

# Investigating Potential Fraud

Trust is an integral component of any relationship.  
Can I trust you? Can you trust me?

In a commercial environment and the new global business paradigm where the supply chain is no longer centralised but increasingly diversified across many continents, it is increasingly common for outside contractors to play critical roles in the manufacturing and/or supply process. Performing audits of the different players is a key means for the determination of trust and confidence.

But are the ordinary auditing skills used to discover relatively minor flaws in a basically sound functioning system capable of uncovering more willful fraudulent deceptions? What happens if potential fraud is uncovered during a routine audit?

There are multiple advantages to having suitably trained investigation personnel and a rigorous investigation process:

- » A well-run investigation can protect as well as enhance a company's welfare by detecting, or preferably, preventing contamination of the organisation's compliance process.
- » It can prevent the loss of a reputation, painstakingly built over many years, not to mention concurrent financial loss.
- » It demonstrates to regulators internationally that the organization goes beyond basic requirements in ensuring the integrity of its manufacturing and supply processes.
- » It can protect against the litigation that an adverse event caused by contamination of the manufacturing process can cause.
- » It can also provide a solid defence to legal challenges raised by disgruntled organisations or employees who have not behaved to standard.
- » Critically, a well-resourced investigation will signal to both employees and other business collaborators that the organisation will not tolerate fraud.

## who should attend

It is at a professional police investigatory standard and the skills taught are cross-functional, in that they are applicable to all audits and investigations. Therefore, it is important that those selected to attend have a background experience in high level auditing as this is not targeted at entry level. Some additional work will be expected outside classroom hours.

## about the presenters

### Dr. Kevin Sweeney



Kevin served in the Irish Army before joining An Garda Síochána (Irish Police Force). Kevin spent almost 30 years in various roles including as a special branch detective, covert intelligence operative, and as a supervisor. He has been involved in interviewing both suspects and witnesses throughout his career.

Kevin's occupational police training included Criminal Assets Profiler, Anti-Counterfeiting Operations, Intellectual Property Fraud Investigator, as well as specialized training in counter-terrorism and intelligence operations. Some of his training included training given by the Central Intelligence Agency and the Police Service of Northern Ireland.

Kevin holds a Masters degree in Criminology from University College Cork and obtained his Doctorate degree from the Law Department of the University of Limerick. His research focused on the legality and psychology of investigate interviewing as well as evaluating the training and new interview model introduced in the Gardaí against best international practice.

Kevin currently works as a Senior Regulatory Consultant with The Compliance Group, Dublin, Ireland.

### Michael Moore



Michael completed 30 years exemplary service in An Garda Síochána (Irish Police Force) as Quality Manager of the Garda Technical Bureau and Head of the Garda Document and Handwriting Examination Section. He has given expert testimony in this area of expertise for over 20 years and has been involved in many major investigations during this time.

Michael provides Consultancy in Forensic Document Examination and Handwriting and Signature Verification to the Legal Profession, Financial Institutions, Insurance Companies and other Businesses. He advises Fraud Prevention Units and assists Fraud Investigation Units. Michael is a trained Lead Auditor and Technical Assessor for ISO17025:2005 and ISO9001:2015 and a registered Consultant with the UN in this regard.

### Stan O'Neill



Stan is the Managing Director of The Compliance Group. After qualifying as a Pharmacist, Stan spent over five years working in the pharmaceutical industry in Regulatory Affairs, Marketing and Quality Assurance (QP) and then joined the Irish Medicines Board (now the HPRA) for a period of ten years. In his capacity as a Senior Inspector, he performed GMP inspections throughout the world, represented Ireland at European level for the negotiation of standards of inspection for medicinal products (including Annex 1) and trained Inspectors at Irish, European and International levels.

## about gxp training

GXP Training was set up to harness the expertise within The Compliance Group, EUPS and its wider network to develop and deliver a suite of Training Courses in the GxP environment.

As well as providing professional and focus scheduled courses that will provide cost effective ways to meet training needs within the industry, all courses will be available for in-house training, should this be the customers preferred route.

