

# How to Conduct Effective Internal Investigations

**A TWO-DAY  
WORKSHOP**

**FIRST  
TIME  
OFFERED**

**NOVEMBER 11-12, 2010  
ORLANDO, FLORIDA**

A well-conducted internal investigation can help compliance and ethics officers quickly find and fix problems. A poorly conducted one can lead to morale issues, lost faith in the company's integrity, and even litigation. This intensive educational program will cover the critical components that compliance and ethics officers need to know to conduct effective internal investigations. Topics planned are:

- How Investigations Fit Into the Context of Compliance Programs
- Setting Policies and Guidelines for Conducting Internal Investigations
- How to Plan an Investigation
- Conducting Effective Interviews
- Gathering Documentary Evidence
- Forensics and Electronic Documents
- Investigation Pitfalls and How to Avoid Them
- Preparing the Report
- Discipline, Follow-Up, and Closing the Loop

The faculty will be made up of experienced internal investigators and outside experts.



*To learn more and register, visit  
[www.internalinvestigations.org](http://www.internalinvestigations.org)*



**SOCIETY OF CORPORATE  
COMPLIANCE AND ETHICS**

# AGENDA

SCCE's How to Conduct Effective Internal Investigations Workshop | November 11-12, 2010 | Orlando, Florida

## THURSDAY, NOVEMBER 11

7:00 – 8:00 AM

### Registration & Continental Breakfast

8:00 – 8:30 AM

### How Investigations Fit into the Context of Compliance Programs



*Latour 'LT' Lafferty, CCEP, CHC, Practice Leader, Fowler White Boggs P.A.*

8:30 – 8:45 AM

### Networking Break

8:45 – 10:15 AM

### Setting Policies and Guidelines for Conducting Internal Investigations



*Al Gagne, CCEP, Director, Ethics & Compliance, Textron Systems Corporation*

- Creating the framework
- Aligning to risk areas

10:15 – 10:30 AM

### Networking Break

10:30 – 11:30 AM

### How to Plan an Investigation



*Meric Bloch, CCEP, Vice President-Compliance and Corporate Investigations, Adecco*

- Interviewing the reporter to learn as much as possible
- Determining the precise allegation you need to investigate
- Making an effective investigation strategy

11:30AM – 12:30 PM

### Lunch

12:30 – 2:30 PM

### Conducting Effective Interviews



*Michael Johnson, Esq., Co-President, Global Compliance, Brightline Learning Division*



*Al Gagne, CCEP, Director, Ethics & Compliance, Textron Systems Corporation*

- Interview style
- Determining who's lying
- Documenting interviews

2:30 – 2:45 PM

### Networking Break

2:45 – 3:45 PM

### Gathering Documentary Evidence



*Meric Bloch, CCEP, Vice President-Compliance and Corporate Investigations, Adecco*

- Identifying your paper trail
- Using documents for intelligence purposes
- Avoiding the review of every shred of paper

3:45 – 4:00 PM

### Networking Break

4:00 – 5:00 PM

### Forensics and Electronic Documents



*Andy Teichholz, Director, Discovery Services, Navigant Consulting, Inc.*

5:00 – 6:00 PM

### Networking Reception

# AGENDA

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## FRIDAY, NOVEMBER 12

8:00 – 9:00 AM

### Registration & Continental Breakfast

9:00 – 10:00 AM

### Investigation Pitfalls and How to Avoid Them



*Latour 'LT' Lafferty, CCEP, CHC, Practice Leader, Fowler White Boggs P.A.*



*Margaret Bavuso, Chief Compliance Officer, NYU Abu Dhabi*

- Privacy/Confidentiality
- Represented Workers
- Privilege
- International Issues

10:00 – 10:15 AM

### Networking Break

10:15 AM – 12:15 PM

### Preparing the Report



*Al Gagne, CCEP, Director, Ethics & Compliance, Textron Systems Corporation*



*Meric Bloch, CCEP, Vice President-Compliance and Corporate Investigations, Adecco*

- Evaluating the evidence
- Common elements of a good report
- Preparing the right report for your particular audience.

