

# Compliance & Ethics Professional

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our 15,000<sup>th</sup> member

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# CEI: Casing the Case Studies track

**Adam Turteltaub** ([adam.turteltaub@corporatecompliance.org](mailto:adam.turteltaub@corporatecompliance.org)), Vice President of Membership Development at SCCE interviewed **Marjorie Doyle**, Principal at Marjorie Doyle & Associates, LLC.

**T**he 2015 Compliance & Ethics Institute, held in Las Vegas from October 4-7, features an entire track of case studies. These sessions will highlight real-life challenges that compliance programs face, and the solutions that compliance officers

have found to them. They are designed to help the attendees bring home practical examples that they can put to work in their organizations.

Marjorie Doyle, helped select the sessions, and we sat down to ask her a bit about them.



Turteltaub

**AT:** Like it's name implies, the Case Studies track is filled with "from the trenches" case studies of compliance programs. How do you go about selecting which case studies to include?

**MD:** We look for presentations that demonstrate a part of the ethics and compliance process

that has actually been implemented in an organization, so attendees can learn what works and what doesn't work, ask questions about the journey, learn how to get funding, and to hear about the challenges—expected and unexpected—that occurred. We want presentations that give hope and confidence that something can really be done.



Doyle

**AT:** What are some of the hot issues that the track will be highlighting?

**MD:** I think the track really hits at the heart of our current challenges. We will be highlighting in several ways, getting the business to integrate the compliance program into their daily business strategies, which includes getting business to drive culture. We also highlight dealing with a board of directors in getting them to be active in their responsibilities around the program. A constant topic is using resources throughout the company to make the footprint of the ethics and compliance (E&C) program more present everywhere, through the use of liaisons to the business and the use of the very important skill of collaboration. Culture pops up in almost all the sessions regarding its importance and how to enhance it at all levels. Training and communications are always front and center, and this year is no exception, with a focus on testing whether the training is really aimed at what is needed. As our profession grows and develops, we are finding better and better case studies to be shared with the attendees, so that everyone can up their game!

**AT:** One of the risks of listening to a case study is that it can seem a little idiosyncratic to a company. Many may think, "That's great for them, but in my company..." How can a compliance officer best take what they learned from another company and make it relevant for theirs?

**MD:** Every organization thinks they are unique—and they are to some extent—but there are so many similarities, because what we do is all about driving human beings, not machines, to act in a certain way. So in every one of the case studies, there are lessons about cost effectiveness, how leadership was persuaded to support and supply resources, what expected and unexpected challenges arose and, of course, the effectiveness of what resulted. I think this is the most relatable and practical track at the CEI, because you can actually hear what happened and how to do it at your own organization.

**AT:** In general, what are you seeing as some of the best practices that are emerging in compliance programs today?

**MD:** Our profession is growing and maturing rapidly, so it's exciting to see best practices since they, too, are growing rapidly. I see our professionals getting more aggressive about board engagement, through awareness training on the board's growing responsibilities

and even some board committees with E&C responsibilities hiring an outside advisor (like the other committees historically have had) to advise them on a regular basis. I see professionals pushing and succeeding in getting more specific and more meaningful E&C goals on performance evaluations and promotion requirements for business leaders and other employees. A best practice is the willingness to try new ways of communicating and educating as technological challenges mean competing for time and attention of humans! So in this same vein, the effectiveness of

live training becomes more competitive. I see more and more position requirements in our field, including certification, which is a big plus for our profession. I also see more ethics and compliance groups standing on their own with the organization, with the CEO at a higher level, and even reporting directly to the board. Kudos to those organizations that are pushing the envelope, because it helps the rest of the professions to hold them up as examples of what works. \*

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