake Commission Act 1993.

³⁶ Letter from Peter Hughes, Public Services Commissioner to Members of the State Services Leadership Team, 14 July 2020.



- provide their frontline regulatory workforce with the necessary knowledge, skills, tools and support to be able to discharge their responsibilities with integrity, review and improve their professional practice
- contribute to wider regulator capability building initiatives within the state sector where there are common interests and benefits from collective action and leadership.³⁷

G-REG is therefore an important part of the regulatory stewardship system. MBIE's commitment to hosting G-REG recognises its role as a major regulatory department with stewardship responsibility for a suite of significant regulatory systems. From mid-2021, G-REG has been hosted in MBIE's Regulatory Stewardship branch.

³⁷ New Zealand Government (2017) *Government expectations for good regulatory practice* (The Treasury: Wellington), p. 5.



Findings





What G-REG has delivered so far

Lack of consistent record-keeping has impeded comprehensive analysis of outputs

As noted earlier, the documentation around G-REG is relatively light. This includes the reporting on activities and outputs, including participation in activities. These have not been systematically and consistently recorded so the information available to the evaluation is almost certainly incomplete. The discussion below is therefore likely to underrepresent G-REG's outputs.

G-REG's has prioritised its efforts on the qualifications programmes

G-REG has become synonymous with the qualifications programmes

To date, G-REG's activities have been dominated by designing, implementing and promoting the qualifications programmes. This focus has partly been driven by the partnership approach with, and the ability to leverage resources through Skills. One impact of this, is that while all staff were committed to good outcomes for G-REG, Skills has been driven by commercial objectives which influenced their recommendations. Over time, Skills also became involved in other aspects of G-REG, such as supporting the workshop series and establishing the masterclass.

The upshot is that G-REG has become synonymous with the regulatory practice qualifications programmes, so that people often speak of having "*done G-REG*". The vast majority of people who have engaged with G-REG have done so through these programmes.

This presented challenges for the evaluation

The intertwining of G-REG with the qualifications programmes posed challenges for the evaluation, as they dominated the feedback we received, as well as the programme documentation. While evaluating Skills and reviewing the qualifications programmes were out of scope, in practice it was impossible to disentangle them from G-REG itself. The stakeholder feedback we received was highly polarised, and much of it was very negative. Most of the negative feedback was related to the qualifications programmes (other negative feedback reflected frustrations with the current funding and operating model).



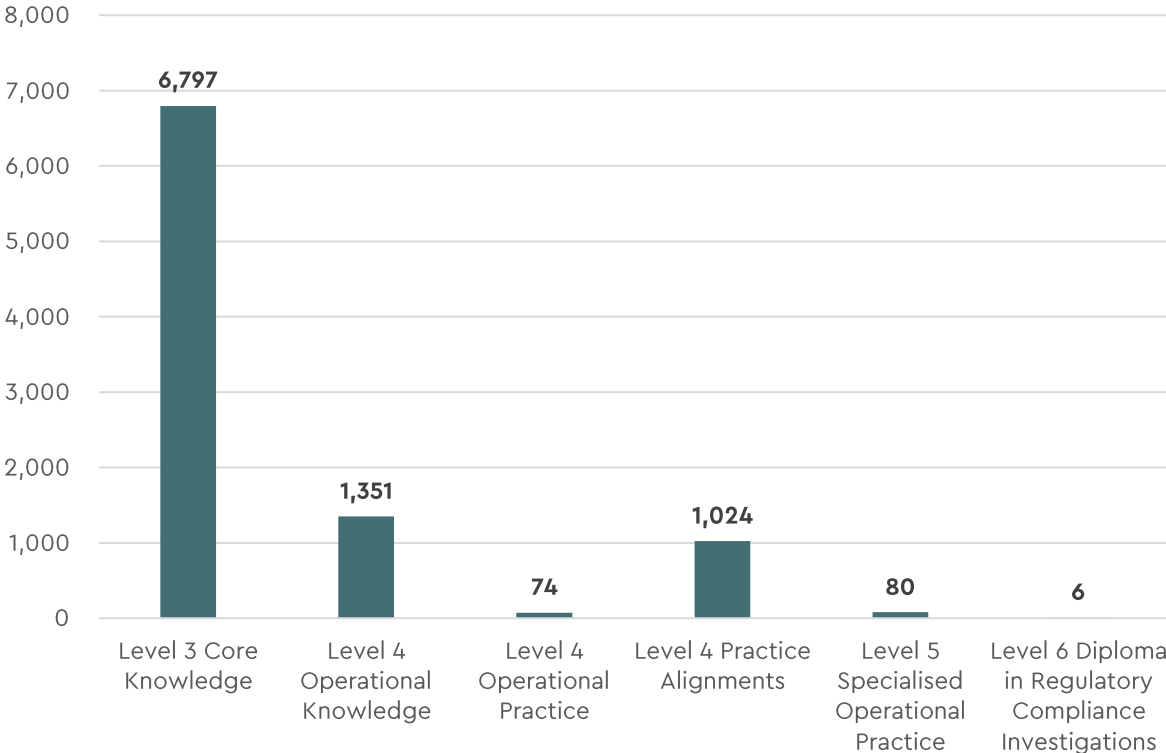
Over 6,700 people have completed Core Knowledge

As at June 2022, over 6,700 people have completed Core Knowledge. Of these, over 1,350 have gone on to complete more than one qualification and 160 have completed three or more qualifications.

Figure 5 shows the number of completions of each qualification. We were told that the limited pool of assessors has constrained the uptake of the practical qualifications, and that demand for these courses exceeds supply.

2022 has also seen the first cohort of 20 learners enrolled in the Victoria University Postgraduate Certificate in Public Management. Nineteen of the 20 completed the qualification.³⁸

Figure 5: Total numbers of qualification completions (as at 30 June 2022)



Source: G-REG Secretariat

Note

1 Level 4 practice alignments are internally assessed by the learner's organisation.

³⁸ G-REG Regulatory practice qualifications dashboard October 2022; G-REG Secretariat activity report December 2022.



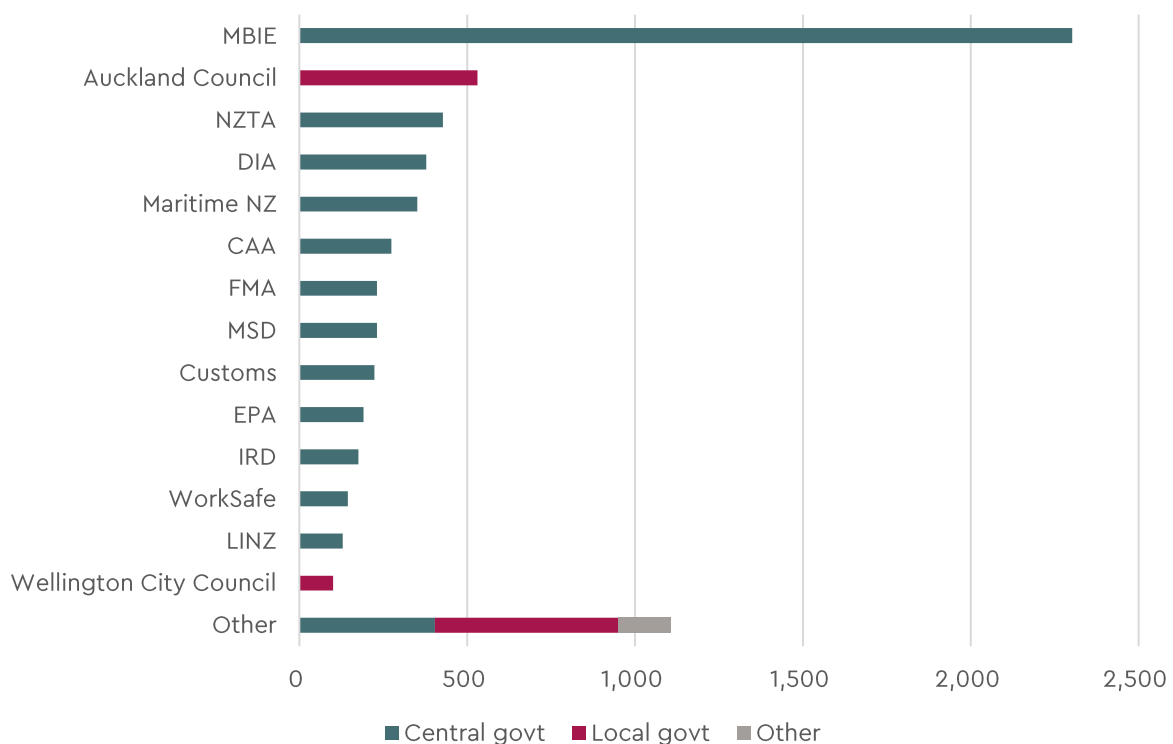
Uptake of qualifications has been patchy across organisations

Uptake of the qualifications programmes has been dominated by MBIE, which accounts for 34% of all Core Knowledge completions. This is unsurprising, given they are a large regulatory agency with responsibility for multiple regimes. A handful of other participating agencies, along with Auckland Council, comprise most of the other completions (Figure 6). Some of these, such as MSD, are not G-REG funding agencies.

For some of these agencies, such as the CAA and EPA, the number of completions represents a significant proportion of their total staff. Other key regulatory agencies have not been major participants in the qualifications. We were told that some funding agencies rely instead on their own in-house training.

Local government accounts for 17% of all Core Knowledge completions. Information on completions of other qualifications is provided in Appendix 2.

Figure 6: Core Knowledge completions by organisation (as at 30 June 2022)



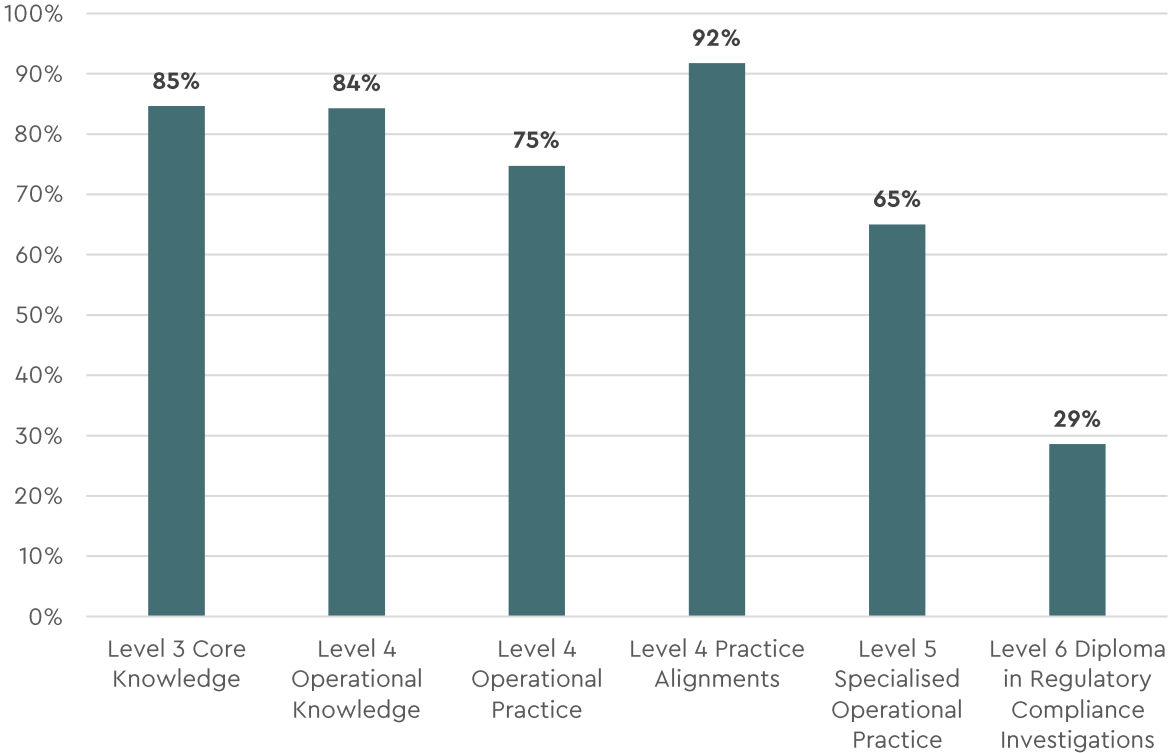
Source: G-REG Secretariat



Completion rates vary across qualifications

The proportion of learners who complete a qualification programme that they enrolled in varies across the qualifications. It is highest for the Operational Practice alignments (which are internally assessed by the learner's organisation) and lowest for Level 6 Specialist Investigations Practice. COVID-19 disrupted participation in this programme. The reasons behind the lower completion rates in the other qualifications is not known, but may be partly due to the limited availability of assessors.

Figure 7: Rates of qualification completion (% of enrolments) (as at June 2022)



Source: G-REG Secretariat

The annual conferences have been well-attended

G-REG has hosted eight conferences.

- the 2015 Annual Conference was held in Wellington
- the 2016 Annual Conference was held in Wellington and Auckland
- the 2017, 2018 and 2019 Annual Conferences were held in Wellington, Auckland, and Christchurch



- the 2020 and 2021 Annual Conferences were held online as multi-day virtual events due to COVID-19 restrictions
- the 2022 Annual Conference was held in Wellington.

The conferences have been well-attended, with well over 500 participants in several years. Details of the conference topics and number of attendees is provided in Appendix 3.

The recent uplift in resourcing has enabled renewed focus on other activities

The recent boost in funding for 2021/22 and 2022/23 has enabled G-REG to expand its other activities. As at June 2022, G-REG had hosted 25 webinars and relaunched a Regulatory Stewardship workshop as an online and customisable product. It had also delivered masterclasses to 41 participants across four cohorts and convened peer learning initiatives. In 2022, G-REG convened three peer learning panels to test and provide feedback on draft regulatory strategies and resources across the sector.

The funding uplift has also enabled the commissioning of this evaluation, and of work to develop the business case for the next phase of G-REG.

