



# Compliance TODAY

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Fortis Management Group, LLC

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by Roy Snell, CHC, CCEP-F

# Compliance officer's nine lives

*Please don't hesitate to call me about anything any time.*

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Compliance professionals must master some elements of about nine professions to be successful.

- ▶ Legal
- ▶ Ethics
- ▶ Risk
- ▶ Audit
- ▶ Investigations
- ▶ Education
- ▶ Organizational Development
- ▶ Operations
- ▶ Communications



Snell

I may not have this list right, but its close enough to make a point. On any given day, at any given moment, a compliance professional needs a working knowledge of all of these professions to be successful. The reason compliance programs are successful is because compliance officers use all of these tools in a coordinated fashion to prevent, find, and fix ethical and regulatory problems.

I am often told that compliance is all about audit, legal, risk, ethics, etc. It's just not true. Compliance is an orchestration of all these skills. If you focus on one of these skills and ignore most of the rest, it's almost impossible to succeed. Look at the agenda of our annual meeting. We have people from all of these professions speaking. Compliance professionals who study and use all of these tools are more successful. Most other compliance conferences

focus on audit, legal, ethics, risk, or investigations. You can't be an effective compliance professional by focusing on just one of these skill sets.

Why is the compliance officer's job hard? It's hard for a number of reasons. One of the unspoken reasons is that this job requires a working knowledge of many professions. Most compliance professionals came from one of these professions, and these professions are a great place to start from. However, we can't have people telling leadership, "It's all about

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an ethical culture" or "It's all about the law," etc. This is why giving compliance to some other existing department is so problematic. They tend to do what they always have done and stick with what they know. What we have always done hasn't worked. What we need to do is help leadership understand that a compliance professional's job is an amalgamation of all these professions. Maybe sharing a list like this with leadership might help. ☺