XCELERATE TRAINING INSTITUTE

your learning & development partner

AUDIT, COMPLIANCE AND GOVERNANCE

Compliance Investigation and Enforcement

DURATION	LANGUAGE	FORMAT
5 days	**English**	**Classroom / Online**

Upcoming dates

Dates	Venue	Format	Fee
4 – 8 ????? 2027	Kuala Lumpur	Classroom	**€4?800**
28 ????? – 2 ????? 2027	Live online	Online (live)	**€1?200**
6 – 10 ?????? 2027	Live online	Online (live)	**€1?200**

Register or ask a question

Online: x8ti.com/course/compliance-investigation-and-enforcement/

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Compliance Investigation and Enforcement

Introduction

There is an increased expectation by the administrations of countries and the general public to effectively investigate and impose statutory legislation and guidelines in most regulatory agencies today. Such examinations can come under public inquiry specifically where it concerns the ecosystem, community services or our biological resources.

Compliance training and compliance solutions play a vital role in keeping employees updated with organizational policies that are in sync with federal requirements. Immaterial of the industry you operate in, you will find that policies and procedures evolve constantly.

Finding the right resources that can help you stay in touch with these updates can spell the difference between smooth business operations and fines and litigations.

This Compliance Investigation and Enforcement course will provide the basic skills needed to direct a wide range of inspections by officers, public-sector controlling bodies, and other agents in the public sector.

Would inexperienced investigators impact your effectiveness as a compliance enforcement or monitoring agency? Investigators with limited experience can find themselves and their organization on the ‘back foot’ when trying to encourage or enforce compliance of legislation.

This generally occurs where companies or individuals have interests which are not served by complying with regulatory legislation or organizational guidelines.

This Xcelerate training course will empower you with effective investigation training and techniques to foster compliance by client organizations and individuals. Participants can intermingle with experts and regulators in the industry.

Learning Objectives

Upon completing this Compliance Investigation and Enforcement course successfully, participants will be able to:

- Investigate criminal, disciplinary or other regulatory breaches
- Act on identified non-compliance issues appropriately
- Explain any action taken if an examination comes under enquiry
- Prosecute serious non-compliance issues when required
- Examine protocols as well as other questionnaires that have been used in the past and may be used to help prepare your organizations for a future review
- Create a compliance management tool to ensure continued compliance improvement
- Explain the enforcement regulations and any recent changes
- Discuss upcoming trends in information security risks so you can start to plan for the work needed to do to stay in compliance and keep information private and secure

Training Methodology

This is an interactive Compliance Investigation and Enforcement training program and will consist of the following training approaches:

- Lectures
- Seminars & Presentations
- Group Discussions
- Individual Coursework
- Group Assignments
- Case Studies & Functional Exercises
- Practical Tests

Just like all our courses, this program also follows the 'Do-Review-Learn-Apply' model.

Benefits for Your Organisation

Companies who send in their employees to participate in this Compliance Investigation and Enforcement course can benefit in the following ways:

- Explore what artefacts and processes need to be documented to outlast an audit or enforcement review and evade fines
- Understand how to use the audit protocol as the basis for compliance undertakings and documentation for your organization
- Keep your company one step ahead with this all-inclusive overview of enforcement compliance
- Gain a competitive advantage in the industry with more efficient compliance processes
- Increase employee satisfaction with the provision for professional development
- Trained employees will be better equipped to prevent issues related to enforcement compliance

Benefits for You

Professionals who participate in this course can benefit in the following ways:

- Fines and penalties for violations of regulations have been significantly increased and may include mandatory fines for willful neglect of the rules – it is essential to be aware of such information so as to avoid paying hefty fine amounts
- Have an idea about what you will be asked if you are selected for an audit or enforcement review, and what you'll have to have prepared already when they do
- Know the rules that you need to comply with and what policies you can adopt that can help you come into compliance
- Realize how having a good compliance process can help you stay compliant more easily

Who Should Attend

This course is ideal for:

- Individuals who are seeking employment in the field of compliance
- Individuals who, as a part of their employment, are currently or plan to be involved in monitoring for

compliance
- Individuals who conduct inspections, investigations, or compliance-related duties
- Individuals who are currently employed and wish to expand their investigation and compliance skillset

Course Outline

INTRODUCTION TO THE CRIMINAL JUSTICE SYSTEM

- Introduction to Criminal law
- Introduction to Administrative Law
- Introduction to Investigative Skills and Processes

ENHANCED INVESTIGATIVE INTERVIEWING

- Report Writing for Professional Investigators
- How to Be Prepared for Investigative Interviews
- Roles & Responsibilities
- Undertake Inspections and Monitoring
- Plan and Initiate Investigation
- Conduct Investigation

APPLICATION FOR AND EXECUTION OF SEARCH WARRANTS

- The Law in Obtaining Search Warrants
- Fundamentals of the Search Process
- Rights of the Individuals Involved

GIVING EXPERT WITNESS TESTIMONY

- Testifying in Legal Proceedings/Hearings
- Do’s and Don’ts of Testimonies
- Prepare Brief of Evidence
- Finalize Investigation
- Give Evidence
- Uphold and Support Values & Principles

FORENSIC DIGITAL IMAGING: DOCUMENTING AND PRESENTING VISUAL EVIDENCE

- Benefits of a Good Compliance Process using Technology
- The Power of Photography in an Investigative Context
- Photographic Applications to Document Evidence
- Maintain Continuity of Digital Visual Evidence
- Documentation Required for Audits
- Security Protocols

INTERNET OPEN SOURCE INVESTIGATIONS

- Locating and Gathering Open Source Information
- Capture Vital Information for Any Category of Investigative File
- Compile and Use Official Notes

- Gather information Through Interviews
- Effects of Neglecting Compliance

INTRODUCTION TO INVESTIGATIVE FILE MANAGEMENT

- What is Investigative File Management and What Does it Entail?
- The Value of Historical Records as Investigative Support
- Improper Handling and Ineffective Management of Information
- Key Tactical Communication Strategies and Techniques
- Framework of Security Policies

CONDUCTING INTERNAL INVESTIGATIONS

- Enforcement Regulations
- Foundations of Collaborative Conflict
- Foundations of Collaborative Conflict Resolution: Workplace Focus
- Plan for Audits & Attaining Compliance

ASSERTING YOURSELF IN CONFLICT SITUATIONS

- What is Conflict?
- How to Handle Conflict Situations?
- Negotiation & Assertiveness in Conflict Management

MANAGING THE HOSTILE INDIVIDUAL

- Recent Cases Involving Multi-Million Dollar Settlements
- Maintain Workplace Safety

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Registration Form

Compliance Investigation and Enforcement

Preferred dates: ..... Venue or online: .....

Duration: 5 days Language: .....

Please complete and email this form to us, or register online. We confirm your place and send the invoice within one working day.

Delegate information

Full name (Mr / Ms / Dr / Eng): .....

Position: ..... Telephone / mobile: .....

Official email: ..... Personal email: .....

Company information

Company name: .....

Address: .....

City / country: ..... VAT / tax number: .....

Person responsible for training & development

Full name (Mr / Ms / Dr / Eng): .....

Position: ..... Telephone / mobile: .....

Email: .....

Payment

☐ Please invoice me ☐ Please invoice my company

Signature: ..... Date: .....

Call
+491631686678

Email this form
info@x8ti.com

Register online
Open the course page