

# Internal Investigations Workshop

18–19 June 2020 • London, UK



- Interactive sessions
- Experienced presenters
- Comprehensive instruction

[corporatecompliance.org/2020investigations](https://corporatecompliance.org/2020investigations)



## Learn to think like an investigator

No matter what your role is in compliance, odds are you will have to conduct workplace investigations at some point in your career. Gain the tools you need to become a better investigator.

Receive comprehensive instruction, from initial allegation to the final report, from experienced presenters. Participate in interactive sessions to help you solidify your investigation skills.

Topics include:

- Understanding and assessing the initial allegation of wrongdoing
- Creating an investigation plan
- Gathering evidence
- Conducting interviews, including the subject of the investigation
- Conclusions and root-cause analysis
- Writing your report
- Avoiding pitfalls and legal risks

### **SCCE's mission**

SCCE exists to champion ethical practice and compliance standards in all organizations and to provide the necessary resources for compliance professionals and others who share these principles.

### **Contact us**

Please visit us online at [corporatecompliance.org](https://www.corporatecompliance.org) to learn more about the workshop and SCCE's other programs.

## About our speakers



### **Meric Bloch, JD, CCEP-F, CFE, PCI**

#### **Vice President, Global Investigations, Booking Holdings Inc.**

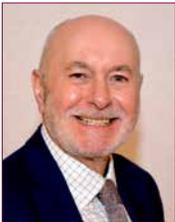
Meric has been an ethics and compliance officer for both publicly traded and non-profit organizations. He has personally conducted more than 400 internal investigations and has trained thousands of HR and compliance professionals to conduct investigations.



### **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, developing and implementing ethics and compliance education programs for more than 5,000 employees around the globe.



### **Robert Bond, CCEP**

#### **Partner & Notary Public, Bristows LLP, SCCE & HCCA Board Vice President**

Robert specialises in laws and regulations relating to data privacy, cyber security, IP and digital media. He is a legal expert and author in the fields of e-commerce, computer games, media and publishing, data protection, information security, and cyber risks.



### **Anna Cook**

#### **Partner, Bristows LLP**

Anna is a lawyer specializing in IT projects, outsourcing, services contracts, copyright and confidentiality disputes. Her practice has focused on the IT sector since 1997 and she is ranked as an expert in information technology, commercial litigation and commercial contracts. She regularly advises clients about commercial law and large-scale IT projects, including the management of risk in ongoing projects, termination and exit.

Anna is a member of the Chartered Institute of Purchasing and Supply and the International Association of Defense Counsel. She is also a Trustee of the Society of Computers and Law and a member of its Media Board.



### **Alex Denoon**

#### **Partner, Bristows LLP**

Alex joined Bristows as Partner in December 2018. He is head of the regulatory team, primarily advising life sciences clients. He has more than 20 years' experience advising clients in the sector, having qualified as a solicitor (in Australia) in 1995 and moved to the UK in 2004. In addition to his LLB, Alex has a BSc in Human Genetics. Alex has a commercial and pragmatic approach, in part as a result of having spent more than five years in-house, including as GC and Company Secretary of Biotech Australia.

**Available to purchase onsite or online at**

## Thursday, 18 June

8:00–8:40

### Registration and Continental Breakfast *(included)*

8:40–8:45

### Introductory Remarks

8:45–9:30

### Introductory Concepts for Investigations

*Meric Bloch*

- Ethics of an investigation
- Procedural fairness
- Confidentiality

9:30–10:30

### Understanding and Assessing the Report

*Albert Gagne*

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

10:30–10:45

### Networking Break

10:45–11:45

### Legal Issues Unique to the Region

*Robert Bond, Anna Cook, and Alex Denoon*

- Impact of Data Protection laws on Investigations
- Privilege – “first response” and expert evidence
- European regulatory framework for medical devices makes unannounced inspections mandatory.

11:45–12:45

### Networking Lunch *(included)*

12:45–14:00

### Conducting Interviews

*Meric Bloch*

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

14:00–14:15

### Networking Break

14:15–15:15

### Interviewing the Subject of the Investigation

*Meric Bloch*

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

15:15–16:15

### 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 Hotline 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. This session concludes with verbal report-outs and interactive discussion and role play interviews.

16:15–17:15

### Networking Reception



## Friday 19 June

8:30–9:00

### Welcome Coffee

9:00–9:45

### Documentation Issues

*Albert Gagne*

- Developing policy & procedures to help manage the investigation program
- Utilizing internal investigation templates and checklists
- Advantages of using standard forms and reports

9:45–10:45

### Evidence and the Legal Elements of an Investigation

*Meric Bloch*

- Understanding evidence concepts
- The burdens of proof and persuasion

10:45–11:00

### Networking Break

11:00–12:00

### Common Regulatory Compliance Issues, Dealing with Regulators

*Robert Bond, Anna Cook, and Alex Denoon*

- Cooperation and actions to limit the scope of an enquiry
- Preparing to interact with regulators without notice.
- Handling requests: What are the limits on what a regulator can request?

