

BOC Group – Enabling Transformation of Business and IT Business Process Management with ADONIS



- I. Successful Business Process Management with ADONIS**
- II. Tool Feature Demonstration**
- III. Typical Questions in Business Process Management**
- IV. Reference Models**
- V. Summary**



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BPM has many Drivers in the Organisation

ADONIS

More than modelling... Transform your Business!

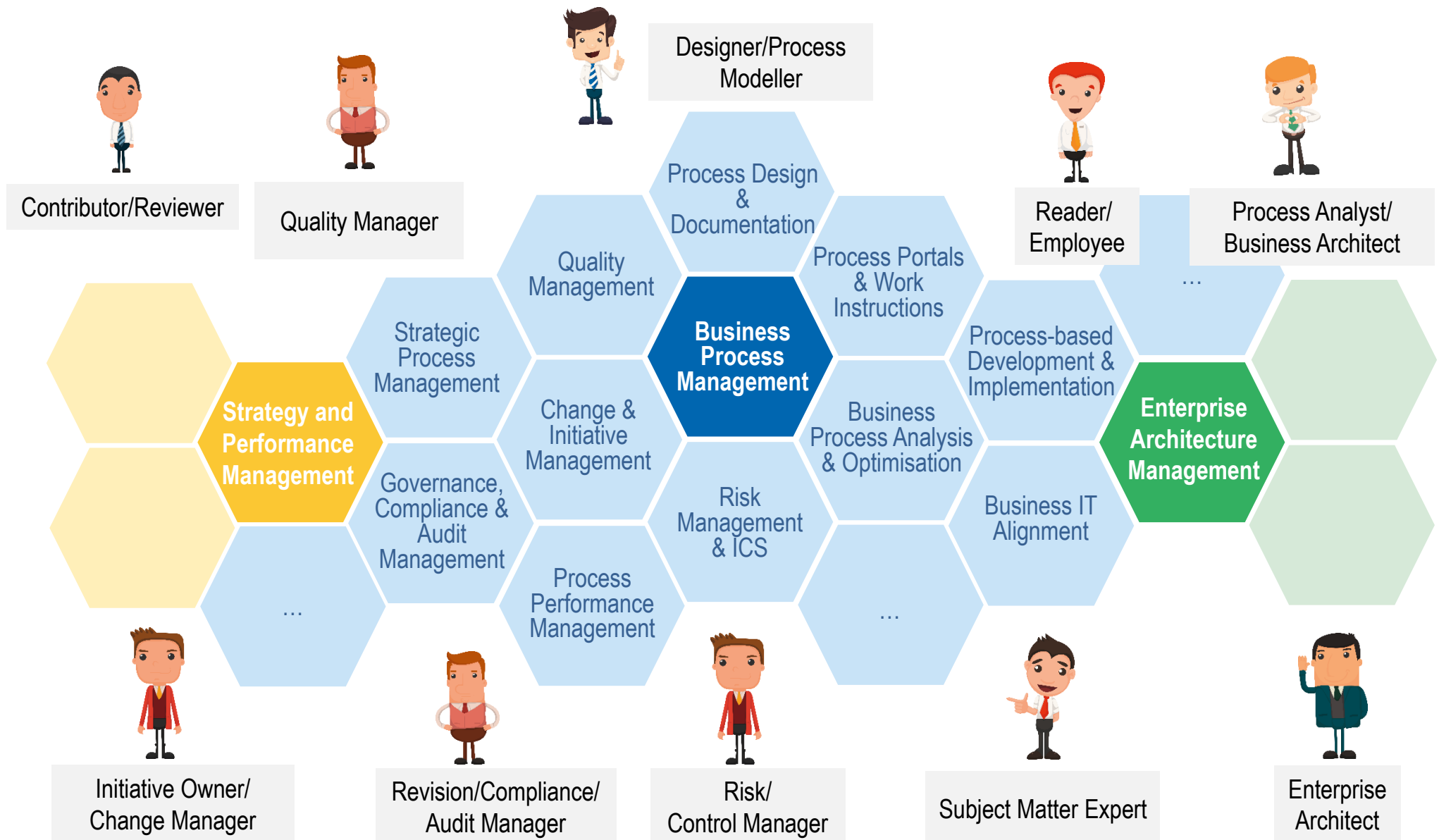


More than just modelling processes
Our solutions for your challenges integrated in one tool

ADONIS perfectly supports your Drivers and Stakeholders

ADONIS

More than modelling... Transform your Business together with your key stakeholders!

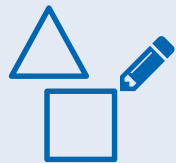


BPM with ADONIS

ADONIS

Work efficient and save costs

You can represent your processes with ADONIS quick and easy ...



Model
Design
Document

... and you are controlling sustainable process management.



Analysis
&
Evaluation



Optimisation
&
Standardisation



Communication



Cooperation
&
Collaboration



Process
Performance
Measurement



Continuous
Process
Improvement



Successful
Process
Implementation



Successful
Risk
Management

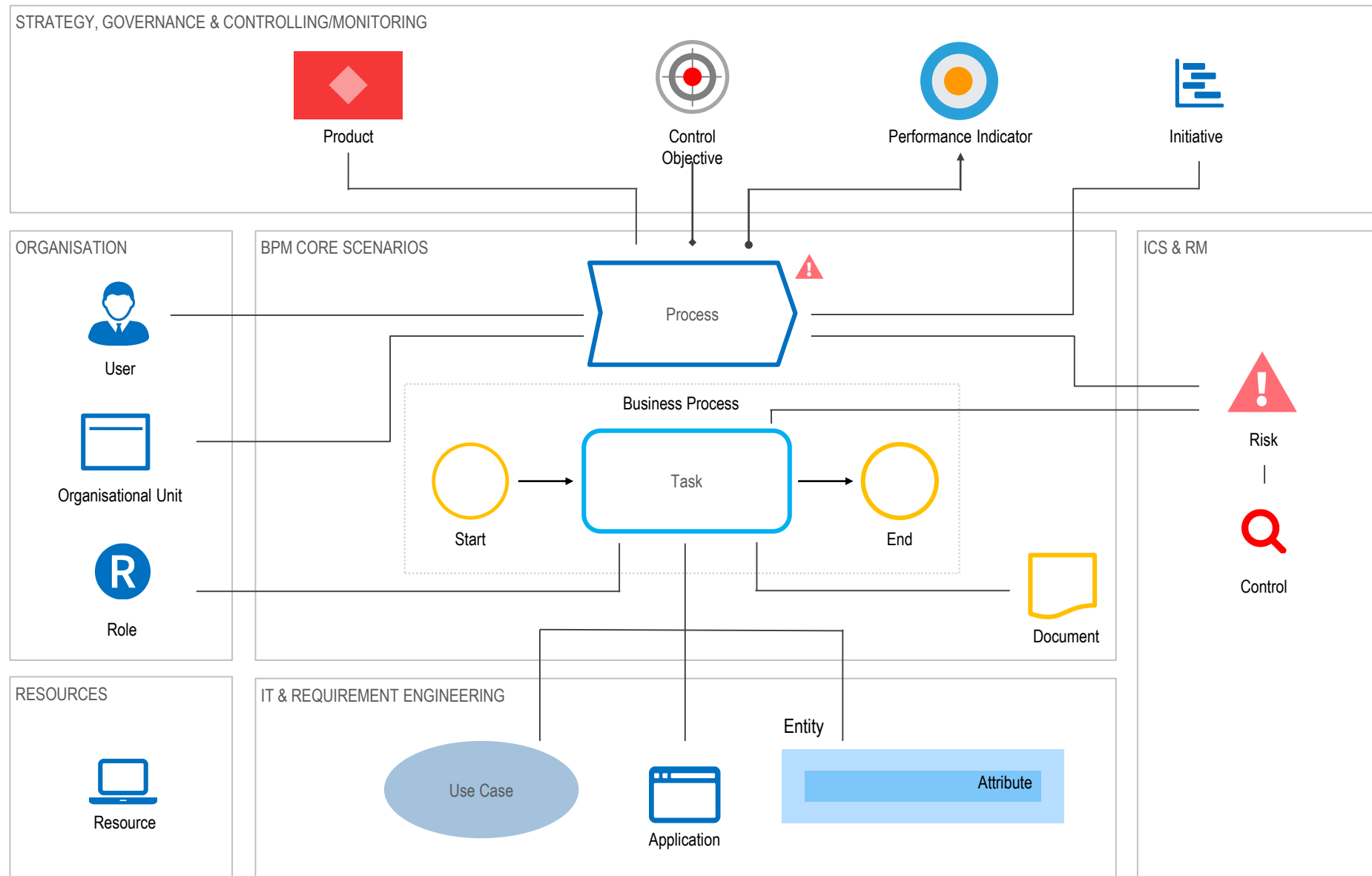


Integrated
Management
Systems

Successful BPM with ADONIS

ADONIS

Metamodel Overview



Successful BPM with ADONIS

ADONIS

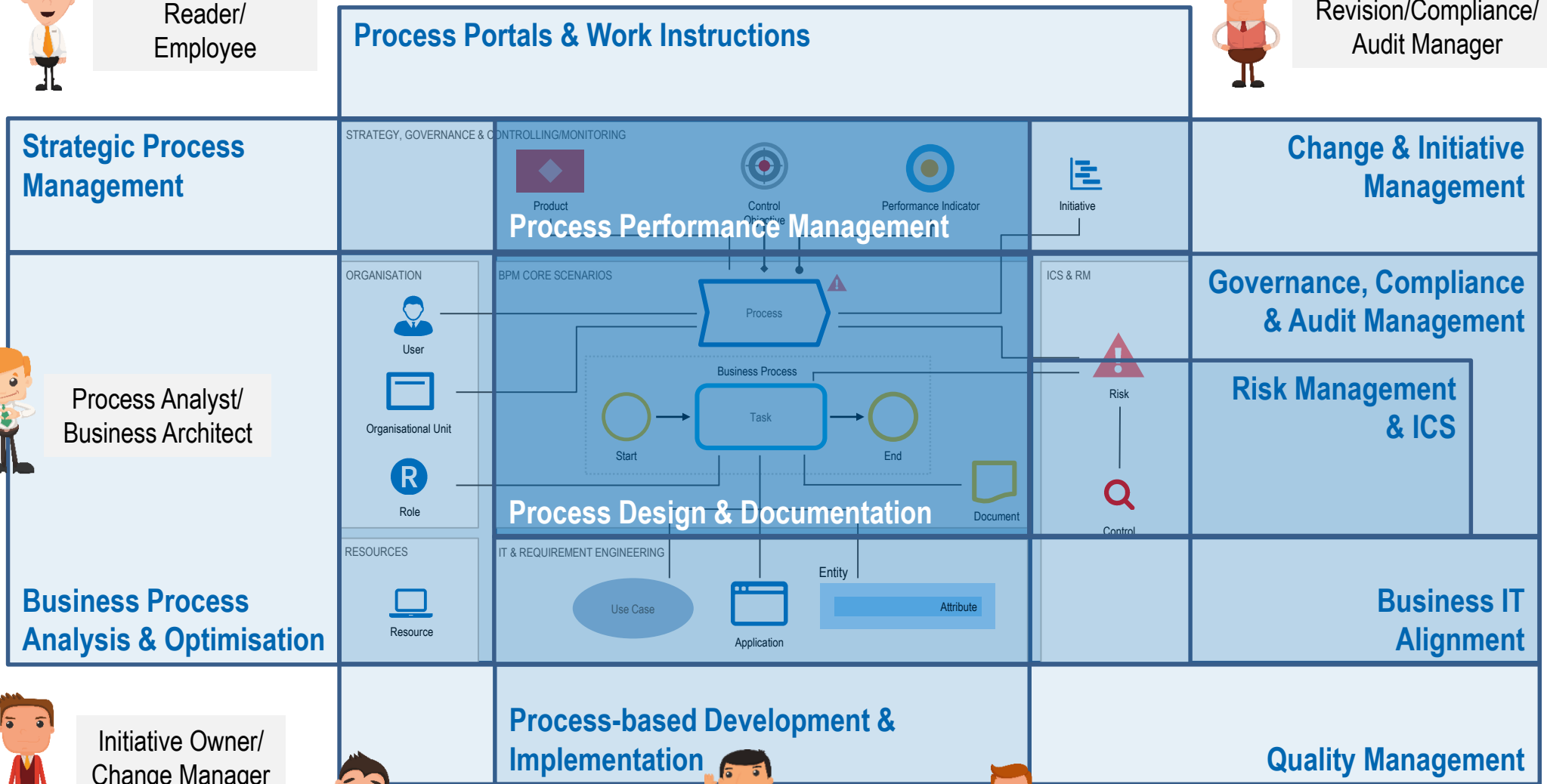
Scenarios - Stakeholder

Designer/Process
Modeller

Contributor/
Reviewer

Reader/
Employee

Revision/Compliance/
Audit Manager



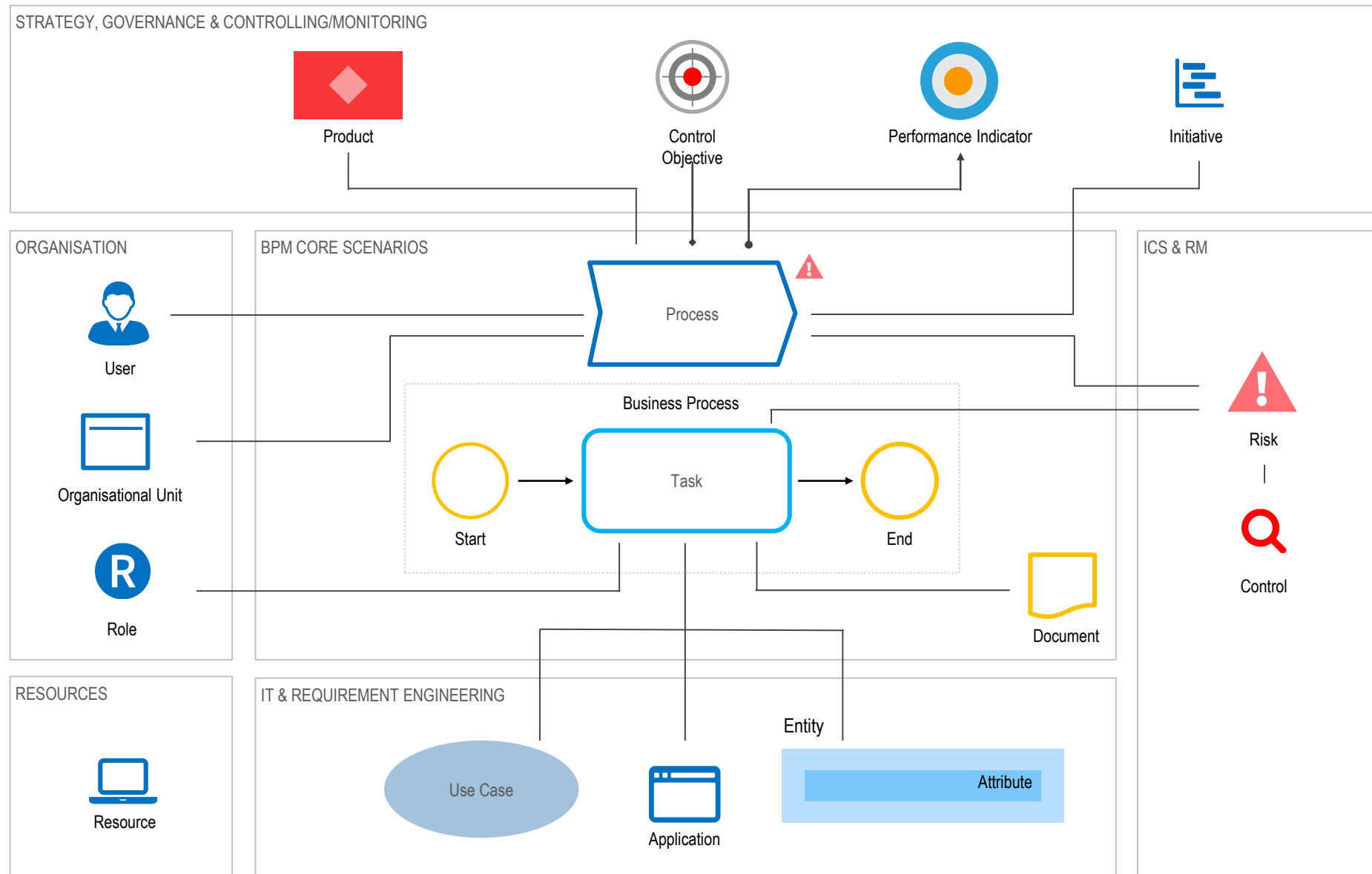


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- II. Tool Feature Demonstration**
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Successful BPM with ADONIS

