

Implementing 'Better Practice' Permissions

A Playbook for regulators to streamline permissions
and become digitally ready

Overview

Three parts of the Playbook

1 Overview

2 Part A: defining your ambition for reform

This section is targeted at 'Service Owners' – regulatory leaders or senior managers responsible for permissions. It includes guidance to understand baseline practices and processes and define your parameters and ambition for reform.

3 Part B: designing better practice processes and delivering change

This section is targeted at 'Reform officers' – responsible for designing and implementing regulatory improvements. It includes guidance for designing better practice permissions and implementing reform.

This Playbook was developed to help regulators improve administration of permissions

Regulators and permissions play a vital role in society

Regulators play a vital role in society ensuring fairness and safety across various sectors. They ensure that individuals and businesses comply with requirements under legislation and have powers to respond to non-compliance.

Permissions¹ are an important tool used by regulators to approve activities and manage risk. They exist alongside the broader regulatory tools used by regulators, such as education and engagement, compliance, monitoring and investigation activities.

Designing and administering permissions can be one of the most significant administrative activities for regulators.

Applying for and processing permissions takes time and can be costly for both applicants and regulators.

It is important that regulators administer well targeted permissions in the most efficient and effective way possible. This helps regulated entities to operate and comply with regulations with the least burden.

This Playbook helps regulators to improve their regulatory practice and processes to achieve 'better practice' permissions and become more 'digitally ready'.

¹Permissions includes licences, permits, registrations, authorisations, certifications and other related approvals. We refer to these as permissions throughout this report.

This Playbook has been developed for **'you'**.

'You' may be a leader, manager, officer or specialist within a regulator tasked with improving permission practices and processes.

This Playbook will help you implement **'better practice'** permissions.

- The Playbook outlines a repeatable approach to achieve 'better practice' permissions, enabled by digital reform.
- You can work through the Playbook to review your end-to-end permission practice and process, or focus on specific parts.
- You can use it as part of a significant reform program or through a continuous improvement approach.

It outlines a repeatable approach for regulators to achieve 'better practice' permissions and enable future digital reform

How were 'better practice' permissions designed?

This Playbook was developed by Better Regulation Victoria (BRV) in partnership with four Victorian small regulators, Service Victoria and the Department of Treasury and Finance (DTF) through a collaborative co-design process.

While it was co-designed with small regulators, it is intended to be able to be used by all regulators across different permission schemes.

The playbook is designed to help you achieve **two things**

1 Implement 'better practice' permission practices and processes

WHAT DOES IT MEAN TO IMPLEMENT 'BETTER PRACTICE'?

You are administering permissions in a more efficient and effective way, accounting for your overall approach to regulation and managing risks.

Implementing 'better practice' means:

- You have a clear and risk-proportionate basis for permission requirements.
- You have streamlined processes that are 'user centric' and help applicants and permission holders.
- You have improved your processes so they are more efficient, effective and transparent.

2 Become 'digitally ready', with a pathway for digital reform

WHAT DOES IT MEAN TO BE 'DIGITALLY READY'?

'Digital readiness' could mean preparing to digitise the entire process, or digitising components of the process.

'Digital readiness' means:

- You have done what you can with existing resources to prepare for future digitisation.
- You have defined needs and a clear action plan that includes appropriate documentation to achieving future digital transformation in a way that is ready to engage with service providers.

Implementing 'better practice' permissions have clear benefits

Why should you implement 'better practice' permissions?

Better practice permissions result in an **improved experience** for applicants and permission holders and **increased efficiencies and enhanced transparency** for regulators and the Victorian Government. It can benefit regulators and regulated entities in many ways, reducing the administrative burden of permissions and enabling more effective regulation.

