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| **Regulatory Reviews Data Collection Template**    Budget 2018 committed the Government to pursuing a regulatory reform agenda focused on supporting innovation and business investment. The goal of the regulatory reform agenda is to make the Canadian regulatory system more agile, transparent and responsive, and support business growth and innovation. This will consist of a horizontal component and targeted reviews of regulatory requirements and practices that are bottlenecks to innovation and growth in Canada. Specifically, the horizontal component of the Regulatory Reviews will compile and analyze the current stock of regulations, through surveying departments and using existing administrative data, which will inform the advice going forward regarding regulatory modernization.  The data collection will consist of a two-phased approach:   1. This template covers Phase 1 which involves departments providing descriptive information regarding their existing stock of regulations. This includes information regarding regulatory design, regulated parties and regulatory management. Completed templates (signed off by the responsible executive authority) should be returned by **INSERTDATEHERE**. 2. Based on the results of Phase 1, departments with data holdings related to regulated parties will be asked to submit their data to Statistics Canada. Instructions on how to complete Phase 2 will be forthcoming with completed datasets to be provided by XXX.   Organizations should complete one template per regulation or for organizations with numerous regulations, one template per ‘regulation set’. This is defined as a set of individual regulations grouped together by the organization which can be grouped together to serve as one unit of analysis. Criteria for creating a regulatory set include grouping regulations that have a similar North American Industry Classification System code, share the same legislation, or share a similar outcome (e.g. health and safety). This is different than grouping together regulations which may be managed as a group (e.g. common risk assessment).  Organizations should also provide any omitted Acts and/or Regulations.  Please note that departments will receive all data collated through this exercise for internal analysis and use.  ***Questions***  If you have any questions about the data collection template, please contact the designated Regulatory Reviews email address at: **INSERT GENERIC EMAIL ADDRESS**. |
| |  |  |  | | --- | --- | --- | | **Statement of Accuracy and Completeness - Chief Financial Officer** | | | |  |  | I attest that I have reviewed this submission to the Treasury Board of Canada Secretariat, and confirm that the information provided has been completed using the most current and accurate information available to the organization to describe the financial information for this regulation or set of regulations. | |  | Name: |  | |  | Title: |  | |  | Date: |  | |  |  |  | |  | | | | **Statement of Accuracy and Completeness - Responsible Executive** | | | |  |  | I attest that I have this submission to the Treasury Board of Canada Secretariat, and confirm that the information provided has been completed using the most current and accurate information available to the organization to describe this regulation or set of regulations. | |  | Name: |  | |  | Title: |  | |  | Date: |  | |
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| |  |  |  |  |  | | --- | --- | --- | --- | --- | | **Organization** | | | | | |  | | | | | |  | Organization Legal Name: | |  |  | |  |  |  |  |  | |  | Do you administer an act or regulation? | |  |  | |  |  |  |  |  | |
| |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | **Regulation or Regulation Set** | | | | | | |  | Is this an individual regulation or a regulation set? | | |  |  | |  |  |  | |  |  | |  | Title of Regulation or Regulation Set: | | |  |  | |  |  |  | | | | |  | Subject Matter Domain: | | |  |  | |  |  |  | |  |  | |  | NAICS Code of industry or subject matter domain being regulated. If applicable: | | |  |  | |  |  |  |  | | | |  | Describe the overall purpose of the regulation set: | | | | | |  |  |  | | | | |  | Provide the rationale as to why this set of regulations have been grouped together: | | | | | |  |  |  | | | | |  | Rank the importance of this regulation set in carrying out the mandate of the organization: | | | | | |  |  |  | | | | |  | | | | | | |
