

CRMT CASE STUDY

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TO BE AT PAR
WITH
COMPETITORS

ANTICIPATE
CLIENT NEEDS

CRMT

EVOLVE WITH
CHANGING
TIMES

EMPATHIZE
AND EXECUTE

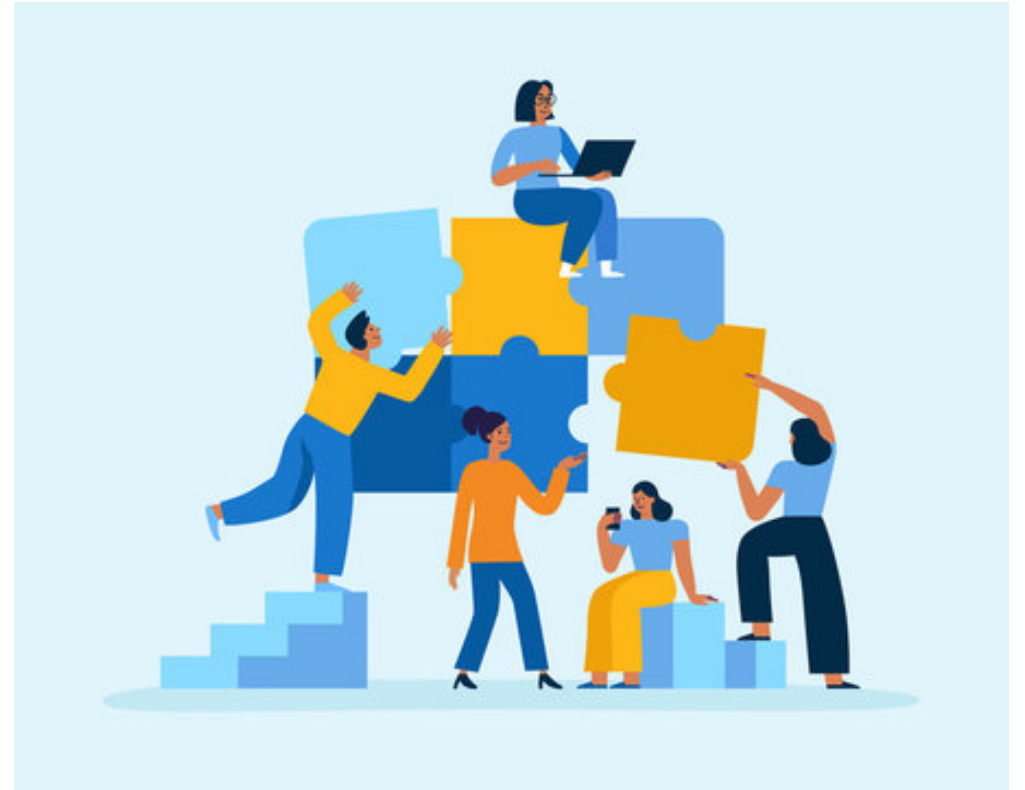
PROJECT TEAM

USERS

- Internal Conduct Risk Dashboard users

TEAM

- 2 Project Managers, 2 Product Managers
- 3 Designers
- 5 Developers
- 3 Business Analysts



MY ROLE

UI/UX DESIGNER

Design Planning

Discovery
Create Persona
Create Roadmaps
Workflow creation

Design Review

Hand drawn design
Low fidelity design

Design Delivery

High Fidelity wireframe
based on branding

UI Audit

Review and create
report to make sure
approved design is in
sync.

PROCESS



1 Identify Customers
Customer Interviews Data
Analyzed Functionality Prioritized

2 UX Research Study
Target Users
Personas Jobs to done

3 Users Needs to Product Needs

4 How Might We

5 Detail Design & Prototype

6 Testing & Refinement

TASK

- Redesign the ICRM (Independent Compliance Risk Management) dashboard page and CRMT (Conduct Risk Management Tool) in order to give the user a better understanding of the KPI's that are used to measure and monitor data.
- Facilitate the client's product vision by analyzing, researching, conceiving, wireframing and mocking up user experience for applications.
- Visualize data metrics, identify design problems, work and functional flow by creating high end dashboard mockups.

