

# **Regulatory Services Group**

Strategy 2021–2026



**Te Tari Taiwhenua**  
**Internal Affairs**



# **At the forefront of regulatory excellence, so that...**

Iwi, hapū and communities  
across New Zealand are safe,  
resilient and thriving

The wellbeing of hapū, iwi and Māori  
is improved through a strong and  
enduring Māori-Crown partnership  
that is equitable and positive



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**Regulatory boundaries and the effectiveness of established regulatory tools are being challenged by innovations in technology and business models, by the pace of change and scale of connectivity that these often involve, and by people's changing views about their societies and the world around them. Examples such as cyber threats, artificial intelligence, climate change and extreme societal injustices present new types of challenge.**

Foresight review of the future of regulatory systems: Regulating in a disruptive world, Lloyd's Register Foundation, March 2021



# Tēnā koutou katoa

The goal of this strategy is to ensure Regulatory Services is at the forefront of regulatory excellence, so that hapū, iwi and communities across New Zealand are safe, resilient and thriving, and the wellbeing of hapū, iwi and Māori is improved.

This strategy replaces the 2013 Regulatory Services Group (RSG) strategy and extends the systems approach that RSG has implemented since 2018. It also establishes a strong regulatory stewardship approach to RSG's three current regulatory systems: Digital Safety, Anti-Money Laundering (AML) and Gambling.

RSG was established in 2011 to bring together gambling, censorship compliance, anti-spam and AML regulatory regimes. Since then, the AML Group's remit and size has grown dramatically. More recently the Digital Safety Group, which brings together the censorship compliance and anti-spam functions, has also grown significantly following the introduction of an additional focus on countering violent extremism. This growth has demonstrated a recognition and confidence that RSG is able to effectively absorb, support and grow diverse regulatory functions.

We developed this strategy in a rapidly evolving and digital context, where the hallmarks of effective regulation are:

- ◆ A clear focus on outcomes
- ◆ System leadership and influence based on strong relationships
- ◆ An agile, adaptable and capable workforce
- ◆ The sophisticated use of technology to target, deliver and evaluate regulatory impact.

The strategy establishes RSG's regulatory stewardship approach by setting expectations regarding system leadership and delivering on system outcomes. It leverages the effectiveness of RSG's current regulatory systems by building a shared view of regulatory excellence and maximising the diverse capabilities of our systems. It supports the focus on the safety, resilience and wellbeing of hapū, iwi, he tangata and communities in Aotearoa by strengthening RSG's regulatory foundations, capability and systems to ensure that RSG can readily home additional regulatory systems in the future.

The strategy is a living document we have developed with input from other regulators, our staff, and internal and external stakeholders. I want to acknowledge their valuable input and their ongoing work to make Aotearoa a safer place for all of us.

**Maarten Quivooy**  
General Manager  
Regulatory Services  
May 2021



# Regulatory Services Group

## Vision

RSG is at the forefront of regulatory excellence

## Purpose

RSG enhances the effectiveness of regulatory systems

## Operating principles

- ◆ We inspire trust and confidence
- ◆ We generate new and better ways of achieving our outcomes
- ◆ We are focused on making a difference
- ◆ We work with and through others
- ◆ We take a common approach

## Key focus areas

- ◆ Embedding our regulatory foundations
- ◆ Strengthening our capability
- ◆ Aligning our culture and purpose
- ◆ Harnessing our evidence, insights and evaluation
- ◆ Maximising our relationships



## Our groups

### Gambling

We deliver community wellbeing through reducing gambling-related harms

## DIA purpose

To serve and connect people, communities and government to build a safe, prosperous and respected nation

## Tō Tātou Mahi outcomes

Iwi, hapū and communities across New Zealand are safe, resilient and thriving

The wellbeing of hapū, iwi and Māori is improved through a strong and enduring Māori-Crown partnership that is equitable and positive

### Anti-Money Laundering and Countering Financing of Terrorism

We protect the trust in New Zealand's financial system

### Digital Safety

We make the digital world safer for New Zealanders

### Regulatory Strategy and Performance

We enrich expertise and decision-making across RSG

## Our Mātāpono Principles

### Kotahitanga

Expresses values of togetherness, solidarity, collective action, reciprocity and respect. Strength in unity

### He Tāngata

People are important to what we do and the culture we create. This principle is about all people, both internal and external, being important

### Whanaungatanga

Kinship and relationships. This principle is nurtured through shared experiences and working together, which provides people with a sense of belonging

### Manaakitanga

To manaaki is to show kindness, respect and hospitality towards others. This principle is about maintaining and nurturing relationships and ensuring people are looked after



# Our strategic direction

## Background

In 2018, the Regulatory Services Group (RSG) embarked upon a strategic journey which resulted in a fundamental shift from regime to system leadership. This new strategic direction was designed to enable RSG to effectively deliver on its stewardship responsibilities in a future that anticipated rapid change and significant digitalisation.

RSG is continuing its transformation journey through the development of the RSG Strategy to:

- ◆ Realise RSG's ambition to be highly effective regulators
- ◆ Articulate RSG's vision and the outcomes it aims to deliver for New Zealanders
- ◆ Realise RSG's ambition to provide leadership to the systems it regulates (current and future)
- ◆ Enable RSG to be future-focused, innovative and adaptable in how it delivers services
- ◆ Collaborate across the RSG regulatory systems to leverage learnings, experience and expertise
- ◆ Build a culture of growing kaimahi (staff) and leadership capability and make RSG a great place to work
- ◆ Articulate compelling and measurable markers of success.

