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| **Regulatory Reviews Data Collection Template**  **Regulation Information**  For organizations with few regulations, complete this template on Regulation Information per individual regulation administered by your organization.  For organizations with numerous regulations, complete this template on Regulation Information per set of regulations. The option to identify a “set of regulations” allows the organization flexibility to deal with a group of regulations in one template where it would be most appropriate. A “regulation set” could be a set of regulations that are managed together (for example, shares a common risk assessment), concern a certain industry (for example, one identified by the North American Industry Classification System (NAICS), a particular regulated activity (for example, licencing), a particular subject matter (for example, pollution) or that have a particular regulatory objective (for example, protection of health). For organizations who choose this option, please identify and list the regulations in the set of regulations in Part 1 of this template and then answer the questions in Part 2 based on the set of regulations. In the event that 10 or more individual regulations need to be listed, a separate document is available for use in Appendix 1. | |
| Part 1: General Information  The purpose of this section is to provide tombstone information about each regulation. For organizations with few regulations, please complete this part per regulation. For organizations with numerous regulations and completing this template per set of regulations, please provide a title of the regulation set and then list all the regulations in the set in the space below. | |
| 1 Is this an individual regulation or a regulation set? | Choose an item. |
| |  | | --- | | Click here to enter text. |   2 Title of regulation set: | |
| What was the rationale behind grouping these regulations together into a regulation set? | |
| Click here to enter text. | |
| List all the regulations in the regulation set below | |
| |  |  | | --- | --- | | 3 Select an Act and Regulation | | |  | Select a regulation | | 4 Year enacted: | | |  | Click here to enter text. | | 5 Year of last change: | | |  | Click here to enter text. | | 6 Is the Minister and/or their delegate the lead, co-lead or support in administering the regulation? | | |  | Select a role. | | 7 Some regulations may have a minor impact on regulated industry while other regulation may have a major impact, that is, the effect of the regulation on the industry in carrying out its day-to-day business functions. For the purposes of weighting the impact of each regulation, using a relative scale of five, what is the estimated level of impact of this regulation on industry? | | |  | Choose an item. | | 8 Some regulations may require less effort on the part of the organization to administer while other regulation may require more effort. Using a relative scale from one to ten with *1 being no effort, and 10 being major effort*, what is the estimated level of effort required to administer this regulation? | | |  | Choose an item. | | 9 Select the program in your organization’s program inventory under which this regulation falls | | |  | Choose an item. | | Select an additional act and regulation 🡪 | | | |

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| Part 2A: Primary Focus  The purpose of this section is to provide descriptive information regarding each regulation or regulation set administered by your organization. This information will help classify federal regulations by subject matter, industry and function and allow for analysis across the Government of Canada and other jurisdictions. | | | | | |
| 10 What is the primary focus area of this regulation or regulation set? | | | | | |
|  | Choose a response. | | | | |
| Select the NAICS Code or Codes that are significant in the industry being regulated and provide an estimated percentage of activity that can be attributed for each NAICS code. Indicate using at least a three-digit NAICS Code. | | | | | |
|  | |  |  | | --- | --- | | 11 Select NAICS Code | 12 Select its weight % | | Select a NAICS Code. | Select a weight | | | | | |
| Select an additional NAICS code ↗ | | | | | |
| Part 2B: Regulatory Design Features  The purpose of this section is to describe the regulatory design features used to better understand which best support business innovation, growth and protection of the public interest. This section also seeks to understand the nature of the last changes to the regulations, and the tools and processes used. | | | | | |
| 13 Which of the following approaches were used in the design? Check all that apply. | | | | | |
|  |  | | Standards (e.g. third party) | | |
|  |  | | Systems based | | |
|  |  | | Performance or outcome based | | |
|  |  | | Other | | |
|  |  | | Click here to enter text. | | |
| 14 Is incorporation by reference used? | | | | | |
|  | 15 If incorporation by reference is used, what type of incorporated reference used:   |  | | --- | | Choose an item. | | | | | |
|  | 16 If incorporation by reference is used, is there a list of incorporated documents?   |  | | --- | | Choose an item. | | | | | |
| 17 From which of the following jurisdictions is regulatory cooperation an objective in the regulation set? Check all that apply. | | | | | |
|  |  | | Municipal | | |
|  |  | | Provincial/Territorial | | |
|  |  | | United States | | |
|  |  | | Other Country | | |
|  |  | | Multilateral Organization | | |
|  |  | | Other | | |
|  |  | | Click here to enter text. | | |