But participation in some of these has been modest

However, participation in some of these activities has been low, particularly in comparison to the qualifications programme, and the overall size of the workforce (which is not known, but spans tens of thousands of people across central and local government).

A similar challenge was found in 2020 when several workshops were designed and scheduled. These were launched in February and then paused due to COVID-19. But when they were promoted again later in the year, they struggled to achieve minimum numbers, or sustain voluntary facilitators. Appendix 3 provides details of the topics and attendance in these other G-REG activities.

Monitoring and evaluation have been limited and *ad hoc*

G-REG lacks an agreed monitoring and evaluation framework, with accompanying results measures, and methodologies for monitoring, reporting and independent evaluation. Monitoring and evaluation activities have been *ad hoc*, and include the following.

- G-REG surveys its conference attendees for feedback.



- Skills asks learners to complete a questionnaire before and after completing its courses to help measure improvements in their knowledge, but the results from these questionnaires are not consistently reported through to the Secretariat or the CEs Oversight Group.
- *Ad hoc* internal reviews of the qualifications programmes by Skills have included bespoke participant surveys. For example, Skills conducted a survey of recent graduates in its post-implementation review of the first 18 months of the Core Knowledge certificate.³⁹ Skills also conducted pre- and post-participation surveys in its review of a 2016 Specialised Operational Practice Audit strand trial.⁴⁰
- A research paper by the Chair in Regulatory Practice examined the findings from a one-off survey of Core Knowledge graduates implemented by Skills.⁴¹

³⁹ Tony McKenna (2017) *Regulatory compliance qualifications. NZ Certificate in Regulatory Compliance (Level 3) (Core Knowledge): Post implementation review*. Skills and G-REG.

⁴⁰ Skills and G-REG (2016) *New Zealand Certificate in Regulatory Compliance Level 5 Audit assessment report*.

⁴¹ van der Heijden, Jeroen (2020). *Towards a profession of public regulation: Lessons from the New Zealand G-REG Initiative*. State of the Art in Regulatory Governance Research Paper-2020.07. Wellington: Victoria University of Wellington/Government Regulatory Practice Initiative



Value and effectiveness of G-REG

It is not clear what the full costs of G-REG have been

No reporting on budget and expenditure

There is no reporting on budget and expenditure to the CEs' Oversight Group, so there was no formal financial reporting we could draw on for the evaluation. G-REG is currently run as a cost centre within MBIE, and the way it is operated within MBIE's systems means its accounting treatment is not intuitive to understand.

Revenue is drawn down from reserves to offset expenses, rather than being recognised in full in the period it is received as club funding. By recognising only a portion of the club funding as an expense offset, there has been a growing cash reserve. As at the end of 2021/22, reserves (including funding for 2022/23) stood at \$779,668. Current forecasts are for this to be reduced to around \$170,000 by the end of the current fiscal year. At the end of September 2022, reserves were down to \$670,000.

Figure 8 shows the annual club funding contributions (including the committed funding for 2022/23), against recorded revenue and expenditure. Particularly in the initiative's early years, salaries and some other costs were absorbed by MBIE, giving rise to what appear as under-spends in the recorded expenditure.

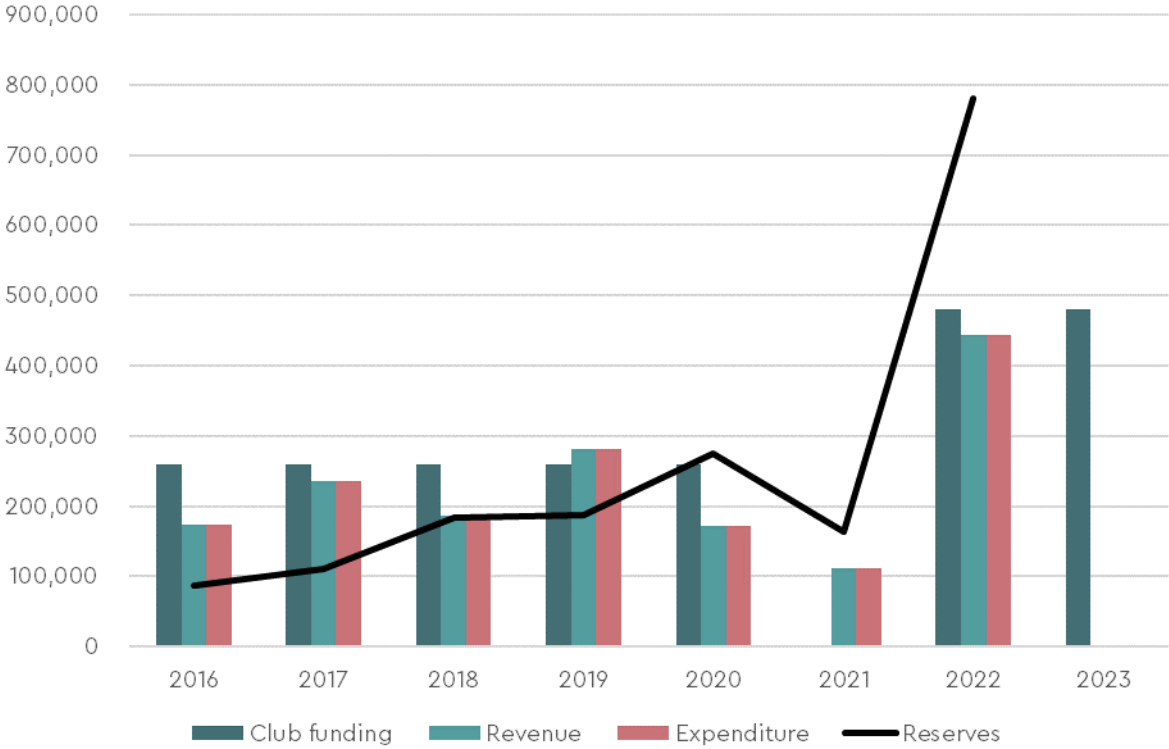
The recorded expenditure does not include the corporate overheads borne by MBIE, or (in 2022) the Director's salary. For 2021/22, corporate overheads totalled \$138,000.

G-REG has lacked visibility of investment by Skills

Most of the work on developing and implementing the qualifications programmes has been undertaken by Skills. G-REG is aware that Skills has had a core team of three to four FTE, as well as access to specialist resources, for work on the qualifications programmes. Beyond that, G-REG has lacked visibility of the funding invested by Skills. In 2020, G-REG requested this information from Skills, prior to making decisions about the RoVE transition in 2021. The document provided by Skills showed that they had spent a total of \$7.5 million, and received income of \$13.2 million between 2015/16 and mid-2020/21.



Figure 8: G-REG financial performance and position



Source: G-REG Secretariat

Notes

- 1 Club-funding for 2023 is the committed funding from agencies. Revenue and expenditure is not shown for 2023 as the year is not completed.
- 2 Revenue in this chart reflects that funding is only recognised when it is used to offset expenses.
- 3 Excludes income and expenditure by Skills.

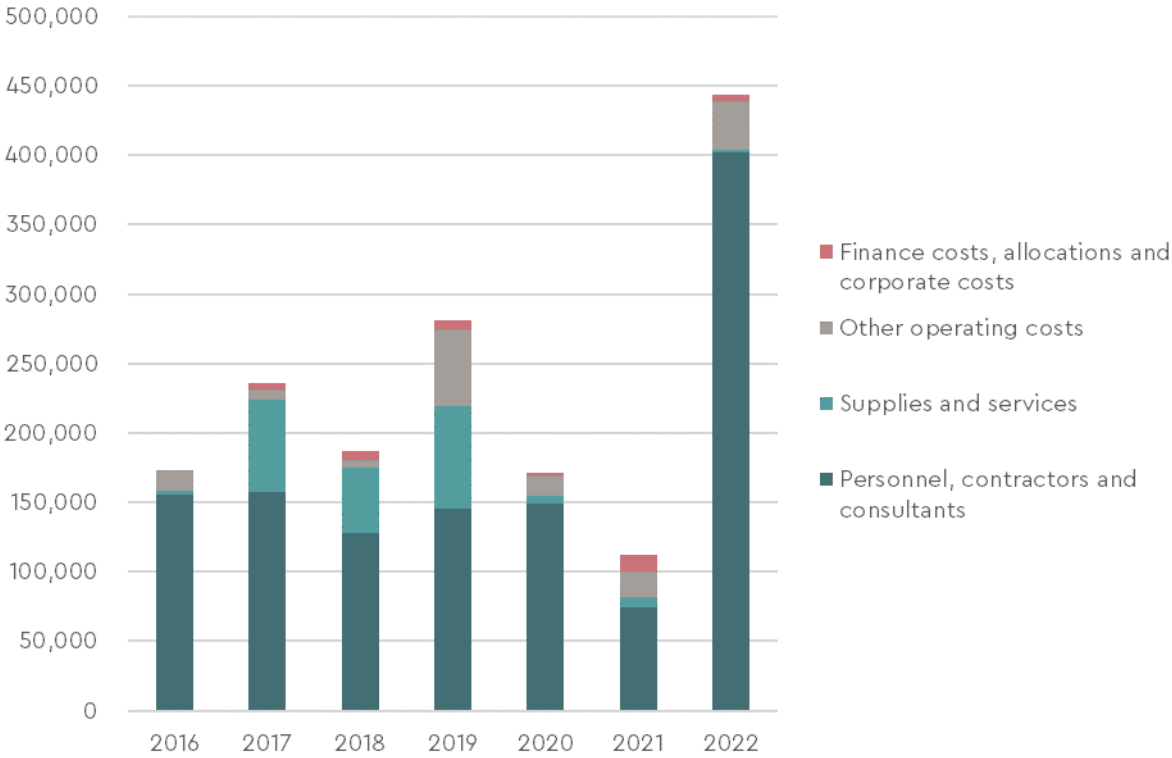
It is not possible to examine expenditure by activity

It has not been possible for the evaluation to determine how much has been spent on each of G-REG's activities given the way expenditure has been coded within MBIE's systems, and the lack of visibility of investment by Skills.

Figure 9 shows a breakdown by type of the Secretariat's expenses. The largest areas of expenditure have been staff (salaries and contractors), followed by supplies and services (primarily for conferences, seminars and catering, and in the last few years online production services). However, it is difficult to make comparisons across years due to changes in the way expenses are coded from year to year.



Figure 9: G-REG expenditure by category



Source: G-REG Secretariat

Significant in-kind supports, particularly from a few key people

In addition to the financial contributions, G-REG (like its predecessor, CCCP) has continued to rely heavily on in-kind support from people within its funding agencies and across several councils. Key people have dedicated a significant amount of time to the initiative over many years. Examples include:

- membership of reference and steering groups
- contributing subject matter expertise and resources to the development and maintenance of the qualifications
- being assessors for the Level 4, 5 and 6 practical qualifications programmes⁴²
- designing, organising and presenting workshops, webinars and conference presentations

⁴² As noted earlier, some assessors are paid modest fees, others are unpaid.



- developing and administering the G-REG website (by Maritime NZ, until it recently shifted to MBIE's website), and
- participating in peer learning panels.

Interviewees emphasised that both the current initiative and CCCP have been a "*labour of love*" by those involved.

The G-REG concept is valuable, but this value is yet to translate into impact

Pockets of value are evident, but much remains unrealised

Most stakeholders that engaged with the evaluation are supportive of the concept of G-REG and what it is trying to achieve. The creation and implementation of a national qualifications framework that began under CCCP and was continued under G-REG, is a key element of workforce professionalisation and is clearly valued by the regulatory community. Other activities to support continuing professional development and communities of practice have also been welcomed by the (mostly senior-level) practitioners who have participated.

G-REG has delivered value to individual regulatory practitioners and their organisations, which are explored in more detail below. However, the desired system-wide lift in individual and organisational capability is not yet evident. While just over half (57%) of survey respondents said they had applied the skills and knowledge learned in their everyday work, interviewees struggled to describe how completing qualifications programmes has translated into changes in operational practice or processes. Several also said that the qualifications programmes are seen as a "tick-box exercise" in some agencies.

So, despite many years of effort, much of G-REG's potential value remains latent.

Maturing as a workforce professionalisation initiative

G-REG is still maturing as a workforce professionalisation initiative. The qualifications programme has helped promote a common language and shared understanding of regulatory principles, and give weight to regulation as a profession. However, agency uptake has been patchy. Participation is higher and more consistent in organisations with a strong internal champion, and senior leaders who lead by example by participating in the courses themselves. Individual champions tend to take their championship with them when they change agencies. Some major regulatory agencies, including some G-REG funding agencies, rely on their own in-house training for their frontline staff.

Furthermore, the qualifications programmes delivered by Skills are structured primarily as knowledge assessments and skills recognition qualifications, rather than active training. While they may help build confidence and knowledge, this delivery model may be limiting the capability development provided through the programme.



The initial focus on establishing the qualifications made sense and has been an important achievement. However, G-REG still lacks some of the elements that the literature suggests are important for increasing professionalisation. For example, people from some agencies told us that while the qualifications are starting to be mentioned in job advertisements, they are not required for entry to regulatory roles, or for career progression. And while G-REG has helped lift the mana of regulatory roles, practitioners feel they still tend to be regarded as "*poor cousins*" to policy and other roles. In these regards, G-REG's aims of building a reputation for professionalism remains a work in progress.



