



**Institute for Applied
Management & Law, Inc.**

450 Newport Center Drive, Suite 390
Newport Beach, California 92660
www.IAML.com 949-760-1700

**Certificate in Conducting
Lawful Workplace
InvestigationsSM Seminar**



▶ **"The content was very informative. Gavin was very knowledgeable and provided practicable advice on approaching real workplace situations."**

*Clinton Ingram
Employee Relations Advisor
USAA
San Antonio, Texas*

▶ **"Very interesting cases that we dissected. I especially liked the risk analysis portion of the training which added a great 'big picture' perspective when conducting investigations."**

*Doug Halverson
Sr. Human Resources Administrator
Mayo Clinic
Rochester, Minnesota*

▶ **"Very helpful and appreciated the hands-on approach with each participant taking the lead in the investigation scenario portion of each day. Instructor was great and brought great knowledge and expertise to the table. Enjoyed the personal stories and connecting with the other participants. Having a background in mainly higher education law and policy, it was nice to meet and collaborate with individuals from a variety of sectors."**

*Austin Wood
Compliance Investigator
Austin Community College
Austin, Texas*

▶ **"Fantastic blend of 'need to know' information with practical application. I appreciated the role playing and feedback to help us be better interviewers and investigators. The take-away information and tools were also excellent!"**

*Jami Painter, SPHR, SHRM-SCP
A.V.P. & Chief Human Resources Officer
University of Illinois System
Champaign, Illinois*

▶ **"Gavin Appleby was AMAZING. Very engaging and knowledgeable. I usually fall asleep in training and it didn't happen in this class. The hotel and conference room were nice as well. The mixer on Monday night was a great way to network with other professionals. The second day of class was even more engaging because we all felt more comfortable with each other after the mixer."**

*Layla Lesley
Administrative Specialist, Finance Department
Borough of Matanuska-Susitna
Palmer, Alaska*



SEMINAR OVERVIEW

The objective of an internal investigation is to discover facts on which to make a sensible and lawful decision. Done correctly, an investigation should resolve a problem and prevent it from reoccurring, whether the issue is misconduct, a performance situation, harassment, discrimination or a workplace accident.

In addition to saving potentially millions of dollars in litigation costs and lost productivity, a lawfully conducted investigation can nip workplace problems in the bud, thus keeping businesses operating smoothly—and out of court. Making the right decision often turns on the quality of the investigation that has been conducted. Without the facts, decision-making is flawed and can expose the employer to significant liability. **This uniquely interactive and comprehensive program will provide you with a framework of legal and best practices knowledge and will give you the confidence, skills and techniques needed to properly conduct an effective investigation.**

Using interactive exercises (including role playing) and drawing on years of practical experience, Mr. Gabin Appleby will outline a step-by-step internal investigation process that can be applied in any type of workplace. The program addresses the investigation process, interviewing approaches and methods for obtaining information from emails to texts to social media posts.

Scenario investigations include: Sexual harassment, complaints of discrimination, safety concerns, medical issues and circumstances where employee witnesses would prefer not to voluntarily participate.

After completing this course, you will have learned:

- How to recognize workplace situations that require an investigation
- How to develop an investigation plan
- How to collect and record evidence
- The rights of the parties involved in an investigation
- How to identify and interview the plaintiff, witnesses and the respondent
- How to assemble statements and write a thorough and defensible report
- When and what information can, and should, be released to the involved parties
- How to make recommendations about next steps after the investigation is complete

ABOUT THE INSTRUCTOR



Gavin S. Appleby, Esq. is a Shareholder in the Atlanta office of Littler Mendelson, P.C. Mr. Appleby advises and represents employers in a broad course of employment law matters. His focus ranges from defending single plaintiff and class action employment cases to advising on and litigating wage and hour matters and handling OSHA issues. He also has significant experience in union avoidance, defending union campaigns, handling arbitrations and mediations, and conducting investigations. Mr. Appleby provides employers with consulting on human resource practices, including establishing ADR processes, developing systems for providing better and more effective advice to managers, and instituting programs aimed at early resolution of employment problems. Mr. Appleby is nationally known for his employment law and diversity training, as well for developing legally defensible diversity programs. He also is an expert on OFCCP matters, investigations, Title IX compliance and NCAA rules compliance. He has been named in Best Lawyers in America, Employment & Labor-Management, Atlanta every year since 2010. He has been one of the top 3 rated IAML instructors for more than 25 years. He received his J.D. from the University of Virginia School of Law and B.A. from West Virginia Wesleyan College.

