



UPSTREAM
MANAGEMENT
SOLUTIONS

Regulatory Solutions Framework™ (RSF)

Choose the right level of response for the regulatory problem you are facing.



LEVEL 2

Regulatory Problem
Systems Review

*For Recurring
Problems*



LEVEL 1

Targeted Consulting
& Advisory

*For Emerging or
Contained Problems*



LEVEL 3

Diagnostics &
Roadmap

*For Complex
Problems*

When recurring organizational problems continue despite previous efforts.



LEVEL 2

Regulatory Problem
Systems Review

*For Recurring
Problems*

Most organizational challenges are resolved through targeted actions such as policy changes, process improvements, governance enhancements, technology investments, or training. When the same problem continues despite repeated efforts, however, it often points to broader organizational influences that require a different approach.

Built with You. Your Solutions.



The **Regulatory Problem Systems Review (RPSR)** is a structured, participatory problem-solving process designed specifically for regulators. Through preparation, three facilitated Working Sessions, and progressive Confirmation Reports, participants work together to develop and confirm a shared understanding of recurring organizational problems, explore the organizational influences contributing to them, and evaluate practical response options before determining the most appropriate path forward. RPSR results in a final Response & Roadmap Report that **reflects collective organizational ownership of the findings and recommended path forward.**

Is This the Right Level for You?

- ✓ The same issue keeps recurring
- ✓ Previous solutions haven't worked
- ✓ The underlying causes remain unclear
- ✓ Leadership wants a broader understanding before investing further
- ✓ You're looking for the most appropriate response—not just another intervention

Examples of Recurring Problems Across Organizational Areas

- **Strategic Agility:** Strategic initiatives repeatedly fail to achieve intended outcomes.
- **Regulatory Policy:** Policy issues continue despite repeated revisions.
- **Performance & Impact:** KPI reporting isn't driving change.
- **Transparency:** Stakeholder questions persist despite transparency initiatives.
- **Stakeholder Engagement:** Concerns continue despite consultation efforts.
- **Service Delivery:** Complaints persist despite service improvements.
- **Learning & Modernization:** Change initiatives fail to gain lasting traction.

How the Review Works

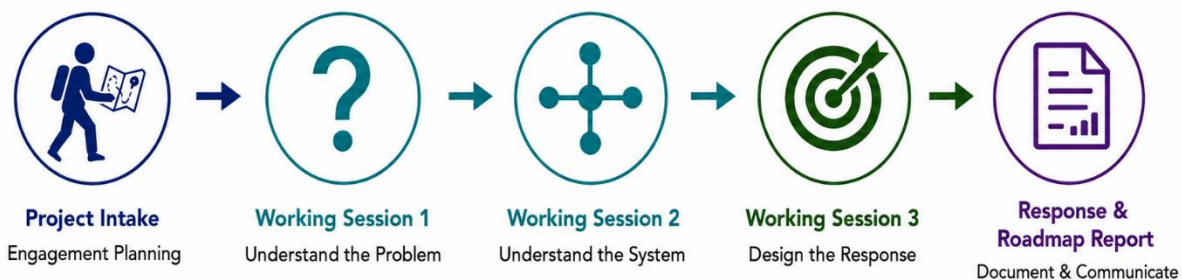
Completed over approximately one month

- Phase 1 – Preparation
- Phase 2 – Collaborative Working Sessions (3)
- Phase 3 – Response & Roadmap Report

Regulatory Problem Systems Review (RPSR)

SIGNATURE PROCESS DIAGRAM

A structured journey from recurring organizational problems to practical organizational responses.



Every phase builds upon the previous phase through collaborative working sessions and confirmed organizational outputs.



What You'll Receive

- ✓ Two Confirmation Reports
- ✓ Response & Roadmap Report
- ✓ Executive Visuals
- ✓ Organizational Response Roadmap



Possible Outcomes

Organizations may conclude that the most appropriate response is:

- No further action
- A targeted solution
- A Diagnostic & Roadmap
- A combination of immediate and longer-term organizational improvements.

Understand the problem. Reframe the challenge. Determine the right response.

For more information, contact jordan@upstreammanagesolutions.com

We Speak Regulator™