Table 1: Summary of G-REG current state in relation to markers of workforce professionalisation

Markers of a professionalised workforce	G-REG Current state, strengths and weaknesses
A common language and training members of the workforce in that language	This has been the primary focus of G-REG to date, and its biggest achievement
A core set of specialised and applied knowledge, including performance standards	An introductory suite of national, formal qualifications programmes has been developed, though questions exist around the currency of the content and the overall quality of the programmes
A grounded culture that instils a sense of "belonging to the regulatory profession", including shared ethics and sanctions against violations of these ethics	<p>The scope and current size of the "regulatory profession" is not well-quantified</p> <p>G-REG has an identity, though this is intertwined with the qualifications programmes</p> <p>Government regulatory professionals are subject to the same code of conduct as all public servants under the Public Service Act 2020</p> <p>At an organisational level, the club funding and governance model create a proxy membership, but there is very limited distinction between delivery for individuals from funding vs non-funding agencies</p>
Training and qualifications as entry to, and development within the profession, including being continually challenged to stay up to date as a means of career progression for members of the regulatory profession	<p>Qualifications have been a significant focus area of G-REG to date, and have been a significant achievement</p> <p>Qualifications are not required for entry to or career progression within the regulatory workforce</p> <p>Some isolated examples of qualifications contributing to career progression</p> <p>Webinars have provided opportunity for staying up to date, but engagement with these has been modest compared to the qualifications, and the overall size of the workforce</p>
Conferences and networking across the community, including opportunities for mentoring and peer review	<p>Annual conferences have been well-attended, and they have been highly valued</p> <p>Opportunities for mentoring and peer review exist, although they are not formal or widespread. They have been highly valued by participants</p>
Respect and recognition by others in the profession and by the broader community for the knowledge they hold	Emerging, but early in the journey
These characteristics need to not only be in place, but also valued, engaged with, and used consistently by the agencies and practitioners that make up a workforce	Value, engagement, and use are not yet consistent across agencies or practitioners
Narrow and broad dimensions of professionalism "being a professional" and "practicing professionally"	To date, the focus has been more narrow than broad

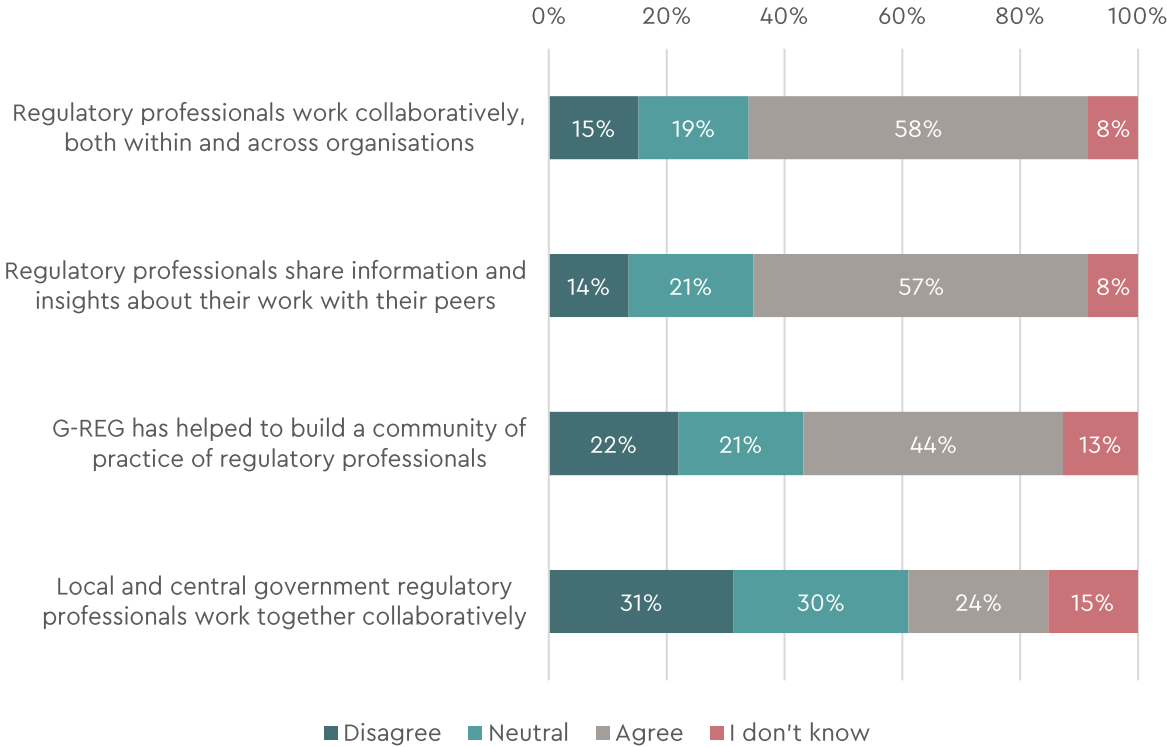


Similarly, it is still developing as a community of practice

G-REG has facilitated numerous events and forums for networking and knowledge sharing. The annual conferences have been well-attended, and feedback from attendee surveys has consistently been very positive. However, participation in other events has tended to be relatively modest in comparison.

Survey respondents generally agreed that cross-agency collaboration and information sharing is occurring, though less so across central and local government (see Figure 10). And interviewees pointed to examples of cross-agency sharing of knowledge and resources that have been stimulated by G-REG, though these are occurring *ad hoc*. But a widespread and systemic uplift in collaboration is not yet evident.

Figure 10: Information sharing and collaboration



Source: G-REG evaluation survey (n=161)

Specialised communities of practice, supported by G-REG, are developing. Interviewees suggested that G-REG could play more of a role in bringing individual regulatory communities together, and creating a stronger sense of "community" across the workforce.



"Many people just don't see themselves as regulators. If people can't see themselves as part of a wider professional community, they become very insular, and their best practice is confined to the immediate people around them."

As discussed earlier, communities of practice are commonly understood to have three core characteristics with common functions: domain, community and practice. The literature also suggests that communities of practice require a strong ongoing secretariat, as well as ongoing commitments and leadership. The following table summarises G-REG's current state in relation to these characteristics.



Table 2: Summary of G-REG current state in relation to core characteristics of an effective community of practice

Core characteristics and foundations of an effective community of practice	G-REG Current state, strengths and weaknesses
<p>Domain: community members have a shared domain of interest, competence and commitment that distinguishes them from others. This shared domain creates common ground, inspires members to participate, guides their learning, and gives meaning to their actions.</p>	<p>Loose targeting has somewhat diluted the strength of the domain focus, including what aspects of the domain G-REG focuses on at any given point</p>
<p>Community: members pursue this interest through joint activities, discussions, problem-solving opportunities, information sharing and relationship building. The notion of a community creates the social fabric for enabling collective learning. A strong community fosters interaction and encourages a willingness to share ideas.</p>	<p>Lack of clarity and shared understanding of who the regulatory community comprises, and on G-REG's target audience within this community</p> <p>Some isolated examples of sufficient levels of trust and sense of community existing for individuals to be "vulnerable" in order to learn (eg through peer learning)</p> <p>Specialised (sub)communities of practice are emerging; these will require active support and resourcing to succeed</p>
<p>Practice: community members are actual practitioners in this domain of interest and build a shared repertoire of resources and ideas that they take back to their practice. While the domain provides the general area of interest for the community, the practice is the specific focus around which the community develops, shares and maintains its core of collective knowledge.</p>	<p>A small, shared repertoire of resources has been built but G-REG lacks a mechanism for curating and sharing these, and for staying up to date and therefore maintaining currency of resources and knowledge</p>
<p>Strong ongoing secretariat</p>	<p>A secretariat function exists – which is positive – but it has lacked secure and adequate funding. This has led to fixed-term contracts and lack of permanent staff</p>
<p>Ongoing commitment and leadership</p>	<p><i>Labour of love</i> and in-kind resourcing signal high levels of commitment from a small number of community members, with consequent sustainability risks (fatigue, key person risks)</p> <p>G-REG has not received either sufficient or secure multi-year funding contributions from participating agencies</p> <p>Absence of formal and measured agency commitment to shared actions</p>



G-REG's progress has been impeded by insufficient and insecure funding

The literature suggests that successful communities of practice require ongoing commitments, but instead tend to be dependent on *ad hoc* resources. These findings are mirrored in this evaluation, which finds that G-REG has been hampered by insufficient and insecure funding.

The insecurity of annual club-funding contributions means the Secretariat has been unable to employ permanent staff, or undertake strategic outcomes-based planning. And oversight at the governance level has focused on annual delivery rather than long-term planning in line with an agreed strategic vision. This has, in turn, been reflected in *ad hoc* activities that lack coherence and a clear theory of change. The absence of an agreed monitoring framework, and consistent monitoring, means that the initiative has not been well-placed to learn how well it is meeting its objectives, and evolve its offerings.

Stakeholders have welcomed the recent boost in energy and resourcing, and applauded the efforts of the new Director. However, they feel the resourcing position is precarious. They also consider the ongoing reliance on in-kind support and goodwill of key people as unsustainable.

G-REG is "there by the grace of those of us who contribute to it."

"I think it needs to be funded through an appropriation. I don't think the club-funding model works, not at the level people are funding. We were looking at a good few million that we would need to actually have this fully staffed and actually get the right skillsets in. I don't see 12 agencies putting in half a million dollars each, not a year-to-year way. I think that that's an important thing, that it has secure funding."

"20 grand is not skin in the game. I get the windows washed at this building for 20 grand."

A key tension in assessing value

As noted above, the qualifications programmes (particularly the Core Knowledge certificate) have dominated G-REG's activities to date, and this was reflected in the stakeholder feedback. Many people described benefits to individuals from completing Core Knowledge, and because this has been how most people have engaged with G-REG, it accounts for the greatest proportion of value delivered to date, due to the sheer volume of participants.

However, the feedback was also extremely divergent, with many people expressing frustration at the quality, relevance, currency and delivery of the programmes. This represents a major tension in the evaluation findings.



Value to individuals includes a lift in foundational knowledge

Qualifications programmes have delivered value to individuals

Most survey respondents (76%) said the qualifications programmes were relevant to their professional development and that G-REG has provided some or a lot of value to them in their regulatory roles (71%). Stakeholders said that the qualifications programmes have helped lift basic theoretical knowledge and instill some consistency.

"I see G-REG as extremely beneficial for the enforcement agencies, and I think that in the regional council compliance world there is an extreme lack of career progression. So, I think with the fact that people were doing these qualifications people were able to move onto other departments. I know we had applicants here saying 'I have G-REG level 3', so you can go 'ok, well they have at least some knowledge in that area'."

The qualifications have also helped build transferable skills. Interviewees described some examples of people transitioning between agencies, but there is more work to be done in this area to better facilitate movement between organisations.

"It would be great to better link up regional/local training with central/G-REG training, to support regulation and compliance personnel to move between jobs in central and local government, and progress along their careers without missing key skills."

Learning effectiveness relies on in-house supports

The effectiveness of the qualifications programmes relies on agencies providing in-house support for learners through the process, and then to tailor the content so that learning is embedded in the agency's specific regulatory context. Responsibility for ensuring learners have the necessary in-house supports rests with Skills.

We found that provision of this in-house support has been very patchy. Awareness of the expectation to provide it is low and some agencies that are aware, struggle to resource it. It appears there has been no mechanism by which to monitor whether learners were receiving the supports needed to ensure the appropriate depth of learning.

"We have found that when frontline staff have undertaken Level 3 or 4, they have really struggled, and we can't provide the additional support they need – there is none available from providers, and we have very little internally. It would be great if G-REG could provide more support – channels for queries, technical guides for course content – so that we can help guide and support our learners."



Practitioners value participatory learning and information sharing

Interviewees expressed mixed views on the effectiveness of online and self-directed delivery of the foundational qualifications programmes. Some were also frustrated with the length of time required to complete each certificate (Skills requires them to be completed over a six-month period⁴³).

We heard strong desire for participatory learning models, involving discussions (whether face-to-face or virtually) with teachers, experts and peers. Practitioners value the peer sharing and networking aspects of the conferences, and the peer learning panels have also been well-received. For example, conference participation surveys have consistently shown that people want more networking opportunities, more interactive and practical discussions with each other and with presenters, and greater focus on cross-agency regulatory collaboration.⁴⁴

Many people found the qualifications programmes too basic and outdated

Many people told us the foundational qualifications programmes are too basic or too generic.

"It was such a basic level and content that if you have been in government long enough, you are already across it."

"The qualifications gave basic knowledge in the New Zealand regulatory environment - it was more a refresher on New Zealand government than adding to my current knowledge. The examples used were not directly relevant to my work."

Some regulatory agencies require all staff to complete the Core Knowledge qualification programme, to instil these principles and a common language, and provide leader role-modelling. However, if the relevance of the course is not clearly explained to participants, they can end up confused by the experience.

"We learned the hard way - we had people from our frontline service delivery area who were enrolling in G-REG. Some of the G-REG brochures talk about G-REG as being a 'must-do' for anyone working in the public sector - but it isn't whatsoever relevant to most of our roles."

On the other hand, experienced practitioners have found the courses too simplistic and generalised.

⁴³ The six-month period (400 hours of notional learning) is based on the qualification providing 40 credits.

⁴⁴ G-REG Conference evaluation data report (2015-2017).



"G-REG overall is fine. But I couldn't point to any particular person and say 'G-REG really helped them' or 'G-REG has had a clear impact on their work'. The power of G-REG is for those agencies whose regulatory maturity is quite low. The power, to my mind, is possibly in the local government space, where you see more coalface regulation without the full gravitas of the state behind it."

We also heard widespread views that qualifications programmes' content is out of date, and needs refreshing and updating.

"The G-REG content really needs a refresh every year or two. How does it continue to remain relevant with all the global changes that are happening as well?"



Relevance for the future

The original rationale for G-REG remains sound and relevant

High-profile regulatory failures since G-REG's inception reinforce the need for a lift in the quality and consistency of regulatory practice, including government agencies' understanding of their roles as modern regulators. For example, the 2019 review into Waka Kōtahi identified weak regulatory capability, experience and culture as a contributing factor to systemic regulatory failures, including in its enforcement of the Warrant of Fitness regime.⁴⁵

"Regulatory failure costs the country – Cave Creek, WoF system, leaky homes. When the failure occurs, money is found. I'd rather that we address these regulatory gaps and issues up front, rather than finding the funding to fix the problem when it occurs... If we don't get baseline funding for regulatory workforce strengthening there is no doubt we will experience another major regulatory failure."

Lack of clarity on the target audience

G-REG lacks clarity on what it is and who it's for (even as to whether the qualifications programmes provide training or skills recognition). It lacks an agreed definition of "regulatory practitioner", including the types of roles and number of people, and hence the target audience.

