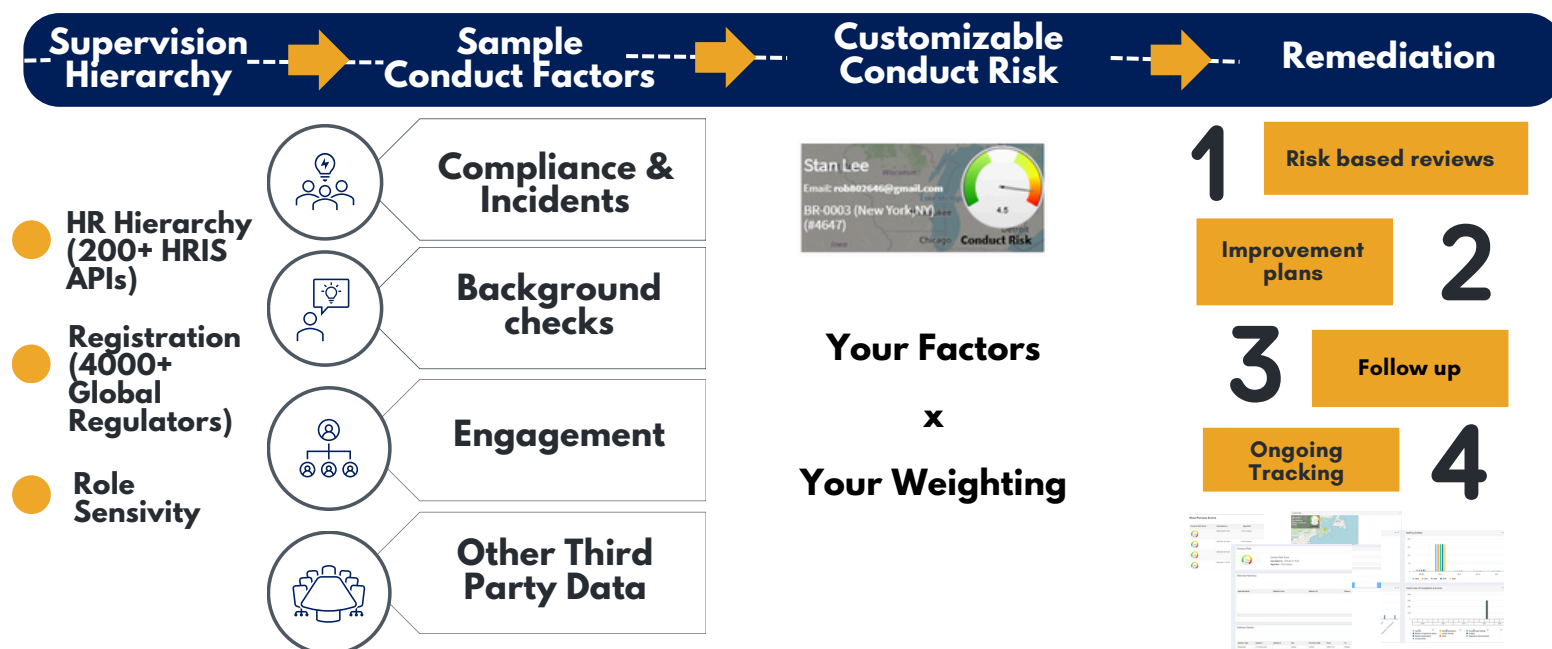# VigilantCS

VigilantCS Employee Compliance

Breaking down internal data silos to Know Your Employee

VigilantCS Employee Compliance (VEC)* is a cloud-based employee conduct risk platform which moves your compliance program from firefighting to continuous improvement. VEC helps you to assess, build and reinforce a compliance culture aligned with OSFI's **Cultural Risk Management Guideline** by digitizing core regulatory controls, building an employee compliance file across different factors (registration, regulatory, background checks, operational, AML, IT Security, other) and leveraging such data to assess individual, team or entity-based compliance adoption to build risk-based improvement plans. Whether you are remediating regulatory enforcement actions, assessing the effectiveness of specific programs or looking for a method to proactively evaluate and improve your compliance program on an ongoing basis, VigilantCS has your solution to manage compliance risk.

360-degree assesment of directos,officers, advisors, employees or contractors

Supervision Hierarchy	Sample Conduct Factors	Customizable Conduct Risk	Remediation

- **HR Hierarchy (200+ HRIS APIs)**
- **Registration (4000+ Global Regulators)**
- **Role Sensivity**

- Compliance & Incidents
- Background checks
- Engagement
- Other Third Party Data

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Conduct Risk
4.5

Your Factors

x

Your Weighting

1 — Risk based reviews
2 — Improvement plans
3 — Follow up
4 — Ongoing Tracking

Compliance risk starts with your employees

Recent regulatory, anti-money laundering, and IT security events have highlighted the importance of employees managing compliance effectiveness. Know Your Employee is critical to managing your overall risk.   National and international regulators have highlighted the importance of assessing directors, officers and employees, as is evident from the following requirements:

- **OSFI:** Integrity and Security Guideline and Culture Risk Management Guideline
- **FCAC**: Complaint handling guideline
- **CIRO & CSA:** Client-focused reforms and CIRO risk-based audits
- **FINRA:** Risk-based supervision
- **FSRA:** Risk-based supervision

VEC:

- Breaks down internal data silos to build a 360 review of employee conduct
- Generates reporting to assess directors, officers, employees and team-based compliance patterns
- Supports data capture or ingestion of third-party data
- Builds multi-model dynamic conduct risk models based on academic, customizable or AI-driven algorithms
- Multi regulatory and multilingual platform.

Use Cases:

- Ongoing compliance management to assess compliance culture
- Dynamically assess compliance culture or specific programs
- Regulatory or operational legal or compliance remediation
- M&A assessment tool

This paper is for information purposes only and not meant to provide legal or regulatory advice

If you have any questions or want to learn more contact:

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VigilantCS

Converting a regulatory requirement into a strategic advantage.