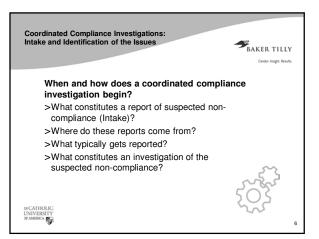




# Shaker tilly Conduct regist finals. > Learn how institutions conduct coordinated compliance investigations by leveraging resources that may already be available to a compliance function > Understand the key elements of a coordinated compliance investigation > Discuss the roles of key stakeholders in the investigation process > Review leading practices for conducting successful investigations | CATHOLIC UNIVERSITY OF AMERICA | CONTINUE | CONTINU

## What does it mean to conduct a coordinated compliance investigation? > Define coordinated compliance investigation > Discuss the requirements under the Federal Sentencing Guidelines > Identify the stakeholders involved > Share examples of a coordinated investigation vs. an investigation conducted solely by compliance

## What are the key elements of a coordinated compliance Investigation? >Intake (receiving the report) >Identification of the issues >Choose investigator/team >Review standards and background documents >Conduct interviews >Determine the facts >Report findings >Corrective action and discipline >Document outcomes



## Coordinated Compliance Investigations: Choose Investigator/Team



### What are the roles of key stakeholders involved in an investigation?

- >Define each stakeholder's role
- >Discuss how each stakeholder can add value
- >Determine how to develop and foster relationships
- >Share examples of working with various stakeholders





### Coordinated Compliance Investigations: Choose Investigator/Team



### How can you leverage key departments in an investigation?

- >Typical departments to collaborate with through an investigation
- -Internal Audit
- -Compliance
- -General Counsel
- -Other key departments/stakeholders





## Coordinated Compliance Investigations: Review Standards and Background Documents



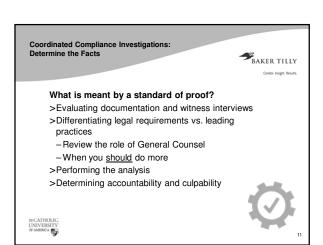
### What investigatory guidelines should you have in

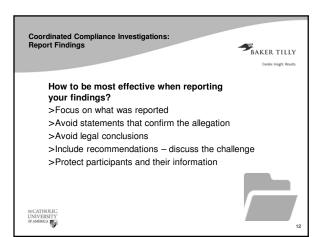
- >Setting policies and standards for conducting internal investigations - must be prompt, thorough, and <u>objective</u>
- >Gathering documentary evidence
- >Conducting effective interviews
- >Preparing the report
- >Disciplining, following up, closing the loop

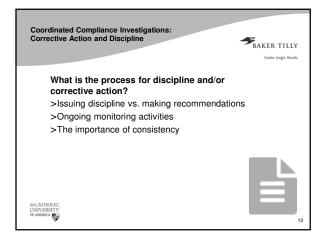


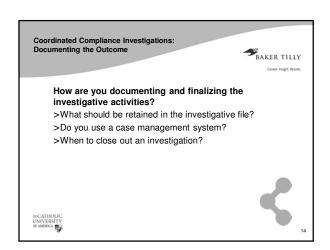


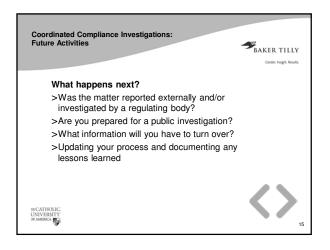
# Coordinated Compliance Investigations: Conducting Interviews BAKER TILLY Conducting Interviews How do you get the most out of the interview process? >Identify the key participants/interviewees >Determine an effective order >Refine your questions >Document your discussion











# Coordinated Compliance Investigations: Examples and Lessons Learned What is the value of a coordinated compliance investigation? > Reduces the level of effort across the institution and within each role > Leverages subject matter expertise throughout the investigative process > Streamlines the process to create a consistent investigative approach > Monitors remediation activities and increases accountability

