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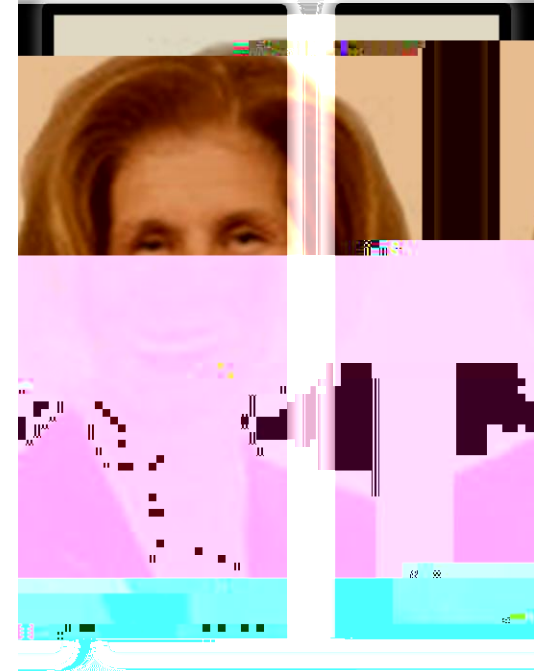
# ANSI/ASIS INV.1-2015 Investigation Standards

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Judith W. Spain  
J.D., CCEP

Compliance Collaborative Program Consultant,  
Georgia Independent College Association



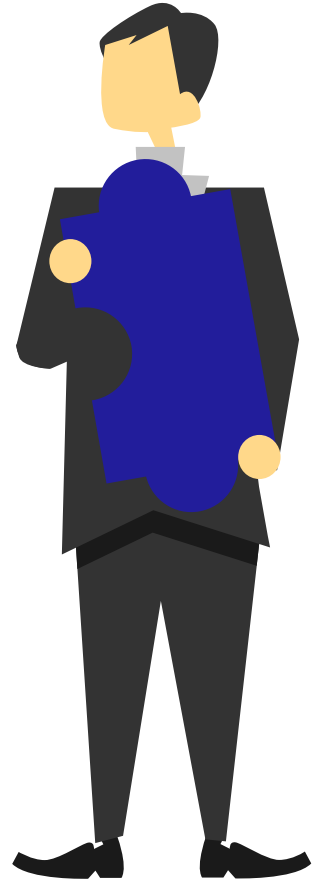
Welcome.

“

What a lawsuit will focus on  
if allegation of improper  
investigation:

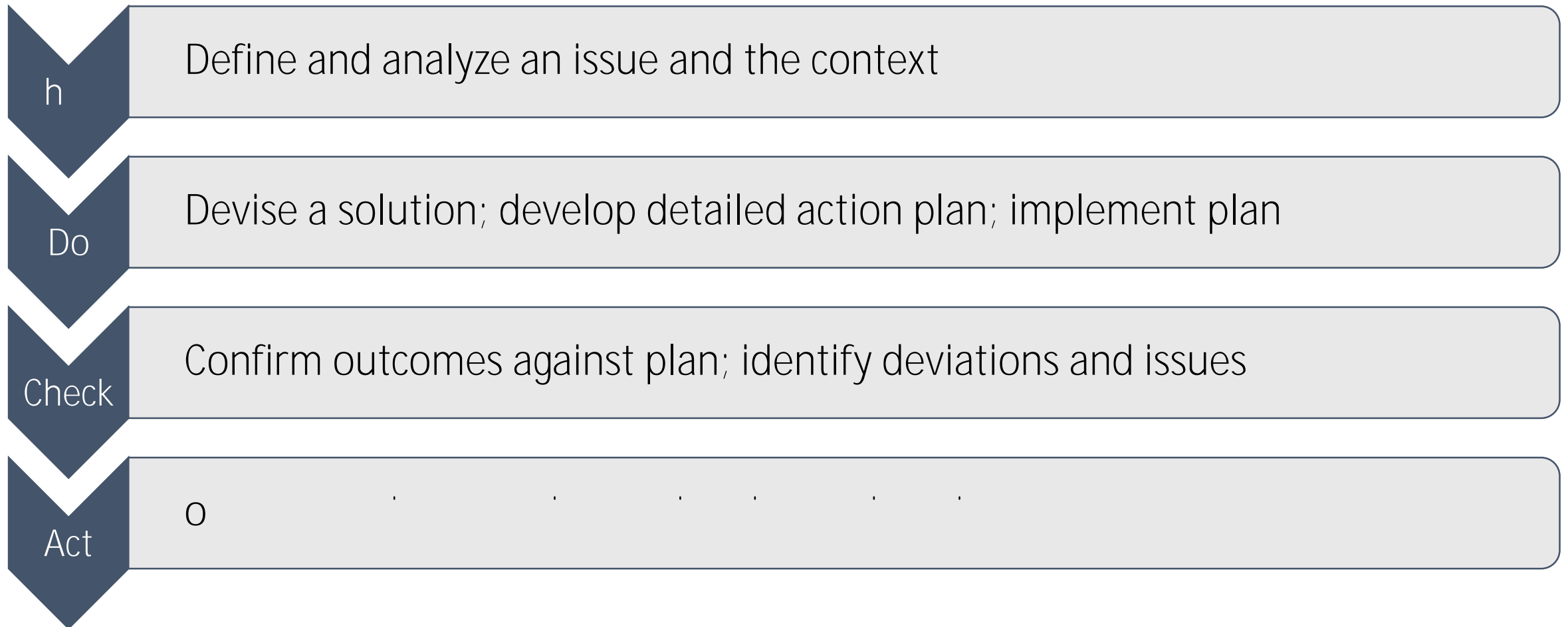
# Investigation Defined

◦ . . . . . -finding process of logically, methodically, and lawfully gathering and documenting information for the specific purpose of objectively developing a reasonable conclusion based on the facts learned through





# Plan-Do-Check-Act Model (Total Quality Management)







# Investigation Guiding Principles

Relevance

Thoroughness

Timeliness

Responsibility and authority

Confidentiality

Continual improvement





# Information Types



# Information Types



## Hearsay evidence

Information provided by a person who does NOT have direct knowledge of the fact asserted; information is known only from being told by someone else or from a secondary source



## Admissibility of evidence

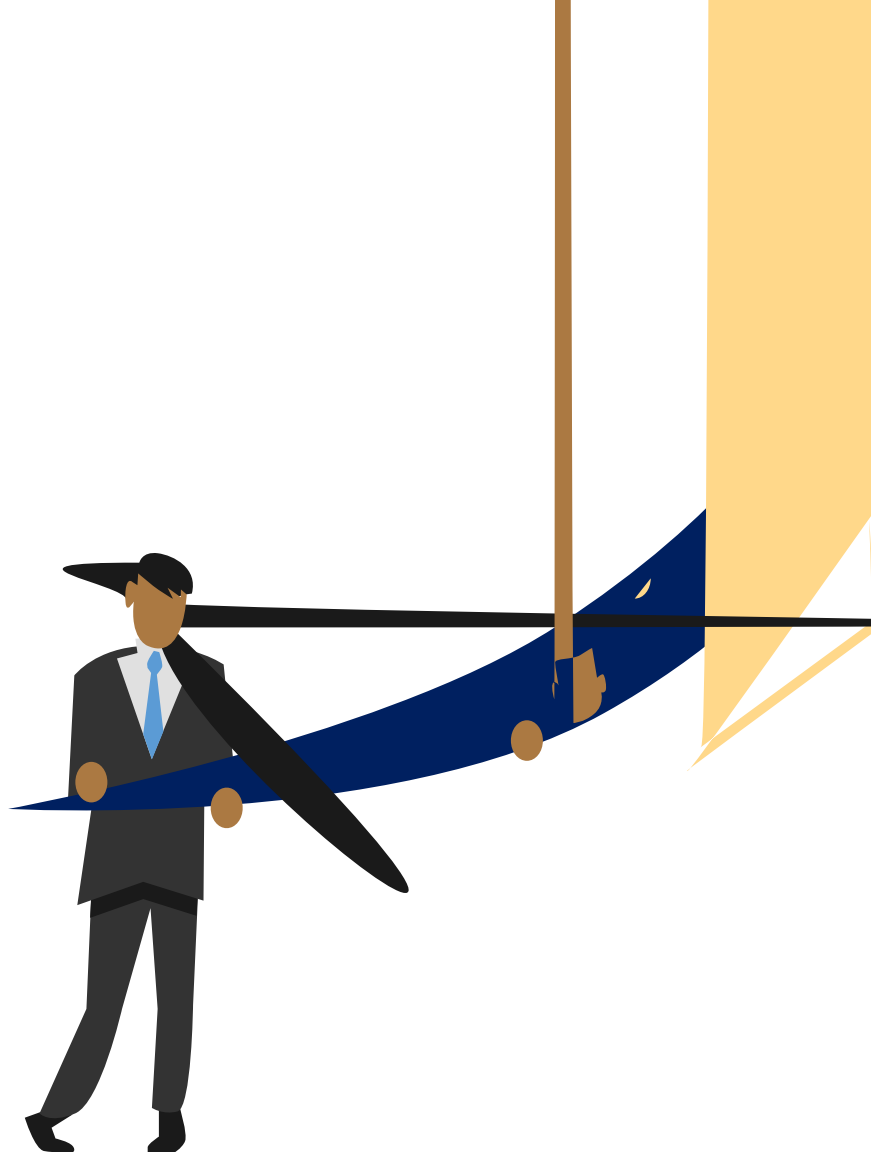
Information which the adjudicator finds is useful in establishing the facts of an event that are considered relevant and material

