

INTERNAL INVESTIGATIONS

CONDUCTING FAIR AND DETAILED INVESTIGATIONS



SAXTON & STUMP
LAWYERS AND CONSULTANTS

www.saxtonstump.com

SAXTON & STUMP

Our team is led by Former U.S. District Court Chief Judge Lawrence F. Stengel (Ret.), who brings with him 28 years of experience on both the State and federal bench. Judge Stengel is joined by an experienced group of attorneys who provide:

- ▶ Internal corporate investigations/audits
- ▶ Title IX compliance and complaint investigations
- ▶ Employment investigations
- ▶ Regulatory enforcement
- ▶ Medicare fraud and abuse
- ▶ HIPAA investigations and audits
- ▶ Infectious disease investigations and remediation programs
- ▶ Medical staff investigations
- ▶ Business integrity, compliance, and ethics
- ▶ Monitorships



OVERVIEW

At Saxton & Stump, we recognize that conducting an internal investigation involves a comprehensive evaluation of potential liability – understanding how to develop a factual record, what facts are relevant, identifying legal issues with which clients should be concerned, and directing the practical aspects of the investigation with minimal disruption to your business or organizational mission.

Our team brings the skill, expertise, and experience necessary to conduct a detailed, objective, and, when required, confidential investigation. An investigation can be directed by an outside entity, sought by the company's Board of Directors, or requested by management. Saxton & Stump's Internal Investigations Group will gather all relevant facts, analyze the legal issues, and provide you with a comprehensive understanding while maintaining minimal disruption to your organization.

CORPORATE & HIGHER EDUCATION

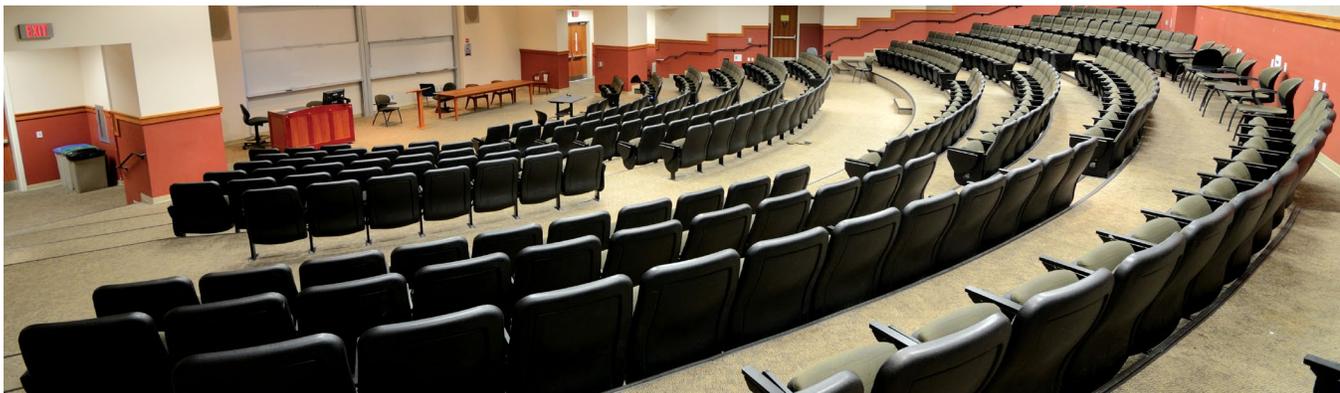
Saxton & Stump's Internal Investigations Group interacts regularly with governmental enforcement agencies in the corporate world and higher education. Our team is adept at counseling clients before action is taken in an attempt to limit risk and negative consequences. Our clients benefit from the knowledge each team member brings to every unique situation as well as our track record of successful litigation related to employment, criminal, and regulatory issues.

