

Statement of Expectations

Guidance on reporting on acquitting Ministerial expectations

Types of reporting

Regulators must report on their progress in acquitting expectations contained in their Minister's Letter of Expectations.

Unless specifically instructed by their minister, regulators have discretion in how they will report their progress, in order to reflect, the needs of their regulatory practices, the nature of the ministerial expectations, and their existing planning and reporting processes.

Regulators may find it helpful to discuss with their departments how they will report on progress in meeting their minister's expectations, as part of regular consultations or in the drafting of the minister's letter.

The suggested forms of these reports support annual report preparation at a minimum. The Minister's Letter of Expectations must be made publicly available, and the regulator's report on their progress in meeting them (in whichever form it takes) should be publicly available too.

The following options are organised from most comprehensive to least comprehensive, and the regulator should select the highest-ranked form that best suits their circumstances.

Considerations when reporting

There are a few factors to consider when writing these reports, including the following:

- Consider whether it is helpful to discuss expectations in the same order as in the Minister's letter.
- Be clear about:
 - what the expectations are and include them all
 - which sections of the report relate to which expectations
 - the metrics and factors you are using to report progress
 - whether the expectations have or have not been met. Do not equivocate.
- If any expectations are not being met, consider:
 - explaining why they are not being met
 - commenting on what actions are being taken to rectify this.
- Keep reports simple and avoid including unnecessary details.
- Consider using formatting techniques (dot points, tables, or bolded text etc.) to make the report easy to read.

Reporting format

Most comprehensive

1. Section in regulator/departmental Annual Report

This may best suit regulators that are independent statutory authorities but is also suitable for regulators that sit within a department. A section within the Annual Report allows regulators to detail how they are acquitting Ministerial Statement of Expectations in a suitable degree of detail. If the regulator is basing their Annual Report on the [DTF Model Report](#), this discussion should be included in the 'Report of operations' section.

A dedicated section allows regulators to detail the expectations they may not be meeting, why they are not meeting Ministerial Expectations, and what actions are being taken to rectify this. This indicates that regulators are adhering to the Framework by including ministerial expectations as a part of their business plans. It would also form a part of the permanent record.

2. Report published on regulator's website

Another transparent and accessible option for regulators (whether an independent statutory authority or not) is a report published on the regulator's website. The report should be published on the regulator's website in proximity to the letter from the minister.

3. Public letter to the Minister

A regulator (particularly an independent statutory authority) may choose to reply to the Minister's letter in the form of a reply letter from the CEO, Commissioner or Secretary. A letter allows a regulator to engage with the Minister directly and maintain the strategic dialogue that the Framework seeks to promote. However, a letter of reply may not contain the detail and accessibility of an online report. It should also be published on the regulator's website in proximity to the letter from the minister.

4. Traffic light report

A regulator may choose to publish a traffic light report on their website. This can provide an easy way for the public to see how regulators are performing and can be useful where the nature of the minister's expectations might call for more frequent (e.g. semi-annual or quarterly) reporting or updates. This style of report is better suited to more straightforward or easily quantifiable expectations, given the brief descriptions usually included with traffic light reports.

Least comprehensive

5. Ad hoc references in the Annual Report

A regulator may also include references to how they are acquitting ministerial expectations in their Annual Report. In practice, if a regulator mentions performance measures that relate to the minister's expectations, they can mention this in the body of the report or reference it via footnotes. This option imposes the lowest burden on regulators, but it makes it difficult for the public to determine how the regulator is performing, as these references would be dispersed throughout the report, making this the least preferred option.