

# SOFT DOES NOT EQUAL WEAK

Skills to support your success in compliance and ethics



## INTRODUCTION

- What – an overview of the interpersonal skills to help you be successful as a compliance and ethics professional
- Why
  - Subject matter expertise is not enough
  - If goal is to change behavior, it's about the people
  - Relationships can make all the difference in the success or failure of your program and your career

# COMMUNICATION

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## TIP 1 – LESS IS (USUALLY) MORE

- “If I had more time, I would have written less.” – Mark Twain
- Information saturation occurs in life and work
- Lengthy emails, articles, policies and procedures get lost in the noise
- Try some of these tips:
  - Incorporate bullets wherever possible
  - Set a word count limit and be ruthless
  - Walk away and take a break
  - Identify high impact channels that incorporate graphics or alternate media

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## TIP 2 – JUST KIDDING. MORE IS MORE

- Not words, but frequency
- Frequency builds familiarity, familiarity builds trust.
- Effective frequency is the number of times a “consumer” must be exposed to a advertising message before the marketer gets the desired response
  - Microsoft study found it takes between 6 and 20 exposures
- Applies to enterprise communications and smaller groups
  - Think Board of Directors and C-Suite peers

The Financial Brand

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## TIP 3 – KNOW YOUR AUDIENCE

- Crafting your message specifically to the audience will increase its relevance and impact
- Consider what’s most important from their perspective and what motivates them to action
  - Budget?
  - Metrics?
  - Risk?
- The higher up the org chart, the less time you’ll have
  - Less is still more, but be prepared with supporting data

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## TIP 4 – CONSIDER ANOTHER MOUTHPIECE

- Many employees will disregard messages from “corporate” but will pay attention to messages from their manager
- Depending on the message, it may be best delivered by someone else
- Many E&C topics overlap with other departments
  - Theft → Security
  - Diversity and Inclusion → HR
  - Intellectual Property → Legal
  - Fraud → Finance
- Taking a back seat may give the message more credibility
- Don’t forget to look up and down the org chart
  - CEO
  - Managers
  - Frontline supervisors

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## TIP 5 – TIMING MATTERS

- Can the organization handle more change?
- Be mindful of competing agendas and priorities
  - Coordinate communication schedule with other business units and/or corporate communications
    - Busy season, storms, etc. for customer service
    - “Close” periods for finance and accounting
    - Vacations, etc. during the summer
- Capitalize on complementary messages
  - Ex. Emphasis on innovation and design → messages about intellectual property

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# COLLABORATION

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## TIP 1 – IDENTIFY YOUR ALLIES.. AND ENEMIES

- 3 Key questions:
  - First things first: Who's important to your goals?
  - Next: Do they support you?
  - Last: How effective are they?
  
- If they're effective but against you, they can be the reason your initiative fails.
- Prioritize meetings with those who are effective but need convincing first.

COLLABORATION

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## TIP 2 – LEVERAGE COMMON GOALS

- “What’s in it for me?”
- An example:
  - Improved engagement of craft and union workers
    - Use of mobile technology
    - Engagement scores
    - Tailgate meetings
  - Increased conversations around respect
    - Combined report to audit committee
    - Joint message to enterprise
    - Co-sponsored training and communications

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## TIP 3 – PROMOTE EFFICIENCIES

- If it’s easier for them, they’ll usually go for it
- Multiple inputs from stakeholders can lead to an improved solution
- Distributed work can help divide and conquer
- Particularly effective for communications
  - Business units are often looking to fill newsletters, etc.

COLLABORATION

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## TIP 4 – INVITE OTHERS TO THE TABLE

- Always hear about compliance being left out of critical conversations
- We are just as guilty as overlooking others at times
- Can be time consuming on front end, but gaining buy-in is a key to long-term success
  - Especially in larger organizations
- Consider holding recurring meetings with key allies
  - Corporate communications usually has an ear to the rest of the organization and knows about upcoming initiatives

COLLABORATION

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## TIP 5 – THEN SIT NEXT TO THEM

- Brene Brown – Engaged Feedback Checklist
  - “I’m ready to sit next to you, rather than across from you.”
- Where you sit is just as important as having a place at the table, and can send a strong message about your willingness to collaborate
- Sitting across can feel accusatory and confrontational, even if it isn’t meant that way
  - Can allow a problem to come between you, or worse for one party to slide it towards the other
  - Sit on the same side, problem is in front of you both

