

# Core Regulatory Skills Framework

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## Part 1: introduction

### The importance of good regulation

Regulation underpins and impacts almost all areas of the UK economy. It provides critical safeguards and protects consumers. When designed and implemented well, regulation and the work of regulators is vital in promoting and supporting competition, economic growth, innovation and investment. It can deliver the positive outcomes that the government wants to see in our communities, through addressing economic, societal and environmental risks.

For regulatory organisations to achieve these ambitions, they need to have the skills and competencies to regulate effectively. Regulatory skills are central to ensuring regulation supports growth and investment, rather than creating unnecessary burdens and being risk averse. The government has set out its priorities in regulation in its [New approach to ensure regulators and regulation support growth](#):

- tackling the complexity and the burden of regulation
- reducing uncertainty across the regulatory system
- challenging and shifting excessive risk aversion in the system

The government's vision is to have a regulatory system that:

- supports growth by encouraging new investment and innovation while also protecting consumers and supporting competition
- keeps pace with innovation, to allow the UK to take advantage of new technologies and innovations, including artificial intelligence, digitalisation, decarbonisation and increased automation
- is targeted and proportionate so we regulate only where necessary and allow space for discretion and good behaviour

### Regulator skills

The Department for Business and Trade (DBT) and the Civil Service Operational Delivery Profession (ODP) have worked closely with regulators to identify the skills that they need and current gaps in this provision, and how these can be addressed. The

Core Regulatory Skills Framework has been developed as part of this work and the department will continue to work with regulators to identify how it can support regulator capability, skills and expertise.

## Core Regulatory Skills Framework

The Core Regulatory Skills Framework brings together the core knowledge, skills and competencies that regulators need to perform their role at different career levels and set these out in one place. For the first time, regulators have a shared language that they can all use. This will lead to a greater consistency in the approach for those that they regulate, such as businesses, private markets, and parts of the public sector. It will allow regulators to consider how they take a proportionate approach to managing risk, encourage economic growth and innovation while continuing to effectively regulate their sector.

The framework will benefit both regulatory organisations and officials who work in regulation.

Regulatory organisations can use the framework alongside their own specialist skills frameworks in the technical areas that they regulate. Their officials will thus be able to access both the general core and technical skills that they need in their work. The framework can help smaller regulators, who may not have their own resources to develop a general core framework, to help their officials in their day-to-day regulatory work.

Not all of the skills set out in the framework will be relevant to every regulator. If some are not relevant, they need not include these skills when incorporating the framework for their use. For example, a regulator that does not issue licences or permissions, may omit the authorising skill.

The framework can also help regulatory organisations to improve their recruitment and retention as it sets out the skills that those working in regulation need to build a successful career in regulation. This will help to retain experience and expertise and lead to more effective decision making, which in turn, can support economic growth, innovation and investment.

Officials working in regulatory functions can measure their capabilities against the framework to assess their current skills and the ones they may need to develop to build

a career in regulation, including the skills that they need to develop to move to the next level. This will be true if their career is with one regulator, or if they transfer to another, as it will demonstrate transferrable core regulatory skills.

The framework is voluntary, but we intend for it to be used widely as it provides a standard language that can be used by regulators in their work. This will help to build a shared understanding of good regulatory practice for those who work in regulation and bring consistency across the regulatory landscape for the benefit of regulated entities.

## How to use the framework

The rest of this document sets out the Core Regulatory Skills Framework in detail.

Part 2 summarises 4 different development levels:

- awareness
- working
- practitioner
- expert

It also provides a brief description of what is required at each level.

Part 2 also outlines the 5 different core regulatory themes:

- regulation theory
- regulatory system design and casework
- data, evidence and technology
- regulatory tools and interventions
- regulatory communication, collaboration and engagement

It also provides a brief description of the specific skills that an official needs to understand in each skill area

Part 3 then sets out the specific core skills that are required at each level – awareness, working, practitioner and expert. The expert level includes the skills that are required for advanced practitioners and for senior leaders. Regulators can use this section to focus on the skills they need in their current level and role, and to look at the skills that they will need if they want to move to the next level.

## Part 2: development levels and themes

This section sets out, in more detail, a summary of the development levels and themes used in the framework.

### Development levels

The Core Regulatory Skills Framework has 4 levels:

- awareness
- working
- practitioner
- expert

The expert level has 2 sub-levels:

- advanced practitioner
- leader

The expert level includes the skills that are required for advance practitioners and for senior leaders.

Development level	Descriptor
Awareness	Essential capabilities for everyone working in the Civil Service so they have an awareness of regulators and the work that they do.
Working	Entry-level capabilities for roles in regulation. Regulators at this level will have a working-level of knowledge, skills and networks. Individuals will be routinely applying these independently.
Practitioner	At this level, individuals will be skilled professionals with an advanced understanding. Capabilities will be deeper

	and the individual will be well versed in the subject matter with effective networks in regulation.
Expert – advanced practitioner	At this level, individuals will be highly skilled professionals with deep expertise. They will practice their skillset within a specialist domain, manage sector risks and encourage economic growth and innovation.
Expert – leader	At this level, individuals will be executives in leadership roles, who provide strategic leadership, manage risk to protect the public and encourage economic growth and innovation in their organisations and have sector-wide influence.

## Themes

The framework contains 20 core skills arranged into 5 themes, each of which sets out the key skills of regulatory practice. Regulators may have their own frameworks specific to their specialist area, which complement the core skills laid out in this framework. A complete list of the themes, the associated skills and their definitions is outlined as follows.

### Theme 1: Regulation theory

Regulation theory is the foundational understanding of regulation, including statutory principles, ethics, impact assessment, and regulatory models. The theme equips regulators to make proportionate, transparent, and evidence-based decisions, applying the right approach for the context while upholding public trust. This theme includes 4 indicative skills: regulatory principles, regulatory professionalism and ethics, costs and benefits of regulation (including growth, resilience and social benefit) and regulatory models and approaches.



### Regulatory principles

The regulator understands and applies the core principles of regulation (including proportionality, accountability, transparency and fairness) to shape their decisions, justify any interventions and maintain public trust. They record clear rationales and follow [the Regulators' Code](#) and similar national and international standards so that decisions are explainable and auditable.

### Regulatory professionalism and ethics

The regulator acts with integrity and impartiality, upholding professional standards and managing conflict of interest to maintain public trust. The regulator demonstrates ethical judgement in complex situations, safeguards against regulatory capture and role-models respectful, customer-focused behaviour. They ensure decisions and interactions are free from bias, handle information responsibly and use media and social media appropriately and lawfully, reflecting Nolan principles and public service values.

### Costs and benefits of regulation (including growth, resilience and social benefit)

The regulator makes proportionate, explainable regulatory choices by framing trade-offs, analyses impacts (economic, environmental, social, and resilience), and recommends options that best advance a better society and economic growth within statutory duties.

### Regulatory models and approaches

The regulator understands, compares and applies regulatory models, including: risk-based, outcome-based, responsive, principles- versus rules-based, deterrence versus compliance, right touch regulation, earned recognition and self-assurance. The regulator uses these models to ensure regulatory choices are conceptually sound, proportionate and aligned to statutory purpose. The regulator demonstrates the craft of selecting and blending approaches for context and act as a steward of the regulatory system, focusing on long-term public value, coherence and adaptability as risks and markets change.

