

CONDUCTING COMPLIANCE INVESTIGATIONS

16–17 June 2022 • London, England

GAIN THE TOOLS YOU NEED TO BECOME A BETTER INVESTIGATOR

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/2022junecci



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

Become certified



Gain career credibility: Get certified

Certification matters. It can enhance your career and give you credibility with your organization and peers.

Take the first step and apply to sit for a Compliance Certification Board (CCB)[®] exam.

===== Exams now offered online =====

Learn more
corporatecompliance.org/certification

CCEP[®]
CERTIFIED COMPLIANCE & ETHICS
PROFESSIONAL

CCEP-I[®]
CERTIFIED COMPLIANCE & ETHICS
PROFESSIONAL INTERNATIONAL

CCEP-F[®]
CERTIFIED COMPLIANCE & ETHICS
PROFESSIONAL FELLOW



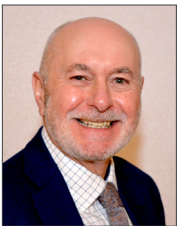
Meric Bloch, JD, CCEP-F, CFE, PCI
Vice President, Global Investigations, Booking Holdings Inc.

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
Legal & Regulatory Services, Bond & Bond LTD, SCCE & HCCA Board 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.

Thursday, 16 June

8:00–8:40

Registration and Welcome Coffee

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, 17 June

8:30–9:00

Registration and 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

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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	\$1,200
<input type="checkbox"/> Non-Member	\$1,500
<input type="checkbox"/> Registration + First-Time Membership Offer*	\$1,420

*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**	(\$100)
<input type="checkbox"/> Group Discount for 10 or More**	(\$150)

**See "Group Discount Policy" under "Acknowledgments" below for details.

TOTAL \$ _____

Dietary Needs Request

☐ Dairy Free ☐ Gluten Free ☐ Kosher ☐ Vegetarian ☐ Vegan ☐ Other _____

On-Site Cell Phone (for emergency on-site use only) _____

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. To see the full use of your information or if you wish to opt-out, visit 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 at corporatecompliance.org/2022junecci

Mail to SCCE, 6462 City West Parkway, Eden Prairie, MN 55344 USA Fax to +1 952.988.0146

Email to helpteam@corporatecompliance.org — Due to PCI compliance, do not provide credit card information via email.

Email this form without credit card information, then call SCCE at +1 952.933.4977 or 888.277.4977 with your payment.

- ☐ Invoice me
- ☐ Check enclosed (payable to SCCE)
- ☐ Wire transfer requested
- ☐ I authorize SCCE to charge my credit card: ☐ Visa ☐ MasterCard ☐ Discover ☐ American Express

Credit Card Account Number _____ Expiration Date _____

Cardholder Name _____ Cardholder Signature _____

Billing Address _____ Billing Zip/Postal Code _____

SECTION 4 Acknowledgements

By submitting this registration, you agree to the full event Terms and Conditions, viewable at 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.

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.

Group Discount Policy: Registration forms must be sent together to ensure that the discount is applied. 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.

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.

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.

Questions? Call +1 952.933.4977 or 888.277.4977 or email helpteam@corporatecompliance.org

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Frequently Asked Questions

Where will the conference take place?

London Marriott Hotel Marble Arch
134 George Street
London United Kingdom
W1H 5Dh

A reduced rate of 230 € GBP for a standard room inclusive of all taxes and fees for single/double occupancy per night. Make reservations [online](#) or call +44 20 7723 1277 and ask for the SCCE room block. All reservations must be guaranteed and accompanied by a first night room deposit or guaranteed with a major credit card. The cutoff date to receive this event rate is 31 May 2022. Cancellation policy: 72 hours prior to arrival.

PLEASE NOTE: 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 may be fraudulent.

We recommend you make reservations directly with the hotel using the phone number or web link in this brochure. If you have concerns or questions, please contact SCCE at 952.933.4977 or 888.277.4977.

What is included in the cost of my attendance?

You will receive access to the sessions, supplemental conference materials, networking opportunities, and complimentary continental breakfast/lunch.

What COVID-19 safety precautions will be implemented?

SCCE considers the health and safety of all those at in-person programs a top priority. Although participants should recognize that there is risk involved in attending, SCCE will follow the safety recommendations/guidelines provided by the CDC and other state and local government agencies in place at the time of the event. Additionally, SCCE will follow the venue requirements and work with the venue to provide a safe and enjoyable environment for all participants.

Can I see what sessions will be presented before I arrive on-site?

Yes. The program for the conference is posted online as soon as it is finalized.

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 group discounts for groups of three or more from the same organization for all our live in-person and virtual events (excluding webinars). Please send all group registration forms together to helpteam@corporatecompliance.org for processing. 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. For groups of 10 or more, please call +1 952.933.4977 or 888.277.4977 or email 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, *Compliance & Ethics Professional*® (CEP) monthly magazine, *Ethikos*® digital quarterly newsletter, member-exclusive webinars, and more). A full list of benefits can be viewed at corporatecompliance.org/membership. Your membership will begin once payment is received.

How do I use the credit on my account for this event?

You can complete the registration online and select the "Invoice Me" payment option at checkout. Once you receive your confirmation, email helpteam@corporatecompliance.org or call +1 952.933.4977 or 888.277.4977 to request your credit be applied toward the registration fee.

Can I get the member rate if I am an 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 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. A conference credit will be issued for all registration fees paid and will expire 12 months from the date of the original canceled event. Conference credits will not be issued if you do not attend the event and have not requested cancellation prior to the event start date. An additional fee may apply depending upon the membership status of the substitute.

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

Please call SCCE at +1 952.933.4977 or 888.277.4977 or email helpteam@corporatecompliance.org if you have a special need and/or require 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)® continuing education units (CEUs) for participation as well as other external credit types.

To see the most up-to-date CEU approval information, go to corporatecompliance.org/2022CCI and choose 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 this 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. 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 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)® 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 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 this 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.

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.

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.