



Consulting and Training | Reach New Heights

**Course Name**

# Conducting Compliance Investigations

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**Sector Name**

Legal and Corporate Law

**Document Type**

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## Conducting Compliance Investigations

### Course Introduction

Compliance investigations are a critical component of corporate governance, ensuring adherence to legal, regulatory, and internal policy requirements.

This training program equips participants with the knowledge needed to plan, conduct, and report on compliance investigations with professionalism and integrity.

The program covers the principles, procedures, and documentation standards necessary for effective fact-finding, while maintaining confidentiality, impartiality, and legal defensibility.

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## Conducting Compliance Investigations

### Target Audience

- ✓ Compliance officers and managers
- ✓ Internal auditors and risk management professionals
- ✓ HR and employee relations specialists
- ✓ Legal department professionals
- ✓ Department heads responsible for policy enforcement

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## Conducting Compliance Investigations

### Learning Objectives

- ✓ Understand the legal and ethical foundations of compliance investigations.
- ✓ Identify triggers and risk indicators that necessitate an investigation.
- ✓ Plan investigations in alignment with corporate policies and regulations.
- ✓ Apply structured evidence collection and documentation methods.
- ✓ Conduct interviews with witnesses and subjects ethically and effectively.
- ✓ Analyze and interpret investigation findings.
- ✓ Ensure adherence to due process and confidentiality principles.
- ✓ Draft clear, concise, and actionable investigation reports.
- ✓ Communicate findings to relevant stakeholders.
- ✓ Recommend corrective and preventive measures based on investigation outcomes.

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## Conducting Compliance Investigations

### Course Outline

#### ✓ DAY 01

##### **Fundamentals and Planning of Compliance Investigations**

- ✓ Overview of compliance investigation and its role in corporate governance
- ✓ Legal and ethical obligations of investigators
- ✓ Common types of compliance violations (fraud, corruption, harassment, safety breaches)
- ✓ Identifying triggers for investigations: complaints, audits, whistleblower reports
- ✓ Assessing risk and determining investigation scope
- ✓ Developing an investigation plan and timeline
- ✓ Roles, responsibilities, and reporting lines in investigations
- ✓ Documentation and evidence handling protocols

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## Conducting Compliance Investigations

### Course Outline

#### ✓ Day 02

##### **Conducting the Investigation**

- ✓ Gathering and preserving documentary, digital, and physical evidence
- ✓ Principles and best practices for investigative interviewing
- ✓ Techniques for questioning witnesses, complainants, and subjects
- ✓ Avoiding bias and ensuring impartiality
- ✓ Leveraging technology in investigations (case management systems, digital forensics)
- ✓ Analyzing data and identifying patterns of non-compliance
- ✓ Maintaining confidentiality and protecting whistleblowers
- ✓ Dealing with legal counsel and external regulators during investigations

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## Conducting Compliance Investigations

### Course Outline

#### ✓ Day 03

##### **Reporting, Communication, and Post-Investigation Actions**

- ✓ Structuring and drafting investigation reports
- ✓ Presenting findings clearly and objectively
- ✓ Communicating outcomes to internal stakeholders and authorities
- ✓ Recommendations for corrective and preventive actions
- ✓ Following up on implementation of corrective measures
- ✓ Record retention policies for investigation files
- ✓ Building organizational readiness for future investigations

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## Conducting Compliance Investigations

### Confirmed Sessions

FROM	TO	DURATION	FEES	LOCATION
Sept. 21, 2026	Sept. 23, 2026	3 days	4950.00 \$	switzerland , Geneva
Oct. 19, 2026	Oct. 21, 2026	3 days	3250.00 \$	UAE , Abu Dhabi
March 14, 2027	March 16, 2027	3 days	3250.00 \$	KSA , Jeddah
April 13, 2026	April 15, 2026	3 days	3250.00 \$	UAE , Dubai

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