## Theme 2: Regulatory system design and casework

This theme examines the systems, processes, and casework practices which enable effective regulation. It focuses on translating legislation into operable frameworks, designing secure and auditable casework systems, and ensuring decisions are

consistent, fair and legally robust. This theme includes 3 indicative skills: legislative processes, casework systems and designing regulatory frameworks

### Legislative processes

The regulator understands how primary and secondary legislation is developed, enacted, commenced and implemented in the relevant regulatory domain. The regulator interprets and applies legal requirements accurately, ensures regulatory activity is lawful, proportionate and consistent with statutory intent. The regulator works with legal and policy colleagues to identify risks, shape proposals and maintain compliance as laws evolve.

### Casework systems

The regulator uses and manages casework management systems to ensure information is recorded accurately, securely and in a timely manner. The regulator maintains compliance with legal and organisational requirements (including data protection), supports audit processes and contributes to the continuous improvement of systems so they remain fit for purpose and adaptable to future regulatory needs.

### Designing regulatory frameworks

The regulator designs proportionate, and coherent regulatory frameworks that can be implemented. The regulator translates statutory intent into clear requirements, conditions and powers and defines roles and governance. The regulator ensures the design takes into account current and future operational systems and testing frameworks to ensure they deliver relevant regulatory requirements.

## Theme 3: Data, evidence and technology

Data, evidence and technology strengthens the regulator's capability to use data and evidence throughout the regulatory cycle and to govern emerging technologies responsibly. This theme includes gathering and interpreting evidence, embedding evaluation, using artificial intelligence (AI) safely, and regulating innovative technologies in a proportionate and risk-sensitive way. This theme includes 3 indicative skills: regulating emerging technologies, using data, evidence and intelligence and using artificial intelligence.

### Regulating emerging technologies

The regulator enables proportionate, risk-based regulation of new and rapidly evolving technologies, such as AI. The regulator understands the technological characteristics,

assesses risks and opportunities, and applies regulatory tools and engagement approaches that protect the public while supporting innovation and growth.

#### Using data, evidence and intelligence

The regulator interprets and applies data, evidence and intelligence to identify trends, risks and opportunities within regulated sectors. The regulator ensures decision-making and evaluation is supported by relevant and quality-assured data, evidence and intelligence. The regulator implements data management and governance systems to ensure data is managed effectively to enable data-driven regulation.

#### Using artificial intelligence

The regulator safely, lawfully and effectively uses AI to improve regulatory outcomes while maintaining accountability, fairness, privacy and security. The regulator selects and uses AI tools effectively, follows organisational governance, and provides evidence for decisions informed by AI.

### Theme 4: Regulatory tools and interventions

The operational tools and interventions available to regulators across the regulatory lifecycle. The emphasis is on using these tools in a way that is risk-based, proportionate and transparent, so regulation protects people and markets while enabling innovation and growth. This theme contains 5 indicative skills: setting and promoting standards, authorising, monitoring and assessing compliance, enforcement and evaluation.

#### Setting and promoting standards

The regulator designs and maintains proportionate standards, codes and conditions and deploys them to give clear routes to compliance. The regulator supports timely decisions and improves outcomes with proportionate burden. The regulator embeds standards into guidance, templates and workflows, promotes their use with regulated entities, and monitors uptake to refine processes.

#### Authorising

The regulator makes consistent, transparent and well-reasoned authorisation decisions (licences, permits, approvals, registrations). The regulator applies statutory tests and published criteria, uses risk-based, evidence-led assessment, sets, varies and reviews conditions to secure outcomes, and ensures procedural fairness, transparency and rights to review/appeal.

### Monitoring and assessing compliance

The regulator understands relevant regulations and mechanisms that ensure compliance. The regulator works with regulated entities to help them meet legal and standards-based requirements. The regulator uses behavioural insights, data, and technology to monitor compliance effectively, and provides tailored guidance to support voluntary compliance and reduce regulatory burden.

### Enforcement

The regulator understands and applies the full range of enforcement tools (informal, civil, and criminal) to uphold regulatory standards. The regulator gathers and assesses evidence, ensures procedural fairness, and deploys proportionate enforcement actions. Enforcement should be a final resort, used when other regulatory interventions have not achieved compliance, and must be transparent, consistent, and legal.

### Evaluation

The regulator assesses the effectiveness, efficiency, and impact of regulatory interventions, tools, and frameworks. The regulator designs and applies evaluation methods to understand outcomes, unintended consequences, and opportunities for improvement. Evaluation supports transparency, accountability, and continuous improvement in regulatory practice.

## Theme 5: Regulatory communication, collaboration and engagement

This theme develops the regulator's skills to communicate clearly, collaborate across regulatory systems, and engage stakeholders and the public effectively. This emphasises building trust, supporting compliance, and reducing duplication through transparent, consistent, and inclusive engagement. This theme contains 5 indicative skills: communication, working with regulated entities, working with regulators, working with government and public engagement.

### Communication

The regulator communicates regulatory information clearly, transparently and accessibly to diverse stakeholders. The regulator uses appropriate channels and formats, applies behavioural insights to influence compliance and ensures communication builds trust. The regulator supports, understands and enables self-service compliance. Strategic

communication aligns with regulatory objectives and public expectations, contributes to sector-wide improvement.

#### Working with regulated entities

The regulator engages effectively with regulated entities and develops, maintains, and understands their sectoral context. The regulator identifies trends, challenges, decision-making processes and risk appetite. The regulator builds trust and confidence in regulated entities and the public through transparent, responsive and respectful professional communication. The regulator acts as a steward of the regulatory system and promotes consistency, clarity and continuous improvement.

#### Working with regulators

The regulator collaborates effectively with other regulators to promote coherence, reduce duplication, and uphold shared standards across the regulatory system. The regulator understands the roles, jurisdictions and approaches of other regulators, aligns practices where appropriate, and acts as a steward of regulatory excellence.

#### Working with government

The regulator collaborates effectively with local and national government while maintaining regulatory independence. The regulator understands government structures and priorities, contributes to policy development, and ensures regulatory activities are aligned with public service values. The regulator demonstrates resilience, strategic influence, and stewardship in navigating government relationships.

#### Public engagement

The regulator engages the public transparently, consistently and responsively to build trust in the regulator and the regulatory system. The regulator clarifies roles and responsibilities, understands public perceptions, and ensures that engagement is accessible, inclusive and aligned with public service values. The regulator communicates effectively with those directly affected by the regulatory market/area and maintains resilience and professionalism in the face of public criticism or scrutiny.

## Part 3: the core regulatory skills at development levels

This section sets out the specific core skills that are required at each development level of the framework. It starts at awareness level, and then sets out working, practitioner and expert levels. The expert level includes the skills that are required for advanced practitioners and for senior leaders.

Regulators can use this section to focus on the skills they need in their current level and role, and to look at the skills that they will need if they want to move to the next level.

### Core regulatory skills at awareness level

The awareness level outlines the essential capabilities for everyone working in regulation and the Civil Service, so they have an awareness of regulators and the work that they do.

