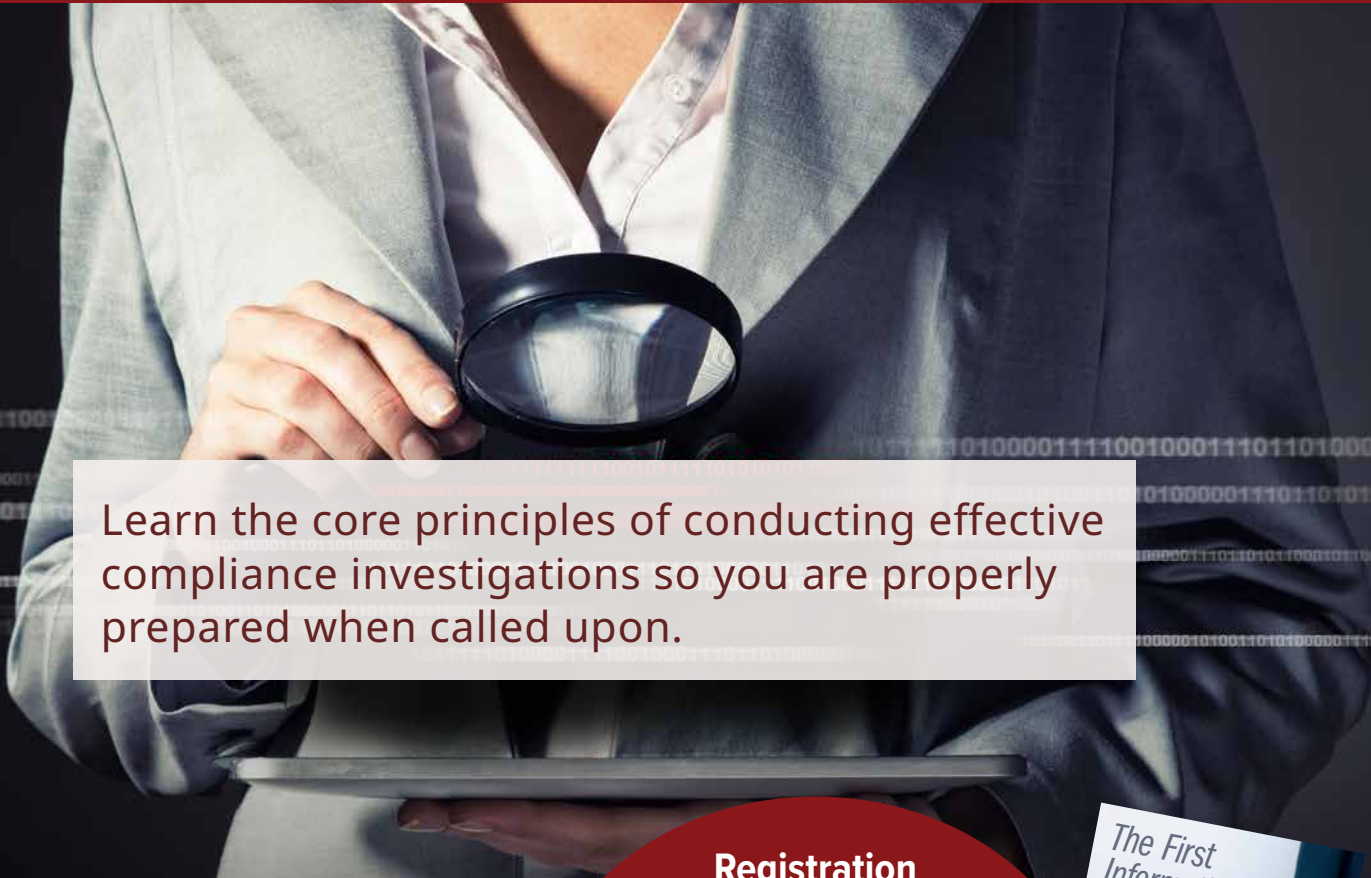


Essentials of Compliance Investigations

November 9–10, 2020

This conference will be held in Central Standard Time (CST)

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This agenda is in Central Standard Time (CST)

MONDAY, NOVEMBER 9

10:00 – 10:05 AM

Intro/Opening Remarks

Meric Bloch & Al Gagne

10:05 – 11:05 AM

Investigation Basics

Meric Bloch

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

11:05 – 11:25 AM

Break

11:25 AM – 12:45 PM

Planning the Investigation

Meric Bloch & Al Gagne

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

12:45 – 1:05 PM

Break

1:05 – 2:05 PM

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

TUESDAY, NOVEMBER 10

10:00 – 10:05 AM

Opening Remarks

Meric Bloch & Al Gagne

10:05 – 11:25 AM

Conducting Interviews

Meric Bloch

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

11:25 – 11:45 AM

Break

11:45 AM – 12:45 PM

Reporting Results

Al Gagne

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

12:45 – 1:05 PM

Break

1:05 – 2:05 PM

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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