

# FUNDAMENTALS OF COMPLIANCE INVESTIGATIONS

April 13–14, 2023 • Virtual (CT)

## GAIN THE TOOLS YOU NEED TO LEAD INVESTIGATIONS WITH CONFIDENCE

Get guidance from experienced practitioners on the core principles of conducting effective compliance investigations. You'll receive comprehensive instructions on planning your investigation, gathering evidence, conducting interviews, and much more.



## REGISTRATION INCLUDES

One year of online access to  
speaker Meric Bloch's book

**Register**

[corporatecompliance.org/2023aprinvestigations](https://corporatecompliance.org/2023aprinvestigations)



*This agenda is in Central Time (CT)*

## Thursday, April 13

10:00 – 10:05 AM CT

### Intro/Opening Remarks

*Meric Bloch & Al Gagne*

10:05 – 11:05 AM CT

### Investigation Basics

*Meric Bloch*

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

11:05 – 11:25 AM CT

### Break

11:25 AM – 12:45 PM CT

### Planning the Investigation

*Meric Bloch & Al Gagne*

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

12:45 – 1:05 PM CT

### Break

1:05 – 2:05 PM CT

### 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, April 14

10:00 – 11:20 AM CT

### Conducting Interviews

*Meric Bloch*

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

11:20 – 11:40 AM CT

### Break

11:40 AM – 12:40 PM CT

### Reporting Results

*Al Gagne*

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

12:40 – 1:00 PM CT

### Break

1:00 – 2:00 PM CT

### 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<sup>®</sup>** **Strategic Advisor, Winter Investigations**

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, CCEP<sup>®</sup>** **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.

# Fundamentals of Compliance Investigations



April 13–14, 2023 • Virtual • Central Time (CT)

## SECTION 1 Attendee Information

Mr  Mrs  Ms  Dr  Other \_\_\_\_\_ Member/Account ID (if known/applicable) \_\_\_\_\_

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) \_\_\_\_\_

## SECTION 2 Registration

### Options

<input type="checkbox"/> Member	\$399
<input type="checkbox"/> Non-Member	\$499
<input type="checkbox"/> Registration + First-Time Membership Offer*	\$624

\*Save by joining today (first-time members only). Dues renew at \$325. See "Acknowledgements" below for details.

### Group Discount

<input type="checkbox"/> Group Discount for 3–9**	(\$25)
<input type="checkbox"/> Group Discount for 10 or More**	(\$40)

\*\*Subtract the discount amount from your registration price. See "Group Discount Policy" under "Acknowledgements" below for more details.

TOTAL (TAX MAY APPLY) \$ \_\_\_\_\_

**SCCE Membership:** By selecting the Registration + First-Time Membership Offer, you agree to the full membership Terms and Conditions, including the use of your information, viewable at [corporatecompliance.org/membership/tandc](http://corporatecompliance.org/membership/tandc). To see the full use of your information or if you wish to opt-out, visit [corporatecompliance.org/privacy](http://corporatecompliance.org/privacy).

**Opt-Out:** Select if you would like to opt-out of the following:

Online Member Directory: SCCE's member directory lists first and last name, organization, title, address, and phone number.

## SECTION 3 Payment

Online registration with credit card payment at [corporatecompliance.org/2023aprinvestigations](http://corporatecompliance.org/2023aprinvestigations)

Mail a check to SCCE, 6462 City West Parkway, Eden Prairie, MN 55344 USA (contact SCCE for applicable tax and total)

To register with a check, wire transfer, or purchase order, or to pay with a credit card over the phone, please contact SCCE for an invoice with applicable taxes. Registration is not complete until full payment is received. Payments received with incorrect amounts will be returned. Due to PCI compliance, do not provide credit card information via email.

Email [helpteam@corporatecompliance.org](mailto:helpteam@corporatecompliance.org) or call SCCE at +1 952.933.4977 or 888.277.4977.

- Invoice me    Purchase Order Number (attach PO) \_\_\_\_\_
- Wire transfer requested

## SECTION 4 Acknowledgements

By submitting this registration, you agree to the full event Terms and Conditions, viewable at [corporatecompliance.org/conference/tandc](http://corporatecompliance.org/conference/tandc), including the use of your information that may be shared with conference exhibitors, attendees, speakers, affiliates, and partners for promotional and/or networking purposes. To see the full use of your information or if you wish to opt-out, visit [corporatecompliance.org/privacy](http://corporatecompliance.org/privacy).

By registering for this event, you also agree that you have read and agree to the Personal Accountability Commitment, the Assumption of Risk, and the Liability Waiver and Release viewable at [corporatecompliance.org/conference/tandc](http://corporatecompliance.org/conference/tandc).

**Registration Payment Terms:** Tax may apply. Your registration is not complete until the full registration payment is received. Access to the event will not be allowed until all fees have been paid. SCCE reserves the right to cancel your registration if we do not receive payment by the start date of the event.

**Group Discount Policy:** Registration for group discounts should be submitted online in one transaction. 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. If submitting via email or mail, registration forms (one for each participant) must be sent together to ensure the discount is applied.

**New Members:** By selecting the Registration + First-Time Membership Offer, you agree to the full membership Terms and Conditions, including the use of your information, viewable at [corporatecompliance.org/membership/tandc](http://corporatecompliance.org/membership/tandc).

**Photo/Video Release:** By registering for this event, you grant SCCE, or anyone authorized by SCCE, the right to use or publish in print or electronic format, any photographs or video containing your image or likeness for educational, news, or promotional purposes, without compensation.

