

Compliance Program Value Proposition 2.0

Evolving Your Program and Your Leadership

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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

Compliance Program Value Proposition ...

Guiding Principles for Your Program

- Our program translates our values into actions
- Business operational leaders are responsible for compliance
- We will develop a strategy for effective compliance and support business leaders in implementing that strategy
- Our regulatory relationships are fundamental for our organization's success
- We will create clear accountability around compliance and foster open, honest and clear communications about our outcomes

[Compliance Program Value Proposition ...]

■ **The What ...**

- Aligns with the business model
- Operationalize Prevention, Detection, Correction discipline and rigor on high risk areas

■ **The Ask:**

- Your Role: Drive Business Accountability
 - Be Specific
 - Insight Driven Reporting

[Launching Yourself into Effective 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

Launching Yourself into Effective Leadership ...

■ Introverts vs. Extroverts

- All Styles Get Results

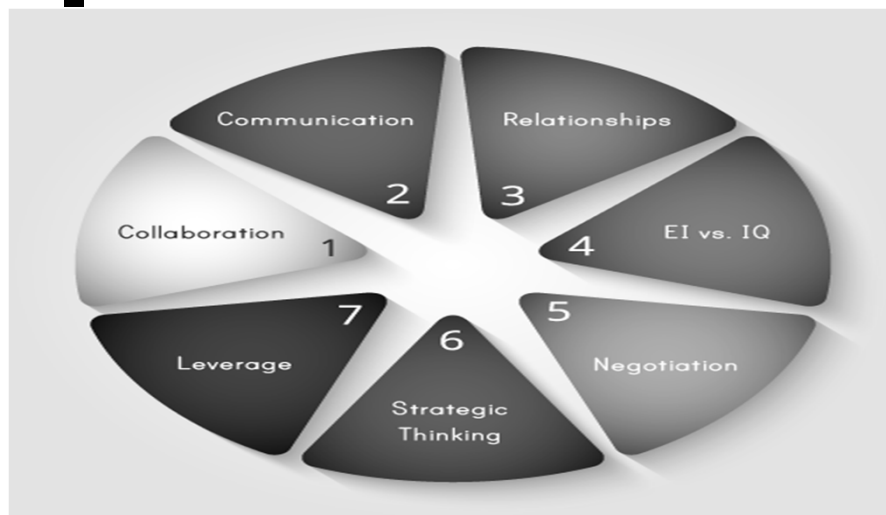
■ Body Language

- Perception = Reality

■ Charisma

- Power, Presence, Warmth

The 7 Elements of Influence ...



[The 7 Elements of Influence ...]

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

[Launching Yourself into Effective Leadership ...]

- **EQ v. IQ**
 - Self Aware = Self Regulate
- **Negotiation**
 - Ask Questions and Listen
- **Strategic Thinking**
 - Evolve and Align with Business Priorities
- **Leverage**
 - We're back to the "Value Proposition"

[Compliance Skillsets ...]

Test Yourself and Your Team:

- Can you own the room?
- Do you have courage of conviction?
- Do you have effective communication skills – especially active listening?
- Can you read people?
- Can you lead with informal power
- Do you have a poker face?
- Do you favor humility over hubris?

[Strategic Compliance]

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

Claiborne Pell

