

University of Ottawa

Graduate School of Public and International Affairs
Centre on Public Management and Policy

Carleton University

School of Public Policy and Administration
Regulatory Governance Initiative



PROSPECTUS FOR CERTIFICATE PROGRAM IN **REGULATORY LEADERSHIP**

BUILDING CAPACITY IN REGULATORY LEADERSHIP

The Certificate Program in Regulatory Leadership is an advanced professional development program for those involved in leading any facet of regulation from policy and design to implementation and evaluation. It will provide a robust framework and proficiency in the knowledge, skills and insights needed to lead in this rapidly evolving field.

This Prospectus describes the context for the Program, the content, the approach and the expected benefits.

Regulations are an important means for achieving the goals of any society. They touch many aspects of our daily lives including the food we eat and the water we drink, the cars we drive and the energy we use.

Traditionally regulations have predominantly been the preserve of the state where governments use their legislative authority to prescribe acceptable behavior and consequences for failure to comply. In a large and complex country such as Canada, achieving coherence in actions across federal, provincial, territorial, municipal and aboriginal governments and agencies is extremely demanding.

In recent years, other non-state actors from the private sector and civil society, sometimes acting together, have become increasingly active, ambitious and influential as they tap the power of the marketplace to promote changes in behavior. Additional drivers of change in this dynamic field arise from new trade arrangements, advances in science and technology and shifts in public expectations, which frequently crystallize around the occurrence of accidents and surprises.

In an ever more competitive and globally integrated economy and society getting the regulatory system right is of the highest importance. Achieving greater efficiency and effectiveness and responding nimbly to changing circumstances will contribute to well-being for all Canadians and offer a valuable comparative advantage.

Through an ongoing conversation with leaders and practitioners in the field, it has become evident that capacity gaps are emerging in Canada's ability to regulate effectively now and in the future. This has been documented as it relates to the public sector but likely



also occurs to varying degrees in other sectors involved in regulatory work (industry, professional associations and other NGOs). This course is designed to meet the needs of those who are recently appointed to senior positions, especially from another field or more limited responsibilities, and who may well be unaware of how complex regulation has become and how rapidly it is evolving. It will also help promising professionals transition to leadership roles in this field. Even seasoned practitioners will welcome the opportunity to refresh and further develop their thinking in a collaborative experience involving peer-to-peer engagement in a reflective setting.

The Certificate Program in Regulatory Leadership responds to this situation and will over time build and strengthen Canada's regulatory community. The University of Ottawa and Carleton University jointly developed the Program. This unique collaboration between two universities in Canada's capital draws on distinctive strengths of the two institutions; their cutting edge research on regulatory governance, and public management, as well as their expertise in leadership development.

A FLEXIBLE LEARNING APPROACH

Our primary goal is to develop capacity in the leadership, management and stewardship of the regulatory function. Our graduates will have an improved capacity to set and sustain the conditions that enable effective regulation by people, processes and systems.

Three design principles shape the approach:

Firstly, we are driven by the principle of developing the leadership capacity to address real-world problems. This means that greater weight is placed on practical as opposed to theoretical concerns through the use of methods such as problem based and action learning with an emphasis on new directions in this rapidly evolving field of practice.

Secondly, we are advancing the principle that 'practitioner talking to practitioner' about how to regulate effectively in the 21st Century will be most rewarding. Specifically this means that participants will interact with current



practice and thought leaders in regulation to explore contemporary issues and future challenges. Through structured experiences and facilitated and spontaneous conversations, the program will enable learning, skills development and know-how transfer amongst participants and resource persons to facilitate the growth of leadership capacity in regulatory functions.

Thirdly, our final design principle is that the program aims for relevance to the participants in terms of content and excellence and in terms of method and resources. In practice, this means that while each module's general topic is framed as described in this Prospectus, the specific content of sessions, the use of particular methods, and the identification of expert resources is the product of an on-going facilitated conversation between and among participants to ensure that learning opportunities are directly responsive to their needs.

WHAT YOU CAN EXPECT: GREATER CAPACITY FROM INCREASED PROFICIENCY

Regulatory leadership capacity can be described as demonstrated proficiency in the leadership competencies used at senior levels in a regulatory role. Working from the competency framework developed by Carleton University's Regulatory Governance Initiative, the program is designed to build proficiency across the key areas for effective leadership performance:

- develop the ability to evaluate evidence using quality data and reliable analytical tools, while recognizing and working within limitations frequently encountered;
- encourage agile and adaptive measures that can be readily adjusted to accommodate new knowledge and improve the precision of a regulation's effect;
- promote alignment with partners and international regulatory regimes;
- use an open, dynamic and consultative process based on transparency and shared responsibility;



THE PROGRAM AT A GLANCE

The program design is a nine-module offering (including one study tour) beginning each fall. The first two modules are "Base Camps" intended to refresh and confirm a shared understanding of the fundamentals of regulation. Thereafter, the main part of the program consists of six day-and-a-half modules, one for each stage of the regulatory life cycle, plus a three-day study tour in Canada. The final module is a day-and-a-half capstone experience that integrates and synthesizes learning from preceding modules and fosters discussion of future challenges.

Modules #1 & #2 – Base Camp

The Base Camps provide an overview of the basics of regulation, as seen from a senior leadership perspective. The emphasis is on understanding the foundational principles and concepts, understanding the role of Government, a regulator's duty of care and the evolving Canadian regulatory environment, distinguishing between partners, clients and stakeholders, and considering the major relationships and methods used to advance regulatory files. The session ends with a review of the lifecycle approach to regulation and a discussion of how the remaining modules of the program track this as a learning pathway.

