



# Compliance Testing

## Contact us

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**Operate's testing and monitoring solutions can make sure your critical functions, processes and operations are compliant and meeting business objectives.**

Compliance with constantly evolving regulation is becoming more of a burden. The cost of running complex processes and high-volume work is increasing, and the financial and reputational cost of getting it wrong has never been higher.

Operates technically skilled team provide operational testing services to scale. We combine our regulatory, risk and compliance expertise with operational and process improvement know-how, supported by market leading technology to help keep you compliant.



## Our services

### Testing and ongoing monitoring

Our teams are experienced in providing testing and ongoing monitoring services, working across the three lines of defence, providing quality assurance to clients over critical functions, processes and operations.

We can provide burst support or help clients run their testing programmes as a BAU operation.

### Technology risk and controls

We can run operational programmes that help clients with risk assessments and controls over IT systems and infrastructure. Our skilled teams have experience in supporting clients with large scale remediation programmes over 'grey IT' and helping to implement and test IT general control frameworks. Supported by our bespoke technology workflow and reporting solution, with built-in AI capabilities, we can manage the end-to-end process supporting effective ongoing operational and risk management.

### Third party risk and vendor assessments

Our teams can run assessment programmes to help manage risk around third party service providers and vendors. Our teams are experienced in client outreach and working with third parties on behalf of our clients. We use a bespoke technology solution that incorporates a secure outreach assessment function that can be tailored to meet your needs, data repository and MI to provide full visibility and audit tracking.

### Regulatory testing

Our SME and operational teams can provide quality assurance or ongoing testing over specific regulatory compliance regimes. We have experience in a wide range of areas including Data Protection and Information Security, Financial Reporting including SOX and other regulatory reporting standards.



## Case study

### UK Bank

Burst capacity support

### Client issue

A UK bank required burst capacity support to deliver BAU assurance testing across a number of functions.

### PwC approach

We worked alongside client teams to perform risk assessments, gap assessments and assurance testing to confirm regulatory and internal control compliance.

Our reviews were performed over areas such as complaints, customer journey, records management, procedures, training and third party SLAs. We designed testing scripts and conducted testing to conclude on whether the controls implemented were effective and fit for purpose.

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