



**Regulation Matters:
a CLEAR conversation**

Episode 70: CLEAR Award Recipients: Sharing Insights from Experience (Part 1) October 10, 2023

Line Dempsey: Welcome back to our podcast, Regulation Matters: a CLEAR conversation. Once again, I'm your host, Line Dempsey. I'm the Chief Compliance Officer with Riccobene Associates Family Dentistry. We have practices now in North Carolina, Virginia, and South Carolina, and I've also been a board member and president of CLEAR.

As many of you are aware, the Council on Licensure, Enforcement and Regulation, or CLEAR, is an association of individuals, agencies, and organizations that comprise the international community of professional and occupational regulation. This podcast is an opportunity for you to hear about current topics in the regulatory community.

Each year, CLEAR considers nominations in several CLEAR award categories. The 2023 awards were presented in Salt Lake City during the Annual Educational Conference. While in Salt Lake City, I had the opportunity to chat with our award recipients, and I'm excited to share these conversations with you.

So, John Crumley is the recipient of the Investigative Excellence Award for an Individual. This award recognizes an investigator in occupational and professional regulation. The nominee must have demonstrated an exceptional performance in a particular case or history of excellent performance beyond what is expected or required that resulted in a direct and significant impact to the protection of the public or consumer interests. Here's my conversation with John.

Line: Well, John, again, congratulations on the award and thanks for chatting with me today. So, can you provide an overview of the case that you were nominated for and like, you know, what were the initial allegations and how did you become involved?

John Crumley: Sure. So the initial allegations were made by some staff members of this hospital that had concerns regarding some discrepancies of one of the veterinarians and how they were recording rabies vaccinations and rabies certificates.

And these staff members called our board office and after our board office received their concerns, we sent an inspector to the facility under routine inspection, and they collected examples of the medical records and then generated an inspection report. Then I was assigned the case as the investigator from my executive director.

And I collected the inspection report, those samples of medical records, and spoke with the inspector. And then I called some of the staff members to do an initial remote interview of these staff members, with a lot of trepidation and care, because all of these staff members were still employed at the hospital, working side by side with the veterinarian they had concerns on.

So, after I spoke with the staff members, I took my information to my executive director and our board counsel, and we decided that there was significant evidence to proceed for one, but also, more importantly, we decided that we needed to issue a summary suspension for two reasons. One being an ongoing risk to the public and their pets, and two, because this individual's prior discipline history involved this individual modifying medical records that they supplied to the board. We wanted to ensure the integrity of the evidence. So, we wanted to make sure this veterinarian did not alter the medical records after they were made aware of our investigation.

So, we met and developed a plan for the on-site evaluation and collection of evidence that constituted the evidence packet that went before the board for the hearing.

Line: Excellent. So, if I'm correct, it was about 250 cases of suspected fraudulent rabies certificates from thousands of medical records. I mean, that seems like no small feat to examine. Can you kind of walk us through what the process was to review and identify what cases?

John: Sure. We had our plan before we flew down to the hospital. And then of course, we just threw the plan out and winged it.

Line: [laughter] It sounds like my investigations from the days.

John: Yeah, we had our plan and we recognized things may change when we got there, but our first plan was to issue the summary suspension for obvious reasons. And then once the veterinarian had left the facility, then we interviewed the staff. And during my interviews with the staff, I really wanted to get a lay of the land of that hospital - how the operation, how things were done. As you said, thousands of medical records and just to complicate things, it was a combination of preprinted forms, electronic medical records, and handwritten medical records. So, it was a lot to go through. And once we determined, through the staff's help, how a veterinarian in that hospital would invoice the rabies vaccine, record it in the medical record, and then issue a travel certificate or a rabies certificate - once we determined that, we developed a system where we could search the electronic medical record looking for red flags, then go pull that entire medical record, and then we just make copies of everything.

Line: Wow.

John: So, once we had copies of everything, which were more than 250, as you probably would guess because a lot of things fit our rubric that may not have demonstrated that the vaccine was not given when rabies vaccine was issued. We fly back to our office and then we go through the hard task of going through each individual medical record that fit our rubric and made sure there was sufficient evidence to show that a vaccine was not given even though a certificate was issued. And these are rabies certificates just for compliance with state and

county regulations, but also for international travel, because they were issuing health certificates for international travel as well.