12:15 – 1:15 PM

### Lunch

1:15 – 2:15 PM

### Discipline, Follow Up and Closing the Loop



*Al Gagne, CCEP, Director, Ethics & Compliance, Textron Systems Corporation*



*Margaret Bavuso, Chief Compliance Officer, NYU Abu Dhabi*

- Corrective Actions
  - Should the investigator participate in the determination of corrective action?
  - Consistent discipline
- Continuous improvement to the compliance and ethics program

2:15 – 2:30 PM

### Networking Break

2:30 – 4:30 PM

### Investigations Roundtable



*Al Gagne, CCEP, Director, Ethics & Compliance, Textron Systems Corporation*



*Margaret Bavuso, Chief Compliance Officer, NYU Abu Dhabi*



*Michael Johnson, Esq., Co-President, Global Compliance, Brightline Learning Division*



*Meric Bloch, CCEP, Vice President-Compliance and Corporate Investigations, Adecco*



*Latour 'LT' Lafferty, CCEP, CHC, Practice Leader, Fowler White Boggs P.A.*

- Your chance to ask the experts

# DETAILS

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## HOTEL INFORMATION

Walt Disney World Swan and Dolphin  
1500 Epcot Resorts Boulevard, Lake  
Buena Vista, FL 32830  
[www.swandolphin.com](http://www.swandolphin.com)

Hotel rooms are \$155 plus applicable state and local taxes (currently at 12.5%). Please request the group rate for SCCE. There is also a Resort Service Package of \$10.00 (exclusive of tax) per room per day which includes unlimited local calls and 800 number calls up to sixty minutes, 20 minutes of domestic long distance per day, complimentary bottled water replenished daily, high speed internet access, and unlimited admission to the onsite fitness center. The rate is good until Friday, October 15, 2010, or until the group block is sold out, whichever comes first.

## CONTINUING EDUCATION CREDITS

SCCE is in the process of applying for additional credits. If you do not see information on your specific accreditation listed, please contact us at +1 952 933 4977 or 888 277 4977, as we would like the opportunity to offer it.

**ACHE:** This program has prior approval from the American College of Healthcare Executives (ACHE) for a recommended maximum of 13 category II continuing education credits.



**SCCE**net

<http://community.corporatecompliance.org>

**NO AUDIO OR VIDEO RECORDING OF  
SCCE CONFERENCES IS ALLOWED.**

**CA Nursing Credit:** The Health Care Compliance Association is preapproved by the California Board of Registered Nursing: Provider Number CEP 12990, for a maximum of 15.6 contact hour(s). The following states will accept CA Board of Nursing Contact Hours: Alabama, Alaska, Arkansas, Iowa, Kansas, Kentucky, Louisiana, Michigan, Minnesota, Nebraska, Nevada, New Mexico, North Carolina, North Dakota, Ohio, Oregon, Texas, West Virginia and Wyoming. The following states do not have continuing education requirements: Arizona, Colorado, Connecticut, Georgia, Hawaii, Indiana, Maine, Missouri, Montana, New York, Oklahoma, Pennsylvania, South Dakota, Tennessee, Vermont, Virginia, Washington and Wisconsin. The following states will not accept CA Board of Nursing contact hours: Delaware, Florida, New Jersey and Utah. Massachusetts and Mississippi nurses may submit CA Board of Nursing contact hours to their state board, but approval will depend on review by the board. Please contact the Accreditation Department at [ccb@hcca-info.org](mailto:ccb@hcca-info.org) with any questions you may have.

**Certification Board (CCB):** Certified in Healthcare Compliance (CHC), Certified Compliance & Ethics Professional (CCEP), Certified in Healthcare Research Compliance (CHRC), Certified in Healthcare Privacy Compliance (CHPC): CCB has awarded a maximum of 15.6 CEUs for these accreditations in the following subject areas: Application of Management Practices for the Compliance Professional; Application of Personal and Business Ethics in Compliance; Written Compliance Policies and Procedures; Designation of Compliance Officers and Committees; Compliance Training and Education; Communication and Reporting Mechanisms in Compliance; Enforcement of Compliance Standards and Discipline; Auditing and Monitoring for Compliance; Response to Compliance Violations and Corrective Actions; HIPAA Privacy Implementation and/or Complying with Government Regulations.