- ▶ **“Gavin Appleby was an incredible instructor. The program was engaging, dynamic, and incredibly informative. I’d give him more than two thumbs-up if I had more hands!”**

*Jen Dibble, JD
Director, Employment Counsel
Edwards Lifesciences LLC,
Irvine, California*

- ▶ **“I thought the program was very helpful for my role as HR Business Partner. I found the most value in the role play scenarios, where I learned helpful talking points to use when conducting an investigation.”**

*Michelle Bean, PHR
Human Resources Business Partner
Mesirow Financial
Chicago, Illinois*

- ▶ **“I think the things that were well done are the organization and the communication of the event; the material provided and the networking reception on the first day. I appreciated Gavin’s approach with role playing- this is out of my comfort zone so in this respect I feel it was an opportunity for growth for me.”**

*Maggie Reed
Assistant Director, Human Resources
Midwestern University
Glendale, Arizona*

WHO SHOULD ATTEND

This seminar will be beneficial to participants who have a good foundation of knowledge in employment law. Organizations of all sizes and industries have profitably invested in this seminar. The titles and/or responsibilities of those who typically participate in this seminar include:

- Affirmative Action Officer
- Auditor
- Chief Human Resources Officer
- Compliance Director
- Counsel
- EEO Specialist
- Employee Relations Specialist
- Human Resources Business Partner
- Human Resources Manager
- In-House Counsel
- Investigator
- Labor Relations Manager
- Litigation Specialist
- Operations Manager
- People & Culture Partner
- Risk Manager
- Safety Manager
- Sr. Human Resources Generalist
- Sr. Manager, Workplace Practices
- Vice President, Human Resources

PARTIAL LIST OF PARTICIPATING COMPANIES

- AIDS Healthcare Foundation
- Allen-Solorio Consultancy
- American Family Mutual Insurance Co.
- Anderson Hay & Grain, Inc.
- Arizona Public Service Co. (APS)
- Bimbo Bakeries USA
- Blue Diamond Growers
- Borough of Matanuska-Susitna
- Bright Futures
- Burning Man Project
- Capstone Mining Corporation
- Carfax Inc.
- Chester Water Authority
- Children's Mercy Hospital
- City & Country of San Francisco
- City of Hope National Medical Center
- City of Mount Vernon
- City of Portage
- City of Tacoma
- Country of Humboldt
- Country of Utah
- CPS Energy
- Cracker Barrel Old Country Store, Inc.
- Dana Incorporated
- Delta Dental of Oklahoma
- Eastern Plumas Health Care
- Edwards Lifesciences Corporation
- Embraer-U.S.
- Federal Deposit Insurance Corporation
- Federal Reserve Bank, Dallas
- Fiserv, Inc.
- Florida International University
- Frost Bank
- Fulton County Schools
- George's Inc.
- Grant County Public Utilities District
- Hexion Inc.
- HolmstromKennedy PC
- Hyundai Mobis
- Idaho National Laboratory
- Ikea North America Services, Inc
- Infosys Technologies
- ITC Holdings Corp.
- JM & A Group
- JM Family Enterprises, Inc.
- JZ Human Resources Consulting
- KARL Storz Endoscopy-America, Inc.
- Lawrence Livermore National Laboratory
- Lions Gate Entertainment Corporation
- Loma Linda University
- Los Alamos National Laboratory
- Loyola University Chicago
- Mayo Clinic
- McCarthy Holdings, Inc.
- McMaster-Carr Supply Company
- Midnight Oil Agency, LLC
- Mission Support & Test Services
- MOBIS Alabama
- Montgomery City-Country
- Motion Picture Industry Pension
- Mountaire Farms
- Museum of Contemporary Art, Chicago
- National Science Foundation
- Nordstrom, Inc.
- Ocean Spray Cranberries, Inc.
- PennyMac Financial Services, Inc.
- Peterson Holding Co.
- Pinto Valley Mine
- PNM Resources, Inc.
- RAI Services
- RentPath LLC
- Rotary International
- Sitka Tribe of Alaska
- SkyOne Federal Credit Union
- Sonnier-Alenius Consulting
- St. Jude Children's Research Hospital
- Steadfast Companies
- Summit Midstream Partners
- Synopsis, Inc.
- Tillamook County Creamery Association
- TJX Companies, Inc.
- Toyota Motor North America
- Toyota North America
- Tri-City Medical Center
- TriNet Group, Inc.
- U.S. Department of Veterans Affairs
- University of Florida
- University of Illinois
- Wake Forest Baptist Health
- Wake Forest Medical Center
- Warner Bros.
- Warton Strategic
- West Coast University
- Western & Southern Financial Group
- Woodley's Fine Furniture
- Zagg, Inc.

