



Automated Entity-Level Controls and Testing of 2500+ Controls for a US-Based Community Bank



Client Introduction

A leading US-based financial institution that offers services to retail consumers, corporations, and nonprofits through traditional and digital banking.

Problem Statement

The bank wanted to upgrade the **1st and 2nd lines of defense to address operational risks, SOX compliance, and IT control validation.**

Key requirements were:

- Testing and calibrating 2500+ controls, including 600 critical controls per the OCC guidelines
- Designing and refactoring the ERM framework to build operational risk resilience
- Updating the Enterprise Control Management Program to comply with the latest standards

Solutions Offered

Rapid prototyping of a bespoke digital solution to automate control sampling, clustering, and testing across the 1st and 2nd lines of defense.

Key solution delivered:

Process mapping and control flow diagrams/narratives to find vulnerabilities



Probabilistic sampling and modeling for assessing risks



Digitally powered entity-level controls to support SOX compliance



Customized automation logic to authenticate the data fields



Global operating model to support **scaled multi-shore delivery**



Business Outcomes

2500

Controls Testing based on OCC Parameters

CONTINUAL

Updating of ECMP Document and QA/QC Methodology

EFFICIENT

Testing and Validation Process

Want to explore our intelligent digital solutions for your business?

Write to us:

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