12:00–13:00

### Networking Lunch *(included)*

13:00–14:00

### Preparing the Investigation Report

*Albert Gagne*

- Key elements of a good report
- Tailoring the report to the specific audience
- Practical tips for report writing
- Workshop exercise / case study in report writing
- Dos and don'ts

14:00–15:00

### Reporting Your Findings

*Albert Gagne*

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

15:00–15:15

### Networking Break

15:15–16:15

### Lessons Learned

*Albert Gagne, Meric Bloch*

- 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?

16:15

### Workshop Adjourns



## 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)

## Dietary Needs Request

Dairy Free  Gluten Free  Kosher  Vegetarian  Vegan

Other

## Acknowledgements

By submitting this registration, you agree to the full Terms and Conditions, including the use of your information, viewable at [corporatecompliance.org/2020investigations](http://corporatecompliance.org/2020investigations).

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## Registration Fees

|                          |                                       |         |
|--------------------------|---------------------------------------|---------|
| <input type="checkbox"/> | Members                               | \$1,200 |
| <input type="checkbox"/> | Non-Member                            | \$1,500 |
| <input type="checkbox"/> | Registration + First-Time Membership* | \$1,420 |
| <input type="checkbox"/> | Group Discount for 5–9 attendees      | (\$50)  |
| <input type="checkbox"/> | Group Discount for 10 or More         | (\$100) |

\*Save by joining today (first-time members only). Dues renew at \$325.

**TOTAL \$**

## Payment

Online registration at [corporatecompliance.org/2020investigations](http://corporatecompliance.org/2020investigations)

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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## Workshop Location and Hotel Reservations

### Marriott London Marble Arch

134 George Street, London, UK | +44 (0) 20 7723 1277 (hotel)

You may make your reservation at [bit.ly/IIWLondon](https://bit.ly/IIWLondon) or by calling toll free reservations +353 21 421 6400

Room rate is £230.00 per room, inclusive of VAT ( 20% VAT) and exclusive of breakfast

#### Sleeping room cancellation policy

- More than 90 days 10%
- 90 days – 61 days 25%
- 60 days – 30 days 40%
- 29 days – 10 days 60%
- 9 days – 3 days 80%
- 2 days – nights of 98%

#### Hotel accommodations are not included in your conference registration fee

**NOTICE:** Neither SCCE nor any hotel it is affiliated with will ever contact you to make a hotel reservation. If you receive a call soliciting reservations on behalf of SCCE or the event, it is likely from a room poacher and may be fraudulent. We recommend you make reservations directly with the hotel using the phone number or web link on the conference website. If you have concerns or questions, please contact +1 952.933.4977 or 888.277.4977.

**Terms and Conditions:** By submitting this registration, you agree to the full Terms and Conditions, including the use of your information, and SCCE's privacy policy which can be found at [corporatecompliance.org/2020investigations/tandc](https://corporatecompliance.org/2020investigations/tandc).

**REGISTRATION FEES:** are as listed and considered net of any local withholding taxes applicable in your country of residence. All prices are subject to change. SCCE will charge your credit card the correct amount should your total be miscalculated.

**GROUP DISCOUNTS:** are available for multiple people from the same organization attending at event. 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.

**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 or send a substitute, notification is required by email, sent to [helpteam@corporatecompliance.org](mailto:helpteam@corporatecompliance.org), prior to the start date of the event.

**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.

**Continuing Education:** 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-home-page](https://corporatecompliance.org/all-conferences-home-page). Select your conference, and then select the "Continuing Education" option on the left hand menu.

**Compliance Certification Board (CCB)<sup>®</sup>:** CCB has awarded a maximum of 14.1 CEUs for these certifications: Certified in Healthcare Compliance (CHC)<sup>®</sup>, Certified in Healthcare Compliance– Fellow (CHC-F)<sup>®</sup>, Certified in Healthcare Privacy Compliance (CHPC<sup>®</sup>), Certified in Healthcare Research Compliance (CHRC)<sup>®</sup>, Certified Compliance & Ethics Professional (CCEP)<sup>®</sup>, Certified Compliance & Ethics Professional–Fellow (CCEP-F)<sup>®</sup>, Certified Compliance & Ethics Professional–International (CCEP-I)<sup>®</sup>.

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