<b>Awareness level: regulation theory</b> The foundational understanding of regulation, including statutory principles, ethics, impact assessment, and regulatory models. The theme equips regulators to make proportionate, transparent, and evidence-based decisions, applying the right approach for the context while upholding public trust.	
Skills	Regulator capabilities
Regulatory principles	<ul style="list-style-type: none"> <li>recognises the core principles of good regulation and why they matter for legitimacy and trust</li> </ul>
Regulatory professionalism and ethics	<ul style="list-style-type: none"> <li>understands the basic principles of professional and ethical conduct in regulation</li> <li>aware of organisational policies on behaviour, transparency and the role of media and social media in regulation</li> </ul>
Costs and benefits of regulation (including	<ul style="list-style-type: none"> <li>recognises that regulation creates costs and benefits for society, the economy and the environment</li> </ul>

growth, resilience and societal benefit)	<ul style="list-style-type: none"> <li>identifies where regulation can support growth, reduce burdens and enable innovation</li> <li>understands that trade-offs between outcomes are inherent in regulatory decisions</li> </ul>
Regulatory models and approaches	<ul style="list-style-type: none"> <li>understands the purpose and features of common regulatory approaches and can describe when each is typically used</li> <li>recognises the need to make proportionate, coherent choices that can be reviewed over time</li> </ul>

### Awareness level: regulatory system design and casework

The systems, processes, and casework practices which enable effective regulation. The theme focuses on translating legislation into operable frameworks, designing secure and auditable casework systems, and ensuring decisions are consistent, fair and legally robust.

Skills	Regulator capabilities
Legislative process	<ul style="list-style-type: none"> <li>• aware of the legislative process, including how laws and regulations are developed and implemented</li> <li>• recognises the importance of adhering to relevant laws and regulations in carrying out official duties and responsibilities</li> </ul>
Casework systems	<ul style="list-style-type: none"> <li>• awareness of the importance of casework management systems in regulatory practice</li> </ul>
Designing regulatory frameworks	<ul style="list-style-type: none"> <li>• understands what regulatory frameworks are and the importance of operational design and assurance</li> </ul>



### Awareness level: data, evidence and technology

Strengthens the regulator's capability to use data and evidence throughout the regulatory cycle and to govern emerging technologies responsibly. This theme includes gathering and interpreting evidence, embedding evaluation, using AI safely, and regulating innovative technologies in a proportionate and risk-sensitive way.

Skills	Regulator capabilities
Regulating emerging technologies, including artificial intelligence	<ul style="list-style-type: none"> <li>recognises what is meant by emerging technologies and why they present regulatory challenges</li> <li>understands the potential benefits and risks of technologies such as AI for regulated sectors and society</li> </ul>
Using data, evidence and intelligence	<ul style="list-style-type: none"> <li>understands the importance of data in regulation activity and decision-making</li> <li>aware of the difference between data, evidence and intelligence</li> <li>aware of importance of sandboxes, innovation hubs and policy laboratories to develop new technology</li> </ul>
Using artificial intelligence	<ul style="list-style-type: none"> <li>understands what AI is and its common use-cases in regulation</li> </ul>

### Awareness level: regulatory tools and interventions

The operational tools and interventions available to regulators across the regulatory lifecycle. The emphasis is on using these tools in a way that is risk-based, proportionate and transparent, so regulation protects people and markets while enabling innovation and growth.

Skills	Regulator capabilities
Setting and promoting standards	<ul style="list-style-type: none"> <li>understands why standards exist, and how they support the regulatory lifecycle</li> </ul>
Authorising	<ul style="list-style-type: none"> <li>understands the purpose of authorising and how it protects people, the environment and markets</li> </ul>
Monitoring and assessing compliance	<ul style="list-style-type: none"> <li>understands the importance of compliance monitoring in protecting public safety, consumer rights, and environmental standards</li> <li>recognises the consequences of non-compliance and the regulator's role in upholding trust</li> </ul>
Enforcement	<ul style="list-style-type: none"> <li>understands the purpose of enforcement and its role in maintaining regulatory compliance</li> <li>recognises different enforcement options available to regulators, including informal actions (for example, advice, warnings), civil tools, and criminal prosecution</li> </ul>
Evaluation	<ul style="list-style-type: none"> <li>understands why evaluation is important in regulation and how it supports learning, transparency, and improvement</li> </ul>

### Awareness level: regulatory communication, collaboration and engagement

This theme develops the regulator's skills to communicate clearly, collaborate across regulatory systems, and engage stakeholders and the public effectively. This emphasises building trust, supporting compliance, and reducing duplication through transparent, consistent, and inclusive engagement.

Skills	Regulator capabilities
Communication	<ul style="list-style-type: none"> <li>understands the importance of effective communication in supporting regulatory activities</li> <li>recognises the need to use language appropriate for diverse audiences and the role of communication in building trust</li> </ul>
Working with regulated entities	<ul style="list-style-type: none"> <li>recognises the importance of working constructively with regulated entities</li> </ul>
Working with regulators	<ul style="list-style-type: none"> <li>recognises and understands the roles of different regulators</li> <li>recognises the importance of collaboration and alignment in delivering effective regulation</li> </ul>
Working with government	<ul style="list-style-type: none"> <li>understands the independence of regulators and the roles of government officials</li> <li>recognises how government priorities may influence regulatory frameworks</li> </ul>
Public engagement	<ul style="list-style-type: none"> <li>understands the importance of regular and timely engagement with the public</li> </ul>

	<ul style="list-style-type: none"><li>• recognises the principles of transparency, openness and accountability regulators must uphold in public engagement</li></ul>
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## Core regulatory skills at working level

This level encompasses the working-level capabilities required for roles in regulation. Regulators at this stage have a solid grounding in knowledge, skills, and networks, and they routinely apply these independently.

<b>Working level: regulation theory</b> The foundational understanding of regulation, including statutory principles, ethics, impact assessment, and regulatory models. The theme equips regulators to make proportionate, transparent, and evidence-based decisions, applying the right approach for the context while upholding public trust.	
Skills	Regulator capabilities
Regulatory principles	<ul style="list-style-type: none"> <li>consistently applies core principles of good regulation to routine regulatory activity and links decisions to statutory purpose</li> <li>ensures procedural fairness and accessibility and documents reasoning in plain language, including references to relevant standards and guidance</li> </ul>
Regulatory professionalism and ethics	<ul style="list-style-type: none"> <li>applies ethical and professional standards in daily regulatory activities</li> <li>declares and manages straightforward conflicts of interest, ensures decisions are documented and explained clearly, and promotes transparency in routine interactions</li> <li>uses media and social media responsibly and escalates ethical concerns when necessary</li> </ul>

<p>Costs and benefits of regulation (including growth, resilience and societal benefit)</p>	<ul style="list-style-type: none"> <li>• identifies the main costs and benefits of regulatory options, including impacts on growth, environment, and society</li> <li>• uses proportionality tools to capture basic trade-offs and uncertainties</li> <li>• contributes evidence on burdens, barriers to growth, and wider impacts for regulatory initiatives and decision-making</li> </ul>
<p>Regulatory models and approaches</p>	<ul style="list-style-type: none"> <li>• understands and selects the appropriate regulatory model and approach for the context</li> <li>• identifies risks, uses simple prioritisation and explains why a chosen approach is proportionate</li> <li>• applies basic right-touch and risk-based tests and flags design and delivery implications</li> </ul>

### Working level: regulatory system design and casework

The systems, processes, and casework practices which enable effective regulation. The theme focuses on translating legislation into operable frameworks, designing secure and auditable casework systems, and ensuring decisions are consistent, fair and legally robust.

