Implement a Compliance Marketing Strategy -
Engage Your Employees and Change Your Culture

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Agenda

1. Introduction – implementing a compliance brand
2. Looking back / looking forward
3. What is a brand?
4. Brand breaker
5. UnitedHealthcare’s Medicare and Medicaid compliance brand
6. The product behind the brand
7. Internalizing the brand
8. Building your brand
9. Why compliance -- and building a brand to support it -- matters
10. Wrap up
What is a brand?

Brand is the **PERSONALITY** *that identifies* your product, and shows how it relates to key constituencies: customers, staff, partners and investors.
Branding seeks to develop the expectations behind the experience, creating the impression that your program has certain characteristics that make it unique.

When you need to blow your nose, what do you use?
Benefits of compliance branding:

» Clarifies your purpose and ensures sustainability
» Validates your organization’s core values
» Builds employee loyalty and enthusiasm among your constituents
» Creates a work environment that attracts and retains the "right" talent
» Makes compliance real: aligns internal culture with your external reputation and words with actions
Save money. Live better.

Expect more. Pay less.
Think Different

You're Not You When You're Hungry
Brand Breaker

» Take 5 minutes
  - Write down an idea of what your compliance brand could be based on the key attributes of your program.
  - Turn to the person next to you, share your brand idea and get their feedback.
Video – Compliance is our Rock

Unitedhealthcare’s Medicare and Medicaid compliance brand
"Serving 75 million people in an area so vitally human as their health, we have a huge responsibility as an institution and as individuals to always act with integrity. . .”

— Steve Hemsley, UnitedHealth Group President & CEO
Compliance – a cultural imperative

Our mission is to help people live healthier lives.
Our role is to make health care work for everyone.


Honor commitments
Never compromise ethics
Walk in the shoes of people we serve
and those with whom we work
Build trust through collaboration
Invent the future, learn from the past
Demonstrate excellence
in everything we do

Compliance – we all own it!

» What can you do to support compliance?
  ▪ Stop. Think. Ask. It’s important to do the right thing the first time.
  ▪ Understand and follow company policies.
  ▪ Protect the confidentiality of member data and company information.
  ▪ Cultivate business relationships that are free of conflicts of interest.
  ▪ Report ethics or compliance concerns immediately.
Compliance – we all own it!

» Where do I go when I have a question?
  - Your manager
  - HRdirect at (800) 561-0861
  - Your compliance leader or legal counsel
  - Ethics & Compliance HelpCenter at (800) 455-4521
  - Compliance page on intranet

Guiding Principles

- 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.
Corporate Responsibility and Compliance Program

» The purpose of the Corporate Responsibility and Compliance Program is to ensure operational accountability for compliance with the obligations that govern our business.

» This will be done through:
  - Clear outcome measures
  - Standardized processes, tools and accountabilities
  - Governance process and structure
  - Tracking and oversight

Your Compliance Contacts

Chris Zitzer –
Compliance Officer
UnitedHealthcare
Community & State

Jenny O’Brien –
Compliance Officer
UnitedHealthcare
Medicare & Retirement

David Orbuch –
Chief Compliance Officer
UnitedHealthcare,
Government Programs
The way forward

» We believe:
  - We must be an enterprise that represents the highest level of personal and institutional integrity.
  - With integrity, people and institutions will want to work with us, and our core purpose will not be compromised.

Internalizing the brand
Measuring the ‘compliance’ impact

» Employees – Vital Signs
» Organization – Compliance Scorecard
» Stakeholders – “meet and exceed”
  ▪ Regulators
  ▪ Members

Ethical Compliance Dimension of Vital Signs

» Ethical Compliance – measures the extent to which employees understand and feel empowered to act in response to violations of ethical standards
» Ethical Standards – measures the extent to which leadership is seen to behave ethically and reinforce a commitment to personal and professional integrity
Examples of engagement questions

» If I witnessed or heard about unethical behavior, I would know what to do about it.

» If I were to witness an unethical or illegal act, I would feel free to report it.

» In the past year, I have not felt pressured to compromise our values to achieve business objectives.

» I know where to find information and support to help me make a tough ethical decision.

Compliance Scorecard – Organizational Measurement

Quarterly Performance

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Rating:
Stakeholders

» Members
» CMS

Employee engagement in compliance
“Rock Bands”
Building your brand

Leveraging communications to build your brand
Video – National Compliance Week

Know your stakeholders

» Executive leadership
» Functional leadership
» Employees
» Business partners / vendors
Develop your messages

Key Messages

General
- Business operational leaders are responsible for compliance. Our compliance team actively collaborates with business leaders to foster compliance. We develop a strategy for effective compliance and support leaders in implementing that strategy.
- Our strategy includes:
  - Setting measurable goals
  - Creating common processes, tools and accountabilities
  - Developing Governance process and structure
  - Providing tracking and oversight
- Our regulatory relationships are fundamental for our organization's success and business growth. We're developing a stronger, deeper relationship with our regulators and becoming a trusted advisor.

Call to Action
- Stop, think and ask when you have a concern — we need to get it right the first time.
- Meet and exceed the expectations of our regulators, members and providers.
- Understand and honor our commitments.
- Protect the confidentiality of member data and company information.
- Cultivate business relationships that are free of conflicts of interest.
- Report ethics or compliance concerns immediately.
- Contact your manager or compliance leader.
- Visit the Compliance & Ethics HelpCenter or call 1-800-455-4521.

Develop and implement your communication plan
How marketing your compliance brand makes a difference
» Creates your “personality”
» Sets expectations
» Reinforces behavior
Why compliance -- and building a brand to support it -- matters

» Accountability
» Performance
FraudFighter Campaign

» Objective:
  ▪ To increase detection and reporting of fraud, waste or abuse

» Target audiences:
  ▪ Customer Care, Billing, Reconciliation, Enrollment and Claims

» Launch date:
  ▪ Week of April 25 desk drop: mousepad and comic book
Video – FraudFighter Campaign

Wrap up
Brand Challenge

» Burn your compliance brand into the mind of your employees:
  ▪ The word "brand" is derived from the Old Norse brandr meaning "to burn."
  ▪ It refers to the practice of producers burning their mark (or brand) onto their products.
Questions.

Thank you.