Alongside the strategy, a three-year work programme has been developed, setting out the key initiatives that will be undertaken across RSG.

The RSG strategy is strongly aligned to the DIA Tō Tātou Mahi outcomes:

*Hapū, iwi, and communities across New Zealand are safe, resilient and thriving*

... and ...

*The wellbeing of hapū, iwi and Māori is improved through a strong and enduring Māori-Crown partnership that is equitable and positive<sup>1</sup>*

The RSG strategy aims to maximise the effectiveness of RSG's current and future regulatory systems through establishing a shared view of what regulatory excellence looks like and enabling systems to consistently excel.

The strategy sits across existing (and yet-to-be-developed) system group operating models. Each system group has a clear outcome focus and will have its own operating model which sets out how it undertakes its regulatory work.

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1 At the time of developing the RSG strategy the wording of this outcome was yet to be finalised.



## Who we are

### DIA purpose

To serve and connect people, communities and government  
to build a safe, prosperous and respected nation

**RSG is at the forefront of  
regulatory excellence**

### Our groups

#### **Gambling**

We deliver  
community wellbeing  
through reducing  
gambling-related  
harms

#### **Anti-Money Laundering and Countering Financing of Terrorism**

We protect the trust  
in New Zealand's  
financial system

#### **Digital Safety**

We make the digital  
world safer for  
New Zealanders


#### **System X**

Purpose X

#### **Regulatory Strategy and Performance**

We enrich expertise and  
decision-making across RSG





**In the end, regulatory outcomes have to be something the public accept as fair. If you don't have that, whatever nice theories you have, the system collapses. A big question should always be 'how does the public view this?'**

**Dan Corry**

Chief Executive, New Philanthropy Capital  
(former Senior Advisor to the  
UK Prime Minister, 2007–10)





## Strategic context

RSG – and other regulators – are operating in an environment where change is the ‘new normal’ and can occur rapidly and unexpectedly. COVID-19 has prompted governments and businesses alike to reflect on how agile and adaptable they are, whether their digital platforms and services are fit for purpose, and how well they are operating in an increasingly global context.

Challenges facing regulators include disruptive trends relating to the speed and scale at which technology innovations can effect change across whole sectors, the degree to which people’s views have become more polarised – informed by social media – and power imbalances caused when industry expertise exceeds that of the regulator.

In New Zealand, health and economic outcomes are being viewed as interrelated and there is a growing concern about harms to communities – and the disproportionate effects of these on some communities in particular. In this regard, there is an increasing and strongly felt desire for regulators to address inequitable outcomes for hapū, iwi and Māori.

There has been a significant maturing of regulatory practice and professionalism in recent years, resulting in a much greater understanding of the need for many regulators to have and maintain a ‘social licence’, to be able to anticipate and respond to industry changes (which affect their ability to regulate effectively) and to be able to show that they are making a measurable difference. For some this is easier than others.

Concepts of regulatory stewardship – what adopting a whole-of-system, lifecycle view of regulation, and taking a proactive, collaborative approach, to the monitoring and care of the regulatory system(s) within which they have policy or operational responsibilities means for specific systems and regulators is increasingly well defined and understood. One size does not fit all. Related to this, many regulators are challenging the traditional siloed ways of working and are looking for partners or collaborators with whom they can identify new and more innovative interventions using different tools and approaches.



## The Strategy

### What's changing

This strategy outlines the next steps for how RSG's existing regulatory systems will move beyond simply being co-located to being jointly focused on driving regulatory excellence.

RSG aspires to be a place where:

- ◆ The public's confidence in DIA as a trustworthy government agency grows even stronger, as DIA will be associated with successful regulatory outcomes
- ◆ Government can home any regulatory system with confidence that it will stay on a pathway to growing effectiveness, capability and reliability
- ◆ DIA's kaimahi will flourish in the regulatory craft and go on to grow the capabilities of DIA and other regulatory agencies

### What's not changing

Some things in the strategy are not new. The core objectives of the strategic journey embarked upon in 2018 remain relevant:

#### **System leadership – lifting the focus up and out**

- ◆ Engaging, leading and influencing the wider ecosystems that our system groups are part of
- ◆ Establishing relationships and partnerships; taking opportunities to collaborate or leveraging connections

## The how...

### The strategy will enable this by:

#### **Ensuring each system is empowered and supported to be effective**

- ◆ Organisational design that maximises the benefit of centralised functions, and distributes others – to enable innovation and agility
- ◆ Establishing communities of practice and practice leadership
- ◆ Turning data, evidence and information into insights using robust ICT platforms

#### **Getting things done**

- ◆ Embedding robust governance mechanisms; improving project management and business change
- ◆ Improving systems and processes; effective decision-making; performance evaluation

The RSG strategy builds on these and describes what's important to get right in the next few years to be better system regulators.

This strategy also introduces an enhanced emphasis on outcomes for hapū, iwi and Māori, including actively seeking out opportunities to work collaboratively – and on harnessing data and evaluation to build our evidence base, improve our interventions and support others to make informed decisions.



## Our vision

### **RSG is at the forefront of regulatory excellence**

The RSG vision sets out the common objective to which RSG regulatory groups aspire. The achievement of this vision requires RSG to clearly outline what regulatory excellence looks like, and for each system group to achieve that.

