

INSPIRING PERFORMANCE

Financial Services Target Operating Model

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Workshop Objectives

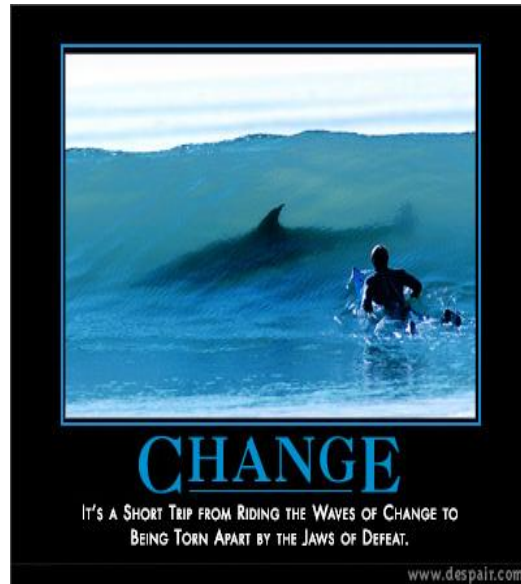
- Helping define the intended future state of the organization from multiple perspectives:
 - Processes
 - Organization
 - Systems
 - People
- Leverage the resulting model through the change program and into continuous improvement / BAU

Drivers for operational effectiveness



Regulation

- Basel III
- Solvency II
- Dodd Frank
- SOX
- FATCA
- CASS
- TCF.....



Globally



Customer

- Retention
- Growth
- Acquisition
- Channels



Efficiency

- Standardization
- Shared Services
- Technology

Real world examples

'\$30m annual losses as a result of incidents; 85% of incidents caused by failure to follow process due to lack of training, communication and transparency'

'12 weeks after 'Go Live': Branches having above average usage of Nimbus Control have seen a 125% increase in like for like sales'

'>50% of risks identified are caused by failed process'

'savings of 6.75 FTE's, with 30% reduction in administration burden plus associated FTE saving of 2.5 and > 10% overall efficiency gains'

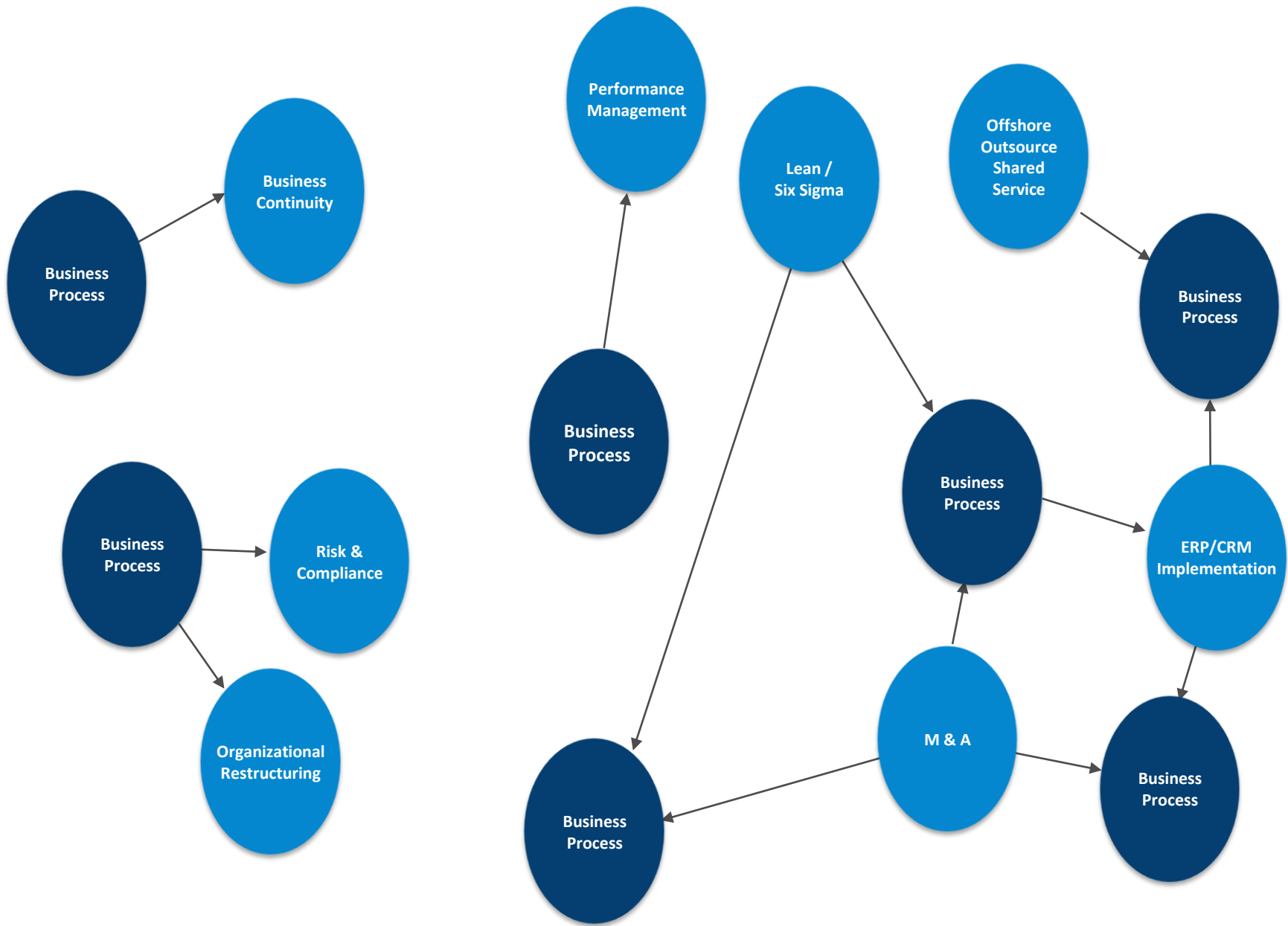
'95% of losses from incidents caused by human error; failure to follow process correctly due to lack of visibility'