| |  |  |  |  |  | | --- | --- | --- | --- | --- | | **Composition of Regulation Set:** | | | | | | |  |  |  |  |  | | --- | --- | --- | --- | --- | |  | | | | | |  | Year Enacted: |  |  |  | |  | |  |  |  | | --- | --- | --- | | Minister: |  | Lead Minister | | | | | |  | |  |  |  | | --- | --- | --- | | Name of Deputy Head: | Title  of Deputy Head: |  | |  |  | Lead Deputy Head | | | | | |  | **Regulations Under Act:** | |  |  | |  | |  |  |  |  |  | | --- | --- | --- | --- | --- | |  | | | | | |  | Estimated Proportion of Regulation Set Workload for regulator: | | 100 |  | |  |  | There is an automatic review clause |  |  | |  | Frequency: | |  |  | |  |  |  |  |  | |  |  | There is a statutory provision for automatic review | |  | |  | Title of Statutory Provision: | | |  | |  |  |  | | | | | | | | | | | |  |  |  | |  |  |  | |
| **Regulation Set Policy Features:** |
| |  |  |  |  | | --- | --- | --- | --- | | **Modification:** | | | | |  | Year of Last Modification: | |  | |  |  |  |  | |  | Nature of Modification: |  |  | |  |  |  | | |  | Link to Canada Gazette: |  | | |  |  | |  | | --- | | Click here to insert a hyperlink | | | |
| **Comprehensive Regulatory Review:**   |  |  |  | | --- | --- | --- | |  | Year of Last Comprehensive Review: | | |  |  |  | |  | Objective of Review: | | |  |  |  | |  |  | This comprehensive review was part of a statutory review | |  | Other Regulation and or non-Regulation Instruments: | | |  |  |  | |  | **Consultation Type(s):** | | |  |  | Public Consultations: | |  |  | Stakeholder Consultations | |  |  | Government Consultations | |  |  | Other Consultations --> Description: |      |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | |  | | **Mechanisms of Consultation:** | | | | |  | |  | In Person |  |  | |  | |  | Online |  |  | |  | |  | Written Submission |  |  | |  | |  | Other Mechanism --> Description: | | | | **Consultation Parameters:** | | | | | |  | Link to What We Heard Document: | | | | |  |  | |  | | --- | | Click here to insert a hyperlink | | | | |  | Link to Consultation Document: | | | | |  |  | |  | | --- | | Click here to insert a hyperlink | | | | |  | Length of Time For Consultation: | | | | |  |  |  | | | |  |  |  | | | |  |  |  | | |  |  |  |  | | --- | --- | --- | | **Resources For Review:** | | | |  | Length of Time for Comprehensive Changes: | | |  |  |  | |  | Length of Time for Specific Changes: | | |  |  |  | |  | Length of Time for Technical Changes: | | |  |  |  | |  | Number of FTE Years: | | |
| |  |  |  | | --- | --- | --- | | **Performance Evaluation:** | | | |  | Describe the indicators for the evaluation of regulatory performance: | | |  |  |  | |  | Link to Evaluation Plan: | | |  |  | Click here to insert a hyperlink | |
| |  |  |  | | --- | --- | --- | | **Regulatory Modernization:** | | | |  | **Regulatory Best Practice** | | |  |  | Is there a statement of regulatory best practice | |  | Link to Statement of regulatory best practice: | | |  |  | Click here to insert a hyperlink | |  | **Documents Incorporated in Regulation Set** | | |  |  | Incorporated Reference Used | |  | Type of Incorporated Reference Used: | | |  |  |  | |  | Describe the extent of incorporation of standards or documents from non-accredited sources | | |  |  |  | |  |  | |  |  |  | | --- | --- | --- | | Responsible Official | E-Mail | Lint to Incorporated Document | |  |  | Click here to insert a hyperlink | | |