## Our purpose

### **RSG enhances the individual and collective effectiveness of its regulatory systems**

The value of RSG lies in the potential for system groups – both singly and in combination – to be more effective than they would otherwise, as a consequence of being able to learn from and collaborate with other RSG system groups. The Regulatory Strategy and Performance Group is responsible for supporting and advancing the strategy, including the provision of specialist services and advice to the system groups.

## Our operating principles

The RSG operating principles sit alongside the DIA Mātāpono which express DIA's fundamental values. The operating principles are specific to RSG and describe how we aspire to work as regulators.

- ◆ We inspire trust and confidence
- ◆ We generate new and better ways of achieving our outcomes
- ◆ We are focused on making a difference
- ◆ We work with and through others
- ◆ We take a common approach

### **What we will invest in**

RSG has identified the following priorities for investment over the coming three to five years. These will guide decisions on investment (money, time, resources):

- ◆ Establish strong regulatory foundations
- ◆ Align our capabilities (people, processes and systems) with our vision and purpose
- ◆ Prioritise the development of our evidence, insights and evaluation base
- ◆ Understand the future and what it means for regulation and regulatory systems
- ◆ Identify and build deliberate relationships with key stakeholders
- ◆ Establish systems and processes for ongoing innovation
- ◆ Develop a Group culture that supports regulatory excellence



# About RSG

## The Regulatory Services Group is made up of

three regulatory system groups

**Gambling**

**Anti-Money  
Laundering  
and Countering  
Financing of  
Terrorism**

**Digital  
Safety**

**Regulatory  
Strategy and  
Performance**

and one strategy and performance group

**There are 168 kaimahi  
in RSG across**

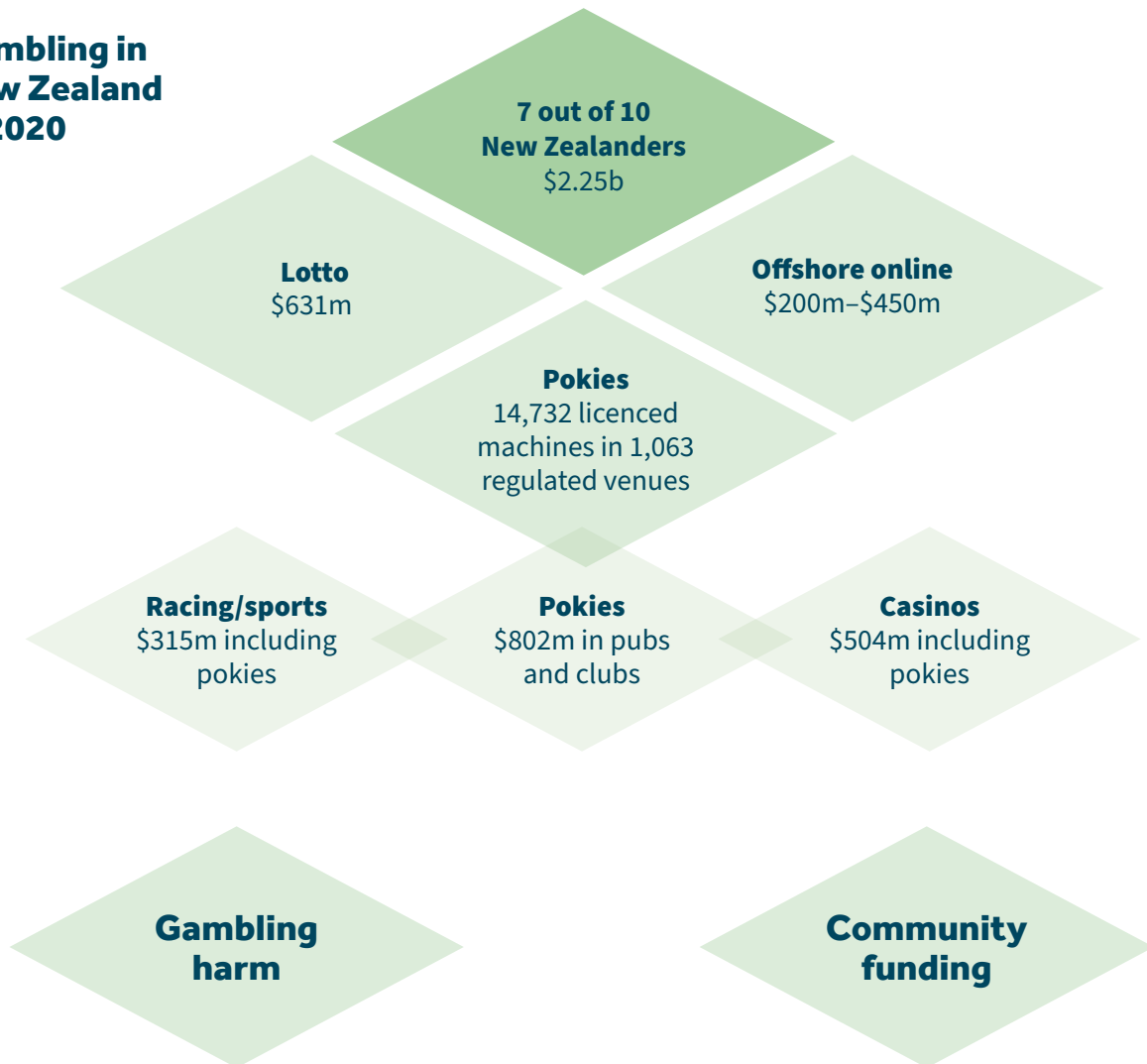
**Wellington  
105**

**Christchurch  
14**

**Auckland  
49**



## Gambling in New Zealand in 2020



- ◆ Pokies are the most harmful form of gambling, due to continuous play. Approximately **one third** of people who play pokies at least monthly are considered at risk of experiencing gambling harm
- ◆ Around **6% of adults** have reported experiencing harm from their own gambling, or from the gambling of someone in their life
- ◆ **48% of adults** were concerned about the level of gambling in their community

