

**W11: Turning the Tide of
Your Culture Without Being
Hit by a Tsunami**

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This Session Uses Polling

To participate in polling

Download "SCCE Mobile" in your app store. Then under the agenda find this session, scroll to the bottom and click "Poll Questions". Or go to PollEV.com/cei18 to answer the active poll.

Session Goals

1. Turn a *police and punish* compliance culture into a collaborative culture of compliance
2. Measure your cultural baseline to drive your work plan
3. Identify measureable improvements across time

HMS at a Glance  HMS makes the healthcare system work better for everyone. We provide the broadest range of solutions in the industry to help payers and at-risk providers improve financial and health outcomes.

Billions in cost savings annually

Solutions

- Health Management and Engagement
- Payment Integrity
- Coordination of Benefits

Clients

290+ health plans
650 employers
40+ state Medicaid agencies
3 federal agencies

100 million people under contract


18 of the 25 largest plans

Data

5.6 employees
3+ billion paid claims records
1.2 billion eligible registrars


2,500+ offices
25 states and districts
800+ IT staff
570+ hospital clients
+55 new programs

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Polling

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Who We are as a Group

- Have you have been at your current company 24 months or less?
- Have you ever conducted a **compliance focused** all-employee survey before?
- Do you feel genuinely supported by your CEO and Board?

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Have you have been at your current company 24 months or less?

Yes

No

Start the presentation to see live content. Still no live content? Install the app or get help at [PwE.com/app](https://www.PwE.com/app)

Have you ever conducted a compliance focused all-employee survey before?

Yes

No

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Do you feel genuinely supported by your CEO and Board?

Yes

No

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- Be ready for the answers if you ask the questions
- The good, the bad, and the ugly

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Survey Tips:

- ✓ Short and sweet
- ✓ Low cost
- ✓ Content specific
- ✓ Repeatable

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Our Survey

- Free on-line survey tool
- 13 questions
- A 14th 'free text' question
- Issued in 2016 (Baseline)
- Re-issued 2017 (Post measure)
- 15 months between baseline and first post measure

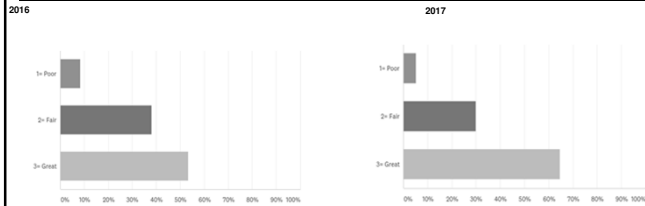
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*Our Survey
Continued*

- Issued to all employees throughout the organization
 - Full/part time
 - Remote/office based
 - Executives and entry level
- Anonymous responses
- Each employee able to respond once
- All new compliance team at our organization in 2016

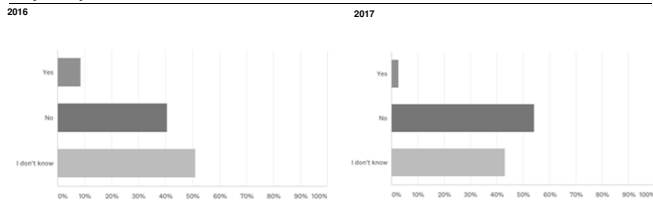
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Q1: If you have had a direct experience with a Compliance issue or interaction, on a scale of 1 to 3 (1= poor 2= fair and 3= great) how would you rate the experience?



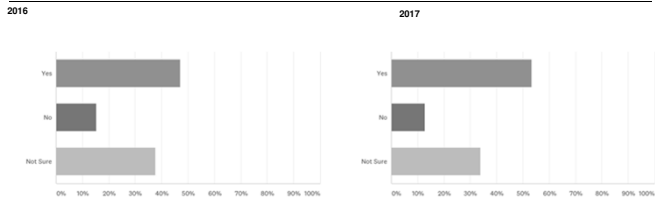
Responses	2016	2017
Poor	8.47%	5.31%
Fair	38.10%	29.95%
Great	53.44%	64.73%

Q5: Our Compliance staff seem like they “police” and “punish” more than they “help”.



