



# Centralize the Critical Functions of Service Provider Oversight

## *with Delta Data's Insights*

As regulatory emphasis on third-party vendors increases in complexity, it is more important for fund families to build a comprehensive understanding of their vendors' control environments.

Delta Data's Service Provider Insight service enables clients to centralize the critical functions of their vendor oversight program, including organization and review of third-party audit reports, SLA performance metrics, and due diligence questionnaire responses. Service Provider Insight supports all mutual fund third-party vendors, including transfer agents, custodians, fund accountants, and pricing firms. Delta Data offers a variety of service options.



## View SOC analysis results

Delta Data's expert team offers standard and expanded audit review reviews. With Delta Data's standard document review, clients can focus on key findings from each report such as the auditor opinion, control objectives, exceptions, complementary user entity controls (CUEC), fourth-party dependencies, and complementary subservice organization controls. Opt for Delta Data's expanded review for your highest-priority vendors to have access to Delta Data's expert analysis of all SOC content, with consolidated results by vendor. Delta Data offers an array of reporting options for both standard and expanded reviews.

## Manage complementary user entity controls

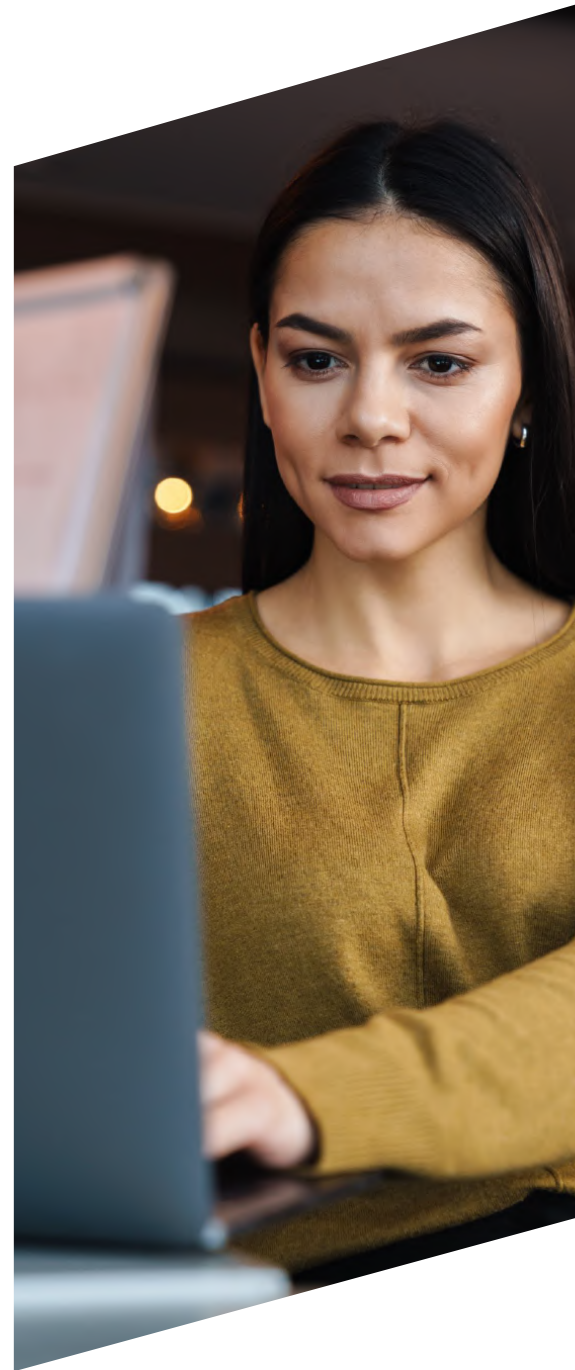
Service Provider Insight's CUEC interface facilitates management of the internal operating controls associated with the services being provided. It allows users to oversee all CUEC activities, including identifying controls that are relevant to their organization, logging internal controls associated with the CUECs, assigning follow-up tasks to individual users, and notifying assigned users when needed.

## Centralize documentation

Service Provider Insight's user-friendly folder system stores all control reports, questionnaires, and other oversight-related documents. This single, centralized location provides easy access and complete visibility. Clients can host documents for an unlimited number of vendors, allowing for more efficient and effective document organization.

## Monitor SLA performance

Vendors have a series of key metrics they are required to meet as part of their service level agreements (SLAs) with funds. With Delta Data's Service Provider Insight, provider SLAs can be consolidated on one platform to enhance visibility and monitor key metrics. Clients can use tools in the platform to add commentary around unmet key metrics, providing additional insight that helps track below-target metrics and overall vendor performance.



## Measure TA service quality

The transfer agent is an important part of a fund family's vendor ecosystem; it is essential that clients fully understand the operating effectiveness of their transfer agents. With Delta Data's Transfer Agent Insight service, clients receive ongoing evaluations of transaction processing, call center, and/or correspondence operations, including comparisons to relevant Delta Data benchmarks for accuracy and timeliness. Clients who opt for Transfer Agent Insight service access reports on performance and trends through a user-friendly dashboard.

## Manage due diligence questionnaires

Integration capabilities combine data collected from questionnaires with information about individual vendors located in other parts of the Delta Data Service Provider Insight platform, giving clients more options for tailored reporting. Clients have the ability to upload their existing cybersecurity questionnaires to the platform or utilize Delta Data's templated questionnaire, which is based on the NIST and ISO frameworks. Leverage system tools to evaluate vendors against prior-period results, capture and record remediations notes, and gain complete visibility into all oversight activities while streamlining manual processes.

# Enhance Oversight Efficiency with Delta Data

Delta Data's team of expert analysts provides clients with a wealth of industry knowledge and best practices, giving them a trusted oversight partner that helps increase operational efficiency and improve performance.



## Next steps

Reach out to learn more about Service Provider Insight and other Delta Data oversight services and capabilities.



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