ADONIS

Artefacts in ADONIS: Overview



Successful BPM with ADONIS

ADONIS

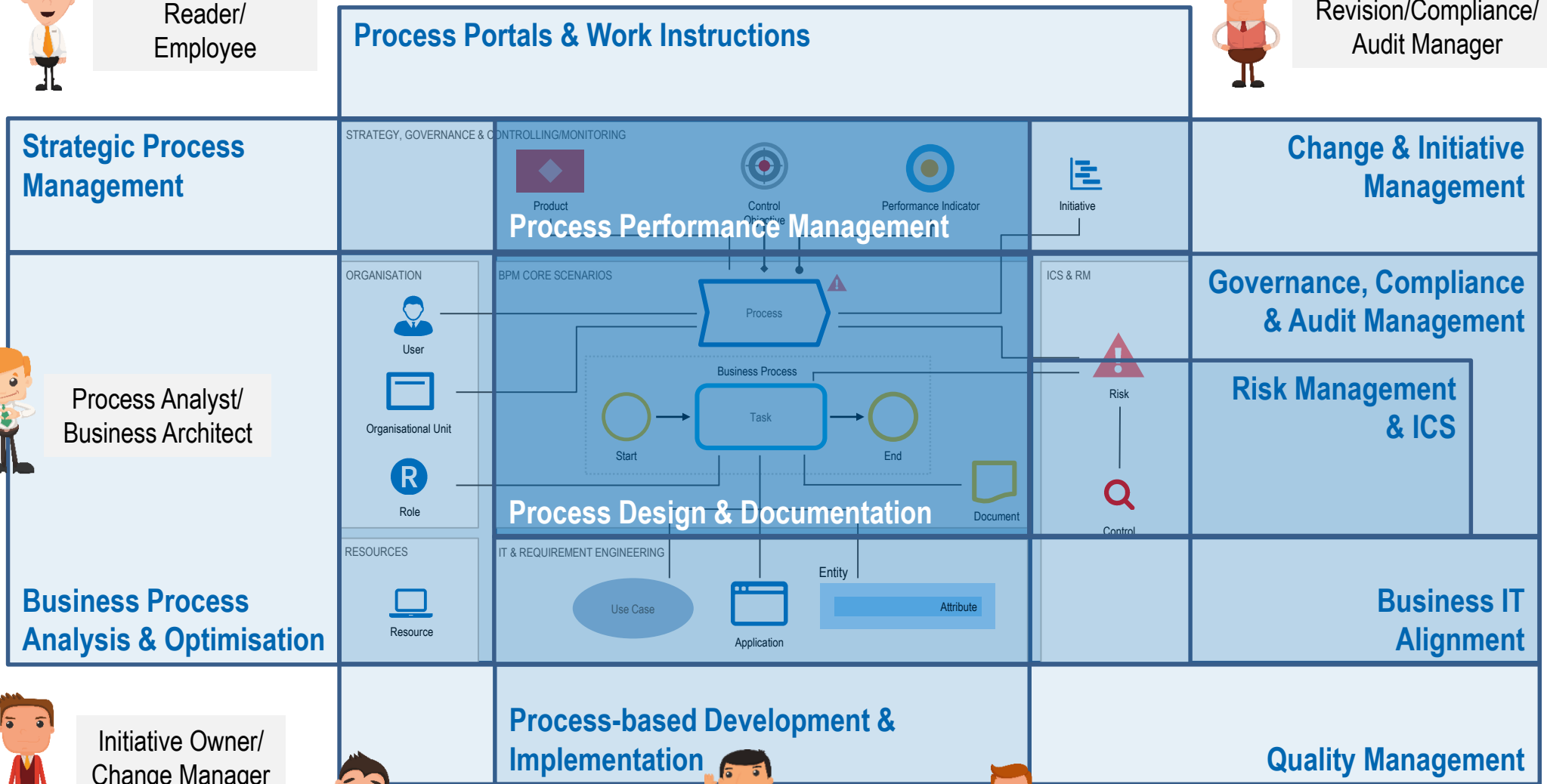
Scenarios - Stakeholder

Designer/Process
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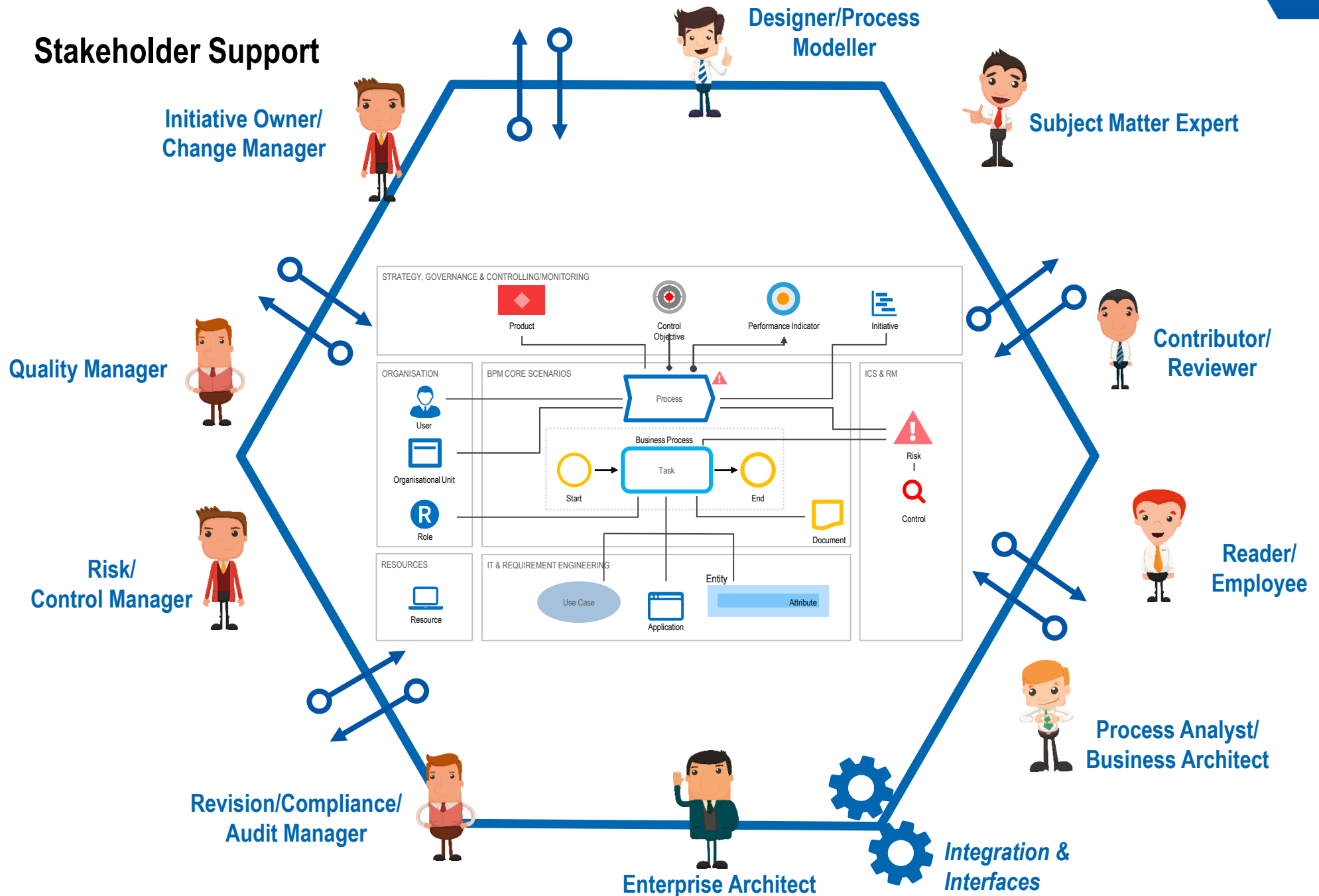
Revision/Compliance/
Audit Manager



Successful BPM with ADONIS

ADONIS

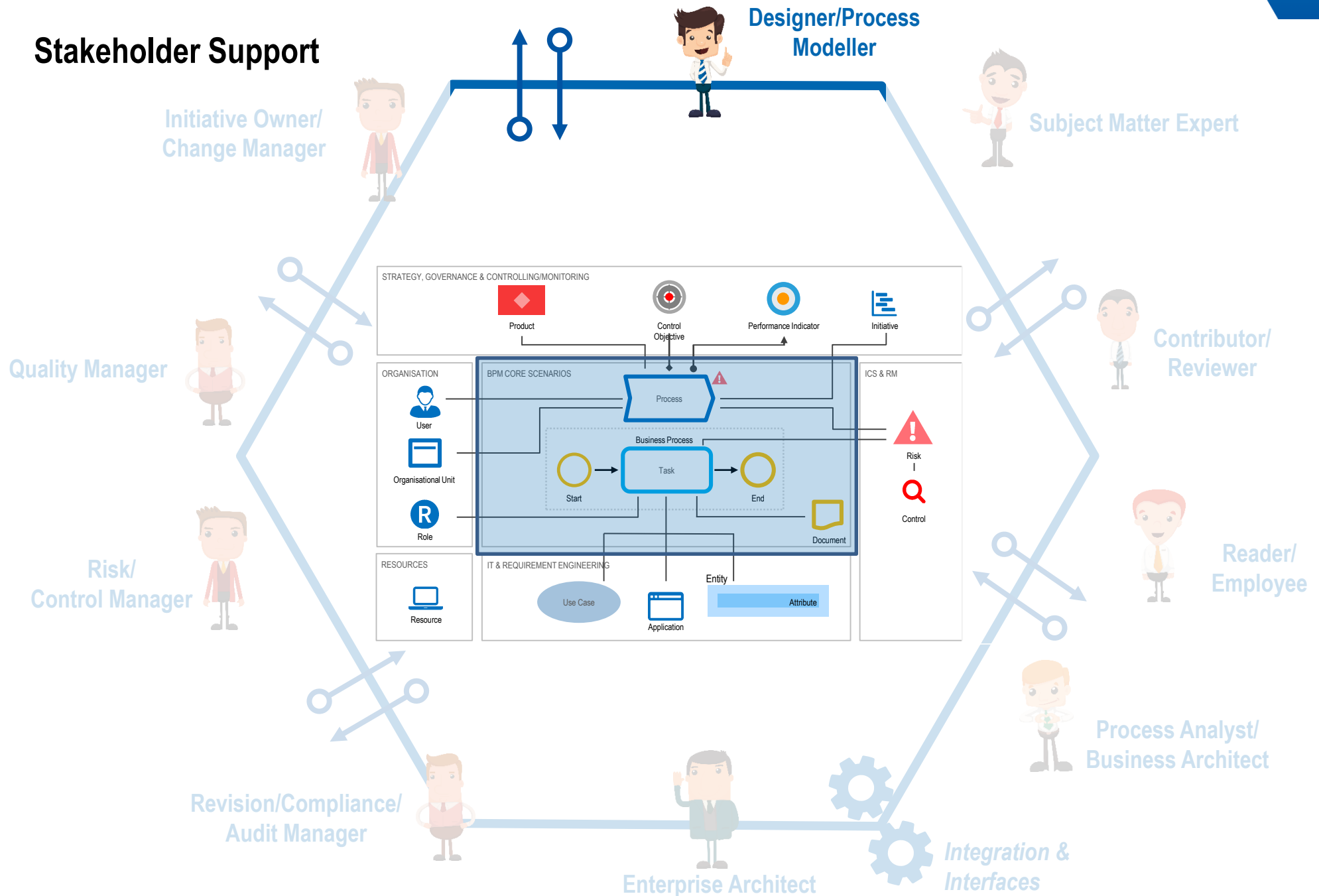
Stakeholder Support



Successful BPM with ADONIS

ADONIS

Stakeholder Support



Stakeholder: Designer/Process Modeller



Process Modeller tasks – tool support

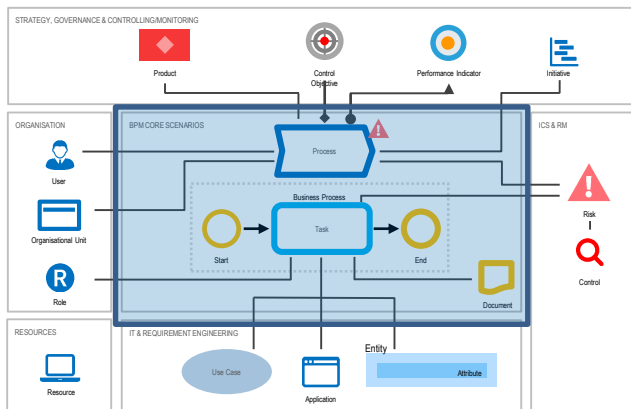


Process Modeller tasks

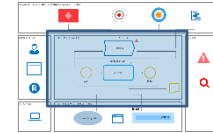
- ▶ Quick and efficient collection and documentation of the process structure and, if needed, organisational structure
- ▶ Enrichment of the process models with business-related information
- ▶ Creation and usage of the process model repository for further topics, such as standard operating procedures (SOP), quality management, risk management, process requirements for software systems introduction
- ▶ Quick and efficient update of the process repository in case of changes

Support by ADONIS

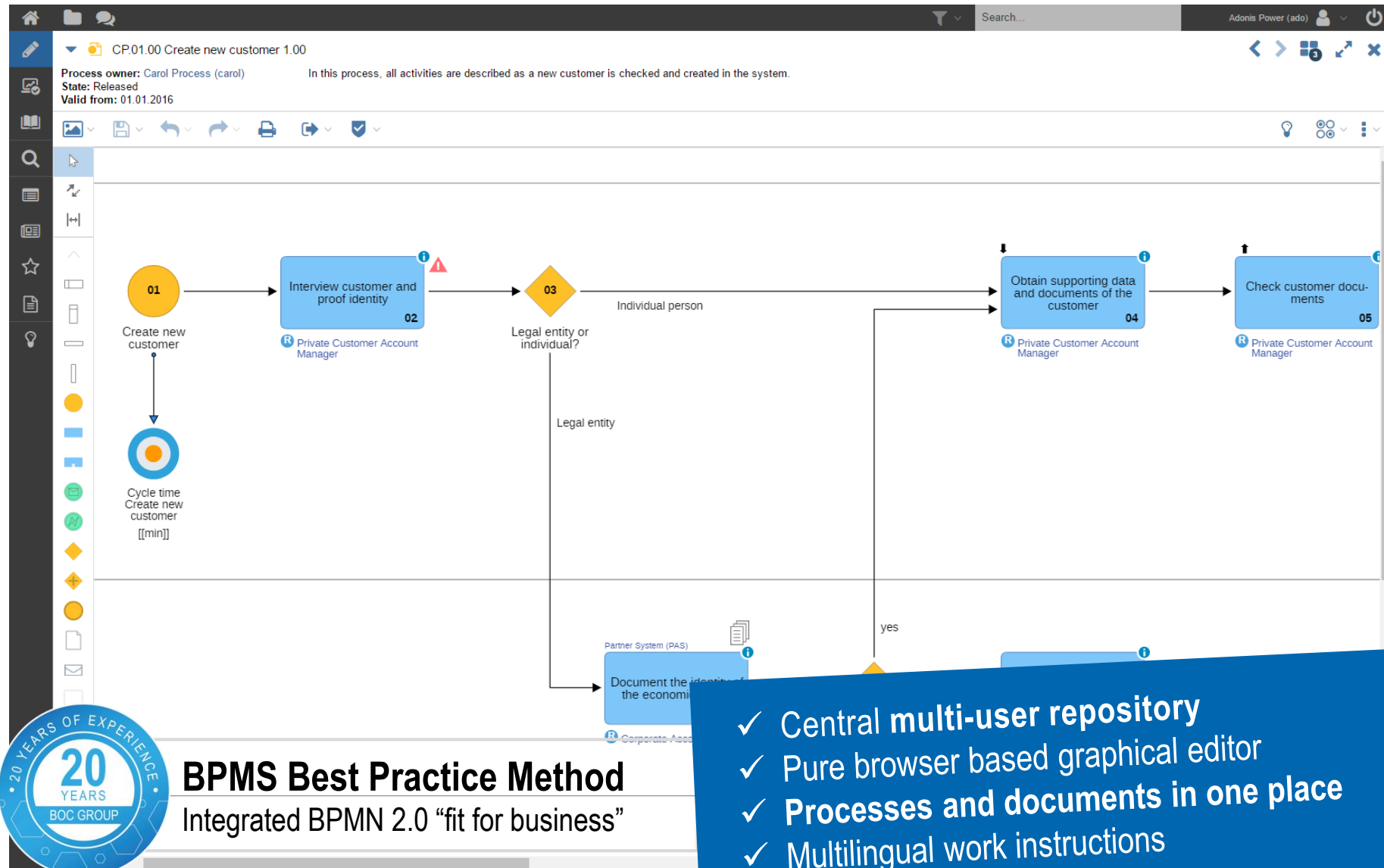
- ▶ Intuitive graphical modelling editor
- ▶ Enrichment of the BPMN method and notation with more business elements (responsibilities, quality and risk management) → "BPMN fit for business"
- ▶ Online property and class filters to reduce complexity for end users
- ▶ Information maintenance via master data management (Organiser)
- ▶ Configurable access right profiles for different contributors and stakeholders



Stakeholder: Designer/Process Modeller

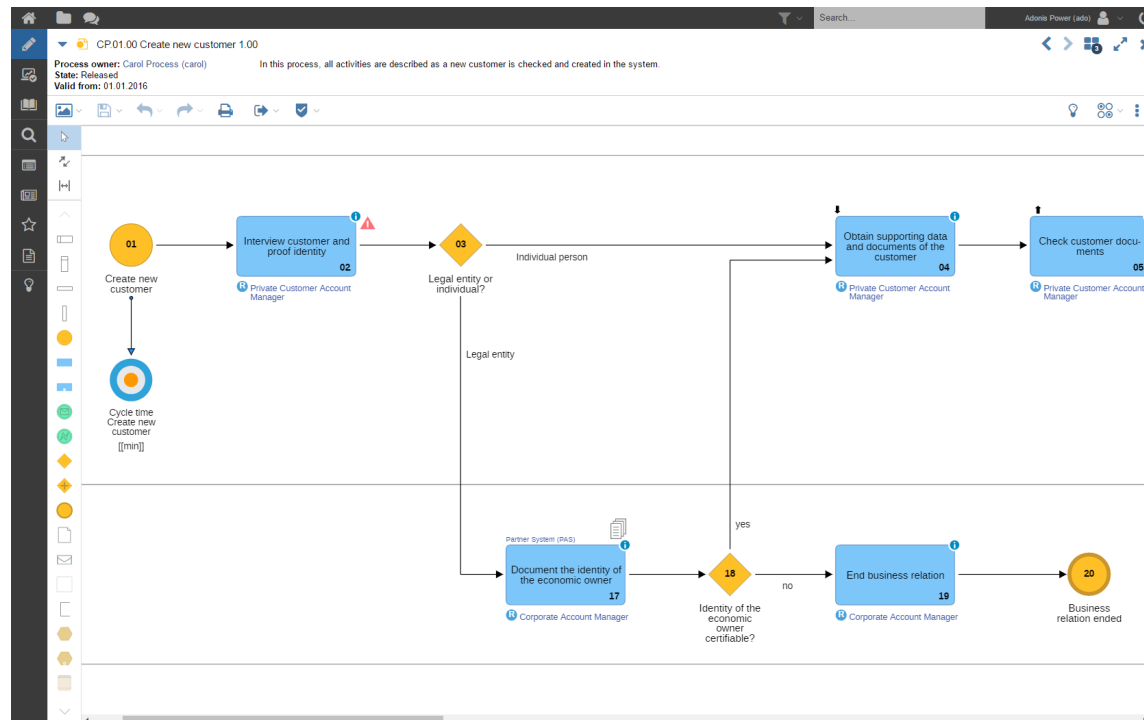
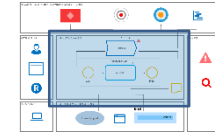


Easy process design



Stakeholder: Designer/Process Modeller

Easy process design



► Full BPMN 2.0 support

► Property Filter for reducing complexity for end users (for properties and classes)

► Upload of documents to manage all information in a single database (ADONIS Document Store)

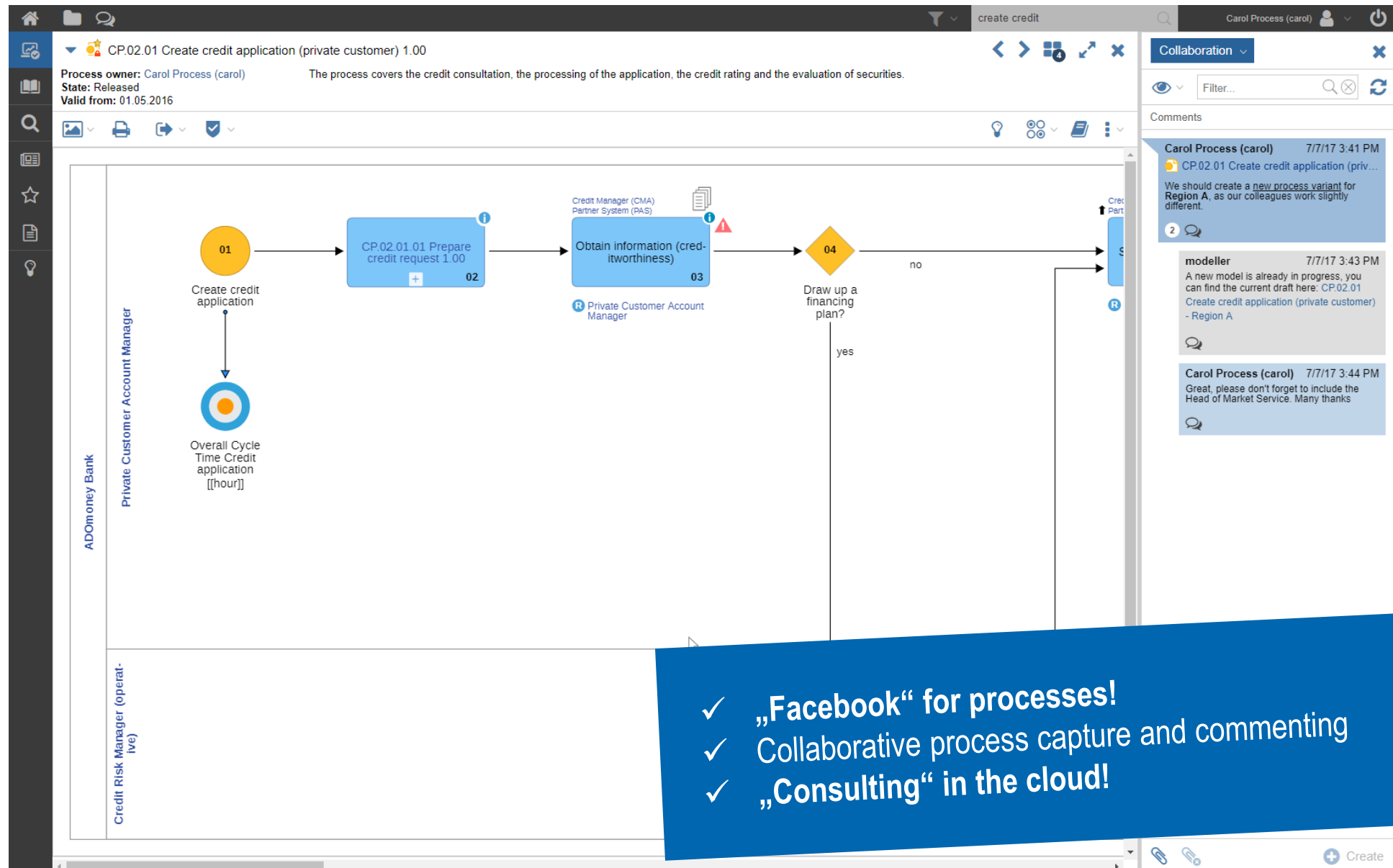
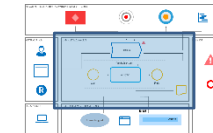
► Integrated translation support for international projects and multinational companies

