

# eCAP – Health Check Evaluation



ECAP utilizes a multi-faceted engagement approach with our clientele to provide more efficient and effective services. There are 3 phases to the engagement:

- Phase I: Onsite HCE Discovery
  - Discuss Business/Technical Operations and Pain-Points
    - Include half-hour to hour Observations of Current Operations
  - Potential Integration Opportunities
  - Reporting Activities [Existing Metrics/Dashboards] to Establish a Baseline for Operations
- Phase II: Analysis for the Business and/or Technical Environments

<u>Business:</u> <ul style="list-style-type: none"><li>▪ Perform Business Operations Evaluation<ul style="list-style-type: none"><li>▪ Current Usage of Solution Feature/Function</li></ul></li><li>▪ Integration Opportunities</li><li>▪ Reporting Activities and Criteria</li><li>▪ Benchmarking</li><li>▪ Provide Report and Presentation</li></ul>	<u>Technical:</u> <ul style="list-style-type: none"><li>▪ Architecture Review</li><li>▪ Batch Job Assessment</li><li>▪ Database Evaluation</li><li>▪ Performance Evaluation</li><li>▪ Customizations Review</li><li>▪ Provide Report and Presentation</li></ul>
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- Phase III: Improvements Analysis & Delivery
  - Post-Health Check Evaluation – Prioritization of Enhancements
  - Deployment of Recommendations



Knowledge Share	Evaluation of Operations	Enterprise Governance	Observation Analysis	Consultancy & Guidance	Impact Analysis & Reporting
<b>DOMAIN EXPERTISE</b>	Identify Core Elements of Focus such as the following: <ul style="list-style-type: none"> <li>▪ Financial Crime Program Assessment</li> <li>▪ Solution Evaluation</li> <li>▪ Customer Identification Program</li> <li>▪ Transaction Monitoring</li> <li>▪ Currency Transaction Reporting</li> <li>▪ Sanctions Program</li> <li>▪ Advanced Analytics</li> <li>▪ Data Management</li> <li>▪ Training &amp; Education</li> <li>▪ Investigation</li> </ul>				
<b>ACTIVITIES</b>	Collaborative forum to identify current state of Financial Crime Program in order to define appropriate engagement models, timelines and deliverables.				
<b>VALUE PROPOSITION</b>	<ul style="list-style-type: none"> <li>▪ Enterprise Target Operating Model</li> <li>▪ Return On Investment and Resource Management</li> <li>▪ Regulatory Compliance Adherence and Effective Risk Mitigation</li> </ul>				



**ACTIMIZE VALUE ADDED SERVICES**

- Develop an **ENTERPRISE TARGET OPERATING MODEL**
- **HEALTH CHECK** Evaluation\*
- Access to **EXPERIENCED CONSULTANTS & ENGINEERS**
- Incorporate industry best practices leveraging **CONSORTIUMS**
- Program assessment of **AML, FRAUD and FINANCIAL MARKETS COMPLIANCE**



\*Health Check Evaluation is Additional Cost Per Solution

Knowledge Share	Evaluation of Operations	Enterprise Governance	Observation Analysis	Consultancy & Guidance	Impact Analysis & Reporting
<b>DOMAIN EXPERTISE</b>	<p>Assessment of Operational Processes include the following:</p> <ul style="list-style-type: none"> <li>▪ Process Review and Gap Analysis</li> <li>▪ Workflow Optimization</li> <li>▪ Dashboards &amp; Reporting</li> <li>▪ Policy and Procedure Review</li> <li>▪ Evaluation of Training Program</li> <li>▪ Business &amp; Technical Assessment</li> </ul>				
<b>ACTIVITIES</b>	<p>Partner with client to assess functions, roles and line of business structure of the Financial Crime Program.</p>				
<b>VALUE PROPOSITION</b>	<ul style="list-style-type: none"> <li>▪ Identify Gaps and Vulnerabilities in the Operational Environment</li> <li>▪ Development of Effective and Efficient Reporting Methodologies</li> <li>▪ Achieve Consistent Processes and Align Educational Programs</li> </ul>				





