

Guideline Compliance (Capability)

- 1. Role Definition
- 2. Example of Use
- 3. Executive Summary
- 4. Key Features

Documentation

Properties

Appears on

Relations

1. Role Definition



This service center administers the activity of a specialists tasked with testing and confirming guideline compliance. Compliance tests may include document reviews, more detailed transaction analysis and may involve interactions with the unit under test to obtain additional detail/explanation. Guideline compliance is typically focused on larger value investment and loan activities, confirming transactions are executed in alignment with management guidelines and prudential policies.

2. Example of Use



A loan origination process is submitted for guideline compliance checks prior to completing the origination/loan closure process

3. Executive Summary



This service domain develops and applies a portfolio of guideline compliance tests to confirm adherence to bank and regulator imposed internal procedures. Tests may be made on complete transaction data or a meaningful

samples as appropriate to mitigate exposure to non-compliant behaviors. Compliance checks may be in response to a schedule, a specific request as part of normal processing or may be initiated randomly as an oversight activity

4. Key Features

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- Schedule/target compliance checks
- Consolidate documents/activity pertaining to compliance tests
- Provide advice/guidance for achieving compliance
- Evaluate and report on activity for compliance,
- Notify and track responses for detected compliance failures

Documentation













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Properties

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Property	Value
Service Domain	
API BIAN Portal	Guideline Compliance API (https://app.swaggerhub.com/apis/BIAN-3/GuidelineCompliance/12.0.0)
Core Business Object	
Individual Analytics	guidelineComplianceAssessmentAccumulators guidelineComplianceAssessmentActivityAnalysis guidelineComplianceAssessmentPerformanceAnalysis guidelineComplianceAssessmentTrends&Events
Portfolio Analytics	guidelineComplianceAssessmentPortfolioActivityAnalysis guidelineComplianceAssessmentPortfolioMake-UpAnalysis guidelineComplianceAssessmentPortfolioPerformanceAnalysis

Scenarios

-  Handle Request to Issue Guarantee on Request of Another Bank (views/view_54980.html)
-  Handle Request for Notional Pooling Agreement (views/view_54592.html)
-  Handle Request for Consumer Loan Verify Documentation and Offer Process (views/view_55227.html)
-  EXT Handle Request to Open Retail Current Account (views/view_55487.html)
-  Process Closing of Corporate Loan (views/view_55458.html)
-  Handle Request to Open Savings Account (views/view_55628.html)
-  EXT Handle Request to Change Corporate Current Account Ownership (views/view_55493.html)
-  Handle Request for Investment Plan (views/view_55514.html)
-  Handle Request for Credit Facility (views/view_55481.html)
-  Conduct Mortgage Loan Processing (views/view_55218.html)
-  EXT Handle Request to Add Signatory to Corporate Current Account (views/view_55296.html)
-  Handle Request to Open Retail Current Account (views/view_55365.html)
-  Handle Request for Corporate Sweep Agreement (views/view_55200.html)
-  Perform Underwriting for Corporate Loan (views/view_55254.html)
-  Perform Closing of Uncollateralised Consumer Loan (views/view_55478.html)
-  Perform Underwriting for Mortgage Loan (views/view_55392.html)
-  Perform Customer Due Diligence Assessment (views/view_55502.html)
-  Process Closing of Mortgage Loan (views/view_55134.html)
-  Handle Request for Issuance of Commercial Paper (views/view_54869.html)
-  Handle Request for Corporate Sweep Agreement Considering Inter-Company Loan Agreements (views/view_54604.html)
-  Perform Underwriting for Renewal of Uncollateralised Consumer Loan (views/view_54892.html)
-  Perform Underwriting for Merchandising Loan (views/view_54854.html)
-  Process Modification of Corporate Loan (views/view_54822.html)
-  EXT Handle Request to Open Corporate Current Account (views/view_54675.html)
-  Handle Request to Open Corporate Current Account (views/view_54919.html)
-  EXT Handle Request to Open Term Deposit Agreement for Retail Customer (views/view_55007.html)
-  Handle Request to Open Term Deposit Agreement (views/view_55179.html)
-  EXT Handle Request to Establish Term Deposit Agreement (views/view_54702.html)
-  Handle Request to Establish Term Deposit Agreement (views/view_54907.html)

Service Role	Develop and apply a portfolio of guideline compliance tests to confirm adherence to agreed and regulatory imposed internal procedures (note one particular area of focus is investment management). Test on complete transaction data or a meaningful sample as appropriate to mitigate exposure to non-compliant behaviors
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BIAN Life Cycle

Registration
Status Registered

Stereotypes

stereotype
ServiceDomain

Appears on

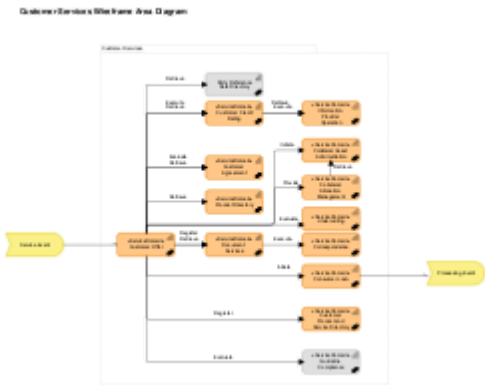


(views/view_50878.html)



