

**ACT**
Government

City and Environment

Framework

City and Environment Directorate Regulatory Governance Framework

DOCUMENT OWNER	DATE APPROVED
Josh Rynehart Access Canberra	24/07/2026
CLEARANCE	REVIEW DATE
CED Executive Leadership Group 03/10/2025	31/12/2027

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1.0 Introduction

1.1 Purpose

The purpose of the **Regulatory Governance Framework** (the Framework) is to support a disciplined and transparent approach to operational regulatory governance that strengthens operational delivery, enhances risk management, and aligns with the City and Environment Directorate's (the Directorate) strategic and legislative obligations.

This Framework establishes a centralised, consistent and structured approach to overseeing significant regulatory activity (referred to as regulatory projects within this Framework) across the Directorate. It sets out mandatory governance elements—such as regulatory project stage gates used to guide a project through distinct phases – and regulatory governance committees.

The Framework supports the objectives of the Directorate's Regulatory Strategy.

1.2 Objective

This Framework sets out the principles and practices for governing regulatory initiatives within the Directorate. It provides a clear structure to progress activities and can be adapted to suit varying levels of complexity. The framework is intended to provide:

- Greater control over regulatory delivery: A structured governance model helps ensure initiatives are delivered within agreed parameters and in line with standards.
- Proactive risk management: Early identification and escalation of risks enable timely interventions, reducing the likelihood of regulatory failures.
- Sound resource oversight: Governance mechanisms support effective monitoring of budgets and resource use, helping to prevent cost overruns and improve value for money.
- Improved strategic planning: Increased visibility allows for better coordination of resources, forward planning of regulatory priorities, and improved workforce stability.

Ultimately, the Framework seeks to strengthen oversight and accountability outcomes and support consistency in regulatory conduct. This Framework supports the systematic application of the Directorate's regulatory principles as described in the Regulatory Strategy (see below).



1.3 Scope

The Framework applies to all regulatory activities undertaken by the Directorate and the regulators therein, which includes, among other things, issuing licenses and approvals, monitoring compliance through proactive and reactive data-led programs, conducting investigations, and delivering project-based work that supports regulatory outcomes. For the purposes of this Framework, these regulatory activities will collectively be referred to as ‘regulatory projects’.

This Framework provides a structured approach to regulatory governance by offering:

- Clearly defined governance checkpoints that guide oversight throughout the lifecycle of regulatory initiatives, ensuring consistency and accountability at each stage.
- Practical guidance on governance controls to support informed decision-making, risk management, and compliance with legislative and organisational requirements.
- A comprehensive suite of tools, templates, and resources designed to empower regulatory teams and governance bodies in executing their responsibilities effectively and efficiently.

The Framework does not need to apply to regulatory authorisations where the decision making and review processes are detailed within legislation.

Although, a regulator may elect to bring matters to the Governance Committee where the matter satisfies the criteria.

1.4 Whole of Government and Normative References

The Regulatory Governance Framework complements legislated decision-making frameworks across the Directorate.

1.5 Document Framework

This Framework will be supported by quality documents identified in the document register at Section 4, which will be updated as documents are created and adopted.

All materials are housed in a centralised governance hub, making it easy for teams to navigate governance requirements and for decision-makers to stay informed on progress and emerging risks.

While this Framework outlines the overarching governance principles/elements, it does not prescribe specific implementation or operational details; these can be found in supporting documentation.

2.0 Elements of Regulatory Governance Framework

2.1 Project Stage Gates

Project management is a structured discipline that guides the planning, execution, and completion of projects to achieve specific goals. It is typically divided into distinct phases—Initiation, Planning, Execution, Monitoring and Controlling, and Closure—each with its own set of activities and governance requirements.

Incorporating the regulatory business of a regulator into project management phasing requires adapting traditional project governance to reflect the unique responsibilities, compliance obligations, and stakeholder dynamics of regulatory agencies.

Regulatory initiatives must follow the lifecycle outlined in the Framework, progressing through defined governance stage gates for approval at each phase. While not all stages may apply to every initiative, completion of each stage gate is required to document rationale and ensure governance oversight.

