

**RISK & COMPLIANCE**

**2023**

J A A R C O N G R E S

INNOVATIE & TOEZICHT:

*Is RegTech het juiste antwoord?*

Donderdag **15 juni 2023** - Landgoed Groot Kievitsdal, Baarn

# Keynote



**Floris Schorer**

Spreker

Hoe gaat de grote, internationale speler  
ING Bank om met RegTech?

**RISK & COMPLIANCE**

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# RegTech usecase in ING Compliance

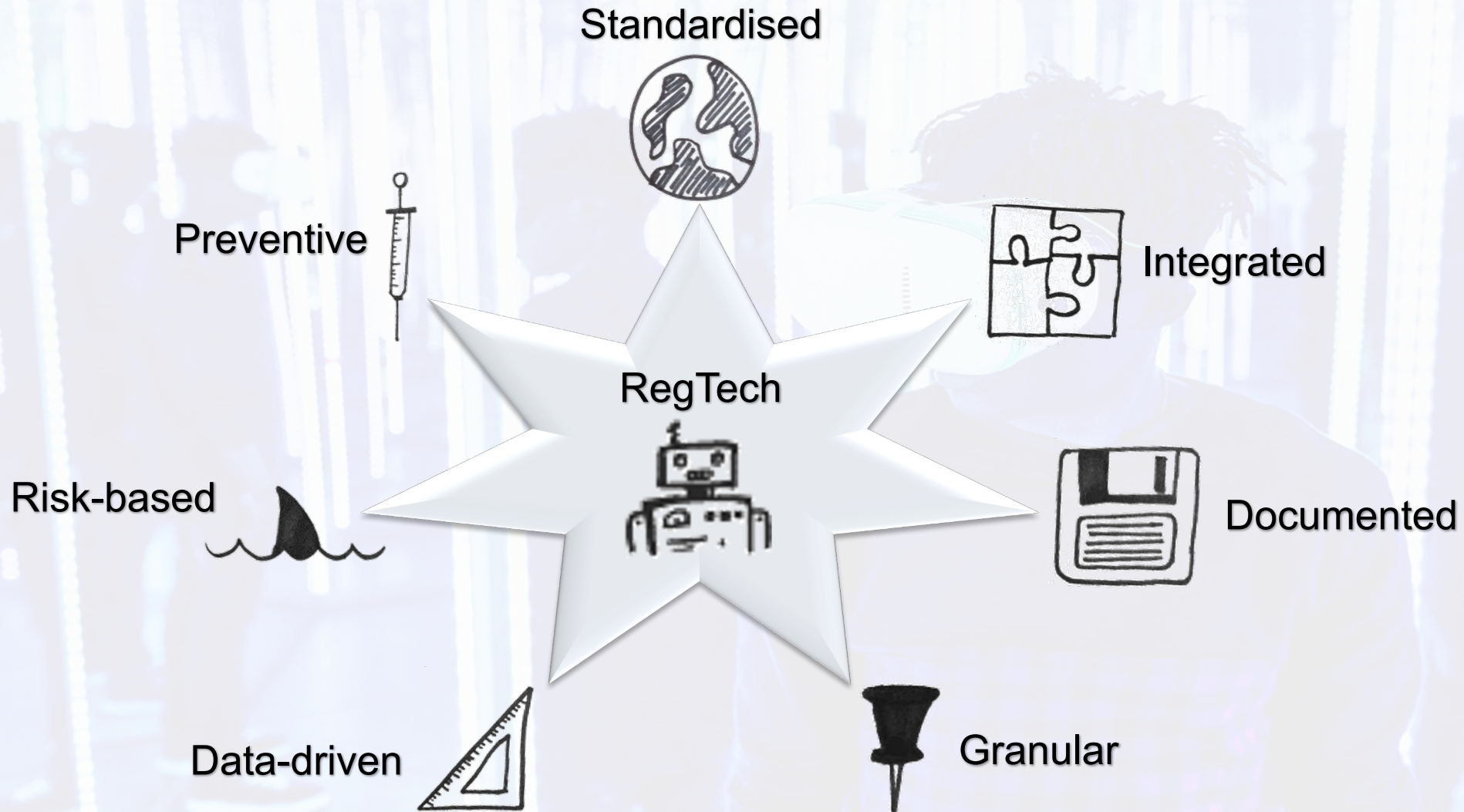
**Floris Schorer**

June 2023

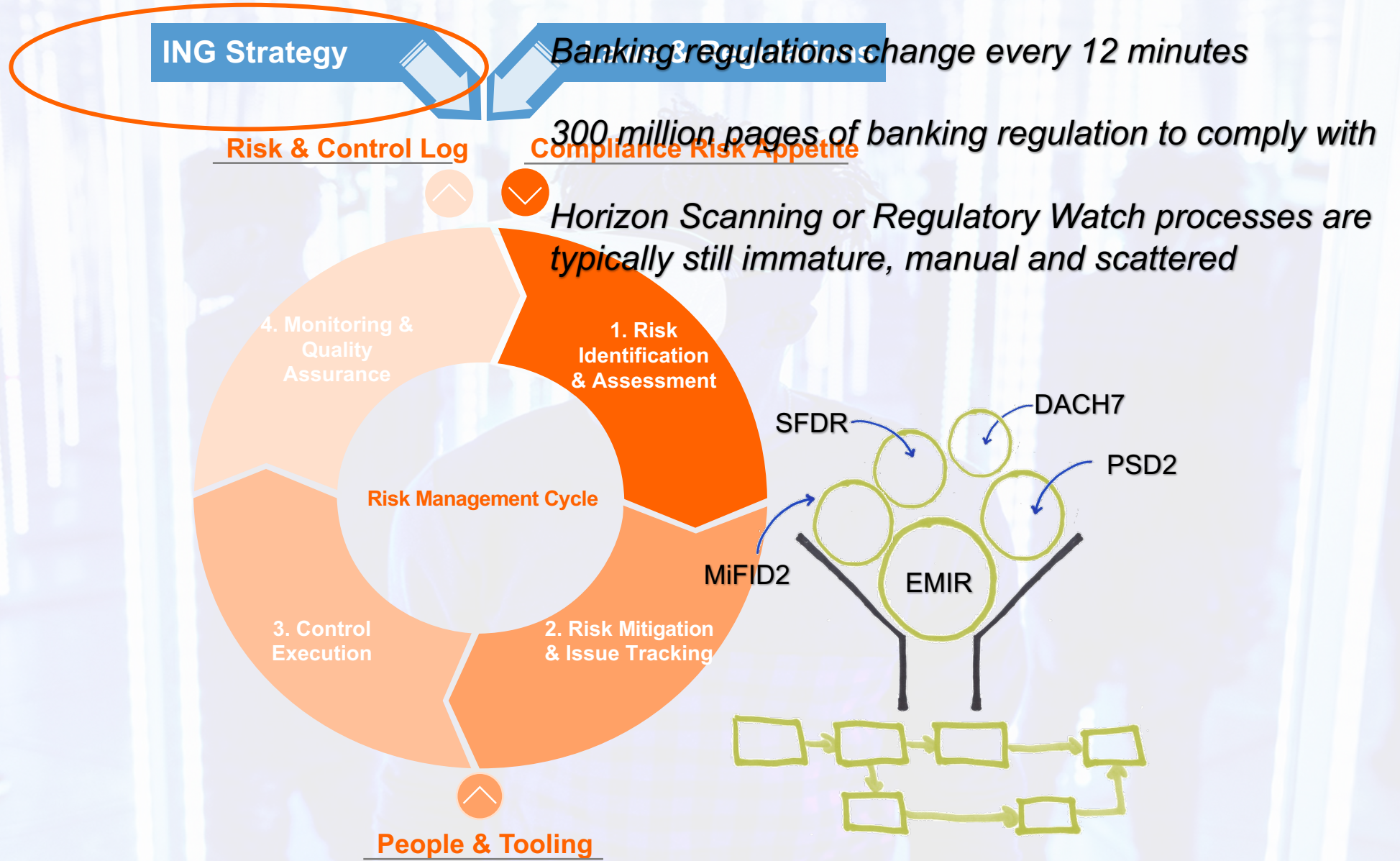


do your thing

# Strategic direction for Compliance Risk Management in ING



# Where to apply RegTech



# How do we use RegTech for Horizon Scanning



Channel worldwide regulations & enforcements in one tool



Classify to ING risk taxonomy



Auto-route according to roles & responsibilities



Supportive obligation analysis