► Text formatting for structured descriptions

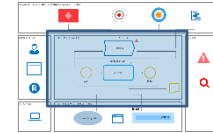
- ✓ Online filter for different stakeholders and user groups
- ✓ Processes and documents in one place
- ✓ Multilingual work instructions

Stakeholder: Designer/Process Modeller

Collaborative work on processes

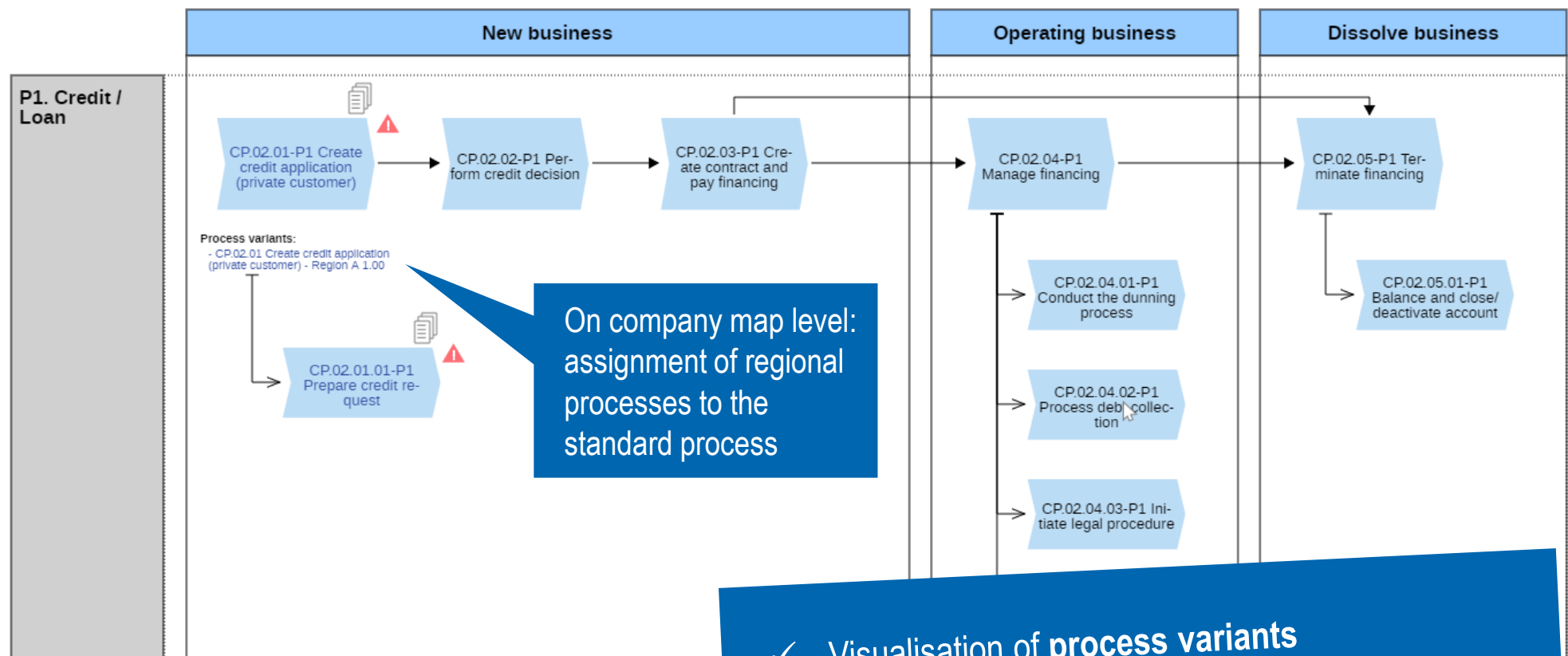


Stakeholder: Designer/Process Modeller



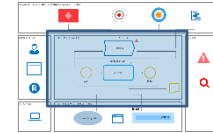
Modelling of process variants, e.g. because of regional differences

CP.02 Financing



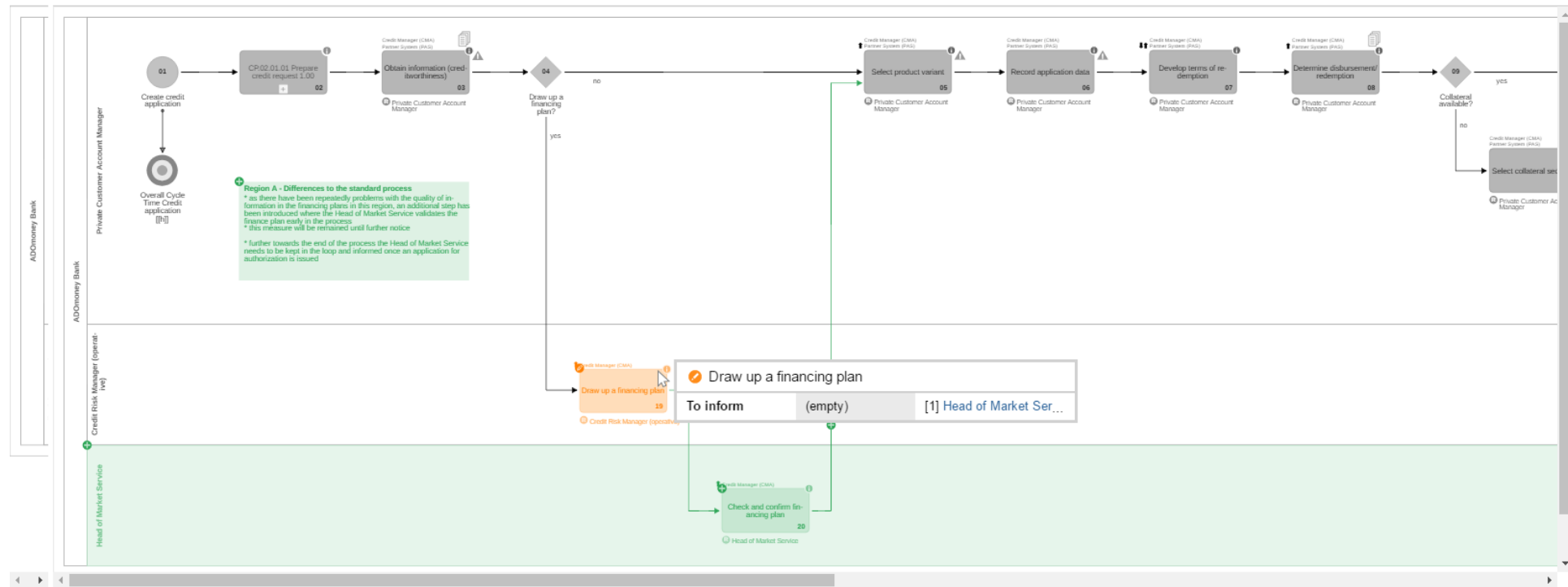
- ✓ Visualisation of process variants
- ✓ Presentation on company map level and/or the detailed processes

Stakeholder: Designer/Process Modeller



Modelling of process variants, e.g. because of regional differences

CP.02.01 Create credit application (private customer) - Region A 1.00



Details: 5 Added 14 Changed 1 Removed

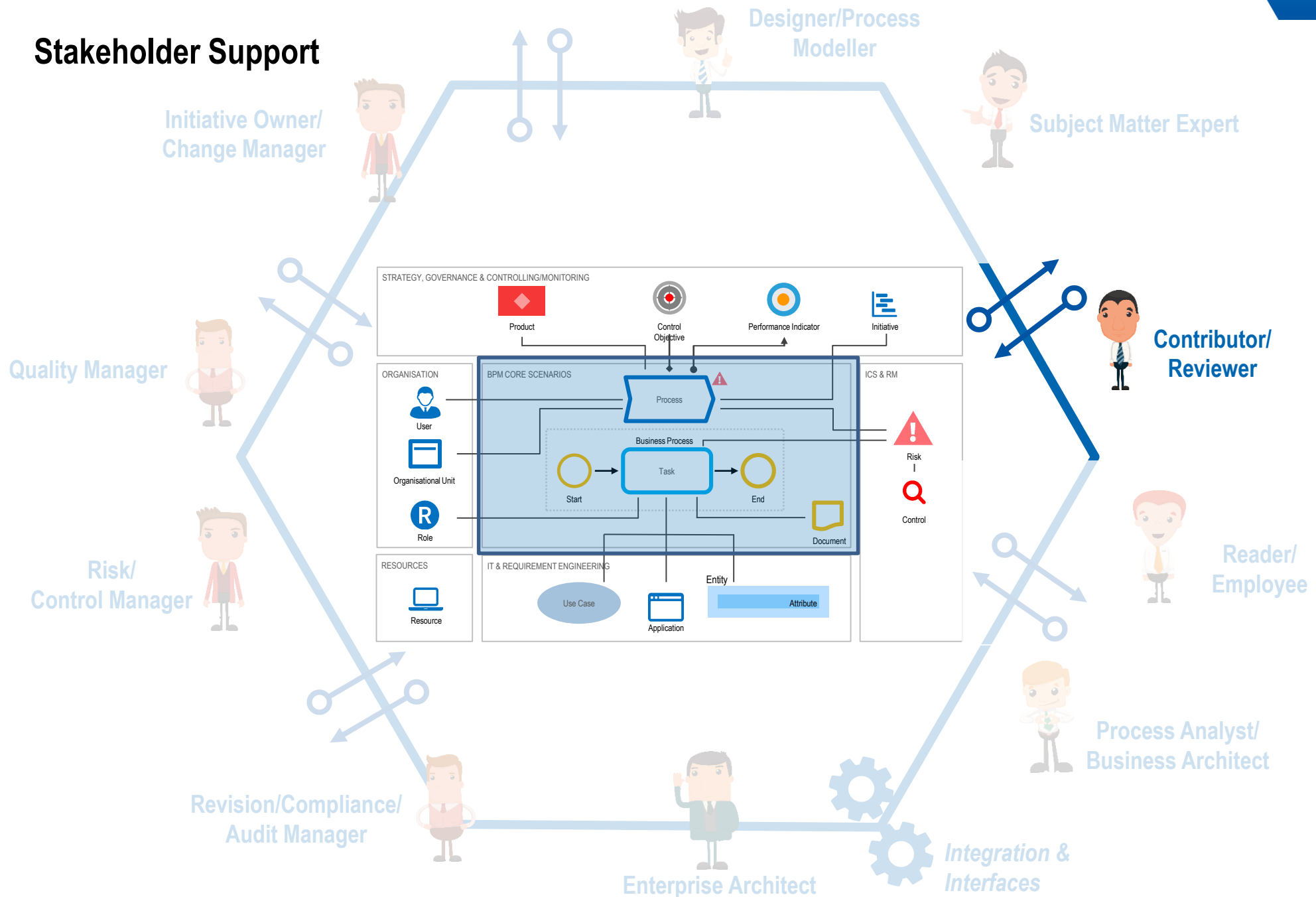
Type	Name	CP.02.01 Create credit application (private customer) 1.00 [Base model]	CP.02.01 Create credit application (private customer) - Region A 1.00
+	Notiz	-	added
+	Check and confirm financing plan	-	
+	Leiter Marktservice	-	
+	Sequence flow (Check and confirm financing plan -> ...	-	
+	Sequence flow (Draw up a financing plan -> Check an...	-	
✓	Draw up a financing plan		
	To inform	(empty)	

- ✓ Comparison of models to determine the differences in process variants
- ✓ Highlighting new and changed elements in the process diagram

Successful BPM with ADONIS

ADONIS

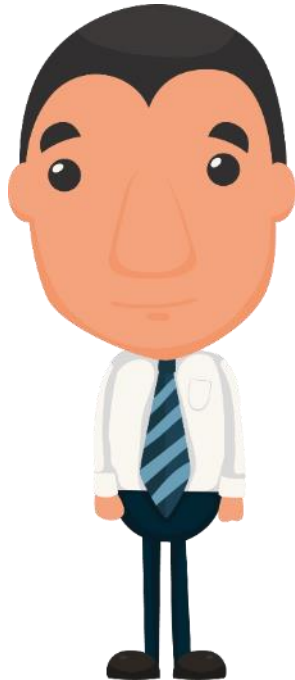
Stakeholder Support



Stakeholder: Contributor/Reviewer



Reviewer tasks – tool support

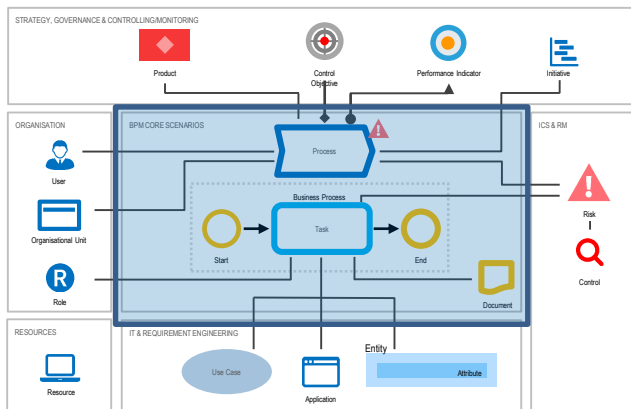


Reviewer tasks

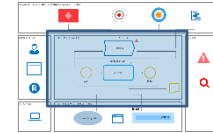
- ▶ Methodical and business review of process diagrams ahead of release
- ▶ Evaluation / assessment of improvement proposals
- ▶ Evaluation of the process life cycle

Support by ADONIS

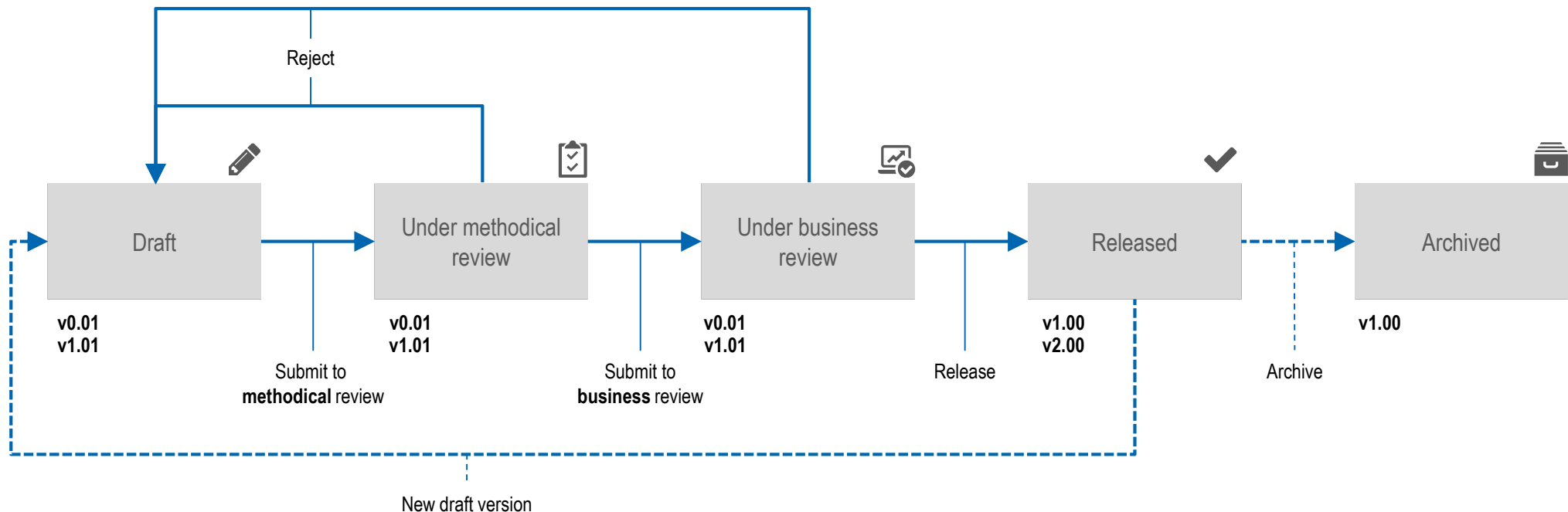
- ▶ Support of process governance by integrated release and versioning workflow
- ▶ Flexible adaptations of the release and versioning workflow possible
- ▶ Provision of revision-secure versioning of the process diagrams
- ▶ Revision-secure archiving of the process diagrams



Stakeholder: Contributor/Reviewer



Configurable workflows for controlling procedures

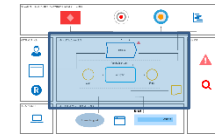


Stable and transparent workflows with logging of status transitions and changes

Role-specific tasks and dashboards for improved user experience

Configurable voting mechanism for model release

Stakeholder: Contributor/Reviewer



Control of the process release

Control & Release

Review and release processes with a single click.