| |  |  |  | | --- | --- | --- | |  | **Current Methods Used: (Check all that are used)** | | |  |  | Incorporation By Reference | |  |  | Systems Based | |  |  | Performance Based | |  |  | Recognition Of Third Party or Private Standards In Regulations | |  |  | International Regulatory Cooperation Integrated in Regulations | |  |  | Provincial and or Territorial Regulatory Cooperation Integrated In Regulations | |  |  | Regulatory Sandbox | |  |  | Description of Regulatory Sandbox Usage: | |  |  |  | |  |  | Other Methods: | |  |  | Description of Other Methods: | |  |  |  | |  | **Planned Usage of Methods: (Check all that are planned to be used in the next Time period)** | | |  |  | Incorporation By Reference | |  |  | Systems Based | |  |  | Performance Based | |  |  | Recognition Of Third Party or Private Standards In Regulations | |  |  | International Regulatory Cooperation Integrated in Regulations | |  |  | Provincial Territorial Regulatory Cooperation Integrated In Regulations | |  |  | Regulatory sandbox | |  |  | Describe planned usage of regulatory sandbox: | |  |  |  | |  |  | Other methods | |  |  | Description of other methods planned: | |  |  |  | |
| |  |  |  | | --- | --- | --- | |  | **Repealed Regulation:** | | |  |  | Regulation has been Repealed and Not Replaced: --> We should chat about this one….. | |  |  | Rationale: | |  |  |  | |
| |  |  |  | | --- | --- | --- | |  | **Policy Dimensions** | | |  | Description of best practices for supporting small and medium size enterprises (SMEs): | | |  |  |  | |  | Description of best practices for supporting innovation: | | |  |  |  | |  | Description of challenges or constraints to regulatory modernization: | | |  |  |  | |  | Considerations taken when developing regulations to align with other jurisdictions: | | |  |  |  | |  | Other modernization considerations: | | |  |  |  | |
| **Information and Data Holdings:**   |  |  |  |  | | --- | --- | --- | --- | |  | **Information and Data on Regulated Parties:** | | | |  |  | Name of information holding or database: | | |  |  |  |  | |  |  | Description of Information holding or database: | | |  |  |  |  | |  |  |  | This information holding is identified in our organization's Sources of Federal Government and Employee Information (InfoSource) listing | |  |  |  | Link to InfoSource listing: | |  |  |  | Click here to insert a hyperlink | |  |  |  | Information holding or database for risk assessment | |  |  |  | Information holding or database for permissions | |  |  |  | Information holding or database for compliance verification | |  |  |  | Information holding or database for enforcement | |  |  |  | Information holding or database for public reporting | |  |  |  | Information holding or database for other purposes | |  |  |  | Description of other purposes: | |  |  |  |  | |  |  |  | Information holding or database Holds Information Related to Business | |  |  |  | Information holding or database Uses Business Registration Numbers | |  |  |  | Information holding or database Uses NAICS Codes | |  |  |  | Information holding or database Holds Information Related to Individuals | |  |  | Name of information holding or database official: | | |  |  |  |  | |  |  | Title of information holding or database official | | |  |  |  |  | |  |  | E-mail of information holding or database official: | | |  |  |  |  | |
| |  |  |  |  |  | | --- | --- | --- | --- | --- | | **Up Coming Regulatory Agenda:** | | | | | |  | Describe the top priorities for regulatory modernization: | | | | |  |  |  | | | |  | Describe Any Current and or Foreseeable resource Pressures on the Organization to Deliver on Top Priorities, Plans and or Regulatory Modernization: | | | | |  |  |  | | | |  | Describe Plans for Regulatory Modernization if Unconstrained By Time, Resources or Processes: | | | | |  |  |  | | | |  |  | Interested in participating in a possible omnibus submission for regulatory changes in Fall 2018. | | | |  |  | Description of nature of changes including whether they are system and or technical changes if included in 2018 omnibus: | | | |  |  |  | |  | |  | Other comments on upcoming regulatory agenda: | | | | |  |  |  | | | | **Other Comments On Regulatory Set Policy Features:** | | | | | | |  | | |  | | | |
| **Management of Regulation Set:** |
| **Risk Assessment Function (check all that apply):**   |  |  |  |  | | --- | --- | --- | --- | |  |  | Formal Risk Assessment Function | | |  |  | Formal Risk Assessment Process | | |  |  | Internal Risk Assessment | | |  |  | Quantitative Measure | | |  |  | Informed By External Risk Management Experts | | |  |  | Peer Reviewed By Regulatory Community | | |  |  | Other Risk Assessment Feature | | |  |  | Other Risk Assessment Description: |  | |  |  |  |  | |