**\$345.5 million**

funding to communities from grants from pokie machines

**\$4.2 million**

funding to communities from casinos

**\$313 million**

funding to communities from the Lottery Grants Board

# Gambling



# Anti-Money Laundering and Countering Financing of Terrorism

An estimated **\$1.35 billion** from the proceeds of crime is laundered in New Zealand every year from:

**\$750 million**

Drug offending

**\$500 million**

Fraud

**\$100 million**

Other offences such as burglary

DIA supervises **more than 5,000** financial institutions and other non-financial businesses and professions for compliance with measures to detect and deter money laundering and terrorism financing. This includes:

**86**

Money remitters

**1,361**

Law firms and conveyancers

**13**

Virtual asset service providers

**1,633**

Accountants

**1,296**

Other financial institutions

**940**

Real estate agents

**3**

Casinos

**98**

High-value dealers

These businesses need to assess their risk of money laundering and terrorism financing and put in place measures to mitigate these risks. This includes identifying their customers, keeping records, and submitting reports to the Police Financial Intelligence Unit for any suspicious activity or prescribed transaction.

In 2020 entities supervised by DIA submit the following number of reports per month:

**722**

suspicious activity reports

**106,320**

International funds transfers

**10,448**

Large cash transactions

We take an education-first approach to regulation and in 2019/20 we engaged with people in the following ways:

**886**

Roadshow attendees

**54**

Education event attendees

**3,985**

Number of phone and email queries



### Spam prevention and messaging compliance

**50–60,000**

Email spam complaints a year

**8,120**

SMS spam complaints in 2020, up 200% from 2019

### Digital child exploitation

**4,268**

referrals from the US National Centre for Missing and Exploited Children, up 20% from 2019

### A snapshot of New Zealand extremists online in an average week in 2020

**192**

New Zealand extremist accounts have been active online

**20,059**

posts from New Zealand extremists will be shared across Parler, Facebook, Telegram, Gab, Twitter and YouTube

**38,333**

shares, reposts, retweets, reblogs or other amplifications will occur from these posts (at a global level)

**62,077**

comments and replies have been recorded on those posts (from a global audience)

**203,807**

Likes and UpVotes have been received on those posts (from a global audience)

# Digital Safety



# How we will work

Delivering on its strategy requires RSG to develop and implement an operating model which supports system collaboration, and adopting common approaches across systems where this makes sense.

Effective implementation of the strategy is heavily dependent on RSG having the right capabilities, at the right time, in the right place. This means RSG needs to consider if the current type and configuration of functions and capabilities is optimal. For example, does the existing organisational design free up system groups to focus on driving regulatory excellence through their compliance and enforcement, investigation, licensing, and information and education functions? Does it provide the right combination of business support functions at the required level of expertise? Does it ensure access to the necessary expertise to drive regulatory excellence? Does it facilitate ease of embedding new regulatory functions?

RSG will consider these questions in terms of strategy alignment during the coming year.

## Business capabilities

RSG has identified that one of the most critical elements of its strategy is the development of a cross-RSG culture, unifying and strengthening the RSG identity. This is key to RSG becoming ‘more than the sum of its parts’, and a desirable place for people to work.

The strategy also signals a shift in workforce capability requirements – this is evident in the increased emphasis on the collection, analysis and dissemination of data and information; identifying new and better ways to achieve our outcomes; making more use of digital technologies; and being able to provide assurance that regulatory functions are safe and effective.

## Channels

There is an opportunity for RSG to review the use of its current channels to assess how well they support the achievement of regulatory outcomes.

While the extent to which each channel is used will differ by regulatory system, the rationale for the use of each is likely to be similar (providing information on the internet when it is easily communicated and often accessed, face-to-face for more complex communication, social media and/or social marketing for driving social change, etc.).



**Strategy-related changes  
which will underpin the  
operating model include:**

Assurance plans will enable real-time, meaningful information about system performance

Timely and accurate data and insights gathered by RSG will support evidence-driven regulatory interventions and inform sound policy design

Longstanding, active and trusting relationships will ensure hapū, iwi and Māori have a say in how we work

Stakeholders engaging with more than one RSG regulatory group will be able to navigate seamlessly between them

