



Audit, Risk and Governance

Compliance Investigation and Enforcement Training

Course Introduction

This a comprehensive **5-day** program designed to equip professionals with the skills and knowledge necessary to conduct effective compliance investigations and implement enforcement actions. This course is particularly beneficial for compliance officers, risk managers, internal auditors, HR professionals, and legal advisors

Target Audience

- **Compliance Officers**
- **Internal Auditors**
- **Risk Management Professionals**
- **Legal Advisors**
- **Regulatory Affairs Specialists**
- **Enforcement Officers**
- **HR Professionals**
- **Corporate Investigators**
- **IT Security Professionals**
- **Consultants in Governance and Compliance**

Learning Objectives

- Understand the principles and importance of compliance investigation and enforcement.
- Identify compliance risks and determine triggers for investigations.
- Develop and implement effective investigation plans.
- Apply advanced techniques for evidence collection, interviewing, and reporting.
- Navigate legal and ethical challenges during investigations.

Course Outline

• Day 01

Foundations of Compliance Investigation

- Introduction to Compliance and Enforcement
- Overview of compliance frameworks and organizational significance.
- Key principles: fairness, impartiality, and confidentiality.
- Regulatory requirements and industry standards.

Identifying Compliance Risks and Investigation Triggers

- Methods for detecting potential compliance issues.
- Risk assessment techniques.
- Case studies on common compliance violations.

• Day 02

Planning and Initiating Investigations

- Developing Investigation Plans and Strategies
- Setting objectives and scope.
- Resource allocation and team formation.
- Establishing timelines and milestones.
- Gathering Evidence: Methods and Tools
- Techniques for document and data collection.
- Digital evidence handling.
- Chain of custody and evidence preservation.

• Day 03

Conducting Investigations

- Interviewing Techniques
- Preparing for and conducting interviews.
- Questioning strategies and handling resistance.
- Documenting and analyzing interview outcomes.

Analyzing Evidence and Identifying Findings

- Evaluating the credibility and relevance of evidence.
- Identifying patterns and inconsistencies.

• Day 04

Reporting and Communication

- Structuring Investigation Reports
- Organizing findings and evidence.
- Writing clear and concise reports.
- Addressing potential legal implications.

Communicating with Stakeholders

- Presenting findings to management and regulatory bodies.
- Handling media inquiries and public relations.
- Maintaining confidentiality and managing sensitive information.

• Day 05

Enforcement Actions and Building a Compliance Culture

- Implementing Corrective Actions
- Developing and enforcing disciplinary measures.
- Monitoring the effectiveness of corrective actions.
- Reporting to regulatory authorities.

Building a Culture of Compliance

- Training and awareness programs.
- Promoting ethical behavior and accountability.
- Continuous improvement and feedback mechanisms.

Confirmed Sessions

FROM	TO	DURATION	FEES	LOCATION
April 14, 2025	April 18, 2025	5 days	4250.00 \$	UAE - Abu Dhabi
July 28, 2025	Aug. 1, 2025	5 days	5950.00 \$	USA - Los Angeles
Sept. 14, 2025	Sept. 18, 2025	5 days	2150.00 \$	Virtual - Online
Nov. 2, 2025	Nov. 6, 2025	5 days	4250.00 \$	KSA - Riyadh