Line: So, did you have any (and I would assume you had) reluctant witnesses given that you just, you know, arrived at the office, summarily suspended the doc, and you've got some other people that this is their livelihood that you're affecting. So, what kind of strategies did you use to get them to cooperate with you? Because I could imagine that people were reluctant to speak to an investigator.

John: Well, sure.

Line: Having been one.

John: Yeah, yeah. No, you're exactly right. And I always try to establish a personal connection and being a member of the profession, being a veterinarian, I've got that easy one, at first, you know - why did you become a veterinary technician? Why'd you become a veterinarian? And then I try to share stories of my own practice, legit stories, and be open and honest. I also try to be very transparent of the process. You know, I try to talk them through what we're going to do and why, who's going to be involved, and what's their role.

And then finally, just talk about the intent of the board. You know, the intent of the board is to protect the health and safety of pets and the public. It's not personal. We're not out to get anybody. I think that helps disarm people, for sure.

Line: A lot of skill went into presenting the evidence as well in such a way that the hearing panel could see the intentional fraud. So, how did you go about preparing and eventually presenting that case?

John: It's a good point because it's a complicated case. Anytime we go into a hospital in this manner, we're gonna find other potential violations as well. Not just the 250 incidents of potential rabies certificates, and we did find multiple other potential violations and all of that went in my report.

But the first thing I do on the first page of my report that goes before the board, I outline each potential violation, and that way I give the board a roadmap of what they are to deliberate on. And I want them to go back to that because it's so easy to get bogged down in all of the other stories and potential violations.

And then we walked them through our rubric. We walked them through, you know, how the hospital operated, how we developed our rubric to flag these records, and then how we examined those records. And then, so that they could see for themselves when a veterinarian at that hospital saw a patient, gave a rabies vaccine, documented it, invoiced it, issued the travel certificate or the rabies certificate - how it looked like when they did it that way, versus when they didn't give the rabies vaccine and the difference in the documentation.

Line: Right. So, obviously, the impact of your investigation led to some severe sanctions against the veterinarian in question. Can you discuss the significance of these sanctions in ensuring public safety and consumer interests? It seems a little clear as far as, you know, the fact that what was going on. But, I guess as a side question too, I'm curious to know, what was the reasoning by not giving the shots?

John: Yeah. It's a good point because it goes along to intent. I'll address, can I address the second question first? Because the individual never admitted to not giving the rabies vaccines or withholding the rabies vaccines and still issuing the certificates. And that went along to intent. Never admitted that they did it, therefore, showed

the intent to commit it again. I mean, I always believe that intent is your best indicator of whether or not a person is going to re-offend. And this clearly showed that the intent was there.

The second part, you know, is that in our veterinary oath, we swear to use our knowledge, skills, and abilities to protect animal health and promote human health. And this veterinarian violated that core of our oath.

Line: 100%, yeah. So, I guess, what did you learn from this case that could be a takeaway for other investigators?

John: You know, I'm a data geek. I try to live a data-driven life, and I do think that makes one aspect good for an investigator. But in this case, the data wasn't nearly as important as the people, you know. And it really taught me to listen to the staff members, listen to everybody involved, and be open, sit quietly, speak less and listen more.

It allows people to share their story with me, because I do think our colleagues want to share our stories. When they see somebody doing something that's a potential violation, I know inside they want to bring it up, but nobody wants to "rat out" a colleague. But if you give them the time and in a supportive environment, they will.

Line: Fantastic. Well, John, thanks for meeting me here in Salt Lake. And again, congratulations on the Investigative Excellence Award. I was proud to present that to you today. And congratulations on that. And hopefully we'll hear more from you in the future.

John: Thank you.

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Line: Ginny Hanrahan is the recipient of the Regulatory Excellence for an Individual. This award recognizes an individual demonstrating an outstanding contribution to the enhancement of occupational or professional regulation, regulatory processes, or consumer and public protection. The individual must have demonstrated exceptional leadership, vision, creativity, results, and outcomes above and beyond the regular functions of the job or expectations, and beyond what is normally achieved. Here's my interview and conversation with Ginny.

