“It’s exciting for participants to talk across their normal professional lines and yet still keep the focus on the distinctive challenges of regulation. They find they only have to switch the vocabulary...the underlying concepts, and their professional dilemmas, all turn out to be remarkably similar—in many cases their aspirations too.”

MALCOLM K. SPARROW, FACULTY CHAIR
Strategic Management of Regulatory and Enforcement Agencies (SMREA) examines the distinctive strategic and managerial challenges that surround government agencies’ regulatory and enforcement functions, recognizing that the ways in which government agencies use their coercive powers fundamentally affects the quality of life in a democracy. This program focuses principally on issues of social regulation (the control of risks to society), with much less emphasis on economic regulation (the control of specific markets). The program explores the management and operations of regulatory and enforcement agencies, rather than the reform of law.

• What does it mean to adopt a risk-based approach to regulatory policy?
• What is the full range of tools available to regulatory policy makers to identify and control various harms to society?
• What are the special difficulties of measuring and reporting performance in the regulatory context?
• How can policy makers develop effective collaborative partnerships with diverse stakeholder groups, without compromising on regulatory requirements?

The program will examine some of the current prescriptions for reform, such as customer service orientation and process improvement in light of the distinctive tasks that regulatory agencies face. It will also focus on the underlying nature of risk-control and harm-reduction, and address the pressures regulators face to prove their worth and effectiveness.
Topics to be explored include:

» What are the appropriate applications and limitations of applying the customer service model to regulatory agencies?

» How can agencies leverage innovative compliance-oriented tools without being perceived as going “soft” on violators?

» How can partnerships be structured to avoid compromising the enforcement deterrent?

» How should agencies understand and manage the relationships among preventive, proactive, and reactive work?

» What constraints should be imposed on the use of self-audit privileges, amnesties, and immunity from inspection or prosecution?

» Given imperfect information, how can agencies learn to assess risks and set priorities among competing risks?

» What types of budgetary support, analytic support, and authorization are required to support effective risk-control, problem-solving, or compliance-management operations?

» Can agency performance be measured in terms of effects or impacts?

» What role should enforcement outputs and compliance rates play in performance reporting?

THE CURRICULUM

The SMREA program curriculum combines lectures, small group discussions, and case studies to create a stimulating and intellectually rigorous experience. During the five-day program, participants will analyze and discuss cases that encompass multiple regulatory and enforcement fields including strategic management, the role of enforcement, emerging compliance strategies, organizational structure, performance management, and information and analytic support. The case studies span a variety of regulatory and enforcement domains, ranging from the environment to public health to crime, and are chosen on the basis of their ability to provoke, illuminate, and define the scope of best practices and new approaches.

A central component of the program involves the participants’ reflection upon their own professional experiences and their presentation of specific examples from their work environments, in both small groups and plenary sessions. Participants leave the program with clear tools and strategies to apply at their organizations.
ADMISSION

Strategic Management of Regulatory and Enforcement Agencies is a one-week program offered twice a year at Harvard Kennedy School.

To apply for Strategic Management of Regulatory and Enforcement Agencies or for information on program dates, application deadlines, and tuition, please visit www.hks.harvard.edu/ee/enforcement.

Early application is encouraged. Qualified candidates are admitted on a rolling, space-available basis, and the program often fills to capacity. Because of the interactive nature of this program, the number of participants is limited. Applications received after the deadline will be considered only if space remains in the class. Because the time required to obtain a visa can be lengthy, we encourage applicants from outside the United States to apply at least 12 weeks before the program start date.

Admission to the program is competitive and is based on professional achievement and organizational responsibility. There is no formal educational requirement, but fluency in written and spoken English is a necessity for the program.

WHO SHOULD APPLY

SMREA is specifically designed for senior federal, state, and municipal policy makers and enforcement officials in the U.S. and the international community who oversee, support, or run organizations that have significant regulatory or enforcement components.

Participants in the program come from a broad range of regulatory fields such as taxation, environmental regulation, customs, and occupational safety. Their functional responsibilities typically include such areas as legal, budgeting, and operations. All share an interest in expanding their leadership capabilities and developing new regulatory and enforcement strategies.

FACULTY CHAIR

Malcolm K. Sparrow is Professor of the Practice of Public Management at Harvard Kennedy School. A mathematician by training, he joined the British Police Service in 1977, serving for ten years and rising to the rank of Detective Chief Inspector. He left the police to take up a faculty appointment at Harvard in 1988. His current research interests are related to the risk-control functions of government, and to the special managerial challenges that confront agencies of social regulation and law enforcement.
“Leadership and learning are indispensable to each other.”

John F. Kennedy

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