COLLABORATION

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# NEGOTIATION

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## TIP 1 – LAY THE FOUNDATION

- Refer back to the slides on collaboration
- Knowing your audience and having a pre-established relationship will make things much easier
- Even if relationship is less than favorable, it's still a known entity

NEGOTIATION

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## TIP 2 – DO YOUR HOMEWORK

- Know what key issues are at stake
- What do they need?
- Are they under any pressure from other sources?
- Can't explain how solution benefits them if you don't know what matters to them

NEGOTIATION

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## TIP 3 – RISE ABOVE

- Take a step back and look at the big picture
- Rise above the details
- Would losing this battle be beneficial for the bigger strategy?
- Put your emotions aside and keep it professional
- Take the high road if things get tense

NEGOTIATION

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## TIP 4 – MAKE THE TRIP

- Trust is built through connection
- Phone calls and video conferences are impersonal and cold
- Taking the time and resources to be in-person demonstrate the importance of the conversation

NEGOTIATION

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## TIP 5 – COME PREPARED

- Develop a preferred outcome in advance, but identify all possible contingencies
- What else could you offer if proposal is not satisfactory?
- What else could you ask for if ideal outcome is impossible?
- Having several bargaining chips of various importance and feasibility will give you options

NEGOTIATION

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# INFLUENCE

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## TIP 1 – BITE YOUR TONGUE

- May seem counterintuitive, but sometimes you need to know when to bite your tongue
- Importance of active listening, rather than speaking
- Key components:
  - Pay attention
  - Withhold judgement
  - Reflect
  - Clarify
  - Summarize
  - Only then, share

INFLUENCE

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## TIP 2 – STRIVE TO UNDERSTAND AND RELATE

- Seek the other's perspective, rather than solely promote your own
- Identify what matters and find similarities to create connection
- What do you have in common?
  - Sports teams?
  - Children's activities?
  - College alumni?

INFLUENCE

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## TIP 3 – KNOW YOUR STUFF

- Credibility counts
- The more people can poke holes in your argument, the less they will respect you
- Consider possible counter arguments
- Have data and support in your back pocket

INFLUENCE

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## TIP 4 – ACT WITH INTEGRITY

- Simple definition – “Doing what you say you’re going to do.”
- Avoid making commitments you cannot keep
- Communicate often and early to manage expectations, especially if circumstances change and you cannot deliver
- Model the ethical and compliance expectations you expect from others, even if it makes things more difficult
  - If you want others to follow the rules, you can’t be the exception

INFLUENCE

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## TIP 5 – BE ASSERTIVE, BUT NOT AGGRESSIVE

- Those who consistently fail to stand their ground will appear weak and ineffective
- Important to stand up for yourself and your agenda without disregard for the other parties
  - It’s about balance
  - Learn when and how to say no
  - Be open to feedback and criticism
  - Create talking points ahead of time and practice
  - Role play difficult conversations with a trusted peer

INFLUENCE

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# NETWORKING

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## TIP 1 – MAINTAIN YOUR PERSONAL BRAND

- LinkedIn Profile
- Business Cards
- Announce attendance at events so others know they can find you there
- Think about others first. Makes networking more palatable to others.
- Consider your attire

NETWORKING

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## TIP 2 – IDENTIFY INDIVIDUALS FOR TARGETED INTERACTIONS

- Review lists of presenters ahead of time and make a list of people you'd like to meet.
- Remember there is no chain of command, so long as you're respectful
- Talk to the SCCE staff – they know everyone and are always helpful
- Keep an eye out for folks who you see attending the same sessions as you.

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## TIP 3 – DO EVERYTHING

- Pre and Post conference sessions are usually longer and often contain breakout activities which are great for meeting new people
- Attend the social functions, including yoga, volunteering, tailgate, and cocktail hours
- Talk to the vendors – they have solutions to your problems!

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## TIP 4 – MAKE IT EASY

- Wear your name badge – easy recognition and conversation starter
- Talk to folks 1:1 – easier than inserting yourself into a conversation already in progress
- Have some conversation starters prepared ahead of time
- Talk to presenters after the session. We appreciate feedback!

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## TIP 5 – MAINTENANCE MATTERS

- Connect with your new friends online
- Share content you think may be useful
- Show support by interacting with others (likes, shares, comments)
- Create your own content.
- Sign up to Present next year.
- Join a local network or form a new one if the need exists

NETWORKING

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