Workflow to policy creation and connection with GRC

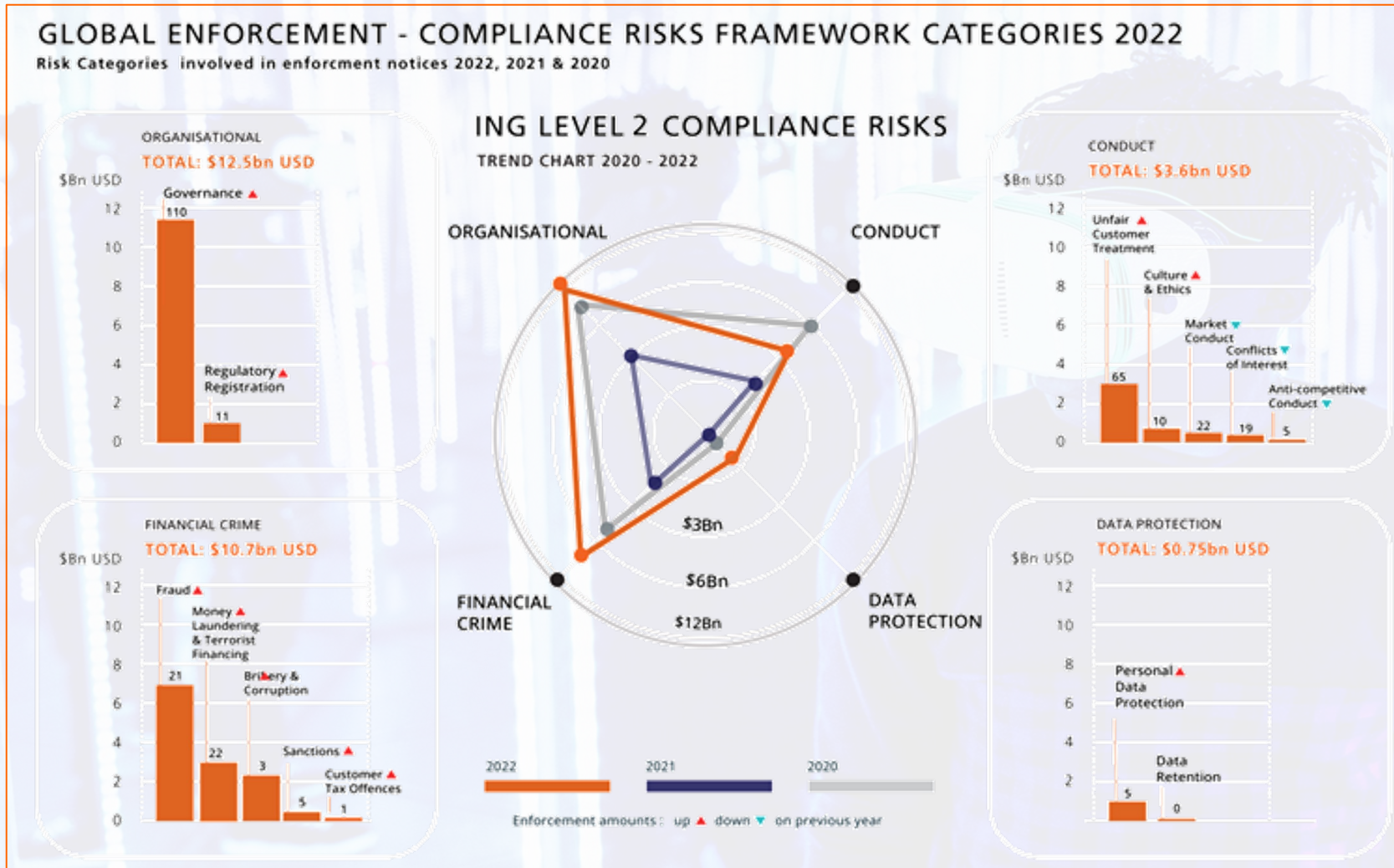


Single source of truth and audit trail on decision making



Facilitate reporting and analysis

# Output can facilitate analysis

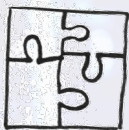


Enforcements drive monitoring focus and give insight where to strengthen control framework

# Alignment with strategy



One tool globally used with **standardised** workflow



**Integrated** process from new regulation to risk assessment to policy amendment



Decision making fully **documented** facilitating audit trail



Data mapping facilitates **granular** impact assessment and risk pinpointing



Enforcements enable **data-driven** analysis for focus areas



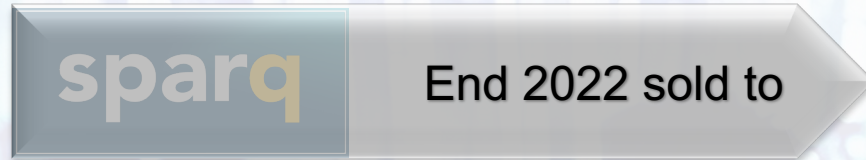
Heatmaps and risk assessments ensure **risk-based** approach



Early stage watch facilitates **preventive** risk management



# How did we get there, and what is next?



*Next step?*

Internally developed

End-2-End process for regulatory change management

Single source for regulations, obligations and impact assessments

Policy creation module

Focus on UI/UX

*Added functionality*

Data labelling and mapping

Embedded risk taxonomy

Risk ranking and heatmaps

Enforcements included

Analytics and reporting

*Integrated Platform*

*Embed ChatGPT for automated obligation analysis and policy creation?*

**Q&A**

# RISK & COMPLIANCE

2024

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DE WWFT:

*Wat kunnen en wat doen we ermee?*

**Risk & Compliance Jaarcongres** - Donderdag **13 juni** 2024

[www.riskcompliancejaarcongres.nl](http://www.riskcompliancejaarcongres.nl)