

# ***Inter-division Off-site***

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***Theme: How are things going? Is there anything we need to pay more attention to?***

## **Goals**

To provide feedback to management to better ourselves

To talk to others who have a different philosophy about regulatory compliance and enforcement and avoid any potential communication breakdowns

To identify and validate how are things going, to discuss any issues, concerns, barriers (top 3) and develop recommendations as needed

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***September 9-10  
8:00 – 4:30***

## **Agenda**

*Tues.* Feedback To Management

Review data, briefing, staff validation, suggestions

Feedback To Team

Review interview pre-work summary, reactions, reports

Regulatory Compliance & Enforcement: Toward One Vision

Groups develop ideal, perceptions, analysis of drivers, report outs

*Wed.* Regulatory Compliance & Enforcement: Toward One Vision

Groups develop suggestions, report action items

Additional Issue Resolution (as needed)

Small groups problem-solve issues

Learnings, Action Steps, Next steps

Written Critique

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## **Guidelines**

- Involve everyone in problem solving, able to discuss different opinions in an open forum, face-to-face
- 100% participation, say what you feel or what you want to say to effect change
- Know you were heard
- Look at positive feedback
- Problem solving groups- ensure enough time to generate fixes, to provide feedback to other groups; deal with issues that can be resolved by those in the room
- Some issues may go on a parking lot

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# ***Compliance/Enforcement At It's Best***

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## ***Alone***

- *A very successful compliance decision*

## ***Each Table***

- *Take turns, sharing stories*

## ***Listener's Role***

- *Be curious, ask ?s*
- *~What it was like for them?*
- *~ What made it memorable?*

## ***Discussion***

- *Group vision of a best process for compliance and enforcement*
- *List key attributes based on themes, common experience*

## ***Fishbowl***

- *Our collective vision of a best process*

## **Discovering Each Other's Best Experience**

1. Thinking about your experience here in the office, describe a time when you and others were involved in a highly successful regulatory compliance and enforcement issue that went extremely well, even though there may have been reservations at the start. Perhaps it went beyond your initial expectations. Consider a time when an excellent decision was made and everyone involved in the office walked away feeling proud to have been a part of a unified team even if it may have been bumpy at the start.

Set aside any clichés, preconceptions, or theories you have about “What works” or “What should be” and get firmly grounded in your memory of an actual experience, recalling a real specific event that occurred.

2. Be prepared to report out that event as it unfolded. What happened? How did folks act? What was the impact on you or others? Make it concrete. Tell a story as it actually happened in your experience.

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## **Discovering Our Ideal Vision of Compliance/Enforcement**

1. On the basis of what was just discussed, what is our list of the attributes of a highly effective process for regulatory compliance and enforcement?  
Consider what we called attention to during our “stories”?

2. List on chart paper any themes or patterns from the stories that represent common attributes. What seemed to be of real interest to all of us?

Choose 2 people to represent the table.

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## **Common Themes Fishbowl**

1. Representatives report out attributes
2. Decide common themes, intriguing ideas, obvious possibilities across groups
3. Create recommendations for final list and meanings
4. Whole group reactions

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# ***My Approach to Compliance and Enforcement***

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## **Discovering Each Other's Philosophies**

1. What is your general approach to regulatory compliance?

Looser interpretation	___	___	___	___	___	___	Stricter interpretation
Meets minimum							Meets Maximum
Guidance guides judgment							Guidance dictates judgment

2. What is your general approach to enforcement?

Looser interpretation	___	___	___	___	___	___	Stricter interpretation
Pursue cooperatively							Pursue aggressively
Coach, give approval							Decree, follow guidance

### ***Self-Scale***

- *Place self on scale*
- *Quick, responses to questions 1-3.*

### ***Pairs Share***

- *Responses to questions 1-3*
- *"I heard you say..."*
- *Be prepared to report your partner's response to question 3*

## **Reactions**

1. Do you have any thoughts, reactions or feelings about where you placed yourself?

2. Given where you are placed yourself, what impact does that have, if any? On you, others, the work, etc.

3. Given your approach, is there any particular advice you might give others about how best to deal with you when others may be coming from a somewhat different philosophy?

# ***Our Approach to Compliance and Enforcement***

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## ***Whole Team Map Fishbowl***

- *Place yourself along the continuum*
- *What do you notice?*
- *Move others as you see them*

## **Our Team Pattern**

1. In looking over our collective pattern of approaches to compliance and enforcement, what does that say or mean for us as team?

