

Internal Investigations Workshop

January 7 – 9, 2019 | San Diego, CA

Dive into the essentials of conducting compliance investigations during this three-day workshop. Learn how to create an investigation plan and assess allegations of wrongdoing from three experienced compliance professionals who have in-depth experience in the challenges and opportunities of conducting internal investigations.

Learn the essentials of conducting compliance investigations.

corporatecompliance.org/investigations

Questions? Email beckie.smith@corporatecompliance.org



Why Attend?

- Three days of focused training on conducting compliance-related internal investigations
- Led by three experienced compliance professionals, Meric Bloch, Al Gagne, and Gerry Zack
- For compliance professionals charged with conducting investigations or those supervising them

Internal Investigations Workshop

- Understand and assess the initial allegation of wrongdoing
- Create an investigation plan
- Discuss the steps: gathering evidence, conducting interviews, conclusions and root-cause analysis, and writing your report

About our speakers



Meric Bloch, JD, CCEP-F, CFE, PCI
Vice President, Global Investigations, Booking Holdings Inc.

Meric has been an ethics and compliance officer for both publicly traded and non-profit organizations. He designed, implemented and managed each organization's workplace investigations process. He has trained thousands of HR and compliance professionals to conduct investigations. He has personally conducted more than 400 internal investigations and serious workplace misconduct in the United States and internationally. He has authored three books on the subject: *Workplace Investigations: Techniques and Strategies for Investigators and Compliance Officers*; *Investigative Interviewing*; and *The First Information is Almost Always Wrong*. Meric is a Certified Fraud Examiner, Professional Certified Investigator, and holds the CCEP-Fellow certification.



Albert Gagne, MBA, CCEP
Former Director, Ethics & Compliance, Textron Systems Corporation (retired)

Al has over 35 years of Defense Industry ethics and compliance experience. Prior to retirement, Al directed Textron Systems' ethics and compliance program and was responsible for assessing legal and compliance risks, developing and implementing ethics and compliance education programs for more than 5,000 employees around the globe. Al was also responsible for compliance enforcement activities having conducted hundreds of special audits and investigations and for developing an internal investigation program and mentoring in-house investigative resources.

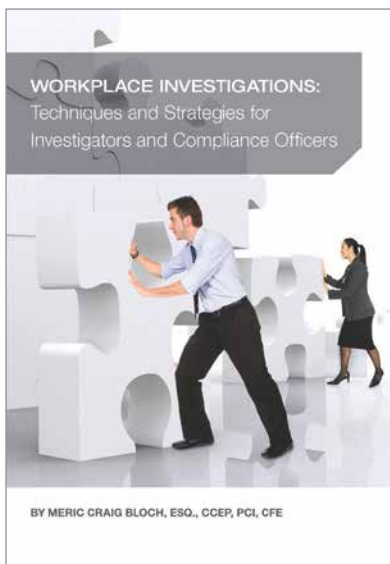


Gerry Zack, CFE, CCEP, CIA, CPA
CEO of the Society of Corporate Compliance and Ethics & Health Care Compliance Association, a position he assumed in November 2018 after more than 30 years of

experience providing preventive, detective, and investigative services involving fraud, corruption, and compliance matters. He has worked globally with businesses of all sizes and in many industries, nonprofit organizations, and government agencies. Prior to joining SCCE & HCCA, Gerry was in the Global Forensics practice of BDO. He founded his own fraud and compliance risk advisory and forensic accounting firm in 1990 and operated that practice for 20 years. Before that, he was an audit manager with an international accounting firm.

BUILD A BETTER INVESTIGATION

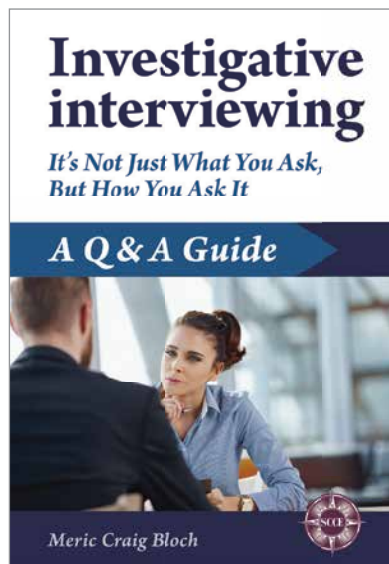
Get expert help from SCCE's **Investigations** book series by Meric Bloch



Workplace Investigations

gives step-by-step guidance on the entire process, from planning to final report.

**\$90 for members/
\$100 for non-members**



Investigative Interviewing

helps hone this critical skill and explains how to best handle subjects, witnesses and incident reporters.

**\$50 for members/
\$60 for non-members**



The First Information is Almost Always Wrong

offers tips on the strategies and tactics that bring results.

