Using a CBM Maturity Model to Facilitate Regulatory Modernization

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The Case for CBM in Regulatory Modernization

- Regulation occurs across a spectrum – rules-based inspection >> results-based focus on outcomes.

- Behaviours are a constant across the spectrum. Observable behaviours = competencies.

- Credible performance builds public confidence. Which competencies most influence performance?

- Unlikely that competencies change across the spectrum. Challenge is to define them more broadly and find meaningful ways to measure proficiency across the spectrum.

- Competency-Based Management (CBM) is a way to organize and manage behaviours.

- CBM facilitates regulatory modernization by supporting human performance in rules-based regulation, facilitating transition to modernised regulatory functions, and sustaining effective human performance overall.

PERSPECTIVE

Moving from doing CBM to managing it

- Uneven use of CBM across public service
- Opportunities for collaboration and benchmarking
- Potential for innovation across sectors
- Orderly evolution facilitates implementation
- Understanding progression is key

POINT OF DEPARTURE

Using CBM to facilitate the systematic identification and removal of barriers to regulatory modernization across the lifecycle

Compliance & Enforcement

Preparation & Implementation

Issue Identification
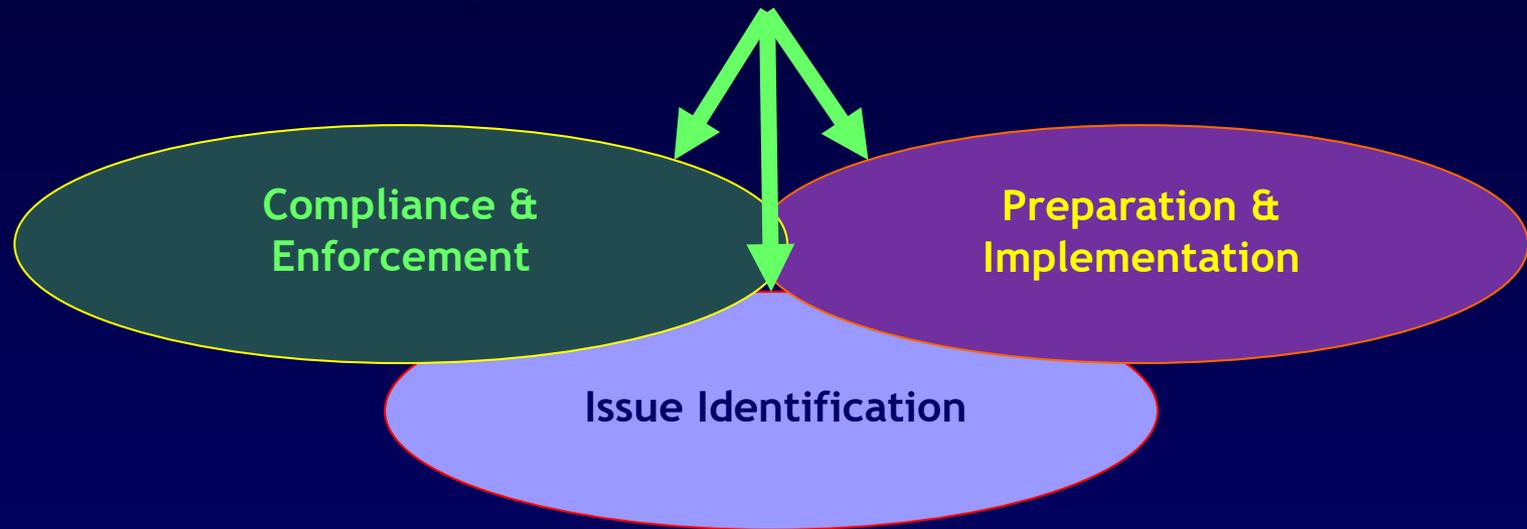
Payoff from the Maturity Idea

| STRATEGIC	OPERATIONAL

STRATEGIC

- Organize and show cumulative CBM effort across programs or business lines.

- Understand aggregate levels of investment, areas of focus, & potential opportunities for collaboration and innovation.

- Useful for oversight agencies, program coordination, etc.

OPERATIONAL

- Understand short term implementation and transition challenges.

- Define the solution space for an organization's CBM strategy.

- Facilitate decisions to accelerate, delay, or change investments.

MATURITY MODEL

- A common point of departure.

- Identify necessary events.