| |  |  |  |  | | --- | --- | --- | --- | |  |  | Formal Risk Assessment Function | | |  |  | Formal Risk Assessment Process | | |  |  | Internal Risk Assessment | | |  |  | Quantitative Measure | | |  |  | Informed By External Risk Management Experts | | |  |  | Peer Reviewed By Regulatory Community | | |  |  | Other Risk Assessment Feature | | |  |  | Other Risk Assessment Description: |  | |  |  |  |  | |
| |  |  |  |  |  | | --- | --- | --- | --- | --- | |  | **Risk Management Function:** | | | | |  | |  |  |  | | --- | --- | --- | |  | There Is An Explicit Risk Management Function | | |  |  | The Risk Management Function Is Separate From Other Functions | |  | Description of Primary Risk Management Tools: | | |  |  |  | | | | | |  | **Permissions Function:** | | | | |  | |  |  |  |  | | --- | --- | --- | --- | |  | There is a permissions function | | | |  | Annual Volume of Permissions: | | | |  |  |  | | |  |  | This an Ex Ante Permissions Function | | |  |  | Describe the level of confidence in the permissions function in serving the population subject to the regulation: | | |  |  |  |  | |  | Other Permissions Functions Comments: | | | |  |  |  | | | | | | |  | **Compliance Promotion Function:** | | | | |  | |  |  |  |  | | --- | --- | --- | --- | |  | Compliance Promotion Function Indicator | | | |  | **Compliance Information:** | | | |  |  | Information Indicator: | | |  |  | Information URL: | | |  |  |  | Click here to insert a hyperlink | |  | **Compliance Guidance:** | | | |  |  | Guidance Indicator: | | |  |  | Guidance URL: | | |  |  |  | Click here to insert a hyperlink | |  | **Online Service Tools:** | | | |  |  | Online Service Tools Indicator: | | |  |  | Online Service Tools URL: | | |  |  |  | Click here to insert a hyperlink | |  | **Online or In Person Assistance:** | | | |  |  | Online Or In Person Assistance Indicator | | |  |  | Online Or In Person Assistance URL: | | |  |  |  | Click here to insert a hyperlink | |  |  | Other Compliance Tools: | | |  |  |  |  | | | | | |  | **Compliance Verification Function:** | | | | |  | |  |  |  |  | | --- | --- | --- | --- | |  | Compliance Verification Indicator | | | |  | Name of Administrative Organization: | | | |  |  |  | | |  | Name of official: | | | |  |  |  | | |  | Email of official: | | | |  |  |  | | |  | Level of Delegation: | | | |  |  |  | | |  |  | Cross Designation Indicator | | |  |  | Cross Designation Organization Type: | | |  |  |  |  | | | | | |  | **Enforcement Function:** | | | | |  | |  |  |  | | --- | --- | --- | |  | Enforcement Function Indicator: | | |  |  | Disclosure Indicator: | |  |  | Disclosure Frequency Of Use: | |  |  |  | |  |  | Administrative or Monetary Penalty: | |  |  | Penalty Frequency Of Use: | |  |  |  | |  |  | Criminal Prosecution Indicator: | |  |  | Prosecution Frequency Of Use: | |  |  |  | |  |  | Other Indicator: | |  |  | Other Description: | |  |  |  | |  |  | Other Frequency Of Use: | |  |  |  | | | | | |  | **Appeals Function:** | | | | |  | |  |  |  |  |  | | --- | --- | --- | --- | --- | |  | Appeals Function Indicator: | |  | | |  | Frequency Of Use: | | |  | |  |  |  | | | |  | Official Name: | | |  | |  |  |  | | | |  | Official Title: | | |  | |  |  |  | | | |  | Official Email: | | |  | |  |  |  | | | |  |  | Nature Of Appeals Binding | |  | |  |  | Nature Of Appeals Non-Binding: | |  | | | | | |  | **Data Analytics:** | | | | |  | |  |  |  | | --- | --- | --- | |  | Data Analytics Indicator: |  | |  | Data Analytics Description: |  | |  |  | | | | | | |  |  | | | | | **Financial and FTE Information:** | | | | | |  | **Total Organizational Expenditures as per Public Accounts Authorities (Cash Basis)** | | | | |  |  | | | | |  | |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | **Authority Type** | **2012-13** | **2013-14** | **2014-15** | **2015-16** | **2016-17** | |  |  |  |  |  |  | |  |  |  |  |  |  | | | | | |  | **Total Organizational Full Time Equivalents** | | | | |  | |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | |  | **2012-13** | **2013-14** | **2014-15** | **2015-16** | **2016-17** | | FTEs |  |  |  |  |  | | | | | |  |  |  |  |  | |  | **Expenditures on Each Regulatory Function in this Regulation Set:** | | | | |  | |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | **Regulatory Function** | **2012-13** | **2013-14** | **2014-15** | **2015-16** | **2016-17** | |  |  |  |  |  |  | |  |  |  |  |  |  | | | | | |  |  |  |  |  | |  | **Full Time Equivalents on Each Regulatory Function in this Regulation Set:** | | | | |  | |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | **Regulatory Function** | **2012-13** | **2013-14** | **2014-15** | **2015-16** | **2016-17** | |  |  |  |  |  |  | |  |  |  |  |  |  | | | | | |  |  |  |  |  | | **Contacts:** | | | | | |  | |  |  |  |  | | --- | --- | --- | --- | | ***Name*** | ***Title*** | ***Email*** | ***Role*** | |  |  |  |  | | | | | |  |  |  |  |  | |
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| |  | | --- | |  | | **ADDITIONAL EXPLANATORY TEXT**   1. Part 1: General Information   The purpose of this section is to provide general information regarding the organization and the regulation or regulatory set to which the remainder of the template applies.   1. Select all the acts and regulations which comprise this regulatory set. 2. Part 2: Regulatory set design features   The purpose of this section is to describe the regulatory design features of the regulation or regulatory set. This includes questions regarding regulatory review, performance evaluation, regulatory modernization, data holdings and upcoming regulatory agenda.   1. Comprehensive regulatory review: Identify the features of the last comprehensive review of this regulation or regulatory set. 2. Indicate the type of information or data on regulated parties that you currently hold. 3. Describe the upcoming priorities and plans on the regulatory agenda for the next 12 months. 4. Describe any current and/or foreseeable resource pressures on the organization to deliver on top priorities/plans and/or for regulatory modernization, and the rate to which it is occurring. 5. If unconstrained by time, resource or process, what plans for regulatory modernization may your organization pursue? 6. Part 3: Regulatory Management   The purpose of this section is to describe the management practices used for the regulation or regulatory set. This includes questions regarding the following functions: risk assessment, risk management, permissions, compliance promotion, compliance verification, enforcement, appeals and data analytics.   1. Part 4: Financial Information   The purpose of this section is to provide the estimated expenditures and number of full-time equivalents dedicated to each regulatory function in this regulation or regulatory set.  **DEFINITIONS**   1. Organization legal name: Legal name of the organization in statute 2. Regulation set: A set of individual regulations grouped together by the organization which can be grouped together to serve as one unit of analysis. Criteria for creating a regulatory set include grouping regulations that have a similar North American Industry Classification System code, share the same legislation, or share a similar outcome (e.g. health and safety). This is different than grouping together regulations which may be managed as a group (e.g. common risk assessment). 3. Subject matter domain: Subject matter category under which the regulation set best resides 4. North American Industry Classification System Code: The 6-digit code system that is currently the standard used to classify establishments 5. Public consultation: Consultation open to any member of the public, inviting them to comment with a clear indication of how comments can be provided 6. Stakeholder: Consultation that targets stakeholders (e.g. individuals, groups or organizations) identified by the organization likely to be affected by proposed regulatory changes 7. Government: Consultation that includes other government departments and other levels of government identified by the organization likely to be affected by proposed regulatory changes 8. In-person: Methods used to engage stakeholders (e.g. individuals, groups or organizations) likely to be affected by proposed regulatory changes 9. Online: Consultations inviting comments with a clear indication how comments can be provided over the internet 10. Written submission: Consultations inviting written submissions with a clear indication of how written submissions can be provided 11. Statement of regulatory best practice: A set of principles to guide regulatory development 12. Incorporation by reference: A mechanism which allows a document or list that is not in the text of the regulations to be made a part of the regulations. 