

Delta Capita



**Digitise and Streamline
Policy Management
with Delta Capita**

► Policy Management Challenges

Financial services firms are facing relentless regulatory change, scrutiny, and operational complexity – outpacing current policies and frameworks. Firms are exposed to new emerging risks, mounting compliance costs, and an inability to attest or sustain regulatory compliance at scale.



Outdated and Inconsistent Policy Coverage with Regulatory Obligations

Financial institutions operate across diverse regulatory environments, making it challenging to align internal policies with all applicable requirements. This mapping process is resource-intensive and often incomplete.

As a result, policies may be outdated or misaligned, leading to inconsistent interpretation across business units, regulatory breaches, and reputational risk.



Ineffective Monitoring and Update Mechanisms

Rapidly evolving regulations and emerging risks require continuous horizon scanning and timely updates. Many Financial Institutions lack automated tools to detect changes and assess impact.

Delayed updates or missed regulatory changes expose Financial Institutions to compliance breaches and operational vulnerabilities.



Fragmented Policy Storage and Accessibility

Financial Institutions often maintain policies across multiple systems and formats, making it difficult to ensure centralised access and version control.

This fragmentation leads to inefficiencies in compliance checks, delays in audits, and increased risk of outdated or conflicting policies being applied.



Cost of Policy Maintenance

Maintaining policies across complex regulatory landscapes is costly and labour-intensive. Frequent updates to meet evolving requirements demand significant time from legal, compliance, and operational teams.

Without streamlined processes or automation, institutions face rising costs, duplication of effort, and inefficiencies that divert resources from strategic priorities.

▶ DC Policy Management Offering

Delta Capita's approach to policy management ensures immediate remediation, and provides ongoing support so policies stay accurate, up-to-date, and compliant. Our compliance specialists deliver solutions that scale and meet FCA, CBI, and global standards, whilst leveraging AI-enabled technology to accelerate the process.

Advisory

Policy Mapping

- All applicable regulations to the organisation are identified, covering all jurisdictions.
- Policies are mapped to all applicable existing regulations.

AI-Accelerated Policy Remediation

- Leveraging our AI tooling to accelerate the analysis, DC SMEs complete policy versus regulatory coverage gap analysis.
- All identified gaps are remediated, utilising AI, DC and Client SME reviews.

Procedure Mapping

- Any processes not mapped are generated using DC tooling .
- Processes and procedures are mapped to updated policies, with controls implemented to check for any discrepancies.

Ongoing Maintenance

Centralised Storage

- Move all existing policies into DC's Digital Policy Management platform in an appropriately tiered structure so that all policies are accessible via one location.

Automated Update Detection

- Enable recurring policy checks ensuring that stakeholders continue to remain aligned over time with changing business and regulations.

Impact Analysis & Policy Updates

- Impact analysis from new or upcoming regulations is automatically completed for all mapped policies, processes and procedures.
- Planned updates completed based upon analysis.

Technology Platform

Delta Capita's Digital Policy Management platform serves as the golden record for your organization's policies and procedures. Features like version control, clear ownership, change notifications, and content collaboration ensure policies stay accurate, up-to-date, and compliant.

Key Features:



Seamless Policy & Procedure Management

Effortlessly create, edit, and manage policies and procedures with MS Word integration and a built-in workflow. Collaborate in real time, track changes, and ensure secure version control. Streamline the review and approval process before publishing for end-user access.



Version Control & Audit Trail

Maintain documentation integrity with built-in version control, audit trails, and periodic review reminders. Track every update with timestamps, ensuring compliance and readiness for audits.



GenAI Driven Risk & Control Identification & Assistance

Detect overlooked risks in policies and procedures and receive GenAI powered control recommendations aligned with guidelines and regulations for effective risk mitigation. Available as a browser plugin, GenAI provides instant, accurate responses to policy and procedure queries with precise, source-backed answers.