

The Accidental Compliance Professional:

Lessons Learned from 23 Years in the Industry

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My Accidental Entry into Compliance

My CEO read one sentence from a CIA and I was in compliance.

Started the Health Care Compliance Association in 1996

Started the Society of Corporate Compliance and Ethics in 2004

After years of suffering and learning, I wrote *The Accidental Compliance Professional* in 2019.



My Experiences and Lessons Learned

17 lessons learned while serving as a compliance officer and as CEO of HCCA and SCCE

I learn from doing—and making mistakes.

This book is about the lessons I learned from those experiences and how they apply to running a compliance program.

Lesson 1: How to Handle “The Big One”

Lesson 10: Sowing Seeds of Compliance around the World



Lesson 1: How to Handle “The Big One”

“Moments like that rant were one of ‘The Big Ones’ a compliance professional occasionally runs into. It’s one of those times in an organization’s history when a compliance professional has to make a choice—either stand up and personally take the negative consequences of pointing out misconduct or run for your life and let your organization face bigger consequences later.”

Lesson 1: How to Handle “The Big One”

Roy’s Rule

- Stay focused on the problem, don’t react, and never back down, even in the middle of “The Big One.”

Roy-isms

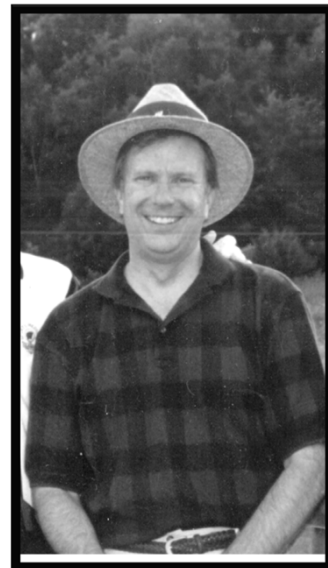
- Money, power, and influence are no match for a high emotional IQ and the facts.
- Don't just talk the talk—walk the walk. Be strong and carry, but rarely use, a big stick.

Spotters: Why You Need Them

What does a good spotter do?

My CEO and mentor Marc Dettmann was my spotter.

How do you find a spotter in your organization?



Implementing a compliance and ethics program is not rocket science.

Unethical Bullies vs. High-integrity
Cowards =

Unethical Bullies Win

Use tools that have been around forever
and mix in some strong interpersonal
skills and strength.

What is rocket science are the skills and
strength needed to hang in there and fix
the problem despite occasional
resistance.

Unethical Bullies vs. High-integrity
Heroes =

High-integrity Heroes Win

After “The Big One”: The Rest of the Story

It took a while, but we fixed the problem and corrected the mistakes the man had made over the past few years.

As a result, the compliance department gained a little street cred.

My guess is a few other problems fixed themselves.

People responsible for those mistakes saw that I would not back down—I would get around to them eventually.

Questions?



After 23 Years . . . My Next Office

- Around 23 years ago, I starting hanging out with compliance people. You are who you hang around with all day. I am a better person for having hung around you.
- Stepping down as CEO of HCCA and SCCE has caused me to reflect on my career and how I'll feel in my remaining years about what I've accomplished.
- With the help of many other wonderful people, we built something meaningful that will continue to help people long after we are gone.



If you're looking, you'll be able to find me in my next office—either my shop or the remote Canadian woods . . . pretty far from most regulations.