BIAN Coreless 2.0 Wireframe

(views/view_51045.html)



Customer Services

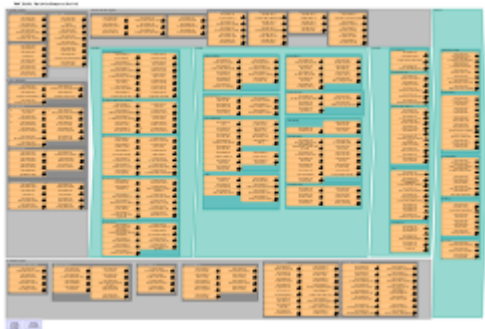
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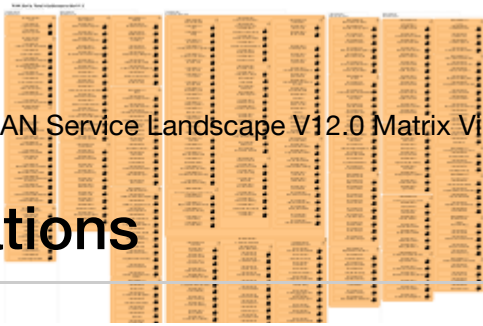
Guideline Compliance SD Overview

(views/view_51891.html)

(views/view_51705.html)



BIAN Service Landscape V12.0 Value Ch...








BIAN Service Landscape V12.0 Matrix Vi...












Relations




aggregated by

-  Customer Services (object_25.html?object=127290)
-  Regulations and Compliance (object_25.html?object=131097)
-  Wave 2 (object_25.html?object=153742)
-  Wave 1 (object_25.html?object=153747)
-  Compliance (object_25.html?object=171917)


gets input from

-  Party Lifecycle Management (object_20.html?object=29780)
-  Customer Relationship Management (object_21.html?object=30437)
-  Term Deposit (object_21.html?object=30653)
-  Corporate Current Account (object_21.html?object=34221)
-  Cash Management And Account Services (object_21.html?object=36789)
-  Current Account (object_21.html?object=37122)
-  Customer Offer (object_22.html?object=39968)
-  ECM And DCM (object_22.html?object=40135)
-  Underwriting (object_22.html?object=44666)
-  Customer Campaign Design (object_22.html?object=47269)
-  Investment Portfolio Planning (object_23.html?object=48534)


is associated with

-  Guideline Compliance (object_44.html?object=30270)















is equal to

-  Guideline Compliance (object_36.html?object=30271)


is part of

-  Regulations and Compliance (object_25.html?object=131097)


















realized by

-  Guideline Compliance Assessment_Analytics Object (object_25.html?object=111393)
-  Guideline Compliance_SD_Operations (object_19.html?object=158246)
-  Guideline Compliance_Instantiation (object_19.html?object=158266)
-  Guideline Compliance_Invocation (object_19.html?object=158269)
-  Guideline Compliance_Reporting (object_19.html?object=158272)
-  Guideline Compliance_SD_Service Group (object_19.html?object=240031)
-  Ec CR Accept or reject a guideline compliance determination (object_13.html?object=30240)
-  Guideline Compliance (object_23.html?object=33480)
-  Up CR Update submitted details or content for an on-going guideline compliance assessment (object_14.html?object=35586)
-  Ev CR Start a guideline compliance evaluation assessment (object_14.html?object=36622)
-  Guideline Compliance Assessment (object_24.html?object=43712)
-  Re CR Retrieve details and content from an active guideline compliance assessment (object_16.html?object=44420)
-  Rq CR Request a review or adjudication for a guideline assessment (object_16.html?object=46308)
-  Assess (object_28.html?object=58027)

serves

-  Policy Management (object_6.html?object=81319)

triggered by

-  Party Lifecycle Management (object_20.html?object=29780)
 -  Customer Relationship Management (object_21.html?object=30437)
 -  Term Deposit (object_21.html?object=30653)
 -  Mortgage Loan (object_21.html?object=31825)
 -  Term Deposit Framework Agreement (object_20.html?object=33675)
 -  Corporate Current Account (object_21.html?object=34221)
 -  Current Account (object_21.html?object=37122)
 -  Savings Account (object_21.html?object=38858)
 -  Customer Offer (object_22.html?object=39968)
 -  ECM And DCM (object_22.html?object=40135)
 -  Credit Facility (object_22.html?object=40622)
 -  Cash Concentration (object_22.html?object=41205)
 -  Corporate Loan (object_20.html?object=42505)
 -  Consumer Loan (object_22.html?object=42931)
 -  Bank Guarantee (object_22.html?object=44405)
 -  Underwriting (object_22.html?object=44666)
 -  Notional Pooling (object_23.html?object=48546)
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