

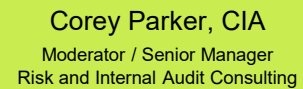
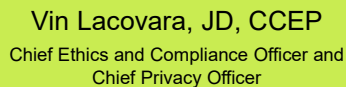
# How to Effectively Navigate an Investigation



THE CATHOLIC  
UNIVERSITY  
OF AMERICA 



## Panelist introductions



1

## Learning objectives

- Understand how institutions can create standards for conducting investigations to ensure the process is consistently performed in a way that adds value for all stakeholders
- Understand opportunities for leveraging existing communication channels and internal controls to enhance the investigations process
- Understand how data analytics and key performance metrics can be used to monitor trending activities across an institution
- Understand leading practices in navigating complex investigations at any institution

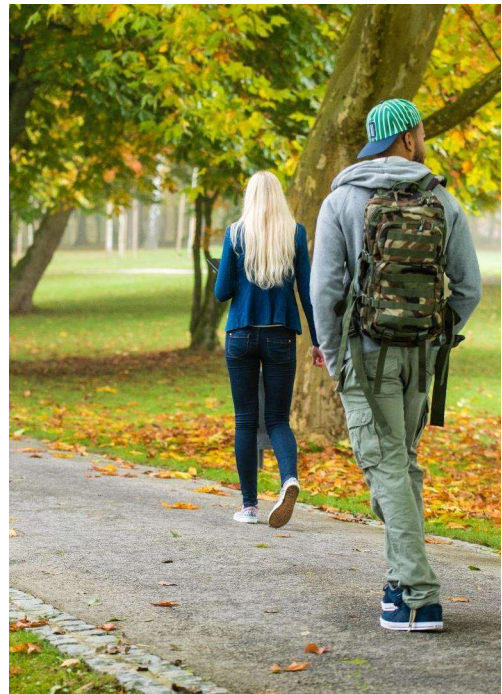
3

3

POLLING QUESTION #1

Who typically leads the investigation process at your institution?

- A. Internal Audit
- B. Compliance
- C. General Counsel's Office/Legal
- D. Risk Management
- E. Do not know or other