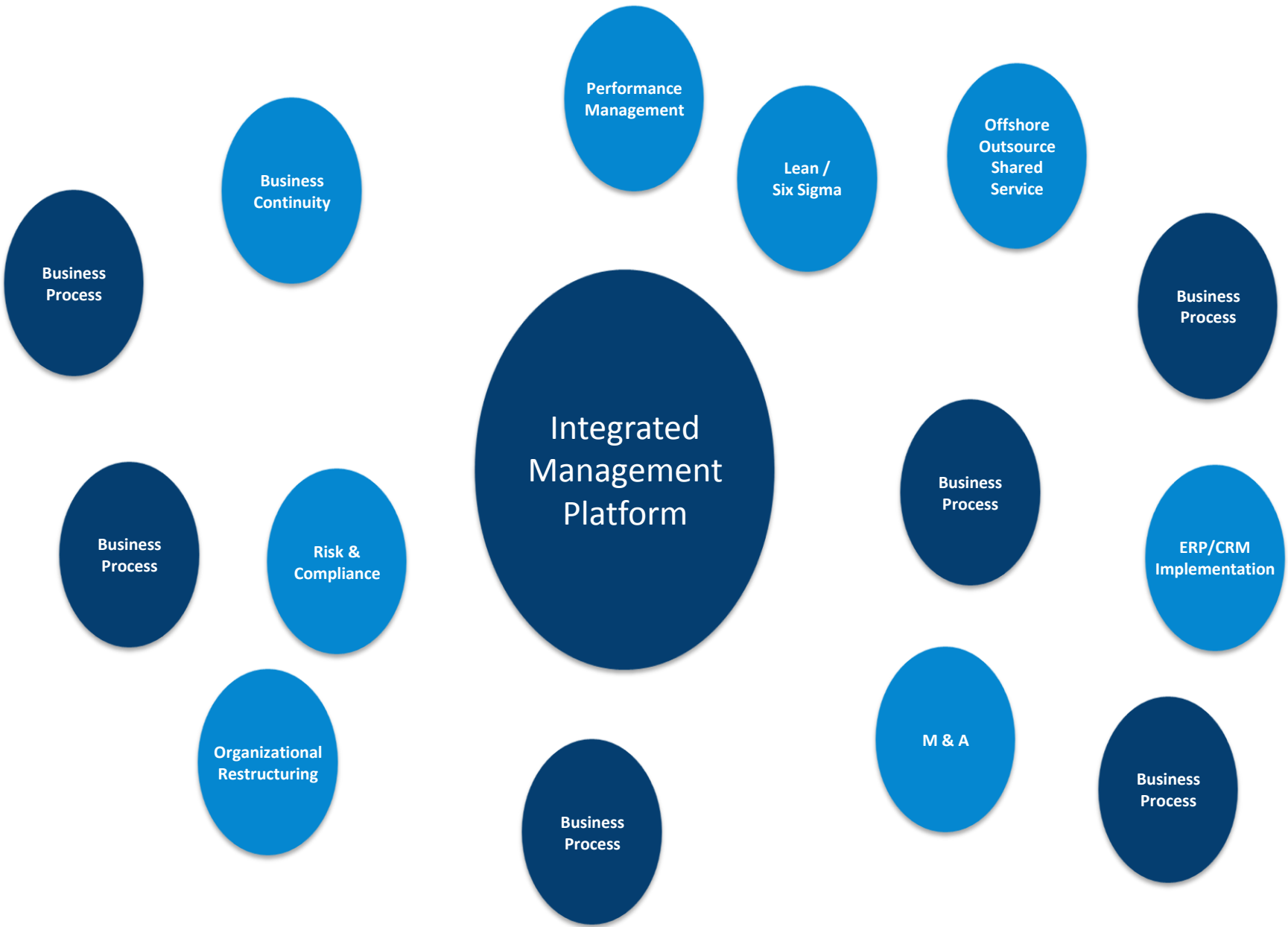
...Time spent by end users researching and getting to knowledge on process execution has reduced by 80%

'34 times quicker to retrieve information in workshop study'

'Knowledge degradation due to poor leaver hand-over is a key risk'

'If we had had Nimbus Control in place with our processes up-to-date when we started the restructure, we could have executed it in half of the time that we did'





What Hat Do You Wear?



Overall - Business Management - Operational performance improvement initiatives



Finance – Cost implications, financial analysis and data flows modelling for improved financial reporting

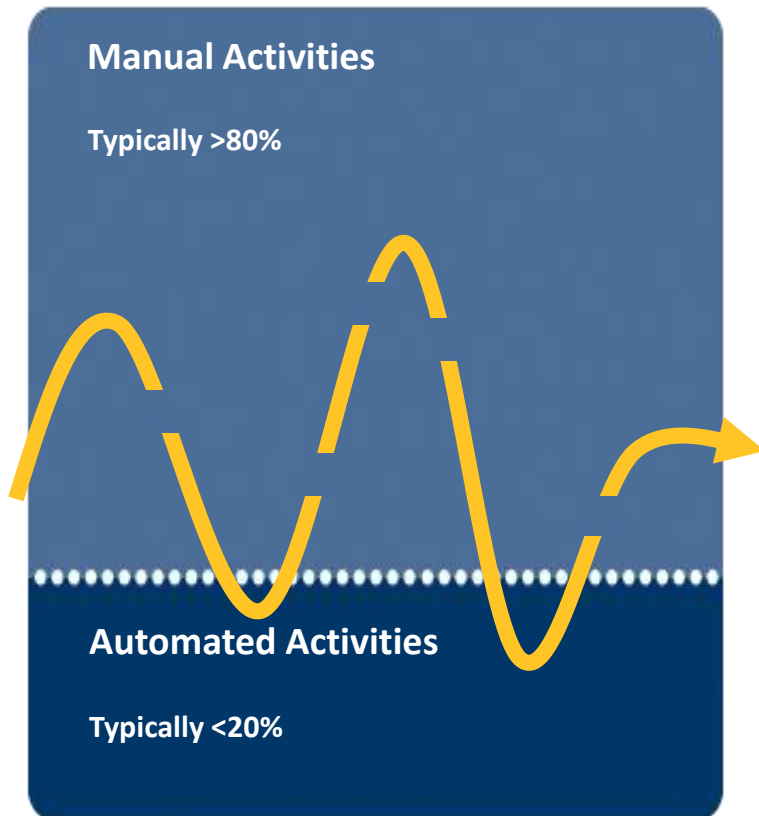


Information Technology – understand end-to-end flows in the system, configuration, testing and training



Risk and Compliance – demonstrate to auditors that processes are followed and control points are documented and observed

Many interested parties with different needs



Unstructured work

Manual activities, inc. MS Office, email etc.

