

Regulatory Compliance Scale: Results from 11 Studies in 10 States and Canadian Provinces

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This research abstract will provide the results from 11 studies from 10 states and Canadian Provinces in which the proposed new Regulatory Compliance Scale (RCS) was utilized as a byproduct of a differential monitoring implementation or validation study. These studies were undertaken over a decade long period (2013-2023). The RCS was based upon the following rubric: Full Regulatory Compliance (100% or no violations = 7; Substantial Regulatory Compliance (99-98) or 1-2 violations = 5; Medium Regulatory Compliance (97-90) or 3-10 violations =3; and Low Regulatory Compliance (89 or less) or 11 or more violations = 1. These are the results from these 10 jurisdictions which are presented in the following Table (all results are presented as percents of programs that fell into the scaling 1-7). Under the Studies, the number of the specific study is provided, followed by the sample size, followed by if it is in the USA (US) or Canada (CA).

RCS Scale	RCS Scaling				
Studies	7=Full	5=Substantial	3=Medium	1=Low	Comments
1-403-US	21%	18%	42%	19%	High Med NC
2-104-US	14%	19%	52%	14%	High Med NC
3-422-US	20%	35%	40%	5%	OK
4-219-CA	27%	16%	32%	15%	OK
5-60-CA	13%	20%	37%	30%	High NC/Low C
6-585-US	12%	54%	22%	12%	OK
7-255-US	14%	35%	39%	17%	OK
8-1399-US	60%	24%	15%	1%	Low NC/High C
9-2116-US	88%	7%	4%	1%	Low NC/High C
10-482-US	11%	15%	48%	26%	High NC/Low C
11-3070-US	37%	25%	30%	8%	OK

In looking at the results, it is preferable to have most of the programs at either a full or substantial regulatory compliance level (7 or 5) and to have fewer programs at the medium or low regulatory compliance level (3 or 1). But in those jurisdictions where there are higher percentages of programs at the medium or low levels of regulatory compliance, it could be that their enforcement of rules and regulations is more stringent. This potential result needs further investigation to get to the root cause of these differences because there is a good deal of variation across the jurisdictions as is evident from the above table and below graphic