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Line: Well, Ginny, congratulations on the award. You were given the Regulatory Excellence Award this week here in Salt Lake, and thank you for coming in and chatting with me today.

Ginny: Oh, my pleasure, and it was such an honor to receive that award. I was quite surprised. So, absolutely delighted, and humbled. When I saw the video that CORU sent - it's funny, you know; you think about what you've done, and it's lovely to see other people acknowledging that. So I really did appreciate the award.

Line: Well deserved. Well, can you maybe tell us about your journey from occupational therapist to becoming the CEO and registrar of CORU, Ireland's first multi professional health and social care regulator. What inspired you to take that role?

Ginny: I suppose as an occupational therapist and as a manager in health, my role always had been to try and improve things for patients. So, my values sit very well with regulation. I also was the chairperson of the Association of Occupational Therapists of Ireland in the late 90s. The Minister for Health then, the future Prime Minister, Micheál Martin, invited representatives from 15 professions to say, look, we want to regulate you, but, you know, we have to look at what way we can do it. There's obviously not going to - you're too small to be doing individual regulations. So, I was involved when they were planning the legislation at an earlier stage.

And I remember thinking, "Gosh, that would be an interesting job." So, you have to be careful what you wish for. [laughter] So when they did finally appoint a board, a council, and they went looking for their chairperson, I said, "Oh yes, I think I'll apply for that." I was at that time head of clinical service in Beaumont hospital, which had about 30 different professions.

Many of them did come in under the health and social care profession group that we were later to regulate in CORU, and it was known as the Health and Social Care Professionals Council. And as one of my colleagues said, "Yeah, definitely named by a civil servant, definitely not for marketing." So, one of the things we did do was get a marketing process, which was CORU. And the CORU word - it's a derivative of the Irish word *cóir*, which means fair, just and proper, which just fits very nicely with our ethos and what we're trying to do.

Line: Fantastic. Well, I know, just from talking with you in the past, you pretty much started out in a borrowed office with a laptop. The award nomination mentioned you started CORU from very humble beginnings, and that certainly sounds like it. But can you share some of the initial challenges you faced and how you overcame them to establish statutory regulation for health and social care professionals in Ireland?

Ginny: Well, we had a fantastic chair who has since passed away, Margaret Hayes. She was the second Secretary General. I'm not sure what that would be [in other countries], but the top civil servant, one of the big parties. She was only the second woman to do that, a very smart woman. So when I came in as the CEO, I was all keen to get the regulation up and running. And she said, "Hold on." She said, "You actually need to put the administration in first." So, that was a good lesson. But I started in May, 2008 and then the economy started crashing around the world and we had a bank guarantee in September, 2008. So essentially we were trying to get this agency up and running when there was no money in the country.

Look, I'm very, whatever I am, I'm tenacious, so we just kept at it, and we opened; we had our first board, which was our social workers board, in 2010, and we opened that register in 2011, and we have subsequently rolled on with the other professions. So, I think it was about being tenacious.

But for me, the important thing as well as a regulator is to be sure that your governance is all right. We've seen too many examples where regulators' work has been completely undermined by poor governance. I remember one of the best papers I went to was Deanna Williams, who'd gone in as the administrator with a dentist in Ontario. And I think there was great interest going, "Okay, what went wrong there?" and learning from that. And there was also a very good paper from, I think it was the teachers council in British Columbia, where they had fallen over as well. So, you know, this is, I won't say it's a high risk, but you really need to get your governance right if you want to do regulation correctly.

Line: So, in your 15 years of leadership at CORU, what do you consider your most significant accomplishments in terms of enhancing occupational and professional regulation, regulatory processes, or even public protection?

Ginny: Yeah, I mean I think, you know, we've set this agency up from scratch. We've had a lot of learning and in 2012, I was saying, because what I have is I have a counsel that oversees 12 boards at the moment, and that's 48 meetings with the boards and then, but another 10. Oh, it's a lot of meetings.