Our team possesses the capability of not only conducting the investigation, but also assembling and leading a diverse team of individuals with specialized backgrounds to provide a comprehensive assessment of the situation. Saxton & Stump's Internal Investigations team has worked with current and former law enforcement investigators and officials, current and former government officials, and nationally-recognized experts in their respective fields to:

- Conduct thorough investigations
- Develop a relevant and complete factual record
- Identify and provide comprehensive management of legal issues

BUSINESS INTEGRITY, COMPLIANCE & ETHICS

In today's global economy, organizations face an increasingly challenging environment in which they need to understand complex legal and ethical standards. Organizations are wise to proactively audit their processes and procedures and implement five-star ethics and compliance programs as a shield against potential litigation. We help our clients assess their risks by providing detailed and thorough guidance to protect against any such occurrence.



TITLE IX

Title IX of the Education Amendments of 1972 (Title IX) prohibits sex-based discrimination and retaliation in education. Although Title IX is most commonly known for its application to athletic programs, the law applies to any educational program or activity that receives Federal financial assistance. Title IX protects students from sexual harassment and sexual assault. Under Title IX, educational institutions are required to both safeguard their students and make certain that student victims of sexual misconduct remain a viable part of the school and continue to enjoy the benefits of and remain able to participate in educational, athletic, and other extracurricular activities. Colleges and universities should provide an investigation and grievance procedure that is fair to the complainant and the accused.

Led by the former Chief Judge of the Eastern District of Pennsylvania, the Honorable Lawrence F. Stengel (Ret.), Saxton & Stump's Title IX counseling and investigative team has the experience, integrity, independence, and credibility to both advise and aid educational entities – public and private – in complying with and enforcing their obligations under Title IX. We are adept and proficient in counseling university staff regarding compliant procedural safeguards; responding properly to alleged Title IX violations; conducting comprehensive, documented, and objective investigations; and defending educational entities in trial, if necessary.

Whether at the request of a Board of Directors or as a result of a court order or a mandate from a regulatory agency, the Saxton & Stump team is equipped to effectively evaluate, oversee, and monitor an organization's compliance with regulatory policies, procedures, laws, regulations, and ethics programs. Our team is focused on preserving or restoring a culture of integrity within your organization. We conduct thorough evaluations which lead to the creation of strategic direction to guide organizations toward improving upon deficiencies, measuring compliance, and preparing reports for courts and regulatory or government agencies.

MONITORSHIPS

Former federal judge Lawrence F. Stengel is qualified to accept appointments for special master positions, monitorships, and receiverships. Whether in the MDL or class action settlement context, or to ensure compliance with a court's decree or order, we can provide effective, thorough, and comprehensive monitoring services and report regularly to the court regarding compliance. In addition, Judge Stengel and our firm are prepared and able to supervise and administer settlement funds in cases where claimants or plaintiffs are entitled to participate, but must present their request to a neutral administrator.

For more information on Internal Investigations, please contact **Judge Lawrence F. Stengel (Ret.)** at lfs@saxtonstump.com or 717.556.1080.

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PRACTICE AREAS

- › Healthcare Litigation and Mitigation
- › Appellate and Post-Trial Advocacy
- › Business and Corporate
- › Commercial Litigation
- › Construction
- › Corporate Healthcare and Life Sciences
- › Hospitality
- › Insurance
- › Intellectual Property and Intellectual Property Litigation
- › Internal Investigations
- › Labor and Employment
- › Medical Device Litigation
- › Quality Assurance and Peer Review
- › Real Estate
- › Risk Mitigation and Safety
- › Senior Care Services
- › Trusts and Estates

WHO WE ARE

Saxton & Stump is a full-service law firm serving businesses by providing legal and consulting services. We apply strategic solutions and provide problem-solving support to help our clients navigate legal issues and thrive in an increasingly complex world.

Collaboration across disciplines allows our team to provide the highest level of service. The diverse backgrounds and extensive knowledge of our attorneys, business professionals, and industry experts creates a unique resource for our clients.

At Saxton & Stump, you'll be working with a team built for excellence that provides both quick response times and high-quality work. Our initiative of staying innovative and forward-thinking in the legal industry sets us apart. We also have a strong focus on investing in our team and the community to create robust relationships.

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