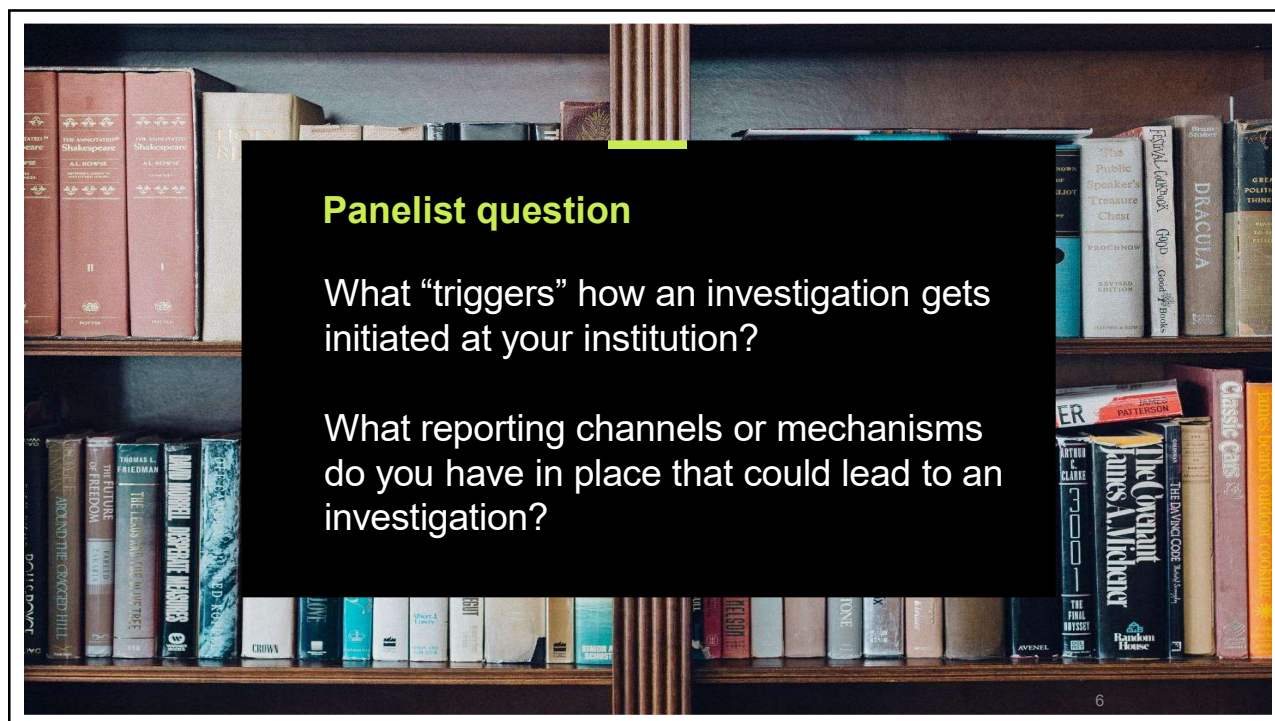
4



## Investigation techniques

5

5



### Panelist question

What “triggers” how an investigation gets initiated at your institution?

What reporting channels or mechanisms do you have in place that could lead to an investigation?

6

6



POLLING QUESTION #2

When is Compliance the area that leads or conducts an investigation at your institution?

- A. Compliance always conducts or leads the investigations
- B. Compliance is always involved, but another area may conduct an investigation
- C. The relevant area conducts investigations, with minimal involvement from Compliance
- D. Do not know or other



7

7

### Panelist question

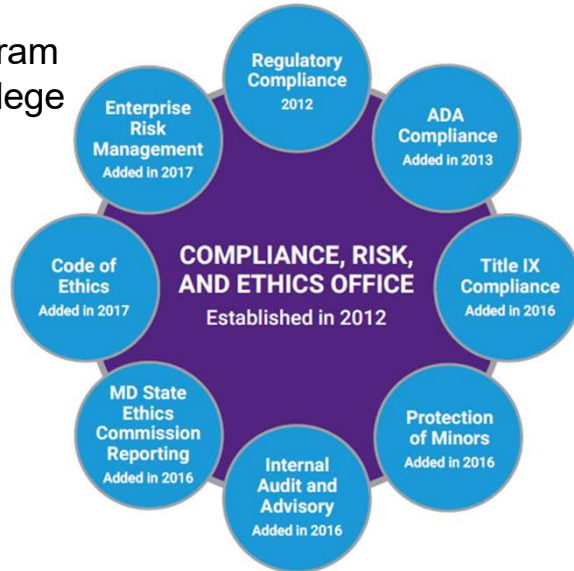
What role does Compliance have in your institution's investigation process?

What other institutional partners have a role in this process or does it depend on the nature/type of the investigation?

8

8

## Compliance and Ethics Program Overview – Montgomery College



### ROADMAP FOR EMPLOYEES TO ADDRESS CONCERNS

**Do you have a concern you feel needs to be addressed?** This document provides a roadmap regarding where you can go for assistance and resolution.

**Contact your supervisor or manager with your concern.** Supervisors and managers are your first line of communication.

#### Ombuds—Guidance at any time.

- Confidential, neutral, independent, and informal resource with whom you can discuss any and all workplace issues
- Offers discussion and coaching on workplace issue resolution, strategies, and options
- Refers employees to other MC resources

[Ombuds@montgomerycollege.edu](mailto:Ombuds@montgomerycollege.edu)

#### EthicsPoint Reporting Line

- Submit concerns anonymously and confidentially
  - Managed by the Office of Compliance, Risk, and Ethics
- [montgomerycollege.ethicspoint.com](mailto:montgomerycollege.ethicspoint.com)  
844-572-2198

#### Intellectual Property Concerns

- Contact the Dean of the relevant academic department

#### Additional Resources

- Governance Councils
- Labor Unions—AAUP, SEIU, or AFSCME

#### Student Concerns

Visit the Student Complaint Resolution webpage for policies and procedures about reporting your concerns.

If contacting your supervisor/manager is not possible or appropriate, or you wish to obtain further assistance, then contact the appropriate area listed below. Your options for consultation and resolution may vary based upon your concern.