So, we're looking at a different way. So, we've only just begun campaigns to try and get some money to do a project on that. So, it'll be an 18 month project. Two really great people there, Lee Lachlan and Gail Macaulay, who are actually just doing the research and the work on that to look at how we can streamline that. I think there'll be a lot of learning from that.

For me, I think one of the biggest things we did was we had 12 professions are regulated. We have a 13th one coming now, the social care workers. And unlike Harry Caton, who would always talk about only validating existing professions, we've actually had to bring this one into place. And that's been very rewarding. It's taken us eight and a half years. It's absolutely the right thing to do. Social care workers work with the most vulnerable children in children's homes, et cetera.

For me, one of the really important things was that we managed to get a code of professional conduct and ethics that's consistent across the 13 different professions.

So, whether you're, you know, a diagnostic working in diagnostics or working in therapy or working in psychotherapy, psychosocial, this code of conduct applies. There's 26 sections that's exactly the same for all. And then the 27th is if some of the professions wanted to put something special on, and most of them didn't because it was all captured. So that's all up for review again.

But for me, I thought that was a really good piece of work that we did. We've also put very good standards in for the education of students coming on. And I think the learning of being a regulator where we have fitness to practice and what we can take from that to help that influence what the students need. And I think the thing that's been most important for me that I've realized that if you're a frontline staff - and particularly after COVID, health and social care professionals have been put under major stress - the resilience and the need to look after yourself is so important. So, I think the other thing we have been trying to do, and I think most regulators should be doing, is influence the educators to make sure there's a good section in the undergraduate course or whatever course brings them in that will allow them to look after yourself.

So important because, you know, that's when things go wrong if somebody is not - the two things I would say is be engaged, continue professional development, resilience, knowing when you can, when you need to take a break and when you don't, and putting that in as part of your career.

Line: I think we've talked about this before, you and I at least, that importance of having a moment to recharge. Talk a little bit about that.

Ginny: I think it's absolutely critical, and I've worked in very demanding jobs and I've just given everything and I have family, but it's actually looking at where your head is. I mean, at one stage I discovered, a couple of times in my career, I've been on the edge of burnout and I stepped back and said, "Well, look, if I want to continue doing this job, I need to do that." So, I joined a choir. It's great! When you're trying to learn music, you have to concentrate. I'm learning Italian very badly, but it's just about [how] you've got to concentrate and do that and just going for lovely walks and, you know, just getting out to clear your head. I love going into a park or going down the beach.

So, it's the importance of that and actually living that, you know? So for me, I want to instill that in all of our professionals, our registrants, but also the staff who are working in regulation. So, we have to make sure, for everybody working, that you have very clear dates for breaks. Throughout my career, I've always known when my next break was coming. That was great. I'd work my, you know, I'd really work hard for the, you know, whatever it's eight weeks, six to eight weeks, and then I'd take my break, and I'd know that I was doing that. And it doesn't have to be doing anything special. It's just taking a break and stepping back.

I think since COVID, I really worry that people are, you know, using phones on holidays and things. I had a member of staff who was working so hard, I actually took her phone off her before she went on holidays. And I think actually we should, as bosses, probably should be doing that more often than not, because people are tending to check phones. Well, I'll just check - that's an hour of your holiday gone, that's five, you know, if you're doing that for five days, and holidays are so precious. So I think it's really important that people actually get a break.

Line: Yeah. You know, we talked about this earlier - my wife and I came out early about five days to explore southern Utah. I lived out in Utah before, so I was very familiar with it, but we were in so many areas where there was no signal. And you know, it's hard even still to put that phone away, but it's how important it is to completely unplug, especially before a conference like this.

I was very excited to be at the conference, and I'm excited to go back to work based on all the information and conversations, certainly the sessions and things like that, but also these little side conversations that we pull apart.

Ginny: And I think in CLEAR, that's the really positive thing. Like we're all, you know, dealing with different issues. I mean, it's fascinating over the last 15 years, what's been a change. Like DEI is something that I think CLEAR is taking the lead in, and it's brilliant. You know, I think other regulatory groups should be looking at that.