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<b>DOMAIN EXPERTISE</b>	<p>Assessment of Enterprise Governance include the following:</p> <ul style="list-style-type: none"> <li>▪ Controls Management and Quality Assurance</li> <li>▪ Risk Assessments</li> <li>▪ Enterprise Case Management and Traceability</li> <li>▪ Regulatory Reporting Requirements</li> </ul>					
<b>ACTIVITIES</b>	<p>Concerted effort to assess Enterprise Governance for continuous oversight and controls monitoring across lines of business.</p>					<p><b><u>ACTIMIZE VALUE ADDED SERVICES</u></b></p> <ul style="list-style-type: none"> <li>▪ Develop an <b>ENTERPRISE TARGET OPERATING MODEL</b></li> <li>▪ <b>HEALTH CHECK</b> Evaluation*</li> <li>▪ Access to <b>EXPERIENCED CONSULTANTS &amp; ENGINEERS</b></li> <li>▪ Incorporate industry best practices leveraging <b>CONSORTIUMS</b></li> <li>▪ Program assessment of <b>AML, FRAUD and FINANCIAL MARKETS COMPLIANCE</b></li> </ul>
<b>VALUE PROPOSITION</b>	<ul style="list-style-type: none"> <li>▪ Transparency of Operations</li> <li>▪ Risk-Based Program Management and Oversight</li> <li>▪ Establish System of Record for Documentation and Reporting</li> </ul>					

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<b>DOMAIN EXPERTISE</b>	<p>Assessment of Observation Analysis include the following:</p> <ul style="list-style-type: none"> <li>▪ Health Check Evaluation*</li> <li>▪ Workflow Processes Efficiency</li> <li>▪ Utilization of Features and Functions</li> <li>▪ Onsite Business User Engagement</li> </ul>
<b>ACTIVITIES</b>	<p>Joint effort to identify opportunities for improvement, effectively align business processes and solution usability.</p>
<b>VALUE PROPOSITION</b>	<ul style="list-style-type: none"> <li>▪ End to End Holistic Governance</li> <li>▪ User Driven Modification and Enhancements</li> <li>▪ Gain Insights to Fragmented Operational Environment</li> </ul>



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<b>DOMAIN EXPERTISE</b>	<p>Assessment of Consultancy &amp; Guidance include the following:</p> <ul style="list-style-type: none"> <li>▪ Analyze Program Processes and Approaches</li> <li>▪ Evaluate and Assess Operations Across all Lines of Business</li> <li>▪ Enforce Corporate Strategy and Vision Across Business Operations</li> <li>▪ Provide Best Practices Leveraging Industry Consortium</li> </ul>
<b>ACTIVITIES</b>	<p>Partner with client to provide best-in-class guidance utilizing financial industry and solution experts.</p>
<b>VALUE PROPOSITION</b>	<ul style="list-style-type: none"> <li>▪ Alignment of Organizational Design</li> <li>▪ Achieve Strategic Goals, Reduce Costs and Drive Revenue</li> <li>▪ Eliminate Obstacles for Collective Understanding Across the Enterprise</li> </ul>



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<b>DOMAIN EXPERTISE</b>	<p>Assessment of Impact Analysis and Reporting include the following:</p> <ul style="list-style-type: none"> <li>▪ Operational Analysis and Data Validation</li> <li>▪ Risk- Based Effects on Financial Crime Program</li> <li>▪ Detailed Metrics Assessment</li> <li>▪ Benchmarked Study Comparison to Industry Peers</li> </ul>
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<b>ACTIVITIES</b>	Report generation of observation detail in order to provide a comprehensive Financial Crime Program assessment.
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<b>VALUE PROPOSITION</b>	<ul style="list-style-type: none"> <li>▪ Enterprise Target Operating Model</li> <li>▪ Return On Investment and Resource Management</li> <li>▪ Regulatory Compliance Adherence and Effective Risk Mitigation</li> </ul>
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