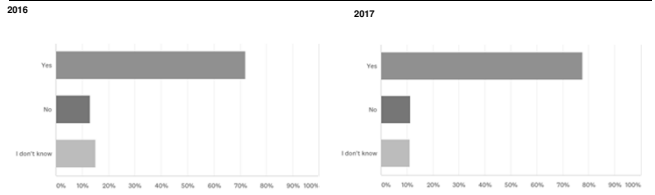
Responses	2016	2017
Yes	8.54%	2.66%
No	40.51%	54.26%
I Don't Know	50.95%	43.09%

Q7: I believe these reports really are anonymous.



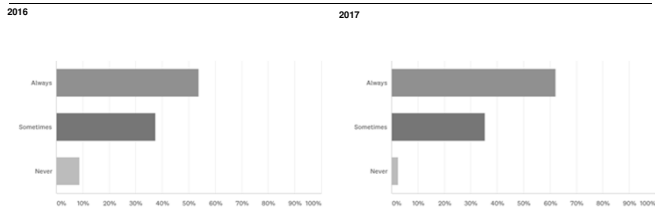
Responses	2016	2017
Yes	47.04%	53.32%
No	15.26%	12.73%
Not Sure	37.69%	33.95%

Q9: My direct supervisor/manager uses words and actions that convince me that Compliance is a top priority for my work team.



Responses	2016	2017
Yes	72.01%	77.51%
No	12.89%	11.38%
I Don't Know	15.09%	11.11%

Q12: I feel I receive Compliance training that relates to my day-to-day work.



Responses	2016	2017
Always	53.77%	62.20%
Sometimes	37.42%	35.39%
Never	8.81%	2.41%

Compliance Awareness Survey Results

Purpose: Annual employee survey conducted Q32016 to establish cultural baseline. Surveys were sent via email and responses were anonymous. We repeated the survey in December 2017. Opportunities and learnings are incorporated into HMS annual Compliance Work Plan.

Criteria	2016	2017	Change
Total # of Respondents	322	380	+18%
Favorable free text comments Q14 <i>How can compliance support you better? *</i>	26% (31 of 117)	46% (64 of 138)	+20%
Unfavorable free text comments Q14 <i>How can compliance support you better? *</i>	22% (26 of 117)	22% (30 of 138)	---
<i>I know how to call the hotline for anonymous reporting...</i>	85%	91%	+6%
Percent of employees rating their interaction with compliance as <i>poor, fair or great</i>	6% / 28% / 53%	5% / 30% / 65%	+12%
<i>I know where to quickly download compliance policies</i>	27%	29%	+2%
My supervisor/manager uses words and actions that convince me that compliance is a top priority for my team	72%	78%	+6%
<i>I can't recall the last time my direct supervisor discussed Compliance with team</i>	33%	26%	+7%
The amount of compliance training I receive is: too little / just right / too much	19% / 75% / 6%	11% / 83% / 6%	+8%

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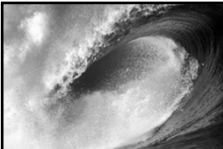
What We Learned



- Answers of “Don’t know” tell you a *lot*
- Progress is measured in multiple ways
- We still have work to do in several areas
- Survey fatigue
- Cultural change takes up to 5 years

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Potential Tsunamis



- Key leaders & executives that view compliance and ethics as a hindrance
- “Because our policy says so”
- Ignoring financial realities
- Department of “no”

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Facilitating Meaningful Change with Key Leaders

- Take the first step
- Schedule time when they are not *crunched*
- Offer assistance
- Admit you aren't necessarily a SME for their operations
- Ask about *their* challenges and goals
- Listen closely
- Ask meaningful questions
- Check in again



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Be a Great Partner

- Risk Tolerance
- Presence.....over and over
- Ask more than you 'tell'
- A Compliant 'yes'



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Erase These From Your Vocabulary

- How did you let that happen?
- What the *&\$(%&*' were you thinking?
- Hasn't this happened before?
- Didn't we fix this already?
- Did you read the Compliance policy?

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Take Away

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Turn Your Cultural Tide

- Are you usually showing up once things have gone awry?
- Partner to build reasonable solutions to complex regulatory issues
- Ask and thenaction

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*What's
Next??*

- Are you willing to go back to your organization and discuss an employee compliance survey with your CEO or CCO?
- Are you ready for the good, the bad, and the ugly?

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