But also, I think, you know, like 10 years ago, it was the military movement and about the compacts and that. So, I think it's been interesting to see what the issues are. In Europe, we've had an interesting change in regulation in that there've always been the freedom of movement with certain professions, and now if you want to regulate a new profession, you've got to go through a whole process in the European Union about whether that profession really needs to be regulated. I think there's a little bit of that going on. I mean, I was always blown away by the American, uh, what's the term, where they close one down and, um, where they do an investigation to see whether that regulation is still needed.

Line: Oh, sunsetting.

Ginny: Sunsetting, yeah, sunrise. So, I remember going back to Dublin with this great idea, sunsetting, sunrising, you know. Right. And we're going, oh, yeah, yeah. But actually, I believe it's very difficult to do, actually.

Line: That it is. Well, I know you've mentioned before that your retirement is a rewiring rather than a complete departure from the regulatory community, which as a member of CLEAR, I'm excited to hear because that means we're not losing you even though you're retiring from CORU. But, I guess, could you share some of your plans and vision for your continued contribution to this field?

Ginny: Yeah, I mean, there's one project I'm looking at at the moment, which I'll know more about next week. But I think, you know, because we've managed to set up a multi-professional regulator, and I think in certain

countries, people are moving towards that, particularly with smaller professions. I think it's very hard to be a small regulator because, if you've only got a thousand members and you have to do your fitness to practice, you've got to make sure your codes are right. That's actually quite impossible. I think we've demonstrated by actually bringing groups. Like one of our professions, I think it's got 600 – it's a really small number that on its own, it's just too little. So I think, you know, we've kind of done this and I would hope that that experience would be helpful.

Line: 100%. So, what advice or words of wisdom would you offer to aspiring leaders in the field of occupational and professional regulation, based on your extensive expertise and accomplishments?

Ginny: I think being open to hearing how people are doing it. 80 percent of what we do is the same. The language will be slightly different. I think if you're grappling with something, discuss it with a colleague because I'm sure they're grappling with it as well. I've always believed in pinch-perfect. When I started out, I was very lucky. Marc Seale was the CEO and Anna van der Gaag was the chair of the Health Professions Council in the UK. And they were so good at sharing stuff. And so, I believe in pinch and perfect. I mean, certainly from a CORU point of view. Anything we've done, if anybody wants it, we're very happy to give it over and then look and see does that work for you or not. So that sharing of knowledge and information is really good.

And I remember a good few years ago, the Ontario College of Teachers did terrific work on social media, which we were grappling with. So, it was great to go and say, "Look, can we have a look at that and use it?" So, I think what happens, all agencies have strengths and weaknesses. And if you can play to each other's strengths, that makes our community much stronger.

Line: Well, thank you for joining me today. And also thank for your many years of service to CLEAR serving as a president for our organization, too. And it's a lot of big shoes to fill, and we're very thankful to have you here and super excited about your award for the Regulatory Excellence Award.

Ginny: During my speech, I did have to praise Adam Parfitt because we, the members of the board and the presidents come through and go, Adam is there and he's really strongly in the background. And I suppose in CORU as the executive leader, that's what I was doing as well. It's so important to have strong executive leaders, and CLEAR is really very fortunate to have Adam.

And I think, you know, for me, what's going to be different is swapping away from being an executive leader to being a non-executive leader where you're actually just reviewing and maybe looking at how improving but not actually delivering. So, friends of mine have said that's a really great place to be. And I'd also just like to thank everybody in CORU who've done phenomenal work. It's been just such a pleasure working with them - so enthusiastic, seeing lovely new people coming in. It's just great. And also I think the other regulators in Ireland were very small, but we do work closely together.

Line: Well, I have to echo your thoughts on Adam. You know, as president and now I'm a past president, I think we all understand that Adam has a significant role that he plays here, but serving that role of president, you learn how valuable he is that other people don't ever see. So, I'm glad you mentioned that because he's a fantastic asset to this organization. So, thank you for meeting me here in Salt Lake.

Ginny: Oh, delighted to.

Line: And doing this in person, you know, being able to be back in person again.

Ginny: I know.

Line: Thank you so much.

Ginny: Absolutely. Take care.

