

# Essentials of Compliance Investigations

June 9, 2020

A Virtual Conference

Learn the most important principles of conducting effective compliance investigations so you are properly prepared when called upon.

Registration includes a 12 month digital subscription to the book:  
**The First Information is Almost Always Wrong**

Valued at \$110.00



**LUNCH DELIVERED**  
with Registration



Register online  
[corporatecompliance.org/virtualinvestigations](http://corporatecompliance.org/virtualinvestigations)



This agenda is in Central Daylight Time CDT

8:55–9:00 AM CDT

## Intro/Opening Remarks

Meric Bloch & Al Gagne

9:00–10:00 AM CDT

## Investigation basics

Meric Bloch

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

10:00–10:10 AM CDT

## Break

10:10–11:30 AM CDT

## Planning the Investigation

Meric Bloch & Al Gagne

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

11:30–11:40 AM CDT

## Break

11:40 AM–12:40 PM CDT

## 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

12:40–1:20 PM CDT

## Lunch Delivered

After you register for the conference we will send you a link with options to have lunch of your choice—delivered to you by lunch break.

1:20–2:40 PM CDT

## Conducting Interviews

Meric Bloch

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

2:40–2:50 PM CDT

## Break

2:50–3:50 PM CDT

## Reporting Results

Al Gagne

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

3:50–4:00 PM CDT

## Break

4:00–5:00 PM CDT

## 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.

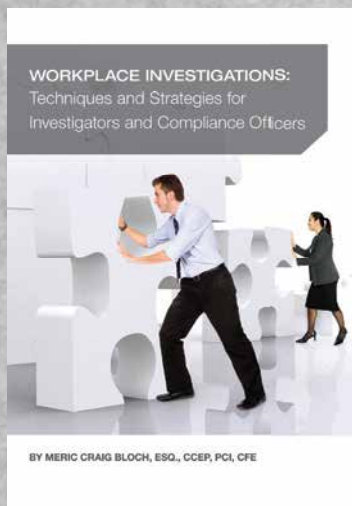


**Albert Gagne, MBA, CCEP**  
**Former Director, Ethics & Compliance,**  
**Textron Systems Corporation (retired)**

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.

# Uncover the facts

Eliminate some of the uncertainty and guesswork from the internal investigations process. Get valuable tips and strategies for effective workplace investigations with these books from expert Meric Bloch.



*Workplace Investigations* provides instructive guidance to help you handle the internal investigations process.



*Investigative Interviewing* is a Q&A guide to help improve your interviewing skills.

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### Registration Fee

<input type="checkbox"/>	<b>SCCE Member</b>	\$379.00
<input type="checkbox"/>	<b>Non-Member</b>	\$499.00
<input type="checkbox"/>	<b>Registration &amp; SCCE membership*</b>	\$599.00

Registration includes a 12 month digital subscription to the book: *The First Information is Almost Always Wrong*

**TOTAL \$** \_\_\_\_\_

### Contact Information

Mr  Mrs  Ms  Dr

Member/Account ID (if known) \_\_\_\_\_

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 \_\_\_\_\_

Work Phone \_\_\_\_\_

Email (required) \_\_\_\_\_

### Acknowledgements

By submitting this registration, you agree to the full registration Terms and Conditions viewable at [corporatecompliance.org/virtualinvestigations](http://corporatecompliance.org/virtualinvestigations). You also agree to the use of your information.

Your information may be received by conference exhibitors, attendees, speakers, affiliates, and partners for marketing and/or networking purposes. To see the full use of your information of your information or if you wish to opt-out, please read our Privacy Statement at [corporatecompliance.org/privacy](http://corporatecompliance.org/privacy).

By participating in an SCCE conference, you grant SCCE, or anyone authorized by SCCE, the right to use or publish in print or electronic medium any photograph or video containing your image or likeness for educational, news, or promotional purposes without compensation.

This virtual conference is only for the registered attendee and does not allow for more than one person to participate. If additional individuals would like to participate, they will need to complete and submit a registration form.

Group discounts are not applicable to virtual events.

Lunch delivery, which is included in the registrtrion fee is only available for those registered attendees who are in the United States and Canada.

All lunch orders must be placed via the link provided by SCCE after registration no later than 2 hours prior to the scheduled lunch time. No lunch order will be excepted after this time.

Paid attendees will receive an email on June 6, 2020 with details on how to access their digital copy of the book *The First Information Is Almost Always Wrong*

### Payment

Online registration at [corporatecompliance.org/virtualinvestigations](http://corporatecompliance.org/virtualinvestigations)

Mail this form to SCCE, 6500 Barrie Road, Suite 250, Minneapolis, MN 55435-2358, USA

Fax this form to +1 952.988.0146

Email this form to [helpteam@corporatecompliance.org](mailto:helpteam@corporatecompliance.org) — Due to PCI compliance, do not provide credit card information via email. You may email this form (without credit card information), then call SCCE at +1 952.933.4977 or 888.277.4977 with payment information.

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### Continuing Education

**NOTE:** Only registered attendees are eligible to request CEUs for participation. Attendees must participate in the virtual conference using the online virtual conference format (not just using the dial in) for attendance monitoring purposes.

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, if there is sufficient time and we are able to meet their requirements, SCCE may submit this course to additional states or entities for consideration. Only requests from registered attendees will be considered. 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](mailto:ccb@compliancecertification.org).

To see the most up-to-date CEU information go to SCCE's website, [corporatecompliance.org/all-conferences](http://corporatecompliance.org/all-conferences). Select your conference, and then select the "Continuing Education" option on the left hand menu.

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