#### Human Resources: Employee and Labor Relations

- Alcohol or Drug Abuse • Benefit Abuse • Bias Incidents
- Disability Discrimination • Discrimination or Harassment
- Employee Behavior • Incivility • Negligence or Favoritism
- Sexual Harassment • Workplace Violence or Bullying

#### Compliance, Risk, and Ethics

- Conflict of Interest • Disability Access Issues • Ethical Misconduct
- Grants Research Fraud or Misconduct • Improper Giving or Receiving Gifts
- Maryland State Ethics Filing and Reporting Questions
- Protection of Minors • Regulatory Compliance
- Violations of College Policies not otherwise identified
- Title IX • Athletic Concerns

#### Internal Audit

- Accounting and Auditing Matters
- Falsification of Contracts, Reports or Records
- Fraud • Theft/Embezzlement • Employee Time Reporting or Time Abuse
- Waste, Abuse, and Misuse of Institution Resources

#### IT Privacy & Cybersecurity Compliance

- Data Privacy • Inappropriate Use of Technology
- Account Compromise/Credential Theft

#### Environmental Safety

- Occupational Safety Concerns • Environmental Related Issues

#### Library

- Copyright Questions and Concerns

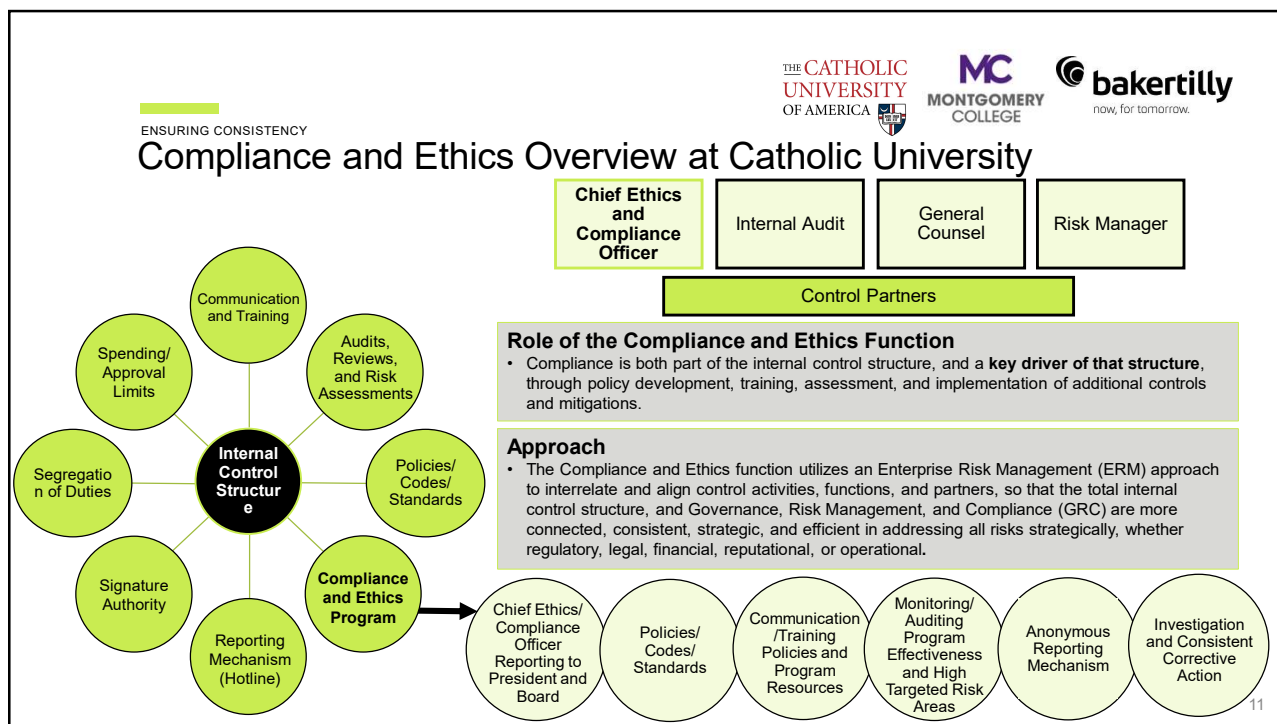
#### Office of Public Safety and Emergency Management

- Physical Safety and Protection • First Aid • Emergency Assistance
- 24-hour Escort Service (upon request) • Lost and Found