Overview of Processes

0

Draft

1

Under methodical review

1

Under business review

13

Released

0

Archived

Processes (Actions pending)

Type	Name	State	Date ↑	Valid from	Actions
MP.08.03.03.01	Execution of an Internal Audit	✓	12.04.2017	01.01.2016	Show actions
CP.01.00.01	Check for connected clients	✓	12.04.2017	01.01.2016	Show actions
CP.02.01.01	Prepare credit request	✓	12.04.2017	01.01.2016	Show actions
CP.01.00	Create new customer	✓	12.04.2017	01.01.2016	Show actions
CP.02.01	Create credit application (private customer)	✓	12.04.2017	01.01.2016	Show actions
SP.08.DSS02	Manage Service Requests and Incidents (Incident Management)	✓	12.04.2017	01.09.2016	Show actions
MP.08	Revision and Audit Management	✓	12.04.2017	01.09.2016	Show actions
CP.02.01	Create credit application (private customer) - Region A	✓	12.04.2017	01.04.2016	Show actions

Under business review

MP.08.03.03.01

Execution of an Audit

19.04.2017

Show actions

Under methodical review

CP.01.00

Create new customer

14.04.2017

Show actions

Model Statistics

Model states

Draft

Under methodical review

Under business review

Released

Valid

Invalid

Archived

Model states

Draft

Under methodical review

Under business review

Released

Valid

Invalid

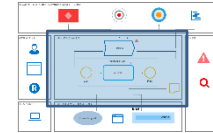
Archived

✓ Process Governance: quick overview of the release states of all processes

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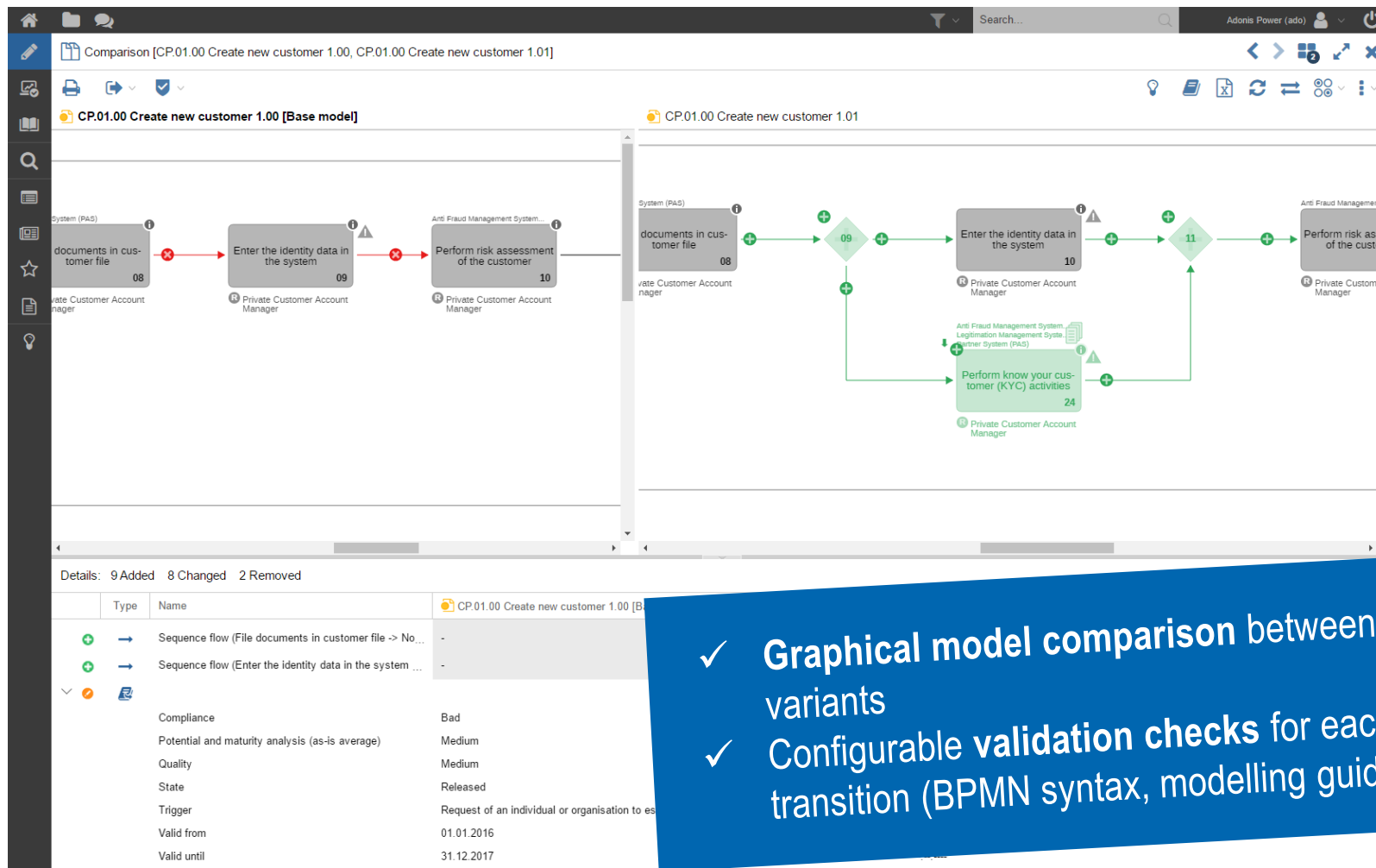
23

Stakeholder: Contributor/Reviewer



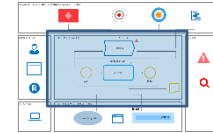
Sound decisions in the release process

- ▶ Active property filter for comparing models
- ▶ Individually configure which attributes to be highlighted in model comparison

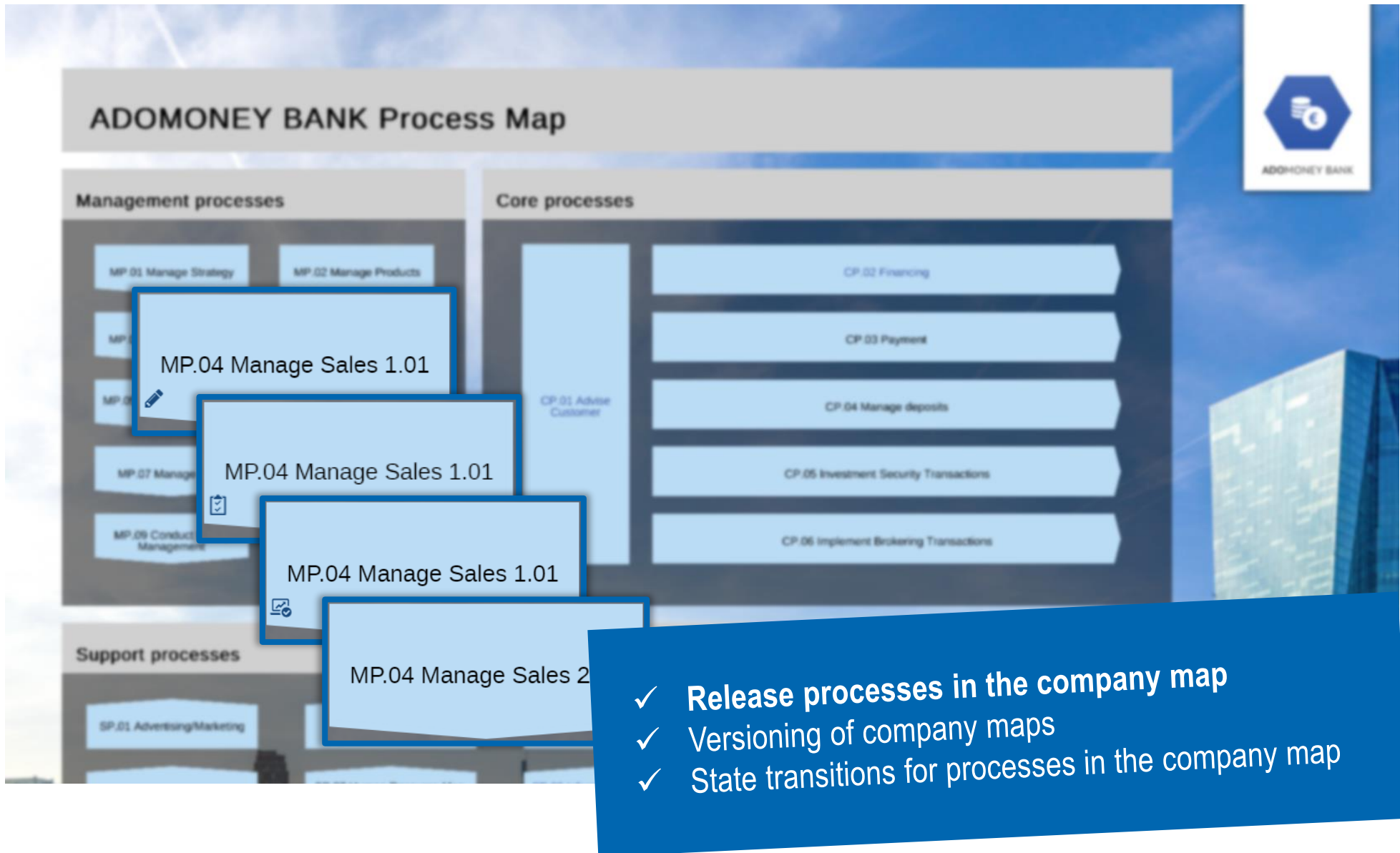


- ✓ Graphical model comparison between process variants
- ✓ Configurable **validation checks** for each state transition (BPMN syntax, modelling guidelines, etc.)

Stakeholder: Contributor/Reviewer



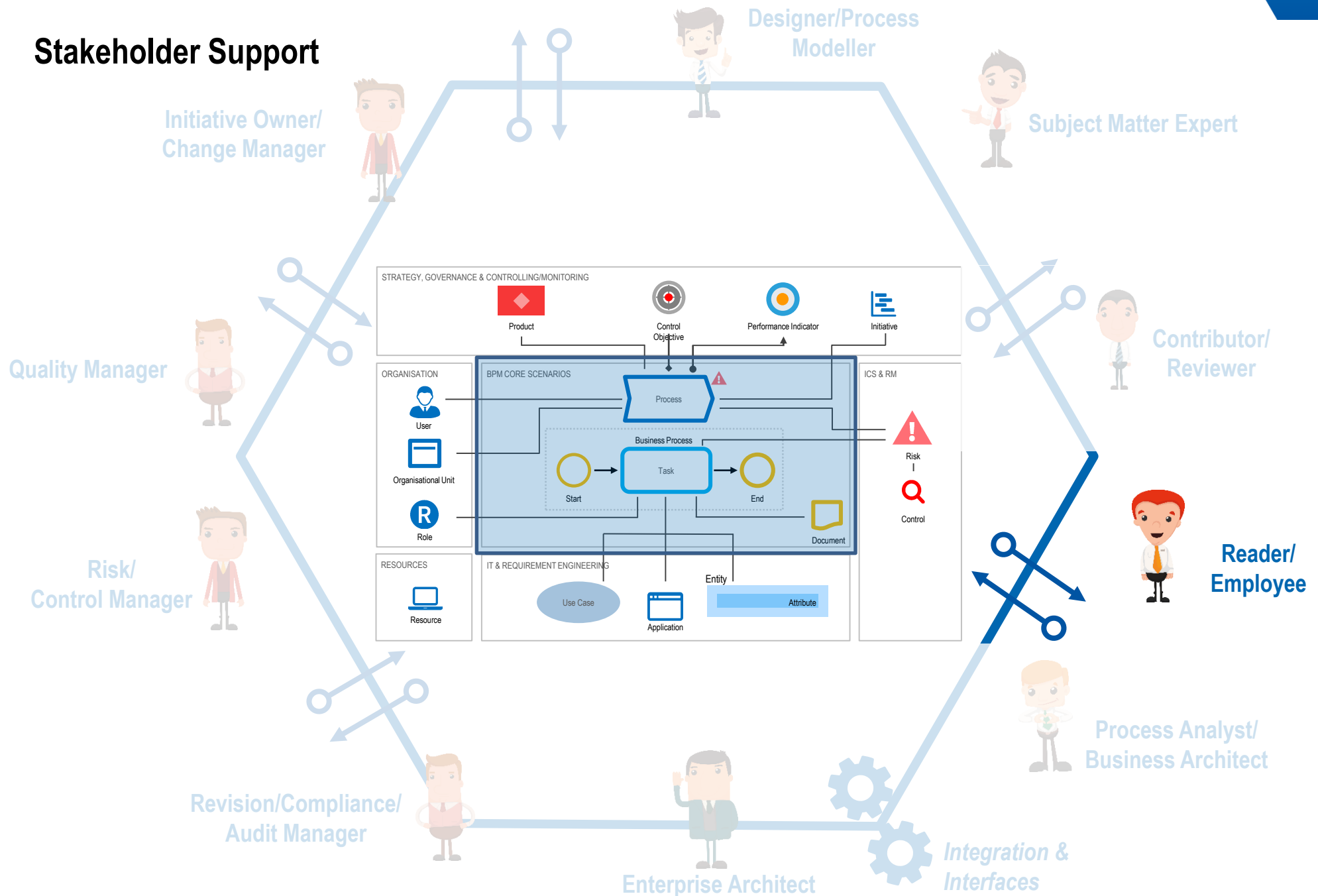
Process release workflow for company maps



Successful BPM with ADONIS

ADONIS

Stakeholder Support



Stakeholder: Reader/Employee

ADONIS



Reader/Employee tasks – tool support

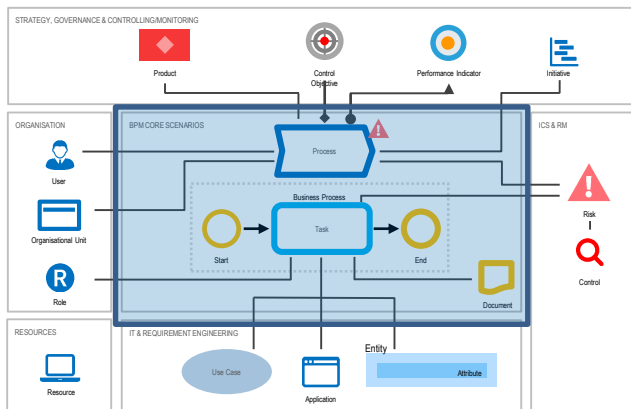


Reader/Employee tasks

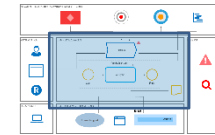
- ▶ Consistent and obligatory process execution
- ▶ Ensuring high-quality work results
- ▶ Participation in continuous process improvement

Support by ADONIS

- ▶ Provision of user- and role-specific views ("My processes")
- ▶ Assignment of all necessary documents, guidelines, forms, etc.
- ▶ Establishment of an "operational proposal mentality" through feedback and improvement mechanisms



Stakeholder: Reader/Employee



The Organisation Portal – direct access to the whole organisation

Process Map ADOMoney Bank 1.00

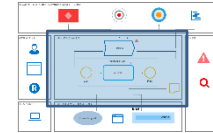
Process owner: Adonis Power (ado)
State: Released
Valid from: 01.09.2016

ADOMONEY BANK Process Map

Management processes	Core processes	Support processes
MP.01 Manage Strategy 1.00	CP.01 Advise Customer	SP.01 Advertising/Marketing 1.00
MP.02 Manage Products 1.00	CP.02 Financing	SP.02 Infrastructure 1.00
MP.03 Manage Revenue 1.00	CP.03 Payment 1.00	SP.03 Accounting 1.00
MP.04 Manage Sales 1.00	CP.04 Manage deposits 1.00	SP.04 Human Resource Management 1.00
MP.05 Manage Investment Portfolio 1.00	CP.05 Investment Security Transactions 1.00	SP.05 Infrastructure 1.00
MP.06 Manage Compliance 1.00	CP.06 Implement Brokering Transactions 1.00	SP.06 Accounting 1.00
MP.07 Manage Risks 1.00		SP.07 Human Resource Management 1.00
MP.08 Perform Audit Management		SP.08 Infrastructure 1.00
MP.09 Conduct HSEQ Management 1.00		
MP.10 Manage Processes and Organisational Change 1.00		

- ✓ Search through all released content
- ✓ **Access without authentication**
- ✓ Dedicated views for processes, documents and organisational chart

Stakeholder: Reader/Employee



Several entry points into the Organisation Portal possible

ADOMONEY BANK Process Map

Process owner: Adonis Power (ado)
State: Released
Valid from: 01.09.2016

HERE starts your roadtrip 1.00

Process owner: guest
State: Released
Valid from: 01.07.2014

Fancy to organise and do a roadtrip?
It is exactly this goal that our adventurers are pursuing.
Therefore they have different processes helping them to do the necessary research as well as discuss and organise everything needed.

ADONIS: cloud
Anytime. Anywhere.

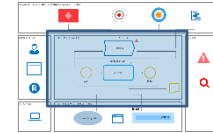
Management processes

Core processes

Documents
IT & Applications
Organisation
Risks, Controls & Control Object-...

✓ More than one Organisation Portal configurable
✓ Configure start models and access rights
✓ Can be applied in the same or in different repositories

Stakeholder: Reader/Employee



Simple search, including full-text search in documents

The screenshot displays the ADONIS Document Store search interface. The search bar at the top contains the text "audit". Below the search bar, there are checkboxes for "Search automatically" and "Search in documents", both of which are checked. A "Group restriction" dropdown shows "[05 Documents]". Below these options, there are tabs for "Topic: Objects", "Model", "Object", and "Property". The search results are displayed in a table with columns: Type, Name, Group path, and Reference. The table shows 5 results, with the 5th result, "Statement Regarding Audit Report", highlighted with a red box. To the right of the table, a sidebar shows the search results for the selected document, "Audit_Report_Statement_English_15.03.2017.docx". The sidebar indicates "3 results were found for the entered search criteria." and lists three results, with the first result, "... Statement Regarding Audit Report Version: ...", highlighted with a red box.

Type	Name	Group path	Reference
1	Audit Plan	Objects/ADOMoney Bank/05 Documents/05.01 Central Divisions (CFO)	https://...
2	Audit Report	Objects/ADOMoney Bank/05 Documents/05.01 Central Divisions (CFO)	https://...
3	Guidelines for the Conduct of an Audit	Objects/ADOMoney Bank/05 Documents/05.01 Central Divisions (CFO)	Audit...
4	Internal Audit Report	Objects/ADOMoney Bank/05 Documents/05.01 Central Divisions (CFO)	Audit...
5	Statement Regarding Audit Report	Objects/ADOMoney Bank/05 Documents/05.01 Central Divisions (CFO)	Audit...

Audit_Report_Statement_English_15.03.2017.docx

3 results were found for the entered search criteria.

- ... Statement Regarding Audit Report Version: ...
- ... a statement towards an audit report. Lorem ipsum dolor ...
- ... Audit_Report_Statement_English_15.03.2017.docx S ...

✓ Out-of-the-box support for full-text search in documents with the ADONIS Document Store

Stakeholder: Reader/Employee



Reading process flows made easy

CP.01.00 Create new customer 1.00

Process owner: Carol Process (carol) In this process, all activities are described as a new customer is checked and created in the system.
State: Released
Valid from: 01.01.2016

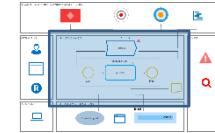
Hide details

#	Name and description	Responsibl...	Data input	Data output	Referenced...	Referenced...	Assigned ri...	Referenced...
01	Create new customer → (02) Interview customer and proof identity							
02	Interview customer and proof identity In the conversation the identity is determined according to the legal requirements by physical proof of an official identity paper. Additionally it is determined whether the customer creation for an individual or organisation is to be performed. → (03) Legal entity or individual?	R Private...					07.07.0...	
03	Legal entity or individual? Individual person → (04) Obtain supporting data and documents of the customer Legal entity → (17) Document the identity of the economic owner							
04	Obtain supporting data and documents of the customer Private customers need to show their identity card or passport and business customers the register of commerce in order for the bank to be able to identify the customer. → (05) Check customer documents	R Private...		Econo... Excerpt... Passpo... Person...				
05	Check customer documents The presented documents are checked for completeness, accuracy and consistency. → (06) Data complete?	R Private...		Excerpt... Passpo... Person...			07.02.0...	
06	Data complete? yes → (07) Copy and sign documents no → (21) Complete data and documents							
07	Copy and sign documents The customer's documents are copied, initialed and signed. → (08) File documents in customer file	R Private...						
08	File documents in customer file All relevant documents that were shown are scanned and documented in the customer files. → (09) Enter the identity data in the system							
09	Enter the identity data in the system For individuals, in particular the nature of work and the purpose of the business relationship must be documented. For legal entities the employees, ownership and corporate structure and key financial indicators must be documented, as well as other type of company, activity, industry, industry code, number. Still, the origin must be clarified in general of funds and assets. The details of the planned customer relationship must be documented, such as the types of payments must be recorded. Also the function together with the place must be documented for politically exposed persons (PEP).							

