

INTERNAL INVESTIGATIONS

BRYAN JUDICE & ASHA MULDRÖ



INTRODUCTIONS

- **BRYAN JUDICE**

PANASONIC AVIONICS CORPORATION

SENIOR DIRECTOR COMPLIANCE, OFFICE OF COMPLIANCE & ETHICS

Panasonic

- **ASHA MULDRÖ**

GUIDEPOST SOLUTIONS

SENIOR MANAGING DIRECTOR & DEPUTY GENERAL COUNSEL



Guidepost

INTERNAL INVESTIGATIONS

- **WHAT ARE INTERNAL INVESTIGATIONS?**
- **WHY DO THEY MATTER?**

HOW BEST TO STRUCTURE A FUNCTION

- **CENTRALIZED**
- **DE-CENTRALIZED**

DOJ GUIDANCE

EFFECTIVENESS OF REPORTING MECHANISM

HOW HAS THE COMPANY COLLECTED, ANALYZED, AND USED INFORMATION FROM ITS REPORTING MECHANISMS? HOW HAS THE COMPANY ASSESSED THE SERIOUSNESS OF THE ALLEGATIONS IT RECEIVED? HAS THE COMPLIANCE FUNCTION HAD FULL ACCESS TO REPORTING AND INVESTIGATIVE INFORMATION?

PROPERLY SCOPED BY QUALIFIED PERSONNEL

HOW HAS THE COMPANY ENSURED THAT THE INVESTIGATIONS HAVE BEEN PROPERLY SCOPED, AND WERE INDEPENDENT, OBJECTIVE, APPROPRIATELY CONDUCTED, AND PROPERLY DOCUMENTED?

RESPONSE TO INVESTIGATIONS

HAS THE COMPANY'S INVESTIGATION BEEN USED TO IDENTIFY ROOT CAUSES, SYSTEM VULNERABILITIES, AND ACCOUNTABILITY LAPSES, INCLUDING AMONG SUPERVISORY MANAGER AND SENIOR EXECUTIVES? WHAT HAS BEEN THE PROCESS FOR RESPONDING TO INVESTIGATIVE FINDINGS? HOW HIGH UP IN THE COMPANY DO INVESTIGATIVE FINDINGS GO?

KEYS TO AN EFFECTIVE INTERNAL INVESTIGATION

TIMING OF THE INVESTIGATION

SCOPE OF THE INVESTIGATION

DETERMINING THE INVESTIGATIVE TEAM

- **ATTORNEYS**
- **IN-HOUSE OR OUTSIDE COUNSEL**
- **TRANSACTIONAL OR SPECIALIZED OUTSIDE COUNSEL**
- **EXPERIENCED INVESTIGATORS**
- **INDUSTRY SPECIFIC EXPERTS**

INVESTIGATIVE METHODS

DOCUMENTS

**ELECTRONIC
EVIDENCE**

**PERSONAL
INTERVIEWS**

INVESTIGATIVE RESPONSIBILITY

**CONDUCTING A FAIR
INTERNAL INVESTIGATION**

**AVOIDING NEGLIGENCE IN
INTERNAL INVESTIGATIONS**

**PRACTICAL CONCERNS
FOR INVESTIGATORS**

THE FINDINGS

**LIMITED BY
SCOPE**

ORAL REPORT

WRITTEN REPORT

QUESTIONS?

