

UNIVERSITY OF TOLEDO
GOVERNMENT INVESTIGATIONS CHECKLIST
FOR LEGAL COUNSEL AND COMPLIANCE OFFICER

- *Immediately proceed to the site of the investigation* (If more than one site, then designate individuals to oversee the investigation at other sites.)
- *Escort the government agents to a private conference room or other location.*
- *Ask each investigator present for proper identification*, including their business cards. List the names, address, telephone number and agency of each government official involved in the investigation.
- *Verify which agency(s) the investigators represent*, and if more than one agency, verify which government investigator is in charge and will serve as the primary point of contact for ongoing communications and production of documents.
- *Request a copy of any search affidavit, subpoena, court order or warrant.* Review and verify legal authority to conduct the search.
- *Determine whether or not to close the search location.* If necessary, close the location and send non-essential personnel home or to other sites. Make sure that someone is available to download information from the hard drives and copy information onto disks.
- *Designate someone to list all documents reviewed*, copied or seized by investigator (including disks and hard drives) and to take notes of the search, identifying areas searched, investigators' comments, questions, instructions, requests and actions.
- *Identify the limitation on the premises to be searched and the property to be seized.* Monitor the search, and note any attempt to search beyond the scope of the warrant.
- *Never consent to the search or to an extension of the search.*
- *Keep all privileged and confidential information separate and labeled accordingly.*
- *Once there has been notice of an investigation*, the destruction portion of any policy on record retention should be immediately suspended.