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Line: Dean Bernard is the recipient of CLEAR's Service Award for Lifetime Achievement, which recognizes an individual who has made an outstanding contribution and commitment to CLEAR, demonstrating dedication and integrity. The nominee shall have shown exceptional leadership, vision and creativity in fulfillment of the goals and objectives of CLEAR. Here's my conversation with Dean. I've been good friends with him for many years.

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Line: Well, Dean, congratulations on receiving this award and thanks for sitting down with me to chat about it here in Salt Lake. Really excited to talk with you. We've known each other for a long, long time, from back in investigative days when we both were investigators. If you could, kind of share with us the journey that led you from nursing to policing and then eventually into the field of healthcare professional regulation. What really motivated this transition? How did it shape your career path from there?

Dean: That's a great question. It's a question I get asked all the time, of course, because, you know, people wonder, how do you do that? Like, why would you do that? Right. And, I'd love to say there was a master plan. But like so many young folks, you know, I entered into nursing. I was very young, really wasn't sure any of these things were my chosen career path. So, you know, it's like, well, you try it, see how it goes. And that's what I did. I wasn't sure I really wanted these things. And some people have said to me that I have this six year itch, and I did for a while. But you know, I got into nursing and it wasn't really quite working for me. It wasn't what I really wanted, decided policing would be good. Then decided that wasn't going to work. I went back to school, did another degree - I just had a couple of courses left because I'd been chiseling away at it. And then I saw an ad, basically, in the paper for the College of Nurses of Ontario for an investigator. And, you know, just thinking, I thought, well, nurse, cop, sounds like it might be a good fit, applied for the job, got it, and really never looked back.

It was really, for me, I knew very early on this was the best decision for me. And looking back on it now, it definitely was the best decision. I fit in. I felt like there was room to progress. I felt there were so many things to learn, so many different avenues I could go down. It was just very engaging. And it didn't take long [until] I became the manager of the investigations team and then had the ability to start affecting change, which for me was exciting and you know, it just then started my own business and that was in 2004. And here we are. It's just been a wonderful journey, and I've had a lot of great mentors, a lot of great coaches, who've helped me grow along the way and they all were people that were seasoned regulatory people who brought me into the fold, taught me what I needed to know. It's just been a wonderful journey ever since.

Line: Yeah, I think one of the things that makes me I guess so connected to you too, is we have a similar path in that I dropped out of a PhD program actually here in Utah in Salt Lake as an exercise physiologist. And so, it wasn't until I was on a bicycle ride with one of the other investigators for the North Carolina Dental Board that

he told me about an opening. And the challenge of taking my medical background, if you would, and applying it to dentistry, but also I've done a lot of writing and so it just seemed like a good fit.

So, we both kind of, if you would, fell into regulation, not by a direct path. And so, it's very interesting. So, I know you've been a regular speaker at CLEAR - I've spoken with you, we've been at conferences many times. You've authored and delivered training on regulatory investigations. Could you elaborate maybe on the specific contributions you've made to advancing best practices in regulatory investigations, because I know that's kind of like the focus of what you're doing now. What impact have these initiatives had on the field itself?

Dean: Yeah, that's a great question. I always go back to my first sort of, what I consider sort of my biggest single accomplishment, where I developed a process for investigating illegal practitioners in Ontario, in Canada. What I discovered early on in my days in regulation was that that wasn't being dealt with very aggressively. And I think a lot of it had to do with just a lack of understanding. And this is where I was able to draw on some of my previous background of policing and being generally a little bit more aggressive perhaps, just as a person. And it worked out well. I investigated this one case that was very big. In fact, it was the basis for a nomination for investigator of the year back in 2001, which I was privileged to receive from CLEAR. And it was very early days for me, but over the years, I think, especially since I've been on my own, I made a decision early on that I wanted to make a difference. I wanted to provide education. I want to provide courses and be an educational resource for individuals. It's led to me creating my YouTube channel. It's led to me creating the podcast more recently. I've really tried to push to advance concepts like trauma-informed investigations, incorporating DEI into investigations, and those two things actually overlap quite a bit.