Skills	Regulator capabilities
Legislative process	<ul style="list-style-type: none"> <li>understands and uses relevant sector-specific laws and guidance to support regulatory activity</li> <li>identifies potential legislative changes or risks that may impact their work area, escalating issues when necessary</li> </ul>
Casework systems	<ul style="list-style-type: none"> <li>accurately records and updates case information in line with organisational standards and legal requirements</li> <li>identifies potential issues or data quality concerns related to casework management and ensures files are disclosure-ready</li> </ul>
Designing regulatory frameworks	<ul style="list-style-type: none"> <li>aware of guidance and templates available for designing regulatory frameworks and uses them to contribute to discrete components (for example conditions)</li> <li>checks for clarity, feasibility and alignment with existing processes and systems and flags legal or operational risks for escalation</li> </ul>

### Working level: data, evidence and technology

Strengthens the regulator's capability to use data and evidence throughout the regulatory cycle and to govern emerging technologies responsibly. This theme includes gathering and interpreting evidence, embedding evaluation, using AI safely, and regulating innovative technologies in a proportionate and risk-sensitive way.

Skills	Regulator capabilities
Regulating emerging technologies, including artificial intelligence	<ul style="list-style-type: none"> <li>identifies when regulatory work involves an emerging technology and flags it for specialist input</li> <li>applies existing regulatory processes proportionately, using provided checklists or guidance for new technologies</li> <li>communicates basic implications to stakeholders using approved language and templates</li> </ul>
Using data, evidence and intelligence	<ul style="list-style-type: none"> <li>aware of data sources and evidence-gathering methods relevant to regulatory domain, and considers data privacy and security</li> <li>assists in collecting, organising, and preparing data or evidence for analysis</li> <li>assists in any sandboxes, innovation hubs and policy laboratories work</li> <li>able to identify and report potential gaps, biases or limitations in datasets</li> </ul>
Using artificial intelligence	<ul style="list-style-type: none"> <li>selects and uses approved AI tools for day-to-day regulatory activities (for example summarising evidence)</li> </ul>



	<ul style="list-style-type: none"><li>• applies basic assurance and logs usage appropriately</li><li>• recognises when human oversight is required and where to find organisational guidance on process</li></ul>
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### Working level: regulatory tools and interventions

The operational tools and interventions available to regulators across the regulatory lifecycle. The emphasis is on using these tools in a way that is risk-based, proportionate and transparent, so regulation protects people and markets while enabling innovation and growth.

Skills	Regulator capabilities
Setting and promoting standards	<ul style="list-style-type: none"> <li>• knows where to find current applicable standards and associated guidance</li> <li>• drafts and communicates standard conditions and basic guidance to applicants</li> </ul>
Authorising	<ul style="list-style-type: none"> <li>• applies published criteria to straightforward authorisation applications, recording decisions, evidence and reasoning accurately in casework systems</li> <li>• meets published service standards and signposts routes to review or appeal</li> </ul>
Monitoring and assessing compliance	<ul style="list-style-type: none"> <li>• supports routine compliance assessments (for example audits, inspections) following standard procedures</li> <li>• identifies and responds to non-compliance, issuing warnings or recommending enforcement actions where appropriate</li> <li>• records interactions and findings accurately, coherently and in a timely manner, ensuring files are ready for any required public disclosure</li> </ul>

Enforcement	<ul style="list-style-type: none"> <li>• applies knowledge of enforcement options and conducts routine actions (for example issuing warnings, notices) within legal frameworks</li> <li>• supports investigations and gathers basic evidence</li> <li>• understands the importance of proportionality and procedural fairness</li> </ul>
Evaluation	<ul style="list-style-type: none"> <li>• applies basic evaluation methods to routine regulatory activities</li> <li>• collects and organises data to support evaluation</li> <li>• identifies potential indicators of success or failure and flags issues for escalation</li> </ul>

### Working level: regulatory communication, collaboration and engagement

This theme develops the regulator's skills to communicate clearly, collaborate across regulatory systems, and engage stakeholders and the public effectively. This emphasises building trust, supporting compliance, and reducing duplication through transparent, consistent, and inclusive engagement.

Skills	Regulator capabilities
Communication	<ul style="list-style-type: none"> <li>communicates regulatory information, updates, and guidance clearly and concisely, using appropriate channels and formats</li> <li>supports the development of self-service resources to enable stakeholder understanding and compliance</li> <li>demonstrates consistency and transparency in regulatory messaging</li> </ul>
Working with regulated entities	<ul style="list-style-type: none"> <li>maintains up-to-date knowledge of the sector being regulated, including operational processes, decision-making processes and risk appetite</li> <li>communicates clearly and respectfully using language and formats appropriate for regulated entities</li> <li>supports engagement activities that build understanding and confidence</li> </ul>
Working with regulators	<ul style="list-style-type: none"> <li>maintains working knowledge of the regulatory system and other regulators in the same sector</li> </ul>

	<ul style="list-style-type: none"> <li>engages with other regulators to understand their approaches and identify opportunities for alignment</li> </ul>
Working with government	<ul style="list-style-type: none"> <li>understands how government priorities and policies align with their regulatory framework</li> <li>identifies potential conflicts of interest and manages them appropriately</li> <li>understands the mechanisms for effective collaboration with government</li> <li>navigates basic government structures and processes relevant to role</li> </ul>
Public engagement	<ul style="list-style-type: none"> <li>participates in public engagement activities using clear and inclusive language</li> <li>clearly communicates to the public, answers questions on the role of the regulator and can direct the public to other regulators who can help on other regulatory issues</li> <li>responds to public concerns in a timely and respectful manner</li> <li>demonstrates understanding of public opinion and its potential impact on organisational practice and staff resilience</li> </ul>

## Core regulatory skills at practitioner level

At the practitioner level, individuals will be skilled professionals with an advanced understanding. Capabilities will be deeper yet narrower, and the individual will be well-versed in the subject matter with effective networks in regulation.

### Practitioner level: regulation theory

The foundational understanding of regulation, including statutory principles, ethics, impact assessment, and regulatory models. The theme equips regulators to make proportionate, transparent, and evidence-based decisions, applying the right approach for the context while upholding public trust.