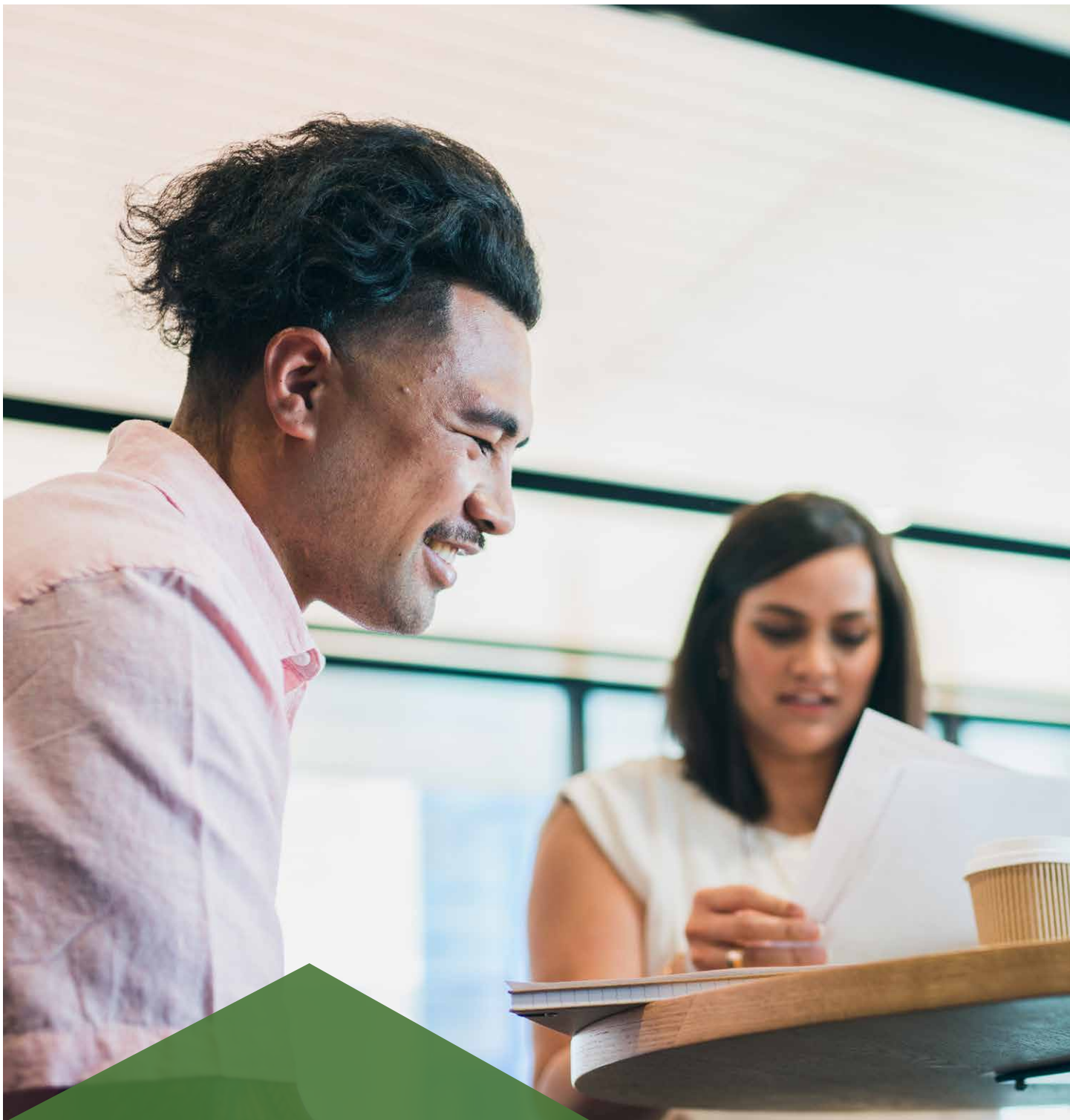
Regulated parties, co-regulators, partners and others who access – or provide RSG with – data and information will do this with ease

Well-defined and consistent business processes will identify the tasks that are most important to RSG and system groups, and streamline these to improve efficiency and effectiveness

RSG kaimahi will have core capabilities which support them to add value across RSG and DIA regulatory systems

The RSG operating model will facilitate the embedding of new regulatory functions – regardless of the nature of the system





**RSG ICT systems are a key enabler for more open sharing of information to support communities, hapū, iwi and Māori in their decision-making, recognising the role these stakeholders play in the regulatory system and in delivering good outcomes in the lives of New Zealanders.**





## Business processes

Having easily accessible and up-to-date documented business processes and operating procedures is a requirement across RSG. This simple activity assists with training new kaimahi, communicating timeliness and quality expectations, monitoring performance and driving consistency in regulatory service provision. This is a priority for the RSG 12 to 18-month work programme.

## Business systems

Flexible, intuitive ICT systems which may have multiple users (internal and external to DIA) are one of the most exciting elements of the RSG strategy. These are fit-for-purpose ICT systems that may be bespoke to the system groups they support, as well as those that enable cross-system collaboration and transparency.

RSG ICT systems are a key enabler for more open sharing of information to support communities, hapū, iwi and Māori in their decision-making, recognising the role these stakeholders play in the regulatory system and in delivering good outcomes in the lives of New Zealanders.

## Stakeholders

RSG system groups have stakeholders in common as well as stakeholders specific to their regulatory functions. RSG has identified that a stakeholder engagement strategy, identifying where crossover exists and how RSG will manage this (for the benefit of the stakeholders and RSG), is critical to achieving trust and confidence.





# **Key focus areas and strategic initiatives**



**Focus area one:  
Embedding our  
regulatory foundations**

See page 22



1

**Focus area two:  
Strengthening  
our capability**

See page 24



2

**Focus area three:  
Aligning our culture  
and purpose**

See page 26



3

**Focus area four:  
Harnessing our evidence,  
insights and evaluation**

See page 28



4

**Focus area five:  
Maximising our  
relationships**

See page 30



5



Focus area one:

# Embedding our regulatory foundations

# 1





This focus area is all about ensuring each system has in place agreed foundational systems and processes – such as a regulatory charter which demonstrates a clear and shared understanding of the regulatory system, and an assurance plan setting out how we will know if the system is effective. This starts the process of defining what RSG means by regulatory excellence.

