



## Customer story

# Bank

Discover the challenges faced by the French subsidiary of an international bank with more than 10,000 employees around the world. Optimiso Suite was a major turning point **to permanently raise the quality level of their internal control**. Marco Tamburrino, Optimiso Group Consultant, tells you about the case of this client.

## Challenges

- Ensure the proper execution of controls
- Bring rigor and ease to monitoring of controls
- Guarantee the traceability of the control activity

## Results

- Controls carried out and saving facilitated
- Automated and real-time monitoring of controls
- Guaranteed traceability

## What were the challenges?

### Ensure the proper execution of controls

In this establishment, carrying out controls was particularly laborious for the employees. Deficiencies were therefore found at various levels.

– *Planning*: Control doers self-managed by simply creating tasks in their calendars. As a result, controls were not carried out or deadlines were not met. And, if the employee was absent, the replacement was either not designated or was not informed of the control to be performed.

– *Execution*: When an audit could not be performed or when deficiencies were detected, the control doer had to inform the compliance department by e-mail. It was found that this communication was missing on several occasions.

– *Saving*: a number of documents had to be completed once the control was carried out. Then they had to be scanned, sent by e-mail for validation and finally deposited in a common directory available to the compliance department. With this manual management, documents were not saved in the correct directory or were incomplete.

The monitoring of all control activities and corrective action plans was complicated and deficient.

*“Intuitive, quick to learn, it requires few settings and has been very well received by employees!”*

### Bring rigor and ease to monitoring of controls

The monitoring of all control activities and corrective action plans was complicated and deficient. Without a specific software, the compliance department did not count its hours to carry out its mission, even if it meant calling on additional resources, in particular to:

- ensure that the documentation was transmitted on time by the control doers, that it was complete and saved in the correct place;
- follow up with employees or go to them to collect the missing information (action plan, modes of evidence, reason for not carrying out a control, etc.);
- prepare ad hoc reports on the status of controls at the request of management by reprocessing the available data.

### Guarantee the traceability of the control activity

Some important actions for internal control were not traceable. For example, when a failure is noted following a control, the control doer must inform the compliance department by e-mail of the corrective action plan implemented. During an ACPR audit, announced three days before, it was difficult for the compliance department to find proof that an action plan had been communicated for one of the key controls of the system.

## Why did you choose the Optimiso Suite solution?

*“During our last audit, the ACPR noted shortcomings in our internal control system, in particular the lack of traceability of certain control activities. The acquisition of software has therefore become obvious. After a benchmark, we quickly chose Optimiso Suite because it is intuitive, quick to learn, requires few settings and has been very well received by employees!”*

*The excellent contact we had, both with the salesperson and with the business consultant who accompanied us throughout the project was an essential point in reassuring us about our future collaboration”.*

The integration of Optimiso Suite was customized and adapted to the internal control practices of the establishment. Only four sessions were necessary. Then the client integrated his data with the support of the consultant (control sheets, configuration of control tasks, management of access rights, etc.). In less than three months, the software was up, running and deployed. *“It was Christmas before its time”*, said one compliance employee.

## What were the benefits of Optimiso Suite?

Without hesitation, the first benefit was the considerable time savings for all the players in the internal control system.

### Controls carried out and saving facilitated!

With Optimiso Suite, controls are scheduled only once and on a common platform. Then, according to the defined frequencies, employees receive notifications for the controls to be carried out and the deadlines granted for their completion. Reminders have also been set up to reduce the risk of forgetting.

The superior and the compliance department are automatically informed of the control results or if a control has not been carried out. Thus, all controls are performed, deadlines are respected, corrective measures are taken quickly, and continuity is ensured in case of absence.

Employees also save precious time. The control sheet is now an online form to which modes of evidence and any requested documentation are easily attached. The control results are always centralized in one place and available to the compliance department at any time. *"We no longer wonder where and how information should be entered. Optimiso Suite has made it possible to discipline employees in their control tasks. Or rather, it does the administrative work for them, so there are fewer mistakes and oversights! "*

**Automated and real-time monitoring of controls**

The Line manager and compliance staff can now monitor the status of controls in real time. And, they only need two clicks to access the controls carried out and the modes of evidence.

As corrective action plans are linked to controls, there is no need to run after employees to find out if they have been implemented. It is highly appreciated to be able to manage all actions centrally, by assigning specific tasks to employees via the platform. This guarantees better follow-up and every action is tracked.

The monitoring of controls is now well always done and the internal control system up to date. During the ACPR audit, the information is immediately available.

Also, as soon as management requests it, it is now quick to edit the desired reports, including the results of all controls over a given period.

**Guaranteed traceability**

With Optimiso Suite, traceability is automatically ensured for each of the control because any action carried out is recorded (who, what, when).

In short, internal control is now much more effective and the quality level of the system has been considerably improved.

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deadlines are met,  
corrective measures are  
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Interview by **Marco Tamburrino**

Marco is an expert consultant and has been supporting private companies and public establishments for more than 8 years to carry out their internal control projects, ISAE 3402 recognition, ISO certification but also for financial audits.

**Discover our solutions for internal control**

 See the benefits (2min)

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