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

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