The Seven Habits of an Effective Compliance & Ethics Professional

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1

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

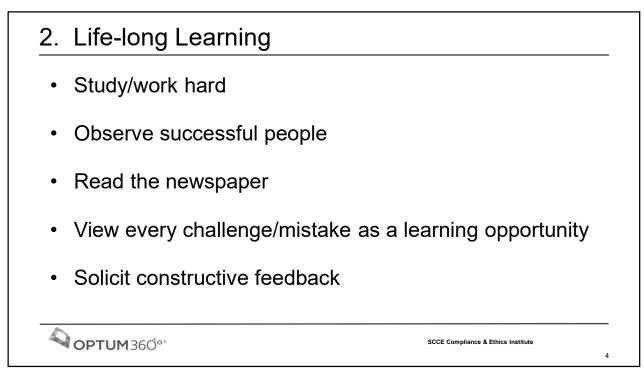
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2

2

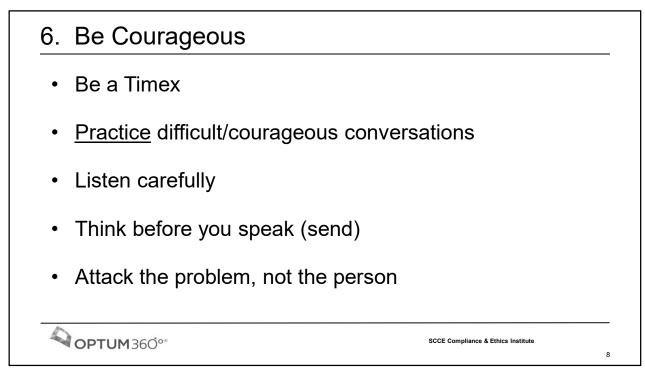
1. Study Human Behavior	•
Ethics	
- Perception:	
- Reality	
Cheating	
Resumes	
Stealing	
Reporting	
- Culture: the impact of	authority and systems
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•	Share credit/hoard criticism	
•	Be a team player (Don't take yourself too seriously)	
•	Be obsessively responsive	
٠	Leverage	
•	The authority dilemma	
٠	Who/What am I? Why am I here?	
3.	Position Yourself for Success	

4. Problem Solve	
Understand the problem	
Eliminate the word "No" from your vocabulary	•
Keep it simple	
Hire people and!	
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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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7. Be a Role Model

- Teach
- 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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9

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Resources		
Why It's Hard to Be Good, Al Gini, Rutledge 2006		
The Lucifer Effect: Understanding How Good People Turn		
<u>Evil</u> , Philip Zimbardo, Random House 2008		
Reebok Rules, John B. ("Jack") Douglass III, ACCA Docket, 1992	2.	
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		
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Resources		
2013 Federal Sentencing Guidelines, Organizations. Chapter 8 – Part B. Remedying Harm from Criminal Conduct, and Effective Compliance And Ethics Programs.		
<u>http://www.ussc.gov/guidelines-manual/2013/</u> 2013-index-0		
<u>Building a Career in Compliance and Ethics</u> . Joseph E. Murphy, Joshua H. Leet, Society of Corporate Compliance and Ethics, 2007.		
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