All the activities in your organization

End to End Process Flow. Typically a combination of manual and automated activities.

Structured data management

Workflow & line of business applications (e.g. Oracle / SAP)

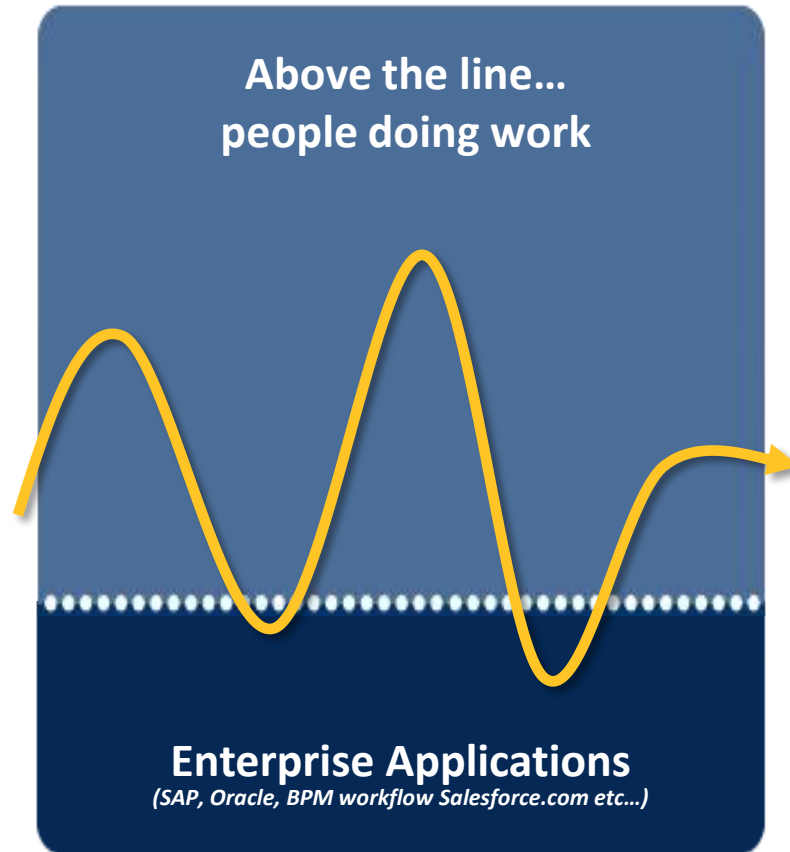
Many interested parties with different needs