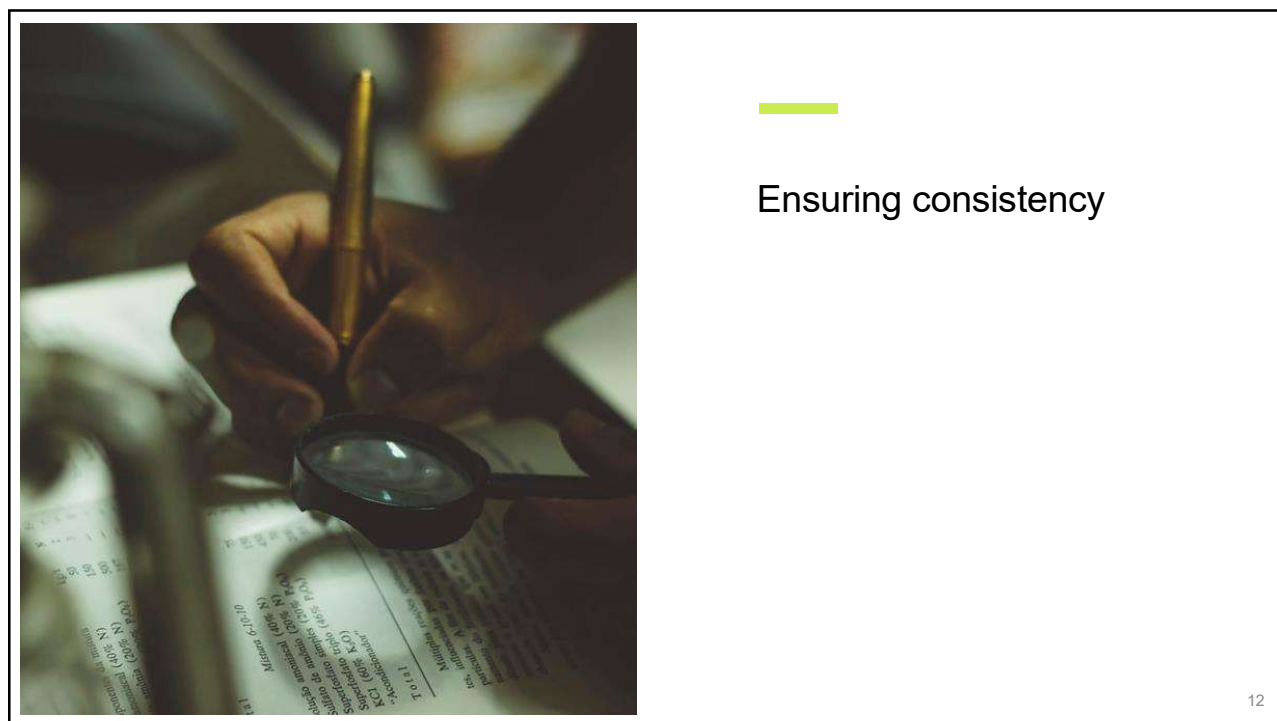
Please contact the Office of Compliance, Risk, and Ethics if your concern is about one of these offices or a lack of response to a concern.  
Please contact the Chief of Staff/Chief Strategy Officer in the Office of the President if the focus of your concern is about the Office of Compliance, Risk, and Ethics.

September 2019

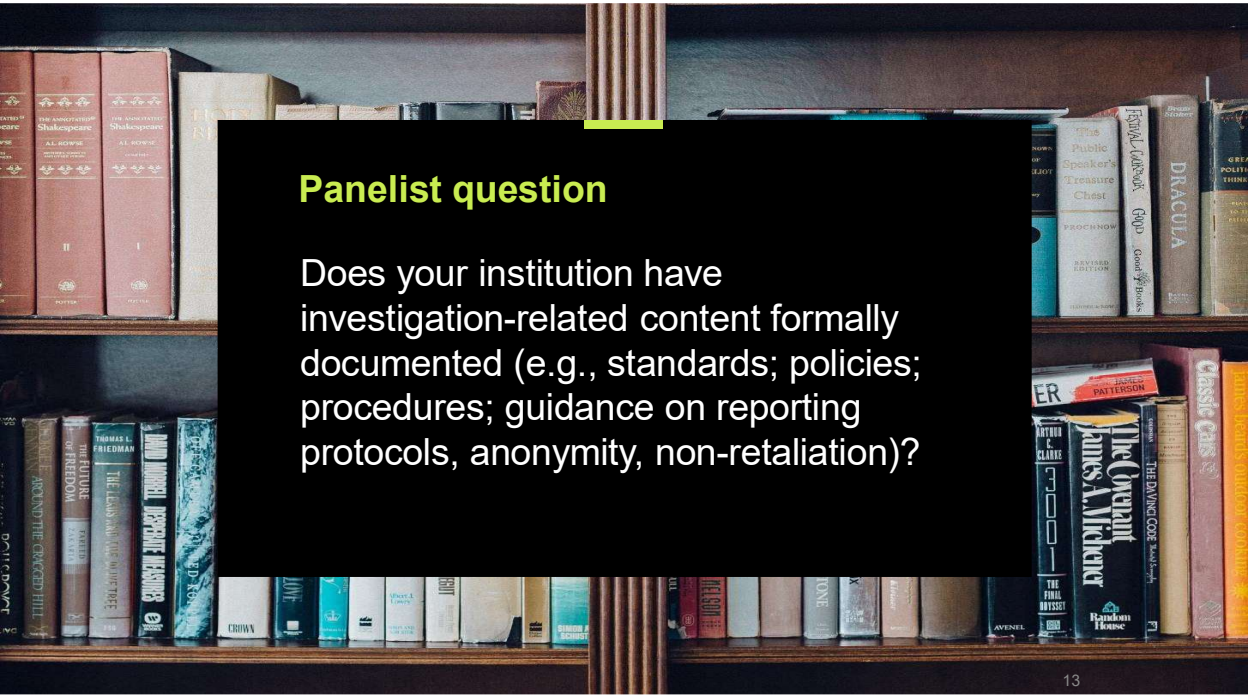
## Montgomery College Investigation Roadmap