## about the course

This is an **advanced 3 day auditing course**.

In this course, you will learn how to conduct or lead an audit or investigation with accuracy and confidence by gaining knowledge about various topics, such as relevant legal aspects of investigations, obtaining evidence from computers in an investigation, collecting and analysing internal and external data, interviewing witnesses, suspects and writing investigation reports. The facilitators on the course are recognised experts in their respective fields as well as having broad experience in tackling and advising on the issues covered:

- » **Assessment of problem**
- » **Sources of information and evidence**
- » **How to gather information in a legal manner, including dealing with digital information**
- » **An understanding of handwriting and forgery analysis**
- » **How to use information to formulate investigation strategies**
- » **How to use an effective investigative interviewing strategy to question persons who hold vital information: evidence based forensic questioning techniques include questioning and listening skills, detecting and handling deception, using available evidence and managing challenging interviewees.**

The basic model used is the PEACE interviewing method, utilizing the Cognitive Interviewing Technique enhanced with other methods including the Motivational Interviewing Method.

### day one

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| <ul style="list-style-type: none"> <li>» Understanding the issues involved                             <ul style="list-style-type: none"> <li>- high level auditing                                     <ul style="list-style-type: none"> <li>- Why do people do this; understanding motivations and the warning signals</li> <li>- The basic outline of an investigation: The FIT cycle</li> </ul> </li> </ul> </li> <li>» Relationships and communication: people skills as a core skill</li> <li>» Gathering information</li> <li>» Difference between information and evidence</li> </ul> | <ul style="list-style-type: none"> <li>» What are the sources?</li> <li>» What rules apply – what can an investigator do and not do?</li> <li>» How should evidence be collected?</li> <li>» What if it is on a computer?</li> <li>» Keeping investigation records</li> <li>» Will it go to court?</li> <li>» What happens once all this evidence has been gathered                             <ul style="list-style-type: none"> <li>- making a plan</li> </ul> </li> </ul> |
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### day two

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| <ul style="list-style-type: none"> <li>» Documents and handwriting – what is the expert going to look at?</li> <li>» Forensic Document Examination and Handwriting/Signature Verification will examine:                             <ul style="list-style-type: none"> <li>» The Type of Analysis carried out by a Forensic Document Examiner</li> <li>» The Procedure for Examining and Comparing Handwriting and Signatures</li> <li>» The taking and gathering of Handwriting Specimens for comparison purposes</li> <li>» The Examination of Forged &amp; Counterfeit Documents.</li> <li>» Security Printing and Security Features found in</li> </ul> </li> </ul> | <ul style="list-style-type: none"> <li>documents of value                             <ul style="list-style-type: none"> <li>» The different analytical techniques used in the comparison of inks and toners</li> <li>» How the Forensic Document Examiner can extract information from tears, folds, holes, faded documents, charred documents, and indentations on a document</li> <li>» The interview phases</li> <li>» The plan, explanation, account, closure and evaluation</li> <li>» Building rapport</li> <li>» Non-verbal language as a guide</li> <li>» Roleplay of basic interviews</li> </ul> </li> </ul> |
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### day three

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| <ul style="list-style-type: none"> <li>» Using evidence tactically in an interview</li> <li>» Challenging interviewees – how do we detect deception?</li> </ul> | <ul style="list-style-type: none"> <li>» Role play using a realistic scenario</li> <li>» Putting the report together -</li> <li>» Testifying in a court will it go this far?</li> </ul> |
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## what else should I know

Course Fee: \$2500 per person for 3 days

Location: Shirley Ryan AbilityLab, Chicago, IL, USA.

Date: 27-29 November 2018

The course fee includes all course material, lunch and refreshments. Travel or hotel accommodation is not included. Please note that this course may also be organized on an in-house basis. The program can be tailored to site specific needs, technologies and regulatory requirements. Please contact us for further information.

## how to apply

Applications can be made online at [www.gxp.ie](http://www.gxp.ie)

or by emailing [training@gxp.ie](mailto:training@gxp.ie)

