

The Art of Building Relationships in a Regulatory Framework

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What Kind of Relationship Are We In?

- ▶ What does a business relationship mean?
- ▶ What does each side want from the other?
- ▶ What are the challenges?
- ▶ What is the value of keeping it healthy?

Steps to Improving a Regulatory Relationship

- ▶ Define your strategy and acceptable outcomes

Step 1:

- 1) Interoffice
 - a) Discuss regulations periodically
 - b) Analyze your data
 - c) Offer educational experiences

Define your strategy
continue

Step 2:

- ▶ Demonstrate strong and effective leadership
 - 1) Consistent enforcement
 - 2) Inspections with Integrity
 - a) Timeliness
 - b) No abuse of authority

Define your strategy
continue

Next Step:

- ▶ Understand and agree on regulations
 - 1) Regulators must be able to explain why the regulation is in place
 - a) Workshops/Refreshers

Define your strategy
continue

And lastly....

- ▶ Providers should know their alternatives
 - 1) Options for compliance
 - 2) Appeal process

How Does One Maintain a Healthy Relationship Between Regulators and Clients?

This revolves around

Trust

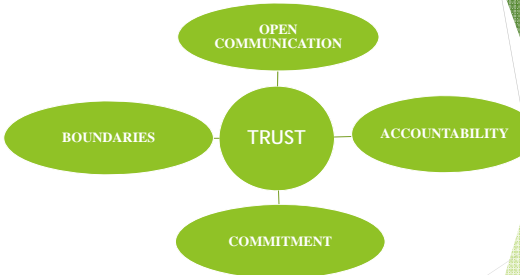


Figure 1

All revolves around TRUST

▶ TRUST = TRUSTWORTHINESS

Brings:

1. Credibility
2. Security

Creating TRUST and TRUSTWORTHINESS

Regulators	Clients
1. Making sure that clients are aware of the legislation and regulations in which they are governed	1. Getting informed
2. Acting as advisors, providing an ongoing technical assistance and support on regulatory issues	2. Being able to ask questions and to listen
3. Ensuring that compliance actions are done on a timely manner	3. Understanding regulators' perspective and procedures
4. Studies had shown that clients trust in the regulator leads to higher voluntary compliance (Murphy, 2004)	4. Having trust in regulators lead to higher voluntary compliance

Revolving Components

► OPEN COMMUNICATION = CONNECTION

Creates:

1. Understanding between two parties

OPEN COMMUNICATION creates CONNECTION

Regulators	Clients
1. Treating one another with respect	1. Treating one another with respect
2. Openly expressing thoughts and feelings	2. Openly expressing thoughts and feelings
3. Do not criticize or give orders	3. Feeling heard when talking or asking questions
4. Showing support to the things they do or like	4. Listening and being open to suggestions.
5. Understanding that the key is a clear communication	5. Understanding that it's key to listen to regulators

Then comes Commitment

► COMMITMENT = RESPONSIBILITY

Means:

1. Dedicating yourself to something

COMMITMENT means RESPONSIBILITY

Regulators	Clients
1. Understanding regulatory requirements	1. Knowing the policies and procedures of the profession
2. Knowing that federally requirements should take precedence over state or local requirements	2. Having the responsibility to read the Ordinance and/or the Rules and Regulations governing the business
3. Becoming familiar with regulatory policies	3. Being committed to abide by the rules
4. Maintaining own work up-to-date	4. Being up-to-date on new regulations and training
5. Enhancing and/or instilling TRUST with clients	5. Will result on higher regulatory compliance

Add a few...

► BOUNDARIES
=
COOPERATION

Providing:

1. Respect for each other's personal space

RESPECTING BOUNDARIES will result in COOPERATION

Regulators	Clients
1. Respecting each other's personal space	1. Understanding regulator's job
2. Respecting each other's personal beliefs and decisions	2. Being open minded and respecting regulators decisions based on standards
3. Knowing what your role is	3. Understanding regulator's expectations
4. Agreeing to disagree	4. Showing cooperation

And recognize accountability...

▶ **ACCOUNTABILITY = TRANSPARENCY**

Means:

1. Accepting responsibility for one's actions

ACCOUNTABILITY creates TRANSPARENCY

Regulators	Clients
1. It's about helping clients achieving high performance and not fear or stress	1. A positive term describing commitments. Resources are better allocated – Relationships are strengthened because they know they can count on each other
2. It's about helping clients on how to increase performance and job satisfaction	2. Continuously inquiring: how am I doing?
3. It's being responsible and liable for our own actions	3. Being responsible for their actions without blaming others
4. It's providing clear expectations	4. Information is well received. Clients don't have to guess