

# ***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.



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## 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

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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.”*

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## 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.

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## 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?



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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.

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## 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.

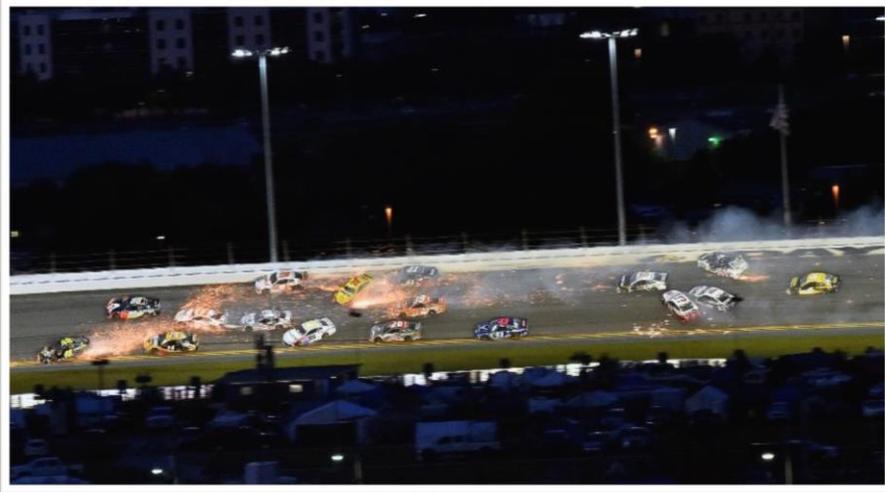
As a result, the compliance department gained a little street cred.

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.

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## Questions?



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## Lesson 10: Sowing Seeds of Compliance around the World

*"This post-communist, transitional country was trying to find its way in a freer world. Bojan was part of that change. What he was trying to do there was not just unusual, it was radical—and he wanted me to help.*

*'Sure,' I replied, and pressed send."*

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## Lesson 10: Sowing Seeds of Compliance around the World

### Roy's Rule

- Compliance and ethics professionals not only make organizations better, but also whole regions of the world better too.

### Roy-ism

- Be relentless with compliance, even when facing defeat.

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## Compliance in Sarajevo

I spoke at their compliance conference and met with government leaders.

Bojan convinced the prime minister to implement compliance programs in all 200 companies in the area.

On January 26, 2018, some of us from the SCCE met with Bojan in Washington, D.C., to help write the Public Integrity Act.

Then all heck broke loose.



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## What Happened to the Public Integrity Act?

The prime minister's party decided to throw him out. He left on his own accord to form a new party, called the People and Justice party.

I just got word that six political parties banded together to form the new government.

The new prime minister told Bojan: *"The Public Integrity Act will be the backbone of this government."*

Bojan told me: *"You need to prepare your compliance gang to come to Sarajevo very soon to continue the work that we started."*

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## Bojan's Next Steps

I'm not sure what will happen, but Bojan is optimistic.

Bojan doesn't get discouraged for long and he doesn't give up. He is always planning his next steps to make compliance programs commonplace and do what he feels is right for his country.

My best advice to you is to be like Bojan and keep going no matter what.



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## Questions?



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## 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.*

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