Roy J. Snell  
Co-Founder SCCE/HCCA  
Strategic Advisor SCCE/HCCA

Walter E. Johnson  
Assistant Privacy Officer  
Inova Health System

SCCE DC Regional Conference

“For those in search of the ‘secret sauce’ to being an effective compliance professional ... look no further. Roy so eloquently (and practically) captures many of the key ingredients in his book and does so with lessons learned, wisdom, humor and humility.”

Jenny O’Brien
“Go right to Chapter 8. If you don’t agree with this chapter, then don’t read this book. In fact, don’t go into compliance at all. Do something else completely. But if Chapter 8 hits you, then read this book and become a compliance and ethics professional.”

Joe Murphy, Senior Analyst, Compliance Strategists
15 TIPS FOR HONEST CONVERSATIONS

1. Talk about important facts with the same disposition as ordering a cheeseburger.
2. Often smile as you speak and remain delightful when others don’t.
3. Ask questions after sharing something significant.
4. Don’t criticize others’ truth or try to turn yours down their threat.
5. Get to the point quickly and don’t feel a need to talk all the time.
6. Don’t interrupt.
7. Read people well and know how to push an issue.
8. Study how people in the discussion are doing.
9. Discuss in an agreeable way and ask questions to help others see what they are missing.
10. Listen, see what others are not seeing, and share.
11. Not while talking, not necessarily in agreement, but interested to encourage others to talk.
12. Love the process of sharing truths with others more than you want to change them.
13. Don’t argue, have a conversation.
14. Look for the proper time to jump in and let others share their truths first.
15. Use humor, typically self-deprecating humor, to let everyone know everything is okay after a tough conversation.

10 PRINCIPLES OF BEING A COMPLIANCE PROFESSIONAL

1. Implement all elements of a compliance program.
2. Respond to concerns and complaints related to ethical and legal violations.
3. Never compromise when faced with resistance to facing serious problems, and don’t overreact to small problems.
4. Remain unbiased, un-conflicted, and neutral during problem investigation and resolution.
5. Have independence, authority, and responsibility for finding and fixing legal and ethical issues.
6. Report resistance to resolving significant issues and impediments to implementing a compliance program.
7. Ensure compliance problems are fixed, rather than just adored to be fixed.
8. Delegate to other departments elements of a compliance program without giving up authority to ensure compliance-related tasks are completed.
9. Facilitate support for the compliance program from leadership, and communicate that support to employees.
10. Collaborate with leadership to resolve problems in an positive and resourceful manner.
ROY-ISM
The compliance department is not the department of “no,” it’s the department of “know.”

ROY’S RULE
Be understanding of people who make mistakes and don’t write them off forever. Keep watching them, because some people take their mistakes and use them to improve themselves.

ROY-ISM
Money, power, and influence are no match for a high emotional IQ and the facts.
Purchase your copy of the book at the registration desk today!

Then . . . get your book signed! Roy will be available for signings during the breaks.