## The Seven Habits of an Effective Compliance & Ethics Professional

HCCA Minneapolis Regional Compliance Conference Minneapolis, MN

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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	
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Position Yourself for Success	]
<ul><li>Who/What am I?</li><li>Why am I here?</li></ul>	
The authority dilemma	
• Leverage	
Don't take yourself too seriously	
Share credit/hoard criticism	
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4. Problem Solve	
Solutions or obstacles?	
Understand the problem	
Keep it simple	
Hire people and	
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5. Align Incentives	
Problem: Incentives are skewed	
Solution:  • Specific measurable objectives	
<ul><li>Specific, measurable objectives</li><li>Link to compensation</li><li>Transparency</li></ul>	
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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