

# Essentials of Compliance Investigations Conference

May 20–21, 2021 | Central Daylight Time (CDT)

A Virtual Conference

Learn the core principles of conducting effective compliance investigations, and receive detailed and valuable information from experienced investigators, Meric Bloch and Albert Gagne.



**Registration includes a one-year online access to speaker Meric Bloch's book:**

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

**Register online**  
[corporatecompliance.org/2021mayinvestigations](https://corporatecompliance.org/2021mayinvestigations)



## Thursday, May 20

8:00 – 8:05 AM CDT

### Intro/Opening Remarks

Meric Bloch & Al Gagne

8:05 – 9:05 AM CDT

### Investigation Basics

Meric Bloch

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

9:05 – 9:25 AM CDT

### Break

9:25 – 10:45 AM CDT

### Planning the Investigation

Meric Bloch & Al Gagne

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

10:45 – 11:05 AM CDT

### Break

11:05 AM – 12:05 PM CDT

### 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, May 21

8:00 – 8:05 AM CDT

### Opening Remarks

Meric Bloch & Al Gagne

8:05 – 9:25 AM CDT

### Conducting Interviews

Meric Bloch

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

9:25 – 9:45 AM CDT

### Break

9:45 – 10:45 AM CDT

### Reporting Results

Al Gagne

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

10:45 – 11:05 AM CDT

### Break

11:05 AM – 12:05 PM CDT

### 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.



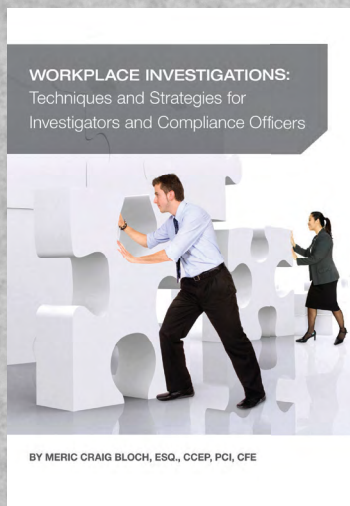
### Albert Gagne, MBA, CCEP Former Director, Ethics & Compliance, Textron Systems Corporation (retired)

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.

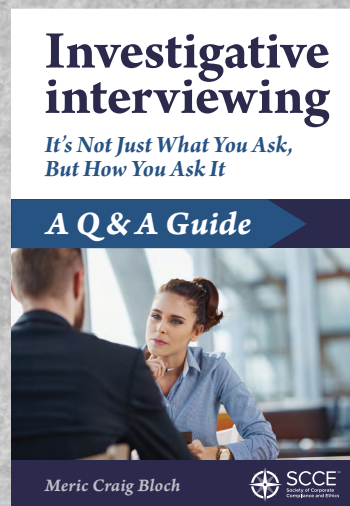


# Uncover the facts

Eliminate some of the uncertainty and guesswork from the internal investigations process. Get valuable tips and strategies for effective workplace investigations with these books from expert Meric Bloch.



*Workplace Investigations* provides instructive guidance to help you handle the internal investigations process.



*Investigative Interviewing* is a Q&A guide to help improve your interviewing skills.

Attendees can use promo code EWVC10 and get 10% off digital or physical copies of these books

Order your copies today  
[corporatecompliance.org/book\\_discount](http://corporatecompliance.org/book_discount)



## 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)

## Acknowledgements

By submitting this registration, you agree to the full Terms and Conditions, including the use of your information, viewable at [corporatecompliance.org/2021mayinvestigations](http://corporatecompliance.org/2021mayinvestigations)

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This virtual conference registration form allows only the registered attendee to stream, participate, and earn CEUs for the conference. If a second person would like to join, they must register themselves and have their own unique login to participate.

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## Registration Fees

<input type="checkbox"/>	Members	\$379
<input type="checkbox"/>	Non-Members	\$499
<input type="checkbox"/>	Registration + First-Time Membership Offer*	\$599
<input type="checkbox"/>	Group Discount for 3 or More**	\$25

TOTAL \$ \_\_\_\_\_

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

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## Payment

Online registration at [corporatecompliance.org/2021mayinvestigations](http://corporatecompliance.org/2021mayinvestigations)

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

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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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# Continuing Education Units

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Credits are assessed based on actual attendance and credit type requested. Should the overall number of education hours decrease or increase, the maximum number of CEUs available will be changed accordingly. Only registered attendees are eligible to request CEUs for participation. Attendees must participate in the virtual conference using the online virtual conference format (not just using the dial in) for attendance monitoring purposes.

**Compliance Certification Board (CCB)®:** CCB has approved a maximum of **8.0** 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)®.

## Daily Breakdown:

**Thursday** | 4.0 CCB CEUs

**Friday** | 4.0 CCB CEUs

\*Totals subject to change

**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

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