## Strategic initiatives

To be a system regulator, there needs to be a shared understanding of the system – who is in it, what is their role, what are the risks and opportunities, etc. System groups have differing levels of information about this – some systems are more straightforward to describe than others – however, describing a system is just the beginning... getting agreement to the scope and shared outcomes of a system by key participants is the real goal as that will enable the system participants to share information, collaborate on initiatives and share in the achievement of system outcomes.

Likewise, the development of system group assurance plans is dependent on identifying what the most important performance measures are for the system and being able to answer the question, *How will we know if our system groups are effective?*

The initiative above, and the development of system group-specific operating models, supports greater transparency of regulatory systems. Clearly articulated operating models also ensure that system groups have considered what capabilities (people, processes and systems) they need to achieve their objectives, who their stakeholders are, and what channels they will use to deliver their regulatory functions.

The documentation of operating procedures supports consistency of practice, outlines timeliness and quality standard expectations (where relevant) and provides clarity to kaimahi – new and longstanding.

**12–18 months**  
(July 2021 –  
December 2022)

Agree and articulate scope, roles and responsibilities, opportunities and risks for each system

Document and consistently implement operating procedures across all system groups

Align system groups' operating models to the RSG strategy

Develop and implement RSG assurance plans

**18–36 months**  
(January 2023 –  
June 2024)

Finalise system descriptions with key participants

## Targets



### Key Focus Area

Embedding our regulatory foundations



### Five-Year Success Measures

Four or five regulatory foundations, and target dates for the embedding of these in system groups, will be agreed in conjunction with DIA Regulatory Stewardship and Assurance



### Baseline 2021

To be established in 2021



Focus area two:

# Strengthening our capability

# 2





This focus area is about ensuring our people, processes and systems are all fit for purpose – aligned to our strategy and flexible enough to accommodate change.

## Strategic initiatives

RSG's capability initiatives reflect a strong emphasis on kaimahi development, including tools which support career progression and success planning (for example, the capability framework and workforce plan). They also identify where RSG has identified there may be gaps in terms of either capability or functions and that some work will be undertaken to more fully assess these.

The development of a cross-RSG ICT roadmap is about ensuring that system groups are individually equipped with the technology resources they need now and for the future, and that every opportunity is taken to maximise existing and future systems for the benefit of all RSG.

Managing risk is an important part of RSG's role. An RSG risk tolerance policy will articulate the Group's risk appetite and tolerance, clarifying what constitutes acceptable risk-taking so that RSG can more effectively manage risk and take advantage of opportunities as they arise.

**12–18 months**  
(July 2021 –  
December 2022)

Complete capability framework development and implementation (note that implementation will include training, coaching and on-the-job development initiatives)

Develop and implement an RSG ICT roadmap

Develop and implement an RSG workforce plan

Address service design and engagement capability gaps in organisational design

**18–36 months**  
(January 2023 –  
June 2024)

Continue to develop and mature our capabilities

## Targets



### Key Focus Area

Strengthening our capability



### Five-Year Success Measures

75% of technical capabilities are met across RSG



### Baseline 2021

55%



Focus area three:

# **Aligning our culture and purpose**

# 3





This focus area is about developing an RSG culture that supports regulatory excellence and so the achievement of our vision – and makes RSG a place that people want to join and work in.

## Strategic initiatives

Feedback has been received from kaimahi across RSG that there is a strong desire for greater collaboration, celebration and learning across groups, and for there to be a unifying culture. This focus area is primarily about the development of a clearly defined RSG culture and the implementation of a multi-year plan to bring this to life. It will link to foundational DIA documents and ways of work such as the DIA Mātāpono, and DIA Principles and Behaviours.

Also identified as important, and related to the development of an RSG identity or culture, is that RSG establishes itself as a learning environment focused on building regulatory excellence. A plan to support this will be developed; this work is as much about creating a great place to work where kaimahi can learn new skills and where ideas will be welcomed as it is about the provision of training and development.



**12–18 months**  
(July 2021 –  
December 2022)

Develop RSG identity

Develop RSG as a learning environment in support of regulatory excellence

**18–36 months**  
(January 2023 –  
June 2024)

Continue to strengthen RSG culture in support of the vision

## Targets



### Key Focus Area

Aligning our culture and purpose



### Five-Year Success Measures

Pulse survey feedback shows staff believe RSG is taking effective action to address feedback provided through annual Whakahoki kōrero surveys



### Baseline 2021

N/A



Focus area four:

# **Harnessing our evidence, insights and evaluation**

# 4





Evidence, insights and evaluation are the basis of our regulatory interventions – this focus area is about ensuring we have the information we need to make informed decisions, and support our regulatory partners and hapū, iwi and Māori to do the same.

## Strategic initiatives

RSG has already commenced this work with the development of a Data, Research and Evaluation (DRE) Strategy. Between July 2021 and June 2024, the DRE Strategy will be implemented across RSG.

Alongside the implementation of the DRE Strategy, RSG will consider whether it has the data, evaluation, insights and intelligence capability it needs for the future (i.e., people, processes and systems). If gaps and/or opportunities are identified, these will be implemented before December 2022.

