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 ...
 - $\circ \quad \text{Aligns with the business model} \\$
 - Operationalize Prevention, Detection, Correction discipline and rigor on high risk areas
- The Ask:
 - o Your Role: Drive Business Accountability
 - Be Specific
 - Insight Driven Reporting

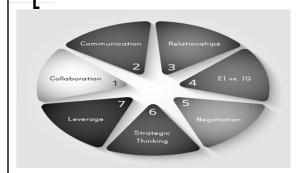
Launching Yourself into Effective Leadership ...

- Act Like a Leader ...
 - o Embrace It and Own It
- Think Like a Leader ...
 - o Strategic Approach to Influencing
- Communicate Like a Leader...
 - o Language, Tone and Agility

Launching Yourself into Effective Leadership ...

- Introverts vs. Extroverts
 - o All Styles Get Results
- Body Language
 - o Perception = Reality
- Charisma
 - o Power, Presence, Warmth

The 7 Elements of Influence ...



The 7 Elements of Influence ...

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

Launching Yourself into Effective Leadership ...

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

Compliance Skillsets ...

Test Yourself and Your Team:

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

Strategic Compliance

"The secret is to always let the other person have your way."

Claiborne Pell