13. Static incorporation is the incorporation of a document as it exists at the time it is made part of the regulation whereas an ambulatory incorporation includes any future changes to that document without a need to remake the regulation. 14. Non-accredited source: Standards or documents that are not issued by an entity whose primary activities are to develop and issue technical standards intended to address the needs of a group affected. 15. Systems-based: Regulations where regulated parties are required to develop valid internal risk management plans and the regulator verifies that the plans are properly and effectively implemented 16. Performance-based: Regulations that impose obligations stated in terms of outcomes to be achieved or avoided, giving regulated entities flexibility to determine the means to achieve the mandated or prohibited outcomes. 17. Recognition of private standards in regulations: Acknowledgement of the quality level set by private industry on products and processes. 18. International regulatory cooperation integrated in regulations: International regulatory cooperation principles and/or standards are part of the regulations. 19. Provincial/territorial regulatory cooperation integrated in regulations: Provincial/territorial regulatory cooperation principles and/or standards are part of the regulations. 20. Regulatory Sandbox: An approach in which parties are encouraged to come forward with new ideas for innovation and testing in safe spaces that do not fit within existing regulations. 21. Risk assessment: The identification or analysis of risks to the achievement of stated objectives, in order to develop a better understanding of risks at play 22. Permissions: A function whereby authority is granted to a regulated party to do something, such as produce a product. This could take the form of licensing, permitting, registration and certification. 23. Compliance promotion: Any activity that increases awareness, informs, motivates or changes behaviour, and encourages compliance with a regulatory requirement. 24. Compliance verification: Any activities which verify that parties are adhering to appropriate legislation and regulation. 25. Compliance enforcement: Activities that promote compliance and achieving regulations' outcomes. 26. Public reporting: Regulations that require the provision of information and/or data to the public in order to promote accountability 27. Appeals: Process whereby a formal review can be filed in accordance with regulatory timeframes 28. Formal risk assessment process: A formal process in place whereby an evaluation of risks takes place and preventive measures are actioned 29. Internal risk assessment: Process whereby organizations work to ensure that they obtain their objectives and comply with laws and regulations 30. Quantitative measure: Use of measurable, objective data to determine asset value, probability of loss, and associated risk(s) 31. Informed by external risk management experts: External evaluation or assessment of possible or present risk 32. Peer reviewed by regulatory community: Peer-related evaluation or assessment of possible or present risk 33. Ex-ante permissions function: A permission function carried out prior to the event 34. Disclosure: Mechanism of enforcement in which information is proactively disclosed due to lack of compliance of regulation(s) in order to change behaviour 35. Administrative Monetary Penalties: Mechanism of enforcement in which financial penalties and/ or sanctions due to lack of compliance of regulation(s) are applied in order to change behaviour 36. Criminal prosecutions: Mechanism of enforcement in which criminal law enforcement/ prosecution due to lack of compliance of regulation(s) is applied in order to change behaviour 37. Binding: Legally enforceable 38. Non-binding: Not legally enforceable   Not legally enforceable | |

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