

Internal Investigations Compliance Workshop

July 19–21, 2021

Lake Buena Vista, FL

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

Earn live Compliance Certification Board (CCB)[®] continuing education units (CEUs).

Registration
includes a 12-month
digital subscription to speaker
Meric Bloch's book:

**The First Information
is Almost Always
Wrong**
(\$110.00 value)



Register online
corporatecompliance.org/2021JulyInvestigations



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** to learn more about the workshop and SCCE's other programs.



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 and ethics and compliance experience. Prior to retirement, Al was responsible for assessing legal and compliance risks, as well as developing and implementing ethics and compliance education programs for more than 5,000 employees around the globe.



Gerry Zack, CFE, CCEP, CIA, CPA

CEO of the Society of Corporate Compliance and Ethics & Health Care Compliance Association

Gerry has more than 30 years of experience providing preventive, detective, and investigative services involving fraud, corruption, and compliance matters. He has worked globally with businesses of all sizes and in many industries, nonprofit organizations, and government agencies.

Uncover the facts

Eliminate some of the guesswork from your internal investigations.

Get valuable tips for effective workplace investigations with this three-book set from expert and speaker Meric Bloch.



Instructive guidance to help you handle the internal investigations process



A Q&A guide to help improve your interviewing skills



Tactics to help you be more effective at workplace investigations

Order your copies today
corporatecompliance.org/investigations-set

Monday, July 19

8:00–8:35 AM

Registration and Continental Breakfast *(included)*

8:35–8:45 AM

Introductory Remarks

8:45–9:30 AM

Introductory Concepts for Investigations

Meric Bloch

- Ethics of an investigation
- Procedural fairness
- Confidentiality

9:30–10:30 AM

Understanding and Assessing the Report

Albert Gagne

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

10:30–10:45 AM

Networking Break

10:45–11:45 AM

Planning the Investigation

Meric Bloch

- Determining the applicable standard
- Framing the investigation allegation
- Determining the investigation strategy

11:45 AM–12:30 PM

Gathering Documentary Evidence

Albert Gagne

- Getting your paper trail in order
- Utilizing documents for intelligence
- Managing the relevant documents

12:30–1:30 PM

Networking Lunch *(included)*

1:30–3:00 PM

Conducting Interviews

Meric Bloch

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

3:00–3:15 PM

Networking Break

3:15–4:00 PM

Interviewing the Subject of the Investigation

Meric Bloch

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

4:00–5:00 PM

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.

5:00–6:00 PM

Networking Reception

Tuesday, July 20

8:00–8:30 AM

Continental Breakfast *(included)*

8:30–9:00 AM

Investigations Roundtable

Meric Bloch / Albert Gagne

- Discuss your most pressing questions
- Share best practices
- Collaborate on solutions to the challenges internal investigators are facing in their companies

9:00–10:00 AM

Evidence and the Legal Elements of an Investigation

Meric Bloch

- Understanding evidence concepts
- The burdens of proof and persuasion
- Understanding the attorney-client privilege

10:00–10:15 AM

Networking Break

10:15–11:15 AM

Investigation Pitfalls and How to Avoid Them

Albert Gagne

- Addressing privacy and confidentiality concerns
- Dealing with represented employees
- Common situations investigators encounter

11:15 AM–12:15 PM

Reaching a Conclusion

Meric Bloch

- Evaluating your proof
- Finding the truth
- Considering factors related to the misconduct

12:15–1:15 PM

Networking Lunch *(included)*

1:15–2:15 PM

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

2:15–3:00 PM

Reporting Your Findings

Albert Gagne

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

3:00–3:15 PM

Networking Break

3:15–4:00 PM

What Should You Do?

Meric Bloch

- Apply what you have learned to real-life scenarios
- Get practical guidance for responding to specific situations
- Be ready when the unexpected issue pops up

Wednesday, July 21 Post Workshop

8:00–8:30 AM

Continental Breakfast *(included)*

8:30–9:00 AM

Documentation Issues

Albert Gagne

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

9:00–10:00 AM

Use of Third-Party Assistance in Investigations

Gerry Zack

- When to outsource certain elements of investigations
- Scope and legal considerations
- Managing third-party service providers

10:00–10:15 AM

Networking Break

10:15–11:00 AM

Implicit Bias and the Investigation

Gerry Zack

- Understanding the many types of bias we are all prone to
- How implicit bias affects investigations
- Specific actions you can take to deal with implicit bias

11:00 AM–12:00 PM

Common Investigation Issues

Meric Bloch / Al Gagne / Gerry Zack

This session will involve a discussion of common problems, mistakes that are easy to make, and other obstacles encountered when conducting workplace investigations.