✓ Innovative textual view

✓ Reader can switch between graphical and textual view of process diagrams

Stakeholder: Reader/Employee



Target group-oriented dashboards

Read & Explore
Read processes, explore work instructions and process handbooks.

My Roles: Corporate Account Manager, Management Board, Private Customer Account Manager

News

Count	Category
0	Changed models
0	New models
0	Changed objects
0	New objects
3	New comments

My Tasks

Count	Category
0	Unread
0	System
8	Done

My Processes

Process Name	Status	Actions
CP.01.00 Create new customer	✓	Download, Refresh, Share
CP.01.00.01 Check for connected clients	✓	Download, Refresh, Share
CP.02.01 Create credit application (private customer)	✓	Download, Refresh, Share
CP.02.01 Create credit application (private customer) - Region A	✓	Download, Refresh, Share
CP.02.01.01 Prepare credit request	✓	Download, Refresh, Share

My Company Maps

Map Name	Status	Actions
CP.01 Advise customer	✓	Download, Refresh, Share
CP.02 Financing	✓	Download, Refresh, Share
MP.08 Revision and Audit Management	✓	Download, Refresh, Share
SP.08 Information Technology (IT)	✓	Download, Refresh, Share

My Favourites

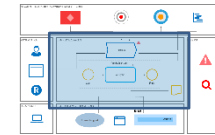
Favourite Name	Status	Count
Business Process Diagram	✓	3
Company Map	✓	0
Working Environment Model	✓	0

Documents in my Processes

Document Name	Actions
Action Plan	Download, Refresh, Share
Application for Authorisation	Download, Refresh, Share
Assessment Guidelines (Finance)	Download, Refresh, Share
Audit Plan	Download, Refresh, Share
Audit Report	Download, Refresh, Share
Capital Requirements Regulation	Download, Refresh, Share

- ✓ My processes at a glance
- ✓ News & Tasks dashboard
- ✓ Overview of all documents in my processes
- ✓ View comments and feedback from colleagues online

Stakeholder: Reader/Employee



The reader chooses its roles

The screenshot displays the ADONIS user interface. At the top, there's a navigation bar with icons for home, folder, and chat. Below it, the 'Read & Explore' section is visible, with a sub-header 'Read processes, explore work instructions and process handbooks.' The 'My Roles' section is highlighted with a red box, showing the user's assigned roles: 'Corporate Account Manager', 'Management Board', and 'Private Customer Account Manager'. Below this, there are several sections: 'News' with counts for 'Changed models', 'New models', 'Changed objects', 'New objects', and 'New comments'; 'My Tasks' with 'Unread' and 'System' counts; 'My Processes' with a list of tasks like 'CP.01.00 Create new customer' and 'CP.02.01 Create credit application'; and 'My Favourites' with items like 'Business Process Diagram' and 'Company Map'. A blue callout box in the bottom right corner contains the text: 'Flexible role assignment' and 'Reduces administration costs'.

My Roles: Corporate Account Manager, Management Board, Private Customer Account Manager

News

Changed models	New models	Changed objects	New objects	New comments
0	0	0	0	3

My Tasks

Unread	System
0	0

My Processes

Process Name	Status	Actions
CP.01.00 Create new customer	✓	Download, Refresh, Share
CP.01.00.01 Check for connected clients	✓	Download, Refresh, Share
CP.02.01 Create credit application (private customer)	✓	Download, Refresh, Share
CP.02.01 Create credit application (private customer) - Region A	✓	Download, Refresh, Share
CP.02.01.01 Prepare credit request	✓	Download, Refresh, Share

My Favourites

- Business Process Diagram
- CP.01.00 Create new customer 1.00
- Company Map
- Process Map ADOMoney Bank 1.00
- Working Environment Model

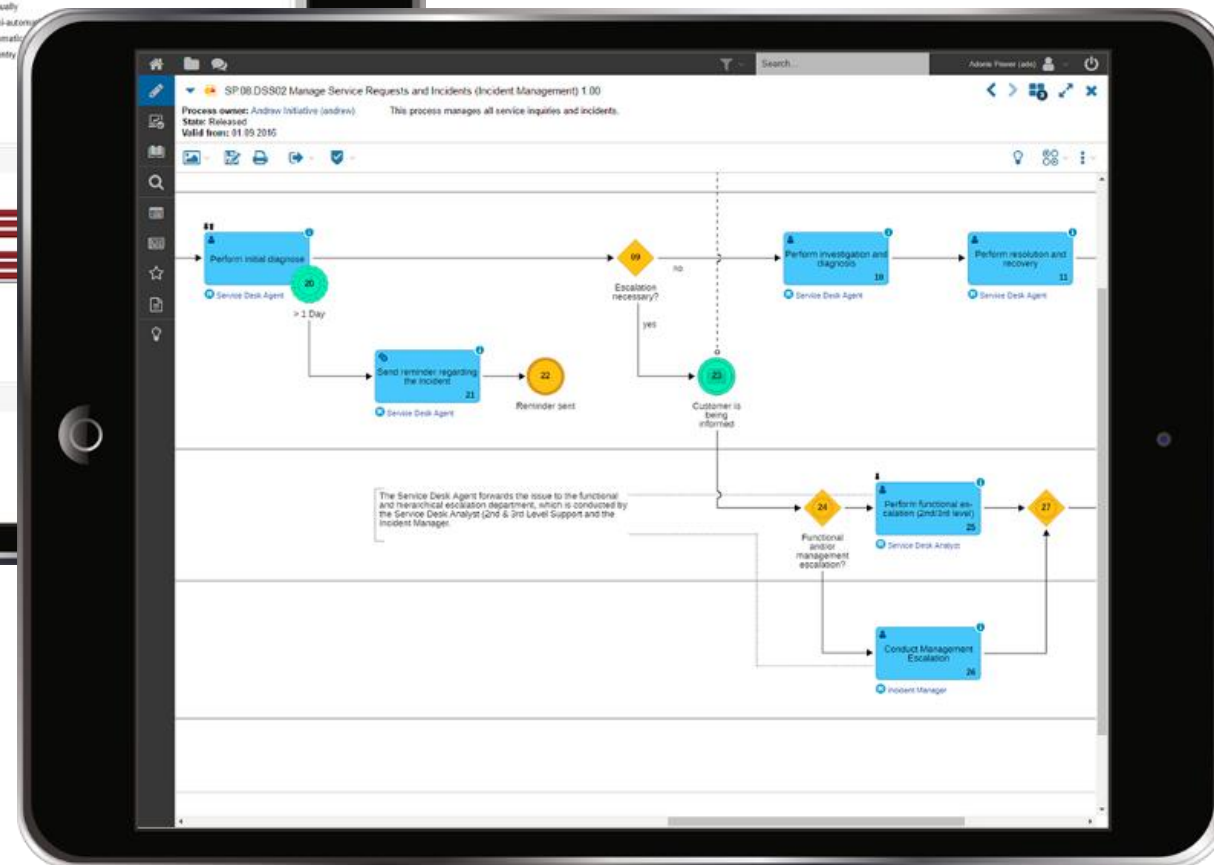
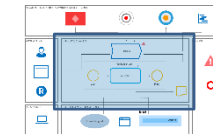
My Company Maps

- CP.01 Advise customer
- CP.02 Financing
- MP.08 Revision and Audit Management

✓ Flexible role assignment
✓ Reduces administration costs

Stakeholder: Reader/Employee

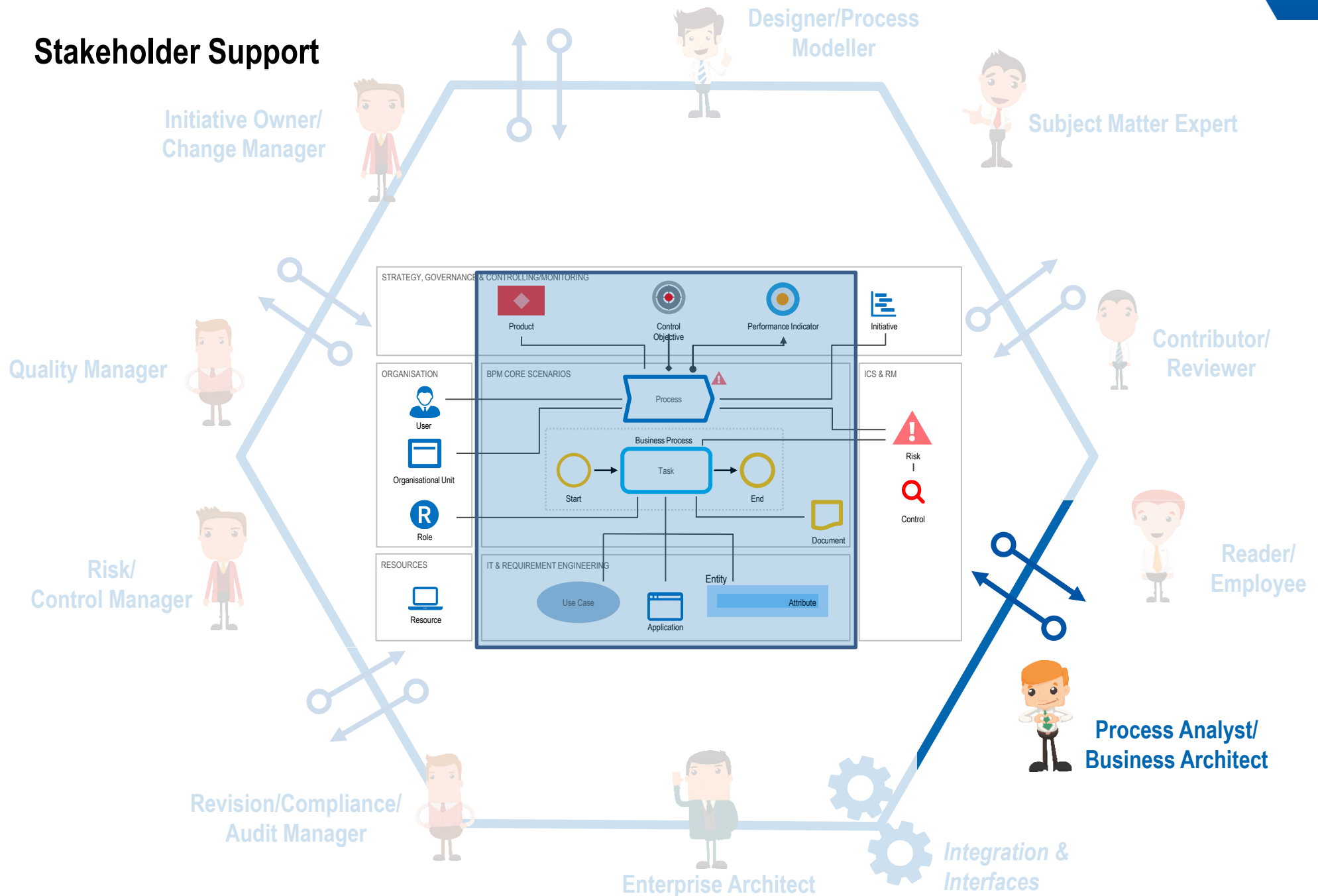
Support of mobile devices (e.g. iPad)



Successful BPM with ADONIS

ADONIS

Stakeholder Support



Stakeholder: Process Analyst/Business Architect



Process Analyst/Business Architect tasks – tool support

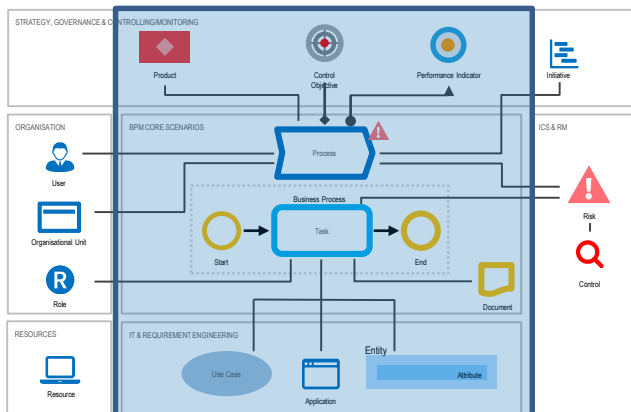


Process Analyst/Business Architect tasks

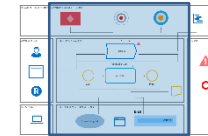
- ▶ Answers to questions such as:
 - ▶ What problem-solving potential lies in our processes?
 - ▶ What roles are involved in these processes?
 - ▶ What level of maturity do our processes have?
- ▶ Suggestions for improving the processes

Support by ADONIS

- ▶ Provision of a wide range of evaluation options for processes, documents, responsibilities, IT systems
- ▶ Definition and management of initiatives for organisational change
- ▶ Export of analytic results and dashboard content for presentations and advanced data analysis



Stakeholder: Process Analyst/Business Architect



Analyse and evaluate central data

Process Owner dashboard

Validity of my processes

Status of my KPI's

✓ Process Owner dashboard

Model states

Open questions

KPI Overview

KPIs (My)

Type	Name ↑	State	Open quest...	Valid from	Valid until	Prolongation
Business Process Diagram						
CP.01.00	Create new customer 2.00	✓	0	10.05.2017	10.05.2018	
CP.01.00.01	Check for connected clients 1....	✓	0	01.01.2016	01.01.2017	Overdue
CP.02.01	Create credit application (private c...	✓	0	01.01.2016	01.01.2017	Overdue
CP.02.01	Create credit application (private c...	✓	0	01.04.2016	01.04.2017	Overdue
CP.02.01.01	Prepare credit request 1.00	✓	0	01.01.2016	01.01.2017	Overdue
Company Map						
CP.01	Advise customer 1.00	✓	0	01.09.2016	01.09.2017	Due
CP.01	Advise customer 1.01	✓	0	---	---	
CP.02	Financing 1.00	✓	0	01.09.2016	01.09.2017	Due

Model states

Open questions

KPI Overview

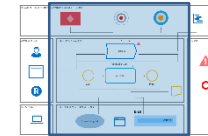
KPIs (My)

Type	Name ↑	Data Actuality	Reports
Control			
Prepare loan request		●	
Quarterly check of credit grants		●	
Control Objective			
Customer-oriented processes (ISO 9000)		●	
Quality policy (ISO 9000)		●	
Initiative			
Build customer contact			
Identify sales partner in			

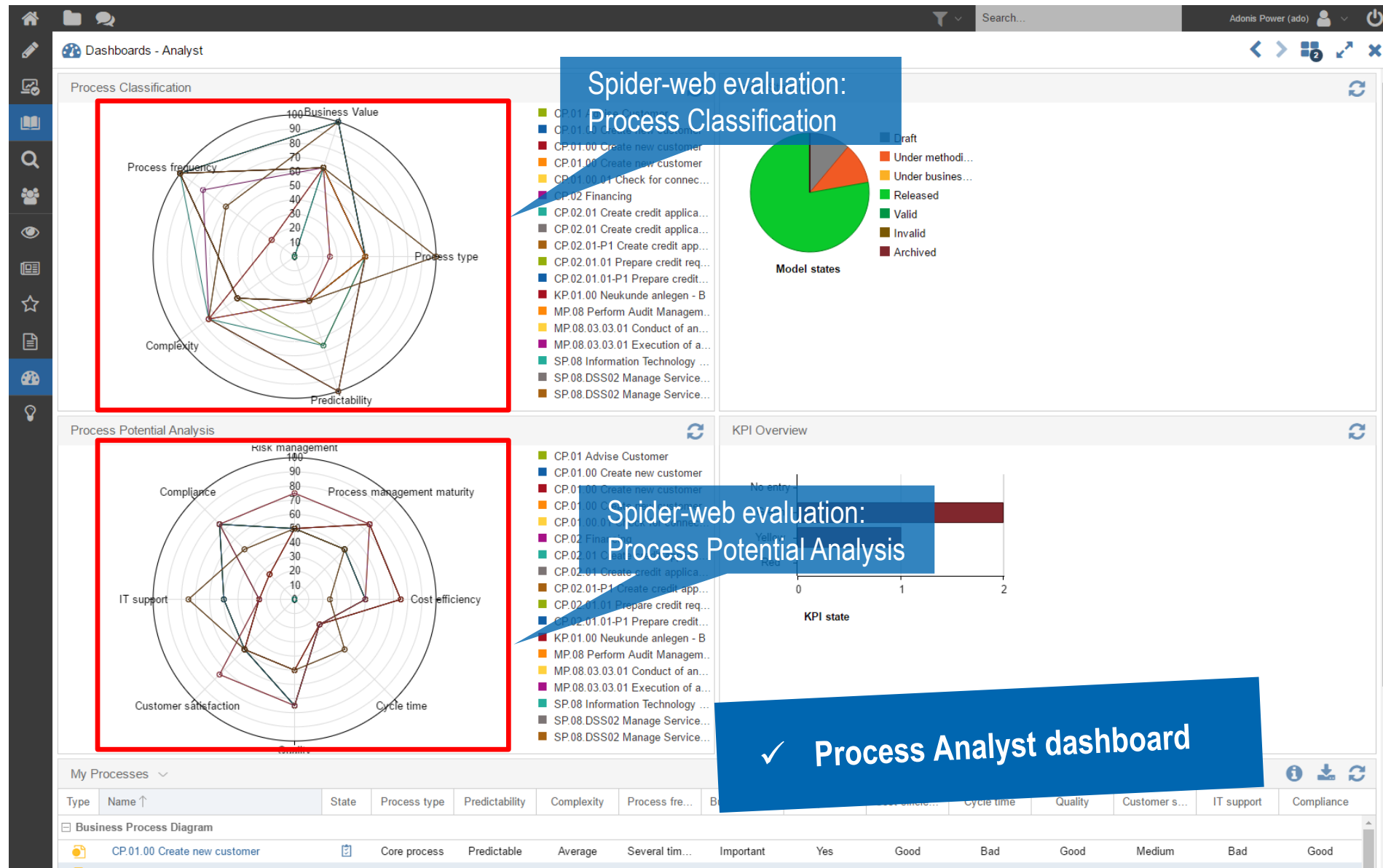
KPI state

State	Limit type	Current value	Target value	Value history	Reports
●	Less is better	32	30	[1]	
●	Two-sided	44	50	[2]	

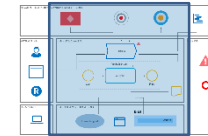
Stakeholder: Process Analyst/Business Architect



Analyse and evaluate your data



Stakeholder: Process Analyst/Business Architect



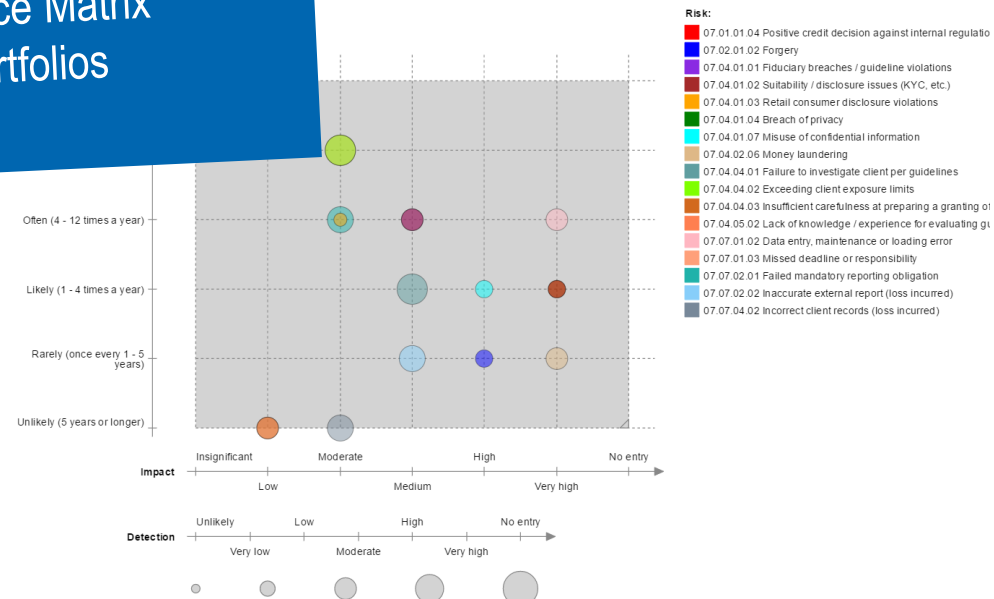
Comprehensive reports and graphical analyses