Once approved at the initiation stage, initiatives must report to one of three designated governance bodies until the regulatory project is formally closed, ensuring ongoing accountability and alignment with regulatory objectives. Each stage gate ensures that there is a sufficient authorising environment for activities with consideration to legislative obligations, decision-making pathways and agreed review points

Unlike traditional project management approaches that rely on a vertical governance structure to oversee progression through defined stages, this Framework adopts a hybrid horizontal governance model. This model comprises three governance committees, each responsible for oversight of specific phases within the project lifecycle.

Traditional project parameters of scope, time and cost may be more loosely defined and may not be the most suitable reporting measures. However, the use of scope, time and cost ensure that activities continue to align with the organisation's regulatory principles.

2.1.1 Stage gate 1 – Initiation

The initiation stage marks the formal commencement of the regulatory project and establishes the foundation for its successful delivery. This phase involves defining the project's purpose, scope, objectives, and strategic alignment with regulatory priorities. An initiation document must be prepared to secure governance endorsement and ensure alignment with legislative and strategic policy frameworks.

2.1.2 Stage gate 2 – Planning

The planning stage translates the strategic intent established during initiation into a detailed roadmap for delivery. This phase involves refining project scope, setting clear objectives, identifying key deliverables, and establishing timelines and resource requirements. The planning stage culminates in formal approval from the designated governance oversight body, authorising the regulatory activity to proceed to the execution phase.

2.1.3 Stage gate 3 – Execution

The execution stage is where the regulatory project is actively delivered, with all planned activities carried out to produce the intended regulatory outcome. This stage concludes once the regulatory project is finalised ready for decision of closure. Prior to a regulatory project moving to Closure and

Evaluation formal approval must be obtained from the appropriate governance body to ensure it meets the relevant standards.

2.1.4 Stage gate 4 – Monitoring and Control

Stage 4 Monitoring and Controlling runs alongside stage 3 Execution. It involves tracking progress, managing changes, and ensuring the task stays on track. These phases are overseen by the relevant governance body which is responsible for overseeing the progression and ongoing prioritisation of regulatory project that have been accepted into the governance framework.

2.1.5 Stage gate 5 – Closure and Evaluation

Stage 5 Closing and Evaluation marks the final stage of the regulatory task. During this phase, deliverables are handed over, documentation is completed, and lessons learned are reviewed to inform future practice.

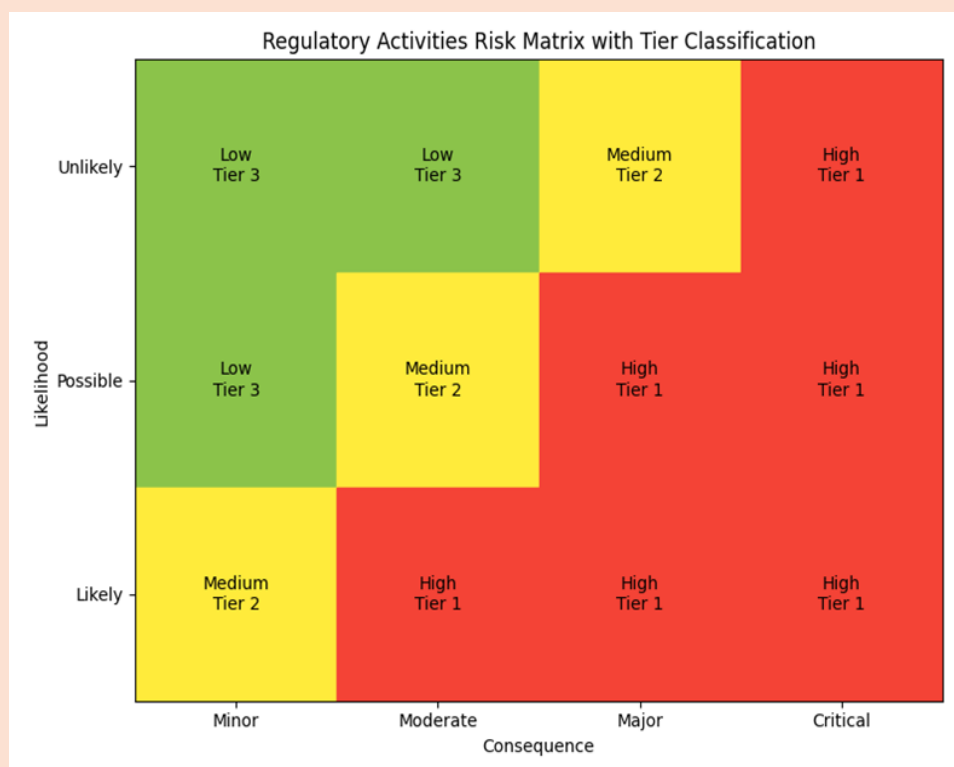
2.2 Project Classification

To support effective prioritisation and governance oversight, regulatory projects will be categorised.