This lack of clarity is reflected in its difficulty in articulating a clear value proposition, and in effectively marketing its offerings. For example, recent marketing material stated that Core Knowledge is for:

- frontline operations staff
- specialists within a non-regulatory field
- people new to New Zealand, and
- people new to working in government organisations.⁴⁶

Our finding echoes that of Professor van der Heijden, who observed that one of the main challenges facing G-REG in the development of the Core Knowledge qualification programme is that "it is aimed at *everyone* working in the New Zealand regulatory environment."⁴⁷

⁴⁵ MartinJenkins (2019) *Review of the New Zealand Transport Agency's regulatory capability and performance*. Report for the Ministry of Transport. [Review-of-NZTA-Regulatory-Capability-and-Performance.pdf \(transport.govt.nz\)](#)

⁴⁶ Te Pūkenga, G-REG, New Zealand Government and Taituarā *Regulatory compliance qualifications overview*.

⁴⁷ van der Heijden, Jeroen (2020). *Towards a profession of public regulation: Lessons from the New Zealand G-REG Initiative*. State of the Art in Regulatory Governance Research Paper-2020.07. Wellington: Victoria University of Wellington/Government Regulatory Practice Initiative, p. 14.



"I wonder, are we using G-REG correctly? We wanted something to bring us together, but is it working for everyone? G-REG has grown in an ad hoc way, and it has become less clear who we are trying to help and who it is for."

G-REG needs to be more responsive and adaptive

G-REG lacks the dedicated capability, systems and processes to enable it to understand and respond to the needs of its audience, and adapt to changing contexts, such as government expectations and shifts in regulatory best practice. This includes the evolving understanding of what it means to be a modern regulator, and increased government expectations around cross-agency collaboration. This is particularly important for the qualifications programmes.

We note that the initiative maintains connections with the Chair in Regulatory Practice through webinars and dissemination of his research. But there is no mechanism for systematically reviewing and adapting its offerings in light of the latest research. As noted earlier, the CE's Oversight Group recently decided to direct their funding contributions for the Chair into strengthening G-REG, in order to better achieve this purpose.



Case studies





Case study 1: Supporting regulatory practitioners to work with Māori

Regulation is central to almost all areas of work undertaken by both central and local government, and the interaction between traditionally Pākehā-centric approaches to regulation, and te ao Māori, is often extremely complex.

As a programme intended to lift workforce capability, G-REG could potentially play a role in helping the regulatory workforce to build its knowledge and capability in this space. The evaluation therefore explored how G-REG could incorporate or support regulatory practitioners to partner with Māori and deliver on Te Tiriti. Interviewees did not spontaneously raise the issue of whether or how G-REG could do this, indicating it might not be front-of-mind for many people. When explicitly prompted, they made the following suggestions.

G-REG needs to determine its role in this space

When asked, the majority of interviewees said that G-REG could play a role in helping the regulatory workforce to better engage with iwi and Māori. However, they had mixed views on what shape this could take and the level to which G-REG should be involved.

Interviewees suggested that G-REG could engage with the wider regulatory workforce to better understand the key knowledge gaps in this space and how G-REG could support the workforce to develop. Suggestions provided were focused on G-REG facilitating training opportunities in te reo Māori, Te Tiriti o Waitangi, and mātauranga Māori.

"G-REG needs to talk directly to Māori, to look to them for direction – perhaps starting with Māori regulators at MBIE, making space for them to come and talk."

Invite Māori into G-REG in an authentic way

Engagement with iwi and Māori cannot be done sporadically or on an *ad hoc* basis: it must be a genuine, relational process and built over time. Some interviewees suggested that, as a starting point, G-REG could identify key existing cross-government networks of Māori advisors and begin the conversation about how best to directly engage Māori in G-REG as a programme. This may include greater inclusion of Māori in the governance of G-REG, and also in the design of activities and the content of qualifications and professional development initiatives that are delivered.

"People are scared of this space, because they are afraid of getting anything wrong. But we absolutely must have these conversations."



Sharing success stories

G-REG is a key means by which regulators can meet and connect, and share information on current developments and best practice in their sectors. Properly resourced, these channels can provide an opportunity for regulators to share their experiences in engaging and working with iwi and Māori on challenging regulatory issues. Examples of such progress include the Joint Management Agreement⁴⁸ between Waikato-Tainui and the Waikato District Council, and the Ministry for the Environment's incorporation of mātauranga Māori into environmental policy.⁴⁹

⁴⁸ Waikato Tainui and Waikato District Council (2010) *Joint Management Agreement* [waikato-river-joint-management-agreement.pdf](https://www.waikatodistrict.govt.nz/~/media/00000000-0000-0000-0000-000000000000/waikato-river-joint-management-agreement.pdf) ([waikatodistrict.govt.nz](https://www.waikatodistrict.govt.nz/))

⁴⁹ Ministry for the Environment (2021) *Mātauranga Māori and the Ministry* [Mātauranga Māori and the Ministry | Ministry for the Environment](https://www.mfe.govt.nz/~/media/00000000-0000-0000-0000-000000000000/matauranga-maori-and-the-ministry-ministry-for-the-environment.pdf).



Case study 2: Value and relevance for local government

Local government is a core element of Aotearoa New Zealand's regulatory system. Local government regulation impacts the everyday lives of New Zealanders, building the strength, resilience and wellbeing of local communities, through managing plans for local development, civil defence planning, enacting bylaws, and community partnerships. The system is comprised of:

- 11 Regional Councils
- 61 territorial authorities (11 City Councils and 50 District Councils), and
- six Unitary Councils (territorial authorities with Regional Council responsibilities).⁵⁰

Local government mainly engages with G-REG through the qualifications programmes

The feedback received from survey respondents and interview participants shows that the main exposure that local government has to G-REG is the qualifications programmes. A third (33%) of local government survey respondents have completed a qualification (of which, 91% indicated that they had completed Core Knowledge). Interview participants stated that the current qualifications are beneficial in helping those without a regulatory background to understand what it means to be a regulator. The majority of local government survey respondents (82%) feels that the qualifications programmes have been relevant to their professional development as regulators.

"G-REG is a great avenue for people who want to get into this area [regulation and compliance] and learn the skills they need."

G-REG needs to consider how it could best provide support to local government

Stakeholders expressed appetite for G-REG to provide more support for local government. Regulatory activities – especially compliance, monitoring and enforcement – are at the core of local government, and much of this activity is common across all councils. There is significant scope for G-REG to engage with local government and to support workforce upskilling and develop consistency of practice across councils.

⁵⁰ Ko Tātou LGNZ *Local government in NZ* [Local Government in NZ | Ko Tātou LGNZ](#). Accessed 28/11/22.



"I'm not fully aware of how local government is currently engaged by G-REG, but I imagine it would be hugely beneficial for them and their compliance and enforcement functions."

Although there is clear scope for G-REG to support local government, there are challenges.

- **The number of councils** makes delivering activities and support to local government difficult. With more than 70 councils across New Zealand, delivering meaningful and engaging support may be challenging.
- A perception exists that G-REG has tended to **focus on central government** regulatory agencies and functions. Local government stakeholders feel that G-REG generally focuses on Wellington-based regulatory activity, and that as a programme it is unsure how best to engage with local government. G-REG's limited resources to date have confined its in-person conferences to the main centres, and this presents barriers for local government participation in terms of direct costs as well as release time.

To ensure that G-REG is of maximum value and relevance to local government, stakeholders would like to see a dedicated piece of work to engage with the sector (including with Taituarā, Local Government New Zealand, and individual councils) to understand and identify how best G-REG can support and enhance regulatory capacity and performance across the local government sector.

"It's really simple: G-REG just needs to engage with councils and ask 'what do you need?'"

Suggestions for how G-REG could better support local government

Stakeholders provided a range of suggestions for how G-REG could begin to better tailor its offering to local government:

- **facilitate seminars** in which central government regulatory specialists share their knowledge and expertise with local government practitioners
- **hold events in the regions** to be more inclusive of local government and less focused on urban centres
- **design and deliver** local government-specific qualifications or training modules (for example, in building regulation; compliance, monitoring and enforcement; operating in a local government context), and
- **proactively focus** on major areas of reform and develop training tools and resources to support and inform local government (for example, Three Waters Reform Programme and the new Natural and Built Environment Act).



This poses questions around the scope and funding of G-REG

More effectively serving local government raises questions for G-REG around its scope and target audience, as well as its governance structure. Meeting the needs of local government would also have implications for the size of G-REG's budget. As explained in the following chapter, we believe that G-REG needs to determine its target audience, before questions around how it best serves that audience can be addressed.

These conversations would need to consider how G-REG might fit within the broader ecosystem of capability raising mechanisms and institutions within local government, such as Taituarā, the Regional Council Compliance and Enforcement Special Interest Group, and the Environmental Regulators Network.



Conclusions and recommendations





Conclusions and recommendations

G-REG has not been set up to succeed

G-REG has not been set up in a way that has enabled it to deliver the desired system-wide outcomes and meet the level of expectations on it. Its insufficient and insecure funding means it has lacked the resources and certainty to effectively plan and manage activities, and to measure and monitor results.

G-REG has suffered from the constraints of its predecessor initiative, the CCCP, in terms of reliance on in-kind contributions and goodwill, which is not sustainable and has possibly been exhausted. It has also become intertwined with Skills and the qualifications programmes, to the extent that these programmes dominate G-REG's activities and brand.

The current club-funding model is not effective. It relies on unsecured annual contributions, which has created an operating and governance model that lacks a strategic and coherent approach. Multiple efforts to gain baseline funding have been unsuccessful.

G-REG requires sufficient and stable funding, so the Secretariat can employ permanent staff. It also needs a critical mass of resourcing, commensurate with the expectations on what it should deliver.. Secured multi-year funding would provide the foundation for more strategic programme planning as opposed to its current ad hoc approach to designing activities. It would also support more rigorous programme management disciplines, such as more formal and comprehensive reporting its governance group.

A strategic reset

Determine G-REG's unique value proposition, within a broader regulatory capability-building system

G-REG is currently struggling with lack of clarity around its purpose and scope, and therefore on its target audience and how it fits within a broader system of supports for developing the capability of regulatory practitioners. A critical next step for G-REG is to clarify its objectives, and identify where and how it can bring the greatest value within this workforce development system. This assessment should involve:

- revisiting G-REG's goals of supporting workforce professionalisation and community of practice, in light of the literature and evaluation findings presented in this report
- mapping out the wider system of capability building mechanisms for regulatory practice, and locating G-REG's unique value proposition within this system, and



- determining how G-REG can deliver the greatest “bang for the buck” within this system, including target audience, and from there, the most appropriate content, and delivery mode and platform.

These choices will in turn drive different choices around operating model and funding needs/model. This includes the extent to which G-REG aims to meet the needs of local government, as well as decisions around its governance, location, legal status and resourcing.

Clear purpose and objectives

As noted above, G-REG has applied most resource to date on one-off formal qualifications, rather than ongoing professional development. Van der Heijden (2020) questioned whether a focus on one-off courses can be expected to deliver lasting changes to on-the-job behaviours. Drawing on the literature on learning and training, as well as feedback from G-REG graduates and their managers, he suggested that ongoing and active learning would be more effective.⁵¹

A strategic reset of G-REG should involve developing a clear purpose, objectives and scope, and using these to design an appropriate balance of offerings. This should include consideration of how qualifications may fit within a broader workforce capability building programme. A focus on supporting ongoing professional development through communities of practice may be a more helpful way forward.

Staying up to date

G-REG needs a mechanism and dedicated capability for staying abreast of developments in regulatory theory and practice, and the government operating environment, and then adjusting its offerings accordingly. G-REG also needs better connections with its audience, in order to plan and evolve its offerings in light of changing demand and need.

Better monitoring is possible

Consistent tracking of outputs

Developing a clear purpose and objectives would enable G-REG to then design a fit-for-purpose results monitoring framework. This should include consistent measures for tracking their outputs, such as:

- the number, date and topic of workshops, webinars and peer learning panels held
- the numbers of participants in each event or forum, and

⁵¹ van der Heijden, Jeroen (2020). *Towards a profession of public regulation: Lessons from the New Zealand G-REG Initiative*. State of the Art in Regulatory Governance Research Paper-2020.07. Wellington: Victoria University of Wellington/Government Regulatory Practice Initiative, p. 19.



- basic demographic information on participants according to consistent category definitions (eg around organisation and roles).

This would enable comparison over time and support greater transparency to funders.

Measuring short-term outcomes on individuals and organisations

Participant surveys are useful for feedback on content and delivery, but ideally these surveys would also revisit participants several months later, to see if there have been any changes in individual behaviour or practices. Tracing alumni over a longer period would help measure impacts on their career development, though this can be difficult due to high rates of attrition from longitudinal surveys (eg maintaining current email addresses). One option could be to conduct annual surveys of Learning and Development managers in participating organisations, to gather generalised information.

It would also be useful for G-REG to track changes in organisational practices and processes, for example as a result of peer-learning panels. This could be done through a case study approach, that documents the changes implemented, and any consequent shifts in their organisational results.

There should be greater transparency in financial management and reporting

To provide assurance to the governance group and enable to Director to plan and know they are managing to budget, there needs to be greater transparency of revenue and expenditure. Ideally, this would include visibility of how resources are being applied by service providers.

Working within MBIE's financial reporting system has likely limited how expenses and revenue have been able to be recorded, while also enabling amounts to be absorbed (either intentionally or not) by MBIE. To be able to have greater transparency, there would need to be a change in how items are accounted for. This change could be using a G-REG project code to track amounts that are recorded in other cost centres, or developing a cost allocation model to fully cost activities. Project codes could also be used to tag expenses to activities to monitor the costs of different services over time.

Regardless of the system used to monitor expenses, it would be helpful for coding to be consistent over time. Process documentation and handover notes can help ensure accounting processes are kept the same as staff change, for comparable financial reporting over time.