Improved Business Performance - Operational performance improvement initiatives



Finance - Cost implications & financial analysis



IT - Correctly automated transactions & Optimised Information flows

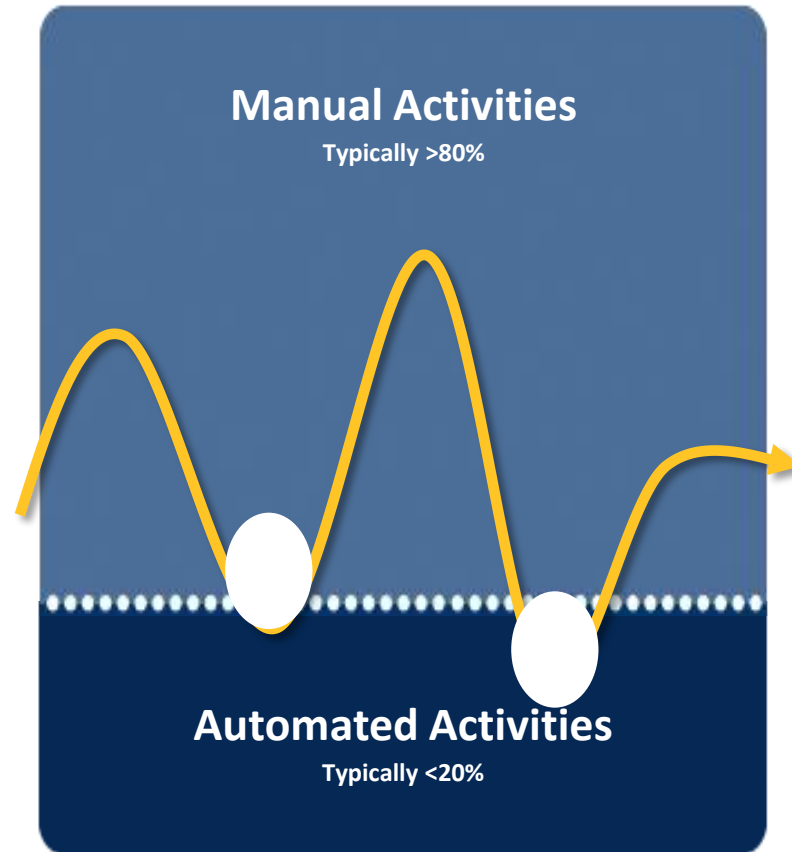


Risk & Compliance - Robust compliance & controls

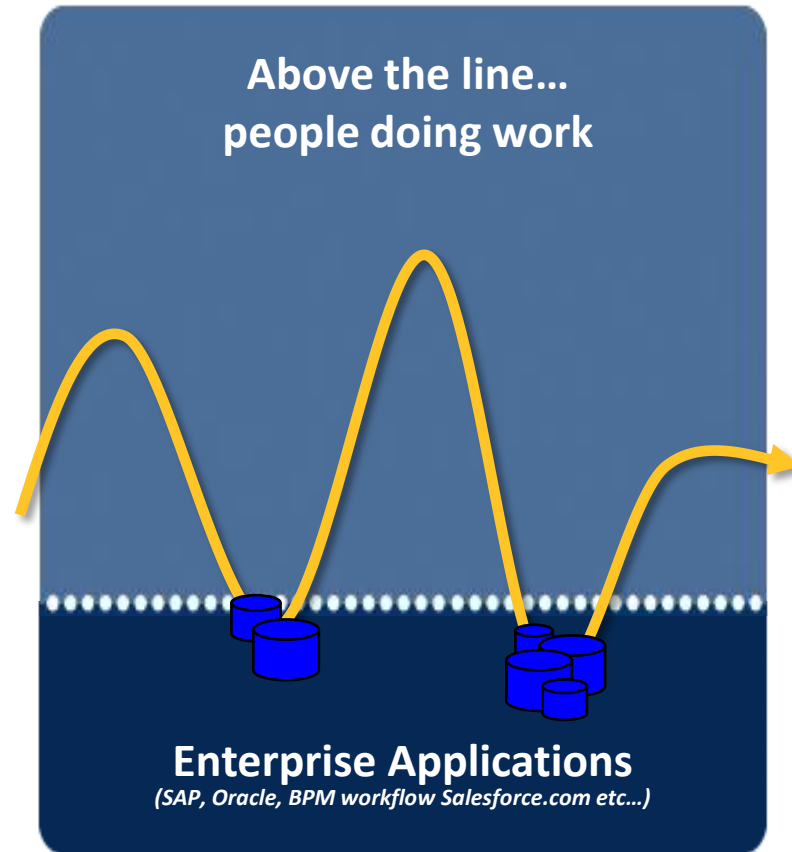
Many interested parties with different needs



Finance - Cost implications & financial analysis

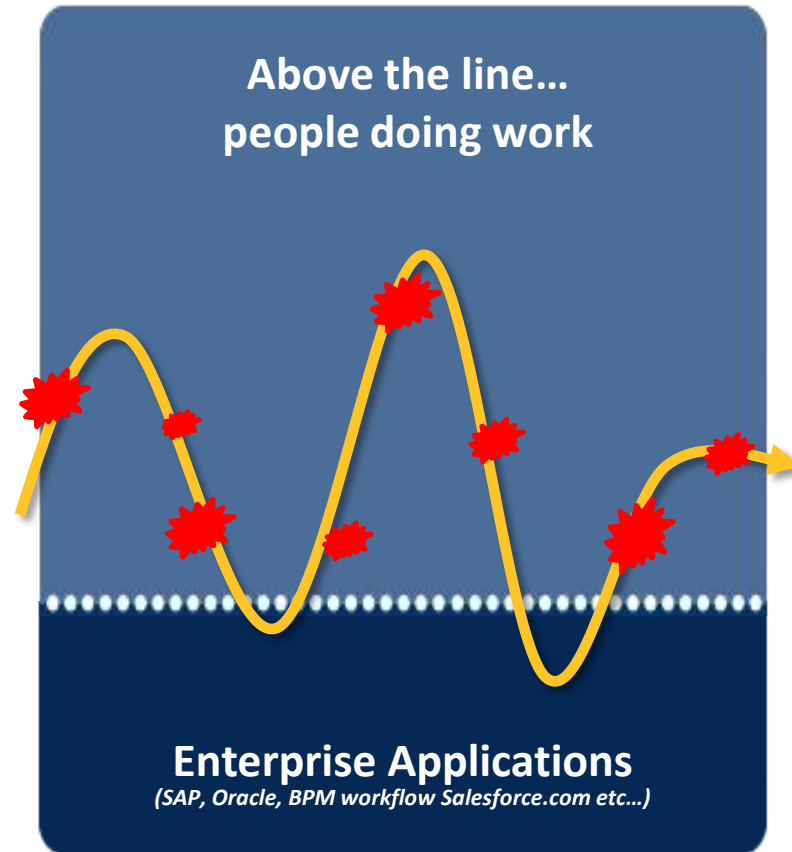


Many interested parties with different needs



IT - Correctly
automated
transactions &
Optimised
Information flows

Many interested parties with different needs



**Risk & Compliance -
Robust compliance
& controls**

Many interested parties with different needs

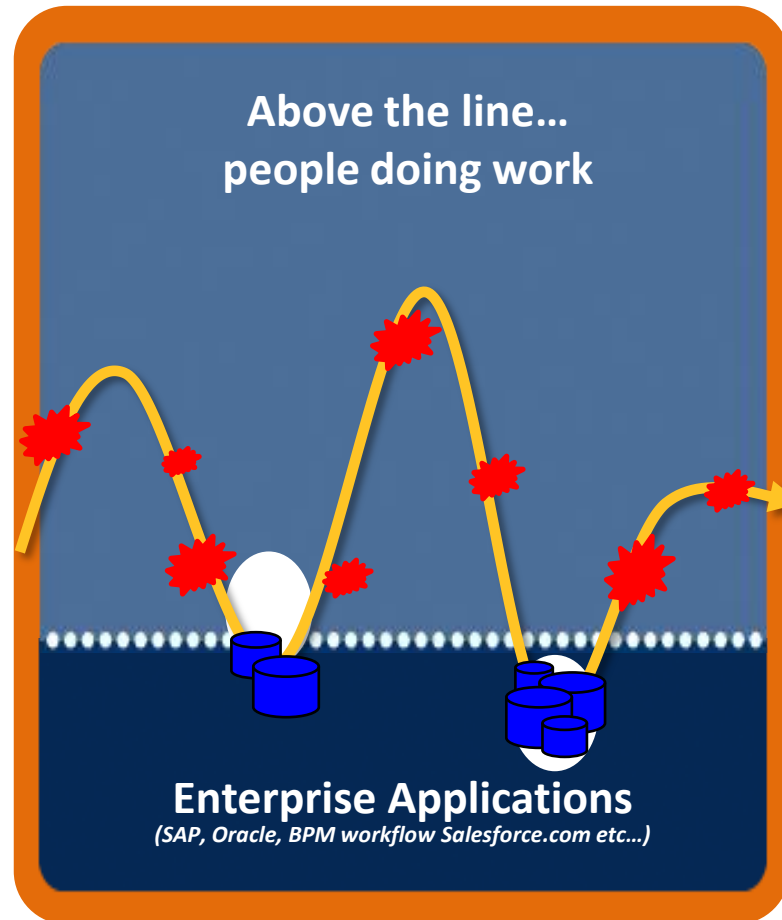
Business Management - Improved Business Performance