11



12



**Panelist question**

Does your institution have investigation-related content formally documented (e.g., standards; policies; procedures; guidance on reporting protocols, anonymity, non-retaliation)?

13

13

ENSURING CONSISTENCY

Tools to standardize investigation approaches







14

14



## The Catholic University Investigation Protocols

### Internal Investigations Policy

<https://policies.catholic.edu/governance/internalinvestigations.html>

Per the **Code of Conduct for Staff and Faculty** and the **Non-Retaliation and Reporting Ethical Misconduct Policy**, suspected ethical misconduct must be brought to the attention of the appropriate University officials.

The University has a responsibility to investigate thoroughly, objectively, consistently, and as promptly as possible so that it can implement corrective action, if necessary. To meet this responsibility, employees of the University community must cooperate with University Investigations.

Confidentiality for individuals who are interviewed or otherwise cooperate in an investigation will be maintained to the extent possible by law. While absolute confidentiality cannot always be guaranteed, all matters will be kept private (i.e., shared only with those with a need to know).

Retaliation based on an individual's cooperation with an investigation is prohibited. Knowingly initiating or causing a false or bad faith report also is strictly prohibited.

15

15

### ROADMAP FOR EMPLOYEES TO ADDRESS CONCERNS

**Do you have a concern you feel needs to be addressed?** This document provides a roadmap regarding where you can go for assistance and resolution.

**Contact your supervisor or manager with your concern.** Supervisors and managers are your first line of communication.

#### Ombuds—Guidance at any time.

- Confidential, neutral, independent, and informal resource with whom you can discuss any and all workplace issues
- Offers discussion and coaching on workplace issue resolution, strategies, and options
- Refers employees to other MC resources

[Ombuds@montgomerycollege.edu](mailto:Ombuds@montgomerycollege.edu)

#### EthicsPoint Reporting Line

- Submit concerns anonymously and confidentially
  - Managed by the Office of Compliance, Risk, and Ethics
- [montgomerycollege.ethicspoint.com](mailto:montgomerycollege.ethicspoint.com)  
844-572-2198

#### Intellectual Property Concerns

- Contact the Dean of the relevant academic department

#### Additional Resources

- Governance Councils
- Labor Unions—AAUP, SEIU, or AFSCME

#### Student Concerns

Visit the Student Complaint Resolution webpage for policies and procedures about reporting your concerns.

If contacting your supervisor/manager is not possible or appropriate, or you wish to obtain further assistance, then contact the appropriate area listed below. Your options for consultation and resolution may vary based upon your concern.

#### Human Resources: Employee and Labor Relations

[EmployeeRelations@montgomerycollege.edu](mailto:EmployeeRelations@montgomerycollege.edu)

- Alcohol or Drug Abuse • Benefit Abuse • Bias Incidents
- Disability Discrimination • Discrimination or Harassment
- Employee Behavior • Incivility • Negligence or Favoritism
- Sexual Harassment • Workplace Violence or Bullying

#### Compliance, Risk, and Ethics

[Ethics@montgomerycollege.edu](mailto:Ethics@montgomerycollege.edu)

