

COMPLIANCE & ENFORCEMENT INITIATIVE WORKING GROUP

MEETING AGENDA

Date and Time: Monday, December 5th, 2011 1:00pm– 4:00 pm

Location: Executive Boardroom, 5th fl, 910 Government Street

1. Welcome/Purpose of today's meeting – Doug Scott (5 minutes)
2. Introductions to our respective C&E areas - ALL (5 minutes each)
Each C&E unit will present:
 - Mandate and general make up (SPC status, etc.)
 - Top 3 challenges/issues faced by unit
 - Integrated teams/partnerships the unit is involved with
3. Discussion/ ALL (30 – 60 minutes)
 - Opportunities for the C&E working group initiative

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DECEMBER 5TH MEETING THEMES

Challenges

- Change management – responding to politically driven mandate changes, new legislation, industry changes
- Addition of new program areas and components such as violation ticketing, collections, SPC status etc. and lack of resources
- Differences in classification/designations result in competition/poaching in recruiting
- Difficulties in staffing remote areas
- Difficulties in sharing intelligence on issues, companies and individuals where multiple agencies may be involved
- Communications, C&E investigators/inspectors are often the public face of their Branch

Opportunities

- Enhanced Training and educational tools – Justice Institute can customize courses according to needs
- Violation ticketing
- Threat and risk assessments – shared learning and creation of risk/threat assessment tools
- Improved intelligence sharing on mutual issues, licensees, etc
- Improving systems
- More proactive enforcement
- Resources to encourage compliance, increase opportunities for proactive enforcement and effectively manage new program areas
- Partnerships: e.g. sheriffs may be available to assist other groups when the courts are not in session
- Cross training and succession management
- Standardize some practices, e.g. training,
- Develop best practices: tickets, inspections, risk assessments

Next Steps

A planning session will be organized with representatives from all compliance and enforcement groups to flesh out initiatives that the smaller C&E initiative working group will work on.

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MARCH 9TH STRATEGIC PLANNING SESSION SUMMARY

The day was started with small group discussions on common risks and opportunities. The groups then prioritized their identified risks and opportunities into their top 3 and reported back these to the larger group.

These risks and opportunities were then consolidated into broader strategic priorities/objectives:

- Joint collaboration to enhance information sharing and the creation of a skills and assets inventory
- A corporate secretariat to focus on policy driven issues such as legislation to increase fine amounts and a formal shared platform for case management
- Fraud and risk – to address opportunities such as a whistle blower program and additional revenue through preventing and collecting on loss
- A training strategy to address opportunities such as cross training, justice institute offerings and succession management

The larger group then set short term goals (12 months) of **enhancing information sharing** and creating a **skills and assets inventory** for the compliance and enforcement sector and a long term goal of setting up a **corporate secretariat** to address larger issues such as a shared platform for case management and changes to legislation such as fine amounts.

Next Steps

Two working groups were set up to enhance information sharing and create a skills inventory

GPEB's ADM office will develop a business case for the creation of a compliance and enforcement secretariat with input from the larger group

The larger group will meet quarterly –one formal all day meetings and two informal 2 hour meetings

Time	Activity
8:30 – 9:00	Welcome and Coffee
9:00 – 9:30	Welcome by Chair, ADM Douglas S. Scott
9:30 – 9:45	Introductions Each representative has 15 seconds to introduce themselves
9:45 – 10:45	1. FIND COMMON GROUND <ul style="list-style-type: none"> What opportunities and risks do you see facing your group? What are our common opportunities and risks?
10:45 – 11:00	BREAK
11:00 – 11:30	2. DECIDE ON TOP 3 OPPORTUNITIES AND RISKS <ul style="list-style-type: none"> Identify the group's top 3 strategic priorities By focussing on these priorities, what could we accomplish? Groups report out on top 3
12:00 – 12:45	LUNCH
12:45 – 1:15	3. DETERMINE #1 PRIORITY <ul style="list-style-type: none"> Vote for top strategic priority (larger group)
1:15 – 2:00	4. CREATE A STRATEGY TO ADDRESS #1 PRIORITY <ul style="list-style-type: none"> What should we do to effectively address this strategic priority?
2:00 to 2:20	BREAK
2:20 – 3:20	5. DECIDE ON THE BEST APPROACH FOR IMPLEMENTATION <ul style="list-style-type: none"> How do we implement the strategy?
3:20 – 4:00	Next Steps, Douglas S. Scott

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MEETING AGENDA

Date and Time: Wednesday, November 9, 2011 9:00am – 12:00 pm

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1. Welcome/Purpose of today's meeting – Doug Scott (5 minutes)
2. Introductions to our respective C&E areas - ALL (5 minutes each/2 hours)
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 - Mandate and general make up (SPC status, etc.)
 - Top 3 challenges/issues faced by unit
 - Integrated teams the unit is involved with
3. Discussion/ ALL (30 minutes)
 - Opportunities for the C&E working group initiative