

PROCESS MAP NAME: CDCS Batch Domestic Payment Process

BRIEF PROCESS DESCRIPTION:

Daily batch process to ensure that domestic payments (cash ACH and cheque) are complete and accurate.

CURRENT STATUS: OPEN

DATE LAST MODIFIED: April 16th, 2019

APPROVED BY: XXX

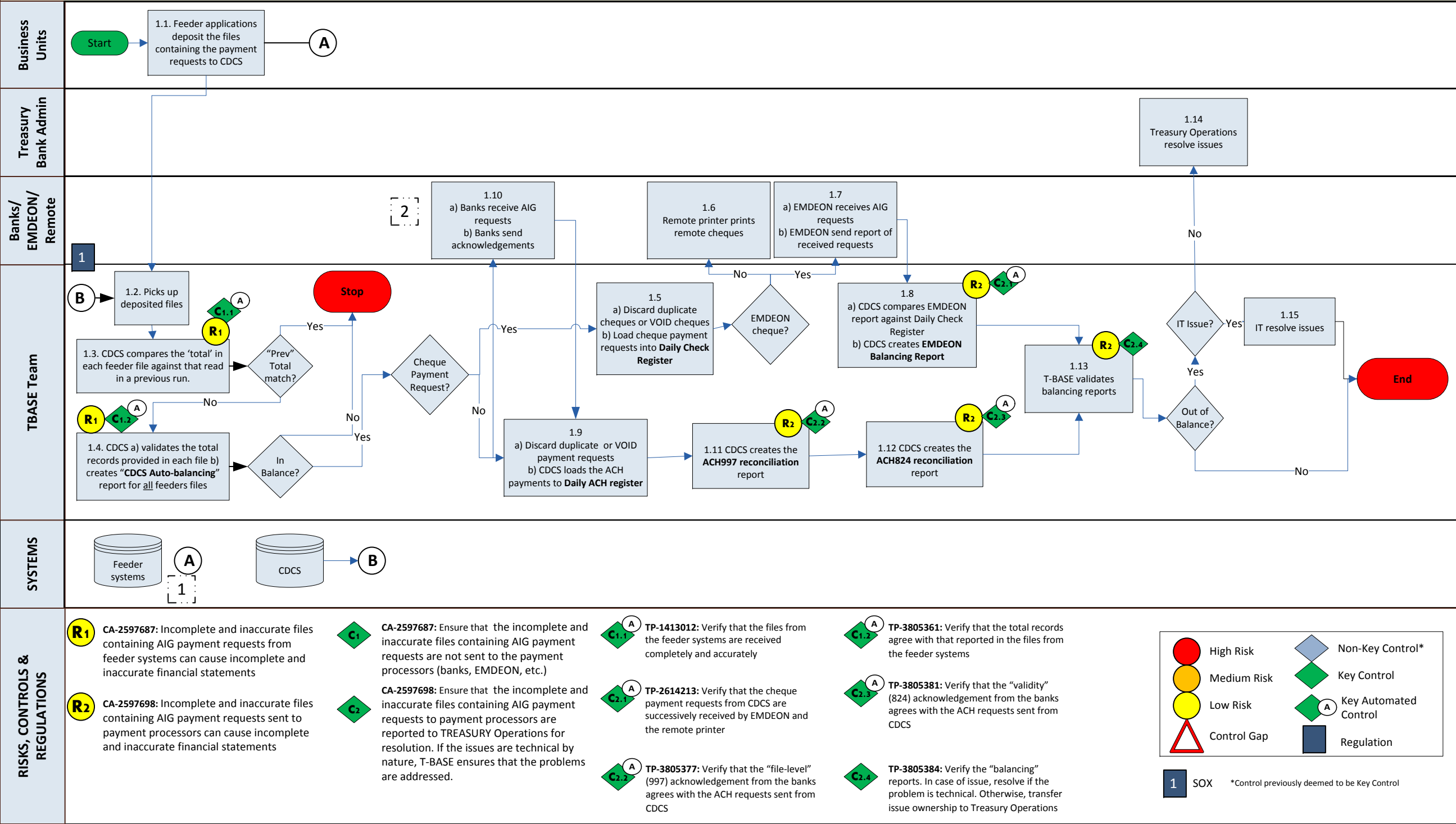
DATE APPROVED: XXX

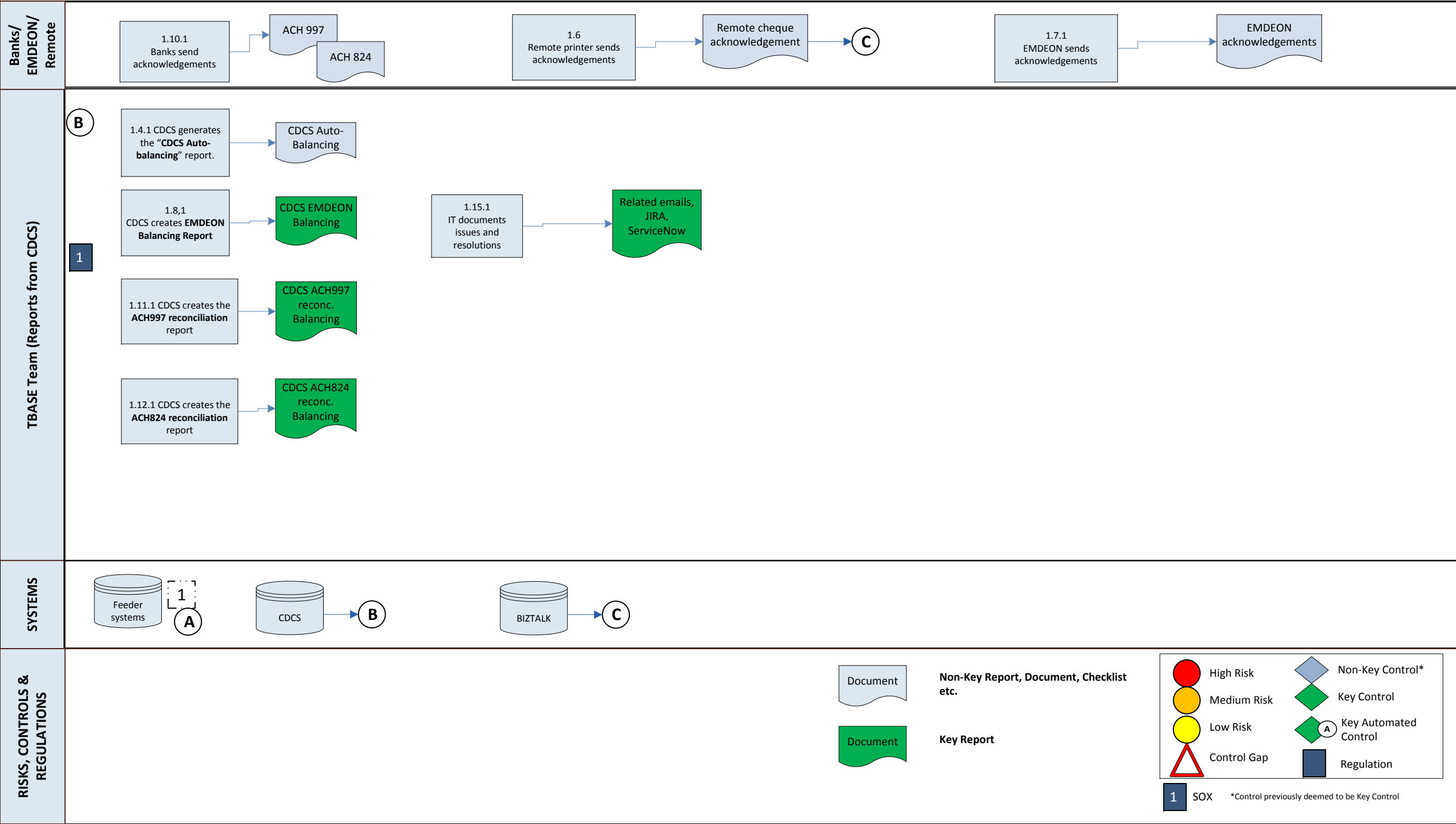
TEAM MEMBERS

NAME:	ROLE:
TBD	Business Process Owner*
Burkhard Drews	Control Owner
Allen Lum	IAG SOX Process Lead*
Hoang Nguyen	IAG Documentation Lead
Allen Lum	IAG IT Lead
TBD	External Audit Lead

* Approvers

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PROCESS MAP NAME: Required

The process map name is a required item, and should match the process map name listed in the FCU Process/Sub-Process inventory

BRIEF PROCESS DESCRIPTION: Required

The brief process description is a required item and should provide process background information that may not be evident from the process map itself. Details about the scope, environment, goals, objectives and similar information maybe appropriate information for this item.

CURRENT STATUS: Required

The current status is a required item. Listed below are the currently accepted statuses:

DRAFT – Creation of a new process map is in progress

OPEN – The process map is being updated to reflect changes that have occurred since the last review cycle.

PENDING REVIEW – The process map has been updated and is waiting for team members to confirm the changes.

APPROVED – Updates to the process map have been approved by the Business Process Owner

DATE LAST MODIFIED: Required

The date the process map was last modified is a required item and typically reflects the date an item was updated (Example: the date the status was last changed)

APPROVED BY: Required

The “Approved By” item is required once the “Current Status” item holds a value of “Approved”, and typically contains the name of the Business Control Officer.

DATE APPROVED: Required

The Date Approved item is required once the “Current Status” item holds a value of “Approved”, and must reflect the date the Business Control Officer approves the updated process map.

