The Seven Habits of an Effective Compliance & Ethics Professional

SCCE Compliance & Ethics Institute 2018
Las Vegas, Nevada

Daniel R. Roach, JD
Chief Compliance Officer, Optum360
October 21 – 24, 2018

The Challenge

• It’s a complicated world
• Skewed Incentives
• Boards & Management don’t know what to do
• “We have good people”
• Effectiveness requires courage and hard work
1. Study Human Behavior

Ethics
- Perception: __________________________
- Reality
  ➢ Cheating
  ➢ Resumes
  ➢ Stealing
  ➢ Reporting
- Culture: the impact of authority and systems

2. Life-long Learning

• Study/work hard
• Observe successful people
• Read the newspaper
• View every challenge/mistake as a learning opportunity
• Solicit constructive feedback
3. Position Yourself for Success

- Who/What am I?
- Why am I here?
- The authority dilemma
- Leverage
- Don’t take yourself too seriously
- Share credit/hoard criticism

4. Problem Solve

- Solutions or obstacles?
- Understand the problem
- Keep it simple
- Hire people ________________ and ________________!
5. Align Incentives

Problem: Incentives are skewed

Solution:
- Specific, measurable objectives
- Link to compensation
- Transparency
- Culture matters

Beware of the non-solution: ________________

6. Be Courageous

- Practice difficult/courageous conversations
- Listen carefully
- Think before you speak (send)
- Attack the problem, not the person
7. Be a Role Model

• Talk and walk the talk
• Accept responsibility
• Stay calm (particularly in a crisis)
• Admit mistakes – the two most disarming words in the English language are “____________”

Resources

Why It’s Hard to Be Good, Al Gini, Rutledge 2006
The Lucifer Effect: Understanding How Good People Turn Evil, Philip Zimbardo, Random House 2008
The Seven Signs of Ethical Collapse: How to Spot Moral Meltdowns in Companies . . . Before It’s Too Late, Marianne M. Jennings, J.D., St. Martin's Press 2006
How to Pad Your Expense Report . . . And Get Away with It, Employee X, Easy Money Press 2005
Crucial Conversations: Tools for Talking When Stakes are High, Kerry Patterson et. al., McGraw-Hill, 2002
Resources

Chapter 8 – Part B. Remedying Harm from Criminal Conduct, and Effective Compliance And Ethics Programs.

2013-index-0


Questions