Financial Crime Prevention Control Effectiveness Course

12 – 16 April 2027
Tbilisi

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Training Center

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Ref: 1212_189496 **Date:** 12 – 16 April 2027 **Location:** Tbilisi **Fees:** 5000 Euro

Overview

Financial Crime Prevention Control Effectiveness Course is a one-week course for AML managers, financial crime prevention leaders, compliance functions, risk specialists, control owners, and assurance professionals who leave with a Financial Crime Prevention Control File. The course links financial crime risk assessment to customer controls, transaction monitoring, escalation, control testing, outcome measures, and remediation. Participants evaluate whether controls work in practice without configuring monitoring systems or conducting investigations. Agile Leaders Training Center presents financial crime prevention control effectiveness.

Who Should Attend

- Financial crime prevention functions responsible for control design and oversight
- AML functions responsible for risk-based policies, monitoring, and escalation
- Compliance functions responsible for customer and transaction control governance
- Risk functions responsible for inherent, residual, and emerging risk assessment
- Control owners responsible for operating evidence and corrective actions
- Assurance functions responsible for testing effectiveness and validating remediation

The course assumes participants already manage financial crime risks, controls, alerts, or assurance work and leaves out AML foundations, sanctions screening, investigative interviewing, intelligence analysis, and software configuration.

Departments and Industries

The course supports financial crime prevention control effectiveness across:

- Financial crime prevention, AML, compliance, and risk departments
- Internal control, assurance, audit liaison, and remediation functions
- Banking, insurance, payment, and investment-service organizations
- Retail, telecommunications, technology, and digital-platform businesses
- Energy, logistics, manufacturing, and professional-service groups
- Nonprofit, education, and healthcare administration functions

Learning Objectives

By the end of this course, participants will be able to:

- Build financial crime risk and control coverage maps
- Evaluate customer and transaction prevention controls
- Analyze monitoring scenarios, red flags, and escalation paths
- Use design and operating effectiveness tests
- Diagnose control gaps and their root causes
- Build a Financial Crime Prevention Control File

Course Agenda

Day 1: Risk and Control Architecture

- Business-Wide Financial Crime Risk Assessment Matrix
- Inherent and Residual Risk Scoring Model
- Risk Appetite and Control Coverage Map
- Customer, Product, and Channel Risk Factor Register
- Financial Crime Prevention Control Library

Day 2: Customer and Transaction Controls

- Customer Due Diligence Control Journey Map
- Beneficial Ownership Verification Checklist
- Customer Risk Rating Decision Table
- Transaction Monitoring Scenario Inventory
- Ongoing Monitoring and Review Trigger Matrix

Day 3: Detection and Escalation

- Red Flag to Scenario Traceability Map
- Alert Triage Decision Tree
- Suspicious Activity Escalation Protocol
- Investigation Handoff Evidence Pack
- Reporting Quality and Usefulness Checklist

Day 4: Testing and Remediation

- Control Design Adequacy Test Plan
- Operating Effectiveness Sampling Method
- Monitoring Performance and Outcome Dashboard
- Control Gap Root-Cause Analysis
- Remediation Ownership and Validation Tracker

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Day 5: Control Effectiveness Practice

- Exercise: Score Risk and Map Control Coverage
- Exercise: Evaluate Customer and Transaction Controls
- Exercise: Test Detection and Escalation Evidence
- Exercise: Diagnose Gaps and Plan Remediation
- Capstone Exercise: Financial Crime Prevention Control File

Practical Exercises

The course uses suggested activities to evaluate financial crime prevention controls:

- Suggested activity: map inherent risk and control coverage for a payment-service portfolio
- Suggested activity: test customer due diligence and monitoring evidence in a banking scenario
- Suggested activity: trace retail red flags through alert triage and escalation decisions
- Suggested activity: diagnose an industrial control gap and validate a remediation plan

FAQs

Who does financial crime prevention control effectiveness training suit, and what does it assume?

Financial crime prevention control effectiveness training suits AML, compliance, risk, control, and assurance functions that already manage risk assessments, customer controls, monitoring, escalation, or testing evidence.

How does financial crime prevention control effectiveness differ from foundational AML training?

Financial crime prevention control effectiveness focuses on risk-to-control mapping, operating evidence, testing, outcomes, root causes, and remediation, while foundational AML training introduces core concepts, obligations, and control categories.

How is financial crime prevention control effectiveness measured?

Financial crime prevention control effectiveness is measured by testing whether controls address defined risks, operate as designed, produce usable outputs, support timely escalation, and reduce or manage residual exposure.

What evidence supports a financial crime control test?

Financial crime control test evidence includes approved design documents, risk mappings, process records, monitoring outputs, sampled cases, escalation records, performance measures, issue logs, and proof that corrective actions were validated.

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How should financial crime control gaps be remediated?

Financial crime control gaps should be remediated by defining the root cause, accountable owner, target outcome, corrective action, due date, validation method, closure evidence, and follow-up monitoring.

Conclusion

Participants take back a Financial Crime Prevention Control File containing risk assessments, control maps, monitoring scenarios, escalation evidence, test plans, findings, outcome measures, and a remediation tracker. The file changes disconnected control activity into an evidence-based effectiveness view. It supports targeted testing, accountable correction, and validated closure.