BUSINESS PROCESS OWNER: Required

The Business Process Owner is a required item and must contain the name of the Business Process Owner

CONTROL OWNER: Required

The Control Owner is a required item and must contain the name of the Control Owner











TEAM MEMBER: Required

The Team Member field is required and must contain the names of the lead attendees of the process walkthrough from each group












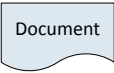

NOTES:

Notes is not a required item, however, it is provided as a best practice, and may provide a vehicle for entering information helpful to defining the process.

APPENDIX B - Symbol Keys

RISKS	CONTROLS	OBLIGATIONS
 High Risk	 KEY Control	 LEGAL / REGULATORY OBLIGATION
 Medium Risk	 NON-KEY Control	
 Low Risk	 Control Gap	
 Risk identifier	 Key Control with Control identifier	 Legal / Regulatory obligation identifier


NOTES and COMMENTARY
<div><div>1</div><div>Note or Commentary</div></div> <div><div></div><div>Note or Commentary (alternate)</div></div>

Process Mapping Symbols	
	Process Start Shape: Shows the starting point of a process or sub-process within a process map.
	Process Termination Shape: Shows the end or termination point(s) in a process flow.
	Alternate Process Termination Shape: Shows the end or termination point(s) in a process flow.
	Process Step Shape: This shape is used to Indicate each step in a process flow.
	Process Direction indicator: Also called a sequential flow indicator, this symbol indicates the next step in a sequential process (i.e. the direction the process map travels).
	Decision Box: Indicates a question or branch in the process flow. Typically, a Decision flowchart shape is used when there are 2 options (Y/N, Go/No Go etc.).
	On page Reference: Links the current process/action to another flow located on the same Page in the workbook. The value for this shape is alphabetical.
	Off-Page Connector - Outgoing: Links the current process/action to another flow located on another Page in the workbook. The value for this shape is numerical for page and then alpha to identify the exact Off page reference.
	Off page Connector - Incoming: Links the current process/action to another flow located on another Page in the workbook. The value for this shape is numerical for page and then alpha to identify the exact Off page reference.
	Data Flow Indicator
	System: This shape can be used to represent the system or database that is the data system that could link to an process or automated service box.
	Non-Key Report, Document, Checklist etc.
	Key Report

Appendix D – Abbreviations, Acronyms, Terms etc.	Segment Name
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Appendix D – Notes, Abbreviations, Acronyms, Terms etc.			Segment Name	
Note	Description		Abbreviation, Acronym, Term	Description
1	<p>The feeder application deposits the file in CDCS. Files that are not deposited in a timely manner are not processed during the nightly batch cycle run. A special day time run can be requested to process late files.</p> <p>Notes:</p> <p>1. Not all feeders send their files daily.</p> <p>2. If feeder is known to send daily feed, alarm is raised and email notification is sent about missing file</p> <p>3. While feeder files are created by individual feeders at different times, they are processed at the same time by CDCS at the schedule time: 4:30AM ET</p> <p>4. List of feeder BU systems for CDCS: “CDCS Source List 2019-04-09”</p> <div><p>Acrobat Document</p></div>			
2	Banks processing CDCS ACH requests: Bank of Canada, Bank of America, JPM Chase			

APPENDIX A – Domestic Sources

CDCS - Domestic Sources					
System	Description	Line Of Business	Trusted	Payment Types	Daily Y/N
AICCO	AI Credit/DBS	PC	No	Check	N
AIMA	Global Marine	PC	No	Check	N
AIMSC	Global Marine Service Claims	PC	No	Check-Worldlink	N
AS400	Aerospace	PC	No	Check	N
DBGS1	SAP CD	PC	Yes	Check	Y
DBGS2	SAP CD	PC	Yes	ACH	N
DBGS3	SAP CD Canada	PC	Yes	Check	N
LMS	Global Property/Casualty	PC	Yes	Check/ACH	Y
NAD01	AEGIS Domestic Claims/CPCS source	PC	No	Check/ACH	N
PAYRT	Life	L&R	Yes	Check	N (WEEKLY)
PCG01	Private Client Group Claims	PC	No	Check/ACH	Y
PCG02	Private Client Group Refunds	PC	No	Check	N
PCG03	Private Client Group Canada	PC	No	Check	N
PCG04	Private Client Group Canada	PC	No	Check	N
PCG05	Private Client Group	PC	No	Check	N
PCG06	Private Client Group Canada	PC	No	Check	N
PCS01	Premier Client Claims	PC	No	Check	N
PCS02	Premier Client Refunds	PC	No	Check	N
TSAP1	SAP Account Payable Checks and ACH	Corporate	Yes	Check/ACH	Y
TSAP2	SAP Account Payable Credit Cards	corporate	Yes	ACH	Y