



## BRIDGING THE GAP Between Theory & Practice



“All the problems in the world can be solved if we just stop & *think.*” -- Socrates



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- Choice A: Carrots & Sticks Incentives
- Choice B: Self-Determination (In Search of Excellence)
- Choice C: There is No Choice
- Encourage ethical conduct (culture)
- Compliance with all applicable laws
- Eliminate criminal conduct
- By providing org. structural foundation
- Self-governing culture



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## THE VALUE OF ETHICS

- Validates or invalidates complaints
- Identifies misconduct (who, how, why, when)
- Source of data for:
  - Corrective action, risk & compliance trend analysis, ed. & training, vol. disclosures
- Demonstrates commitment to stakeholders & promotes culture
- Mitigates potential consequences/liability

**TRUST**



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**“Prevention is the best cure.”**



**“Prevention  
is the best cure.”  
- Epictetus**

**Greek Slave & Philosopher  
A.D. 55 – A.D. 135**



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**HOW INVESTIGATIONS  
FIT INTO THE CONTEXT  
OF COMPLIANCE PROGRAMS**

**Effective Internal Investigations for Compliance  
Professionals (A Two-Day Workshop)**

**Society of Corporate Compliance & Ethics (SCCE)  
San Francisco, CA – November 10 – 11, 2011**

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