Skills	Regulator capabilities
Regulatory principles	<ul style="list-style-type: none"> <li>• applies and adapts core principles and standards to complex or novel situations in regulatory activity</li> <li>• advises colleagues on due process, equality considerations and appropriate transparency</li> <li>• ensures team files demonstrate sound reasoning and compliance with the Regulators' Code</li> </ul>
Regulatory professionalism and ethics	<ul style="list-style-type: none"> <li>• applies ethical and professional standards and provides guidance to colleagues in complex or sensitive situations</li> <li>• embeds transparency and accountability in team practices, to ensure decisions are evidence-based and disclosure-ready</li> <li>• actively mitigates risks of regulatory capture and undue influence during stakeholder engagement</li> </ul>

<p>Costs and benefits of regulation (including growth, resilience and societal benefit)</p>	<ul style="list-style-type: none"> <li>• implements regulatory strategies and objectives that reflect growth, environmental and social priorities</li> <li>• develops proportionate regulatory options and assesses their impacts on growth and society</li> <li>• considers proportionate risk in day-to-day regulatory activities</li> <li>• explains trade-offs clearly, including where burden-reduction measures can be applied without compromising statutory duties or wider outcomes</li> </ul>
<p>Regulatory models and approaches</p>	<ul style="list-style-type: none"> <li>• combines and balances proportionate regulatory approaches for complex contexts, anticipating potential pitfalls</li> <li>• conducts structured risk assessments and uses them to inform targeting and allocation of resources</li> <li>• ensures arrangements are monitored and adapted as evidence emerges</li> <li>• mentors colleagues in applying risk-based and other models consistently</li> </ul>

### Practitioner level: regulatory system design and casework

The systems, processes, and casework practices which enable effective regulation. The theme focuses on translating legislation into operable frameworks, designing secure and auditable casework systems, and ensuring decisions are consistent, fair and legally robust.

Skills	Regulator capabilities
Legislative process	<ul style="list-style-type: none"> <li>interprets and applies complex legislative requirements when carrying out regulatory activities</li> <li>collaborates with legal and policy colleagues to ensure regulatory activities align with legislation and are within regulator's powers</li> </ul>
Casework systems	<ul style="list-style-type: none"> <li>optimises use of casework systems to improve efficiency and visibility and supports colleagues in correct system use</li> <li>implements data quality checks and ensures compliance with audit and legal requirements</li> <li>analyses data captured in casework management systems to identify trends, patterns, and emerging risks, informing future regulatory priorities and activities</li> </ul>
Designing regulatory frameworks	<ul style="list-style-type: none"> <li>drafts and designs comprehensive regulatory frameworks that translate statutory intent into requirements that can be implemented</li> <li>uses guidance and templates when designing new regulatory frameworks</li> </ul>



	<ul style="list-style-type: none"><li>• considers how frameworks can be adapted at operational level based on current trends and changes</li></ul>
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### Practitioner level: data, evidence and technology

Strengthens the regulator's capability to use data and evidence throughout the regulatory cycle and to govern emerging technologies responsibly. This theme includes gathering and interpreting evidence, embedding evaluation, using AI safely, and regulating innovative technologies in a proportionate and risk-sensitive way.

Skills	Regulator capabilities
Regulating emerging technologies, including artificial intelligence	<ul style="list-style-type: none"> <li>• develops and implements strategies to monitor and adapt to emerging trends in technology, including AI</li> <li>• assesses regulatory implications of emerging technologies within their remit, including AI use cases</li> <li>• applies risk-based approaches to determine proportionate interventions to new technologies within regulatory domain</li> <li>• engages with technical specialists and sector to clarify requirements and manage uncertainty around new technologies in regulated sector</li> </ul>
Using data, evidence and intelligence	<ul style="list-style-type: none"> <li>• develops and implements strategies for collecting and using data, evidence and intelligence to support regulatory activities and decision-making processes</li> <li>• interprets and applies quantitative and qualitative data to generate relevant insights in sector and support regulatory action</li> <li>• evaluates the impact and success of regulations through data-driven approaches</li> </ul>

	<ul style="list-style-type: none"> <li>• collaborates with data analysts and experts to ensure the appropriate use and interpretation of data and evidence in regulatory processes</li> <li>• supports any collaboration between regulator and sector on sandboxes, innovation hubs and policy laboratories</li> </ul>
Using artificial intelligence	<ul style="list-style-type: none"> <li>• designs AI-enabled workflows in regulatory activity, performing proportionate risk assessments, and setting acceptance criteria and error tolerances</li> <li>• documents how AI contributed to decisions</li> </ul>

### Practitioner level: regulatory tools and interventions

The operational tools and interventions available to regulators across the regulatory lifecycle. The emphasis is on using these tools in a way that is risk-based, proportionate and transparent, so regulation protects people and markets while enabling innovation and growth.

Skills	Regulator capabilities
Setting and promoting standards	<ul style="list-style-type: none"> <li>• applies recognised standards consistently in templates, checklists and guidance</li> <li>• communicates requirements to applicants and regulated entities and records succinct and clear rationales</li> <li>• monitors uptake and common issues to inform improvements to guidance and processes</li> </ul>
Authorising	<ul style="list-style-type: none"> <li>• assesses evidence in complex or borderline cases, balancing risk and proportionality when tailoring conditions</li> <li>• manages renewals, variations, suspensions and revocations and ensures procedural fairness and a record of decisions for audit purposes</li> <li>• evaluates the effectiveness of authorisation processes and recommends improvements</li> </ul>
Monitoring and assessing compliance	<ul style="list-style-type: none"> <li>• conducts thorough compliance assessments and interprets findings to inform regulatory decisions</li> <li>• analyses compliance data to identify trends and emerging risks</li> </ul>

	<ul style="list-style-type: none"> <li>• provides tailored guidance to regulated entities, encouraging voluntary compliance</li> <li>• collaborates with enforcement colleagues where necessary</li> </ul>
Enforcement	<ul style="list-style-type: none"> <li>• conducts enforcement activities relevant to regulatory domain, including inspections, audits, and investigations</li> <li>• applies enforcement codes and ethical standards</li> <li>• differentiates between informal, civil and criminal enforcement routes</li> <li>• prepares cases for escalation and communicates enforcement decisions clearly</li> </ul>
Evaluation	<ul style="list-style-type: none"> <li>• designs and conducts evaluations of regulatory tools or interventions</li> <li>• selects appropriate methods and indicators for evaluation</li> <li>• interprets findings to inform decisions and improve regulatory practice</li> <li>• communicates evaluation results clearly to stakeholders</li> </ul>

**Practitioner level: regulatory communication, collaboration and engagement**

This theme develops the regulator's skills to communicate clearly, collaborate across regulatory systems, and engage stakeholders and the public effectively. This emphasises building trust, supporting compliance, and reducing duplication through transparent, consistent, and inclusive engagement.