## Frequently Asked Questions

### How will I access this event the day it begins?

Before the event starts, you will receive an access email with links to the virtual platform and additional conference information like the presentations. The email goes out 1–3 days prior to the event and is sent to the primary email address on your account. Please be sure to check your spam folder.

### What is included in the cost of my attendance?

Virtual access to the sessions, access to any supplemental conference materials, and networking opportunities.

### What software is required to attend this event?

We use a variety of platforms based on the needs of each conference, but they are all web-based platforms and require a strong and stable internet connection. We highly recommend testing the platform once the access email is received to confirm you can access the platform, view the video player, and utilize the chat feature. Occasionally, those who access these digital platforms over a VPN can experience technical difficulties. Zoom will be utilized for small group discussions at applicable events, but downloading Zoom is not necessary, as they have a web-based version as well.

### Can my co-workers listen in with me using screensharing or sitting together in the same room?

No, each individual who would like to participate in the conference needs to complete and submit an individual registration form. We do offer group discounts; please see our group discount options below.

### Will I receive a recording of this conference?

No. Registered attendees must participate in this event in real time as recordings are not available for any missed sessions. No audio or video recording by attendees is allowed.

### Is there a group discount, and if so, what is it?

Yes, we offer discounts for groups of three or more from the same organization for all our live in-person and virtual events (excluding webinars).

Registration for group discounts should be submitted online in one transaction. 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. If submitting via email or mail, registration forms (one for each participant) must be sent together to ensure the discount is applied.

For groups of 20 or more, please call +1 952.933.4977 or 888.277.4977 or email [helpteam@corporatecompliance.org](mailto:helpteam@corporatecompliance.org).

### What do I get with “Registration + First Time Membership?”

If you’ve never been an SCCE member, you can register as a First-Time Member. This gives you SCCE membership at a discounted rate for your first year. You also receive the member rate for the conference. As a member you receive all SCCE member benefits (discounts, *CEP* monthly magazine, *Ethikos*<sup>®</sup> digital quarterly newsletter, 4 free webinars per year, and more). A full list of benefits can be viewed at [corporatecompliance.org/membership](http://corporatecompliance.org/membership). Your membership will begin once payment is received.

### Can I get the member rate if I am a HCCA member instead of SCCE or vice versa?

Yes. As a member of SCCE or HCCA, you can receive the membership discount for both organizations’ events, but this cannot be done online. Please send your registration form via email to [helpteam@corporatecompliance.org](mailto:helpteam@corporatecompliance.org) to complete your registration.

### How can I cancel my registration?

If you need to cancel your participation (or send a substitute), your request must be submitted by email to [helpteam@corporatecompliance.org](mailto:helpteam@corporatecompliance.org). Cancellations received less than 14 calendar days prior to an event start date are subject to a \$75 cancellation fee. No refunds will be given for cancellations received on or after the start date of the event.

Alternatively, you may choose to send a substitute attendee in your place up to two business days prior to the event date. An additional fee may apply depending upon the membership status of the substitute.

### Who can I notify of special needs or concerns prior to the event?

Please call SCCE at +1 952.933.4977 or 888.277.4977 or email [helpteam@corporatecompliance.org](mailto:helpteam@corporatecompliance.org) if you have a special need and/or require an accommodation to participate.

## Continuing Education

### Can I earn continuing education units (CEUs) for attending this conference?

Yes. This conference offers live Compliance Certification Board (CCB)<sup>®</sup> continuing education units (CEUs) for participation as well as other external credit types. For those attendees seeking external credit types, you must participate in the conference using the online virtual conference format (not just using the dial in) for attendance monitoring purposes.

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

### How many CEUs will I earn from attending?

CEUs are assessed based on actual attendance and credit type requested. Should the overall number of education hours you attend or that the conference offers decrease or increase, the maximum number of CEUs available will be changed accordingly.

### How do I request CEUs following this conference?

Following this conference, you will be provided the Application for Continuing Education Units (CEUs). To receive CEUs, you must submit this completed application following the conference to [ccb@compliancecertification.org](mailto:ccb@compliancecertification.org). Only registered attendees are eligible to request CEUs for participation.

### When will I receive my CEU certificate for participation?

Once your completed Application for Continuing Education Units (CEUs) has been received by our staff, your CEU account will be updated within 2–4 weeks. To view your CCB CEUs and access your certificate, you can log in to your online [corporatecompliance.org](http://corporatecompliance.org) account, go to your Account Dashboard, and scroll down to View My CEUs.

### I would like to sit for one of the Compliance Certification Board (CCB)<sup>®</sup> exams following this conference; will I qualify?

In order to qualify for a CCB certification exam, you must review the applicable Candidate Handbook found at [corporatecompliance.org/candidate-handbooks](http://corporatecompliance.org/candidate-handbooks) to ensure you meet the CEU requirement as well as the work experience requirement.

### I have reviewed the Candidate Handbook and want to apply for the exam as soon as the conference concludes; what’s next?

Immediately following the conclusion of the conference, if you have reviewed your Candidate Handbook, submitted your Application for Continuing Education Units (CEUs), and confirmed you will meet the CEU requirements, you can go ahead and apply online for your exam at [corporatecompliance.org/apply-exam](http://corporatecompliance.org/apply-exam).

### Can I take my exam remotely?

Yes, CCB offers the flexibility for candidates to take their exam remotely, at a local testing site, or following certain SCCE conferences. To learn more about our various testing options, visit SCCE’s website, [corporatecompliance.org/exam-information](http://corporatecompliance.org/exam-information).

### I have more questions about exams and seeking certification; who can help me?

For more questions about CCB certifications, call to speak to a Certification Specialist at +1 952.933.4977 or 888.277.4977 or email [ccb@compliancecertification.org](mailto:ccb@compliancecertification.org).