Conselium
COMPLIANCE SEARCH

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MORE ABOUT ME

What's one dish that you cook which always gets rave reviews? (The *actual* secret sauce)
I love to cook, and one of my favorite recipes that my family also loves is from Williams-Sonoma's ***Healthy Cooking*** cookbook (yes, an actual printed cookbook from 1997!) - Salmon Fillets with Chive Sauce. The salmon has a nice rub of paprika, dill, and lemon zest that has a kick, and the chive sauce is a yogurt-based alternative to tartar sauce. Just delicious!

What do you like to do when you're disconnecting from the grid?
I grew up on the side of a mountain in the Adirondacks of New York and did a lot of tent camping, canoeing, and hiking with my family, which I loved. Nature is still my happy place, so I try to bring my family tent camping in Vermont every year, do a fair amount of hiking (I recently joined the Appalachian Mountain Club and am looking forward to getting out more), kayak on my local pond, and have added meditation in recent years.

What's the best piece of non-career advice you received?
My high school volleyball and softball coach, Cathy Stanilka, would always say, "Execute your skill. The winning will take care of itself." It was great advice then, and I try to live this every day. I do my best to focus my efforts and attention on what's within my control and just accept the rest.

Asked & *Answered*

THE SECRET SAUCE OF COMPLIANCE

What is your secret sauce for compliance?
As with any job, half of it is just showing up – being present, accessible, and responsive. Once the business engages with me on a topic, I try to recognize every moment when I'm interacting with them as an opportunity to build and maintain trust. To do that, I assume good intent, listen actively, thank them for coming to me ("hug" the messenger), and ask questions to ensure I fully understand the business need. I then acknowledge the need I hear and give feedback on what I'm comfortable with and, if needed, what alternatives I suggest to meet the business need in a way that reduces the risk. I've found success with this approach, and it has encouraged people to come to me proactively.

How much of the compliance job is corporate psychology versus enforcing rules?
I would say it's 90% corporate psychology / behavioral science versus 10% enforcing rules. Our job in Compliance is to help our employees do the right thing by following our policies and speaking up if they have concerns. This is easier said than done, of course, because to get them to do the right thing, three things have to be true.

First, they need to want to do the right thing, which is influenced heavily by culture and incentives. Second, they need to know the right thing to do, which means they need to engage with the information we provide – policies, communications, and training. Lastly, they need to be able to do the right thing, because the systems and processes allow them to do so. And if they have a question or concern about what they want, know, or can do, they need to know how to raise that and be comfortable doing so. The vast majority of this job is proactive work that requires employee engagement to be successful, and that engagement depends on building trust with the business.

What can executives do to help the Compliance Officer be more effective?
Executives need to model that assessing the compliance risk of business initiatives is a regular and important part of the vetting process. It's good to have your CEO's letter and photo in the front of the code of conduct, but what really makes the difference is when your executive is in a meeting hearing about a business proposal, they raise the potential compliance risk, and they ask their team to engage with Compliance to ensure the program is within the guardrails and mitigate risks as needed. When the business sees their leaders going to and referring to Compliance regularly, they learn that this is the way business is done here, and they follow that direction.

Does anyone read the compliance manual?
I find that employees read policies and other Compliance control documents when they need information and they can find the document easily in that moment. I think this is true for all of us in life, and it reminds me of my experience with my clothing dryer. When I bought a new dryer, I skimmed through the instruction manual to confirm how to turn it on and understand the basic settings. A few years later I was having issues with lint buildup, so I looked up the manual online, but it didn't answer the question, so I searched and found a YouTube video that showed me how to use a vacuum to clear out the dryer vent space. It was a three-minute video that gave me exactly what I needed at the time I needed it.

I often reference a 2017 training article where Patty Woolcock, then executive director of the California Strategic HR Partnership, was quoted, "The future of learning is three 'justs': just enough, just-in-time, and just-for-me." I fully agree with this. I don't think it's particularly helpful to have a new employee read the whole code and every policy in their first 30 days at the company, but I do want them to know the principles for behavior and where they can find the detailed resources when they need them.

Are bonuses based fully or somewhat on a company's financial performance appropriate for compliance professionals?
Yes, I think so, as it aligns some of the formal goals of the Compliance team with those of the commercial organization. Not only is it an incentive for Compliance to support the business in meeting their goals, it's also great messaging for Compliance to show the business that we are all in this together. One important factor in making this work is that Compliance should always be independent from the commercial business, ideally reporting directly to the CEO or the board's audit committee.

What is a Compliance book/podcast/blog/website that you recommend as a helpful resource?
I highly recommend the book, *The Culture Code: Secrets of Highly Successful Groups*, by Daniel Coyle. It does a deep dive into some of the most successful organizations – Pixar, the San Antonio Spurs, the Pink Panthers (yes, the jewel thieves!), Johnson & Johnson – and what makes/made their cultures work. It's my all-time favorite book about organizational culture and has lots of tangible takeaways. For a podcast, my favorite is *Hidden Brain* by executive editor and host, Shankar Vedantam. Every time I listen, I learn something new about human behavior. It's fascinating!

The Results

We asked...

Hiring Managers: Do you look at the social media accounts of candidates before you decide on hiring them?

Yes	37%
Sometimes	21%
No	42%

HIRING A COMPLIANCE OR PRIVACY PROFESSIONAL,
OR LOOKING FOR A COMPLIANCE OR PRIVACY JOB?

Please click on the links below:

HIRING IN COMPLIANCE OR PRIVACY

CURRENT JOB OPENINGS

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