Effective monitoring and evaluation require dedicated resources

Funding for monitoring and evaluation should be built into any future funding stream for G-REG. Resources (including funding and dedicated Secretariat time) should be ringfenced to enable effective ongoing monitoring, and independent evaluation. Findings from monitoring and evaluation activities should be systematically used to inform the continuous improvement of G-REG's offerings.



Appendix 1: G-REG theory of change and intervention logic

Figure 11: G-REG theory of change

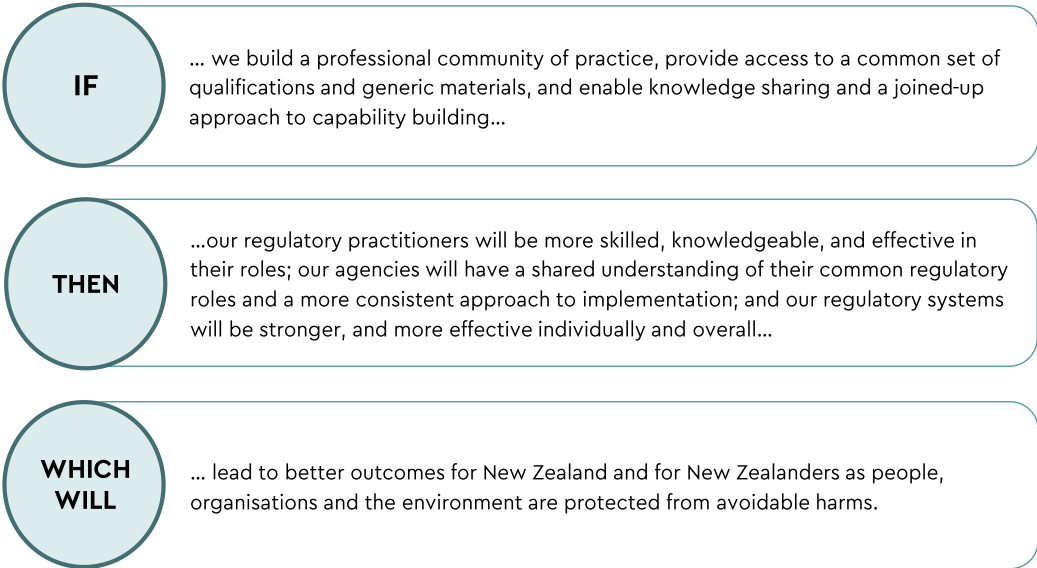
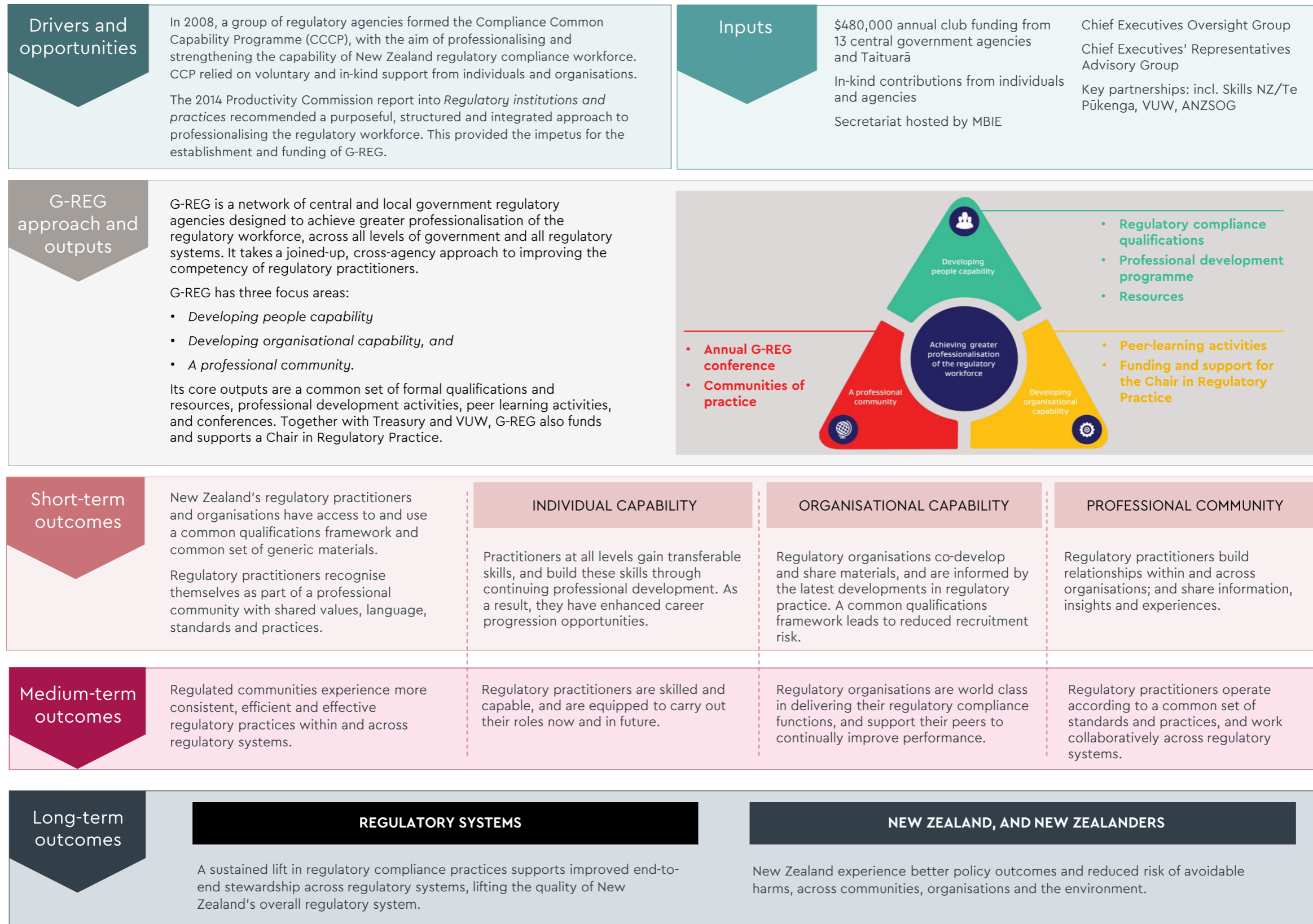


Figure 12: G-REG intervention logic map

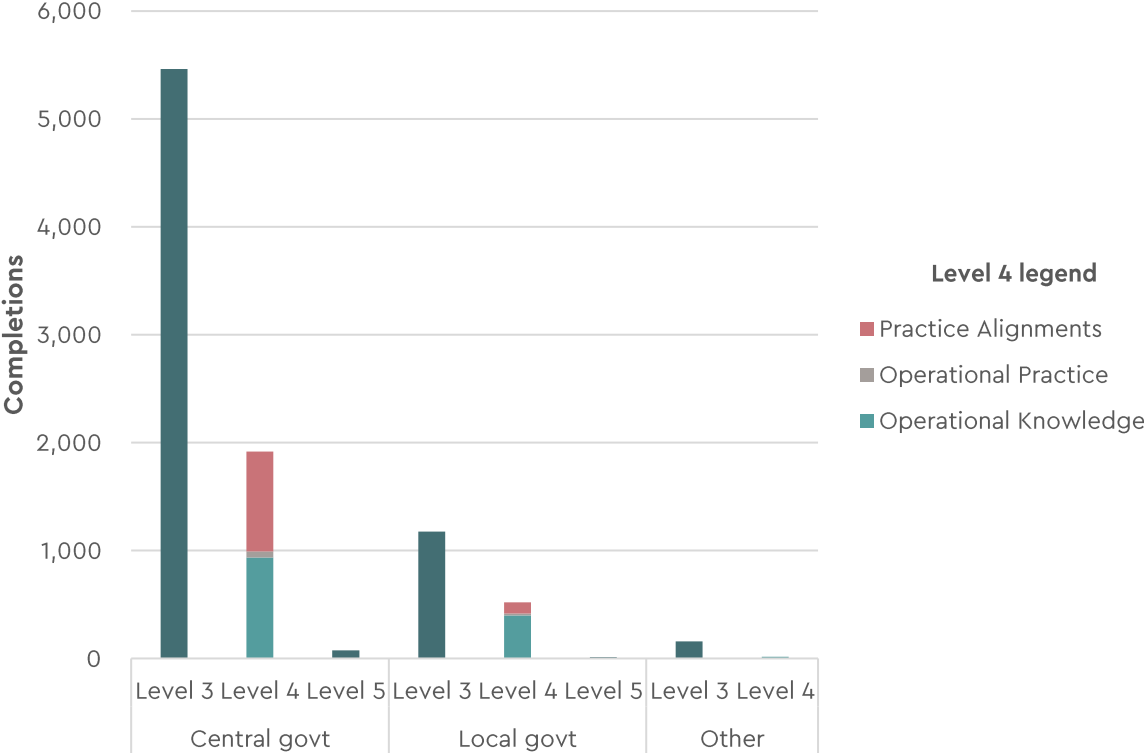


Appendix 2: Regulatory practice qualifications

Completions by qualification

Most courses have been completed by central government organisations. Most courses completed at Level 3. Local government organisations are more likely to have staff completing level 3 take higher level courses, compared with other organisations who are less likely.

Figure 13: 2016-2022 completions by level and organisation type



Source: Skills



Enrolments have also trended down during the COVID-19 pandemic.

Figure 14: Training start dates for completed programmes from 2016-2022



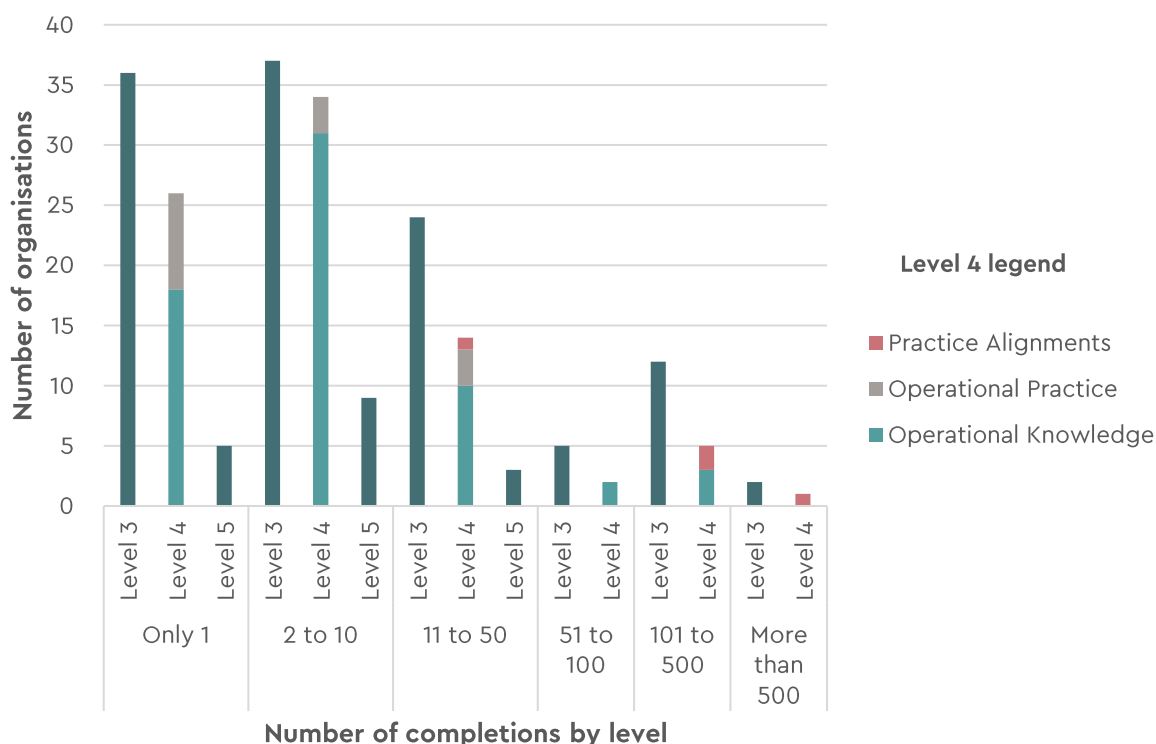
Source: Skills



Completion volumes across organisations

Most organisations have had fewer than 50 staff complete training over the last eight years. There are three organisations with more than 500 completions at a given level – MBIE (2,302 at level 3), Auckland Council (531 at level 3), WorkSafe (722 at level 4 Practice Alignments).

Figure 15: Overall number of organisations by completion rates



Source: Skills

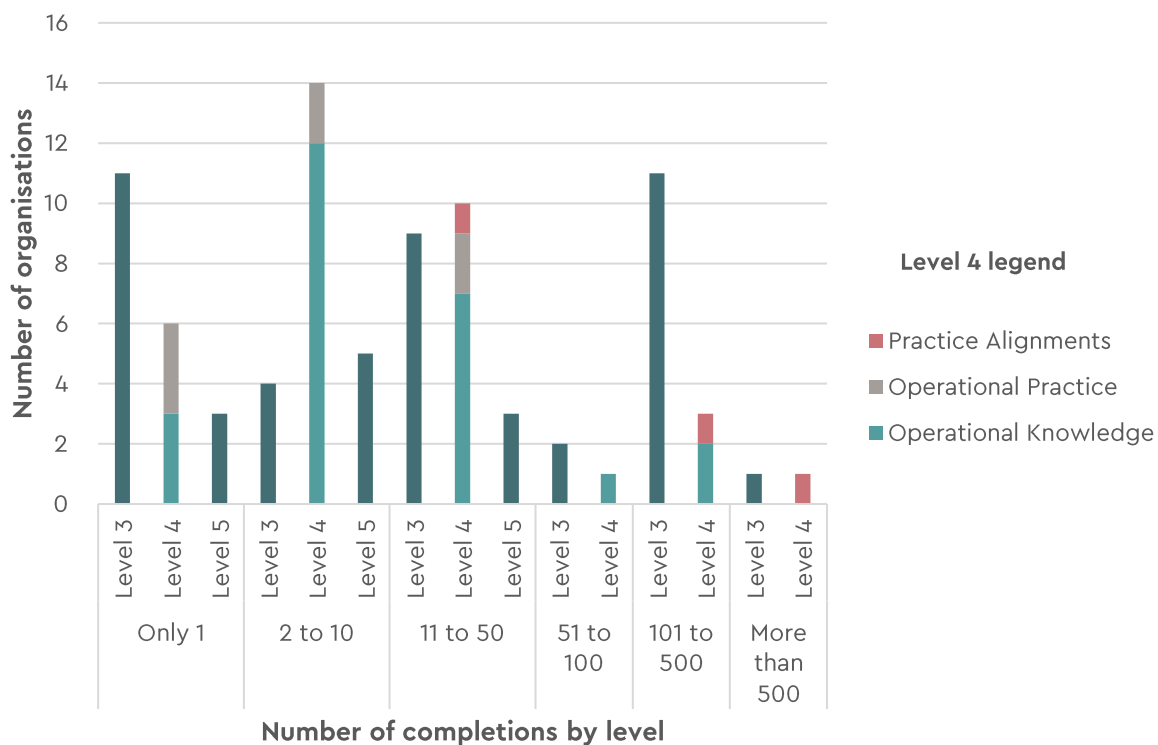
This chart looks different for central government, local government, and other organisations:

- **Central government** (including departments, departmental agencies and Crown agents) have more organisations with over 100 staff members completing courses. Practice alignments are also used where there is either a core group (of 11-50 staff) or large group (more than 100 staff) completing a level 4 course.
- **Local government** organisations often have a small group of staff completing level 3, but only 1 or 2 people complete level 4. Auckland Transport – Viaduct Harbour are the only local government group completing level 4 practical alignment (for 104 staff).