BENEFITS FOR YOU

- ✓ Improved employee experience, with officers better supported to process permissions
- ✓ Fewer enquiries through phone-calls and emails and requests for further information (RFIs)
- ✓ More efficient internal workflows and processes, enabled by effective digitisation
- ✓ Better allocation of resources, aligned to risk
- ✓ Greater transparency in decision making
- ✓ More effective integration with other regulatory functions
- ✓ Responsibly administering the relevant law

BENEFITS FOR REGULATED ENTITIES

- ✓ Improved applicant and permission holder experience, with better engagement and sentiment towards regulators
- ✓ Streamlined interactions and shorter wait times, saving time and money
- ✓ Greater confidence in applications, with a higher rate of quality applications
- ✓ Fewer requests for further information (RFIs)
- ✓ Less paperwork

Digital reform can enhance regulatory outcomes

Why should you digitise your permissions?

Digitising permissions can assist Victorian regulators by improving information quality while enabling data-driven decision making and greater regulatory oversight. When done well, **digital reform is one of the strongest levers to reduce burden** on regulated entities and enhance regulatory outcomes. Digitisation should be reform-led, with processes improved in line with 'better practice'.

BENEFITS FOR YOU

- ✓ More efficient and transparent processing, with less manual effort
- ✓ More automatically validated, reviewed and assessed information
- ✓ Greater consistency in information and processes across applications
- ✓ Better monitoring and reporting using data to identify trends and areas for improvement, securely stored and well organised
- ✓ More effective integration between internal systems (front and back-end) and with external systems
- ✓ Fewer human errors and inconsistencies

BENEFITS FOR REGULATED ENTITIES

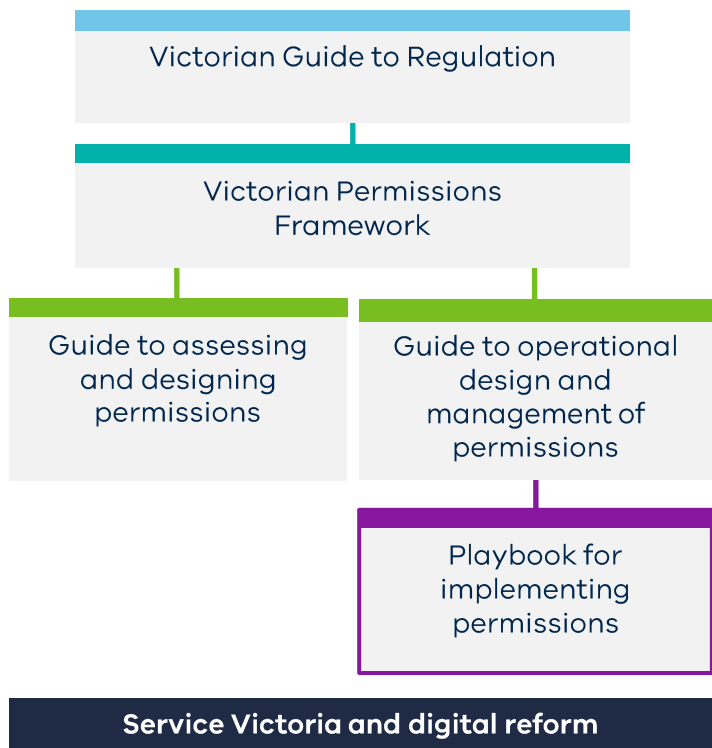
- ✓ Improved and more accessible digital experience
- ✓ Faster applications and regulatory interactions
- ✓ Greater transparency and predictability, including progress and status of applications
- ✓ Reuse of information where valuable
- ✓ Fewer unnecessary questions with better and more dynamic applications
- ✓ Less paperwork

This Playbook exists within the context of other regulatory reform work

This playbook supports and enables other policies and reform across DTF, BRV and Service Victoria

This Playbook exists within the context of other Victorian Government frameworks and principles guiding 'better practice' permissions. It operationalises many of these frameworks and principles. You should refer to these resources when considering the broader design or role of permissions.

••••• Towards Best Practice Guide●
Whole of organisation performance:
10 principles to support regulators in their journey towards best practice.



