

Theory of Regulatory Compliance Alternate Paradigm

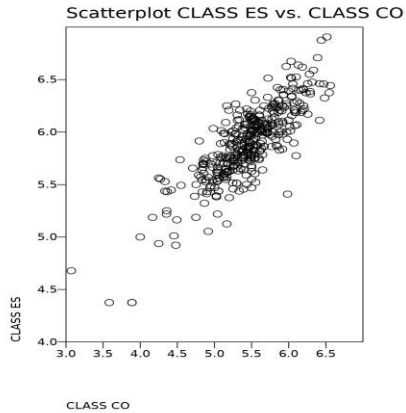
Richard Fiene, Ph.D. Research Psychologist
Research Institute for Key Indicators Data Laboratory



EDNA BENNETT PIERCE
PREVENTION RESEARCH CENTER

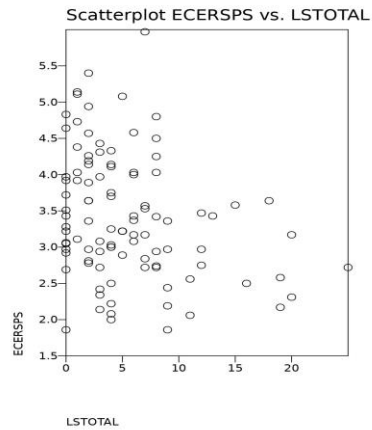
This presentation will introduce the theory of regulatory compliance and how it has ushered in an alternative paradigm for conducting monitoring reviews via a differential monitoring approach.

Prevailing Paradigm: Linear Relationship



The prevailing paradigm in regulatory compliance was a linear relationship between quality and regulatory compliance. The problem was this was based upon anecdotal evidence and not empirical evidence. It was never really tested scientifically until the early 1980's and things started to change based upon empirical evidence. The importance of graphic displays, data distributions, and explanations of the data, looking for the deep structure or root causes of the distributions.

The Empirical Evidence



The empirical evidence did not support the prevailing paradigm. It was difficult to determine a linear relationship from the data.

Transform the Data from A Nominal to Ordinal Metric

RCS	Definitions/Levels	Rule Violations
7	Full 100% Compliance	0 Violations
5	Substantial Compliance	1-3 Violations
3	Mediocre Compliance	4-9 Violations
1	Low/Non-Optimal Compliance	10+ Violations

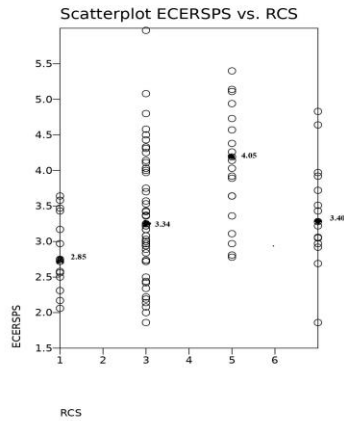
Regulatory Compliance Scale (RCS)(Fiers, 2022)



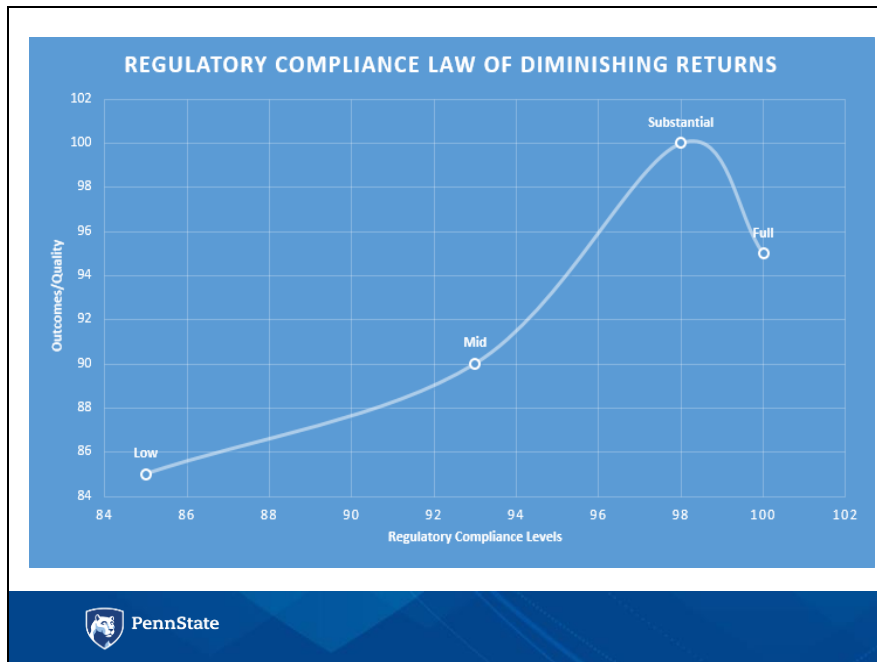
PennState

In the regulatory compliance research literature a theory was proposed based upon several studies in which regulatory compliance was compared to program quality in respective ECE programs. In this theory and based upon the empirical findings it became clear that that was not a linear relationship between regulatory compliance and quality but rather one that is more curvilinear which demonstrates a ceiling or diminishing returns effect. This phenomenon changes the prevailing paradigm that really governed regulatory compliance for decades which was full (100%) regulatory compliance was required for all programs. The theory of regulatory compliance introduced the importance of substantial compliance with an equal footing as full regulatory compliance.

Hidden Patterns: Deep Structure, Diminishing Returns



Moving from nominal frequency counts to buckets or categories was warranted by the theory of regulatory compliance which divides regulatory compliance into the areas of full, substantial, medium and low compliance. This was not done arbitrarily but based upon empirical evidence over 40 years of research studies.



The theory of regulatory compliance diminishing effects phenomenon. Several studies have demonstrated this relationship between quality and regulatory compliance.

For Additional Information:

Richard Fiene PhD, Emeritus Professor of Psychology
Regulatory Scientist

RFiene@RIKInstitute.com

<https://www.prevention.psu.edu/person/rick-fiene/>



PennState
College of Health and
Human Development

EDNA BENNETT PIERCE
PREVENTION RESEARCH CENTER

Get in touch with Dr Fiene or visit his website for additional information about the theory of regulatory compliance and its implications for regulatory science.