The Seven Habits of an Effective Compliance & Ethics Professional

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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
1. Study Human Behavior

Ethics
- Perception: __________________________
- Reality
  - Cheating
  - Resumes
  - Stealing
  - Reporting
- Culture: the impact of authority and systems

2. Life-long Learning

- Study/work hard
- Observe successful people
- Read the newspaper
- View every challenge/mistake as a learning opportunity
- Solicit constructive feedback
3. Position Yourself for Success

- Who/What am I?
- Why am I here?
- The authority dilemma
- Leverage
- Don’t take yourself too seriously
- Share credit/hoard criticism

4. Problem Solve

- Solutions or obstacles?
- Understand the problem
- Keep it simple
- Hire people ________________ and ________________!
5. Align Incentives

Problem: Incentives are skewed

Solution:
• Specific, measurable objectives
• Link to compensation
• Transparency
• Culture matters

Beware of the non-solution: ________________

6. Be Courageous

• Practice difficult/courageous conversations
• Listen carefully
• Think before you speak (send)
• Attack the problem, not the person
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 “______________”

Resources

- Why It’s Hard to Be Good, Al Gini, Rutledge 2006
- The Lucifer Effect: Understanding How Good People Turn Evil, Philip Zimbardo, Random House 2008
- The Seven Signs of Ethical Collapse: How to Spot Moral Meltdowns in Companies . . . Before It’s Too Late, Marianne M. Jennings, J.D., St. Martin's Press 2006
- How to Pad Your Expense Report . . . And Get Away with It, Employee X, Easy Money Press 2005
- Crucial Conversations: Tools for Talking When Stakes are High, Kerry Patterson et. al., McGraw-Hill, 2002
Resources

Chapter 8 – Part B. Remediying Harm from Criminal
Conduct, and Effective Compliance And Ethics
Programs.

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Building a Career in Compliance and Ethics. Joseph E.
Murphy, Joshua H. Leet, Society of Corporate
Compliance and Ethics, 2007.

Questions