**\$80 for members/
\$90 non-members**

SAVE \$20

when you buy all 3 books together: **\$200 for members/\$230 for non-members**

corporatecompliance.org/books



Agenda

Internal Investigations Workshop

Monday, January 7 (Workshop)

8:00 – 8:30 am

Registration and Continental Breakfast *(included)*

8:30 – 10:00 am

Introductory Concepts for Investigations

Meric Bloch

- Ethics of an investigation
- Procedural fairness
- Confidentiality

Understanding and Assessing the Report

Albert Gagne

- Issue spotting the report
- Interviewing the reporter
- Is an investigation needed?

10:00 – 10:15 am

Networking Break

10:15 am – 12:00 pm

Planning the Investigation

Meric Bloch

- Determining the applicable standard
- Framing the investigation allegation
- Determining the investigation strategy

Gathering Documentary Evidence

Albert Gagne

- Getting your paper trail in order
- Utilizing documents for intelligence
- Managing the relevant documents

12:00 – 1:00 pm

Networking Lunch *(included)*

1:00 – 3:00 pm

Conducting Interviews

Meric Bloch

- Psychology of communication
- How to prepare for the interview
- Types of interview questions
- Tips for effective interviewing
- Assessing credibility

3:00 – 3:15 pm

Networking Break

3:15 – 4:00 pm

Interviewing the Subject of the Investigation

Meric Bloch

- Planning for the interview
- Good cop / bad cop or both?
- International issues and concerns

4:00 – 5:00 pm

Exercise: A Day in the Life of an Internal Investigator

Albert Gagne

A case study to determine the need for an internal investigation in response to multiple anonymous calls to the Compliance Hot Line alleging conflicts of interest by a Senior Management Official in the Organization. Attendees will review and analyze a set of facts, assumptions, and perceptions related to the allegations; and develop an investigation action plan focusing on evidence to be obtained from internal documents and witness accounts. The session concludes with verbal report-outs and interactive discussion among attendees.

5:00 – 6:00 pm

Networking Reception

Tuesday, January 8 (Workshop)

8:00 – 8:30 am

Continental Breakfast *(included)*

8:30 – 9:00 am

Investigations Roundtable

Meric Bloch, Albert Gagne, & Gerry Zack

- Discuss your most pressing questions
- Share best practices
- Collaborate on solutions to the challenges internal investigators are facing in their companies

9:00 – 10:00 am

Evidence and the Legal Elements of an Investigation

Meric Bloch

- Understanding evidence concepts
- The burdens of proof and persuasion

10:00 – 11:00 am

Investigation Pitfalls and How to Avoid Them

Albert Gagne

- Addressing privacy and confidentiality concerns
- Dealing with represented employees
- Understanding the attorney-client privilege
- Common situations investigators encounter

11:00 – 11:15 am

Networking Break

11:15 am – 12:15 pm

Reaching a Conclusion and Root Cause Analysis

Meric Bloch

- Evaluating your proof
- Finding the truth
- Considering factors related to the misconduct

12:15 – 1:15 pm

Networking Lunch *(included)*

1:15 – 3:15 pm

Preparing the Investigation Report: Part 1

Albert Gagne

- Key elements of a good report
- Tailoring the report to the specific audience
- Practical tips for report writing

3:15 – 4:15 pm

Preparing the Investigation Report: Part 2

Meric Bloch & Albert Gagne

- Workshop exercise / case study in report writing

4:15 – 4:30 pm

Networking Break

4:30 – 5:15 pm

Reporting Your Findings

Albert Gagne

- Reporting to the Board, management, and employees
- Communicating with stakeholders
- Reporting to law enforcement and other agencies

5:15 – 6:00 pm

What Should You Do?

Meric Bloch

- Apply what you have learned to real-life scenarios
- Get practical guidance for responding to specific situations
- Be ready when the unexpected issue pops up

Wednesday, January 9 (Post Workshop)

8:00 – 8:30 am

Continental Breakfast *(included)*

8:30 – 9:00 am

Documentation Issues

Albert Gagne

- Developing Policy & Procedures to help manage the Investigation Program

*Agenda subject to change

- Utilizing internal investigation templates and checklists
- Advantages of using standard forms and reports

9:00 – 10:00 am

Use of Third-Party Assistance in Investigations

Gerry Zack

- When to outsource certain elements of investigations
- Scope and legal considerations
- Managing third party service providers

10:00 – 11:00 am

Use of Forensic Data Analytics in Investigations

Gerry Zack

- Using analytics to assess allegations
- Applications of forensic data analytics during an investigation
- Tools and techniques

11:00 – 11:15 am

Networking Break

11:15 am – 12:15 pm

Root Cause Analysis

Meric Bloch

- Do more than react to the misconduct
- Understand the contributing factors that led to misconduct
- Prevent recurrences by identifying weaknesses in internal controls

12:15 – 1:15 pm

Networking Lunch *(included)*

1:15 – 3:15 pm

Why Should the Boss Listen to Me?

