

Internal Investigations Workshop

June 8 – 10, 2020 • Lake Buena Vista, FL



- Interactive sessions
- Experienced presenters
- Comprehensive instruction

corporatecompliance.org/2020investigations



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](https://www.corporatecompliance.org) to learn more about the workshop and SCCE's other programs.

About our speakers



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.



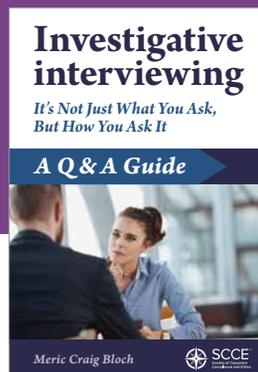
Gerry Zack, CFE, CCEP, CIA, CPA
CEO of the Society of Corporate Compliance and Ethics & Health Care Compliance Association

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.

Become a better investigator



Workplace Investigations
Strategies to help you handle the internal investigations process



Investigative Interviewing
A Q&A guide to help improve your interviewing skills



The First Information Is Almost Always Wrong
Tactics to help you master the art and science of workplace investigations

Available to purchase onsite or online at corporatecompliance.org/books



Monday, June 8

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 AM–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, June 9

8:00–8:30 AM

Continental Breakfast *(included)*

8:30–9:00 AM

Investigations Roundtable

Meric Bloch / Albert Gagne / Gerry Zack

- 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, June 10

Post Workshop

8:00–8:30 AM

Continental Breakfast *(included)*

8:30–9:00 AM

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

9:00–10:00 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/2020investigations.

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.

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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-Member | \$1,500 |
| <input type="checkbox"/> | Registration (Day 1 & Day 2) + First-Time Membership* | \$1,420 |
| <input type="checkbox"/> | Post-workshop (Day 3) Members | \$600 |
| <input type="checkbox"/> | Post-workshop (Day 3) Non-Members | \$700 |
| <input type="checkbox"/> | Group Discount for 5–9 attendees | (\$50) |
| <input type="checkbox"/> | Group Discount for 10 or More | (\$100) |

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

TOTAL \$

Payment

Online registration at corporatecompliance.org/2020investigations

Mail this form to SCCE, 6500 Barrie Road, Suite 250, Minneapolis, MN 55435-2358, 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 Account Number

Credit Card Expiration Date

Cardholder Name

Cardholder Signature

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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)

Online Reservations

The room rate is \$239 per night single occupancy- Hotel room rates are subject to applicable state and local taxes (currently 12.5%) in effect at the time of check-out. Wi Fi/Health Club access is included with your rate. . Please book your reservations by calling the hotel directly at 407-939-4686 or online at mydisneygroup.com/scce2020
Cancellation Policy: Each individual room reservation must be confirmed and guaranteed by the attendee with a deposit equal to the full price of the room for one night. Should an attendee cancel a reservation, refund of the deposit and/or cancellation fees will be in accordance with Hotel general policy at that time (currently a refund is given if an individual's reservation is canceled at least five days before arrival). The cutoff date for the group rate is May 8, 2020 or once the group room 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/2020investigations/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 at 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.

Cancelations/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.

Continuing Education: SCCE is in the process of applying for additional external continuing education units (CEUs). Should overall number of education hours decrease or increase, the maximum number of CEUs available will be changed accordingly. Credits are assessed based on actual attendance and credit type requested.

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 attendees 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-home-page. Select your conference, and then select the "Continuing Education" option on the left hand menu.

Compliance Certification Board (CCB)[®]: CCB has awarded a maximum of 22.8 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)[®].

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