**CLE:** The Health Care Compliance Association/Society of Corporate Compliance and Ethics is a State Bar of California Approved MCLE provider, a Rhode Island Accredited Provider, and a Texas Accredited Sponsor. Approximately 13 Clock hours of credit at maximum are available to attendees. The Florida Bar has approved this course for continuing legal education credit under the plan(s) and in the area(s) as follows: 15.50 General CLER credits including 0 ethics, 0 professionalism, 0 substance abuse, and 0 mental illness awareness. All CLE credits will be awarded based on individual attendance.

**NASBA/CPE:** The Health Care Compliance Association 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, Sponsor Identification No: 105638. State boards of accountancy have final authority on the acceptance of individual courses for CPE credit and may not accept one-half credits. To verify if your state board of accountancy has adopted one-half credits, please visit our website at [www.hcca-info.org/accountancycredits](http://www.hcca-info.org/accountancycredits). Complaints regarding registered sponsors may be addressed to the National Registry of CPE Sponsors, 150 Fourth Avenue North, Suite 700, Nashville, TN 37219-2417. Website: [www.nasba.org](http://www.nasba.org). A recommended maximum of 15.5 credits based on a 50-minute hour will be granted for the entire learning activity. This program addresses topics that are of a current concern in the compliance environment. This is an update, group-live activity. For more information regarding administrative policies such as complaints or refunds, call the HCCA at 888-580-8373 or 952-988-0141.



# REGISTRATION

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## ATTENDEE INFORMATION *(PLEASE TYPE OR PRINT)*

Mr.  Mrs.  Ms.  Dr.

SCCE/HCCA Member ID

First Name MI

Last Name

Credentials (CCEP, etc.)

Title

Place of Employment

Street Address

City

State Postal Code

Phone

Fax

E-mail (required for registration confirmation & conference information)

## HOW TO REGISTER

**MAIL:** Include registration form with check payable to:  
SCCE, 6500 Barrie Road, Suite 250  
Minneapolis, MN 55435, United States

**ONLINE:** [www.corporatecompliance.org](http://www.corporatecompliance.org)

**FAX:** +1 952 988 0146 (including billing information)

## QUESTIONS?

Call +1 952 933 4977 or 888 277 4977 (U.S. & Canada)  
or e-mail [helpteam@corporatecompliance.org](mailto:helpteam@corporatecompliance.org)

## CHOOSE YOUR REGISTRATION FEE

- SCCE/HCCA member**..... \$695
- Non-member**..... \$795
- Registration plus SCCE membership** ..... \$895  
*Save by joining SCCE today (new members only)*
- Registration and membership renewal**..... \$990  
*Current members, register and renew your membership today*
- Conference binder (optional)**..... \$25  
*All registered attendees will receive electronic access to printable conference materials, but will not receive a binder unless one has been purchased*

**TOTAL** \_\_\_\_\_

## PAYMENT

- Check enclosed (payable to SCCE)
- Invoice me PO # \_\_\_\_\_
- I authorize SCCE to charge my credit card (choose below)
- CREDIT CARD:  AmericanExpress  Diners Club  MasterCard  Visa

Credit Card Account Number

Credit Card Expiration Date

Cardholder's Name

Cardholder's Signature

## PAYMENT TERMS

**Cancellations and Substitutions:** No refunds will be given for no-shows or cancellations. You may send a substitute or receive a conference credit. If you have questions, please call SCCE at +1 952 933 4977 or 888 277 4977. Additional charges may apply. Cancellation by telephone is NOT valid. Please fax written cancellations to +1 952 988 0146 or email [helpteam@corporatecompliance.org](mailto:helpteam@corporatecompliance.org).

**Group Discount:** Each individual in a group of five or more will receive \$100 off his/her registration fee. Please complete a registration form for each attendee and fax or mail them in simultaneously.

**Conference Binder:** Registered conference attendees will receive electronic access to the course materials but will not automatically receive a pre-printed binder. If you would like to purchase a binder for \$25, please check "Conference binder" on the registration form above. Note that conference binders may only be purchased by registered conference attendees and must be purchased at the time of registration.

Federal Tax ID: 23-2882664 / Code: WS1110



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