

## 01 Inspectors' arrival

### RECEPTION/FIRST TO GREET

- **Contact** – your company's dawn-raid coordinator or a member of management immediately.
- **Ask** – inspectors to wait in a separate room for the coordinator's/manager's arrival.
- **Confirm** – to inspectors that management/coordinator is coming to meet them.
- **Do not refuse entry** – if the inspectors insist on entering as obstruction is an offence.
- **Cooperate** – with the inspectors at all times.

### MANAGER/DAWN RAID COORDINATOR/IN-HOUSE LEGAL

- **Contact ALG immediately** – and they will arrive to assist as soon as possible.
- **Provide details to ALG:**
  - » office location
  - » which regulator
  - » photos of inspectors' documentation
- **Read inspectors' documentation** – to ensure its accuracy and identify the legal/factual subject-matter of the inspection (photograph/scan).
- **Ask** – each investigator to confirm their identity and to provide their official IDs for you to take a copy/photo of each.
- **Record** – how many investigators there are.
- **State any objections** – to the inspectors' documentation but do not obstruct.
- **Cooperate** – with the inspectors at all times.

## 02 Meeting rooms setup

- **Allocate inspectors' meeting room** – where the inspectors will be based.
- **Allocate business meeting room** – where the businesses response team/ALG will be based.

## 03 Office searches

- **Do not obstruct searches** – by inspectors of offices.
- **Cooperate with seizure of phones** – if inspectors request business/personal phones.
- **Shadow inspectors** – using a member of the businesses response team.
- **Take detailed notes** – of what is being searched for (names/dates/search terms/questions asked)
- **Copy/photograph documents** – documents reviewed/copied/taken by inspectors.

## 04 IT/document management

- **Provide IT assistance** – the businesses IT specialist should assist the inspectors IT requests.
- **Take a business copy** – ensure that a copy is made of all digital records that are taken by the inspectors.
- **Privact claim requests** – request any documents that the business is claiming privacy over are kept separate from other electronic documents for resolution later.

## 05 Privileged documentation (PD)

- **Do not hand over PD** – make it clear privileged documents will not be handed over.
- **Do not dispute/obstruct** – if there is a disagreement about privilege/relevance of documents, do not obstruct.
- **Request PDs stored seperately** – ask for the PDs to be put in a sealed envelope for resolution later.

## 06 Employee interviews

- **Wait for interviews** – to answer inspectors questions (do not answer unless in a formal interview setting).
- **Seek legal representation** – if none present.
- **Seek assistance** – have internal or external counsel present at all interviews.
- **Seek clarification** – if questions are unclear.
- **Do not refuse to answer**
- **Take detailed notes** – of the interview.

## 07 Post inspection

- **Confirm** – the search is complete.
- **Do not tamper** – with or remove seal.
- **Copies** – have an exact replica copy of all the data/documents seized/copied by inspectors.
- **Ask** – the investigators to sign a record of materials taken.
- **Offical debrief** – debrief with the officials (to confirm they are satisfied with businesses cooperation).
- **Company debrief** – debrief with facilitators and staff (to discuss next steps).
- **Store** – copies of all documents which have been inspected, copied or retained by the inspectors.

### KEY CONTACTS



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