

Illustrative management reporting dashboard

Typical ECM reporting dimensions

Progress to date/projected completion rate

Geographic disposition of cases/findings

Volume of findings (i.e. errors)

Origination of Errors (e.g. RMs)

Quality metrics (e.g. common errors/types)

Estimated time to complete a case

Cases in a 'pending' status

X axis displays the entire population of the KYC files reviewed, by category (e.g. Country, RM)

Example error heat map

	GCC						North Africa		UK	North America		
	UAE	KSA	BAH	OMAN	KUWAIT	QATAR	Egypt	Morocco	UK	Germany	France	Spain
Material finding	12%	18%	27%	48%	96%	42%	3%	64%	75%	83%	23%	29%
Inconsistent answers to question 27 and Exclis pertaining to Client's sanctions links	0%	23%	4%	63%	43%	22%	10%	38%	63%	71%	19%	10%
Incomplete / incorrect client addresses captured in CDD file	30%	74%	10%	6%	38%	3%	17%	14%	17%	93%	48%	18%
Inconsistency in anticipated transaction volume between correspondent banking evaluation sheet question 4 and eCDD+	76%	27%	20%	20%	82%	57%	29%	39%	72%	5%	18%	48%
Inconsistency in Client's length of relationship with IC between question 5 and eCDD+	82%	17%	10%	2%	28%	83%	18%	3%	72%	18%	20%	7%
Inconsistent answers to questions regarding presence of findings from external regulators in the last 5 years	82%	84%	62%	2%	70%	17%	28%	10%	60%	82%	72%	40%
Inconsistent answers to whether the Client has a significant number of small and medium sized enterprises	18%	49%	40%	38%	28%	5%	83%	74%	94%	62%	83%	29%
Incorrect/incomplete name used for supplemental, manual adverse media web search related to reputation of identified PEP(s)	4%	48%	18%	39%	10%	74%	57%	94%	27%	29%	48%	23%
Inconsistency in customer base breakdowns provided	0%	18%	38%	4%	28%	83%	93%	48%	9%	18%	23%	43%
Incorrect name screening on additional related parties, captured beyond minimum procedural requirement	82%	2%	27%	19%	94%	73%	10%	84%	75%	8%	30%	82%
Inconsistency in Client's registration number between data sets due to formatting errors	1%	4%	82%	74%	9%	47%	38%	100%	18%	27%	78%	93%
Inconsistency in the names of executive management listed	76%	41%	62%	84%	73%	72%	17%	18%	18%	29%	58%	62%
Inconsistent answers to whether the Client has high risk entity	14%	82%	4%	38%	27%	76%	27%	36%	14%	17%	12%	12%
Inconsistent answers to whether private banking business accounts for greater than 40% of the revenue	73%	34%	76%	83%	24%	79%	45%	75%	33%	22%	44%	11%
Other findings related to 'Data Entry'	75%	93%	2%	3%	83%	12%	23%	92%	85%	74%	62%	65%
Site visit documented without time and / or location of site visit conducted	1%	4%	18%	74%	37%	38%	23%	5%	12%	35%	43%	12%
Site visit conducted remotely for a location in a non-equivalent jurisdiction without FCC waiver	43%	76%	93%	19%	19%	19%	58%	24%	28%	28%	58%	57%
Other findings related to 'Site Visit'	65%	48%	57%	0%	38%	83%	95%	85%	48%	19%	58%	19%
Missing attachment fully evidencing name screening result(s) and its disposition	23%	94%	93%	38%	47%	30%	29%	19%	58%	47%	19%	49%
Missing attachment evidencing supplemental, manual adverse media web search related to reputation of identified PEP(s)	34%	43%	17%	4%	59%	48%	58%	83%	46%	58%	52%	48%
Missing attachment supporting corroboration of identified PEP's Source of Wealth	21%	2%	64%	10%	10%	10%	10%	18%	10%	10%	10%	84%
Other findings related to 'Missing Documentation'	18%	17%	4%	62%	47%	10%	44%	27%	97%	10%	1%	12%
Missing unit measure for Client's customer base breakdown	100%	4%	50%	93%	100%	18%	57%	75%	4%	18%	49%	83%
Missing answers regarding name screening and prohibition lists that the Client employs	94%	80%	16%	18%	18%	11%	13%	93%	47%	18%	11%	18%
Missing / incorrect disposition of name screening match alerts	84%	62%	93%	53%	0%	93%	44%	21%	1%	83%	49%	94%
Missing response to question(s) that require elaboration from the response	74%	16%	71%	18%	10%	44%	18%	18%	47%	48%	51%	83%
Missing signature from the Client's representative	24%	93%	18%	27%	18%	9%	17%	17%	52%	19%	59%	19%
Adverse media identified and not documented	2%	56%	4%	84%	47%	12%	93%	18%	18%	83%	83%	2%
Missing PEP details within PEP assessment form	84%	47%	94%	1%	83%	84%	47%	9%	71%	19%	87%	29%
Other findings related to 'Missing Information'	18%	83%	94%	84%	93%	84%	94%	12%	18%	17%	100%	18%
Missing evidence of communication to the Client that transaction will not be processed because of sanctions risks	63%	9%	82%	83%	18%	17%	22%	88%	99%	48%	84%	45%
Other findings related to 'Sanctions Communications'	30%	93%	83%	73%	99%	39%	92%	49%	100%	29%	47%	19%
Names(s) of the member(s) of executive management / director(s) captured in the wrong fields	83%	84%	1%	88%	11%	9%	99%	36%	47%	100%	21%	71%
Benefit of owner(s) or its close family member's role as the Client's director or a member of executive management was not captured	1%	49%	88%	29%	83%	18%	29%	60%	10%	38%	94%	19%

Y axis displays all review test scripts (i.e. the review standard)

Density of errors / findings according to procedure / test script will clearly show where gaps in execution exist and main areas of concern