
The Seven Habits of an Effective Compliance & Ethics Professional

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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



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1. Study Human Behavior

Ethics

- Perception: _____
- Reality
 - Cheating
 - Resumes
 - Stealing
 - Reporting
- Culture: the impact of authority and systems



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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: _____

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6. Be Courageous

- Practice difficult/courageous conversations
- Listen carefully
- Think before you speak (send)
- Attack the problem, not the person

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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 “_____”

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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
Reebok Rules, John B. ("Jack") Douglass III, ACCA Docket, 1992.
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
Difficult Conversations: How to Discuss What Matters Most, Douglas Stone et. al., Penguin Books 1999



Resources

2013 Federal Sentencing Guidelines, Organizations, Chapter 8 – Part B, Remedying Harm from Criminal Conduct, and Effective Compliance And Ethics Programs.

<http://www.ussc.gov/guidelines-manual/2013/2013-index-0>

Building a Career in Compliance and Ethics, Joseph E. Murphy, Joshua H. Leet, Society of Corporate Compliance and Ethics, 2007.



Questions