Just to give you an example - in Ontario way back in the day (and it still exists) the power to obtain a search warrant as a regulatory investigator exists, and nobody had ever done it. And I'm like "why?" I was this guy who came as, "why don't we do this? Why can't we do that?" And, to their credit, the people around me who called the shots on these things were willing to take a chance on me trying to advance some of these things. And so, I feel like, you know, my contributions have been just this never-ending desire to continue to advance the profession.

And more recently, it's been trauma-informed practice and DEI. What the future holds - who knows? I think AI is something that we're going to have to start looking at how we embrace that. So, I think it's just a desire to advance regulatory investigations in general and be that guy who contributes, right? Not the only contributor, but someone who can help to make a difference.

Line: Well, I was fortunate enough to sit in on part of your talk this morning with TI and DEI. And I think it's very exciting about what you've got going on. And I can certainly agree with you that, you know, AI is one of those things that we're going to have to address sooner than later, I think, as the processes continue to improve.

So, the nomination mentions that your expertise is relied upon by regulators for critical decision making, such as managing police interactions and advising on all aspects of regulatory investigations. So, could you, for our listeners, provide some examples of maybe how your guidance has influenced regulatory decisions and maybe even improve their process?

Dean: Yeah. I mean, if I had to pick one thing that's sort of been the biggest impact in this regard has been encouraging the use of alternative dispute resolution. So not so much investigations, but saying, Hey, you know what? Not everything is best resolved through an investigation process. There are lots of other ways we can get

things done. And I've been fortunate that perhaps because of the length of time I've been in this area in this field and maybe my past in management, you know, a lot of regulators have given me the respect to listen to my thoughts and my ideas. Some have accepted them; some haven't; but it's one of my favorite things is when a director of investigations or professional conduct or a registrar calls me and says, "Hey, we're dealing with an issue here. What are your thoughts? What are some things we could do? How do you think we might want to approach this?"

And, you know, it's humbling to be the guy that they pick the phone up and call. I'm sure I'm not the only one, but it's been just a real joy to engage with them on that level. It's not, "hey Dean, we have another investigation we want you to do, or we want your team to do." It's, "Let's brainstorm about this, let's strategize about this. What's going to be the best approach?" Maybe it's something as simple as, you know, we think this person has information on a cell phone. Can we get that information? What can we do to get that information? And, you know, they're asking me to talk about, okay, what are the legal approaches we can take to get the phone? Once we get the phone, what are the possibilities of being able to extract from the phone what we need? And my network of experts - I'm not a forensics expert, but I know people who are - so I can reach out to them and draw on their expertise and then we can work together. So it's that kind of relationship that I've been able to build with so many of our clients that it's allowed me to sort of get in on the front end of things and help to influence the direction that's taken, the strategy that's used, that kind of thing.

Line: Yeah, that's fantastic. So, the nomination also mentions your commitment to diversity, equity, inclusion, DEI, in the regulatory process. Certainly something that CLEAR is obviously committed to as well. Could you provide some insights into how you have incorporated DEI into your practices of training and publications?

Dean: Yeah. Well, I've been a proponent, obviously, of DEI for a very long time, and it's been in recent years that it's become more in the spotlight. If I look at the path of how that happened early on - and when I say early on, I mean, 4 or 5 years ago - there was this idea that we don't know what we don't know. So, the first thing we need to do is educate ourselves. So, my team needs to be educated. I need to be educated. We don't have all the answers. So that was where it's like, okay, let's have the whole team take mental health first aid. Let's bring in an expert in anti-black racism. Let's have the whole team learn about that. Let's gather as much information as we can about trauma-informed practices. Let's bring in an expert to talk to us about that. So, it's been very much about sort of us gathering that kind of information to make our practice better. And then as we have improved on our practice, it's that experience combined with the knowledge has put us in a position where we can start to share that knowledge, share those skills and experiences, and that's what I've been trying to do.

So, you know not long ago I provided free to all regulators in Canada a talk on incorporating DEI into your investigative work, incorporating DEI into a regulator's work more broadly. So, it's really just been about a real push to sort of highlight these things. I don't consider myself an expert in DEI by any stretch of the imagination, but I love to surround myself with people who are. I have my own podcast - it's called We've Seen a Thing or Two - and I've had a couple of episodes where I've brought experts onto the podcast to answer questions and share information with us, and it's through that kind of effort that I'm trying to get it out there. But again, I don't have all the answers, so I'm trying to create opportunities for others with those answers to share their skills, share their knowledge and expertise.