- **Other organisations** mostly have only one staff member completing a course, with the highest uptake coming from the Social Worker Registration Board with 34 completions – all level 3. Level 4 completions are small and reflect 27% of Level 3 completions from the same organisations.

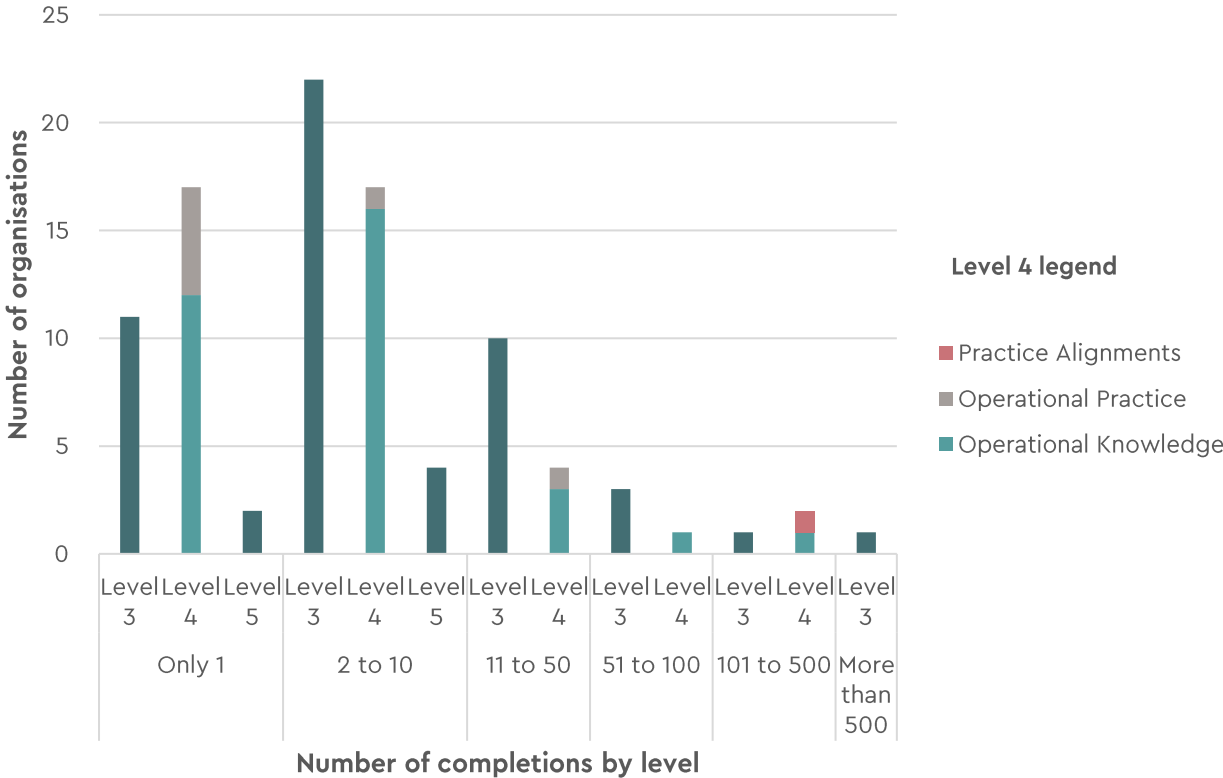
Figure 16: Central government organisations by completion rates



Source: Skills



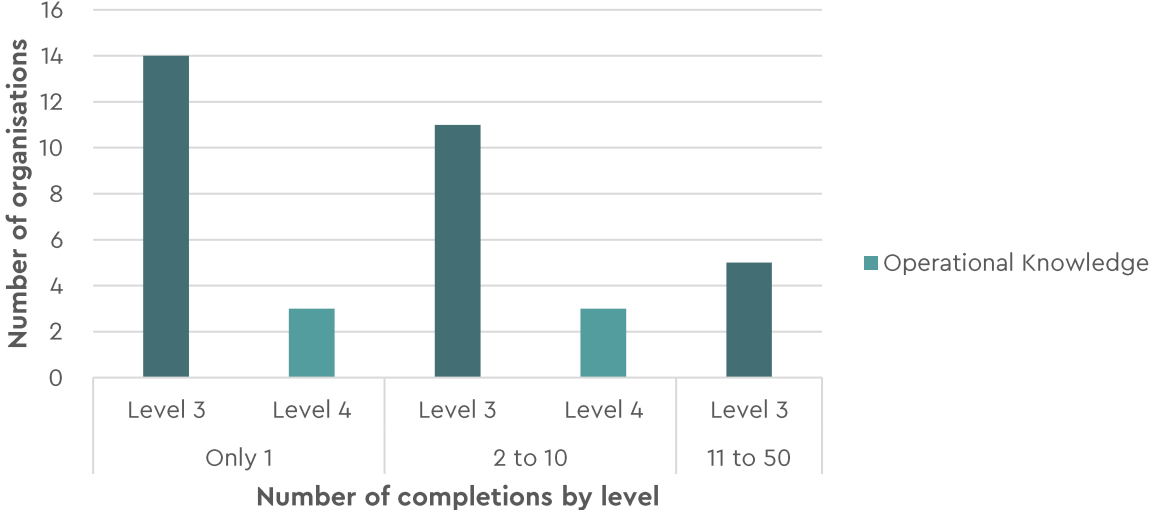
Figure 17: Local government organisations by completion rates



Source: Skills



Figure 18: Other organisations by completion rates



Source: Skills



Appendix 3: Other G-REG activities

Table 3: Annual conference topics and attendance

Date	Topic	Location(s) and number of attendees
2015	Compliance planning for regulators	Wellington: [not recorded]
2016	The exercise of regulatory discretion – creating and supporting good decision-making with and across agencies	Wellington: 238 Auckland: 216 Total: 454
2017	Risk and the communication of risk	Wellington: 222 Auckland: 230 Christchurch: 138 Total: 590
2018	Curiosity, conversation, collaboration	Wellington: 215 Auckland: 203 Christchurch: 161 Total: 579
2019	Regulating with integrity: navigating the "could I / should I" decisions	Wellington: 236 Auckland: 209 Christchurch: 97 Total: 542
2020	The modern regulator	Online (see Table 4)
2021	Conversations	Online (see Table 4)
2022	Ehara taku toa i te toa takatahi, engari he toa takitini Our strength is not as an individual, but as a collective	Wellington: 280

Source: G-REG Secretariat.



Table 4: Webinar topics and total views

Date	Topic	Live audience	YouTube views (2021)	Views since May 2022
2020	The modern regulator: entrepreneur (2020 Annual Conference series 1/10)	Not recorded		30
2020	The modern regulator: collaborative (2020 Annual Conference series 2/10)	Not recorded		47
2020	The modern regulator: responsive, part 1 (2020 Annual Conference series 3/10)			27
2020	The modern regulator: responsive, part 2 (2020 Annual Conference series 4/10)			25
2020	The modern regulator: stewards, part 1 (2020 Annual Conference series 5/10)			35
2020	The modern regulator: stewards, part 2 (2020 Annual Conference series 6/10)			21
2020	The modern regulator: local networks (2020 Annual Conference series 7/10)			20
2020	The modern regulator: wellbeing (2020 Annual Conference series 8/10)			27
2020	The modern regulator: life (2020 Annual Conference series 9/10)			20



Date	Topic	Live audience	YouTube views (2021)	Views since May 2022
2020	The modern regulator: online (2020 Annual Conference series 10/10)			33
15/11/2021	Conversations about Crown-Māori Relationships (2021 Annual Conference series 1/7)	331		37
16/11/2021	Governance Conversations (2021 Annual Conference series 2/7)	331	175	30
19/11/2021	International digital conversations (2021 Annual Conference series 3/7)	187	91	21
22/11/2021	International trendsetting conversations (2021 Annual Conference series 4/7)	247	96	38
24/11/2021	Frontline conversations 2021 Annual Conference series 5/7)	166	133	35
24/11/2021	Conversations about Crown-Māori Relationships 2021 Annual Conference series 6/7)	246	(Not put on YouTube until 2022)	24
26/11/2021	Public and private conversations (2021 Annual Conference series 7/7)	158	113	40

Source: G-REG Secretariat.

Table 5: Monthly "conversations" series topics and total views

Date	Topic	Total views since May 2022
29/04/2022	A Conversation About Regulatory Language	486
27/05/22	A Conversation About Regulatory Failure	296
23/06/22	A Conversation About Crisis	209



Date	Topic	Total views since May 2022
29/07/22	A Conversation About Dialogue and Design	279
26/08/22	A Conversation About Responsive Regulation	384
30/09/22	A Conversation About the Profession of Regulation	173
28/10/22	A Conversation About International Regulation	[incomplete data]

Source: G-REG Secretariat.



Table 6: Continuing education workshop series topics and attendance (2020-2021)

Date	Topic	Number of attendees
06/02/2020	Demystifying Regulatory Stewardship: what is it and what does it mean for my work?	Unknown
17/02/2020	Policy 101 for Regulators	Unknown
05/08/2020	Behavioural Science and Regulatory Governance	25
26/08/2020	Working with Iwi	24
27/08/2020	Tactical Communications & De-escalation	21
08/09/2020	Risk Governance and Risk-Based Regulation	24
17/09/2020	Exercise of Regulatory Judgement	13
13/10/2020	Systems Thinking and Regulatory Practice	24
15/10/2020	Te Pouārahi - The Judge over your Shoulder	Postponed
28/20/2020	Public Sector Ethics	21
30/10/2020	Influencing for Change – working together to achieve the policy intent	10
06/11/2020 18/11/2020	Building Stakeholder Trust (Wellington) Building stakeholder Trust (Christchurch)	27 9
10/11/2020	Working with Others	17
11/11/2020	Investigative Interviewing	24
13/11/202-	Standards and Conformity Assessment in Regulatory Systems	19
03/03/21	Just two tiers! How central control and local autonomy works together	Cancelled
03/03/21	Building stakeholder trust	Cancelled
10/03/21	Just two tiers! How central control and local autonomy works together	Cancelled
17/03/21	Behavioural science and regulatory governance	11



Date	Topic	Number of attendees
31/03/21	Behavioural science and regulatory governance	Cancelled
16/04/21	Building stakeholder trust	Cancelled
28/04/21	Risk Governance and Risk Based Regulation	31
14/05/21	Investigative Interviewing at a Foundation Level	23 (in-house EPA)
31/05/21	Demystifying regulatory stewardship	31
02/06/21	Risk Governance and Risk Based Regulation	20
16/06/21	Education as a regulatory Intervention	Cancelled

Source: G-REG Secretariat.

Table 7: Additional YouTube video topics and views

Date	Topic	Total views
22/06/22	Regulating in a crisis: risk reduction and readiness	26
22/06/22	Regulating in a crisis: response	27
22/06/22	Regulating in a crisis: recovery	19
27/06/22	The judge over your shoulder	167

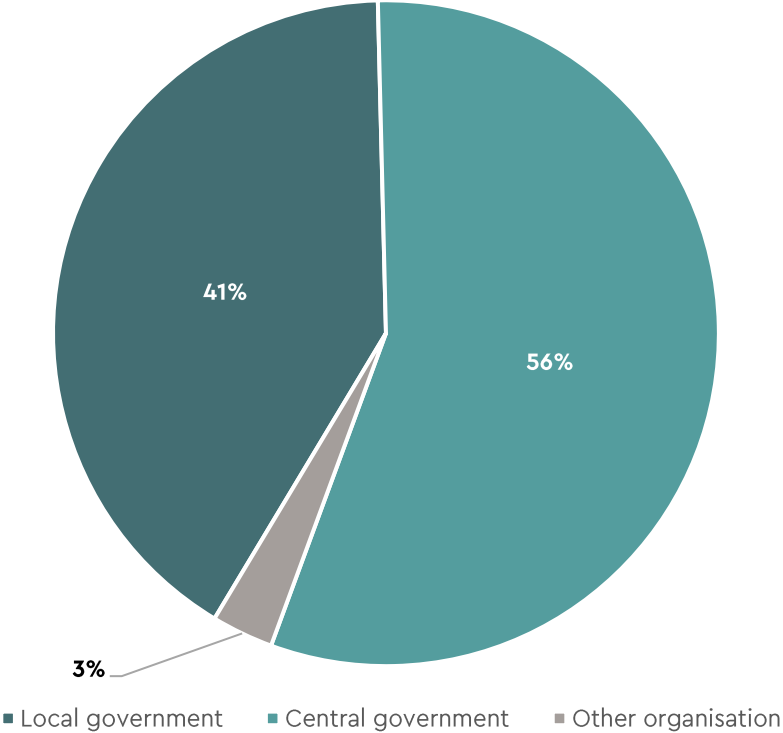
Source: G-REG YouTube channel.