TASK (CONT'D)

- Make strategic design and user experience decisions related to core functions and features by collaborating with cross functional teams and stakeholders and be compliant to company policies and adhere code of conduct.
- Taking detailed design briefs to get a better understanding of the requirement by directly communicating with the Stakeholders, Business Analysts and the Developers.
- Manage and support off shore team and collaborate with them accordingly.

- Dashboard Home
- Reg. Control Effectiveness
- Mapping Coverage
- Reg. Change Tracking
- Customer Complaint

Dashboard **Tabular**

PDF

Summary View Comparison View

Latest Assessment Conclusion

95%

Effective

5%

Deficient

0%

Ineffective

Assessment Trending (Quarterly)

Assessment Conclusion

■ Effective
 ■ Deficient
 ■ Ineffective

LAW/ REGULATION

RISK THEME

ASSESSMENT CONCLUSION

REGION

BUSINESS

LEGAL ENTITY

Capital Planning

All

Has Deficiencies

All

All

All

Summary Metrics

Daily Monthly Quarterly Yearly

AWARENESS

Overdue Reg Change

45

Overdue Training

43

ASSESSMENT

MCA Effectiveness

45

MCA Change

45%

MCA Inherent Risk: Tier 2 MCA Residual Risk: Tier 4

45

Second Line Residual Risk: Tier 2

ACTION

Issue Management

43

Management Observation	3
Second Line Identified	3
IA	6
Regulatory Finding	1

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Dashboard Tabular

PDF Excel Download

LAW/ REGULATION: RISK THEME: ASSESSMENT CONCLUSION: REGION: BUSINESS: LEGAL ENTITY:

* Filter will be declined as part of scoping

All Regulation(82) Prudential & Regulatory (35) Sanctions Risk(10) Consumer/Client Protection (17) Money Laundering Risk (15)

Law/Regulation	Latest Assessment Conclusion	Awareness		Assessment			Action				
		Front and Second Line		Front Line		Second Line	Front Line	Second Line	Independent		
		Reg. Change Management	Training	MCA Controls		Compliance Risk Assessment	Level 1 and 2 Issues				
		No. of Overdue Reg. Changes	Overdue Training*	Inherent Risk	Control Effectiveness	Residual Risk	Residual Risk	Mgmt. Observation	Second Line Identified	IA	Reg. Event
1. Capital Planning/CCAR	Has Deficiencies	0	Future State	Tier 2	57%	Tier 3	Target State	9	9	2	3
2. Capital Adequacy and Prompt Corrective Action	Has Deficiencies	0	Future State	Tier 2	47%	Tier 2	Target State	4	7	5	3
3. Inter-agency Stress Testing Guidance/Supervisory...	Effective	0	Future State	Tier 2	41%	Tier 2	Target State	6	3	3	2
4. Liquidity Risk Management	Effective	0	Future State	Tier 2	61%	Tier 3	Target State	8	8	5	1
5. Volcker Rule	Has Deficiencies	0	Future State	Tier 3	54%	Tier 3	Target State	9	9	9	3
6. Permissible Activities for National Banks	Effective	0	Future State	Tier 3	47%	Tier 3	Target State	9	9	4	3
7. Bank Holding Company Activities	Has Deficiencies	0	Future State	Tier 2	57%	Tier 3	Target State	9	9	5	3

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Summary View Comparison View

START DATE: 01/11/2022

END DATE: 01/11/2022



LAW/ REGULATION: **Capital Planning**
 RISK THEME: **All**
 ASSESSMENT CONCLUSION: **Has Deficiencies**
 REGION: **All**
 BUSINESS: **All**
 LEGAL ENTITY: **All**

Denotes negative trend Denotes positive trend

AWARENESS			
Front & Second Line	01/11/2022	01/15/2022	Trend
Number of overdue reg changes	20	30	
Overdue Training	20	30	

ASSESSMENT			
MCA Controls	01/11/2022	01/15/2022	Trend
Control Effectiveness	12%	36%	
Inherent Risk	Tier 2	Tier 1	-
Residual Risk	Tier 3	Tier 2	-
Change in Controls Mapped	-23%	1%	
Front & Second Line	01/11/2022	01/15/2022	Trend
Compliance Risk Assessment Residual Risk	Tier 2	Tier 2	-

ACTION			
Issue Management	01/11/2022	01/15/2022	Trend
Mgmt Observation	7	8	
Second Line Identified	5	4	
IA	9	10	
Reg Event	1	2	