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**COMPLIANCE WEEK 2014**  
POWERFUL INSIGHTS, PRACTICAL IDEAS, REAL SOLUTIONS

#CW2014

# Corporate Culture as Top Level Control

## Some Thoughts About My Background and Approach

### I WAS A PERSON BEFORE I WAS A COMPLIANCE OFFICER

- Group Dynamics and Organizational Behavior
- Systems Theory
- Regulatory Law/Regulated Business

# Corporate Culture as Top Level Control

## Some Thoughts About My Background and Approach

**I am not the Chief Audit Executive, but Internal Audit (Audit and Advisory Services) reports to me**

- Control environment
- Organizational culture as an internal risk

# Corporate Culture as Top Level Control

## Some Thoughts About My Background and Approach

I am not the Ethics Officer, but a recognition of the fundamental importance of organizational ethics and culture is fundamental to my philosophy

- There is no business without people
- There is no organization without people
- There are no compliance or ethics issues that don't involve people
- **We're in the people business**

# Corporate Culture as Top Level Control

## Significant “People” Factors Affecting Organizational Culture

### Leadership/Governance

- Extremely large Board of Trustees
- Shared Governance Model of Higher Education

### Workforce Development and Replenishment

- The organization is defined by the people (character/relationships) and their capabilities
- Recruiting/Training/Retaining/Succeeding

### Influence of Organizational History/Greater Community

- Organizational aspirations
- South Florida as a nation-state

# Corporate Culture as Top Level Control

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**Corporate Culture as Top Level Control  
Final Thoughts**

**AN ORGANIZATION IS NOT STATIC**

**CULTURE CAN BE SHAPED**

**HOW WE LEAD AND INFLUENCE  
LEADERSHIP IS KEY**