



# Intelligent Compliance

Digital Cockpit



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GIEOM's Intelligent Compliance solution integrates the Digital Cockpit and the Transaction Analyzer Engine (TAE). This solution enables organizations to have Compliance and Operational Controls on human intensive work such as document verification (e.g. KYC).

The TAE randomly earmarks documents and data from core systems such as Core Banking Systems or CRM systems along with document management systems and requests a supervisor or an internal auditor to verify the human executed work. In cases where documentary evidences or transaction data is not digitally stored they are submitted by the employees in the tasks generated by GIEOM's Digital Cockpit. Automatically scheduled tasks can be setup for business areas or products lines; the criticality of the process will define the frequency of evidence verification. The Intelligent Compliance solution has been designed to be integrated with any Core Banking System, CRM or custom IT applications.

## Advantages



Comprehensive regulatory compliance views with easy to configure dashboards



Human centric activities can be controlled and monitored



Integrated risk, compliance and process controls enabling easier operationalization of business controls.

## Benefits

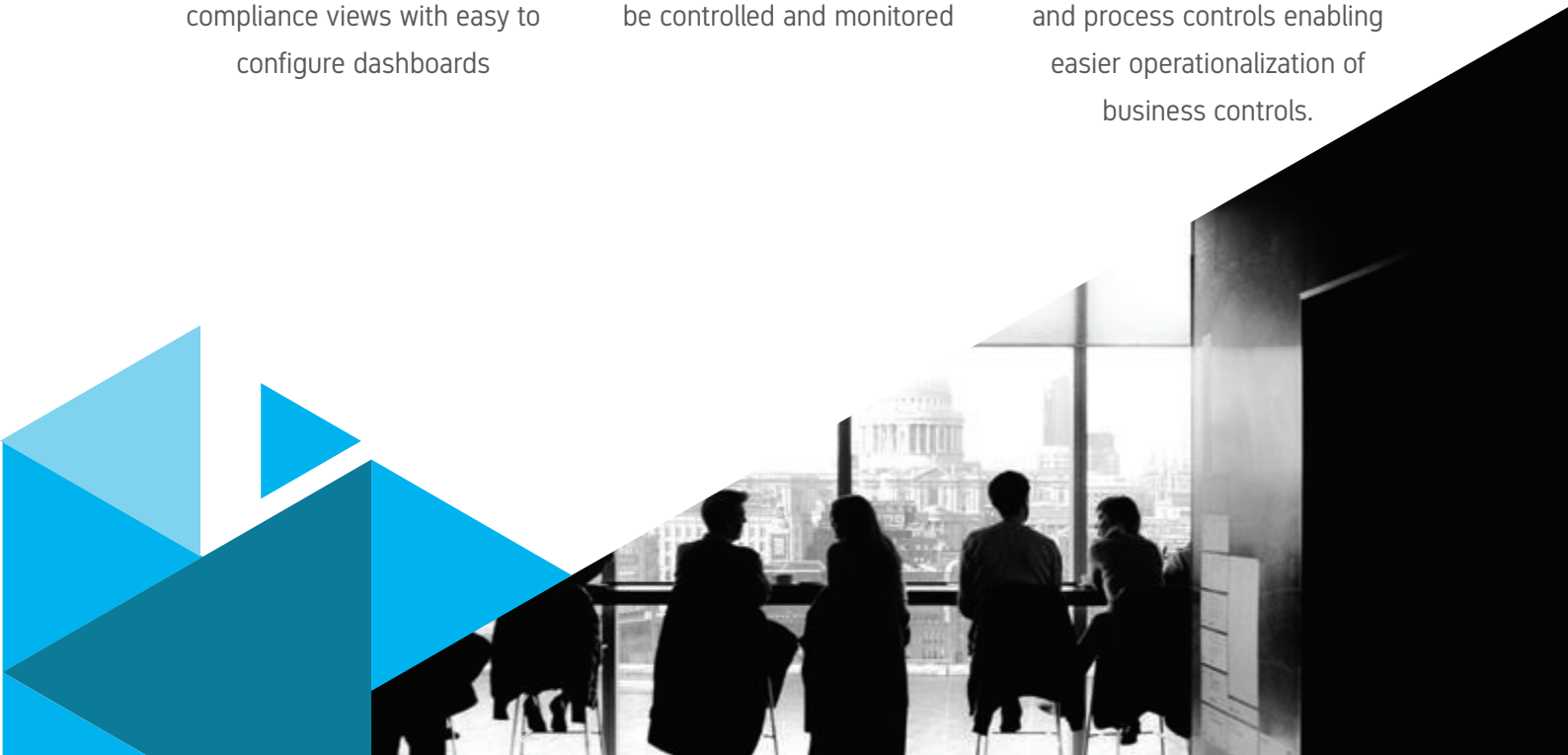
Reduction of Compliance breaches due to human error

Reduction in man-hours required for compliance verification

Reduction in Operational and reputational risk through automated Risk Mitigation Protocol

Lower Internal Audit requirements enabled by compliance self-assessment

Simplifies employee effort for compliance by diarized compliance task



## Features & Capabilities



Define operational/business risks - GIEOM's Digital Cockpit will allow businesses to setup Human controls for people to follow & consistently secure process outcomes. example: Daily or weekly Self Attestation confirmations.



