

Compliance & Ethics Professional

September/October
2013



A PUBLICATION OF THE SOCIETY OF CORPORATE COMPLIANCE AND ETHICS

www.corporatecompliance.org

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Associate Director, Division of Enforcement
U.S. Securities and Exchange Commission

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by Roy Snell, CHC, CCEP-F

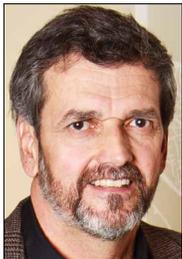
SCCE focuses on helping compliance professionals find, fix, and prevent compliance breaches

Please don't hesitate to call me about anything any time.

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Society beats up on business on a daily basis. Business is being pummeled by the media, the public, the politicians and the prosecutors. SCCE will neither blindly defend nor prosecute business. We exist to help compliance professionals become more effective professionally and help them implement better compliance and ethics programs for their organizations. Our profession seeks to gain the trust of leadership and the organizations' employees, not defend or attack them.



Snell

I got another call today from a prominent organization that wants to do yet another survey to prove there are problems in business. They want to take the data and thrust it in the face of business and say, "You are all bad people." SCCE is occasionally asked to become involved because the surveyors would like access to compliance and ethics professionals, who by the nature of their jobs are aware of the issues. Doing another study proving there are problems is redundant, and if we participate it creates an adversarial role between the CO and their leadership. We will once again decline the invitation to participate.

In addition to choosing not to pile on business, we also do not spend a great deal of time blindly defending business. There are plenty of organizations and other professions doing that.

Most people and organizations either hate business and unfairly criticize it, or defend business blindly. Compliance professionals and compliance programs do not take sides. We do not think all players are bad nor do we believe all players are good. We simply use a compliance and ethics program to prevent, find, and fix ethical and regulatory problems. It is very difficult to find anyone who simply wants to make things better. Those who pick sides do not audit, investigate, or in any other way actively fix problems. They are not helping business.

Compliance professionals and programs do not take sides.

The Society of Corporate Compliance and Ethics is one of a very few organizations that simply try to make things better. We and the 12,486 compliance and ethics professionals we represent wake up every morning, walk into a building somewhere and actively, constructively, and effectively try to prevent and find problems. Other professions and other organizations are there to simply defend or attack. It didn't work 10, 50, or 100 years ago. That is why our profession is here, because those who came before us, defenders and attacker alike... they all failed. We are successful because we don't go to the podium and pontificate. We go into the trenches and try to help our colleagues, most of whom who want to do the right thing... to do the right thing. *