Note: Developed in partnership with NEMA.



Appendix 4: Detailed survey results

Figure 19: What type of organisation do you work for?



Source: G-REG evaluation survey (n=161)

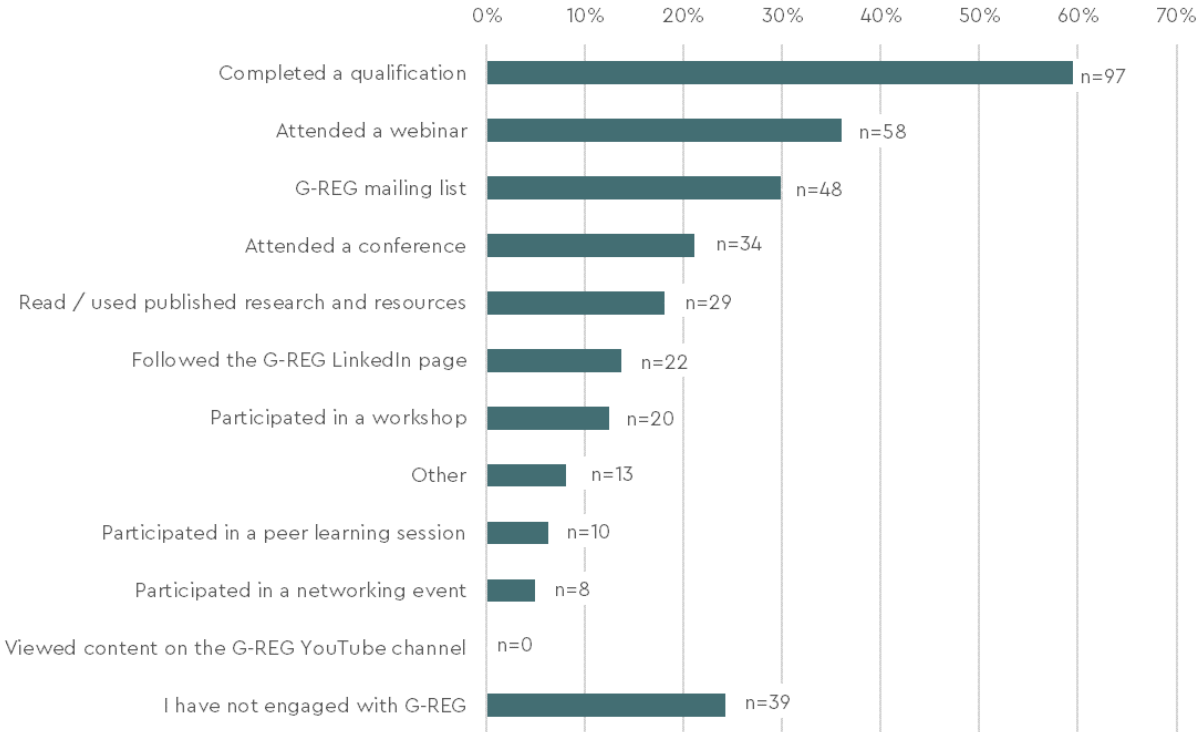


Table 8: Which of the following best describes your role?

Role	%
Senior management / Executive	7%
Manager / Team leader	18%
Regulator	19%
Investigator	7%
Human Resource / Learning and Development advisor	3%
Advisor / Analyst	35%
Other	10%

Source: G-REG evaluation survey (n=161)

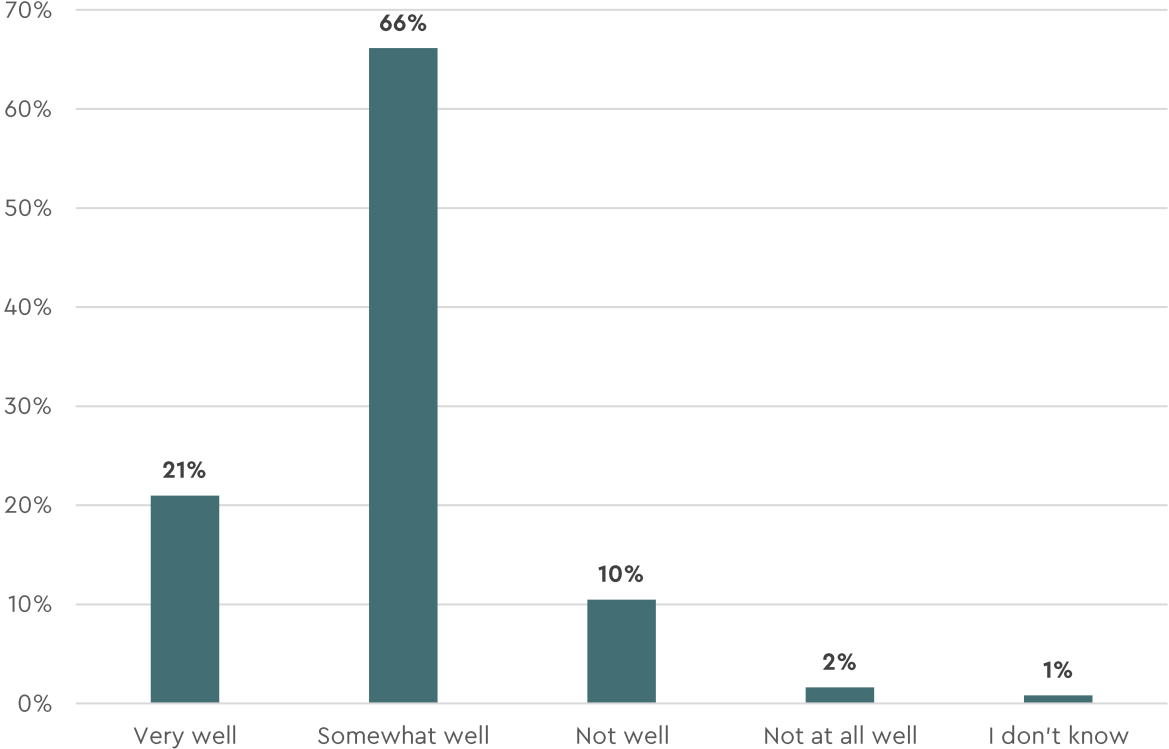
Figure 20 What has been your engagement with G-REG to date?



Source: G-REG evaluation survey (n=161)



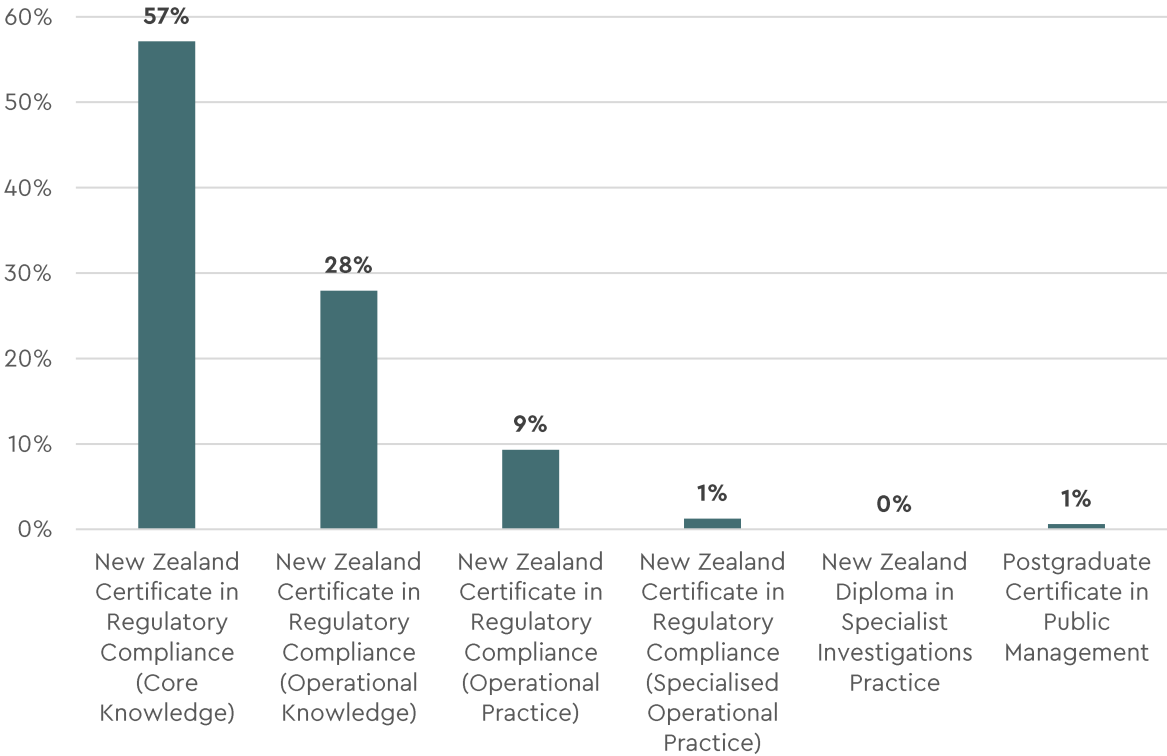
Figure 21 How well do you understand the role of G-REG?



Source: G-REG evaluation survey (n=161)



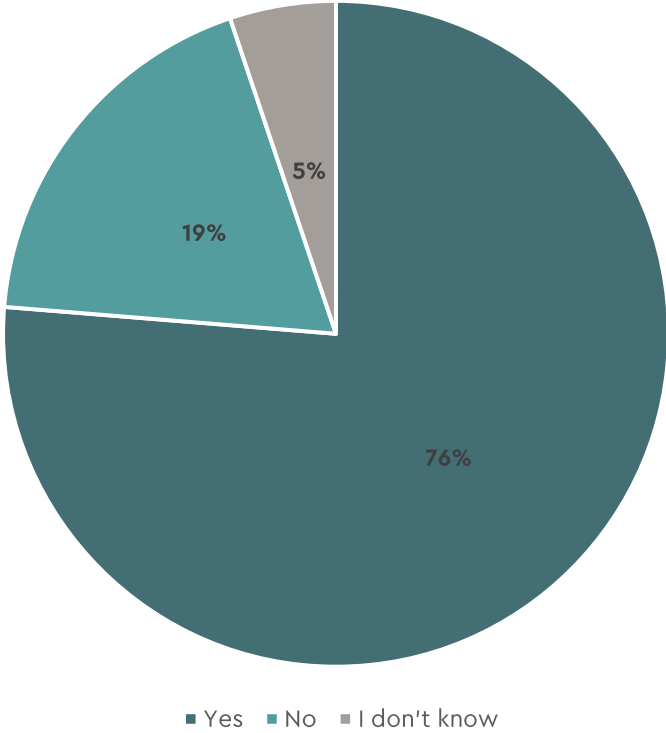
Figure 22 Which qualification(s) have you undertaken through G-REG?



Source: G-REG evaluation survey (n=161)



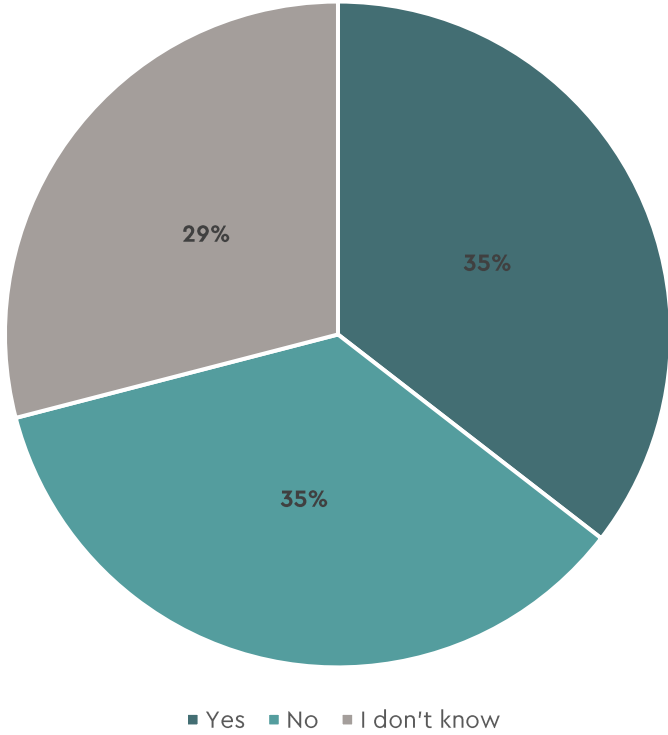
Figure 23: Have you found the qualification(s) to be relevant to your professional development?