**12–18 months**  
(July 2021 – December 2022)

Develop and implement Data, Research and Evaluation Strategy

Identify data, evaluation, insights and intelligence capability requirements for the future

Develop and commence implementation of plan to address data, evaluation, insights and intelligence capability requirements

**18–36 months**  
(January 2023 – June 2024)

Continue to implement plan to address data, evaluation, insights and intelligence capability requirements

### Targets



**Key Focus Area**

Harnessing our evidence, insights and evaluation



**Five-Year Success Measures**

The Data Futures Partnership / NZ Data Trust Governance of Data Guidelines Data Maturity Rubric (DMR) shows RSG has shifted from Fragmented to Partner Ready



**Baseline 2021**

An assessment by FrankAdvice in 2021 indicated RSG currently sits at Fragmented on the DMR



Focus area five:

# Maximising our relationships

# 5





We cannot work in isolation – our system strategy is about partnering to achieve more. To do that, we need to understand who our key stakeholders and potential partners are and how we can work together.

## Strategic initiatives

Our initiatives for this focus area are all about identifying our stakeholders and partners, understanding who they are, what their experience of us is, and determining what kind of relationship we want to have with them (including – for some – how we could work together).

Understanding how hapū, iwi and Māori experience our regulatory systems is a priority. The more we know about this, the better we can target our regulatory activities toward better outcomes for hapū, iwi and Māori and jointly identify opportunities for partnering or collaborating.

While it is expected that each system group will have a stakeholder engagement plan, RSG also needs a stakeholder engagement plan – one which identifies those stakeholders held in common and how we will jointly work with them.

In the first 18 months of this strategy, RSG will commission an external stakeholder survey to understand how effectively system groups are working as system regulators with other participants.

**12–18 months**  
(July 2021 –  
December 2022)

Partner with hapū, iwi and Māori to understand their experience with RSG regulatory systems and jointly identify priority areas for improvements

Develop RSG and system-specific stakeholder engagement plans with a key focus on identifying and collaborating with partners and influencers

Develop scope for external stakeholder engagement survey/research

**18–36 months**  
(January 2023 –  
June 2024)

Undertake external stakeholder engagement survey/research, develop and implement plan in response

### Targets



#### Key Focus Area

Maximising our relationships



#### Five-Year Success Measures

Regulatory partner stakeholder engagement survey



#### Baseline 2021

Baseline survey to be undertaken in 2022



# Measuring progress

RSG has identified the following five year success measures as indicators of the Group's progress against its strategic objectives.

Focus area one:  
**Embedding  
our regulatory  
foundations**

Specific regulatory foundations, and target dates for the embedding of these in system groups, will be agreed in conjunction with DIA Regulatory Stewardship and Assurance

Focus area two:  
**Strengthening  
our capability**

75% of technical capabilities are met across RSG



Focus area three:

**Aligning  
our culture  
and purpose**

Pulse survey feedback shows staff believe RSG is taking effective action to address feedback provided through annual Whakahoki kōrero surveys

Focus area four:

**Harnessing our  
evidence, insights  
and evaluation**

The Data Futures Partnership / NZ Data Trust Governance of Data Guidelines Data Maturity Rubric (DMR) shows RSG has shifted from Fragmented to Partner Ready

Focus area five:

**Maximising  
our relationships**

Regulatory partner stakeholder engagement survey



# Approach to change

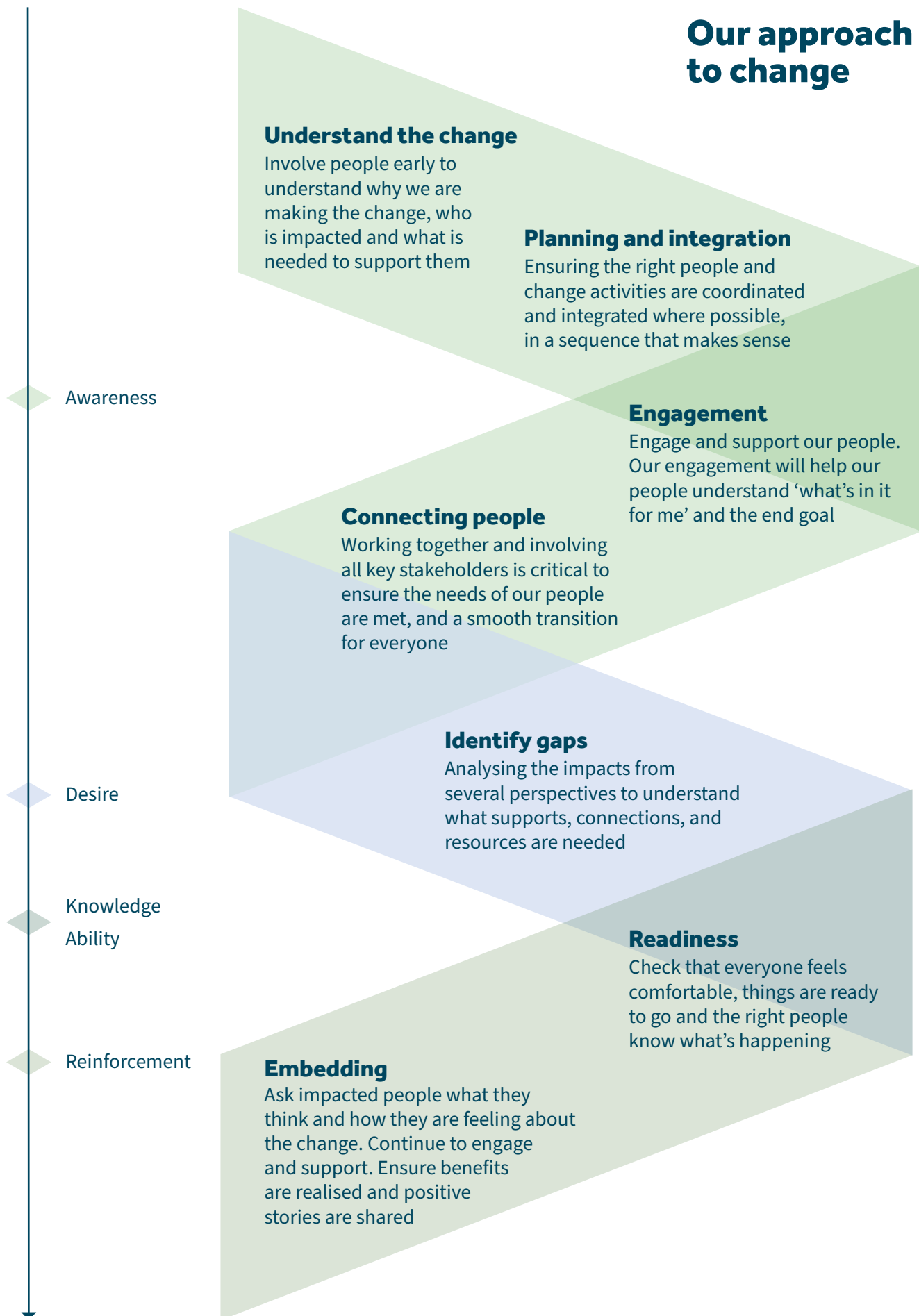
The strategy will result in some ongoing refinement for RSG. RSG leaders are committed to managing this in a considered and transparent way, ensuring planning, implementation and evaluation of change are factored into the implementation of the strategy. This change is likely to take place over time. RSG will put people at the heart of the change; people-centric change is about ensuring the full participation of our people in the design and implementation of change initiatives. It is also important to acknowledge that change happens at an individual level, which means finding different ways to seek to involve everyone – starting with ensuring a shared understanding of why and how we are changing, what needs to happen for the change to be effective and enduring, and how we will practically implement it.

