

COMPLIANCE INVESTIGATION AND ENFORCEMENT



GENTEX[®]
TRAINING CENTER



Introduction

Compliance Investigation and Enforcement Training Course prepares compliance, legal, and audit professionals to investigate suspected breaches and to handle regulatory enforcement properly. Participants work through investigation triggers, planning and scoping, evidence gathering, interviews, digital forensics, reporting, and enforcement response as one connected process. The programme links the facts an investigation establishes with the disciplinary, regulatory, and remedial consequences that follow. As a result, learners gain a defensible investigation method. Furthermore, the course strengthens evidence discipline, interview skill, and enforcement readiness.

Compliance Investigation and Enforcement Course Objectives

- Identify investigation triggers and decide when to investigate.
- Plan and scope an investigation with clear objectives and terms.
- Apply evidence gathering, preservation, and chain of custody rules.
- Apply document review and digital forensics fundamentals.
- Conduct interviews using recognised questioning techniques.
- Apply legal privilege, confidentiality, and data protection limits.
- Apply root cause analysis to establish what failed and why.
- Draft investigation reports with findings and conclusions.
- Apply sanction and disciplinary processes fairly and consistently.
- Apply regulatory enforcement response, remediation, and reporting.

Course Methodology

- Interactive sessions built on compliance investigation cases.

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- Workshops on scoping, evidence plans, and interview preparation.
- Group exercises on evidence review, timelines, and findings drafting.
- Hands-on practice with case files, interview guides, and report templates.
- Simulation of a witness interview and a regulator enforcement meeting.
- Facilitator coaching and peer review on personal investigation protocols.

Who Should Take This Course

- Compliance officers and investigators.
- Internal auditors and forensic specialists.
- Legal advisors and regulatory affairs professionals.
- Human resources and employee relations managers.
- Risk and internal control professionals.
- Consultants advising on investigations and enforcement response.

Compliance Investigation and Enforcement Course Outlines

Day 1: Investigation Foundations and Triggers

- Sources of allegations: whistleblowing, audits, and monitoring alerts.
- Assessing credibility, materiality, and regulatory exposure.
- Independence, objectivity, and investigator selection.
- Terms of reference, scoping, and investigation governance.
- Confidentiality, privilege, and legal considerations.
- Documenting the decision to investigate or not.
- Case discussion: an investigation that was compromised at the start.





Day 2: Planning, Evidence, and Case Building

- Investigation planning and hypothesis development.
- Evidence types: documentary, testimonial, and physical.
- Evidence preservation, collection, and chain of custody.
- Document review, e-discovery, and digital forensics basics.
- Building a timeline and linking evidence to allegations.
- Working paper standards and case file management.
- Workshop: building an evidence plan for a case.

Day 3: Interviews and Evidence Assessment

- Interview strategy, sequencing, and preparation.
- Questioning techniques and cognitive interviewing basics.
- Handling evasive, hostile, and vulnerable interviewees.
- Note taking, recording, and statement preparation.
- Assessing credibility and corroborating testimony.
- Admission handling and employee rights considerations.
- Simulation: conducting a witness interview.

Day 4: Findings, Reporting, and Sanctions

- Root cause analysis and the 5 Whys.
- Structuring findings: allegation, evidence, and conclusion.
- Drafting the investigation report and executive summary.
- Legal review, disclosure, and privilege boundaries.
- Sanction and disciplinary frameworks and proportionality.

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- Remediation planning, control fixes, and lessons learned.
- Exercise: drafting findings and conclusions for a case.

Day 5: Enforcement, Response, and Assurance

- Regulatory powers: information requests, inspections, and interviews.
- Responding to enforcement action and cooperating effectively.
- Penalties, settlements, and remediation commitments.
- Managing parallel criminal and civil proceedings.
- Reporting to the board, audit committee, and regulators.
- Assurance, monitoring, and preventing recurrence.
- Capstone: presenting an investigation and enforcement response plan.

Conclusion

By successfully completing Compliance Investigation and Enforcement, participants will gain a practical command of investigation planning, evidence handling, interviewing, findings development, sanctions, and regulatory enforcement response. They will acquire skills in case building, evidence assessment, report writing, and remediation that produce defensible outcomes. Gentex Training Center designs the programme to help professionals investigate fairly and respond to enforcement with confidence.

FAQs





Q1 What is the "Compliance Investigation and Enforcement" course about?

It prepares compliance, legal, and audit professionals to investigate suspected breaches and to handle regulatory enforcement properly. The course spans investigation foundations and triggers, planning, evidence and case building, interviews and evidence assessment, findings, reporting and sanctions, and enforcement, response and assurance.

Q2 What are the key benefits of the "Compliance Investigation and Enforcement" course?

You gain a defensible investigation method that links established facts with the consequences that follow. The course improves scoping and evidence handling, strengthens interview technique and credibility assessment, sharpens findings and reporting quality, and gives you enforcement response discipline that protects the organization.

Q3 What skills will I gain from the "Compliance Investigation and Enforcement" course?

You will develop four core skills: investigation planning and scoping with terms of reference, evidence collection and preservation with digital forensics awareness, interviewing and credibility assessment, and findings development with reporting, sanctions and enforcement response.



Q4 What tools, methods, or standards are covered in the "Compliance Investigation and Enforcement" course?

The course covers investigation triggers from whistleblowing, audits and monitoring alerts, credibility and materiality and regulatory exposure assessment, independence and objectivity and investigator selection, terms of reference and scoping and investigation governance, confidentiality and legal privilege considerations, investigation planning and hypothesis development, documentary, testimonial and physical evidence types, evidence preservation and chain of custody, document review and e-discovery and digital forensics, timeline construction and evidence linkage, working paper standards and case file management, interview strategy and sequencing and preparation, questioning techniques and cognitive interviewing, handling evasive, hostile and vulnerable interviewees, note taking and recording and statement preparation, credibility assessment and corroboration, admission handling and employee rights, root cause analysis and the 5 Whys, findings structured on allegation, evidence and conclusion, investigation report and executive summary drafting, legal review and disclosure and privilege boundaries, sanction and disciplinary frameworks and proportionality, remediation planning and control fixes, regulatory powers including information requests, inspections and interviews, enforcement action response and cooperation, penalties and settlements and remediation commitments, managing parallel criminal and civil proceedings, board and audit committee and regulator reporting, and assurance and monitoring and recurrence prevention.



Q5 How is the "Compliance Investigation and Enforcement" course applied in real-world practice?

Participants apply it to real work such as scoping an investigation with terms of reference, building an evidence plan, preserving and reviewing documents and electronic records, conducting a witness interview, drafting findings with root causes and recommendations, and preparing an enforcement response for a regulator. The same methods support remediation tracking and board reporting.