Skills	Regulator capabilities
Communication	<ul style="list-style-type: none"> <li>• develops and implements communication strategies aligned with regulatory objectives and stakeholder needs</li> <li>• applies behavioural insights to encourage desired behaviours</li> <li>• ensures use of plain language, accessible formats and inclusive methods</li> <li>• evaluates effectiveness of communication and adapts accordingly</li> </ul>
Working with regulated entities	<ul style="list-style-type: none"> <li>• develops tailored engagement strategies informed by sector-specific insights</li> <li>• collaborates with regulated entities to gather feedback and improve regulatory practices</li> <li>• promotes transparency and consistency in interactions with regulated entities</li> </ul>
Working with regulators	<ul style="list-style-type: none"> <li>• demonstrates a comprehensive understanding of the regulatory landscape within their area</li> </ul>

	<ul style="list-style-type: none"> <li>proactively seeks information about changes in the regulatory environment and adapts practices accordingly</li> <li>collaborates with other regulators to share knowledge, align practices and reduce duplication</li> </ul>
Working with government	<ul style="list-style-type: none"> <li>able to navigate complex government structures and processes to advance regulatory objectives</li> <li>builds and maintains constructive relationships with government officials at different levels</li> <li>balances regulator independence with responsiveness to government priorities</li> <li>advises on regulatory implications of policy proposals</li> </ul>
Public engagement	<ul style="list-style-type: none"> <li>designs and delivers public engagement strategies that clarify regulatory roles and responsibilities</li> <li>monitors public perceptions and adapts messaging to maintain trust</li> <li>develops processes to improve public trust, ensuring regulatory actions are understood and accepted</li> <li>ensures engagement is accessible and inclusive</li> <li>navigates and considers public opinion on regulatory practice and engages in practices that support staff resilience</li> </ul>

## Core regulatory skills at expert – advanced practitioner level

At the advanced practitioner level, individuals will be highly skilled professionals with deep expertise, they will practice their skillset within a specialist domain.

### Expert – advanced practitioner level: regulation theory

The foundational understanding of regulation, including statutory principles, ethics, impact assessment, and regulatory models. The theme equips regulators to make proportionate, transparent, and evidence-based decisions, applying the right approach for the context while upholding public trust.

Skills	Regulator capabilities
Regulatory principles	<ul style="list-style-type: none"> <li>• sets and monitors team practices that embed core principles of good regulation, including proportionality, accountability and transparency</li> <li>• aligns regulatory practices with national and international standards, fostering regulatory excellence</li> <li>• resolves sensitive challenges to regulatory principles, and uses complaints and appeals learning to improve consistency</li> <li>• contributes to the development of good regulatory policies and guidelines</li> </ul>
Regulatory professionalism and ethics	<ul style="list-style-type: none"> <li>• leads by example in upholding ethical and professional standards across a function or programme</li> <li>• establishes and monitors processes that ensure accountability, fairness, and high-quality record-keeping</li> </ul>



	<ul style="list-style-type: none"> <li>resolves complex conflicts of interest and shapes engagement strategies, including media handling, to maintain public confidence</li> </ul>
Costs and benefits of regulation (including growth, resilience and societal benefit)	<ul style="list-style-type: none"> <li>leads complex impact assessments that integrate economic, social, environmental and resilience considerations</li> <li>designs quality assured analysis and evaluation of trade-offs in regulatory decision-making and initiatives</li> <li>advises on proportionate regulatory approaches that reduce unnecessary burdens while maintaining safety, sustainability and societal benefit</li> <li>manages regulation and proportionate risk to protect the public, while supporting economic growth, investment and innovation</li> </ul>
Regulatory models and approaches	<ul style="list-style-type: none"> <li>leads comprehensive risk assessments and integrates them into framework design and operational processes</li> <li>translates chosen regulatory approaches and models into practical tools and builds evaluation loops to keep them effective</li> </ul>

### Expert – advanced practitioner level: regulatory system design and casework

The systems, processes, and casework practices which enable effective regulation. The theme focuses on translating legislation into operable frameworks, designing secure and auditable casework systems, and ensuring decisions are consistent, fair and legally robust.

Skills	Regulator capabilities
Legislative process	<ul style="list-style-type: none"> <li>• demonstrates a comprehensive understanding of the legislative process, including the development, enactment, and implementation of relevant laws in the regulatory domain</li> <li>• leads elements of legislative or rule-change projects and advises on statutory options and risks</li> <li>• coordinates with legal experts, policymakers, and government to analyse proposed legislative changes relevant to regulatory domain</li> <li>• contributes evidence to review and reform programmes</li> </ul>
Casework systems	<ul style="list-style-type: none"> <li>• leverages casework management systems to support regulatory activity</li> <li>• designs and enforces protocols for data integrity and legal compliance and other industry best practices within casework systems and activities</li> <li>• leads optimisation improvements to casework systems and processes</li> <li>• analyses case data to identify trends and inform operational priorities</li> </ul>

Designing regulatory frameworks	<ul style="list-style-type: none"><li>• leads framework design on major revisions, establishing design governance and change criteria</li><li>• collaborates with stakeholders and other regulators to incorporate diverse perspectives into the framework design process</li><li>• develops and implements testing methodologies to assess the effectiveness of proposed regulatory frameworks (for example quality assurance)</li></ul>
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### Expert – advanced practitioner level: data, evidence and technology

Strengthens the regulator's capability to use data and evidence throughout the regulatory cycle and to govern emerging technologies responsibly. This theme includes gathering and interpreting evidence, embedding evaluation, using AI safely, and regulating innovative technologies in a proportionate and risk-sensitive way.

Skills	Regulator capabilities
Regulating emerging technologies, including artificial intelligence	<ul style="list-style-type: none"> <li>• leads horizon scanning and scenario planning to anticipate regulatory impacts of new technologies</li> <li>• develops and implements strategies that address the challenges and opportunities posed by AI and other technological advancements, integrating ethical, safety and societal considerations</li> <li>• leads the evaluation and piloting of new regulatory tools, techniques, or processes to effectively regulate emerging technologies</li> </ul>
Using data, evidence and intelligence	<ul style="list-style-type: none"> <li>• leads the integration of data and evidence-driven approaches into regulatory processes, working with analysts to create a culture of informed decision-making and continuous improvement</li> <li>• provides guidance and recommendations on the interpretation and application of data and evidence in complex regulatory contexts</li> <li>• advises colleagues on best practices in collecting, using, and evaluating data and evidence for regulatory purposes</li> </ul>

	<ul style="list-style-type: none"> <li>works with the sector on new approaches and ideas such as sandboxes, innovation hubs and policy laboratories</li> </ul>
Using artificial intelligence	<ul style="list-style-type: none"> <li>leads AI adoption within team and provides guidance on appropriate tools</li> <li>evaluates AI solutions and defines monitoring and metrics</li> <li>collaborates with relevant data and AI professionals in the organisation on deployment and use cases</li> </ul>

### Expert – advanced practitioner level: regulatory tools and interventions

This theme develops the regulator's skills to communicate clearly, collaborate across regulatory systems, and engage stakeholders and the public effectively. This emphasises building trust, supporting compliance, and reducing duplication through transparent, consistent, and inclusive engagement.