Every regulatory project should be assigned to either be Tier 1, Tier 2 or Tier 3. This will assist in deciding level of governance. Guidance on assessing the tiering is outlined below, but each case should be considered on its merits and context.

- Tier 1 includes strategic, high-risk matters that carry significant public interest, legal implications, or cross-agency impact, and require executive-level oversight.
- Tier 2 covers complex or emerging regulatory initiatives that may demand coordinated effort across branches and benefit from structured governance support. For example:
- Tier 3 comprises routine, operational regulatory activities that are managed within business units under existing delegations and do not require formal governance committee involvement.

Initial Risk Tiering Matrix

**Likelihood**

- Frequency of similar regulatory issues or breaches in the sector
- Complexity of the regulatory environment
- Level of change in legislation, policy, or systems
- Reliance on external agencies or third parties
- Strength and maturity of existing regulatory controls

Consequence

- Impact on public safety, consumer protection, or vulnerable populations
- Breach of legislative or regulatory obligations
- Financial cost to government or regulated entities
- Damage to regulator's credibility or public trust
- Disruption to regulatory operations or service delivery
- Political or media sensitivity

2.3 Regulatory Project reporting

2.3.1 Governance Bodies

The Framework is structured around five key project stage gates (phases), supported by three governance committees which will report to the Deputy Director-General responsible for regulatory matters.

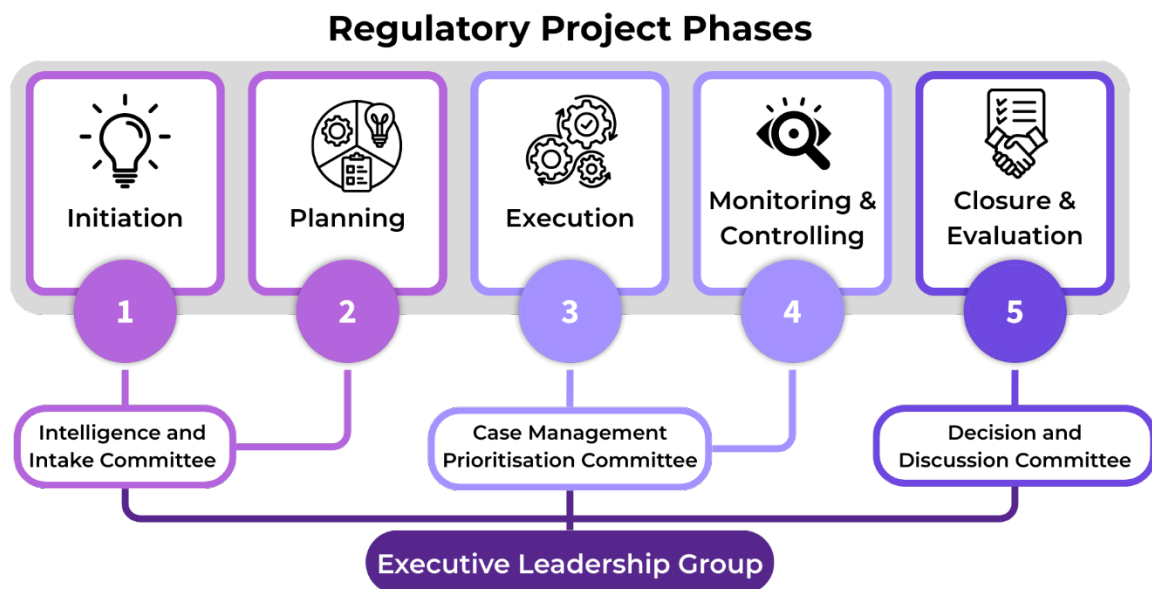


Figure 1: Regulatory governance structure and alignment to the 5 project management stages and oversight committees.

