



Building and Maintaining Strong Intra-Institutional Relationships for Compliance Initiatives

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Today's Objectives

By the end of this session, you will be able to:

- Articulate elements of successful intra-organizational relationships;
- Identify stakeholders in a variety of scenarios; and
- Leverage relationship-building techniques to gain buy-in and support.

What is your role at your University?

1. Chief Compliance Officer
2. Research Compliance Officer
3. Compliance Director/ Manager
4. Compliance Analyst/ Specialist
5. Other

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Agenda

- **Identifying Stakeholders**
- **Relationship Building**
 - Elements of Successful Relationships
 - Feedback
 - Communication



Identifying Stakeholders

For programs under your purview, how have you historically identified stakeholders?

1. Thoughtful and careful exploration and vetting
2. I was given a list (by my boss, predecessor, friend)
3. I am still working on identifying them
4. Um, isn't that why I am here?

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Key Stakeholder Types

Leadership	Peers and Colleagues	Campus Community	Partners
• Direct and Indirect Supervisor(s) • Institution Leadership • Community Leaders	• Partner Offices • Peers at Other Institutions	• Faculty • Staff • Scientists • Researchers • Students and Trainees	• Funders • Sponsors • Donors • Alumni
State and federal elected officials and agency officials			

Identifying Stakeholders

For each group (leadership, peers, community, partners), ask yourself the following:

- Who has formal or informal decision-making authority?
 - For my program?
 - For my project?
- Who is directly or indirectly impacted by the policies and procedures I own and enforce?
- Who has community influence? (Can be positive and negative)
 - Consider community broadly and narrowly: campus, among faculty, union, College of Medicine, researchers, sponsors, donors
- Who is key for your success? In what ways?
- Who can make program implementation easier?
- Is there someone who requested / established your program/ initiative/ office? Are there people who argued against it?

Understanding *why* someone is a stakeholder or partner can help you determine how best to establish, grow and strengthen the relationship

- [illegible]

Small Group Discussion

Identify two people who are critical to the success of a program you oversee or support. For those two people, reflect on the following:

- Do you have their support? Why or why not?
- What are steps you can take to build a relationship (or improve your relationship) with them?
 - This week?
 - This month?
 - This year

Relationship Building

What stakeholder relationship
has been hardest for you to
develop and/ or maintain?

1. Senior Leadership
2. Board of Trustees
3. Compliance Program Owners
4. Faculty/ Campus

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Elements of Successful Relationships

- Relationship building is an ongoing process, and it doesn't always happen quickly.
- We may have a formal, work-mandated relationship with a person within our organization, but that does not necessarily mean the relationship is strong or healthy.
- Successful relationships have many components; we will focus on three:
 - Trust and Respect
 - Feedback
 - Communication



Trust and Respect

- Develops over time, but initially, it may be dependent on our reputation and our relationships with others
- Often built through demonstrating:
 - Integrity
 - Accountability
 - Respect for others

Trust and Respect

Leadership
& Partners

Frequent communication (no surprises)

Transparency about program success and pain points

Peers

Knowledge sharing

Support and advice

Community

Clear guidelines and policies

Fair and consistent enforcement

How do you like to receive program feedback?

1. Surveys
2. Ad hoc
3. Program assessments
4. Focus groups/ discussions
5. My program is perfect, I need no feedback

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Feedback

- Feedback may take many forms
 - Solicited: Surveys, focus groups, feedback sessions
 - Unsolicited: Emails, meetings, social media posts, gossip/rumors
- Successful relationships encourage solicited and unsolicited feedback in both directions
- Ongoing process, that if well managed will improve your program and build trust and respect
- Part of a successful communication strategy

Feedback



Stakeholder Group	Solicited Feedback	Unsolicited Feedback
Leadership and Partners	• Executive steering committee • Regularly scheduled feedback meetings • Review and approval process	• Emails • Hallway conversations • Meetings • Rumors & gossip
Peers	• Surveys • Ad hoc or community committee • Document review	
Community	• Surveys • Comment form • Training evaluations • Focus groups	

Soliciting Feedback

- Proactively soliciting feedback can be a powerful tool for both relationship and program success
- When we solicit feedback, we should:
 - Provide stakeholders time to reflect
 - Ask both specific and open-ended questions
 - Demonstrate application of feedback, when appropriate and feasible
 - Request for feedback in multiple settings and styles
 - Balance requesting feedback about the program, the effectiveness of the relationship with the stakeholder and the work we are performing

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Receiving Feedback

- Once we have the feedback, how do we decide what to do with it?
- Do we share that feedback with others?
- Consider
 - Frequency of feedback
 - Source of feedback
 - Other data points that corroborate or contradict the feedback
 - Type of feedback

Feedback should be acknowledged, even if we choose not to implement it

Receiving Feedback

Some feedback may encourage a different course of action than what is recommended by the giver.

- “I don’t understand this, and I think you should end the program”
 - ☐ More training? Better communication?
- “This program isn’t working” or “This program is too expensive”
 - ☐ More frequent meetings or reports on project success?
- “Training is dumb and I don’t have time for it”
 - ☐ Consideration of different training modalities

Small Group Discussion

- What is your preferred communication format?
- What is the preferred communication format for leaders within your organization?
- What types of communication do you think you can leverage for better communication with an important stakeholder?

What is your preferred communication style?

1. In person
2. Phone call
3. Zoom
4. Email
5. Text/ Teams/ Slack
6. Never, ever talk to me?

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What is your boss' preferred communication style?

1. In person
2. Phone call
3. Zoom
4. Email
5. Text/ Teams/ Slack
6. Never, ever talk to me?

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Communication



o The best communication is

- Frequent
- Clear
- Relevant
- In the appropriate format for the audience

o Formats

- Written or verbal
- Formal or informal
- Direct or indirect

Communication Types

Communication Type	Leadership	Peers	Community	Partners
Small talk	X	X		
Direct Information sharing (email, reports)	X	X		X
General Information sharing (newsletters, email blasts)		X	X	
Presentations		X	X	X
Negotiation for time, resources and support	X	X		X
Meetings and Check-ins	X	X		X
Networking	X	X	X	
Mentoring and sponsorship	X	X		
Training		X	X	

Direct & Formal Communication

- Direct and formal communication are generally planned and occur on a regular basis
- Include reports, presentations, regularly scheduled outreach, program updates
- Generally, these are one-way communication
 - We are talking to the audience
 - Therefore, need to make sure there are opportunities for feedback
- Scheduling these communications can help hold all parties accountable
 - Consider creating a program Communication Plan

Training

- Training is a special type of communication that is crucial for program success
- Create well-developed, accessible training can help all stakeholders better support your program
- Training can take many forms
 - PDF/ written guide
 - Live or recorded presentations
 - Deskside training
- Training will likely need to be tailored for our different stakeholders

Thank you

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