Victorian Guide to Regulation | The overarching policy guiding regulatory approaches: Guidance to determine and assess regulatory approaches when making regulations, including permissions.

Victorian Permissions Framework | The role, design and administration of permissions: A framework to create or improve permissions, including as part of routine reviews of legislation and regulation.

Guides | The design and assessment of permissions: Guidance and criteria for the design, assessment and management of permissions.

Playbook | The implementation of permissions: This Playbook, to implement 'better practice' permissions enabled by digital reform.

Digital reform | The digitisation of permissions: Platforms and capabilities to digitise permissions, including through Service Victoria.

The Playbook is a 'how to' guide to implement 'better practice' permissions



HOW

This Playbook outlines a repeatable approach through a 'how to' guide to implement improvements to regulatory practice and processes to be more consistent, streamlined and digital.

It will take you through a four-step process to baseline your understanding, define your parameters and ambition, design 'better practice' processes and develop an action plan and related outputs to streamline the administration of your permissions.

BASELINE

Understand your baseline process and practice

DEFINE

Define your parameters and ambitions

DESIGN

Design 'better practice' processes

IMPLEMENT

Identify and implement improvements



USERS AND USE CASES

You will be able to use this Playbook through different reform contexts including:

To assess how 'digitally ready' your practice and processes currently are

To prepare for future digital reform and implement improved practice and processes

To periodically or routinely review regulatory practice and process

To implement new permissions that are 'better practice' and digital



OUTPUT

Through this playbook, you can develop a set of actions and plan to implement improved permission practice processes that are 'better practice' and enable future digital reform. This will identify different outputs to develop to enable digitisation (e.g., procedures, system requirements, procurement).

Use this Playbook to develop an action plan for practice and process improvements and digital reform

PART A

Primarily for Service Owners – you are a regulatory leader or senior manager responsible for administering the permission.

BASELINE

Understand your baseline process and practice

Gather baseline information on your current state practice and processes and identify pain points and challenges across the permission journey.

DEFINE

Define your parameters and ambitions

Understand your ambitions and constraints for reform. Identify your parameters for digital and non-digital improvements, guided by frameworks and criteria.

PART B

Primarily for Reform Officers – you are a reform officer or team member responsible for designing and implementing regulatory improvements.

DESIGN

Design 'better practice' processes

Work through the 'better practice' permission journey and use it to design an improved permission process.
Consider your requirements for digital reform, including through Service Victoria.

IMPLEMENT

Identify and implement improvements

Conduct an in-depth review of key stages and components to identify improvements.
Document and prioritise opportunities, actions, and enablers for reform and digitisation, developing an action plan.

Glossary

TERM	DEFINITION
Applicant	An entity applying for a permission. This could be an individual, sole trader or company.
User	An individual who uses the regulator's platforms or systems. This is a general term that can refer to an applicant, representative, permission holder or regulated entity. When applying for a permission through digital services, a user can be considered a 'customer' of government services.
Delegate	A role that that undertakes activities due to their expertise or position. This could include more senior regulator officers involved in more complex assessment or approval decisions or representatives with the authority to act on behalf of a business. Delegates can be either in a regulator or regulated entity.
Permission	The right to engage in specific activities or conduct specified actions as granted by a regulatory authority. This can take the form of a licence, registration, permit, or other approval administered by a regulatory authority.
Permission holder	The entity that holds a permission from a regulatory authority and can undertake activities as defined through the permission. This could be an individual, sole trader or company.
Regulated entity	A business or individual that holds a permission, and whose conduct and activity is regulated by the regulatory authority. Regulated entities are considered a duty holder.
Service owner	A role within the regulator, generally a more senior manager or leader, that is responsible for the improvement and administration of a permission and how it is experienced as a service by applicants.
Reform officer	A role within the regulator, generally an officer or manager, that is responsible for designing and implementing improvements to regulatory practices and permission process.



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