Meric Bloch

- How to get a seat at the table
- How to control the message to your boss
- Become a trusted advisor

3:15 – 4:15 pm

Lessons Learned

Albert Gagne

- It's really all about finding and fixing problems
- Identifying poor internal controls, systemic problems, and lack of controls
- Where do we go from here?

4:15 – 4:45 pm

Wrap-up with Q&A

Albert Gagne, Meric Bloch & Gerry Zack

- Provide an opportunity for attendees to ask questions and provide feedback

Contact Information

Mr Mrs Ms Dr

Member/Account Number _____

First Name _____ MI _____

Last Name _____

Credentials (CHC, CCEP, etc.) _____

Job Title _____

Organization (Name of Employer) _____

Street Address _____

City/Town _____

State/Province _____ Zip/Postal Code _____

Country _____

Phone _____ Fax _____

Email (required for registration confirmation and conference info) _____

Group discounts:

5 or more: \$50 discount/each registrant

10 or more: \$100 discount/each registrant

Discounts take effect the day a group reaches the discount number of registrants. Please send registration forms together to ensure that the discount is applied. A separate registration form is required for each registrant. The group discount is NOT available through online registration. Note that discounts will NOT be applied retroactively if more registrants are added at a later date, but new registrants will receive the group discount.

Agreements & Acknowledgments: I agree and acknowledge that I am undertaking participation in SCCE events and activities as my own free and intentional act, and I am fully aware that possible physical injury might occur to me as a result of my participation in these events. I give this acknowledgement freely and knowingly and assert that I am, as a result, able to participate in SCCE events, and I do hereby assume responsibility for my own well-being. I agree and acknowledge that SCCE plans to take photographs and/or video at the Internal Investigations Conference and reproduce them in SCCE educational, news, or promotional material, whether in print, electronic, or other media, including the SCCE website. By participating in the SCCE Internal Investigations Conference, I grant SCCE the right to use my name, photograph, video, and biography for such purposes. As a participant of this event, your name, job title, organization, city, state, and country will be listed on the attendee list that will be distributed to attendees and speakers of this event.

By submitting this registration form, you agree to the Terms & Conditions outlined on this page—including the Use of Information—as well as our Privacy Statement, located at corporatecompliance.org/privacy.aspx.

Registration Options

Registration fees are as listed and considered net of any local withholding taxes applicable in your country of residence.

Two day workshop

SCCE/HCCA Members:\$1,200

Non-Members:\$1,500

Registration plus New Membership:\$1,400

Save by joining. Dues regularly \$295 annually. First Time Members only. Increases to \$325 after January 1, 2019

Post Workshop

SCCE/HCCA Members:\$500

Non-Members:\$575

Group Discount: Please contact SCCE for the total amount due based on the number of participants

TOTAL \$ _____

Prices are subject to change. Any additional fees and/or reservations for hotel, airfare, etc. are not included and must be made separately. Please see details page for more information.

Special Request for Dietary Accommodation

Gluten Free Kosher (Hechsher certified)

Kosher-Style (no shellfish, pork or meat/dairy mixed)

Vegetarian Vegan Other _____

Payment Options

Check enclosed (payable to SCCE)

Invoice me

I authorize SCCE to charge my credit card (choose card below):

Due to PCI Compliance, please *do not provide any credit card information via email*. You may email this form to helpteam@corporatecompliance.org (without credit card information) and call SCCE at +1 952.933.4977 or 888.277.4977 with your credit card.

CREDIT CARD: American Express Discover MasterCard Visa

Credit Card Account Number _____

Credit Card Expiration Date _____

Cardholder's Name _____

Cardholder's Signature _____

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Cancellations/Substitutions: Refunds will not be issued. You may send a substitute in your place or request a conference credit. Conference credits are issued in the full amount of the registration fees paid, and will expire 12 months from the date of the original, cancelled event. Conference credits may be used toward any SCCE service or product. If a credit is applied toward an event, the event must take place prior to the credit's expiration date. If you need to cancel your participation, notification is required by email, sent to helpteam@corporatecompliance.org, prior to the start date of the event. Please note that if you are sending a substitute, an additional fee may apply.

