

<b>Three Mock Trials: Summary</b>	<b>PHOTO</b>
PW Carey, Moderator	
Core Competencies Track – Session C24	

**Abstract:**

This session covers three mock trials based upon the public records of three recent trials that were fully adjudicated. These three trials will serve as a roadmap for auditors, encompassing corporate governance, risk, compliance, business ethics, and the responsibility of auditors, and the erstwhile impact a whistleblower had upon each party.

In this session, each attendee will not only serve on the legal team, but also as judge and jury. At the end of each mock trial each attendee will come to a final determination as to the final determination of truth and justice in each case.

Based upon the evidence presented the degree of culpability surrounding each individual involved will be determined as well.

The industries covered represent the life sciences and government contractors/vendors addressing their IT governance and compliance requirements as impacted by the following industry standards:

- Certified to ISO 38500 (International Standard for Corporate Governance of IT).
- Certified to ISO 9001 (International Standard for Quality Management)
- Certified to ISO 27001 (International Standard for Information Security Management)
- Whistleblower Protection Act (WPA) and
- "Notification and Federal Employee Antidiscrimination and Retaliation Act of 2002," which is now known as the No FEAR Act. See Pub. L. 107-174, codified at 5 U.S.C. 2301 note.

At the conclusion of this session each participant will take away a series of best practices when dealing with the black & white as well as the gray areas addressed via these Three Mock Trials.

**Target Audience:**

All SF ISACA Fall Conference attendees.

**COBIT Objectives:**

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**Speaker Bio:**

After working 23 years in the Aerospace and Defense industry helping to develop both hardware and software solutions for programs such as the: V-22 Osprey, Star Wars, Brilliant Eyes, Brilliant Pebbles and THAAD (Terminal High Altitude Area Defense), Pw Carey joined the long march to the maws of the Silicon Valley Dot Com Bubble Gold Rush.

It was during this phase of his professional career that Pw believes he saved Mr. Donald Valentine's<sup>1</sup> life one evening, at the conclusion of a Churchill Club Forum Pw was attending in Sunnyvale, California for venture capital entrepreneurs, at least that's Pw's interpretation of his magnificent and heroic efforts that evening.

As this most interesting of times imploded, specifically during a meeting on Sand Hill Road, Thanksgiving weekend, 1999, Pw eventually came to the realization (with a bit of encouragement), that it might be a nice time to travel and so he did, away from Silicon Valley's high-tech arena transitioning over to the Pharmaceutical Life Sciences industry and SAP GRC (Governance, Risk & Compliance) an industry and professional career he has called home for the past 8 years.

Pw is currently on Professional Sabbatical from Compliance Partners, LLC researching the dynamics of corporate cultures, such as the [kiss-up/kick down] phenomena, writing an SAP NetWeaver 7.01 – ABAP Trial Version, SAP Evaluation Software: Installation, Configuration & Trouble Shooting Guide for the SDN (SAP Developer Network) community and attending professional conferences around the country sponsored by the following professional societies: SCRUM Alliance, ISACA, ISSA, ISPE, DIA, PDA, RAPS, IEEE, ASTM, & ASQ.

<sup>1</sup>. Mr. Donald Valentine one of the founding fathers of Silicon Valley.