



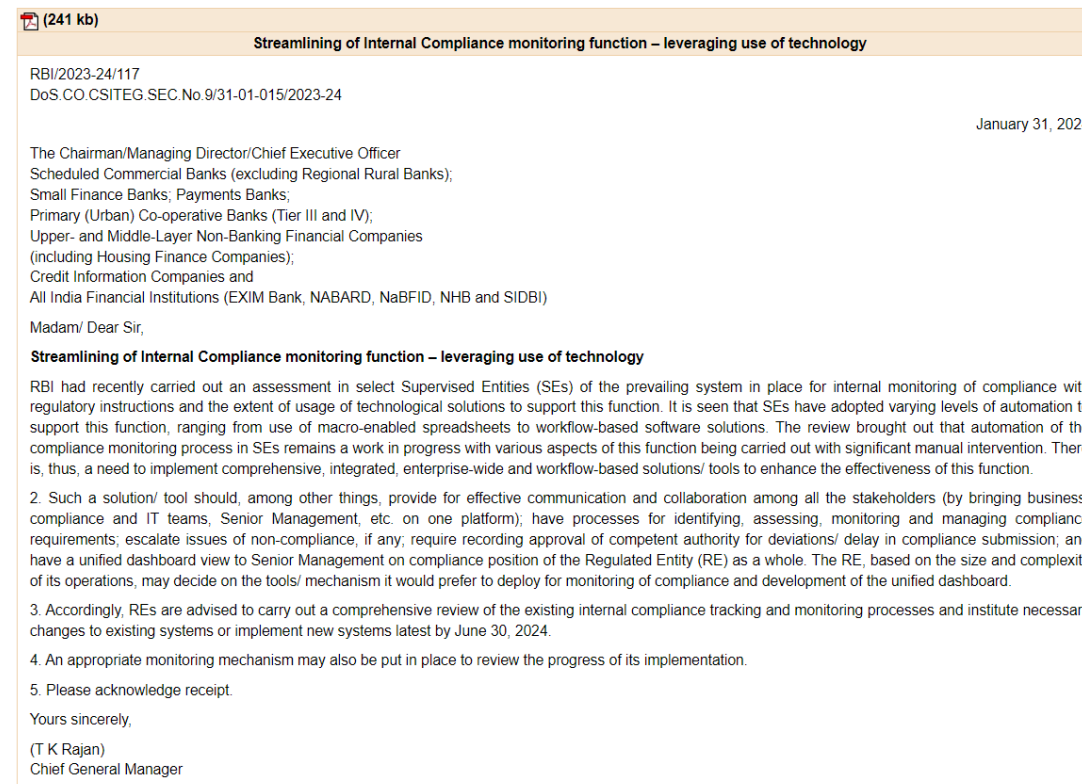
Compliance function automation

KPMG. Make the Difference.

Introduction

Key Regulatory Expectations

- ❖ Workflow based software solution
- ❖ No manual intervention
- ❖ Provide for effective communication and collaboration among all the stakeholders (by bringing business, compliance and IT teams, Senior Management, etc. on one platform)
- ❖ Have processes for identifying, assessing, monitoring and managing compliance requirements
- ❖ Escalate issues of non-compliance, if any
- ❖ Require recording approval of competent authority for deviations/ delay in compliance submission
- ❖ Have a unified dashboard view to Senior Management on compliance position of the Regulated Entity.



How our Automated Solution meets them

Regulatory Expectations

Identifying
New Circulars

Assessing
Compliance Risk

Monitoring
Compliance Risk

Managing
Compliance
Requirements

How We Match Them

- Through RSS feeds generated from RBI website
 - Through manual upload of new circulars / amendments
 - Additional paid service from KPMG in India
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- Using our 'Obligation register' module wherein you identify
Inherent risk Reputational risk Residual risk
 - Using 'Compliance testing' module for testing of controls and unified view of other observations (IA, regulatory, ORM)
 - Using 'Mitigation Action Plan' module for enhancement of controls
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- Using our 'Dashboard' module you can monitor compliance risk at circular level, obligation level and department level
 - Using 'Mitigation Action Plan' module for mitigation of risks by enhancing of controls
 - Using 'Compliance Calendar' module to check number of regulatory reports submitted on time and not submitted on time
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- Using 'Implementation Tracker' module to check if the new regulatory guidelines have been implemented by business teams
 - Using 'RBI Observations Tracker' for monitoring of observations still open and closed with the regulator
 - Using our 'issue and action plan' module you can take necessary actions to manage and reduce compliance risk

Key advantages for you

The solution is ready for immediate deployment, customisations to the solution have already started

We will upload your current obligation registers of the bank in the solution through backend before implementation

We have other automated solutions for operational risk, GRC, internal audit, IFRS 9, fraud risk, compliance exception identification and reporting which can be linked to this solution smoothly

The leading practices required for this automation as gathered from implementation with other banks will be incorporated here.



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