Conference Location and Hotel Reservations

US Grant Hotel

326 Broadway
San Diego, CA 92101

**Make Reservations by calling 800.325.3589
or by visiting bit.ly/investigations0118**

A group rate of \$209 per single/double occupancy per night plus all applicable taxes has been arranged for this event. Quoted room rates are good until Friday, December 14, 2018 or when the group room block is full (whichever comes first). Reservation requests received after this cut-off date (or after the group block is filled, whichever comes first) will be accepted on a space and rate availability basis only. A deposit equal to one night's stay is required and will be charged for each individual's reservation. The deposit is refundable should you cancel at least three days prior to arrival and a cancellation number is obtained. Hotel accommodations are not included in your conference registration fee.

Government Rate

If you are a government employee, you may take advantage of the government rate rooms. Because there are a very limited number of these room rates available, please email Beckie Smith at beckie.smith@corporatecompliance.org

Notice: Please be advised that SCCE nor any hotel it is affiliated with, will ever call you to make a hotel reservation. If you receive a call soliciting you to make a reservation on behalf of SCCE or the event, it is likely being made by a room poacher. This is an unsanctioned solicitation and may be fraudulent. We recommend that you make your reservations directly with the hotel by using the phone number or booking link above. If you have concerns or questions about the validation of a call, please feel free to contact +1 952.933.4977 or 888.277.4977

Registration Payment Terms: Checks are payable to SCCE. Credit cards accepted: American Express, MasterCard, Visa, or Discover. SCCE will charge your credit card the correct amount should your total be miscalculated. If you wish to pay using wire transfer funds, please email helpteam@corporatecompliance.org for instructions.

Tax Deductibility: All expenses incurred to maintain or improve skills in your profession may be tax deductible, including tuition, travel, lodging, and meals. Please consult your tax advisor.

Meals: Continental breakfast, lunch, and refreshment breaks are provided Monday and Tuesday. Light appetizers and beverages will be served Monday evening following sessions that day.

Dress Code: Business casual dress is appropriate for conference attendees.

Recording/Electronics: No unauthorized audio or video recording of SCCE Conferences is allowed. No personal laptops may be used during conference sessions.

Special Needs/Concerns: Prior to your arrival, please call SCCE at +1 952.933.4977 or 888.277.4977 if you have a special need and require accommodation to participate.

Prerequisites/Advanced Preparation: None

SOCIETY OF CORPORATE COMPLIANCE AND ETHICS
6500 Barrie Road, Suite 250, Minneapolis, MN 55435 United States
PHONE +1 952.933.4977 or 888.277.4977 | FAX +1 952.988.0146
www.corporatecompliance.org | helpteam@corporatecompliance.org

Continuing Education Units: SCCE is in the process of applying for additional external continuing education units (CEUs). Should overall number of education hours decrease or increase, the maximum number of CEUs available will be changed accordingly. Credits are assessed based on actual attendance and credit type requested.

Approval quantities and types vary by state or certifying body. For entities that have granted prior approval for this event, credits will be awarded in accordance with their requirements. CEU totals are subject to change.

Upon request, SCCE may submit this course to additional states or entities for consideration. If you would like to make a request, please contact us at +1 952.933.4977 or 888.277.4977 or email ccb@compliancecertification.org. Visit SCCE's website, corporatecompliance.org, for up-to-date information.

Compliance Certification Board (CCB)[®]: CCB has awarded a maximum of 25.8 CEUs for these certifications: Certified in Healthcare Compliance (CHC)[®], Certified in Healthcare Compliance—Fellow (CHC-F)[®], Certified in Healthcare Privacy Compliance (CHPC[®]), Certified in Healthcare Research Compliance (CHRC)[®], Certified Compliance & Ethics Professional (CCEP)[®], Certified Compliance & Ethics Professional—Fellow (CCEP-F)[®], Certified Compliance & Ethics Professional—International (CCEP-I)[®].

Continuing Legal Education (CLE): The Society of Corporate Compliance and Ethics is a provider/sponsor, approved/accredited by the State Bar of California, the Pennsylvania Bar Association, and the State Bar of Texas. An approximate maximum of 21.5 clock hours of CLE credit will be available to attendees of this conference from these states. Upon request SCCE may submit this course to additional states for consideration. All CLE credits will be assessed based on actual attendance and in accordance with each state's requirements.

NASBA/CPE: The Society of Corporate Compliance and Ethics is registered with the National Association of State Boards of Accountancy (NASBA) as a sponsor of continuing professional education on the National Registry of CPE sponsors, Sponsor Identification No: 105638. State boards of accountancy have final authority on the acceptance of individual courses for CPE credit. Complaints regarding registered sponsors may be submitted to the National Registry of CPE Sponsors through its website: www.learningmarket.org. A recommended maximum of 25.5 credits based on a 50-minute hour will be granted for this activity. This program addresses topics that are of a current concern in the compliance environment and is a group-live activity in the recommended field of study of Specialized Knowledge and Application. For more information regarding administrative policies such as complaints or refunds, call 888.580.8373 or +1 952.988.0141.