Please note: Due to space limitations we are unable to provide a complete list of participating organizations in this brochure. If you wish to know whether others from your organization have previously participated and do not see your organization listed above, or on our website, please contact IAML. Our apologies to those organizations we are unable to list.

PROFESSIONAL EDUCATION

- **HR Certification Institute (HRCI)** - This seminar has been approved for 13 (general) recertification credit hours toward PHR and SPHR recertification.
- **Society for Human Resource Management (SHRM)** - The Institute for Applied Management & Law, Inc. is recognized by SHRM to offer Professional Development Credits (PDCs) for the SHRM-CPSM and SHRM-SCPSM. Earn 13 PDCs by attending this two-day seminar.
- **International Foundation of Employee Benefit Plans** - Earn 13 Continuing Education Credits towards CEBS recertification.
- **Continuing Legal Education**
 - **California and Pennsylvania** - This activity has been approved for Minimum Continuing Legal Education Credit by the State Bars of California and Pennsylvania in the amount of 13 credit hours. IAML certifies that this activity conforms to the standards for approved education activities prescribed by the rules and regulations of the State Bars of California and Pennsylvania governing minimum continuing legal education.
 - **Other States** - This seminar has been approved for CLE credits in many other states. Please call IAML at 949-760-1700 or email info@iaml.com to see if your state has been approved this year. IAML requires that you notify us at least 45 days before the seminar so that we can apply for credit from your state. Additional fees for CLE may be involved.

About IAML

IAML, the professional's choice in training, has been conducting innovative, practical and comprehensive employment law, HR management and benefits law training programs since 1979. More than 80,000 people from thousands of organizations have participated in IAML training programs. Based in Newport Beach, California, IAML works closely with leading law firms and practitioners across the country. To receive brochures about other IAML seminars and products, please visit our website www.IAML.com, email info@iaml.com, or call us at 949-760-1700.



Registration Fee: The registration fee for the seminar is \$1,575.00 and includes the seminar manual, coffee breaks and a reception the first evening.

Discounts: Previous investigations seminar attendees are entitled to a \$100.00 discount, upon request. Once an organization has registered a representative in a investigations seminar, subsequent registrations for the investigations seminar from the same organization are entitled to a \$50.00 discount, upon request. Group discounts for organizations, which send 5 or more participants to IAML seminars in any 12-month period, are available.

Payment: A minimum of one half of the total fees due to IAML should accompany your registration, or a Purchase Order Number should be provided. The total fees payable should be received by IAML at least two weeks prior to the seminar. Arrangements such as deferred billing can be made to accommodate special circumstances by contacting us. IAML also accepts Discover, American Express, MasterCard and Visa. If paying by credit card, your payment receipt will be mailed to the address you provide on the registration form, unless you make other arrangements. While registrations may be accepted within the two weeks prior to the seminar, we suggest you call IAML to confirm space availability. Participants will receive a full refund if IAML receives written notification that they will be unable to attend at least two weeks prior to the program start date. Otherwise, participants are liable for the entire fee. Registrants requesting a transfer to another date within this two week period will be charged an additional fee of \$150.00. You may substitute an associate at any time.

Registration: You may register

- Online at www.IAML.com
- By calling (949) 760-1700 from 8:00 a.m. - 5:00 p.m. (Pacific Time) Monday - Friday
- By faxing your registration form to (949) 760-8192
- Mailing the registration form to IAML at: 450 Newport Center Drive, Suite 390, Newport Beach, CA 92660

A separate registration form should be completed for each participant.
Early registration is advised since seminars are filled in the order in which registrations are received and enrollment is limited.

▶ **“Gavin Appleby was a fantastic instructor. He was able to keep everyone engaged and the seminar interactive. I feel more confident in my investigation skills after this seminar.”**

*Nicole Wheeler
Human Resources Generalist II
Citi Trends, Inc.
Savannah, Georgia*



Certificate in Conducting Lawful Workplace InvestigationsSM Seminar

Atlanta, April 26-27, 2021

Las Vegas, October 4-5, 2021

Chicago, October 25-26, 2021

Name: (Mr./Ms.) _____ Title: _____

Employer: _____

Employer Address: _____ City: _____ State: _____ Zip: _____

Business Phone: () _____ Ext. _____ E-mail: _____

Name as you would like it to appear on your Certificate: _____

I request CLE credit for the state of: _____ My Attorney # is: _____

Signature: _____ Date: ____ / ____ / ____

Payment: Please make checks payable to IAML. IAML's Federal I.D. Number: 95-3548502

Total Fees Due: \$ _____

Payment: Payment in full is enclosed Deposit check is enclosed Bill my employer Purchase order number: _____
 American Express Discover MasterCard Visa

Cardholder Name: _____ Exp. Date: _____ Card Number: _____

Signature: _____