Source: G-REG evaluation survey (n=161)



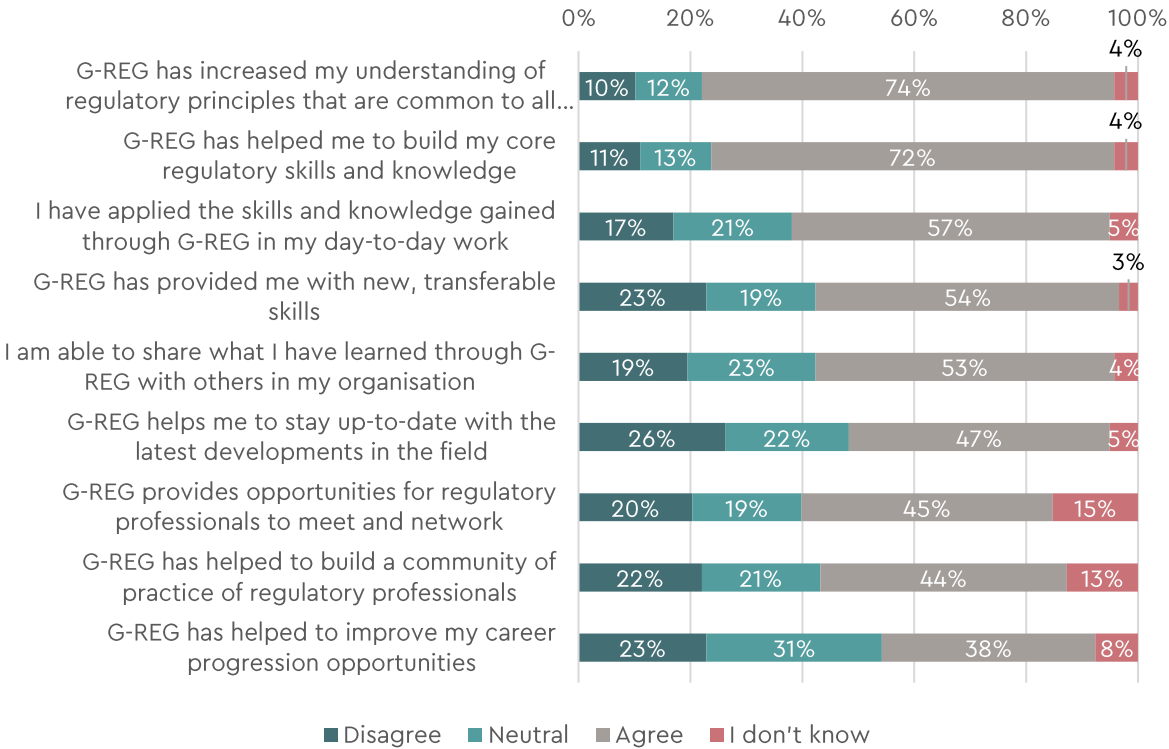
Figure 24: Has your organisation applied the G-REG training and activities to your role or sector (for example, encouraging staff to present about the benefits of the G-REG training to their specific roles)?



Source: G-REG evaluation survey (n=161)



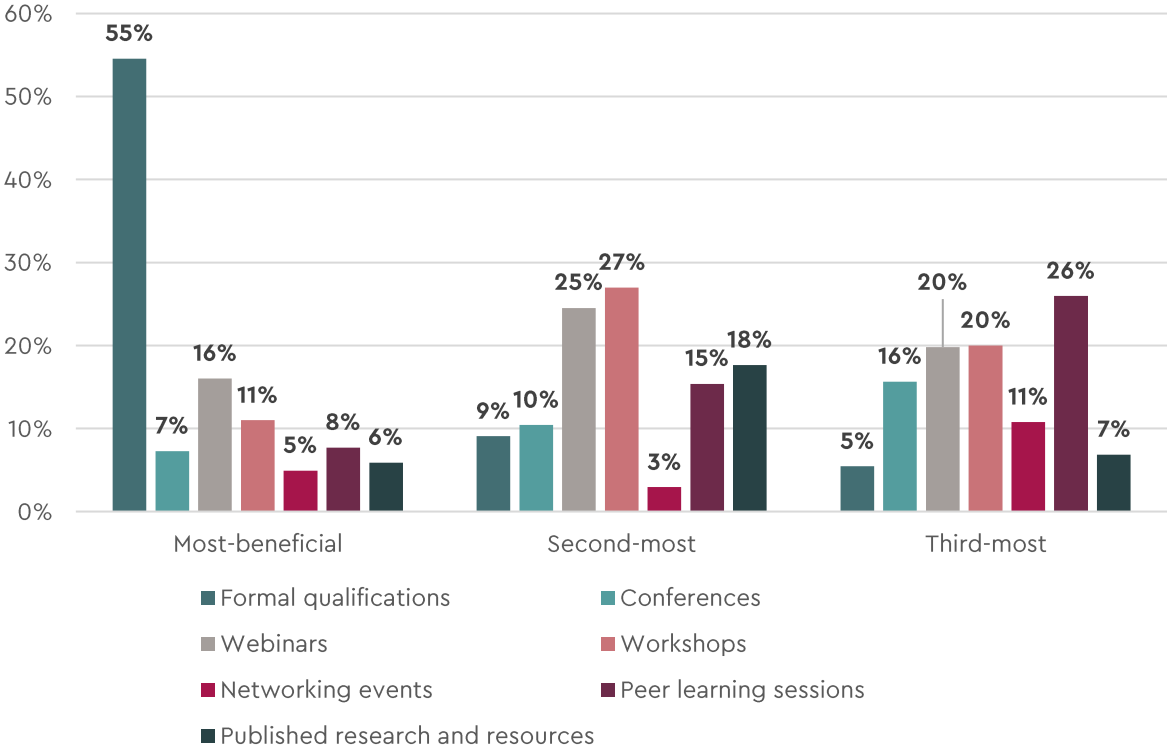
Figure 25: How strongly do you agree or disagree with the following statements?



Source: G-REG evaluation survey (n=161)



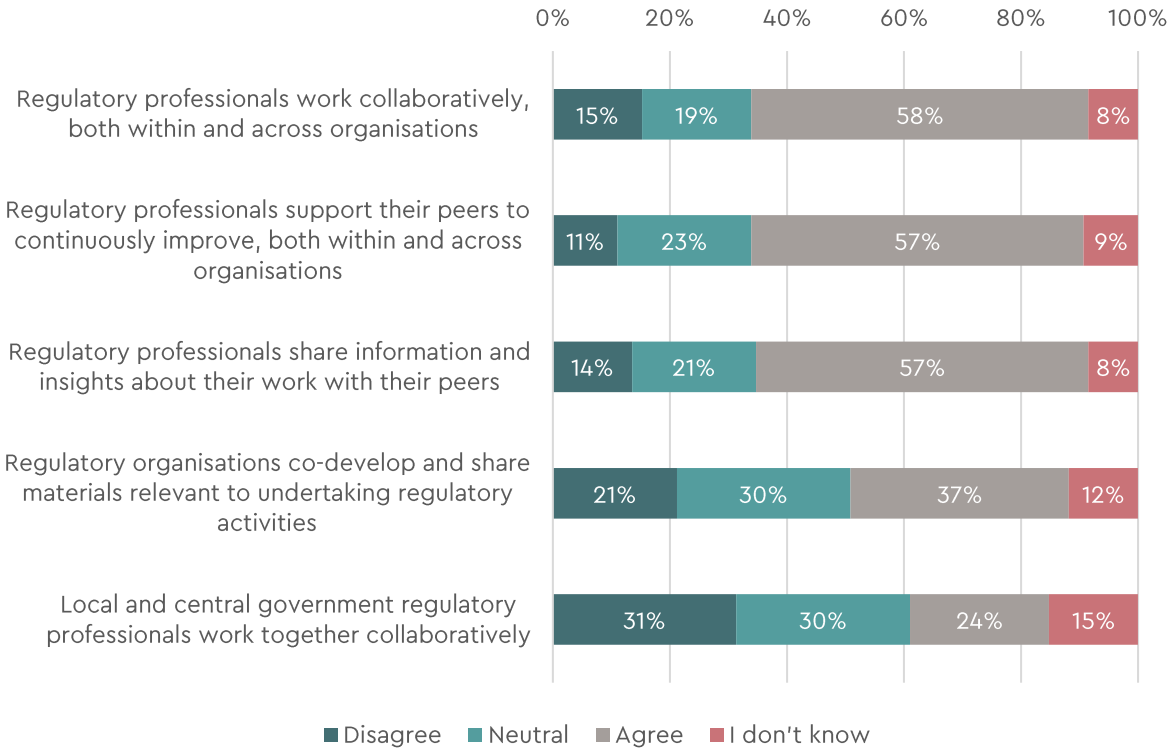
Figure 26: G-REG offers a range of activities for regulatory practitioners (including training courses, networking events, and peer learning sessions). Which activities do you feel are of the most benefit to regulators?



Source: G-REG evaluation survey (n=161)



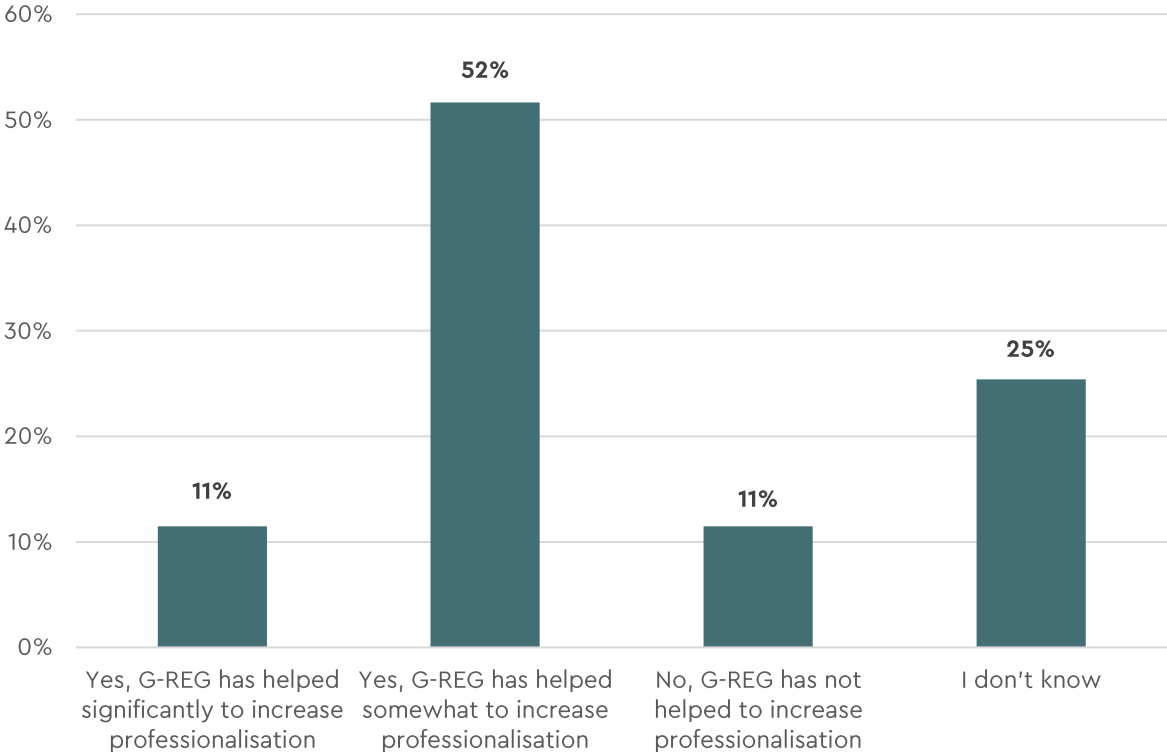
Figure 27: How strongly do you agree or disagree with the following statements?



Source: G-REG evaluation survey (n=161)



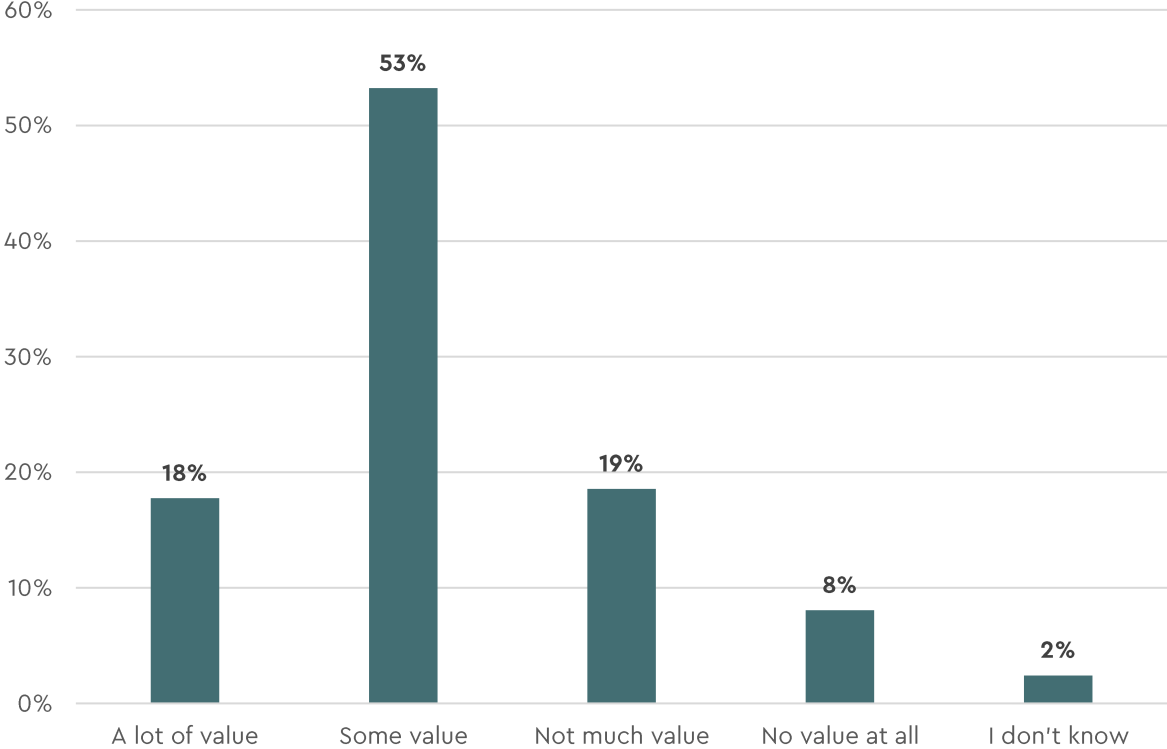
Figure 28: In your view, has G-REG helped to increase the professionalisation of the regulatory workforce?



Source: G-REG evaluation survey (n=161)



Figure 29: How much value has G-REG been to you in your role?



Source: G-REG evaluation survey (n=161)



MARTIN JENKINS



Wellington T +64 4 499 6130

Level 1, City Chambers, Cnr Johnston and Featherston Streets, Wellington 6011, PO Box 5256, Wellington 6140, New Zealand

Auckland T +64 9 915 1360

Level 16, 41 Shortland Street, Auckland 1010, New Zealand

info@martinjenkins.co.nz martinjenkins.co.nz