| 18 Increasingly, countries are exploring the use of regulatory sandboxes, that is, an approach where new products and processes are tested with regulatory oversight but without requiring compliance with all existing regulations (e.g. with the authority to be exempted). Indicate the current and planned use of a regulatory sandbox. | | | | | |
|  | 19 A regulatory sandbox is | | | | Choose an item. |
|  |  | | 20 If a regulatory sandbox is used or planned to be used within the next 12 months, describe the usage including any best practices and/or challenges. | | |
|  |  | | Click here to enter description. | | |
| When was the last time a comprehensive review was conducted on this regulation, or in the case of a regulatory set, to 50% of more of the regulations in this regulation set? | | | | | |
|  | 21 Year of last comprehensive review (coming into force date) | | | | |
|  |  | Click here to enter year. | | | |
|  |  | 22 What is the estimated length of time spent on the comprehensive review? | | | |
|  |  |  | | Click here to enter length of time in months. | |
|  |  | 23 What is the estimated number of FTEs dedicated to conducting the comprehensive review over this time period (e.g. from inception to coming into force)? | | | |
|  |  |  | | Click here to enter the number of FTEs. | |
|  | 24 What were the objective(s) of the comprehensive review? | | | | |
|  |  |  | | Click here to enter objectives. | |
|  | 25 Was this review was part of a statutory review? | | | | |
|  |  | 26 Were additional related regulation and/or non-regulation instruments used in this review? | | | |
|  |  |  | | Click here to enter other regulation and or non-regulation instruments. | |
| 27 Please provide any additional comments | | | | | |
|  | Click here to enter other comments. | | | | |

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| Part 2C: Regulatory Management  The purpose of this section is to describe the approach to regulatory management to better understand which best support business innovation, growth and protection of the public interest. This includes questions regarding the following key functions: risk assessment, risk management planning, permissions, compliance promotion, compliance verification, enforcement and appeals. | | | | | | | | |
| **Risk assessment** is the scientific or evidence-based approach to identify risks to Canadians and industry, as well as to the regulatory system (e.g. compliance). Is there a formal risk assessment function to support this regulation or regulation set (e.g. documented procedure/process)? | | | | | | | | |
|  | |  | 28 There is a formal risk assessment function | | | | | | |
|  | Multiple methods can be used to assess risk. Select all the methods used in conducting risk assessment to support this regulation or regulation set and rank the usage by using 1 as the most frequent and 5 as the least frequent. | | | | | | | |
|  | |  | 1 | 29 Internal risk assessment | | | | | |
|  | |  | 2 | 30 Quantitative Measure and Analytics | | | | | |
|  | |  | 3 | 31 Informed by external risk management experts | | | | | |
|  | |  | 4 | 32 Peer reviewed by regulatory community | | | | | |
|  | |  | 5 | 33 Other risk assessment feature | | | | | |
|  | |  |  | | Click here to enter description of other risk assessment feature(s). | | | | |
| Risk management planning is the response to manage risks identified through the risk assessment process to Canadians and industry. Is there a formal risk management planning function (e.g. documented procedure/process)? | | | | | | | | |
|  | |  | 34 There is a risk management planning function | | | | | |
| Permissions is whereby a regulator grants authority to a regulated party to do something and could take the form of licensing, permitting, registration and certification. Is there a permissions function in this regulation or regulation set? | | | | | | | | |
|  | |  | 35 There is a permissions function | | | | | | |
|  | |  | 36 What is the approximate annual volume of permissions? | | | | | | |
|  | |  | Click here to enter annual volume in Unit of measure. | | | | | | |
| Compliance promotion activities include those that help increase awareness, informs, motivates or changes behaviour. Is there a compliance promotion function which supports this regulation or regulation set? | | | | | | | | |
|  | |  | 37 There is a compliance promotion function | | | | | | |
|  | |  | What compliance promotion tools are currently used to support this regulation or regulation set? Check all that apply. | | | | | | |
|  | |  |  | | | 38 Assistance e.g. education, training and outreach | | | |
|  | |  |  | | | 39 If available, provide any links | | | |
|  | |  |  | | | Click here to enter link. | | | |
| Add additional link 🡪 | | | | | | | | |
|  | |  |  | | | 40 Incentives e.g. concrete benefits when regulated parties comply or voluntarily report non-compliance | | | |
|  | |  |  | | | 41 Other compliance promotion tools | | | |
|  | |  |  | | | Click here to enter description. | | | |
|  | |  | What service channels are available from your organization to support regulated parties? Check all that apply. | | | | | | |
|  | |  |  | | | 42 There is telephone assistance provided | | | |
|  | |  |  | | | 43 There are online self-service tools | | | |
|  | |  |  | | | 44 There is in-person assistance provided | | | |
|  | |  |  | | | 45 Other channel | | | |
|  | |  |  | | | Click here to enter description. | | | |
| Compliance verification comprise of oversight activities which verify regulated parties are adhering to the regulations (e.g. inspection and audit). Is there a compliance verification function which supports this regulation or regulation set? | | | | | | | | |