Skills	Regulator capabilities
Setting and promoting standards	<ul style="list-style-type: none"> <li>• integrates standards into authorising and compliance workflows to increase predictability and timeliness</li> <li>• leads targeted promotion of standards in the sector and uses data and feedback to refine guidance and reduce unnecessary queries</li> <li>• provides guidance on complex cases</li> </ul>
Authorising	<ul style="list-style-type: none"> <li>• designs and improves authorising processes to ensure consistency, efficiency and proportionality</li> <li>• handles contested cases and decisions that have been appealed, and quality-assures colleagues' decisions for consistency</li> <li>• evaluates casework data and user feedback to recommend process improvements</li> </ul>
Monitoring and assessing compliance	<ul style="list-style-type: none"> <li>• leads complex compliance evaluations and develops strategies to improve compliance outcomes</li> <li>• applies behavioural insights and digital tools to enhance effectiveness of monitoring compliance</li> </ul>

	<ul style="list-style-type: none"> <li>• advises on high-risk cases and supports cross-regulator alignment</li> <li>• shapes engagement strategies to promote self-assurance and earned recognition</li> </ul>
Enforcement	<ul style="list-style-type: none"> <li>• designs and implements enforcement strategies aligned with regulatory objectives</li> <li>• leads complex investigations and evidence collection processes</li> <li>• advises on relevant enforcement options and associated risks</li> <li>• embeds behavioural insights and data analytics to improve enforcement effectiveness</li> </ul>
Evaluation	<ul style="list-style-type: none"> <li>• leads complex evaluations of regulatory frameworks, tools or programmes</li> <li>• advises on evaluation design and interpretation</li> <li>• uses findings to shape future regulatory strategy and policy</li> <li>• embeds evaluation into stewardship of regulatory systems</li> </ul>

### Expert – advanced practitioner level: regulatory communication, collaboration and engagement

This theme develops the regulator's skills to communicate clearly, collaborate across regulatory systems, and engage stakeholders and the public effectively. This emphasises building trust, supporting compliance, and reducing duplication through transparent, consistent, and inclusive engagement.

Skills	Regulator capabilities
Communication	<ul style="list-style-type: none"> <li>• leads strategic communication planning across regulatory programmes or functions</li> <li>• advises on messaging, stakeholder engagement and behavioural influence</li> <li>• models responsible communication of uncertainty and limitations, especially in complex or evolving regulatory contexts</li> <li>• shapes communication to enhance transparency, public confidence and voluntary compliance</li> <li>• integrates communication into regulatory design and delivery</li> </ul>
Working with regulated entities	<ul style="list-style-type: none"> <li>• leads regulatory programmes informed by industry knowledge and insights, promoting alignment with regulated entities' needs and operational contexts</li> <li>• anticipates future challenges in regulatory landscape and adapts engagement approaches accordingly</li> </ul>



	<ul style="list-style-type: none"> <li>• leads programmes that foster trust and responsiveness across sectors</li> <li>• advises on sector-specific regulatory alignment and stewardship, sharing expertise and promoting best practice</li> </ul>
Working with regulators	<ul style="list-style-type: none"> <li>• leads collaborative cross-regulator initiatives to improve coherence and consistency in regulatory environment, aligning best practices</li> <li>• advises on regulatory gaps and overlaps</li> <li>• promotes shared stewardship and standards across regulators and regulated-sectors</li> </ul>
Working with government	<ul style="list-style-type: none"> <li>• leads engagement with government across regulatory programmes or sectors</li> <li>• anticipates and responds to changes in government policy, advising officials on regulatory implications</li> <li>• provides guidance on working with governments and aligning regulatory activities</li> <li>• represents the regulator and supports leaders in interactions with government officials</li> <li>• identifies and addresses potential conflicts of interest or transparency concerns</li> <li>• shapes regulatory strategies that align with government priorities while safeguarding independence</li> </ul>

Public engagement	<ul style="list-style-type: none"><li>• leads public engagement programmes that foster understanding of the regulatory system</li><li>• advises on messaging that distinguishes between regulation and the regulator</li><li>• embeds stewardship and consistency in public-facing communications</li><li>• supports staff resilience by modelling calm, constructive responses to public criticism</li></ul>
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## Core regulatory skills at expert – leader level

At the leader level, individuals will be executives in leadership roles, who provide strategic leadership and sector-wide influence.

<b>Expert – leader level: regulation theory</b> The foundational understanding of regulation, including statutory principles, ethics, impact assessment, and regulatory models. The theme equips regulators to make proportionate, transparent, and evidence-based decisions, applying the right approach for the context while upholding public trust.	
<b>Skills</b>	<b>Regulator capabilities</b>
Regulatory principles	<ul style="list-style-type: none"> <li>champions organisational culture and decision-making processes that consistently apply good regulatory principles and uphold standards</li> <li>ensures governance and assurance make principled decision-making routine and testable</li> <li>serves as the public face of the organisation, representing its mission, values and commitment to upholding regulatory principles</li> </ul>
Regulatory professionalism and ethics	<ul style="list-style-type: none"> <li>sets and champions organisational standards for professionalism, ethics, and customer service, influencing culture and behaviour across the regulatory landscape</li> <li>ensures governance and training frameworks are in place to deter regulatory capture, support transparency, and align with public expectations</li> <li>owns strategic guidance on media and social media use and represents the organisation in high-profile ethical matters</li> </ul>

<p>Costs and benefits of regulation (including growth, resilience and societal benefit)</p>	<ul style="list-style-type: none"> <li>• provides strategic leadership in ensuring growth, environmental and social outcomes are considered together in strategic decisions</li> <li>• champions regulation that manages the risk to the public, while supporting economic growth, investment and innovation in their sector</li> <li>• sets organisational standards for assessing costs and benefits of regulation and handling trade-offs transparently</li> <li>• oversees publication of decisions and evaluation of long-term impacts, demonstrating accountability for balanced outcomes</li> <li>• fosters a culture of regulatory agility and responsiveness, ensuring regulatory systems adapt to changing market dynamics and business models</li> </ul>
<p>Regulatory models and approaches</p>	<ul style="list-style-type: none"> <li>• sets the organisation's stance on model selection and champions a range of approaches as part of a coherent strategy</li> <li>• sponsors evaluation and adaptation over time, ensuring approaches remain proportionate, evidence-based and trusted by the public</li> </ul>

### Expert – leader level: regulatory system design and casework

The systems, processes, and casework practices which enable effective regulation. The theme focuses on translating legislation into operable frameworks, designing secure and auditable casework systems, and ensuring decisions are consistent, fair and legally robust.

Skills	Regulator capabilities
Legislative process	<ul style="list-style-type: none"> <li>• provides strategic leadership in navigating and influencing the legislative process</li> <li>• establishes organisational strategies to ensure regulatory activities are consistent with legislative requirements and legal frameworks</li> <li>• advises senior leaders and government bodies on complex legal and compliance matters and implications of reform on regulatory environment</li> </ul>
Casework systems	<ul style="list-style-type: none"> <li>• provides strategic leadership in understanding and shaping the use of casework management systems, ensuring they are fit for purpose and adaptable to future regulatory needs</li> <li>• establishes governance structures for effective and consistent use of casework systems across the organisation, embedding data quality, accuracy, compliance and system development practices</li> <li>• reviews data captured to identify trends and emerging risks to shape future priorities and activities</li> </ul>

<p>Designing regulatory frameworks</p>	<ul style="list-style-type: none"><li>• sets organisational standards for regulatory framework design, ensuring they are comprehensive, effective and proportionate</li><li>• leads initiatives to align regulatory design with current and future operational systems, ensuring long-term relevance and efficiency</li><li>• shapes and influences the development of testing methodologies to ensure regulatory frameworks consistently meet and adapt to regulatory requirements</li></ul>
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### Expert – leader level: data, evidence and technology

Strengthens the regulator's capability to use data and evidence throughout the regulatory cycle and to govern emerging technologies responsibly. This theme includes gathering and interpreting evidence, embedding evaluation, using AI safely, and regulating innovative technologies in a proportionate and risk-sensitive way.