- ensure performance metrics are used that reveal the effect of a proposed regulation and/or its costs so that the regulation can be evaluated to determine its impact;
- foster compliance and enforcement that is effective, fair and affordable; and
- encourage development of regulations as a system and/or project that can be managed, changed or adjusted relatively easily.



CERTIFICATE PROGRAM IN REGULATORY LEADERSHIP

Modules #1 & #2 Base Camp	Module #3 Issue Identification & assessment	Module #4 Regulatory Strategy Pt. 1	Module #6 Regulatory Strategy Pt. 2	Module #7 Implementation & Management	Module #8 Review & Evaluation	Module #9 Capstone & the Way Forward
		Module #5 – Study Tour				

Module #3 – Issue Identification and assessment: gathering, understanding and using evidence

Participants will work with three major ideas in Module #3. First, they will explore creating and expanding situational awareness in relation to issues emerging or likely to emerge in their environments that have potential to become regulatory concerns. Second, they will consider the interplay of evidence and societal values in guiding regulatory decisions, including the impact of value-based assumptions on risk assessments and key factors that influence the degree of precaution in any given decision framework. Third, they will examine the methods, techniques and best practices used in communicating, consulting, collaborating and cooperating with stakeholders in relation to these issues.

Module #4 – Regulatory Strategy 1: Selection and design of instruments

Participants will work with three major ideas in Module #4. First, they will explore the advantages and disadvantages of various instruments ranging from incentives to coercion. Second, they will examine the concepts of performance-based, adaptive and co-regulation including different ways of applying these concepts. Finally, they will consider the challenges of aligning and meshing different regulatory systems in international and national domains and discuss how best to communicate, collaborate and cooperate with different partners and stakeholders, including Indigenous groups.

Module #5 – Study Tour

The program will include a three-day study tour within Canada that is organized as an action-learning event where participants experience an issue at first hand and see the context for themselves and become more aware of the nuanced complexity involved in regulation and the



need for pragmatic choices when selecting, designing and implementing a regulatory strategy.

Module #6 – Regulatory Strategy 2: Selection and design of instruments

In Module #6 participants will continue their study of selection and design of regulatory instruments, adding a focus on the regulatory impact analysis including the use and limitations of cost-benefit analyses. The Cohort will consider the effects of regulations on trade flows and value chains (and vice versa) and the impact on fragile economies. This will include consideration of the major stages in a generic process to identify choke points and areas where innovation may be possible.

Module #7 – Regulation Implementation & Management

In Module #7 participants will deal with the operational challenges of managing compliance and enforcement. The Cohort will work with subject matter experts on using different strategies and approaches to secure compliance. Participants will consider the importance of understanding the experience of compliance at the point of service delivery. With this as context, time is devoted to the challenges of managing teams of professional and technical specialists bridging fields as diverse as science or engineering, policy, law and enforcement.

Module #8 – Review & Evaluation

In Module #8 participants will deal with the requirement to review and evaluate regulations and regulatory programs. More importantly, the session will also be an opportunity to discuss how to listen, learn and incorporate changes in a regulatory program based on feedback from stakeholders and partners.

Module #9 – Capstone & the Way Forward

In Module #9 participants will integrate and synthesize the experience of the program and give consideration to the way forward for regulation in Canada.

Critical Conversations

The Program will also seek to use complementary events to explore complex and timely topics related to the program goals with a Critical Conversation at Carleton University.

PROGRAM REQUIREMENTS

The Program is designed to prepare promising executives for positions of greater leadership responsibility in regulatory functions and to take on expanded leadership roles in the future.

Effective leaders are continuous learners. Accordingly, the Program demands active engagement of the participants:

- to prepare by completing assigned readings;
- to participate actively in the sessions and the study tours;
- to share responsibility for group activities and presentations;

- to prepare “leadership practice” self assessments at the beginning and end of the program;
- to maintain a learning journal throughout the Program.

The time commitment for participants is a day and a half per month over the Program’s nine months, with additional time for preparation and a study tour as follows:

- eight sessions (normally one and one-half days each in duration) totaling 12 days;
- one 3-day study tour in Canada;
- about one additional half-day per month for reading and assignments.

The Program culminates in a Certificate conferred jointly by Ottawa University and Carleton University. It does not result in formal academic credits. The Program modules are offered bilingually in English and French, with participants and presenters alike speaking or writing in the official language of their choice.



HOW TO APPLY

Prospective participants should normally meet the following criteria:

- currently occupy an executive leadership role in the federal or a provincial public service (Director General or Director) or an equivalent position;
- have a desire to assume a greater leadership responsibility in regulatory functions;
- be recommended by the relevant Deputy Minister, or Assistant Deputy Minister, or CEO/ Vice-President equivalent; and
- be willing to commit to complete the Program assignments, attend the sessions, and participate actively.

The cost for the Program is \$10,500 + HST, which covers tuition, instructional materials, on-site meals for Ottawa sessions. Sponsoring organizations also need to cover participants' travel and accommodation costs for the study tour. The Program fee of \$10,500 is payable in one (\$10,500) or two (\$5,250 each) instalments by the end of April of the following year.

Nominations should include:

- a letter explaining the applicant's reasons for wishing to participate in the Program;
- a letter of support from the relevant Deputy Minister or Assistant Deputy Minister, or CEO/ Vice-President equivalent where appropriate;
- a current curriculum vitae.

Nominations should be sent to:

Odell House Team

Centre on Public Management and Policy
University of Ottawa
Odell House, 180 Waller Street South
Ottawa ON
K1N 9B9
Email: cgpp_cpmp@uOttawa.ca
Phone: 613 796 6100

Questions regarding the Program content may also be directed to:

University of Ottawa:

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