Improved Business Performance - Operational performance improvement initiatives



Finance - Cost implications & financial analysis



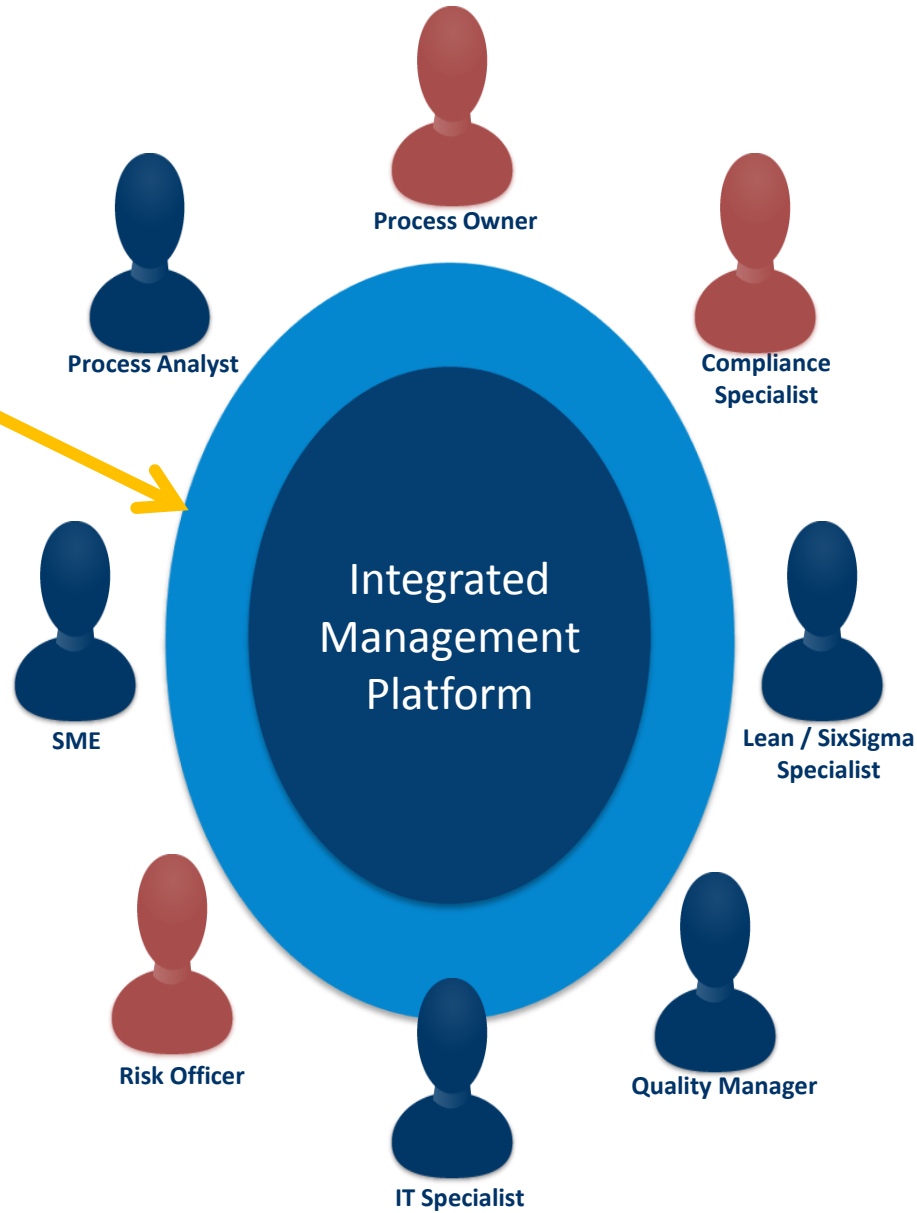
IT - Correctly automated transactions & Optimised Information flows



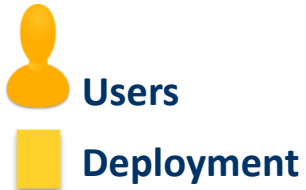
Risk & Compliance - Robust compliance & controls

