JUPITER PRIME

Consulting • Training • Advisory

جوبيتر برايم للاستشارات والتدريب

COURSE BROCHURE

Internal Compliance Investigation and Case Handling Training Course

24 – 28 May 2027
Madrid

jupiterprime.uk

info@jupiterprime.uk

Registered in the United Kingdom and Saudi Arabia

Internal Compliance Investigation and Case Handling Training Course

Ref: 3185_121081 **Date:** 24 – 28 May 2027 **Location:** Madrid **Fees:** 5600 GBP

Internal Compliance Investigation and Case Handling is a 1-week training course for compliance officers, internal investigators, legal counsel and internal auditors who must turn an allegation into a defensible conclusion, and it produces an investigation case file with a findings report. Allegations now arrive faster through speak-up channels, and boards expect fair, documented and timely answers. Jupiter Prime Training delivers this Internal Compliance Investigation course for case owners.

Why Internal Compliance Investigation Matters Now

Three pressures shape internal compliance investigation today. Employees use reporting hotlines more often and expect protection. Audit committees want to see how each case was handled, not only how it ended. Enforcement bodies credit organisations that investigate promptly and fix root causes. Handled well, a case contains damage and protects the reporter. Handled badly, it taints evidence, treats the subject unfairly and turns a contained problem into litigation. The course rests on widely used principles of proportionality, independence, confidentiality and documented reasoning.

Who Gains Most from Internal Compliance Investigation

- Those who receive and triage reports
- Those who plan and conduct fact-finding into suspected misconduct
- Those who advise on privilege, employment exposure and disclosure decisions
- Those who test whether controls failed and recommend remediation
- Those who brief senior leaders and audit committees on case outcomes

A case committee that sends compliance, legal and audit members together gains most and leaves with shared intake rules and reporting formats.

Internal Compliance Investigation Capabilities

Participants move from reacting to allegations to running a structured case.

- Assess an incoming allegation for credibility, severity and conflict of interest — the triage decision and case owner
- Design an investigation scope and plan with proportionate resources — the sponsor approving the case
- Apply evidence preservation and chain of custody steps to documents and devices — legal counsel and any later tribunal
- Build an interview plan that is fair to witnesses and the subject — the employee relations lead
- Weigh facts against the standard of proof and policy wording — the decision maker issuing sanctions
-

Communicate findings and remediation actions in a structured report — the audit committee

Key Internal Compliance Investigation Terms

- Triage — the first assessment of an allegation to decide whether and how urgently it is investigated.
- Terms of reference — a signed document setting the questions, scope, authority and limits.
- Chain of custody — the documented record of who collected, held and transferred each item of evidence.
- Legal privilege — protection that can keep certain advice and investigation material confidential.
- Standard of proof — the level of certainty the investigator needs before treating an allegation as substantiated.
- Retaliation — any adverse treatment of a person because they raised a concern or assisted an investigation.

Internal Compliance Investigation Day by Day

Day 1: Intake, Triage and Case Ownership

- Speak-Up Channel Design — Which Reports Reach The Case Owner Quickly
- Allegation Triage Matrix — Severity, Credibility And Urgency Of Each Report
- Conflict Of Interest Screening — Who Can Investigate Without Compromising Independence
- Escalation Thresholds — When Senior Leaders, Board Or Counsel Are Informed
- Case Register Fields — Tracking Status, Deadlines And Accountability Across Cases

Day 2: Scoping, Planning and Legal Exposure

- Terms Of Reference Drafting — Questions, Authority And Limits Of The Inquiry
- Investigation Plan And Timeline — Resources, Sequencing And Sponsor Approval
- Privilege And Counsel Direction — Protecting Advice And Sensitive Work Material
- Employment And Data Privacy Constraints — Lawful Monitoring And Personal Information Handling
- Interim Measures — Suspension, Access Removal Or Reassignment During The Case

Day 3: Evidence Collection and Preservation

- Legal Hold Notices — Stopping Deletion Of Relevant Records And Messages
- Document And Email Review Protocol — Search Terms, Sampling And Relevance Tagging
- Device Imaging And Digital Evidence — When Forensic Specialists Are Engaged
- Chain Of Custody Log — Proving Evidence Integrity To A Later Tribunal
- Financial Transaction Tracing — Linking Payments, Approvals And Ledger Entries

Day 4: Interviews, Fairness and Whistleblower Protection

- Interview Sequencing — Witnesses First, Subject Last, And Why It Matters
- Open Questioning And Note Taking — Accurate, Signed Records Of Each Account
- Subject Rights And Right Of Reply — Fair Treatment Before Any Conclusion
- Reporter Confidentiality Safeguards — Limiting Identity Disclosure Across The Case
- Retaliation Monitoring Plan — Checking The Reporter's Treatment After The Case

Day 5: Practising the Investigation Case File

- Evidence Weighing Against The Standard Of Proof — Substantiated Or Not
- Root Cause And Control Gap Analysis — Linking Findings To Remediation
- Disciplinary And Disclosure Recommendations — Proportionate Outcomes For Decision Makers
- Case Simulation Applying Triage, Evidence And Interview Steps — Full Rehearsal
- Investigation Case File And Findings Report — Completing The Board-Ready Record

Applying Internal Compliance Investigation After the Course

- Rebuild the allegation triage matrix and escalation thresholds for the speak-up channel, then test them on three closed cases.
- Introduce a standard terms of reference template and chain of custody log, and use both on the next open investigation.

Internal Compliance Investigation Questions FAQ

What is internal compliance investigation and why does it matter now?

Internal compliance investigation is the structured fact-finding an organisation runs when misconduct or a control breach is alleged. It matters now because reporting volumes are rising and boards expect documented, fair handling.

Which roles gain most from internal compliance investigation training?

Compliance officers, internal investigators, legal counsel and internal auditors gain most. Each owns part of a case, so shared methods reduce delays and contradictory conclusions.

How does internal compliance investigation differ from a forensic accounting course?

Internal compliance investigation covers the whole case lifecycle for any type of misconduct, including harassment, conflicts and policy breaches. A forensic accounting course goes deeper into financial records and fraud quantification but spends little time on interviews or reporter protection.

What do you bring back from internal compliance investigation training?

You bring back an investigation case file structure with a findings report format, plus templates your team can apply to its next case.

Internal Compliance Investigation: The Way Forward

The investigation case file and its findings report give the case owner a single record of scope, evidence, interviews and reasoning. Its first use informs whether an allegation is substantiated and what remediation follows. Legal counsel, sanction decision makers and the audit committee rely on it. After the first case closes, revisit the triage thresholds and retaliation checks.