

# Advanced Sanctions Compliance

## Sanctions SOS: Immersive Training Series

Delivery: In-person

Course code: SOSIP-AC

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### Course Description

This one-day, in-person immersive course provides an **advanced** examination of how organisations implement, govern and demonstrate an effective sanctions compliance framework. Combining expert-led teaching with a developing scenario throughout the day, participants will explore sanctions governance and risk appetite, enterprise-wide risk assessment, multi-jurisdictional challenges, ownership and control, advanced screening, licensing and enforcement readiness. Attendees will apply these concepts to practical decisions as new information and challenges emerge throughout the scenario.

This one-day course includes breakfast, buffet lunch, coffee/tea, and refreshments throughout the day.

### Learning Outcomes

By completing this training day, you will be able to:

- Assess and strengthen sanctions governance, accountability and risk appetite
- Conduct effective sanctions risk assessments and map risks to appropriate controls
- Navigate complex multi-jurisdictional, ownership and control issues
- Assess the effectiveness of sanctions screening and regulatory change management
- Manage sanctions licensing and permissions effectively
- Test sanctions controls and respond appropriately to potential breaches and regulatory scrutiny

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Participants receive a certificate of attendance, Sanctions SOS credits, and access to all course materials.

| Key topics                                                                                                                                                                                                                      | Learning points                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |
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| <b>Governance, Risk Appetite, Control Frameworks</b><br><i>Examine how sanctions risk should be governed and translated into a proportionate/defensible control framework.</i>                                                  | <ul style="list-style-type: none"><li>• Understanding board, senior-management and sanctions officer accountability</li><li>• Defining responsibilities, escalation routes, decision-making authorities</li><li>• Translating sanctions risk appetite into customer, product, and jurisdictional decisions</li><li>• Designing effective Enterprise-Wide Risk Assessment methodologies</li><li>• Mapping identified sanctions risks to controls and assessing residual risk</li><li>• Using risk assessment findings to inform resources, systems, control improvements</li></ul>                     |
| <b>Multi-Jurisdictional Sanctions, Ownership and Control</b><br><i>Understand how to make defensible decisions where sanctions regimes, corporate structures and jurisdictional requisites seem complex.</i>                    | <ul style="list-style-type: none"><li>• Establishing applicable jurisdictional and transactional nexus</li><li>• Managing UK, EU, US, UN and relevant local sanctions requirements</li><li>• Addressing conflicting sanctions obligations, blocking measures and group policies</li><li>• Calculating direct, indirect and aggregated ownership across complex structures</li><li>• Assessing control through voting rights, governance, financing and de facto influence</li><li>• Documenting reasonable ownership &amp; control decisions where information is incomplete or conflicting</li></ul> |
| <b>Screening and Change Management</b><br><i>Examine how organisations identify sanctions exposure, respond to regulatory change and manage controls</i>                                                                        | <ul style="list-style-type: none"><li>• Determining who and what should be screened and assessing screening effectiveness</li><li>• Managing aliases, transliteration, fuzzy matching, thresholds and data quality</li><li>• Responding to new designations, regulatory developments and changing sanctions restrictions</li><li>• Identifying restrictions that require analysis beyond list-based screening</li><li>• Understanding change management processes within a sanctions context, and ensuring that controls remain effective</li></ul>                                                   |
| <b>Licensing</b><br><i>Understand permissions for activity that would otherwise be restricted.</i>                                                                                                                              | <ul style="list-style-type: none"><li>• Determining when a licence is required and preparing effective applications</li><li>• Understanding when multiple licences may be necessary, including across jurisdictions</li><li>• Using General Licences and how to ensure compliance</li><li>• Translating licence conditions into operational controls, monitoring and reporting requirements</li></ul>                                                                                                                                                                                                 |
| <b>Assurance, Incidents and Enforcement Readiness</b><br><i>Test whether the sanctions framework works in practice and preparing the organisation to respond effectively when potential breaches or control failures arise.</i> | <ul style="list-style-type: none"><li>• Assessing control design and operating effectiveness through risk-based assurance</li><li>• Testing screening systems, manual controls and sanctions-list implementation</li><li>• Identifying systemic weaknesses and tracking remediation</li><li>• Managing containment, escalation and decision-making following a potential sanctions issue</li><li>• Conducting root-cause analysis, lookbacks and regulatory reporting</li><li>• Preparing for regulatory scrutiny and maintaining an enforcement-ready evidence record</li></ul>                      |