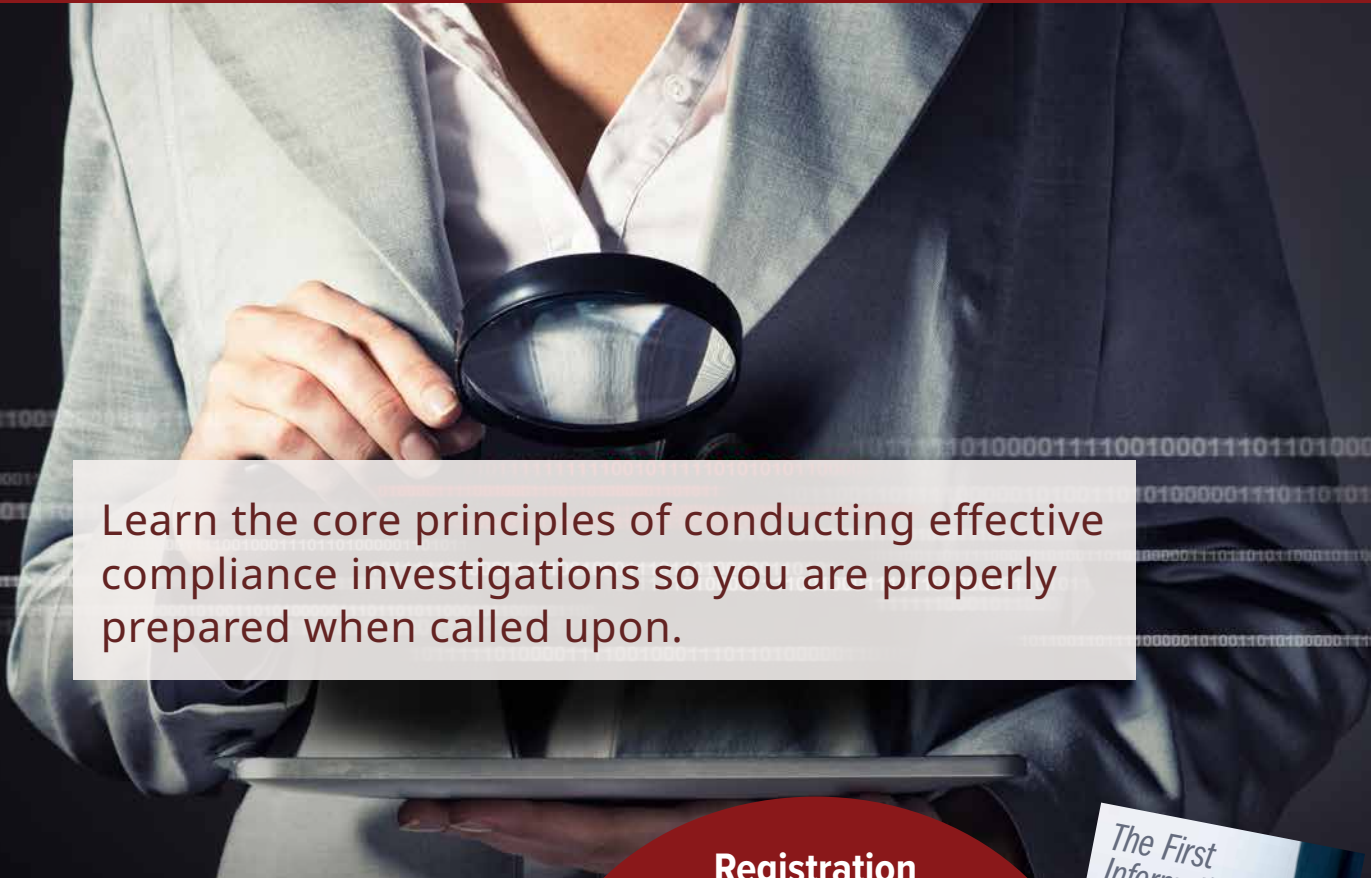


# Essentials of Compliance Investigations

30–31 July 2020

This conference will be held in India Standard Time (IST)

A Virtual Conference



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This agenda is in India Standard Time (IST)

**THURSDAY, 30 JULY**

07:00–07:05 (IST)

**Intro/Opening Remarks**

Meric Bloch & Al Gagne

07:05–08:05 (IST)

**Investigation Basics**

Meric Bloch

- Ethics, fairness, and confidentiality
- Evidence and burdens of proof
- Attorney-client privilege

08:05–08:20 (IST)

**Break**

08:20–09:40 (IST)

**Planning the Investigation**

Meric Bloch & Al Gagne

- Assessing the initial report
- Determining whether an investigations is needed
- Developing an investigation strategy and plan

09:40–09:55 (IST)

**Break**

09:55–10:55 (IST)

**Gathering Evidence & Documentation Issues**

Al Gagne

- Getting the paper and record trail in order
- Utilizing and managing relevant documents
- Developing and using standard policies, procedures, and forms for investigations

**FRIDAY, 31 JULY**

07:00–07:05 (IST)

**Intro/Opening Remarks**

Meric Bloch & Al Gagne

07:05–08:05 (IST)

**Conducting Interviews**

Meric Bloch

- Preparing for interviews
- Types of questions & assessing credibility
- Tips for effective interviewing

08:05–08:20 (IST)

**Break**

08:20–09:40 (IST)

**Reporting Results**

Al Gagne

- Key elements of a good report
- Practical tips for report-writing
- Reporting to management, the board, and third parties

09:40–09:55 (IST)

**Break**

09:55–10:55 (IST)

**After the Investigation**

Meric Bloch & Al Gagne

- Identifying and fixing internal control issues and other problems
- Remediation plans
- Lessons learned from the investigation

**About our faculty**



**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 has personally conducted more than 400 internal investigations and has trained thousands of HR and compliance professionals to conduct investigations.



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

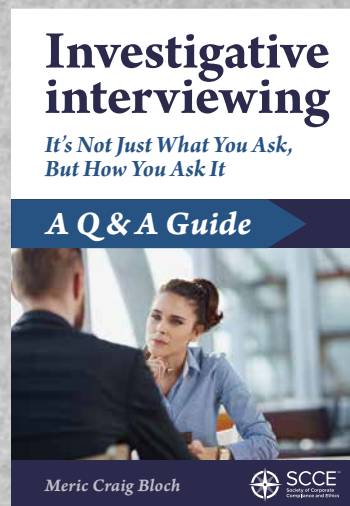
Al has more than 35 years of defense industry ethics and compliance experience. Prior to retirement, Al was responsible for assessing legal and compliance risks, and developing and implementing ethics and compliance education programs for more than 5,000 employees around the globe.

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