|  | |  | 46 There is a compliance verification function | | | | | | |
|  | |  | What compliance verification methods are currently used to support this regulation or regulation set? Check all that apply. | | | | | | |
|  | |  |  | | | 47 Complaints-based | | | |
|  | |  |  | | | 48 Inspections | | | |
|  | |  |  | | |  | 49 There is cross-designation of inspectors | | |
|  | |  |  | | |  | 50 Cross designation organization type | | |
|  | |  |  | | |  | Choose an item. | | |
|  | |  |  | | | 51 Investigations | | | |
|  | |  |  | | | 52 Audits | | | |
|  | |  |  | | | 53 Annual reporting requirements | | | |
|  | |  |  | | | 54 Self-reporting e.g. monitoring of data received from regulated parties to demonstrate compliance | | | |
|  | |  |  | | | 55 Other tools | | | |
|  | |  |  | | | Click here to enter description. | | | |
| Enforcement refers to activities that impose penalties for failure to comply with requirements. Is there an enforcement function which supports this regulation or regulation set? | | | | | | | | |
|  | |  | 56 There is an enforcement function | | | | | | |
|  | |  | What enforcement tools are currently used to support this regulation or regulation set? Indicate the estimated frequency of use over a typical year (e.g. 2016/17 or an average of five years from 2011/12-2016/17). Check all that apply. | | | | | | |
|  | |  |  | | | 57 Not applicable | | | |
|  | |  |  | | | 58 Communicating non-compliance to the regulated party e.g. letters, warnings | | | |
|  | |  |  | | | 59 What is the frequency of use? | | | |
|  | |  |  | | | 1+ | | Times / month | |
|  | |  |  | | | 60 Public disclosure of non-compliance | | | |
|  | |  |  | | | 61 What is the frequency of use? | | | |
|  | |  |  | | | 1+ | | Times / month | |
|  | |  |  | | | 62 Increased scrutiny e.g. additional reporting requirements, increased frequency of inspections | | | |
|  | |  |  | | | 63 What is the frequency of use? | | | |
|  | |  |  | | | 1+ | | Times / month | |
|  | |  |  | | | 64 Permissions actions e.g. conditions or suspensions of permission to operate | | | |
|  | |  |  | | | 65 What is the frequency of use? | | | |
|  | |  |  | | | 1+ | | Times / month | |
|  | |  |  | | | 66 Administrative monetary penalty | | | |
|  | |  |  | | | 67 What is the frequency of use? | | | |
|  | |  |  | | | 1+ | | Times / month | |
|  | |  |  | | | 68 Criminal prosecution | | | |
|  | |  |  | | | 69 What is the frequency of use? | | | |
|  | |  |  | | | 1+ | | Times / month | |
|  | |  |  | | | 70 Other tool | | | |
|  | |  |  | | | 71 Please describe other tools used | | | |
|  | |  |  | | | Click here to enter the other tools used. | | | |
|  | |  |  | | | 72 What is the frequency of use? | | | |
|  | |  |  | | | 1+ | | Times / month | |
| Appeals is the process where a formal review can be filed resulting from decisions made by a regulator. Is there an appeals function for this regulation or regulation set? | | | | | | | | |
|  | |  | 73 There is an appeals function | | | | | | |
|  | |  | 74 Is the appeals function specific to the regulation or is there one centralized appeals function for the organization? | | | | | | |
|  | |  |  | | | Choose an item. | | | |
|  | |  | 75 Is the appeals function informal or formal? | | | | | | |
|  | |  |  | | | Choose an item. | | | |
|  | |  | 76 What is the frequency of use of appeals? | | | | | | |
|  | |  |  | | | +1 | | Times / month | |
| 77 Please provide any additional comments | | | | | | | | |
|  | | Click here to enter other comments. | | | | | | |
| Part 2D: Administrative Database(s)  The purpose of this section is to identify and list any databases organizations may have related to the administration of this regulation set (e.g. licensing). Specifically, please identify and list any databases that are business facing, that is, where the regulated party is a business.  The database may be later requested by Statistics Canada with the goal of linking information on regulations to regulated parties (e.g. businesses) for further research and analysis in Phase 2 of the Regulatory Reviews Data Collection initiative. | | | | | | | | |
|  | | |  |  | | --- | --- | | 78 Title of database related to the administration of the regulation set | | |  | Click here to enter database title. | | 79 Description of the database related to the administration of the regulation set | | |  | Click here to enter description. | |  | 80 This information is identified in our organization's Sources of Federal Government and Employee Information (InfoSource) listing | |  | 81 Link to InfoSource listing: | |  | Click here to enter link. | | What is the purpose of the database? Check all that apply. | | |  | 82 Risk assessment | |  | 83 Permissions | |  | 84 Compliance verification | |  | 85 Enforcement | |  | 86 Public reporting | |  | 87 Other purposes | |  | 88 Description of other purposes: | |  | Click here to enter description. | | Does the dataset contain the following information? Check all that apply. | | |  | 89 Contains business registration numbers | |  | 90 Contains NAICS codes | | 91 Name of director or director general level official responsible for the dataset: | | |  | Click here to enter name. | | 92 E-mail of director or director general level official responsible for the dataset: | | |  | Click here to enter name.  Insert Additional Database🡪 | | | | | | | | |
| Provide the name and email of the Chief Information Officer in your organization. | | | | | | | | | |
| |  |  | | --- | --- | | Responsible CIO | E-Mail | | Click here to enter text. | Click here to enter text. | | | | | | | | | |
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