## ***Group Perceptions***

- *Form into similar approach groups*
- *Respond to questions*
- *Be prepared to report key messages*

## **Our Perceptions**

1. How do you see yourselves? What do you value most about your approach? What assumptions do you make about yourselves as a group?
2. What assumptions do you make about those who may have a differing perspective or approach?
3. Seeing this from an “outsider’s viewpoint and looking at this globally, what might you consider your “contribution” to be towards any unproductive disagreements or “camps” you or others experience?

Choose a reporter(s) and be prepared to report your responses to these questions.

# ***Creating a Unified Approach***

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## ***Mixed Groups Recommendations***

- *Create two lists on chart paper: Drivers and Barriers to our Ideal Vision*
- *Break and review lists*

## **Drivers and Barriers**

1. What are the forces or drivers that are helping us move towards one “camp” with one vision?

2. What are the barriers that may be keeping us from creating one team with a unified approach?

3. Check what other groups came up with. Any comments or questions or ideas?

# ***Action Plans Toward an Even More Unified Approach***

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## ***Mixed Groups Recommendations***

- *Choose a major barrier that you can influence*
- *Brainstorm ways to reduce it*
- *Choose one or some combination of strategies*
- *Lead brief everyone on action plan*

## **Action Planning**

1. Go over each driver and barrier: Rate each for its degree of impact: Is it a minor, a major or somewhat strong force) and your team's ability to influence it: Can you influence it a little, somewhat, or a lot?

2. Select a force (barrier or restraining force may be best) that has a major impact and one that you can influence a lot. Brainstorm ways to reduce the restraining force or barrier's effect. Don't just accept the first idea. Go through the list of ideas: Review the pros and cons of each.

3. Select an idea (or combination) that is particularly important, compelling, intriguing, feasible, and doable by the folks in the room. Choose one or a combination of ideas to pursue.

4. Create a list of immediate action steps with deadlines and choose a lead to see that these steps happen.

Ask the lead to brief everyone (5 min): General plan, the next action step, by when.

# ***Team and Office Issues***

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## ***Define Issues***

- *Alone list issues*
- *Define and select issues to work*
- *Group chooses an issue to define*
- *Present for feedback*

## **Define The Important Issues**

1. Alone: Are there any additional issues that need to be resolved?  
(1-2 Key words for each issue)

2. Clarify each issue for understanding. Decide together which issues to discuss.

3 In small groups, choose one issue to work on as a group.

a. What is the current state and what is the desired state?

b. List all the possible drivers for this issue and any barriers to change. Play devils' advocate: Take on the role of the key stakeholders and voice their viewpoint.

c. Choose someone to prepare a 5 minute brief to everyone on the desired state you want to work towards and your common understanding of the issue.

4. Provide feedback to other groups after the briefing:

a. What you liked about what you heard?

b. Any questions for understanding?

c. Any additional ideas for the group to consider?

# ***Action Plans***

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## ***Generate Action Plans***

- *Brainstorm list of possible plans*
- *Consider +/-delta*
- *Decide next steps and a lead*
- *Present for feedback*

## **A. Define Solutions and Next Steps**

1. Looking at the analysis already completed, what might be done to create the necessary changes? Stay open to possibilities at this point. Try to creatively generate several ways to create the changes you desire. Brainstorm without discussion or evaluation at this point. Make sure you hear from everyone.

2. Go through the list of solutions: Review the pros and cons of each. Which ideas or combinations are particularly important, compelling, intriguing? Choose one or a combination plan that is doable.

3. Create a list of immediate action steps with deadlines and choose a lead to see that these steps happen.

Ask the lead to brief everyone (5 min): General plan, the next action step, by when.



# ***Learnings***

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## ***Alone***

• *Reflect on these items, jot notes*

## ***Pairs***

~ *What did you learn, what might you change?*

## **Individual Reflection**

1. What if anything, are you now more aware of?

2. Reviewing your experience and the information you received, is there anything you are considering changing about how you interact or approach compliance?

3. What will it take for our action plans to really work? From you? The team?

# Off-site Critique

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## Feedback

1. How do you feel about what was accomplished? (circle one)

- 7 VERY SATISFIED
- 6 SATISFIED
- 5 SOMEWHAT SATISFIED
- 4 NEITHER ONE NOR THE OTHER
- 3 SOMEWHAT DISSATISFIED
- 2 DISSATISFIED
- 1 VERY DISSATISFIED

Any reasons for circling where you did?

2a. What worked for us as a team? When was teamwork most alive?

b. How might we extend, or expand on this in our daily work with each other?

3. What were the learnings for the team? For you?

4. What suggestions do you have to ensure next steps are taken?

5. What specific feedback do you have for Philip?

6. Any additional comments