	Conduct risk examination	Control and authorization by the s...	Examination by internal revision	Examination of an employee with the...	Fulfill the requests by performing the selec...	Gather information	Identify information stakeholders and their...	Instruct experts opinion	Obtain financial and functional approval	Prepare loan request
CP01.00 Create new customer	04 (28.6%) 07.04.02.06 Money laundering 48 (16.3%) 07.04.04.02 Exceeding client exp.	04 (28.6%) 07.04.02.06 Money laundering	48 (16.3%) 07.04.04.02 Exceeding client exp.		04 (28.6%) 07.04.04.02 Exceeding client exp.	48 (16.3%) 07.04.04.02 Exceeding client exp.	140 (47.6%) 07.07.01.02 Data entry, maintenance or... 07.02.01.02 Forgery	06 (36.8%) 07.04.04.01 Failure to investigate client per...	48 (13.6%) 07.04.01.02 Substantive / disclosure issues (K...	100 (34.6%) 07.04.01.02 Substantive / disclosure issues (K...
CP01.00.01 Check for connected Clients	48 (16.3%) 07.04.04.02 Exceeding client exp.		48 (16.3%) 07.04.04.02 Exceeding client exp.		48 (16.3%) 07.04.04.02 Exceeding client exp.					
CP02.01-P1 Create credit application (private customer)	45 (15.3%) 07.07.02.02 Inaccurate external r...	126 (40.6%) 07.04.01.03 Retail consumer disclosure 140 (47.6%) 07.04.01.04 Breach of privacy 45 (15.3%) 07.07.02.02 Inaccurate external r...	45 (15.3%) 07.07.02.02 Inaccurate external r...	140 (47.6%) 07.01.01.04 Positive credit decision again...	140 (47.6%) 07.07.01.02 Data entry, maintenance or...	06 (36.8%) 07.02.01.02 Forgery	48 (13.6%) 07.04.04.01 Failure to investigate client per...	100 (34.6%) 07.04.01.02 Substantive / disclosure issues (K...	24 (8.2%) 07.04.04.03 Insufficient carefullness	24 (8.2%) 07.04.04.03 Insufficient carefullness
CP02.01.01-P1 Prepare credit request		126 (40.6%) 07.04.01.03 Retail consumer disclosure 140 (47.6%) 07.04.01.04 Breach of privacy 126 (40.6%) 07.04.01.07 Misuse of confidential informati...	126 (40.6%) 07.04.01.07 Misuse of confidential informati...	140 (47.6%) 07.01.01.04 Positive credit decision again...		06 (36.8%) 07.02.01.02 Forgery				

	Customer	Incident Manager	IT Operator	Major Incident Team	Request Management Team	Service Desk Agent	Service Desk Analyst
Customer							
Incident Manager							
IT Operator							
Major Incident Team							
Request Management Team							
Service Desk Agent							
Service Desk Analyst							

- ✓ Risk Heat Map
- ✓ RACI Matrix
- ✓ Compliance Matrix
- ✓ FMEA Portfolios
- ✓ etc...

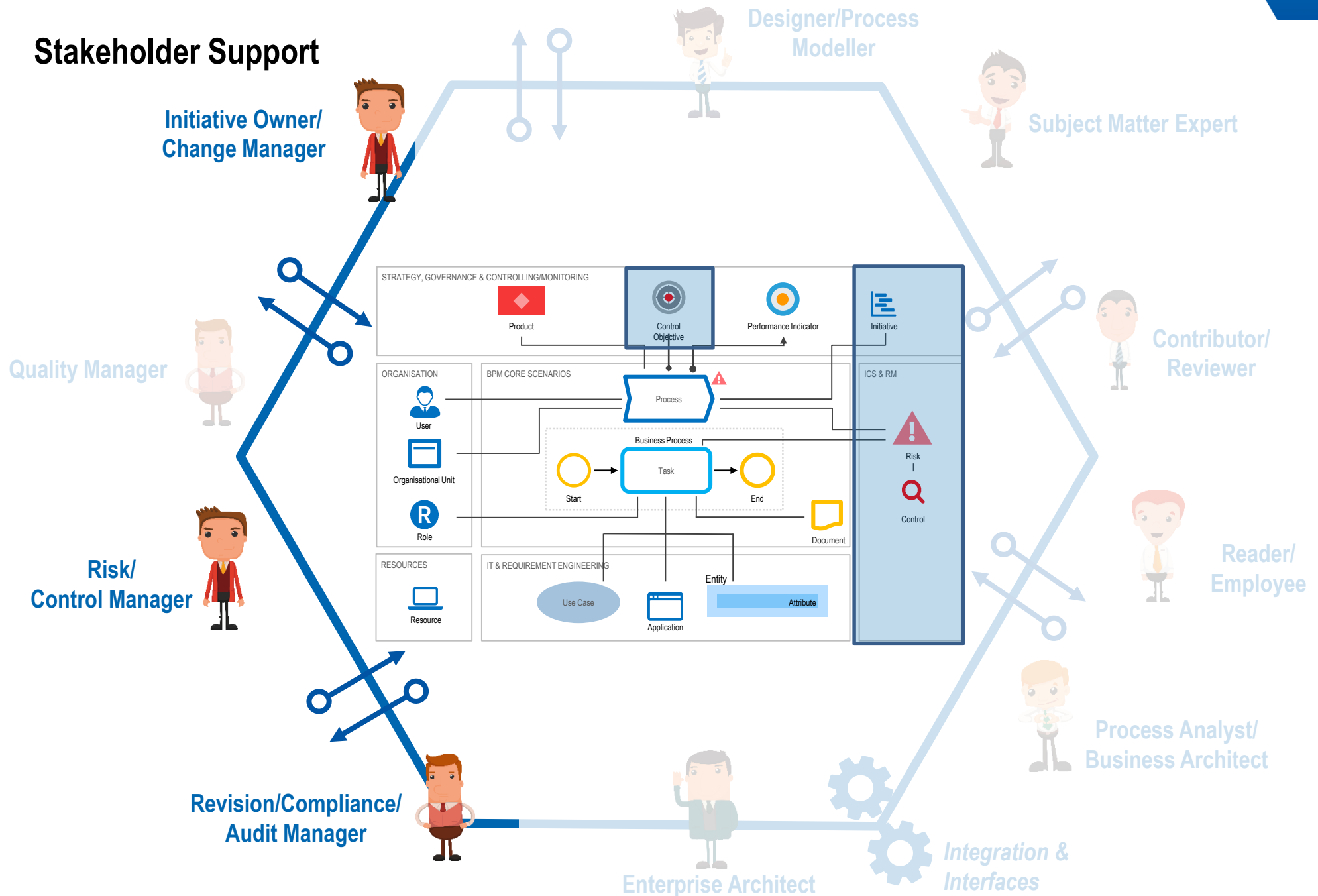
	Compliance with KYC requirements (Money Laundering)	Customer orientation (ISO 9000)	Effectiveness of the ICS	Efficiency of the ICS	Ensuring Account
Partner System (PAS)	IM IMDQ				
CP01.00 Create new customer	IM IMDQ	IMD			
MP01 Manage Strategy					
MP05 Manage Investment Portfolio					IMD IMD
MP07 Manage Risks			IMDQ IMDQ	IMD IMDQ	
MP09 Conduct HSEQ Management					
SP06 Accounting					IMDQ IMDQ
SP07 Human Resource Management					IMD IMDQ
SP08 AP006 Manage Budget and Costs					IMDQ IMD
SP08 AP012 Manage Risk					IMDQ IMDQ
SP08 DSS03 Manage Problems					



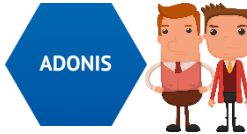
Successful BPM with ADONIS

ADONIS

Stakeholder Support



Stakeholder for advanced BPM scenarios



Other stakeholder tasks – tool support

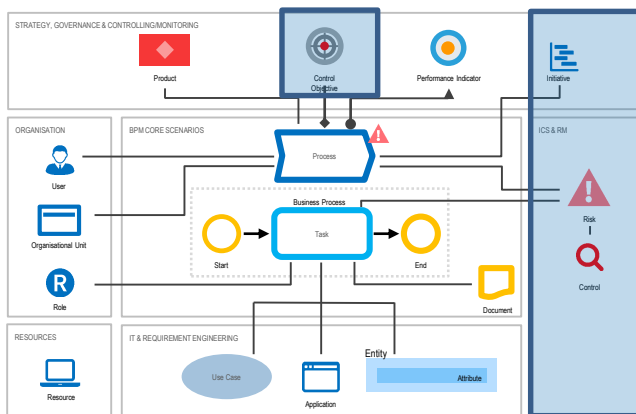


Other stakeholder tasks

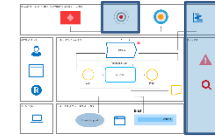
- ▶ Capture of risk and control master data
- ▶ Check whether there are adequate controls for risks
- ▶ Definition of specific initiatives for the company based on assigned control objectives

Support by ADONIS

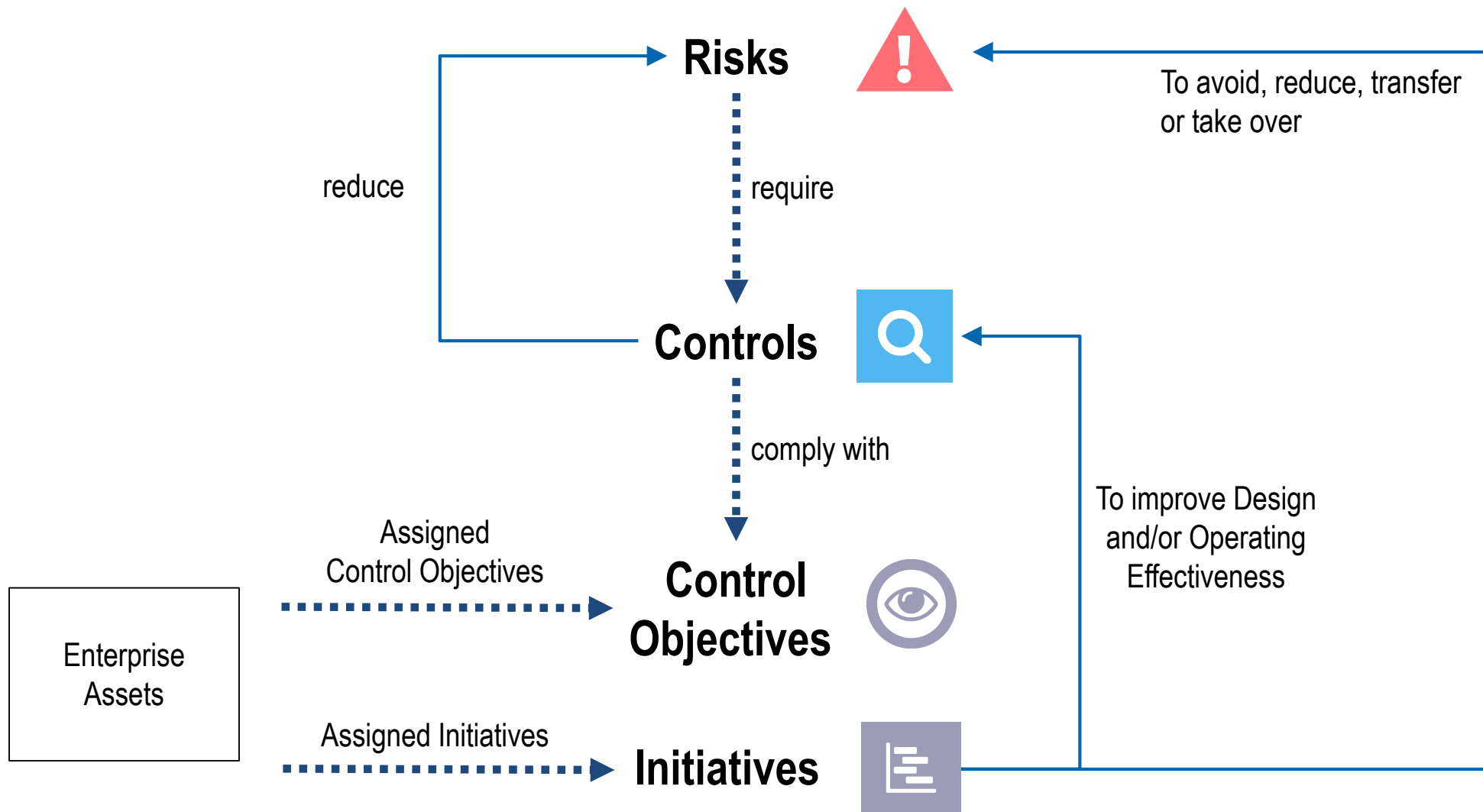
- ▶ User-specific dashboards for risks, initiatives and compliance
- ▶ Representation of risks in process diagrams
- ▶ Linking processes with risks, risks with controls and control objectives with initiatives



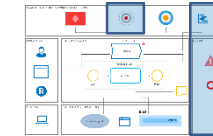
Advanced BPM scenarios



Inerplay between Risks, Controls, Control Objectives and Initiatives



Stakeholder: Risk/Control Manager



Tabular capture of the risks' master data

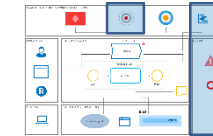
Search...

Risk master data

*	Type	Name	Risk responsibility	Required controls	Risk Group	Responsible person
1	▲	07.01.01.04 Positive credit decision against internal regulations	[1] Fraud Manager	[2] Examination of an employee with the same role , Quart...	No entry	[1] Peter Risk (peter)
2	▲	07.02.01.02 Forgery	[1] Fraud Manager	[1] Instruct experts opinion	[1] 07.02.01 Theft and Fraud	[1] Peter Risk (peter)
3	▲	07.04.01.01 Fiduciary breaches / guideline violations	[1] Compliance Officer	[3] Examination of an employee with the same role , Samp...	[1] 07.04.01 Suitability, Disclosure & F...	[1] Peter Risk (peter)
4	▲	07.04.01.02 Suitability / disclosure issues (KYC, etc.)	[1] Compliance Officer	[3] Prepare loan request , Quarterly check of credit grants ,...	[1] 07.04.01 Suitability, Disclosure & F...	[1] Peter Risk (peter)
5	▲	07.04.01.03 Retail consumer disclosure violations	[1] Head of Market Service	[2] Control and authorization by the supervisor , Use of inte...	[1] 07.04.01 Suitability, Disclosure & F...	[1] Peter Risk (peter)
6	▲	07.04.01.04 Breach of privacy	[1] Compliance Officer	[2] Control and authorization by the supervisor , Use of inte...	[1] 07.04.01 Suitability, Disclosure & F...	[1] Peter Risk (peter)
7	▲	07.04.01.07 Misuse of confidential information	[1] Fraud Manager	[2] Control and authorization by the supervisor , Examinati...	[1] 07.04.01 Suitability, Disclosure & F...	[1] Peter Risk (peter)
8	▲	07.04.02.06 Money laundering	[1] Anti-money laundering Officer	[4] Conduct risk examination , Control and authorization by ...	[1] 07.04.02 Improper Business or Ma...	[1] Peter Risk (peter)
9	▲	07.04.04.01 Failure to investigate client per guidelines	[1] Compliance Officer	[2] Obtain financial and functional approval , Produce and d...	[1] 07.04.04 Selection, Sponsorship & ...	[1] Peter Risk (peter)
10	▲	07.04.04.02 Exceeding client exposure limits	[1] Head of Market Service	[4] Conduct risk examination , Examination by internal revi...	[1] 07.04.04 Selection, Sponsorship & ...	[1] Peter Risk (peter)
11	▲	07.04.04.03 Insufficient carefulness at preparing a granting of a credit	[1] Credit Risk Manager (operative)	[2] Instruct experts opinion , Prepare loan request	No entry	[1] Peter Risk (peter)
12	▲	07.04.05.02 Lack of knowledge / experience for evaluating guarantees	[1] Head of Organisational Unit	[1] Quarterly check of credit grants	No entry	[1] Peter Risk (peter)
13	▲	07.07.01.02 Data entry, maintenance or loading error	[1] Head of Market Service	[1] Identify information stakeholders and their needs	[1] 07.07.01 Transaction Capture, Exe...	[1] Peter Risk (peter)
14	▲	07.07.01.03 Missed deadline or responsibility	[1] Branch Manager	[2] Conduct risk examination , Control and authorization by ...	[1] 07.07.01 Transaction Capture, Exe...	[1] Peter Risk (peter)
15	▲	07.07.02.01 Failed mandatory reporting obligation	[1] Compliance Officer	[3] Examination by internal revision , Examination of an em...	[1] 07.07.02 Monitoring and Reporting	[1] Peter Risk (peter)
16	▲	07.07.02.02 Inaccurate external report (loss incurred)	[1] Audit Manager	[3] Conduct risk examination , Control and authorization by ...	[1] 07.07.02 Monitoring and Reporting	[1] Peter Risk (peter)
17	▲	07.07.04.02 Incorrect client records (loss incurred)	[1] Head of Market Service	[3] Control and authorization by the supervisor , Examinati...	[1] 07.07.04 Customer / Client Accoun...	[1] Peter Risk (peter)

- ✓ Documentation of risks in tables
- ✓ Assignment of responsibilities, controls and risk groups from the repository (master data)
- ✓ Development of a structured risk catalogue

