

**Getting to Effective:**  
**What is Your Compliance Value Proposition?**

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1



2

## Purpose of a Compliance Program

- Creating a culture that promotes ethical behavior
- Ensuring that the organization meets its regulatory obligations

3

## Articulating Your Objective

- **Objective:**  
Develop a strategy for effective compliance and support accountable business leaders in implementing that strategy
- This will be achieved through:
- Translate values into actions
  - Clear outcome measures
  - Standardized processes, tools, and accountabilities
  - Governance structure and process
  - Tracking, oversight and reporting of outcomes

4

## **Compliance Program Model**

- Compliance model follows the business model
- Lifeguard vs. Cop
- Scope of Compliance Program
- Compliance as a “flashlight”

5

## **Fulfilling the Compliance Commitment**

- Employee and manager responsibility and accountability
- Policy development
- Code of Conduct
- Education, training, and communication
- Reporting
- Monitoring
- Auditing
- Ongoing evaluation and strategy

6

## Compliance Program Value Proposition ...

- Develop the strategy for business leaders to ensure the organization is positioned to meet its regulatory obligations
- Support business leaders in creating a culture that promotes ethical behavior – one that is guided by the mission, vision, and values

7

## Compliance Program Value Proposition ...

- The What:
  - Aligns with the business
  - Operationalize “prevent, detect, correct” discipline and rigor on high-risk issues
- The Ask:
  - Your Role: Drive Business Accountability
    - Be Specific
    - Insight Driven Reporting

8

## Compliance Program Value Proposition ...

- What is your Value Proposition?
- Example:
  - *“Compliance 2.0 is a compliance strategy that aligns with the business model. We are operationalizing the Prevention, Detection and Correction discipline and rigor and driving business accountability across all UHC segments.”*
  - And here is what I need from you as we support your <name business priority> efforts ...
    - <make the ask>
    - <make the ask>
    - <make the ask>

9

## Let's Talk About Skill Set

- IQ vs EQ
  - Do you have strong communication skills – especially active listening?
  - Can you understand, interpret and respond to the emotions of others?
  - Can you change language, tone, pitch to suit audience?
  - Can you own the room?
  - Do you have courage of conviction
- Top Ten Compliance Skills List
  - Visibility
  - Trust & Rapport
  - Communication
  - Role Clarity
  - Role Model
  - Persistence and Rigor
  - Analytical and Objective
  - Informal Power
  - Transparency
  - Poker Face

10

## [ It's All About Leadership... ]

- Act Like a Leader
  - Embrace it and own it
- Think Like a Leader
  - Strategic approach to influencing
- Communicate Like a Leader
  - Language, tone and agility

11

## [ It's All About Leadership... ]

- Introverts v. Extroverts
  - All styles get results
- Body Language
  - Perception = Reality
- Charisma
  - Power, presence and warmth

12

## The Seven Elements of Influence



13

## Influence

- Collaboration
  - Know, Acknowledge, Use Skills of Others
- Communication
  - Be Relevant
- Relationships
  - Trust and Rapport

14

## Influence

- EQ v IQ
  - Know, Acknowledge, Use Skills of Others
- Negotiation
  - Ask Questions and Listen
- Strategic Thinking
  - Alignment with Business Priorities
- Leverage
  - Full circle and back to the “Value Proposition”

15

## Influencing Change

*“The secret is to always  
let the other person  
have your way.”*

*Claiborne Pell*

16





17

## [ Questions ]

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18