Our approach

Collaborative framework for analysis, design, improvement



Our approach



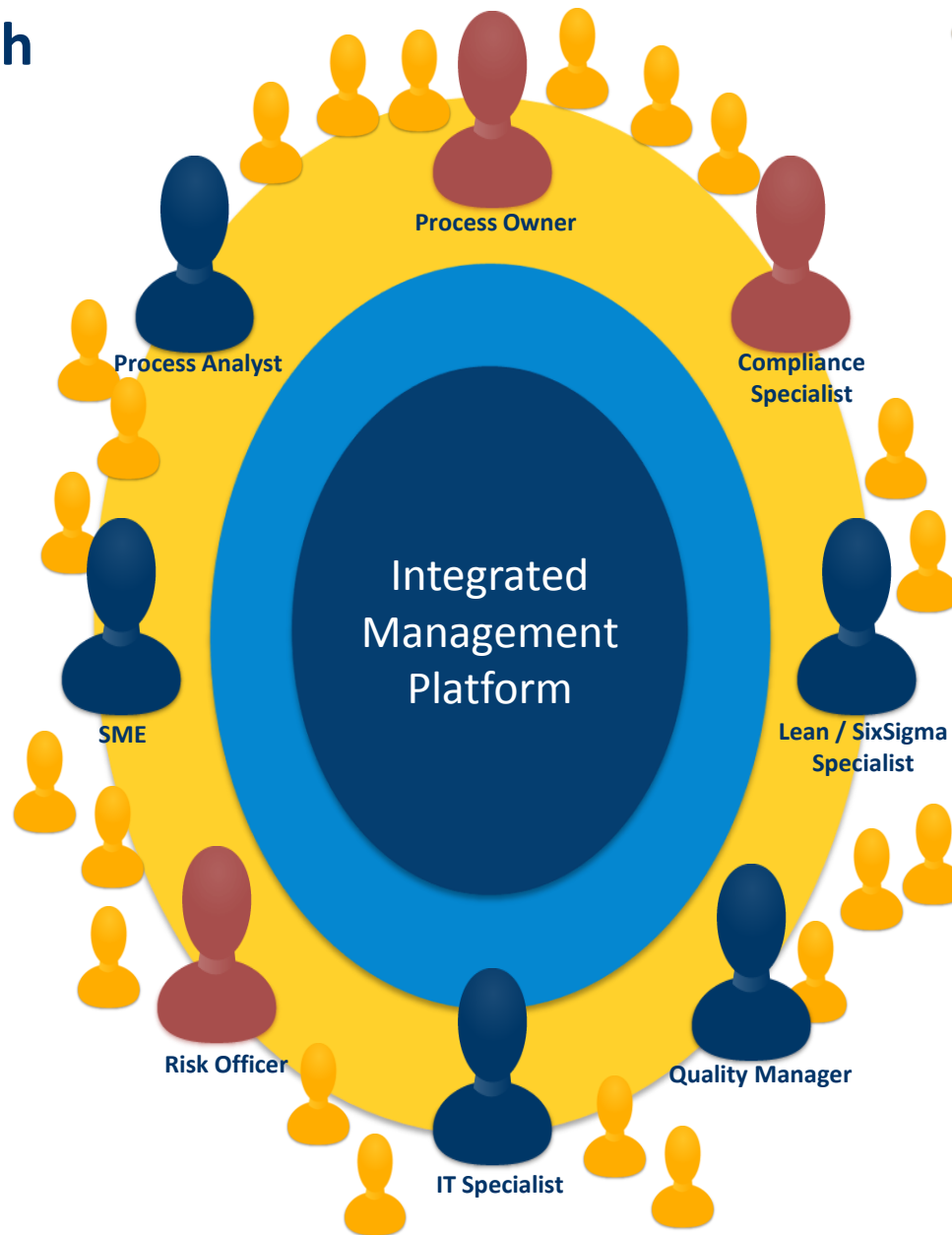
Deployed as

- a personalized, Integrated Management Platform
- internally and across the extended enterprise.

Social features drive engagement

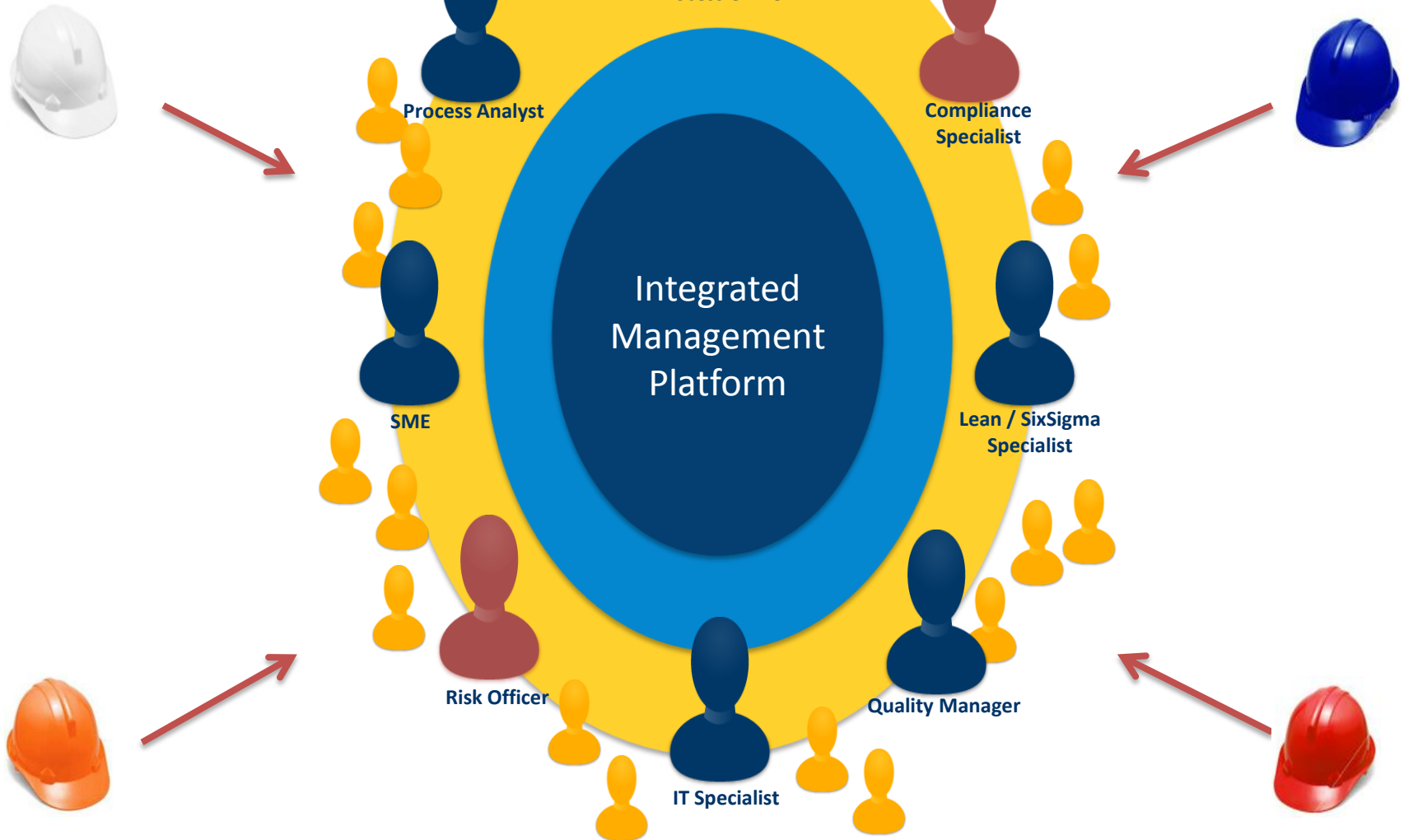
Collaborative features enable continuous improvement.

Risk is understood and transparent.



