

# BPO COMPLIANCE

to meet regulatory obligations



**Services:** 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:

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

## STANDARDS & TOOLS

### PROJECT MANAGEMENT TOOLS

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

## OUTCOME

- › Minimized impact on the internal resources (people, general means) of the Client by efficient processing of alerts
- › 40% reduction in processing time in only 4 months of activity with continuous improvement plan of operational efficiency

## HIGHLIGHTS

- › 19 consultants
- › 5+ years engagement

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[business@acldigital.com](mailto:business@acldigital.com) | [www.acldigital.com](http://www.acldigital.com)

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