Regulatory projects may move between phases and governance committees as required, depending on their complexity, risk profile, and operational needs. This flexibility ensures that each matter receives the appropriate level of oversight and support throughout its lifecycle. All decisions and recommendations made within the framework will be formally recorded to maintain transparency, accountability, and continuity.

Intelligence and Intake Committee

The Intelligence and Intake Committee oversees:

- Stage 1 – Initiation
- Stage 2 – Planning of regulatory projects.

In Stage 1, the Committee supports the high-level definition of the project and assesses its feasibility and strategic value. In Stage 2, it guides the development of detailed plans for operational delivery. As the entry point for regulatory work—including case management, investigations, programs, and projects—the Committee plays a critical role in assessing, prioritising, and triaging incoming matters. Its decisions are based on strategic alignment, risk, and public interest. The Committee ensures that proposals are underpinned by robust intelligence, including relevant data, stakeholder insights, and policy context, before progressing through further stages.

Case Management and Prioritisation Committee

The Case Management and Prioritisation Committee oversees:

- Stage 3 – Execution
- Stage 4 – Monitoring and Controlling of regulatory projects.

During Execution, the Committee ensures that operational teams carry out plans effectively. In parallel, it monitors progress, manages changes, and ensures alignment with strategic objectives. The committee is responsible for the progression and ongoing prioritisation of regulatory matters accepted into the governance framework. It ensures that cases are managed efficiently, appropriately resourced, and aligned with organisational priorities and risk appetite.

Decision and Discussion Committee

The Decision and Discussion Committee leads Phase 5 – Closing and Evaluation, the final stage of the regulatory task. During this phase, the Committee ensures that deliverables are handed over, documentation is completed, and lessons learned are reviewed to inform future practice. As the senior governance body within the Framework, it holds strategic authority over high-priority regulatory matters. The Committee ensures that regulatory actions are legally sound, strategically aligned, and appropriately concluded. It also serves as a forum for addressing complex or emerging regulatory challenges, providing a space for collaborative exploration of unresolved issues and broader system-level concerns.

2.4 Project Tolerances

2.4.1 Project Status

When reporting on the regulatory project to the governing committees all projects should use a traffic light system, addressing common project parameters, for example, schedule, cost, and risk. The specific templates and settings will be developed through implementation.

2.5 Templates and Tools

2.5.1 Templates

This section will be completed through implementation.

3.0 Governance Framework Management within CED

3.1 Overview

Governance responsibilities are ascribed to the Regulatory Governance Committees which report to the Deputy Director-General responsible for regulatory functions.

Terms of Reference will be prepared for each committee and be endorsed by the responsible Deputy Director-General.

3.2 Roles and Responsibilities

Role	Responsibilities
Deputy Director-General responsible for regulatory functions	- Provides overarching authority - Sets priorities and expectations - Resolve escalated issues
Chair/s, Regulatory Governance Committees	- Escalate decisions and issues to the Deputy Director-General responsible for regulatory functions - Maintain and review Regulatory Governance Framework documents - Manage declared Conflicts of Interest for decision makers in accordance with set policies - Ensure Committees operate to agreed terms of reference and deliver outcomes as intended.
Governance Committee Members	- Work within the authority of the Terms of Reference - Uphold integrity and due processes - Participate in deliverables and outcomes
Statutory Office Holders/Executive Branch Manager	- Decision authority - Escalate matters to the respective Committees for advice
Senior Leadership/Management	- Provide support and develop staff capabilities - Ensure teams follow regulatory practice and procedures - Escalate risks and issues
Regulatory Officers	- Undertake regulatory activities in line with agreed project parameters - Escalate risks and issues - Practice due diligence and work with integrity - Capture project metrics and measurables - Conduct activities as per standards/procedures

3.3 Records Management

Documents associated with establishment activity and the operation of the governance committees will be held centrally in Objective.

3.4 Monitoring and Evaluation

The Framework will be adopted and tested by Access Canberra prior to full implementation. A review of the Framework and the operation within Access Canberra will be undertaken prior to further adoption.

Reporting on the activity and outcomes in governance committees will be provided to the Directorate's Executive Leadership Group quarterly. Performance measures will be developed as part of implementation planning.

4.0 Resources

4.1 Supporting Documents

This section will be completed following implementation of the Framework

Document Title	Document Location