Line: That's fantastic. I think you've even got Marc Spector going to be joining you on the podcast before too long, and he's going to be taking over as president at the end of this 2022-2023 season. So we're excited about the work he's certainly done in DEI, and I know you're excited about working with him, too.

Dean: Absolutely. You know, we actually had a great session with Daniel Roukema, Staci Mason, Marc Spector, and myself - you mentioned it earlier. But, I love working with those people because there's just so much to be learned, and we have fun. So, we're all learning together in different ways. And so, yeah, I'm excited about that. Yeah, absolutely.

Line: Well, I guess, finally, can you maybe share any future plans or initiatives that you may have in store for the regulatory community, maybe even how you envision your continued contributions to CLEAR and the field in the years to come.

Dean: Yeah, you know, that's a really interesting question because I am by no means done. You know, it's interesting because I'm getting this award for sort of the lifetime.

Line: I was going to address that in a little bit because the fact that it's a lifetime award and you're just barely into your lifetime is how I look at it.

Dean: It's very kind of you. I look younger than I am.

Line: We both do, right?

Dean: That's right. That's right. It's one of those things that I definitely see making more of a contribution continuing. One of the things I did actually for the first time is I went to the mid year meetings last year for CLEAR, and it was a great experience. And so, my plan is to continue to do that - that's something that I've not been as involved in. Mainly as a business decision, because, you know, unlike working for a regulator, these are...the cost. The international component of it, I see how CLEAR is really becoming the international organization. They're expanding into different parts of the world. I really want to be a part of that. So, I see myself definitely trying to engage on that side of things, trying to learn from what's happening in different parts of the world and either incorporating that into the work that we do or sharing all of it.

I think there's a lot of great opportunity to do that. I haven't even ruled out the possibility of maybe running for the board for CLEAR one day. This is what's so wonderful about organizations like this is there's so many opportunities and so many ways you can give back. I don't have a concrete plan on a specific thing, but I do know that it's definitely in the works to be continuing to contribute in any way that CLEAR would like me to.

Line: Absolutely. We'll welcome you with open arms to any of our committees. We have a lot of committees that meet in the winter at the midyear meeting.

Dean: So, I'm actually on the DEI committee for CLEAR.

Line: I'm going to add you to at least another one too, but we'll talk about that after the podcast. But, I did want to just congratulate you on this lifetime achievement award from CLEAR. And I just want to thank you for being a part of this and being part of this podcast today.

Dean: Well, thank you. It's been absolutely a joy. I'm humbled. Great people have got that award, and it's really nice to be included in that company. And so it's very meaningful to me. Very meaningful. Thank you so much. I really appreciate it.

Line: Well, well deserved. And like I said, even though it's a Lifetime Achievement Award, you're just getting started.

Dean: I hope so. I hope I have many more years to be a good contributor.

Line: Right on. Thank you, Dean.

Dean: Thank you, Line.



Line: It was a lot of fun to sit down with our award recipients while we were in Salt Lake City. We hope these conversations have given you some ideas, techniques, and skills that you can focus on in your regulatory role as we all pursue regulatory excellence. I want to thank our listeners for tuning into this episode. Tune in next month for part two of our conversations with the 2023 award recipients.

If you're new to the CLEAR podcast, please subscribe to us. You can find us on Podbean or any of your favorite podcast services. If you've enjoyed this podcast episode, please leave a rating or comment in the app. These reviews help us to improve our ranking and make it easier for new listeners to find us. Feel free to also visit our website at <http://www.clearhq.org> for additional resources, as well as a calendar of upcoming programs and events.

Finally, I'd like to thank our staff, our CLEAR staff, specifically Stephanie Thompson. She is our content coordinator and editor for this program. Once again, I'm Line Dempsey, and I hope to be speaking to you again very soon.

The audio version of this podcast episode is available at https://podcast.clearhq.org/e/2023_awards_part1/.