
Enterprise Financial Crime Risk Course: Assessment, Controls and Escalation

19 – 23 April 2027
Madrid





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Programme Summary

Enterprise financial crime risk, covering assessment, controls and escalation, is the subject of this one-week training course for compliance, risk and business leaders at managerial level, ending in a financial crime risk assessment and escalation pack for one business line. Fraud, bribery, sanctions and money laundering are often managed in separate teams, leaving overlaps and gaps. The programme moves from principles, through diagnosis of exposure, to design of controls and oversight, then to application on one business line. Mars Training Centre UK delivers this enterprise financial crime risk programme for organisations that want one clear view of exposure.

The Business Case

When each type of financial crime is handled by its own team, the same customer or partner may be reviewed several times while other exposures go unrated. Leaders who assess exposure across crime types can place controls where risk is highest, avoid duplicated checks and show governing bodies how cases are escalated.

- Control Gaps: Fall as exposure to each crime type is rated and matched to controls.
- Duplicated Effort: Reduces as overlapping due diligence and monitoring are combined.
- Escalation Clarity: Improves as suspicion and case decisions follow agreed rules.

Principles and Evidence Base

- FATF Recommendations: They provide the international standards on combating money laundering and the financing of terrorism and proliferation used in Sessions 1 and 3.
- Risk assessment and controls approach: It structures the exposure rating and control matrix developed in Sessions 2 and 3.
- Governance, monitoring and reporting practice: It shapes the oversight pack and escalation routines in Session 4.

Intended Participants

- Compliance leaders who own the financial crime risk assessment.
- Risk managers who rate exposure and report it to committees.
- Business line leaders who accept the risk of products, customers and partners.
- Internal audit and fraud leaders who test controls and follow up cases.

The programme serves banks, insurers, payment firms, public bodies and large corporates, and suits mixed groups.



Learning Outcomes

1. Participants will be able to evaluate the exposure of a business line to fraud, bribery, sanctions and money laundering risk.
2. Participants will be able to diagnose overlaps and gaps between controls for different types of financial crime.
3. Participants will be able to construct a control matrix and monitoring approach matched to rated exposures.
4. Participants will be able to prioritise financial crime risks for management attention using a heat map.
5. Participants will be able to justify escalation rules and reporting content for a governing body.
6. Participants will be able to design a financial crime risk assessment and escalation pack for one business line.

Programme Structure

Day 1: Enterprise Financial Crime Risk Principles

What counts as financial crime risk, and how do its types connect in one organisation?

- Financial Crime Typology Map
- FATF Recommendations Overview
- Inherent and Residual Risk Model
- Risk Ownership and Accountability Chart
- Financial Crime Exposure Self-Assessment Sheet

Day 2: Diagnosing Exposure Across Fraud, Bribery, Sanctions and Laundering

Which products, customers, partners and processes expose the organisation most?

- Business Line Exposure Mapping
- Customer and Partner Risk Factor Grid
- Scenario Library by Crime Type
- Overlap and Gap Analysis Between Crime Types
- Enterprise Risk Heat Map

Day 3: Designing Controls, Monitoring and Escalation

Which controls and monitoring routines address each rated exposure?

- Control Selection Matrix
- Monitoring Rule and Alert Design Guide
- Due Diligence Tiering Model
- Suspicion Escalation Decision Tree
- Control Testing and Evidence Plan



Day 4: Governing, Reporting and Responding to Financial Crime Risk

How do leaders oversee the programme and respond when a case emerges?

- Governance Structure and Committee Terms
- Management Information Pack Outline
- Case Escalation and Decision Log
- Lessons Learned and Remediation Tracker
- Board Reporting Narrative Template

Day 5: Applying Enterprise Financial Crime Risk to One Business Line

Is the assessment and escalation pack ready for one business line to adopt?

- Applying the Session 1 Self-Assessment to the Chosen Business Line
- Testing the Session 2 Heat Map on Its Products
- Checking the Session 3 Control Matrix Against Current Controls
- Rehearsing the Session 4 Case Escalation
- Completing the Financial Crime Risk Assessment and Escalation Pack

Methodology

The programme uses a structured exercise method built on anonymised business line profiles, scenarios and case summaries. Participants rate exposure in small groups, test controls and draft escalation rules, with feedback from peers and the facilitator.

- Suggested activity: Rating a sample business line against four crime types and comparing the ratings.
- Suggested activity: Matching a list of existing checks to exposures and marking duplicates.
- Suggested activity: Walking a sample suspicion through the escalation tree and recording each decision.

Capstone Output

Each participant completes a financial crime risk assessment and escalation pack for one business line. It holds an exposure map, a heat map, a control matrix, monitoring and due diligence rules, an escalation tree and a committee reporting outline. The pack is used to brief the business line leader, agree control changes and plan reporting.



Frequently Asked Questions

Is enterprise financial crime risk suitable for leaders without a compliance background?

Yes. Enterprise financial crime risk starts from exposure in products, customers and partners and assumes responsibility for a business line or risk decision, not specialist compliance training.

Which references does enterprise financial crime risk rest on?

Enterprise financial crime risk rests on the FATF Recommendations, a risk assessment and controls approach, and governance, monitoring and reporting practice.

How is the pack from enterprise financial crime risk used at work?

You use the financial crime risk assessment and escalation pack to brief the business line leader, agree control changes and plan reporting to committees.

How does enterprise financial crime risk differ from a programme on anti-money laundering?

Enterprise financial crime risk centres on exposure and controls across fraud, bribery, sanctions and laundering together, while an anti-money laundering programme centres on laundering alone.