



INFOSYS ACTIMIZE DIGITAL SUITE – TUNING FRAMEWORK FOR A US BANK

Abstract

This case study focusses on the Infosys Tuning Framework implementation for a leading financial institution headquartered in the US having operations related to Retail, Commercial, Business and institutional Banking. The institution wanted to implement Actimize Suspicious Activity Monitoring Solution and was at a risk of breaching regulatory commitments due to long tuning cycles and data accumulation requirements. The solution was being built for monitoring threshold alert rules and tuning was considered as the biggest roadblock.

Infosys Solution

Infosys has simplified Actimize adoption with in-house solutions and frameworks to

- Shorten the Actimize upgrade / implementation journey
- Monitor health after go-live

Following activities related to Tuning Framework solution were in-scope

- Tuning of 6 SAM Transaction Monitoring Rules
- Initial Threshold discovery and threshold finalization
- Below the Line / Above the Line Testing
- Power Bi Customization for Pre-Tuning and Tuning tools for the 6 rules
- Creation of Tuning Logs
- Threshold recommendations

Items not in scope of this case study

- Checking if the Alerts / Samples are worthy / L2s / addressing the target risk
- Creation of sample data for Tuning
- Implementation activities

Tuning Recommendations

The Tuning approach was analyzed, and an approach was recommended for carrying out Tuning so that it can be completed faster and with higher effectiveness. This involved

- Grouping of Rules based on required data Accumulation needs
- Optimizing Target Alert count using an algorithm to maximize worthy alerts and minimize false positives
- Tuning Accelerator Framework based on Power Bi

Deliverables

List of deliverables agreed with the bank were:

- Tuning Logs
- Risk-based Threshold Recommendations spreadsheet with business justification and rationale using both Qualitative and Quantitative analysis
- Rule logic recommendation
- Power BI Tuning Tool and training materials
- Source to target data mapping of Power BI to Actimize

Business as Usual Tuning

The tuning for the rules was undertaken as per the tuning strategy and approach. The tuning strategy and approach included –

1. Pre-Tuning Tool to determine Initial Threshold
2. Sampling of Accounts in Pre-Tuning and Tuning for getting Alert Feedback
3. Tuning Tool to finalize thresholds and other parameters.



Business Drivers

- To be compliant with the latest transaction monitoring control assessment
- Meeting regulatory commitments risk coverage and completeness
- Financial Implications because of the cost of non-compliance, long running program overshooting budgets, operational costs

Value Realization

- Shift Left of the program by 4-8 weeks for each release so that the yearend deadline for Implementation can be met without any issues
- Increased effectiveness of the rules by at least 20% committed after the solution implementation and the 1st Tuning Delivery.
- CPU and Suspicious Activity Monitoring batch resource utilization will be reduced by 66% due to Power BI Simulation of threshold and parameter changes.
- Handled the impact of delayed releases in source data remediations due to COVID lockdowns without changing the Suspicious Activity Monitoring Implementation Plan
- Covered Below the Line (BTL) Testing scenarios during the Pre-Tuning Phase and Above the Line (ATL) Testing during the Tuning phase.



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