Implement confirmation protocols e.g. KCSA and RCSA



The system will initiate actions based on the control definition for each role. Each action will seek an acknowledgement for completion of the specific task and optionally one or more evidences that show proof of task completion. It allows multi stage review and feedback for actions



Track resolution of issues

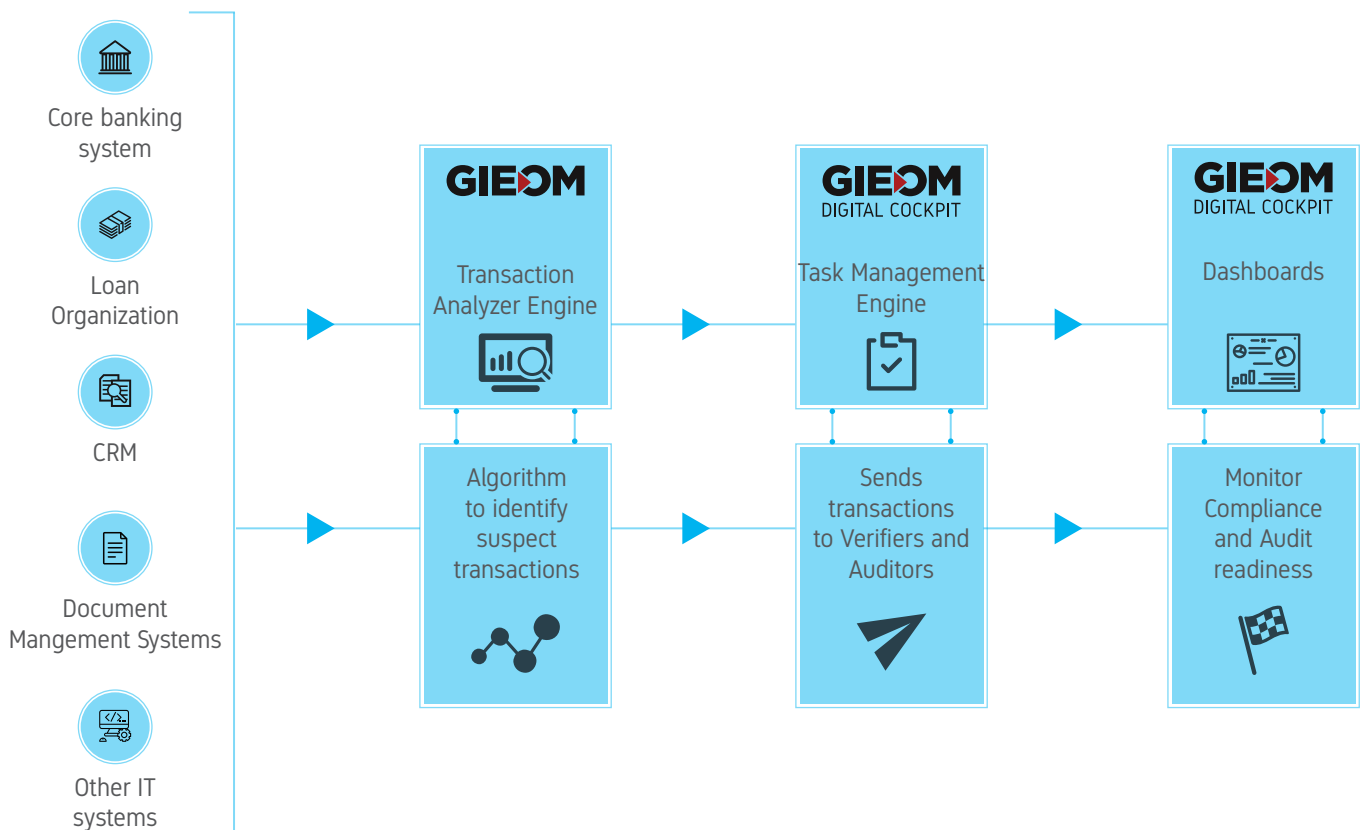


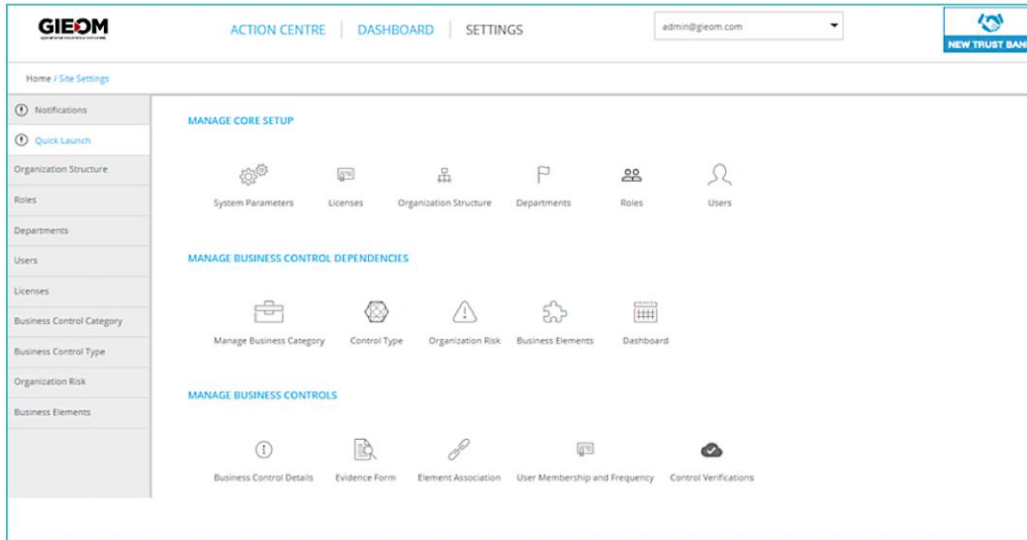
Use interactive dashboards to track organization-wide status of compliance actions, and design interventions



Downloadable reports

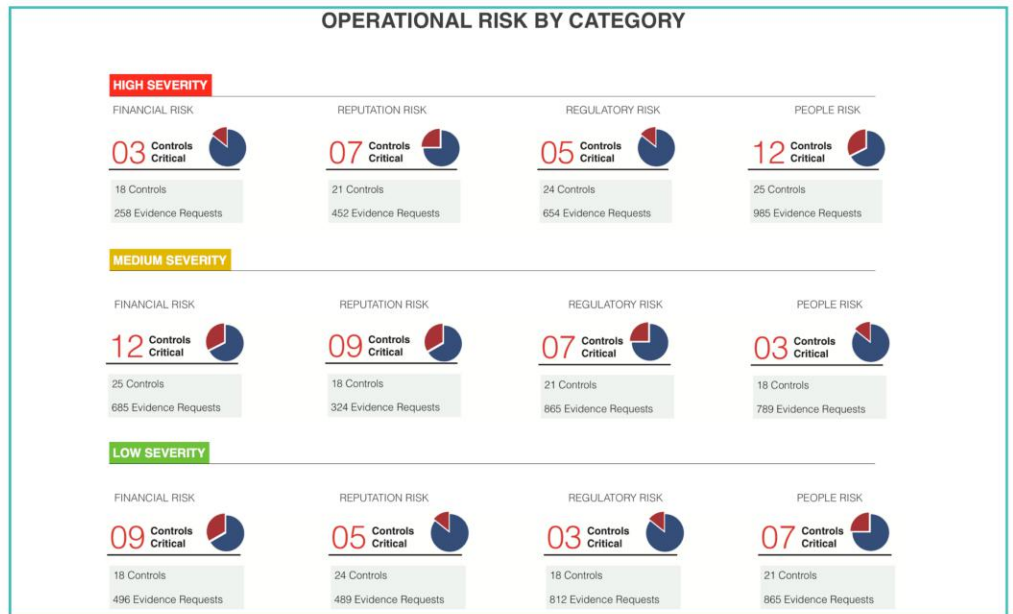
## Digital Cockpit and TAE





Setup Business Controls and Risk Mitigation Protocols easily

A comprehensive dashboard enables different stake holders the insight into compliance adherence of their units everyday



The 'Action Status' form for 'KYC POI' includes the following fields and options:

- Name:** KYC POI
- Task Status:** New Task
- Narrative:** Collected the proof of identity for KYC
- Assigned By:** John Smith
- Elements:** A table with columns for Name, Type, and View. One entry is 'Centralised Account Opening' with Type 'Process Map' and a 'View' icon.
- Remarks:** A text input field.
- Evidence:** A section for uploading evidence files (png/jiff/jpeg/pdf only). It lists 'Passport' and 'Driving License', each with an 'Upload' button.
- Buttons:** 'Cancel' and 'Submit' buttons at the bottom right.

Configurable action forms to collect and validate compliance information and evidences.

Please visit [www.gieom.com](http://www.gieom.com) or contact [sales@gieom.com](mailto:sales@gieom.com)