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The value of the close call

By Gerry Zack, CCEP, CFE, CIA

Much has been written about the importance of identifying lessons learned and taking remedial action in the aftermath of an investigation into compliance failures. But an equally valuable exercise can result from exploring the circumstances associated with compliance issues that our internal controls prevented from escalating into failures.

It's great when we determine that one of our preventive or early detective controls stopped a potential compliance failure before something more serious occurred. But there are a few questions we should ask ourselves:

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