- Conflict of Interest • Disability Access Issues • Ethical Misconduct
- Grants Research Fraud or Misconduct • Improper Giving or Receiving Gifts
- Maryland State Ethics Filing and Reporting Questions
- Protection of Minors • Regulatory Compliance
- Violations of College Policies not otherwise identified
- Title IX • Athletic Concerns

#### Internal Audit

[InternalAudit@montgomerycollege.edu](mailto:InternalAudit@montgomerycollege.edu)

- Accounting and Auditing Matters
- Falsification of Contracts, Reports or Records
- Fraud • Theft/Embezzlement • Employee Time Reporting or Time Abuse
- Waste, Abuse, and Misuse of Institution Resources

#### IT Privacy & Cybersecurity Compliance

[ITSecurity@montgomerycollege.edu](mailto:ITSecurity@montgomerycollege.edu)

- Data Privacy • Inappropriate Use of Technology
- Account Compromise/Credential Theft

#### Environmental Safety

[EnvironmentalSafety@montgomerycollege.edu](mailto:EnvironmentalSafety@montgomerycollege.edu)

- Occupational Safety Concerns • Environmental Related Issues

#### Library

<https://guides.montgomerycollege.edu/copyright>

- Copyright Questions and Concerns

#### Office of Public Safety and Emergency Management

240-567-3333

- Physical Safety and Protection • First Aid • Emergency Assistance
- 24-hour Escort Service (upon request) • Lost and Found

Please contact the Office of Compliance, Risk, and Ethics if your concern is about one of these offices or a lack of response to a concern.  
Please contact the Chief of Staff/Chief Strategy Officer in the Office of the President if the focus of your concern is about the Office of Compliance, Risk, and Ethics.

September 2019

## Montgomery College Investigation Roadmap

16

16



POLLING QUESTION #3

Does your institution currently have an anonymous hotline for reporting misconduct or ethical concerns?

- A. Yes, one that is provided by a third party (e.g., EthicsPoint)
- B. Yes, one that is provided internally by the institution (e.g., designated University phone number or general email address)
- C. No, but reporters direct complaints to the Compliance Office or to another individual
- D. Do not know or other



17

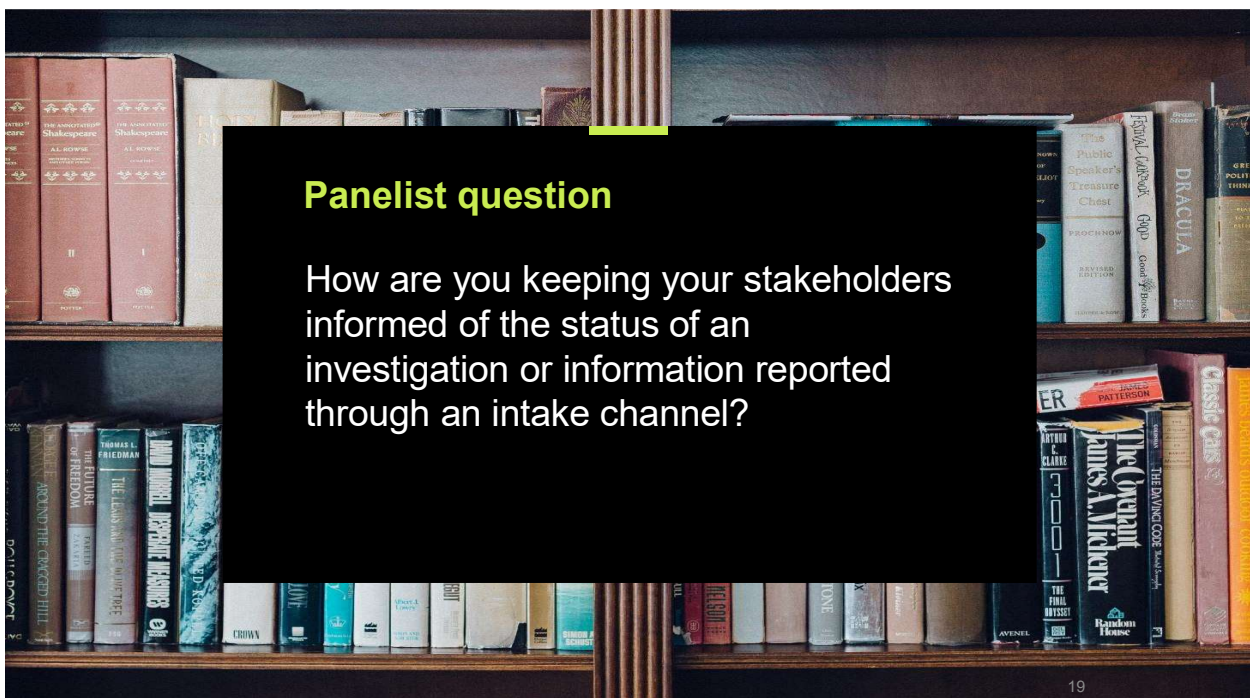
17

**Panelist question**

How do you determine whether to proceed with an investigation after receiving notification of a report?