- Predict transitions.

- Organize similar experiences.

- Use a common language.

- Facilitate Collaboration

- Promote benchmarking.

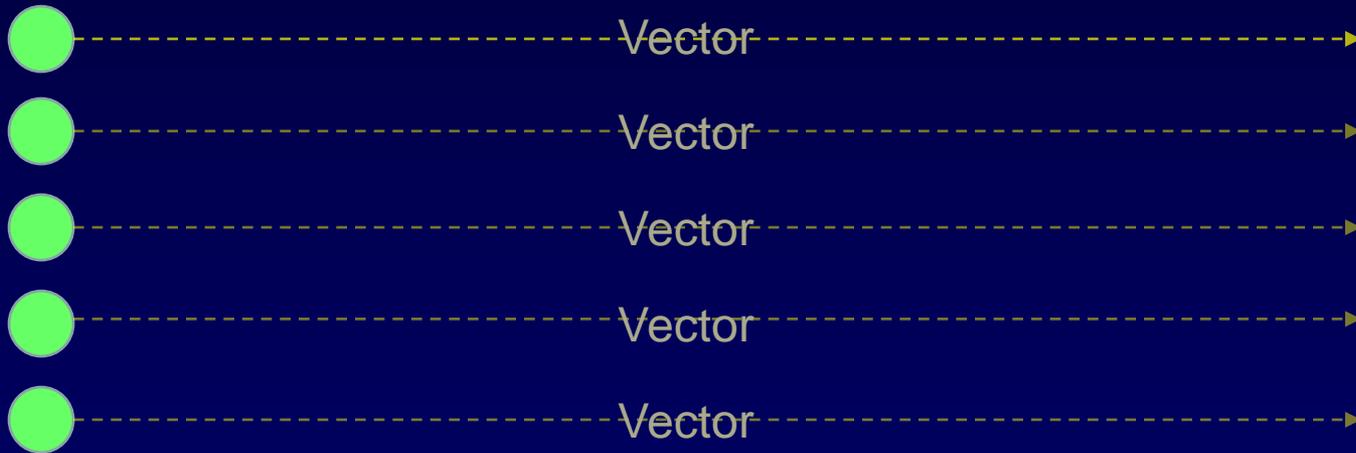- Frame opportunities for innovation.
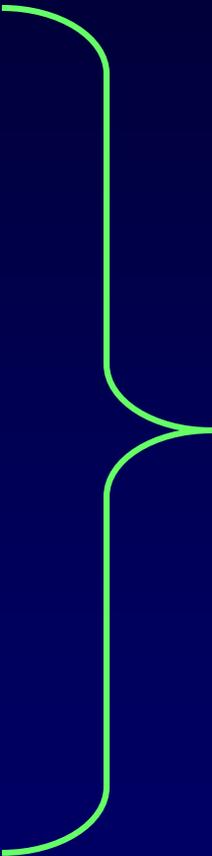
A management framework to understand priorities, show progress, and measure improvement.

