

# Regulatory Supervision Service Delivery Group (SDG) Terms of Reference

## 1. Purpose

- 1.1. The Regulatory Supervision SDG supports the work of the Senior Leadership Team by considering and making decisions on areas of responsibility falling under the management of the Deputy Commissioner (Executive Director – Regulatory Supervision Service).
- 1.2. The Regulatory Supervision SDG will monitor operational performance and debate issues on an exception basis. The primary role of the delivery group is to debate and make decisions on Regulatory Supervision strategy and resource allocation.

## 2. Responsibilities

- 2.1. The SDG's responsibilities cover the following areas:
  - Public Advice Services;
  - Freedom of information;
  - Insight & Relationship Management;
  - High priority investigations and intelligence;
  - Investigations;
  - Legal (regulatory enforcement); and
  - Regulatory assurance.
- 2.2. The SDG is expected to advise and provide constructive challenge to issues which are the responsibility of the Executive Director – Regulatory Supervision Service on whose behalf members act.

## 3. Authority

- 3.1. The authority for the SDG derives from the Senior Leadership Team.

## 4. Composition

- 4.1. Meetings: Regulatory Supervision SDG meetings will be held monthly. A Regulatory Supervision SDG Quarterly meeting will be held in the last month of each financial quarter.
- 4.2. The core membership of Regulatory Supervision SDG consists of Executive Director, Director and Heads of Department for the Regulatory Supervision Service.

- 4.4. The quarterly meeting will focus on the review of quarterly performance and establish priorities for the following quarter.
- 4.5. Away days: The SDG will normally convene one strategic away day each quarter.
- 4.6. Deputies: If any member is unavailable for a meeting then attempts will be made to reschedule the meeting. If this is not possible, then an appropriate deputy should be designated.

## 5. Quorum

- 5.1 The SDG is quorate with the following members present:
  - The chair, or a member nominated by the chair to act as chair; and
  - At least three other members.

## 6. Information requirements

- 6.1. The SDG should ensure that arrangements are in place to enable it to discharge its responsibilities effectively, including the timely provision of information in an appropriate form and quality. The Executive Directors Private Office will be responsible for managing the delivery group agenda. Papers for the Group must be provided to the Corporate Governance at least three working days before the meeting with prior approval from the Executive Director's Private Office. All papers must be supported by a covering sheet clearly articulating what action is required from the group. Agenda and papers for each meeting will be circulated to all attendees two working days before the meeting.
- 6.2. The standing agenda items will be:
  - Matters arising
  - Review of Action Board
  - Deep Dive Discussion<sup>1</sup>

## 7. Budget

- 7.1. The SDG has no budget.

## 8. Secretariat

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<sup>1</sup> Opportunity to present strategic proposals in a manner that they can quickly be turned into actions.

8.1. Secretariat is provided by the Corporate Governance Team. The Executive Director has responsibility for setting the agenda for the Regulatory Supervision SDG meetings.

## 9. Frequency of meetings

9.1. The SDG should meet once per month.

## 10. Evaluation

10.1. The SDG should ensure that arrangements are in place to enable it to discharge its responsibilities effectively, including a formal annual evaluation of the Group's performance.

## 11. Links to other forums

11.1 The SDG will report directly to the Senior Leadership Team where appropriate.

11.2 The SDG will refer issues to other Service Delivery Groups where appropriate.

11.3 The SDG will receive reports from the Regulatory Supervision Service Department Heads Forum and other forums within the Service where appropriate.

