

WinterCompliance



What Do You Do?

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What Do You Do?

You have completed your investigation and substantiated an allegation of misconduct against an employee. The employee has just learned that he will be disciplined for his misconduct.

The employee now requests a copy of your investigation report for his review.

What do you do?

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What Do You Do?

You are beginning an investigation of an employee. You have just informed the employee's manager that you will begin your fact finding shortly.

The manager tells you he would like to participate actively in the investigation process and asks you to limit your inquiries only to substantiating whether misconduct occurred.

What do you do?

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What Do You Do?

You just completed an investigation of an employee. You substantiated that misconduct occurred.

The employee's manager has been informed of your findings and is now considering disciplinary action. The manager is unsure what discipline to impose and asks you for a recommendation.

What do you do?

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What Do You Do?

You are investigating Simone for falsifying her expense reports. In her interview, she quickly concludes that you know the true facts and can substantiate her misconduct.

Simone starts to cry. She admits her actions to you. She explains that she needed the money because she is going through a bitter divorce and her lawyer bills have left her virtually penniless.

She asks you: "What is going to happen to me now?"

How do you respond to Simone?

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What Do You Do?

You have developed compelling proof of expense-account fraud by an employee. You are now beginning your interview of that employee. He quickly concludes that you are fully aware of his misconduct.

Fearing that you may contact the police or the company may sue him, he offers to explain everything about the fraud and implicate others if you will simply allow him to resign.

What do you do?

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What Do You Do?

An employee has come to speak with you to make a complaint against her manager. She claims that the manager has been unfairly critical in her performance appraisal, and she did not receive the full amount of her bonus.

She asks you to conduct an investigation and obtain the rest of the bonus for her.

What do you do?

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What Do You Do?

You are about to begin an interview of a company employee. This employee is not the subject of your investigation, however.

The employee appears concerned about the seriousness of the investigation process and asks: "Am I in trouble?"

What do you do?

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What Do You Do?

You are interviewing the subject of your investigation. You presented the evidence you gathered and invited him to respond and offer either exculpatory or mitigating circumstances. Instead, it is clear to you that most of the employee's responses are either lies or deceptions.

You would prefer that he admit his improper conduct, even if he tries to minimize its significance. Unfortunately, the employee believes that he can avoid discipline by simply denying everything.

What do you do?

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What Do You Do?

You are discussing the hotline reporting process with a company executive.

The executive tells you that he believes it is unethical for someone to make an anonymous complaint and thinks you are just inviting people to denounce others to hurt their careers. He thinks people should be compelled to identify themselves.

What do you do?

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What Do You Do?

An employee comes to your office to make a complaint against her manager. The employee alleges that the manager has been flirting with her and asking her out for drinks after work. The employee states that his behavior is unwelcome.

The next day, she comes back to your office, says she regrets having discussed the matter with you, and wants to withdraw her complaint.

What do you do?

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What Do You Do?

An employee comes to your office to discuss a compliance concern. She is unsure whether the issue is a compliance matter and appears generally uncomfortable with the conversation.

She asks if you and she can have an off-the-record conversation.

What do you do?

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What Do You Do?

You are about to begin an investigation of an employee for allegedly sexually harassing a co-worker. Similar allegations have been made against this employee in the past, but earlier investigations did not substantiate misconduct.

You make the usual notifications to the employee's manager that an investigation is underway. The manager asks you if this employee has ever been investigated in the past for similar conduct.

What do you do?

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What Do You Do?

You are interviewing the subject of your investigation. The employee identifies two co-workers and tells you that these people should be interviewed.

Your fact finding is almost complete, and you have no reason to believe that these colleagues will offer useful information. The evidence you already developed is more than enough to substantiate the misconduct.

What do you do?

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What Do You Do?

As part of your investigation, you are planning a visit to a company office to conduct interviews of employees in a particular department. One of those employees is the subject of your investigation.

The department manager asks you to allow him to sit in on the interviews and observe the questioning.

What do you do?

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What Do You Do?

Steve hands you copies of the Facebook pages of Larry, one of Steve's co-workers. Apparently, Larry is a member of the "Blue Eyes are Evil Society." This group advocates persecution of people with blue eyes and shunning them from society. Larry regularly posts messages advocating the group's goals, and he posts profane rants in reply to people who criticize the group.

Steve is outraged that the company employs people who espouse such views. He demands that the company fire Larry.

What can you do in a situation like this?**on like this?**

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What Do You Do?

You receive a complaint from Mary against Ted, a manager in Accounts Payable. Mary is one of Ted's direct reports. Mary alleges that Ted plays favorites, uses profanity and can be vindictive. You interview Mary, and she repeats these allegations.

You then interview Gary, one of Mary's co-workers. Gary's information persuades you that Mary's allegations are meritless. At worst, Ted needs some informal coaching. You would like to close the file without interviewing Ted because you are concerned that Ted will hold a grudge against Mary for making the complaint.

What should you do?

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What Do You Do?

Isabella comes to your office. She would like to make a complaint about her manager's unprofessional behavior during department meetings. However, she fears retaliation for making a complaint, and she does not trust the company's investigation process.

Isabella is willing to make a complaint and identify herself to you. However, she wants you to guarantee that no one will learn she made the complaint as you conduct your inquiries.

How should you respond to Isabella?

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What Do You Do?

Hans is under investigation for allegedly violating the company's conflict of interest policy. Hans comes to your office at the scheduled time for his interview.

Hans tells you that he trusts neither you nor the company to conduct a fair investigation. He places his iPhone on the table and tells you he intends to record the interview to protect his rights.

Can Hans do this?

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What Do You Do?

You receive an anonymous hotline complaint about Alexis, a senior member of the Procurement Department. The reporter states that Alexis now drives an expensive car. The reporter considers it unlikely that Alexis can afford such a car on his salary. The reporter believes Alexis may be taking kickbacks from company vendors.

Despite your efforts, the reporter never follows up on the complaint, so you cannot get any additional information from this person.

What should you do with the hotline complaint now?

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What Do You Do?

The CEO forwards to you an email he received from Lucie, a company employee. Lucie complains that Camille, an HR manager, was rude, dismissive and generally unprofessional to her when Lucie was discussing a written disciplinary warning she received.

You forward the email to Gavin, the Chief HR Officer. Gavin calls you. He says that Lucie's complaint is ridiculous. Gavin is surprised that Compliance gets involved with anything other than law-breaking or regulatory non-compliance. Gavin tells you to ignore Lucie's complaint rather than encourage her apparently bruised ego and forum shopping.

How do you respond to Gavin?

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What Do You Do?

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