JUPITER PRIME

Consulting • Training • Advisory

جوبيتر برايم للاستشارات والتدريب

COURSE BROCHURE

Bank Control Breach Fact-Finding and Findings Report Training Course

15 – 19 February 2027
Casablanca

jupiterprime.uk

info@jupiterprime.uk

Registered in the United Kingdom and Saudi Arabia

Bank Control Breach Fact-Finding and Findings Report Training Course

Ref: 2429_91634 **Date:** 15 – 19 February 2027 **Location:** Casablanca **Fees:** 4500 GBP

Bank Control Breach Fact-Finding is a 1-week training course for audit, compliance and operational risk staff who must establish what happened after an operational incident and record it in an incident fact-finding report. Boards, supervisors and customers now expect banks to explain control failures quickly, accurately and without blame-driven conclusions. Jupiter Prime Training presents Bank Control Breach Fact-Finding as a disciplined way to turn scattered evidence into findings that hold up to challenge.

Why Bank Control Breach Fact-Finding Matters Now

Digital channels and outsourced platforms mean a single change or payment error can touch thousands of accounts within hours. Supervisors and internal audit committees ask for a defensible record of facts before any remediation is agreed. A bank that establishes facts well fixes the real weakness and closes the matter with credibility; one that does it badly repeats the breach, blames individuals unfairly, unsettles staff and invites further scrutiny. The course rests on layered assurance roles and recognised root cause methods.

Who Gains Most from Bank Control Breach Fact-Finding

- Internal audit staff judging whether a control was poorly designed or poorly operated
- Compliance officers examining breaches of policy or conduct standards
- Operational risk analysts capturing loss events and testing business accounts
- First-line control owners reconstructing a process after an error
- Incident coordinators gathering records and statements for decision makers

An assurance or risk function gains most when several members attend together, leaving with one shared method.

Bank Control Breach Fact-Finding Capabilities

Participants practise each stage of a control breach review using cases such as failed payment batches and branch cash differences.

- Scope a fact-finding review with clear questions, boundaries and evidence needs — the sponsor who commissions it
- Preserve and log documents, system records and access trails — the integrity of later conclusions
- Conduct fair, structured witness interviews — staff confidence and the reliability of accounts
- Build an evidence-linked chronology of the breach — the reviewer testing cause and timing
- Weigh conflicting evidence and separate fact from opinion — the decision on findings
- Write findings with proportionate, owned remedial actions — senior management and the audit committee

Key Bank Control Breach Fact-Finding Terms

- Control breach — An occasion when a required check, approval or limit did not operate as designed, whether or not a loss followed.
- Terms of reference — The written mandate for a review, setting its questions, scope, sponsor and timescale.
- Chain of custody — A record showing who collected, held and handled each item of evidence, so its integrity can be shown later.
- Chronology — A dated, sourced sequence of events that links every entry to the document, log or statement supporting it.
- Balance of probabilities — The standard used in most internal reviews: a finding is made when it is more likely true than not.
- Contributing factor — A condition that made the breach more likely without causing it alone.

Bank Control Breach Fact-Finding Day by Day

Day 1: Framing the Breach and the Mandate

- Incident Triage Criteria — When a Breach Warrants a Formal Review
- Terms of Reference Drafting — Scope, Questions and Sponsor Expectations
- Assurance Roles in Reviews — Who Leads and Who Contributes
- Independence and Conflict Checks — Choosing a Credible Reviewer
- Review Plan and Evidence Map — Sequencing Collection Before Interviews

Day 2: Securing Documents and System Records

- Evidence Preservation Notices — Stopping Deletion of Emails and Logs
- System Audit Trails and Access Logs — Proving Who Acted and When
- Chain of Custody Register — Defending Evidence Integrity Under Challenge
- Document Review Matrix — Linking Records to Review Questions
- Data Sampling of Affected Transactions — Sizing Customer and Financial Impact

Day 3: Interviewing Witnesses Fairly

- Interview Sequencing and Planning — Order of Witnesses and Topics
- Open Questioning and Funnel Technique — Obtaining Accurate First Accounts
- Fairness Safeguards and Companions — Protecting Staff Rights and Trust
- Interview Notes and Signed Statements — Creating a Reliable Record
- Handling Reluctant or Inconsistent Witnesses — Testing Credibility Without Pressure

Day 4: Building the Chronology and Weighing Evidence

- Evidence-Linked Chronology Build — Reconstructing the Breach Step by Step
- Corroboration Grid — Separating Fact, Inference and Opinion
- Five Whys and Fishbone Methods — Locating Control Design or Operation Gaps
- Human Factors Review — Workload, Procedure Clarity and Supervision
- Balance of Probabilities Test — Reaching Findings on Disputed Points

Day 5: Practising the Incident Fact-Finding Report

- Case Scoping Exercise on a Payment Batch Failure — Applying Mandate Skills
- Mock Interview Round With Peer Observation — Applying Questioning Methods
- Chronology and Root Cause Exercise — Applying Evidence Weighing
- Remedial Action Wording — Proportionate, Testable and Owned Fixes
- Incident Fact-Finding Report Drafting — Structure, Findings and Sign-Off

Applying Bank Control Breach Fact-Finding After the Course

- Introduce a standard terms of reference and evidence map template for the next control breach referred to the function.
- Re-run a recent closed incident through the chronology and corroboration grid to test whether its original findings still hold.

Bank Control Breach Fact-Finding Questions FAQ

What is Bank Control Breach Fact-Finding and why does it matter now?

It is the structured process of establishing what happened when a bank control failed. It matters now because faster digital processes spread errors widely, and boards and supervisors expect facts to be established before remediation is agreed.

Which roles gain most from Bank Control Breach Fact-Finding?

Internal audit, compliance and operational risk staff gain most, along with first-line control owners and incident coordinators who must establish facts others can rely on.

How does Bank Control Breach Fact-Finding differ from a fraud investigation course?

It focuses on operational control failures rather than deliberate wrongdoing. Fraud courses trace funds for legal action; this course establishes facts, causes and remedial actions for internal decision makers.

What do you bring back from Bank Control Breach Fact-Finding?

You bring back a tested method and a drafted findings document built on a banking case. It includes terms of reference, interview plans, a chronology and remedial actions.

Bank Control Breach Fact-Finding: The Way Forward

The incident fact-finding report is the first output to put to work. It informs whether a breach reflects poor control design or poor operation, and it is used by the review sponsor, risk committee and control owners agreeing remediation. After its first use, revisit how interviews were planned and whether the chronology captured every system record that later proved decisive.