18

18




**Panelist question**

How are you keeping your stakeholders informed of the status of an investigation or information reported through an intake channel?

19

19



**Analytics and metrics**

20

20

POLLING QUESTION #4

My institution uses analytics and metrics to monitor compliance.

- A. True
- B. False
- C. Do not know or other



21

21

### Panelist question

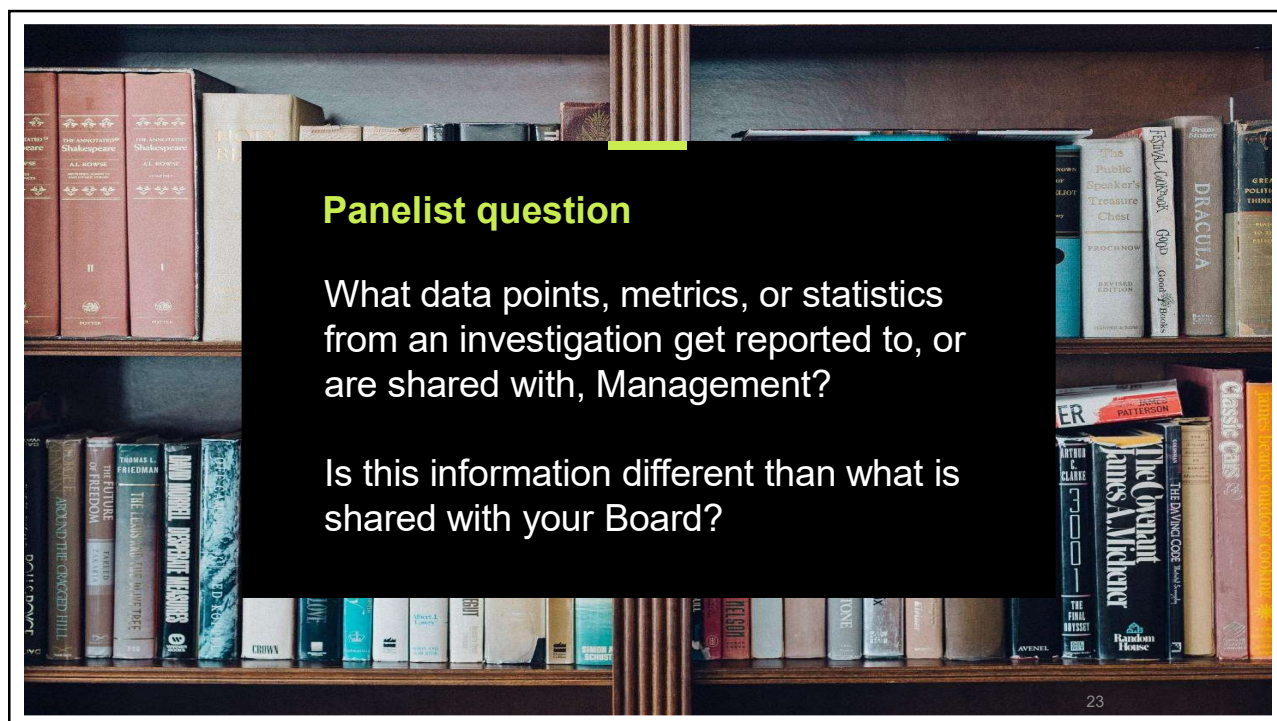
What data points do you use to monitor the “pulse” of the compliance and ethical environment at your organization?

Are there other metrics you track or monitor to assess whether an investigation has been effective?




