

Investigations - Governmental & Internal

Due to the significant prosecutorial and judicial experience of our lawyers, Pashman Stein Walder Hayden is frequently called upon by public entities, private organizations, and corporations to conduct internal investigations and reviews regarding a wide range of topics, including federal and state regulatory compliance, financial fraud, political corruption, Foreign Corrupt Practices Act (FCPA) issues, embezzlement, employee harassment, and sexual misconduct. These investigations, whether necessitated by a whistleblower, governmental inquiries, accounting irregularities, or undertaken as a proactive investigation, have been conducted by the firm in a wide variety of industries, including banking, education, law, health care, municipalities, retail, information technology, and more.

Engaging experienced outside counsel from Pashman Stein for an internal investigation is often the best way to assess the facts of an organization's existing problem, or in anticipation of a problem, and can help minimize potentially negative consequences. Our investigations are conducted with confidentiality and discretion as we assist in complying with government inquiries or in scrutinizing alleged misconduct.

Governmental Investigations

Our attorneys have extensive experience representing clients in governmental investigations and enforcement actions. In addition, our attorneys design and conduct investigations in anticipation of, or parallel to, government investigations. Frequently, these internal investigations are necessary to prepare an organization for scrutiny from an outside body on issues ranging from corporate management to governance and transactional issues, as well as the regulation and enforcement of business requirements for human rights compliance, both domestically and on the international stage. We frequently utilize former government investigators and forensic specialists to aid in our investigations and to formulate our findings and reports.

Internal Investigations

Internal investigations can be essential to ensure that employees or officers are in compliance with state or federal laws and regulations as well as company policies. Our attorneys' prior judicial and prosecutorial roles uniquely position them to execute internal investigations with great care to avoid harming innocent parties, and to spot problem areas. By proactively conducting independent audits of an organization's policies and procedures, our attorneys can identify issues and recommend modifications to ameliorate or avoid future allegations of workplace or corporate governance misconduct that might trigger potential violations and actions. We have also worked to help our clients institute best practices in a number of compliance areas.

Representative Matters

Our firm is proud of the results it has achieved for clients, some of which are noted here. Of course, each legal matter is unique on many levels, and past successes are not a guarantee of results in any other pending or future matters.

- Investigated a prestigious state university system's compliance with state public bidding laws, which included the analysis of hundreds of contracts, over 200 interviews, and the release of a 166-page report (plus appendices) of our findings and recommendations.
- Conducted an independent review of the New Jersey Office of the Inspector General's report reviewing the internal controls of a public entity.
- Conducted an independent review of facts relating to a New Jersey Office of the Inspector General's report, which alleged wrongdoing by the chief executive officer of one of New Jersey's public authorities.
- Investigated a claim that an administrator of a large board of education was subjected to a hostile work environment.
- Conducted an internal investigation for a municipality regarding issues of possible misuses of governmental funds and employment issues in its department of public works.
- Conducted a review of compliance issues relating to state and federal grants for a non-profit organization and a public institution.
- Conducted reviews for several private companies relating to issues of potential embezzlement, defalcation and compliance issues.
- Conducted a review of a charter school with regard to a governmental investigation into the actions of employees.
- Representation of private individual with regard to political corruption investigations by federal and state prosecutors.
- Represented the New Jersey General Assembly in a high-profile investigation by a joint legislative committee into the State's policies and procedures regarding the screening of prospective employees and the handling of claims of sexual assault, abuse, or harassment. Co-authored 119-page committee report that detailed the committee's factual findings and included nine recommended changes to law and policy.
- Represented a national banking institution in an internal investigation at the bank which uncovered extensive fraudulent misconduct by a bank employee.