



Governance and Performance of Regulatory Agencies: Independence and Accountability Training



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Introduction:

Governance and performance of regulatory agencies, covering independence and accountability, is a 1-week course for board members, executives and strategy units of regulatory authorities, ending with a Regulator Governance and Performance Plan for a case authority. Regulators lose trust when their role overlaps with ministries, boards drift into operational decisions, funding depends on the firms they oversee and performance reports count activity rather than outcomes. Nominees already serve on or support a regulator's board or executive committee and work through case study statutes, board papers and budgets. CoreConcept Training Center delivers this governance and performance of regulatory agencies course.

Course Objectives:

- Assess the founding statute, mandate and role of a regulatory authority against ministries and other public bodies to remove overlaps and gaps
- Apply the OECD principles on the governance of regulators to judge independence, decision-making structure, accountability and transparency
- Set the division of responsibilities between the board and the executive through a board charter, delegation schedule and committee terms of reference
- Evaluate exposure to regulatory capture and undue influence and select safeguards such as cooling-off rules, conflict of interest registers and published decision reasons
- Compare funding models for regulators and judge their effect on independence and budget stability
- Specify regulator performance indicators across inputs, processes, outputs and outcomes and report them to oversight bodies and the public

Target Audience:

- Board and commission members responsible for the strategic direction and oversight of a regulatory authority
 - Executive committee members responsible for running the regulator within the mandate set by its statute and board
 - Strategy and planning heads responsible for the regulator's corporate plan and performance reporting
 - Board secretaries and governance leads responsible for board papers, charters, delegations and conflict of interest records
 - Finance directors responsible for the regulator's funding model, levies and budget submissions
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Course Outline:

Day 1: Regulator Mandate, Institutional Landscape and Governance Baseline

- Regulatory Agency Typologies From Ministry Departments to Independent Authorities
- Founding Statute Review of Objectives, Functions and Powers
- Role Clarity Mapping Between Ministry, Regulator and Other Bodies
- Regulator Governance Value Chain From Inputs to Outcomes
- Governance Baseline Diagnostic of a Current Regulatory Authority

Day 2: OECD Governance of Regulators Principles and Performance Frameworks

- OECD Governance of Regulators Principles Overview and Self-Assessment
- Preventing Undue Influence and Maintaining Public Trust Safeguards
- Governing Body Structures Comparing Commission, Board and Single-Head Models
- OECD Performance Assessment Framework for Economic Regulators Components
- Input, Process, Output and Outcome Indicator Logic for Regulators

Day 3: Board Oversight, Accountability and Stakeholder Engagement in Practice

- Board Charter, Delegation Schedule and Committee Terms of Reference
- Board and Executive Separation of Strategic and Operational Decisions
- Accountability Lines to Legislature, Ministry, Courts and Public
- Annual Report and Published Decision Reasons for Transparency
- Stakeholder Consultation Protocol and Industry Advisory Panel Design

Day 4: Capture Risk, Funding Models and Performance Measurement Pitfalls

- Materialist and Cognitive Capture Risk Assessment of Regulator Decisions
- Revolving Door Cooling-Off Rules and Conflict of Interest Registers
- Regulator Funding Models Comparing Levies, Fees and Budget Appropriations
- Regulator KPI Scorecard Design and Perverse Incentive Checks
- External Performance Review and Peer Benchmarking Between Regulators

Day 5: Case Study on a Regulator Governance and Performance Plan

- Case Regulatory Authority Statute, Board Minutes and Budget Review
 - Role Clarity and Independence Gap Analysis for the Case Authority
 - Board Governance and Capture Safeguards Redesign for the Case
 - Performance Indicator Set and Accountability Reporting Cycle Build
 - Regulator Governance and Performance Plan Completion and Panel Review
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Skills You Will Gain:

- Regulatory Mandate Analysis
- Regulator Independence Assessment
- Board Charter Design
- Regulatory Capture Risk Assessment
- Regulator Funding Model Appraisal
- Regulator KPI Framework Design
- Accountability Reporting
- Stakeholder Consultation Governance

Why Attend This Course:

- Present a Regulator Governance and Performance Plan for a case authority to the board chair and chief executive for adoption
- Decide which matters the board reserves, which it delegates to the executive and which safeguards apply to conflicted members
- Avoid loss of public trust, legal challenge and budget pressure caused by unclear roles, capture exposure or activity-only reporting
- Share the governance baseline diagnostic, capture risk checklist and regulator KPI scorecard with board secretariat and strategy colleagues

Conclusion:

Back at work, the participant presents the Regulator Governance and Performance Plan to the board chair, the chief executive and the strategy unit. The plan supports decisions on the board charter and delegations, on capture safeguards and conflict of interest rules, on the funding model to propose to the ministry and on the indicators the authority reports each year. After the first annual reporting cycle under the plan, the authority should review whether its indicators reflected outcomes, whether delegations held and whether stakeholders saw decisions as independent and transparent.

Frequently Asked Questions FAQ:

What should participants know before the governance and performance of regulatory agencies course?

Participants should already sit on, advise or support the board or executive committee of a regulatory authority. No legal or economics qualification is needed. Bringing an anonymised statute extract, board charter or annual performance report helps participants apply the case study methods to their own authority.

How does governance and performance of regulatory agencies differ from a course on inspection practice or policy appraisal?

This course deals with how the regulator itself is set up, overseen, funded and measured. Courses on inspection practice cover field visits and sanctions against regulated firms, while policy appraisal courses cover how new rules are designed and assessed before adoption.

Why does regulatory capture matter for the governance and performance of regulatory agencies?

Capture happens when a regulator comes to serve the interests of the firms it oversees rather than the public. It can arise from funding dependence, staff movement to industry or reliance on industry expertise, so boards need safeguards such as transparency, published reasons and cooling-off rules.

What do participants take back from the governance and performance of regulatory agencies course?

Participants take back a Regulator Governance and Performance Plan for a case authority, with a role clarity map, independence gap analysis, board charter and delegation outline, capture safeguards and a regulator KPI scorecard they can adapt to their own organisation.