Stakeholder: Risk/Control Manager



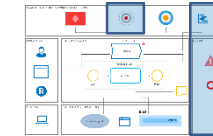
Assessing the relevant risks

Assessment of Risks

	Type	Name	Required controls	Responsible person	Likelihood	Impact	Detection	Value at risk
1	▲	07.01.01.04 Positive credit decision against internal regulations	[2] Examination of an employee with the same role , Quart...	[1] Peter Risk (peter)	Likely (1 - 4 times a year)	Very high	Low	140
2	▲	07.02.01.02 Forgery	[1] Instruct experts opinion	[1] Peter Risk (peter)	Rarely (once every 1 - 5 years)	High	Low	90
3	▲	07.04.01.01 Fiduciary breaches / guideline violations	[3] Examination of an employee with the same role , Samp...	[1] Peter Risk (peter)	Often (4 - 12 times a year)	Medium	Moderate	100
4	▲	07.04.01.02 Suitability / disclosure issues (KYC, etc.)	[3] Prepare loan request , Quarterly check of credit grants , ...	[1] Peter Risk (peter)	Often (4 - 12 times a year)	Medium	Moderate	100
5	▲	07.04.01.03 Retail consumer disclosure violations	[2] Control and authorization by the supervisor , Use of inte...	[1] Peter Risk (peter)	Often (4 - 12 times a year)	Moderate	Very low	120
6	▲	07.04.01.04 Breach of privacy	[2] Control and authorization by the supervisor , Use of inte...	[1] Peter Risk (peter)	Likely (1 - 4 times a year)	Very high	Low	140
7	▲	07.04.01.07 Misuse of confidential information	[2] Control and authorization by the supervisor , Examinatio...	[1] Peter Risk (peter)	Likely (1 - 4 times a year)	High	Low	120
8	▲	07.04.02.06 Money laundering	[4] Conduct risk examination , Control and authorization by...	[1] Peter Risk (peter)	Rarely (once every 1 - 5 years)	Very high	Moderate	84
9	▲	07.04.04.01 Failure to investigate client per guidelines	[2] Obtain financial and functional approval , Produce and d...	[1] Peter Risk (peter)	Likely (1 - 4 times a year)	Medium	Very high	40
10	▲	07.04.04.02 Exceeding client exposure limits	[4] Conduct risk examination , Examination by internal revi...	[1] Peter Risk (peter)	Continuously (at least once per month)	Moderate	Very high	48
11	▲	07.04.04.03 Insufficient carefulness at preparing a granting of a credit	[2] Instruct experts opinion , Prepare loan request	[1] Peter Risk (peter)	Unlikely (5 years or longer)	Low	Moderate	24
12	▲	07.04.05.02 Lack of knowledge / experience for evaluating guarantees	[1] Quarterly check of credit grants	[1] Peter Risk (peter)	Unlikely (5 years or longer)	Low	Moderate	24
13	▲	07.07.01.02 Data entry, maintenance or loading error	[1] Identify information stakeholders and their needs	[1] Peter Risk (peter)	Often (4 - 12 times a year)	Very high	Moderate	140
14	▲	07.07.01.03 Missed deadline or responsibility	[2] Conduct risk examination , Control and authorization by...	[1] Peter Risk (peter)	Continuously (at least once per month)	Moderate	Very high	48
15	▲	07.07.02.01 Failed mandatory reporting obligation	[3] Examination by internal revision , Examination of an em...	[1] Peter Risk (peter)	Often (4 - 12 times a year)	Moderate	High	60
16	▲	07.07.02.02 Inaccurate external report (loss incurred)	[3] Conduct risk examination , Control and authorization by...	[1] Peter Risk (peter)	Rarely (once every 1 - 5 years)	Medium	High	45
17	▲	07.07.04.02 Incorrect client records (loss incurred)	[3] Control and authorization by the supervisor , Examinatio...	[1] Peter Risk (peter)	Unlikely (5 years or longer)	Moderate	High	24

- ✓ Direct assessment in the table
- ✓ Assessment of the likelihood, the impact and detection of the risks
- ✓ Automatic calculation of **Value at risk** as a result

Stakeholder: Risk/Control Manager



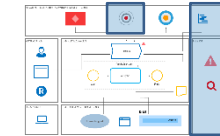
Tabular capture of the control's master data

Control master data

	Type	Name	Responsible for controls	Control method	Control execution	Frequency of control execution	Referenced IT system elements	Dedicated control process
1		Conduct risk examination	[1] Credit Risk Manager (operative)	Manually	Preventive	Yearly	[1] Internal Control System (ADO...	No entry
2		Control and authorization by the supervisor	[1] Head of Market Service	Manually	Preventive	Event-driven	[1] Internal Control System (ADO...	No entry
3		Examination by internal revision	[1] Head of Group Auditing	Manually	Preventive	Yearly	[2] Audit Documentation System...	No entry
4		Examination of an employee with the same role	[1] Private Customer Account Manager	Manually	Preventive	Quarterly	No entry	[1] CP.02.01 Create credit...
5		Gather information	[1] Private Customer Account Manager	Manually	Preventive	Quarterly	[4] Business Partner , Credit Man...	[1] CP.01.00 Create new c...
6		Identify information stakeholders and their needs	[1] Branch Manager	Semi-automatic...	Preventive	Yearly	No entry	No entry
7		Instruct experts opinion	[1] Head of Group Auditing	Manually	Preventive	Quarterly	[1] Audit Documentation System...	[1] CP.02.01 Create credit...
8		Prepare loan request	[1] Private Customer Account Manager	Manually	Preventive	Daily	[3] Business Partner , Credit Man...	[1] CP.02.01.01 Prepare c...
9		Produce and distribute timely reports	[1] Branch Manager	Automatically	Detective	Daily	[2] Audit Documentation System...	No entry
10		Quarterly check of credit grants	[1] Credit Risk Manager (operative)	Semi-automatic...	Detective	Quarterly	[1] Anti Fraud Management Syst...	[1] CP.02.01.01 Prepare c...
11		Sampling inspection	[1] Branch Manager	Manually	Detective	Quarterly	[1] Internal Control System (ADO...	No entry
12		Use of internal guidelines	[1] Corporate Account Manager	Manually	Preventive	Permanent	[2] Business Partner , Internal Co...	No entry

- ✓ Document directly in tables
- ✓ Assign persons responsible and IT systems for controls
- ✓ Documentation of control method, frequency and execution

Stakeholder: Risk/Control Manager



Assessing the relevant controls

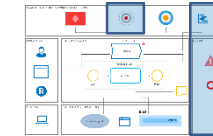
[12] Identify information stakeholders and their needs , Produce and distribute timely reports , Sampling inspection , Use of internal guidelines , Conduct risk examination , Quarterly check of credit grants , Examinat...					
	Type	Name	Design Effectiveness	Operating Effectiveness	Documentation of the control
1		Conduct risk examination	Yellow	Satisfying	adequate
2		Control and authorization by the supervisor	Green	Satisfying	adequate
3		Examination by internal revision	Red	Satisfying	inexistent
4		Examination of an employee with the same role	Yellow	Low deficiency	inexistent
5		Gather information	Red	Low deficiency	inexistent
6		Identify information stakeholders and their needs	Yellow	Significant deficiency	inexistent
7		Instruct experts opinion	Yellow	Satisfying	adequate
8		Prepare loan request	Green	Satisfying	adequate
9		Produce and distribute timely reports	Green	Critical weakness	inexistent
10		Quarterly check of credit grants	Red	Significant deficiency	inadequate
11		Sampling inspection	Green	Critical weakness	inexistent
12		Use of internal guidelines	Green	Satisfying	adequate

Assessment of Controls

Assessment of the controls according to

- ✓ Design Effectiveness
- ✓ Operating Effectiveness
- ✓ Documentation of controls

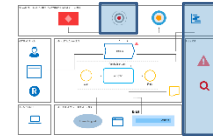
Stakeholder: Risk/Control Manager



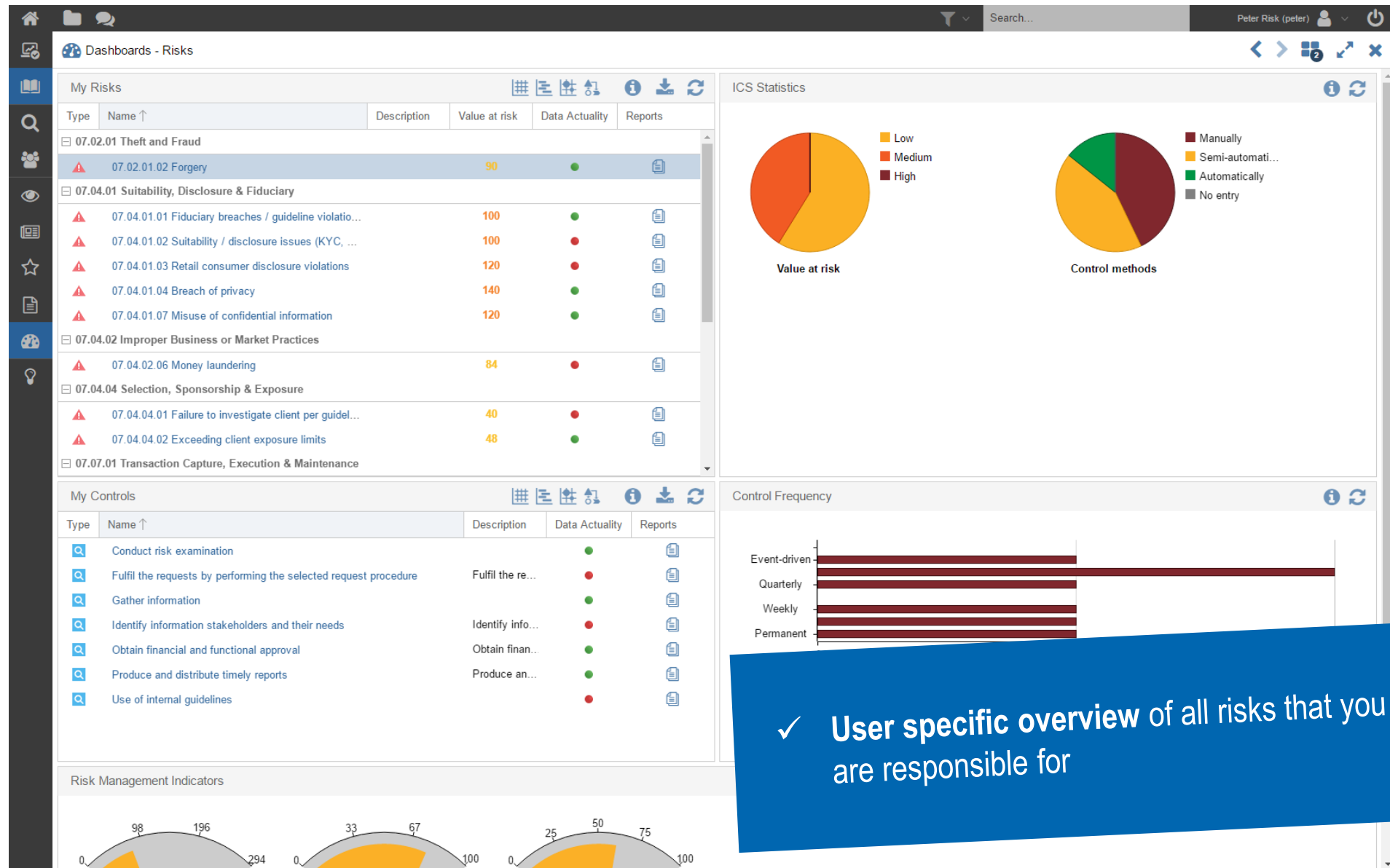
Example of Risk Analysis: FMEA Portfolio



Stakeholder: Risk/Control Manager

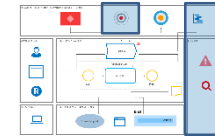


Risk management dashboard

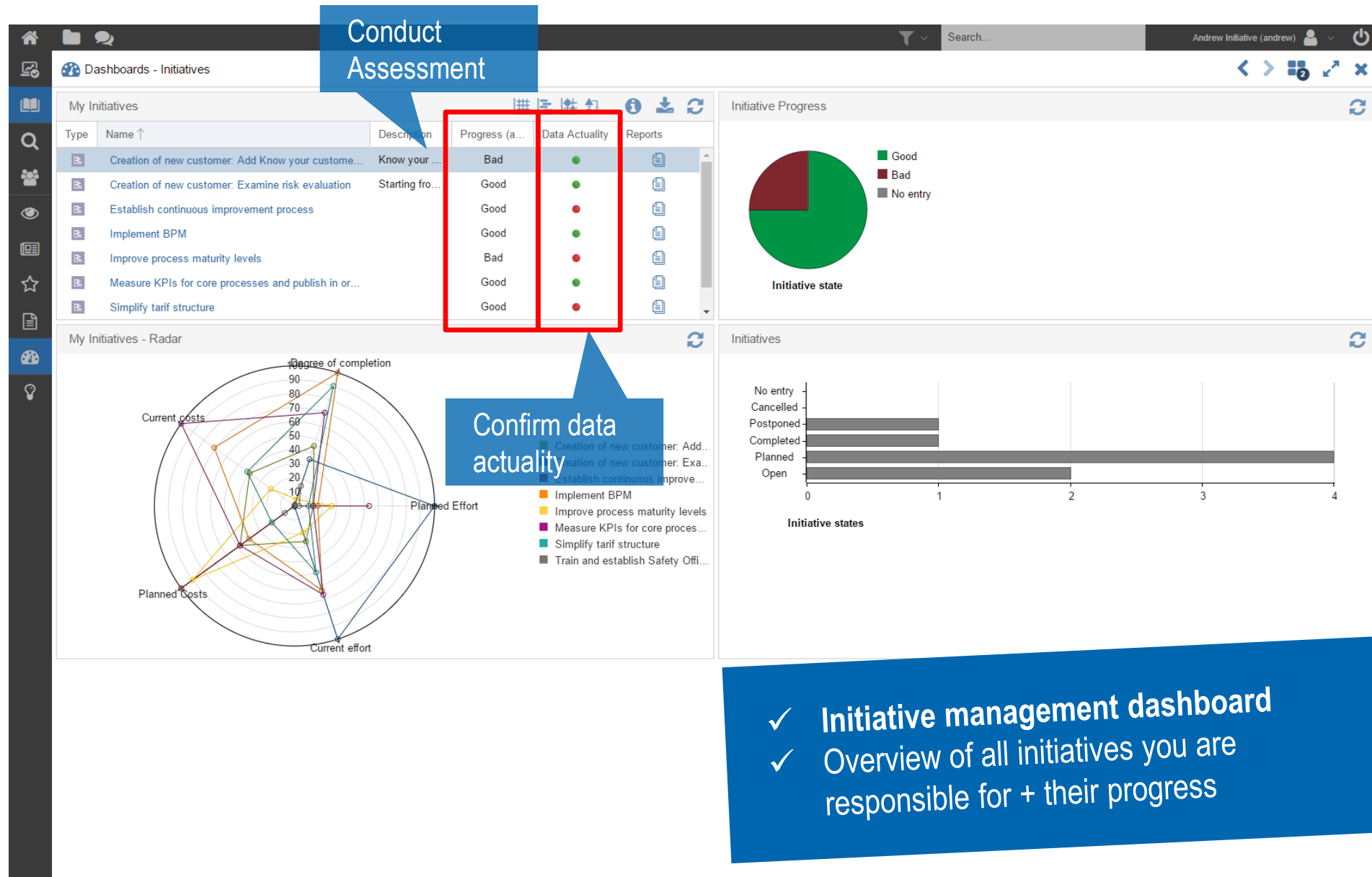


✓ User specific overview of all risks that you are responsible for

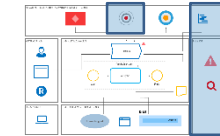
Stakeholder: Initiative Owner/Change Manager



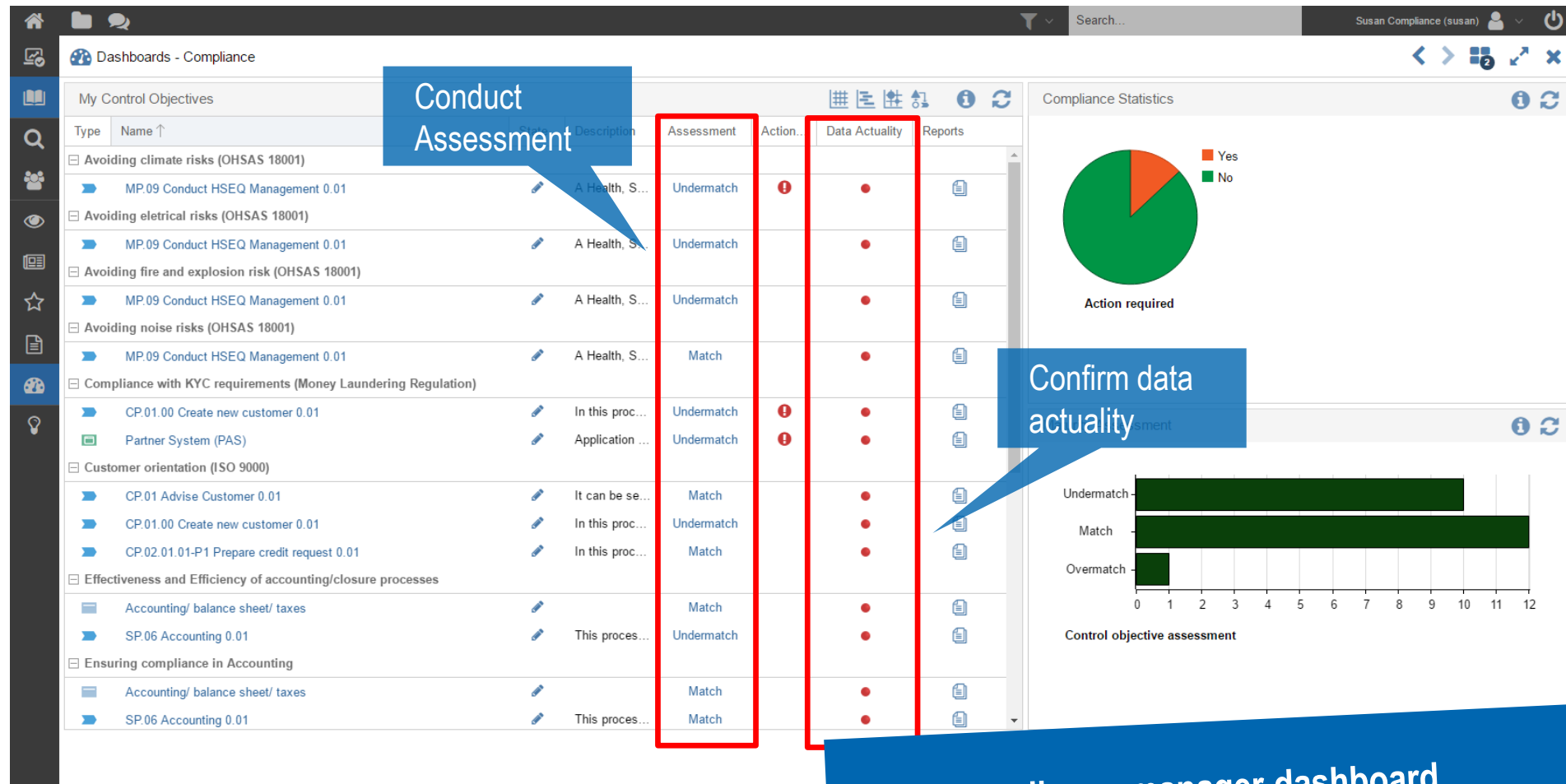
Analysis and assessment of current initiatives



Stakeholder: Revision/Compliance/Audit Manager



Analysis and assessment of control objectives



- ✓ Compliance manager dashboard
- ✓ Overview of all control objectives and concerned corporate artefacts