Maturity Framework

Progression of Stages of Maturity

Characteristics

Vector

Vector

Vector

Vector
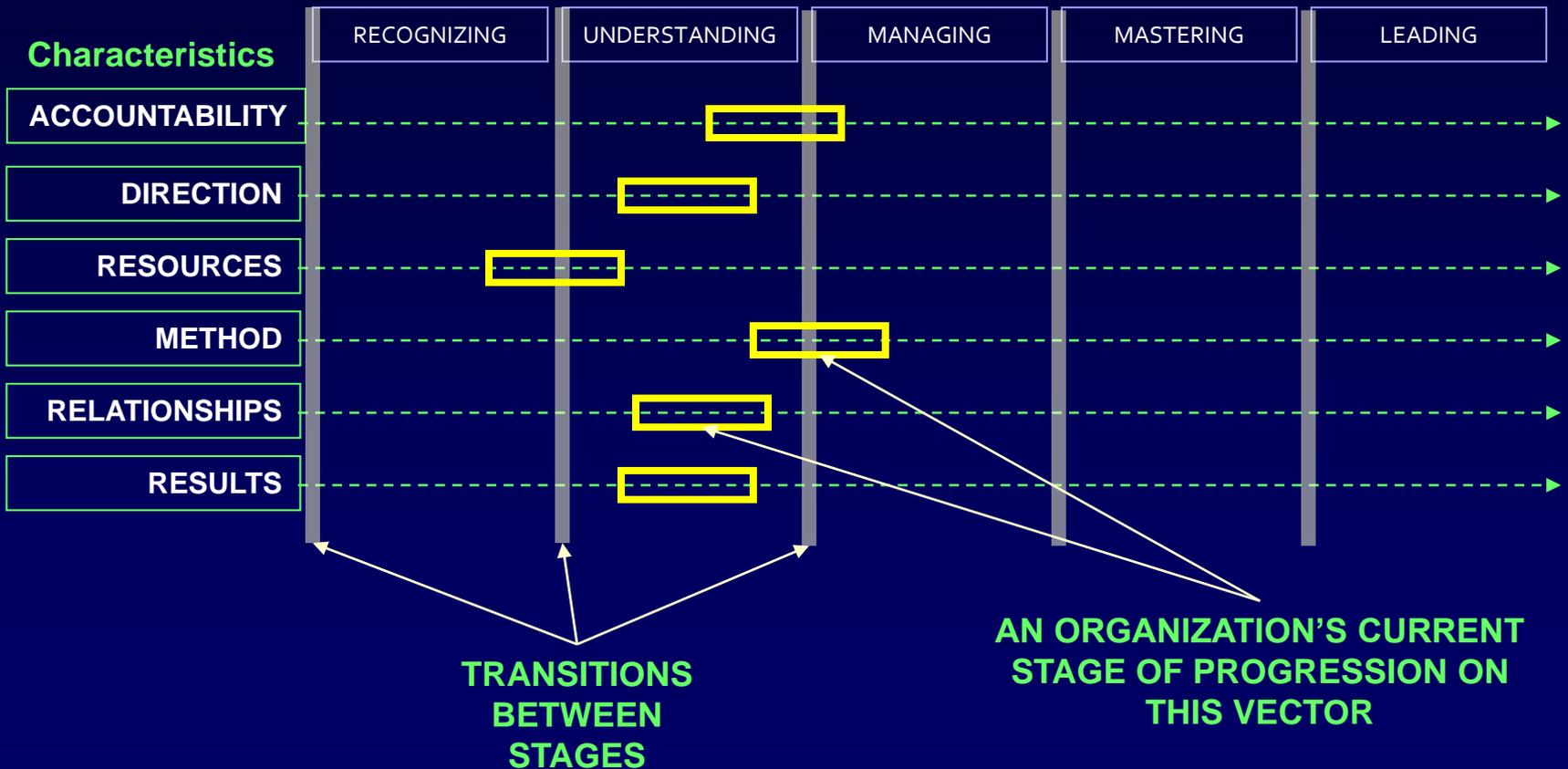
Vector

Stages of Maturity

- **Recognizing:** Acknowledging potential for improved performance.

- **Understanding**: Awareness of CBM as a possible solution.

- **Managing:** Using CBM in project form.

- **Mastering:** Using CBM in program form.

- **Leading:** Using CBM principles to reinforce organizational ethos.

Characteristics of Maturity

- **Accountability:** Policy, Doctrine & Standards

- **Direction:** Strategy, Plans & Tactics

- **Resources**: Organization, Structure, & and Staff

- **Method**: Methodology, Process & Gaps

- **Relationships:** Culture, Clients & Partners

- **Results:** Outputs, Outcomes & Added Value

The Maturity Model

STAGES OF PROGRESSION

Characteristics	RECOGNIZING	UNDERSTANDING	MANAGING	MASTERING	LEADING
ACCOUNTABILITY					
DIRECTION					
RESOURCES					
METHOD					
RELATIONSHIPS					
RESULTS					

TRANSITIONS BETWEEN STAGES

AN ORGANIZATION'S CURRENT STAGE OF PROGRESSION ON THIS VECTOR

CONSIDERATIONS

- Stages of development are mostly cumulative. First things first.

- Progression between stages is not necessarily smooth.

- Transitions are not necessarily the same across vectors.

- Management and organizational effort will be different.

- Vectors are interdependent.

- Understanding transitions is important.

- Decisions about sequence and relative priority are key.

PRIORITY VECTORS

1. Method = core CBM application
    - Functional & organizational competencies identified
    - Competency Dictionary in development
    - Competency Profiles available for critical jobs

2. Accountability = credibility & resources

3. Results = accomplishments >> a future