



# *Effective* Internal Investigations

A TWO-DAY  
WORKSHOP

## *for Compliance Professionals*

NOVEMBER 10-11, 2011 | SAN FRANCISCO, CALIFORNIA

An internal investigation done correctly can quickly resolve issues.

Done incorrectly, it can be divisive, disruptive, costly, and time consuming.

Learn the essentials of workplace investigations November 10-11 at SCCE's *Effective Internal Investigations for Compliance Professionals*. This live learning program will provide compliance & ethics professionals with practical guidance and training in conducting effective workplace investigations. Don't wait—register now to help get the expertise you need to conduct effective internal investigations.

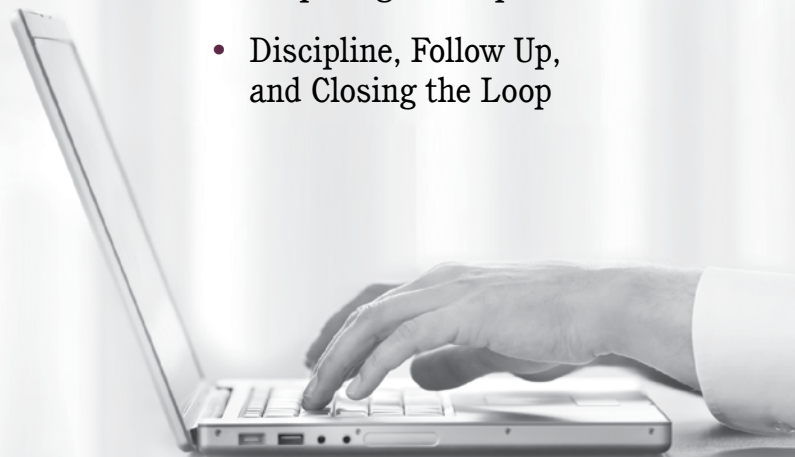
To learn more and register, visit  
[www.internalinvestigations.org](http://www.internalinvestigations.org)

### Topics include:

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



SOCIETY OF CORPORATE  
COMPLIANCE AND ETHICS



# AGENDA

Effective Internal Investigations for Compliance Professionals | November 10-11, 2011 | San Francisco, California

## THURSDAY, NOVEMBER 10

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.*

- Review organizational liability and the role of effective compliance and ethics programs
- Understand what it means to be an “effective” program
- Learn how internal investigations support the overall compliance and ethics program

8:30 – 9:45 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

9:45 – 10:00 AM

### Networking Break

10:00 – 11:00 AM

### How to Plan an Investigation



*Meric Bloch, CCEP, CFE, PCI, JD, Vice President-Compliance and Corporate Investigations, Adecco Group North America*

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

11:00 AM – 12:00 PM

### Gathering Documentary Evidence



*Meric Bloch, CCEP, CFE, PCI, JD, Vice President-Compliance and Corporate Investigations, Adecco Group North America*

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

12:00 – 1:00 PM

### Lunch

1:00 – 2:30 PM

### Who's Lying: Detecting Deception in Internal Investigations



*Michael W. Johnson, Esq., CEO, Clear Law Institute*

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

2:30 – 2:45 PM

### Networking Break

2:45 – 4:15 PM

### Forensics and Electronic Documents



*Andy Teichholz, Esq., Senior Discovery Consultant, Daegis*

- The focus of this program will be to address keys to success for internal investigations. With this in mind, the agenda is as follows:
  - To provide an overview of e-Discovery and computer forensics process and concepts in an investigative context
  - To identify preliminary investigative considerations to chart out a work plan with outside counsel and experts in addressing e-Discovery issues
  - To address the scope and requirements for data preservation, collection, processing, interrogating, and producing data to accomplish objectives

4:15 – 5:30 PM

### Networking Reception

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## FRIDAY, NOVEMBER 11

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.*

- 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, CFE, PCI, JD, Vice President-Compliance and Corporate Investigations, Adecco Group North America*

- 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*

- 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*



*Michael W. Johnson, Esq., CEO, Clear Law Institute*



*Meric Bloch, CCEP, CFE, PCI, JD, Vice President-Compliance and Corporate Investigations, Adecco Group North America*



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



*Andy Teichholz, Esq., Senior Discovery Consultant, Daegis*

- Your chance to ask the experts

# DETAILS

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## HOTEL INFORMATION

Sheraton Fisherman's Wharf  
2500 Mason Street  
San Francisco, CA 94133  
www.sheratonatthewharf.com

A sleeping room rate of \$189.00 plus tax (currently 15.6%) for single/double occupancy has been arranged for this program. Please call 888 627 7024 by October 26, 2011 and identify yourself as a member of SCCE/Internal Investigations. All reservations must be guaranteed and accompanied by a first night room deposit or guaranteed with a major credit card.

## CONTINUING EDUCATION UNITS

SCCE is in the process of applying for additional continuing education units. If you have questions, please contact us at +1 952 933 4977 or 888 277 4977.

**CLE:** The Society of Corporate Compliance and Ethics is a State Bar of California Approved MCLE provider, a Pennsylvania Accredited Provider, a Rhode Island Accredited Provider, and a Texas Accredited Sponsor. An approximate maximum of 12.75 clock hours of CLE credit will be available to attendees of this conference. All CLE credits will be awarded based on individual attendance.

**Compliance Certification Board (CCB):** Certified in Healthcare Compliance (CHC)<sup>®</sup>, Certified in Healthcare Compliance Fellow (CHC-F), Certified Compliance & Ethics Professional (CCEP)<sup>®</sup>, Certified Compliance & Ethics Professional Fellow (CCEP-F), Certified in Healthcare Research Compliance (CHRC)<sup>®</sup>, Certified in Healthcare Privacy Compliance (CHPC)<sup>®</sup>: CCB has awarded a maximum of 15.3 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.

**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, 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.corporatecompliance.org/accountancycredits](http://www.corporatecompliance.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 15.0 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 SCCE at +1 952 933 4977 or 888 277 4977.

## SPONSORS

### *AIS's Report on* **MEDICARE COMPLIANCE**

### *AIS's Report on* **PATIENT PRIVACY**



**SCCE**net  
community.corporatecompliance.org

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

# 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.internalinvestigations.org](http://www.internalinvestigations.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

## DETAILS

**REGISTRATION PAYMENT:** Checks are payable to SCCE. Credit cards accepted: American Express, Diners Club, MasterCard, or Visa. SCCE will charge your credit card the correct amount should your total be miscalculated.

**TAX DEDUCTIBILITY:** All expenses incurred to maintain or improve skills in your profession may be tax deductible; including tuition, travel, lodging and meals. Please consult your tax advisor (Federal tax ID # 23-2882664).

**CANCELLATIONS/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 e-mail [helpteam@corporatecompliance.org](mailto:helpteam@corporatecompliance.org).

**GROUP DISCOUNTS:** 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 BINDERS:** Attendees will not automatically receive conference binders, but will receive electronic access to course materials. If you would like to purchase the binders for \$25, check "Conference binder" on your registration form.

**DRESS CODE:** Business casual dress is appropriate for conference attendees.

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6500 Barrie Road, Suite 250  
Minneapolis, MN 55435, United States  
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