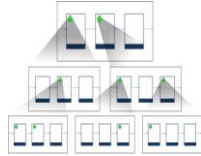
Different needs and different hats

-  Users
-  Deployment



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Nimbus Control = Integrated Management Platform



Hierarchy, Integrity & Rigor

- the context for all other content.



Integrated Management Platform

Controls in the processes. Certify Controls.

Process activities. Audit and remediate.



IT Linkages

Cross-reference system hierarchies with process activities.



Analytics

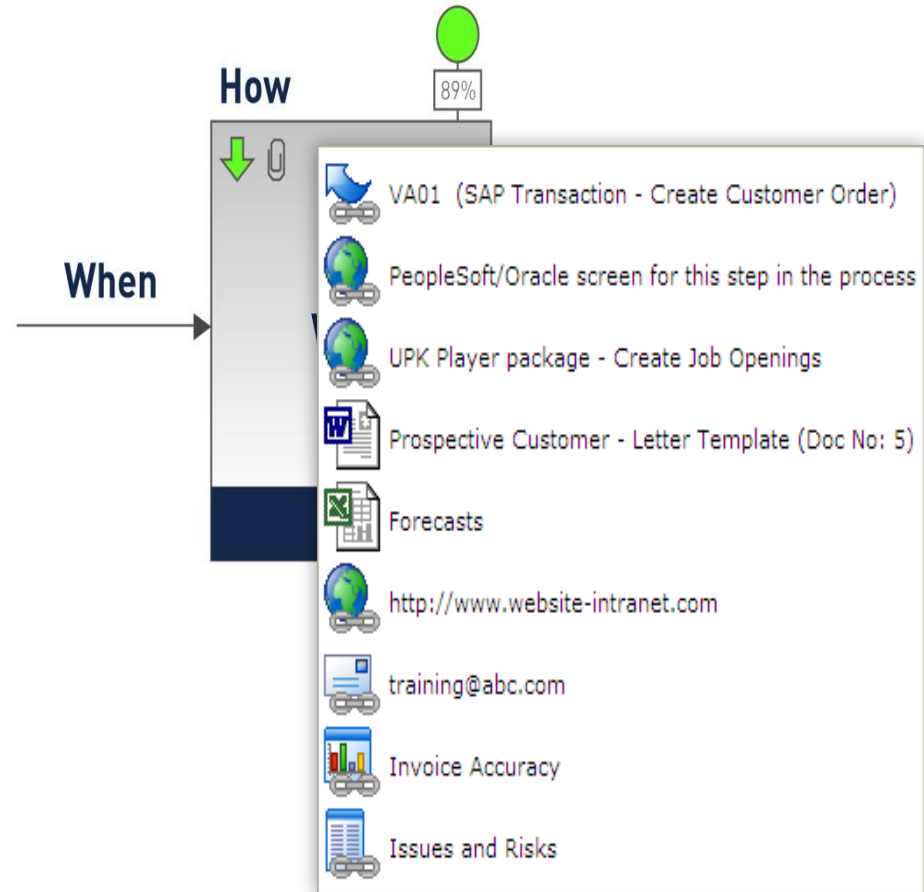
Integrate real time KPI metrics with processes. Deploy Scorecards.

Principles of Nimbus Control

Collaborative improvement and measurement

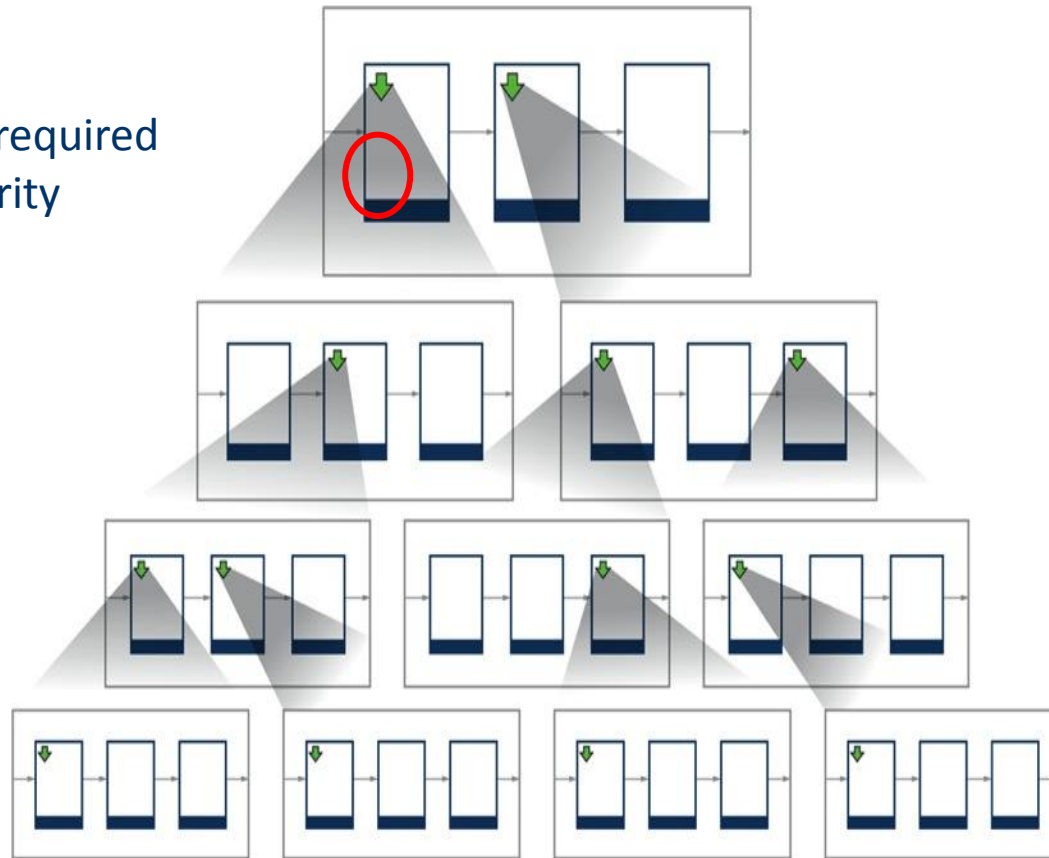


Collaborative end user driven improvement



Map – an integrated set of diagrams

Drill down as required
Content Integrity



Consistent and Integrated – top to bottom.
All diagrams intentionally simple and easy to read on a browser screen.
Drill down to lower levels of detail as required.