12:00–1:00 PM

Networking Lunch *(included)*

1:00–3:00 PM

After the Investigation

Meric Bloch / Al Gagne / Gerry Zack

- Internal communications: What do you tell your employees?
- Self-disclosure to regulators
- Public relations
- Remediation plans and implementation
- Policy implications
- Could what we found be indicative of a bigger or broader issue?

3:00–3:15 PM

Networking Break

3:15–4:15 PM

Lessons Learned

Albert Gagne

- 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?

4:15–5:00 PM

Wrap-up with Q&A

Albert Gagne / Meric Bloch / Gerry Zack

- Provide an opportunity for attendees to ask questions and provide feedback

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/2021JulyInvestigations.

Your information (postal address) may be shared with conference exhibitors, attendees, speakers, affiliates, and partners for marketing and/or networking purposes. To see the full use or if you wish to opt-out, visit 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.

Registration Fees

<input type="checkbox"/>	Two Day Workshop (Day 1 & Day 2) Members	\$1,200
<input type="checkbox"/>	Two Day Workshop (Day 1 & Day 2) Non-Members	\$1,500
<input type="checkbox"/>	Registration (Day 1 & Day 2) + First-Time Membership Offer*	\$1,420
<input type="checkbox"/>	Post-workshop (Day 3) Members	\$600
<input type="checkbox"/>	Post-workshop (Day 3) Non-Members	\$700

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

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

<input type="checkbox"/>	Group Discount for 5–9 attendees**	(\$50)
<input type="checkbox"/>	Group Discount for 10 or More**	(\$100)

**See "Group Discount Policy" under "Acknowledgements" for details.

TOTAL \$ _____

Payment

Online registration at corporatecompliance.org/2021julyinvestigations

Mail this form to SCCE,
6462 City West Parkway, Eden Prairie, MN 55344 USA

Fax this form to +1 952.988.0146

Email this form to 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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- ☐ Credit card: I authorize SCCE to charge my:
- ☐ Visa ☐ MasterCard ☐ Discover ☐ American Express

Credit Card Account Number

Credit Card Expiration Date

Cardholder Name

Cardholder Signature

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Details

Workshop Location and Hotel Reservations

Disney Coronado Springs Resort

1000 West Buena Vista Drive, Lake Buena Vista, FL 32830
800-790-1415 (reservations) or 415-563-0800 (hotel)
Booking website: <https://book.passkey.com/go/SCCEJuly2021>

A reduced rate of \$239 per night (plus applicable taxes—currently 12.5% (Subject to change and fees) for single/double occupancy has been arranged. Book your reservations by calling the Disney Group Reservations Phone Team (407) 939-4686 or by using the online booking website: <https://book.passkey.com/go/SCCEJuly2021>. All reservations require a first night's room (plus tax) deposit. Any room cancellations 5 days (or less) prior to the arrival date or a no-show will forfeit this deposit. The cutoff date to receive the discounted rate is June 18, 2021 or when the group block is full, whichever comes first.

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/2021JulyInvestigations/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 an 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, 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.

Internal Investigations Workshop

Continuing Education: Credits are assessed based on actual attendance and credit type requested. Should overall number of education hours decrease or increase, the maximum number of CEUs available will be changed accordingly.

Compliance Certification Board (CCB)®: CCB has approved a maximum of **23.7 CEUs** for these certifications:
Certified in Healthcare Compliance (CHC)®,
Certified in Healthcare Compliance—Fellow (CHC-F)®,
Certified in Healthcare Privacy Compliance (CHPC®),
Certified in Healthcare Research Compliance (CHRC)®,
Certified Compliance & Ethics Professional (CCEP)®,
Certified Compliance & Ethics Professional Fellow (CCEP-F)®,
Certified Compliance & Ethics Professional—International (CCEP-I)®.

M 8.1 CCB

T 7.2 CCB

W 8.4 CCB

NASBA/CPE: The Society of Corporate Compliance and Ethics is registered with the National Association of State Boards of Accountancy (NASBA) as a sponsor of continuing professional education on the National Registry of CPE sponsors. State boards of accountancy have final authority on the acceptance of individual courses for CPE credit. Complaints regarding registered sponsors may be submitted to the National Registry of CPE Sponsors through its website: nasbaregistry.org. Sponsor Identification No: 143451. The education level for this activity is considered basic. No prerequisites are required for this education. Delivery Method: Group Live. Advanced Preparation: None. A recommended maximum of **23.6** credits based on a 50-minute hour will be granted for this activity. This program addresses topics that are of a current concern in the compliance environment and is a group-live activity in the recommended field of study of Specialized Knowledge. For more information regarding administrative policies such as complaints or refunds, call 888.277.4977 or +1 952.933.4977.

SCCE is in the process of applying for additional external continuing education units (CEUs). 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 attendee 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. To see the most up-to-date CEU information go to SCCE's website, corporatecompliance.org/all-conferences. Select your conference, and then select the "Continuing Education" option on the left hand menu.