# Establishing Investigation Scope

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0 activities, physical Scope should define which boundaries (facilities and locations), and

Boundaries (facilities and locations), and



# Establishing Investigation Roles

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Roles and responsibilities should be clearly defined

Must have access to legal counsel and HR



# Establishing Investigation Legal Requirements

# Investigator Competency



# Investigator Competency Skills

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Knowledge of applicable laws in the areas being investigated,

Knowledge of applicable institutional policies/procedures as well higher education

# Prior to Investigation Commencing

Set objectives,

Identify stakeholders,

Address assumptions,

Define scope and statement of work,

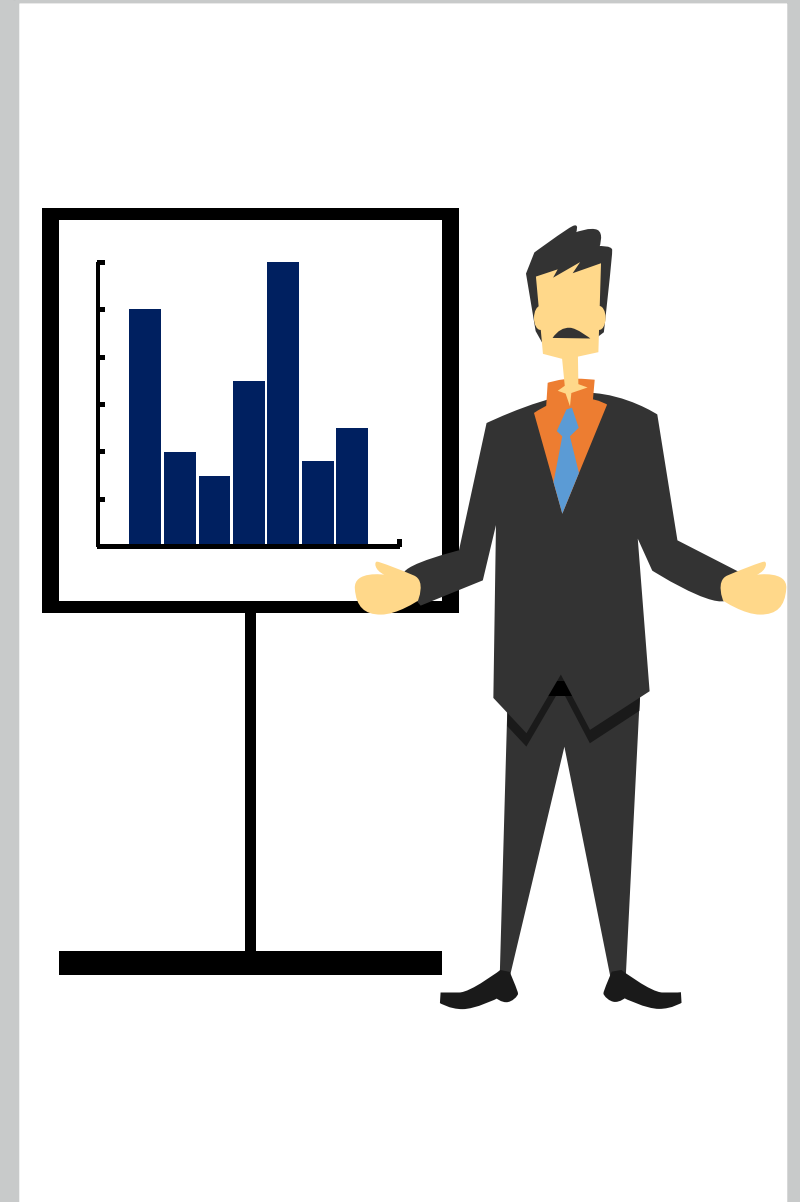
# Investigator's Information Collection Role

# Preparing Investigation Conclusions


Consider conducting investigation conclusion during closed meeting

During meeting:

- Review the evidence and information gathered during the investigation;
- Compare the findings against the investigation objectives;
- Prepare recommendations (where applicable);
- Discuss follow-up to the investigation, if applicable.







# What a lawsuit will focus on if allegation of improper investigation:

Does the institution have a policy/procedure in place to govern investigations?

Was there a written disclosure of allegation?

Was there disclosure of objective purpose of investigation?

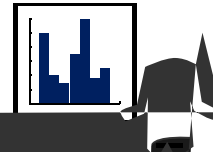
Were the investigator(s) identified?

- Documentation of education, training, previous experience

Were both parties provided the same opportunity to tell their story to the investigator, provide documentation, review record, present their story to the hearing panel, cross-examine witnesses, and appeal?

# Resources

<https://www.achievethecore.org/resources/standards--guidelines/>





Judith W. Spain  
J.D., CCEP

[jspain@georgiacolleges.org](mailto:jspain@georgiacolleges.org)

Cell (859)582-9451



Contact.