22

22





23

ANALYTICS AND METRICS

## Sample metrics, analytics, or monitoring criteria

- Cycle times – intake to resolution, incident to report, report type, report category
  - Average time versus median time
  - Other informal tracking metrics (e.g., timely, prompt)
- Trend analysis – intake channels, reporting periods (e.g., by year, month, or semester), functional area
- School, College and/or University-wide analysis and industry comparison
- Anonymous versus identified reporting comparisons
- Substantiation rates – allegations versus information
- Dashboard reporting and tracking

24



ANALYTICS AND METRICS

## Leading investigation practices

Use a centralized incident management system and document/analyze intake data

Establish a culture that fosters communication and provides a mechanism (i.e., a hotline) for timely reporting

Develop and leverage compliance-focused tools and communication strategies for employees responsible for investigation activities (consistency)

25

25

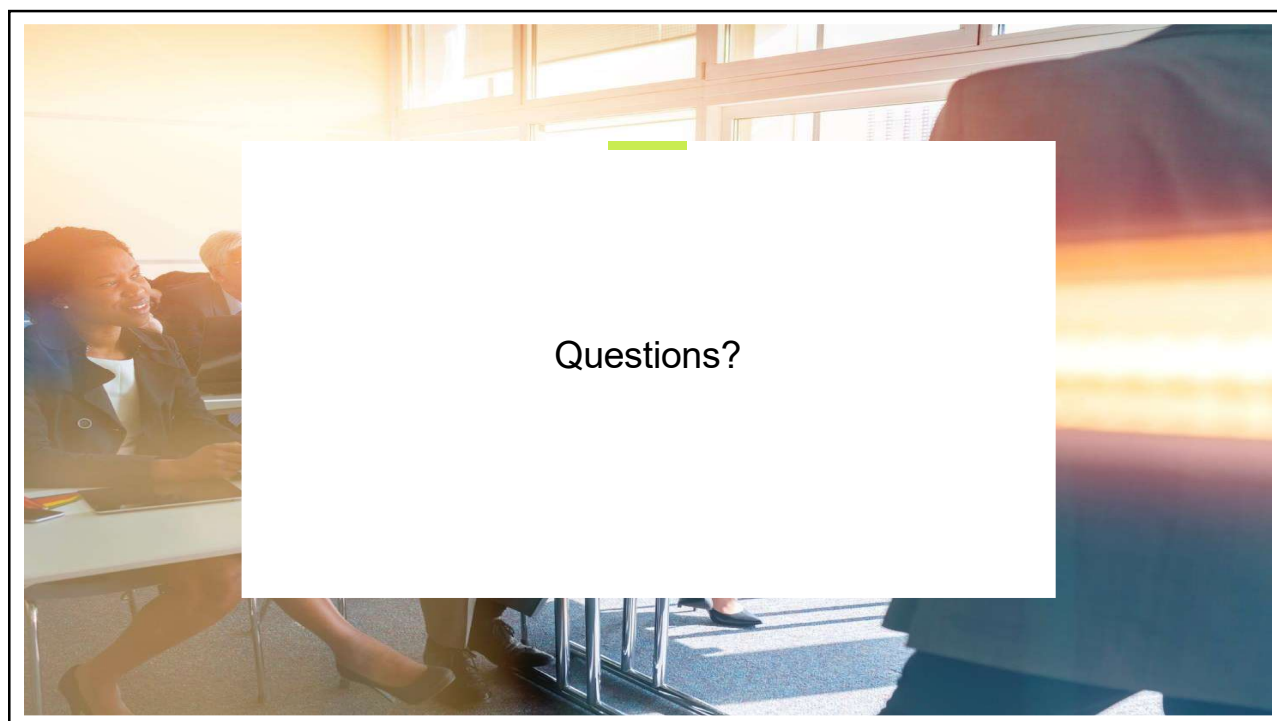


## Key takeaways

- Define what “triggers” action and who participates in, and executes, the investigation process
- Designate a single process owner with the necessary support resources to coordinate an effective response
- Document processes and use structure/templates to standardize investigation approaches
- Leverage analytics and metrics to proactively monitor compliance activities and ethical behavior


26

26




27





## Contact information



**Vin Lacovara, J.D.**  
 Chief Ethics and Compliance Officer and  
 Chief Privacy Officer  
[lacovara@cua.edu](mailto:lacovara@cua.edu)



**Vicki Duggan, MS, CCEP**  
 Chief Compliance, Risk, and  
 Ethics Officer  
[vicki.duggan@montgomerycollege.edu](mailto:vicki.duggan@montgomerycollege.edu)



**Corey Parker, CIA**  
 Moderator / Senior Manager  
 Risk and Internal Audit Consulting  
[corey.parker@bakertilly.com](mailto:corey.parker@bakertilly.com)





28

28