
BPO COMPLIANCE

to meet regulatory obligations



Service: Regulatory Readiness, Compliance Due Diligence Support, Risk & Control Support, Compliance Transaction Test

OVERVIEW

To be compliant, the Client wanted to define a unique client reference base and process all (>100K) client alerts.

CHALLENGES



Given the volume of alerts to be processed, there was a need to build a large Task Force system to filter the alert stock in a relatively short period of time, constrained by regulatory obligations.

SOLUTION

By combining a task force (47 analysts) with regulatory expertise (3 LAB/LAT experts on the platform), ACL was able to create a large system capable of processing more than 2,500 homonymous clean-up alerts every day.

Implementation of a pilot stage, led by experts to :

- 1 Define the procedures and other modalities for handling alerts
- 2 Creating the infrastructure to manage the strike force

Task Force implementation:

- 3 Managing the distribution of alerts between analysts
- 4 Identification of "lead analysts" in order to lead the teams
- 4 Quality controls at 3 levels (Expert/Referent/cross-checking between analysts)
- 4 Weekly progress monitoring committee
- 4 Workflow to escalate proven alerts to Compliance referrers

STANDARDS & TOOLS

PROJECT MANAGEMENT TOOLS

- › CMMI level 3
- › V Cycle
- › Agile

OUTCOME

- › Efficient processing of alerts by minimizing the impact on the internal resources (people, general means) of the Client
- › Continuous improvement plan of operational efficiency allowing a 40% reduction in processing time in only 4 months of activity

HIGHLIGHTS

- › 19 consultants
- › 5+ years engagement



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