

3 THINGS

YOU MAY NOT KNOW ABOUT ME...

1. I am a ski instructor on the weekends (the more interesting fact is that there is actually a place to ski only 90 minutes outside of DC!)
2. I can explain the difference between tolling and contract manufacturing using banana bread
3. I can say "Happy Independence day" in Finnish



Karen Moore
Chief Compliance Officer
Unisys

Q&A

THE SECRET SAUCE OF COMPLIANCE

FLEXIBLE WORKING PLAN FOR THE NEW NORMAL

We recently conducted a poll to determine what people want and expect from their new working arrangements in the short to medium term - the results were as follows:

- Continue working from home: 31%**
- Get back into the office: 7%**
- A flexible arrangement of both: 63%**

With 93% of those polled wanting or anticipating some time spent working from home, we can see a shift in the way that most of us will approach a normal working week, at least in the coming months and most likely beyond that.

How, if at all, will productivity be impacted? We would love to hear your thoughts on that!

PEOPLE ARE TALKING

"Conselium did a great job completing a very difficult search. They delivered spot on in very short order!"

Chief Compliance Officer - Healthcare

"Conselium's placed candidate is off to a great start and has impressed everyone - thank you Jess!"

Director Enterprise Services

"Steve placed a number of excellent professionals who have all performed well"

Chief Compliance Officer - Investment Company

What is your secret sauce for compliance?

Love of the profession and a diverse and motivated team. Fertile ground for initiatives and a deep understanding of the business. Plus support and active commitment from the Board and senior leadership!

What is one ongoing objective you have for the Unisys program for 2020?

Data data data. Even though I'm a lawyer, I love having a data driven program that supports a surgical approach to mitigating risk and fostering a compliance culture across a geographically, culturally, and operationally diverse organization.

This year we are conducting the company's first compliance-focused risk assessment and a compliance and integrity culture survey. We are also experimenting with a "360" view of the organization using information available internally but not traditionally used by compliance (like sales results) as well as external information within the industry and the profession (like CPI index) to see if we can detect some patterns which let us dip our toe into predictive analytics.

What changes are you making to the Unisys compliance program in the current climate?

We've had to re-think both our risk profile and our approach as the company went from 15% work from home to 85% almost overnight. We focused on immediate issues, like ensuring appropriate use and protection of company systems and confidential information, reminding people that second jobs required conflict clearance, and providing practical tips to protect personal data when video conferencing.

As a team, we are brainstorming what the behavioral shifts might be and how we can react to them, especially in the absence of the positive peer pressure and leader role modelling we all pick up from our office environment. There are so many moving parts, added to which we are now also considering the implications of the growing global attention to addressing racial inequality and how we can be sure to address our employee's needs and encourage self-awareness and unconscious bias in a multi-cultural organization. So, we are challenging assumptions across the board on what an effective program look like.

What would you say to someone considering a career in compliance?

1000% do it - it's a career that keeps on giving. There's no frame around what you can bring to the job. It's cross-functional, multi-disciplinary and lends itself to creative thinking. A good compliance professional can move the needle in a company but also contribute to the compliance profession as a whole.

How do you keep your hair from bursting into flames each day?

Mindful breathing plus a few trusted colleagues I can vent to!

JD or not JD, that is the question

It depends. While it used to be that the CCO was often appointed from among in-house counsel, more and more we are seeing compliance officers appointed who have actually grown up in the profession, and not necessarily with a law degree.

My very strong preference is that compliance as a function is highly leveraged - making use of resources throughout the organization and cultivating solid relationships with other key functions, including legal. If subject matter expertise is allocated around the organization, with legal clearly accountable and highly active in providing input and oversight into their respective risk assessment, program plans and implantation, then I don't think you need a JD to head up a highly effective program. That's a big "if" though for many organizations, especially those with ove-taxed legal functions.

What in compliance keeps you awake at night?

The gap between observed and reported suspected misconduct. What are people seeing that I don't know about, why aren't they reporting it, and what can I do about that?

Why did the compliance officer cross the road?

Because she was in lockstep with the chicken in achieving its objective!

*Interviewed by Steve Harrison - Partner at Conselium Compliance Search
steve@conselium.com*

HAVE A COMPLIANCE JOB TO FILL OR LOOKING FOR ONE YOURSELF?

Click the links below - we look forward to hearing from you!

[CONTACT US](#)

[SEE CURRENT JOB OPENINGS](#)