Skills	Regulator capabilities
Regulating emerging technologies, including artificial intelligence	<ul style="list-style-type: none"> <li>• provides strategic leadership in shaping and influencing regulatory policies to address the challenges and opportunities posed by emerging technologies within regulated sectors</li> <li>• establishes governance for AI and other technologies, including risk appetite and assurance mechanisms, ensuring regulations remain proportionate</li> <li>• engages with policymakers, industry leaders, and stakeholders to shape and influence the development of new regulations or regulatory approaches for emerging technologies</li> </ul>
Using data, evidence and intelligence	<ul style="list-style-type: none"> <li>• provides strategic leadership in shaping the use of data and evidence to support regulatory activities across the organisation</li> <li>• establishes governance and data management structures to ensure data is safely secured and accessible</li> <li>• fosters a culture of data and evidence-informed regulation within the organisation, promoting the use of reliable and valid data sources and rigorous evaluation methods</li> <li>• oversees strategies for collaborating with data analysts and other relevant parties to support</li> </ul>

	<p>regulatory activities with appropriate data and evidence</p> <ul style="list-style-type: none"> <li>encourages and champions new approaches and ideas such as sandboxes, innovation hubs and policy laboratories</li> </ul>
Using artificial intelligence	<ul style="list-style-type: none"> <li>provides strategic leadership and direction in safe, value-adding AI use</li> <li>sets governance thresholds and escalation processes for AI use</li> <li>ensures benefits realisation and risk-reporting is embedded in organisational culture</li> <li>champions workforce capability and cross-regulator learning in AI</li> </ul>



### Expert – leader level: regulatory tools and interventions

The operational tools and interventions available to regulators across the regulatory lifecycle. The emphasis is on using these tools in a way that is risk-based, proportionate and transparent, so regulation protects people and markets while enabling innovation and growth.

Skills	Regulator capabilities
Setting and promoting standards	<ul style="list-style-type: none"> <li>• provides strategic leadership for the organisation's approach to standard-setting, ensuring alignment with statutory objectives and the Regulators' Code</li> <li>• oversees performance measures (for example time to decision, uptake, error and appeal rates) and drives continuous improvement</li> <li>• builds partnerships with standards and accreditation bodies and other regulators to ensure coherence and accessibility</li> </ul>
Authorising	<ul style="list-style-type: none"> <li>• provides strategic leadership for the organisation's approach to authorisation, ensuring alignment with statutory objectives and the Regulators' Code</li> <li>• sets a proportionate risk appetite and governance arrangements for authorising criteria and conditions</li> <li>• ensures transparency, accessibility and resourcing of authorisation services</li> <li>• is accountable for outcomes, burden reduction and cross-regulator coherence</li> </ul>

Monitoring and assessing compliance	<ul style="list-style-type: none"> <li>• provides strategic leadership in compliance policy and practice</li> <li>• sets organisational standards for monitoring, reporting, and stakeholder engagement in compliance</li> <li>• champions innovative approaches (for example behavioural nudges) to secure compliance</li> <li>• oversees sector-wide initiatives to foster a culture of transparency, accountability and continuous improvement</li> </ul>
Enforcement	<ul style="list-style-type: none"> <li>• provides strategic leadership in enforcement policy, strategy and practice, and sets governance and risk appetite for enforcement actions</li> <li>• champions enforcement approaches that clarify expectations, reduce repeat non-compliance and contribute to sector-wide improvement</li> <li>• ensures enforcement is used proportionately and only after other tools have been exhausted</li> <li>• ensures enforcement actions have a positive, educative effect, supporting learning, improving compliance culture, and promoting trust across the wider regulated industry</li> <li>• oversees innovation in enforcement methods and cross-regulator coherence</li> </ul>
Evaluation	<ul style="list-style-type: none"> <li>• provides strategic leadership on evaluation across the organisation</li> </ul>

	<ul style="list-style-type: none"><li>• sets standards and governance for regulatory evaluation</li><li>• champions a culture of learning and continuous improvement in evaluation methods</li><li>• ensures evaluation findings inform strategic decisions, regulatory oversight and system-wide coherence</li></ul>
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### Expert – leader level: regulatory communication, collaboration and engagement

This theme develops the regulator's skills to communicate clearly, collaborate across regulatory systems, and engage stakeholders and the public effectively. This emphasises building trust, supporting compliance, and reducing duplication through transparent, consistent, and inclusive engagement.

Skills	Regulator capabilities
Communication	<ul style="list-style-type: none"> <li>• provides strategic leadership in regulatory communication</li> <li>• champions transparency, accessibility and trust-building in communication across the organisation</li> <li>• advises senior leaders and policymakers on effective messaging and engagement</li> <li>• shapes national and cross-sector communication standards and practices that support regulatory legitimacy, voluntary compliance and public confidence</li> </ul>
Working with regulated entities	<ul style="list-style-type: none"> <li>• provides strategic leadership in regulator-entity relationships based on an understanding of operational processes, decision-making processes, risk appetites, and industry dynamics</li> <li>• shapes organisational strategies that promote confidence, clarity and fairness between regulator and entities</li> <li>• champions stewardship of the regulatory system, ensuring engagement is consistent, inclusive and aligned with public service values</li> </ul>

	<ul style="list-style-type: none"> <li>• embeds sectoral understanding into regulatory design, communication and decision-making</li> </ul>
Working with regulators	<ul style="list-style-type: none"> <li>• provides strategic leadership in navigating and influencing the broader regulatory landscape, fostering collaboration, and promoting a cohesive and effective regulatory system</li> <li>• establishes partnerships and governance structures that foster cross-regulator collaboration, trust and alignment</li> <li>• champions regulatory excellence and system-wide stewardship of the regulatory sector</li> </ul>
Working with government	<ul style="list-style-type: none"> <li>• provides strategic leadership in the relationship management between regulator and government</li> <li>• represents the regulator in high-level government forums and meetings</li> <li>• influences and shapes government policies and priorities related to the regulated sector</li> <li>• advocates and defends regulator independence while maintaining constructive relationships with government</li> <li>• champions regulatory independence and resilience, ensuring transparency and accountability in all government-facing activities</li> </ul>
Public engagement	<ul style="list-style-type: none"> <li>• provides strategic leadership in shaping public engagement across the organisation</li> </ul>

	<ul style="list-style-type: none"><li>• champions transparency, responsiveness and trust-building in organisational public engagement</li><li>• ensures public engagement is aligned with regulatory objectives and public expectations</li><li>• shapes communication strategies to reach and support those directly affected by the regulatory market or area</li><li>• embeds organisational resilience in public-facing roles, ensuring staff are supported and equipped to manage scrutiny professionally</li></ul>
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**Department for Business and  
Trade**

The Department for Business and Trade is an economic growth department. We ensure fair, competitive markets at home, secure access to new markets abroad and support businesses to invest, export and grow. Our priorities are the industrial strategy, make work pay, trade and the plan for small business.

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