

# ***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

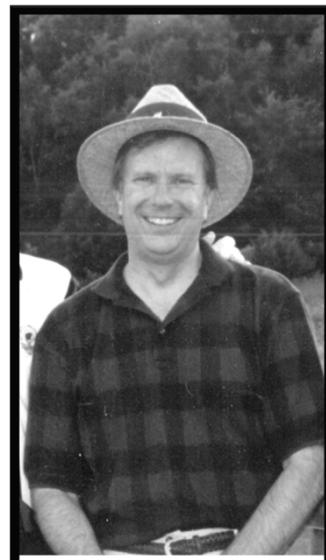
- Money, power, and influence are no match for a high emotional IQ and the facts.
- Don't just talk the talk—walk the walk. Be strong and carry, but rarely use, a big stick.

## 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.

Unethical Bullies vs. High-integrity Heroes =

High-integrity Heroes Win

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

## 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 started 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.*