5 STRATEGIES TO CREATE COMPLIANCE ALLIES

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CINDY J. MATSON, CHC, CHPC
EXECUTIVE DIRECTOR COMPLIANCE

SANFORD HEALTH
A leader is one who knows the way, goes the way, and shows the way.  
John C. Maxwell

FIND A REASON

• Are they new? Are you new?  
• Maybe you just don’t know each other…  
• Create opportunities to share information  
• Compliance Updates – Meet & Greet – Quarterly Touch Base  
• Building a relationship requires INTENT  
• Identify influential and knowledgeable people and make it a point to meet them!
BUT I DON’T HAVE TIME FOR THIS

• Who are you and why do I care?
• Have an agenda – what are their challenges and opportunities
• Make an opportunity while there isn’t a burning issue
• Create TRUST now so it’s there when you need it
• Let them know they can count on you!

...AND I’M NOT OUTGOING

• Be authentic
• Be curious
• Be enthusiastic
• Show PASSION for your work
• Ask personal questions - show interest in them as a person
• Share information about yourself
FIND COMMON GROUND

• Ask open ended questions
  • Tell me about your operations?
  • What concerns you?
  • What are your goals?
• Discover what MOTIVATES them and what they get excited about
• Tell them why Compliance is important – in terms they can relate to
• Acknowledge their views and draw parallels

WHEN I’M NOT AT WORK 😊
Great things in business are never done by one person. They're done by a team of people.

Steve Jobs
BETTER TOGETHER

• Intentionally identify colleagues to **PARTNER** with and not just the obvious ones
• Identify business advantage
• Describe how their world is better with you involved
• Be a team player and contribute equally
• What’s in it for them?

MUTUAL GOALS FOR SUCCESS

• Brainstorm what can be done together
• Quick to listen, slow to speak
• Come with ideas
• Create the big picture
• **SELL** (communicate with enthusiasm) your vision
• Focus on the broader organizational agenda not just your own team’s
NO ELBOWS

- Invite them to your table - ask to be invited to theirs
- Enable, don’t compete
- Don’t hoard information - build INFLUENCE through collaboration
- Avoid saying “no” when possible – suggest alternatives
- Speak their language and explain yourself in terms they can relate to
- Stay humble
- Avoid the stick

EFFECTIVENESS

- Gain insight to their world and what they worry about
- More likely to report concerns
- Increase in PROACTIVE rather than reactive communication
- Show support during investigations
- Leaders influence and build the culture of your organization
Try to be a rainbow in someone's cloud.

Maya Angelou
CONTRIBUTE TO SUCCESS

• Focus on what is important to them
• Be a good business partner by identifying what they need from you
• Work toward common goals that align with big picture success
• Help them PREVENT disruptions from
  • Unanticipated regulatory issues
  • Investigations
  • Whistleblowers

LEAD WITH EMPATHY

• Having emotional intelligence is vital to a leader’s success
• Empathy is a key indicator of emotional intelligence
• Empathetic leaders are interested in the WELL-BEING of people
• Empathy is crucial to difficult compliance discussions
• Video: https://www.youtube.com/watch?v=c_XZ36b_aD1
“PEOPLE MAY NOT REMEMBER EXACTLY WHAT YOU DID OR WHAT YOU SAID BUT PEOPLE WILL NEVER FORGET HOW YOU MADE THEM FEEL.”
- Maya Angelou

EXPECT THE BEST

• Communicate your trust
• Have high expectations and share them
• Seek to **INSPIRE** those around you
• Say it!
  • I know you will do the right thing
  • I trust you
  • Good work!
  • You are fantastic!
• Create a positive vibe around compliance
CAREER GOALS

- Compliance programs (and YOU!) are here to help
- Media is strewn with stories of executives who did the wrong thing
- Serious compliance issues jeopardize:
  - Their job
  - Their **REPUTATION**
  - Their future at the organization
- Talk directly about career goals and how compliance support and protect executives

RETURN ON INVESTMENT

- Ask for favors
- Have a "plant" at meetings to ask important questions
- Get testimonials when something goes really well — and share them
- When they say **GOOD** things about you and your program, you win!
There are two things people want more than sex and money... recognition and praise.

Mary Kay Ash
SHOW APPRECIATION

• A simple thank you goes a long way
• Written notes are still in style
• Everyone loves chocolate or donuts or cupcakes or Starbucks or movie tickets or… you get the idea
• Ask others leaders to recognize for compliance related work
• These are the things that create that **POSITIVE** vibe
• Recognize often – make it a habit

CALL THEM OUT IN PUBLIC

• Shout out at cross-functional meetings
• Create a compliance **CHAMPION** recognition
• Recognize individuals and share what’s going well at Compliance Committee Meetings
WHAT DO PEOPLE SEE?

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NETWORKING
MAKE AN EFFORT

• Nothing ventured, nothing gained
• If you don’t try, you’ll never have the relationships
• Not everyone will be an ally
• Don’t miss OPPORTUNITIES
  • To make that connection
  • To contribute to the goals of the organization
  • To advance your own career
JOIN THE GANG

• Take advantage of or initiate social opportunities
• Be "normal"
• There is nothing unethical about having **FUN**
• Don’t compromise your own moral compass or misbehave
• People are more likely to relax and be more open away from the office

WHEN THINGS GET ROUGH

• Stand-up for others rather than blame – they will return the favor
• Your network will share information
• Difficult conversations are less stressful when you have a relationship
• Remember to engage with **EMPATHY** to preserve relationships
• You want to be a part of that team that works together to get things done when others are waiting for direction
EXTERNAL NETWORKING

- Add perspective on the compliance role
- Obtain a broader understanding of your industry
- Gain go-to colleagues to act as a **RESOURCE** and sounding board
- We grow by putting our self out there
  - Give a presentation
  - Write an article
  - Suggest a meeting
- Get active – volunteer or serve as a mentor
- Identify career opportunities
WHO BENEFITS WHEN YOU HAVE ALLIES?

• Your organization
• Your program
• Your network
• YOU!