On this basis, the RSG approach to managing change is likely to include some of the following:

- ◆ Using a change methodology that puts people at the centre of the change (for example, Prosci ADKAR)
- ◆ Ensuring RSG leaders are engaged and prepared to successfully lead and support the change
- ◆ Engaging with everyone in RSG early – and communicating often along the way
- ◆ Working collaboratively and sharing ideas
- ◆ Sharing plans to get different perspectives from different stakeholders on different things
- ◆ Learning from each other
- ◆ Preparing RSG people well, to be ready for change
- ◆ Celebrating successes along the way
- ◆ Learning from experiences by listening to leaders and kaimahi



## Our approach to change





# Three year work programme

Key focus area and strategic initiative	2021–2022	2022–2023	2023–2024
Embedding our regulatory foundations	◆ Agree and articulate scope, roles and responsibilities, opportunities and risks for each system		
	◆ Document and consistently implement operating procedures across all system groups		
	◆ Align system group operating models to the RSG strategy		
		◆ Finalise system descriptions with key participants	
	◆ Develop and implement RSG assurance plan/s		



Key focus area and strategic initiative	2021–2022	2022–2023	2023–2024
Strengthening our capability	<ul style="list-style-type: none"> <li>◆ Complete capability framework development and implement (note that implementation of the capability framework will include training, coaching and on-the-job development initiatives)</li> </ul>		
	<ul style="list-style-type: none"> <li>◆ Develop and implement RSG ICT roadmap</li> </ul>		
	<ul style="list-style-type: none"> <li>◆ Develop and implement RSG workforce plan</li> </ul>		
	<ul style="list-style-type: none"> <li>◆ Address service design and engagement capability gaps in organisational design</li> </ul>		
	<ul style="list-style-type: none"> <li>◆ Assess how effectively DIA knowledge management policies and processes have been implemented in RSG – address gaps or capability requirements if required</li> </ul>		
Aligning our culture and purpose	<ul style="list-style-type: none"> <li>◆ Develop RSG identity</li> </ul>		
	<ul style="list-style-type: none"> <li>◆ Establish RSG as a learning environment in support of regulatory excellence</li> </ul>		
	<ul style="list-style-type: none"> <li>◆ Develop and implement Pulse surveys as per baseline measures</li> </ul>		



Key focus area and strategic initiative	2021–2022	2022–2023	2023–2024
Harnessing our evidence, insights and evaluation	<ul style="list-style-type: none"> <li>◆ Develop and implement Data, Research and Evaluation Strategy</li> </ul>		
	<ul style="list-style-type: none"> <li>◆ Identify data, evaluation, insights and intelligence capability requirements for the future</li> </ul>		
	<ul style="list-style-type: none"> <li>◆ Develop and commence implementation of plan to address data, evaluation, insights and intelligence capability requirements</li> </ul>		
		<ul style="list-style-type: none"> <li>◆ Continue to implement plans to address data, evaluation, insights and intelligence capability requirements</li> </ul>	
Maximising our relationships	<ul style="list-style-type: none"> <li>◆ Partner with hapū, iwi and Māori to understand their experience with RSG regulatory systems and jointly identify priority areas for improvement</li> </ul>		
	<ul style="list-style-type: none"> <li>◆ Develop RSG and system-specific stakeholder engagement plans with a key focus on identifying and collaborating with partners and influencers</li> </ul>		
	<ul style="list-style-type: none"> <li>◆ Develop scope for external engagement survey/research, develop and implement plan in response to findings</li> </ul>		
		<ul style="list-style-type: none"> <li>◆ Undertake external stakeholder engagement survey/research, develop and implement plan in response</li> </ul>	