Approval Workflow & Version Control

1. Unlock Draft
2. Edit Draft
3. Approve
4. Update Master

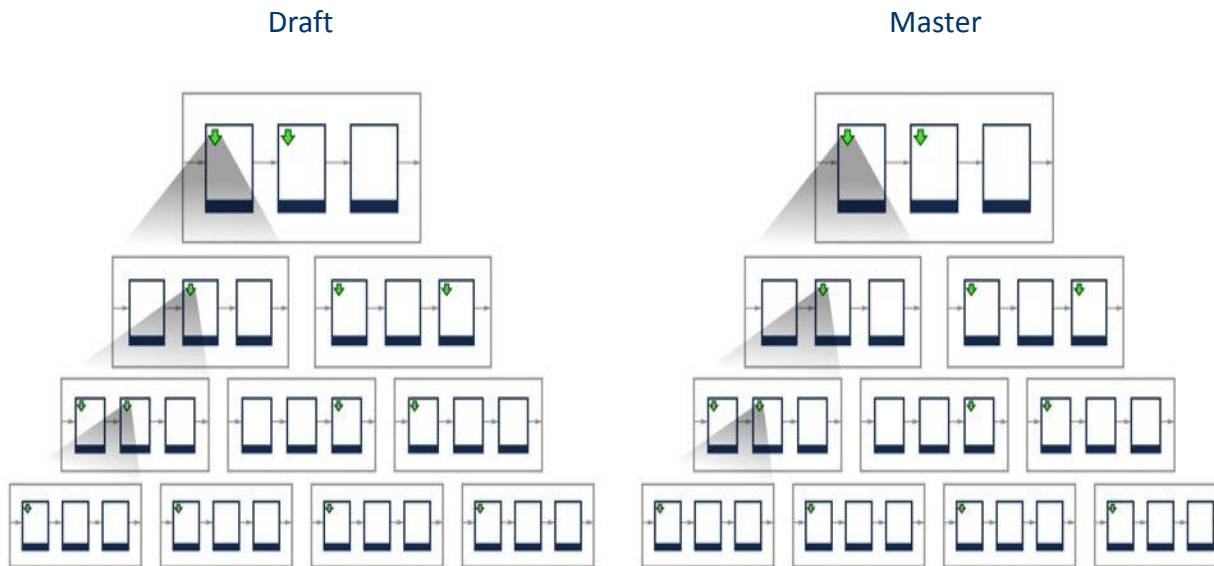


Diagram is now locked to prevent uncontrolled editing.

New version of master available to end users, old version of master archived

Full versioning /
archiving and audit
trail for compliance
purposes

Requirements management from a process perspective

- Unlike a reference model, Nimbus Control reflects a living, evolving business with managed change over time
- Because the business maintains and governs processes in Nimbus Control, it is never out of date
- As governed change is planned, the business and IT can partner to analyze impacts on current and future initiatives

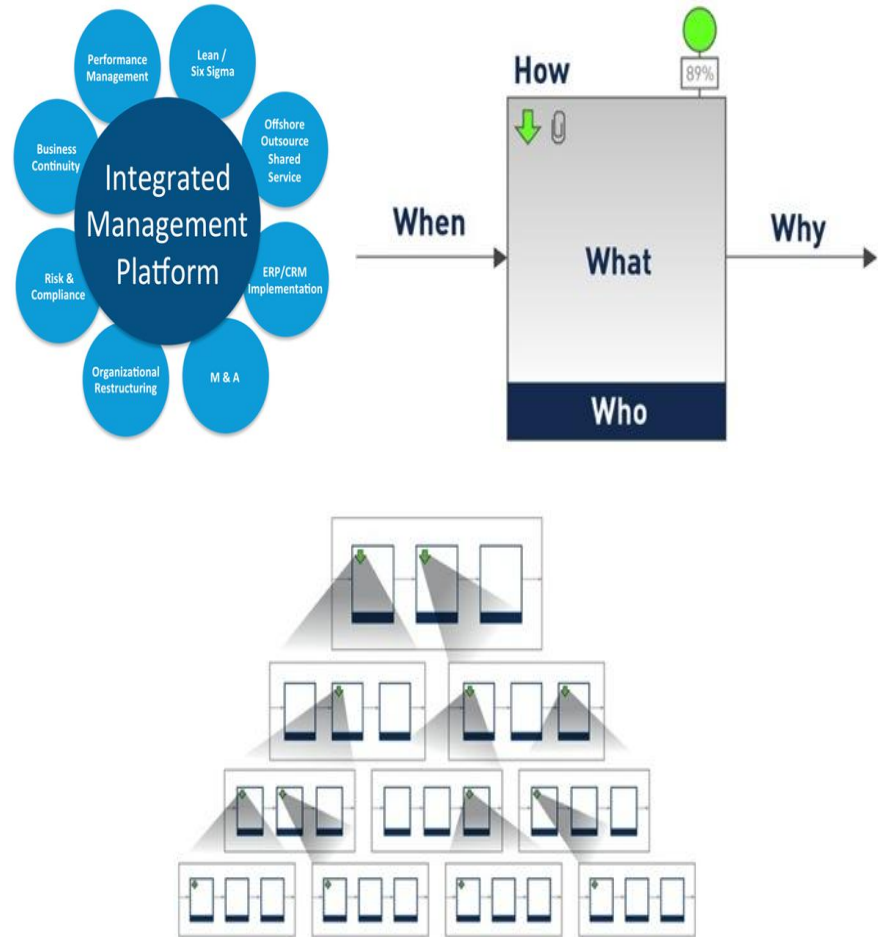


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Demonstration

Summary

- Connect multiple initiatives around an Integrated Management Platform
- Collaboratively connect all process stakeholders
- Uses a simple common language which business users and process specialists both understand
- Scalable – from top level core business processes down to individual initiatives
- Personalized Intelligent Operations Manual – engaging all employees in continuous improvement
- Leverage the resulting model through the change program and into continuous improvement / BAU



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