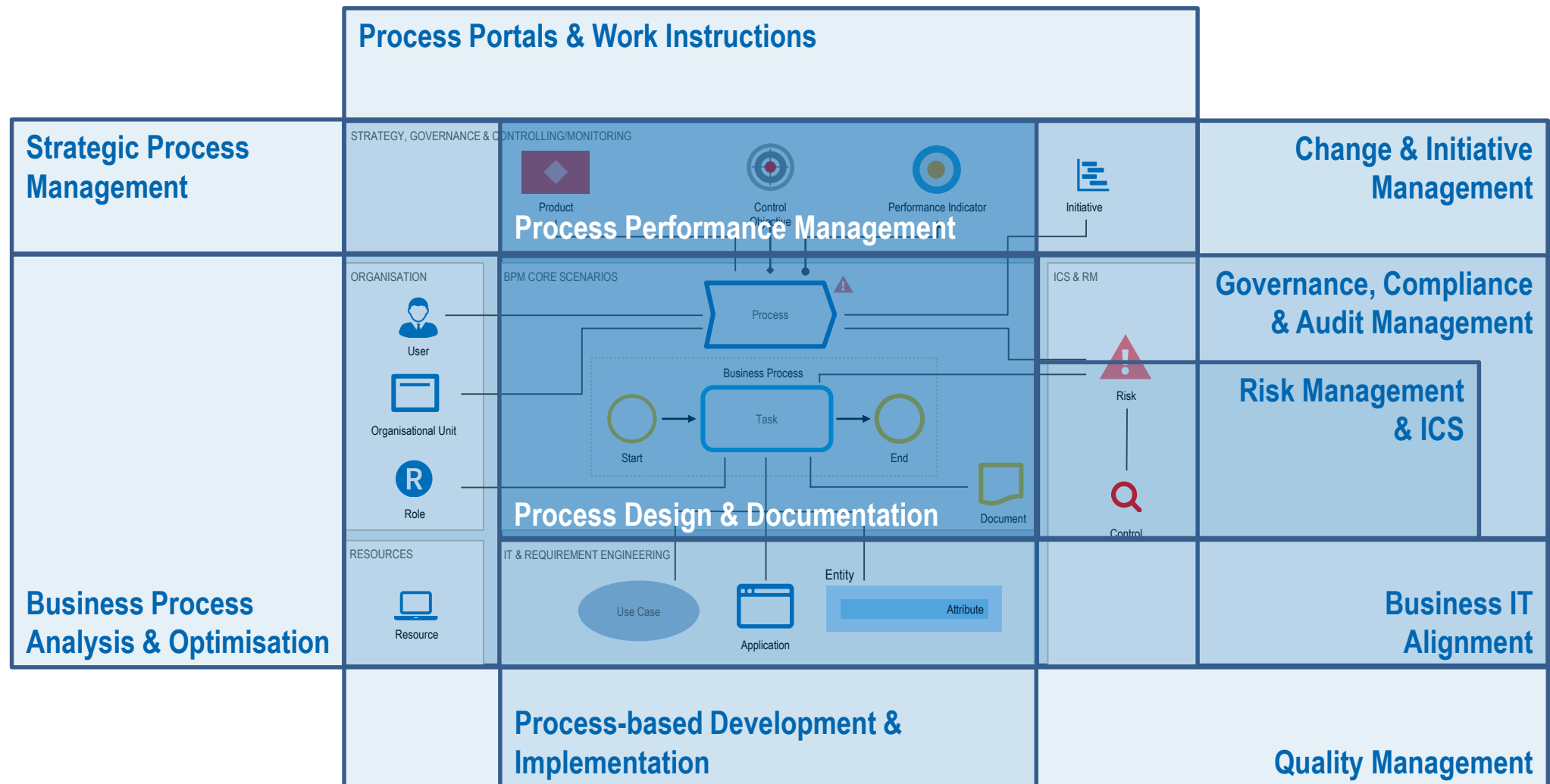


- I. Successful Business Process Management with ADONIS
- II. Tool Feature Demonstration
- III. Typical Questions in Business Process Management**
- IV. Reference Models
- V. Summary

Successful BPM with ADONIS

ADONIS

Scenarios





- I. Successful Business Process Management with ADONIS
- II. Tool Feature Demonstration
- III. Typical Questions in Business Process Management
- IV. Reference Models**
- V. Summary

Meaning and purpose of Reference Models

Overview

Start of a structured
process management with
ADONIS
("new customers")

- ▶ Already **pre-filled ADONIS database** allows fast and structured deployment
- ▶ **Mapping** of the corporate business model with the BOC reference process map
- ▶ **Selection and prioritisation** of the most important processes
- ▶ **Quick and guided start** of process documentation (specifications, role models, etc.)

Increase the maturity level
of process management
with ADONIS
("existing Customers")

Use of the Reference Model for

- ▶ **Completion check** of existing modeling
- ▶ **Functional alignment**
- ▶ **Consistency check** and modeling guidelines

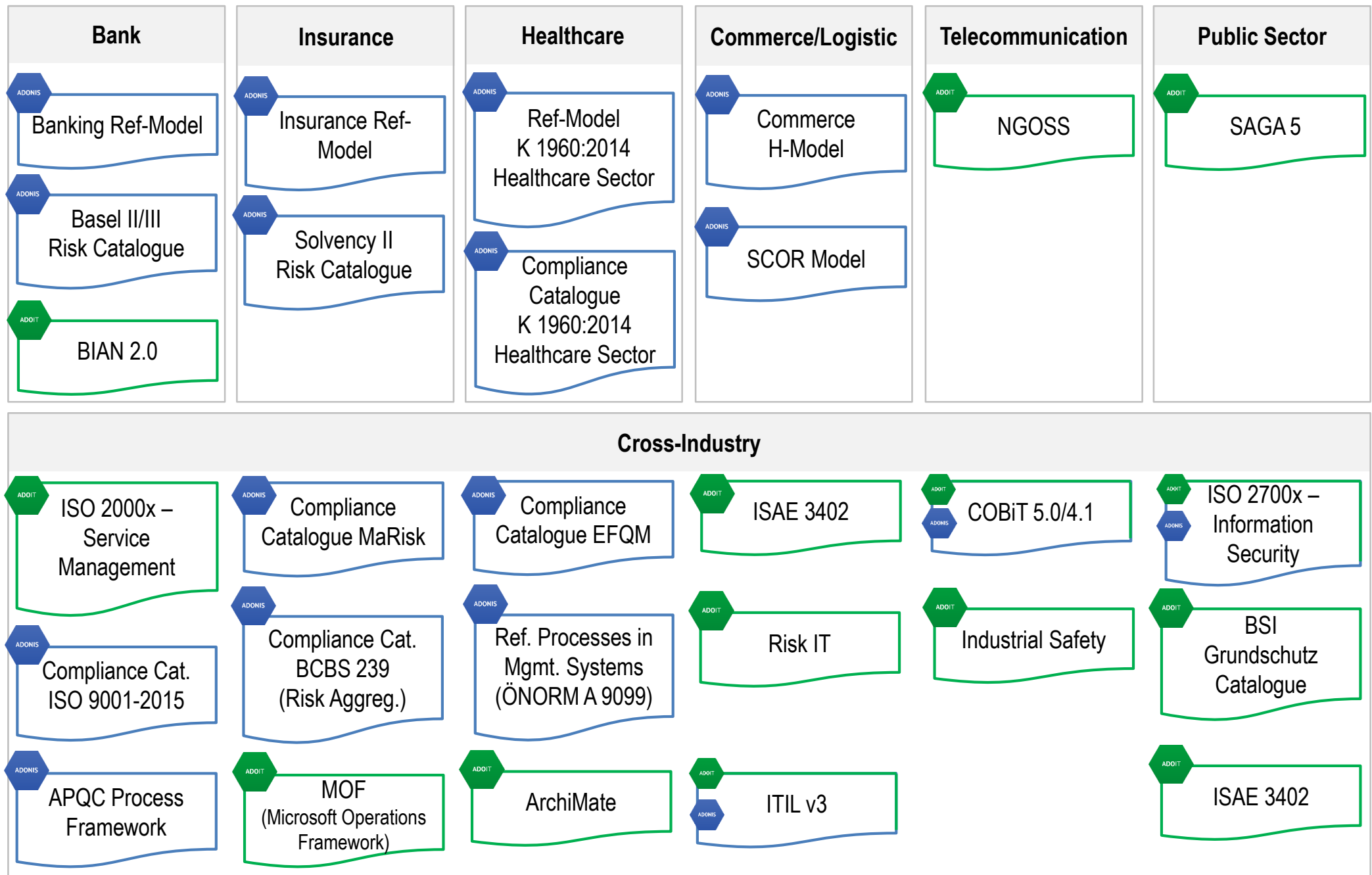
Extension and **quality improvement of the documentation**

- ▶ Risk Catalogues
- ▶ Organisational Charts and Roles, Documents

What are the benefits of using the reference models in your company?

BOC Reference Models and Frameworks

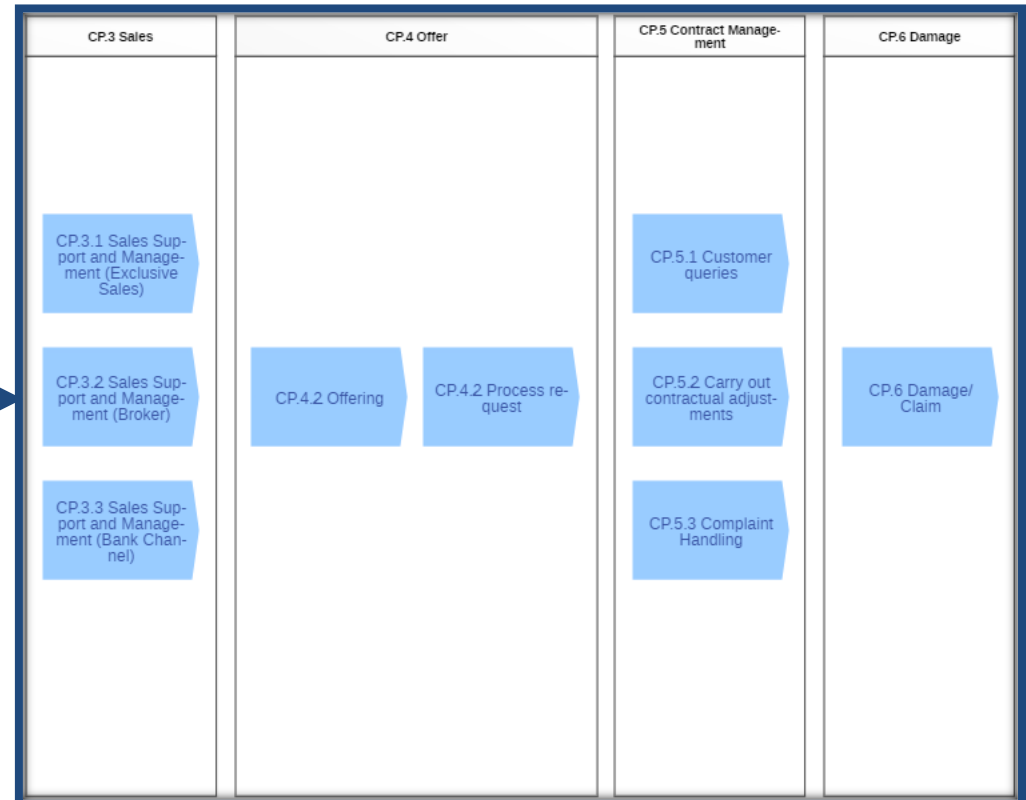
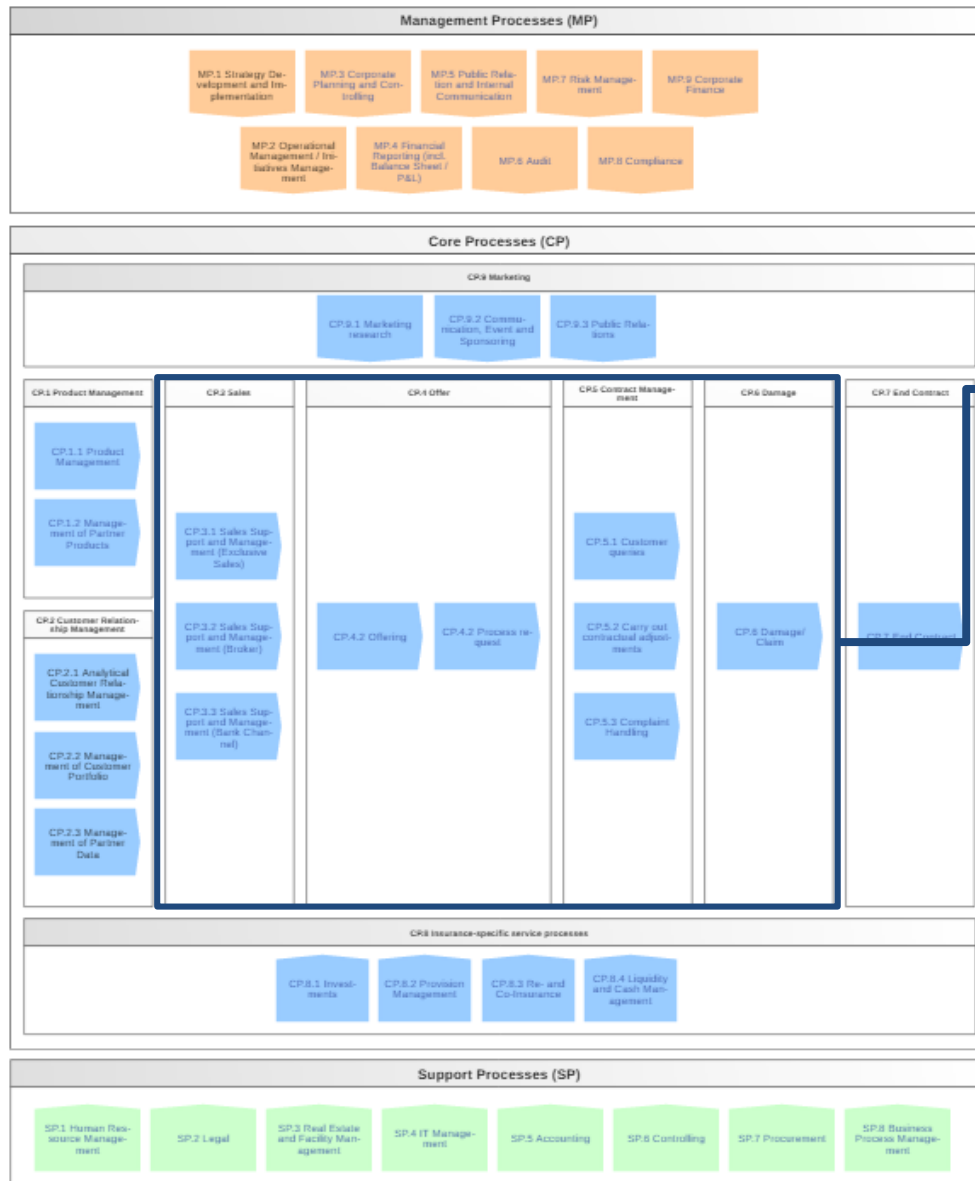
ADONIS



Reference Company Map: Insurance

ADONIS

First level of Company Map

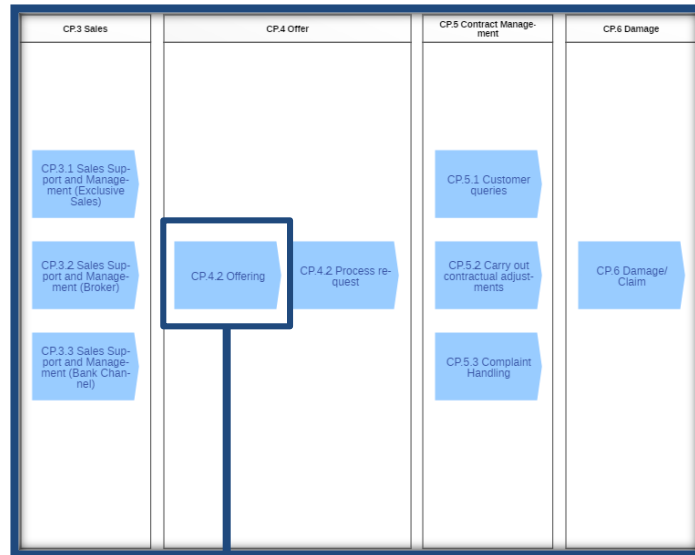


- Presentation of all the main process types of an insurance company (**40 process groups**)
- Structured in **Core, Mgmt.- and Supportprocesses**
- The value chain and life cycle of an insurance contract

Reference Company Map: Insurance

ADONIS

Other levels of Company Map



- Presentation of the value chain at the 2nd level according to 2 dimensions/determinants:

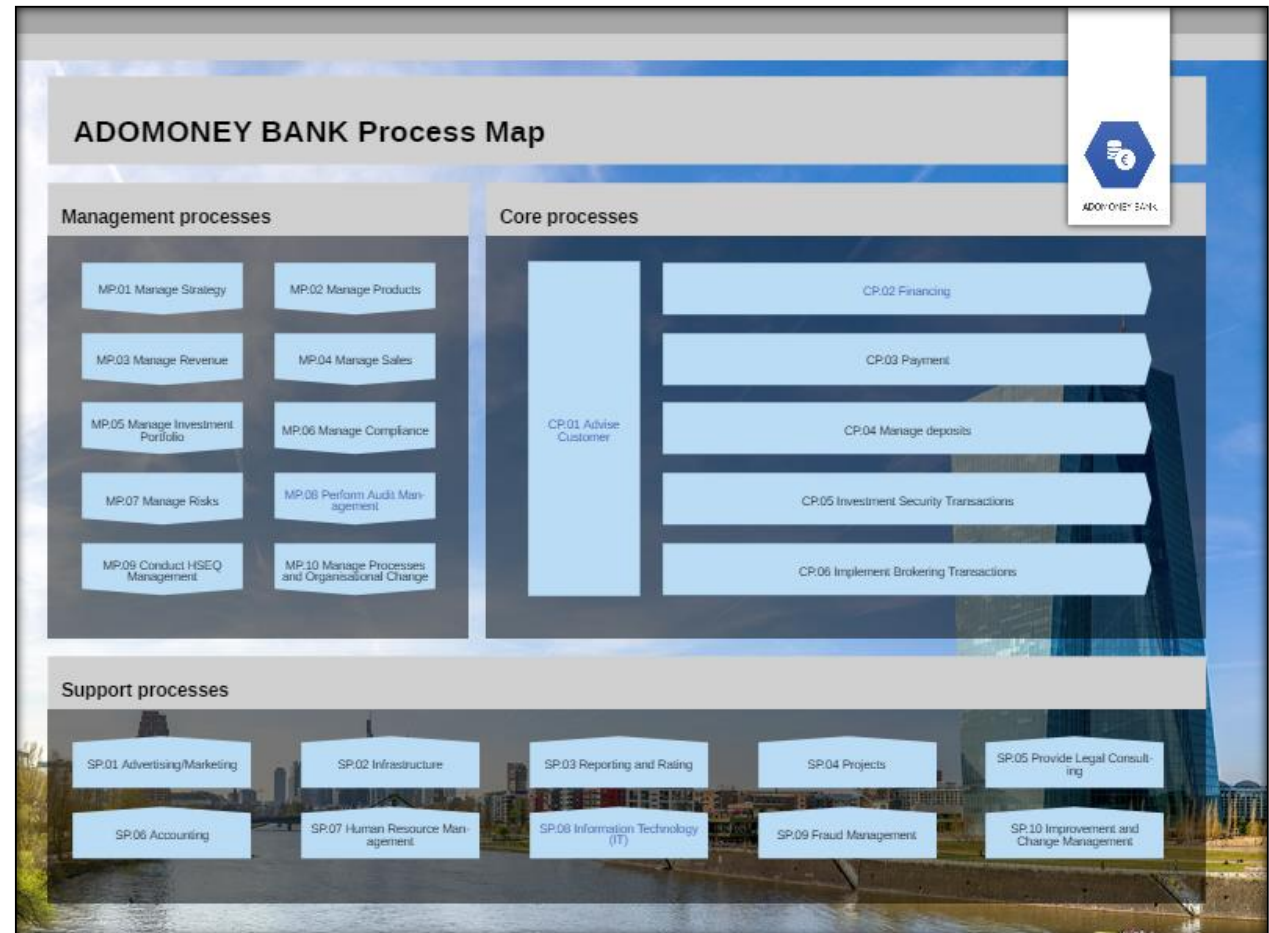
- **Distribution channels**
- **Product (groups)**

Reference Company Map: Retail Banking

ADONIS

First level of Company Map

- ▶ Presentation of all essential process types of a retail bank (>30 process groups)
- ▶ Structure in **Core, Mgmt. and Support Processes**
- ▶ Presentation of the value chain and lifecycle of bank products



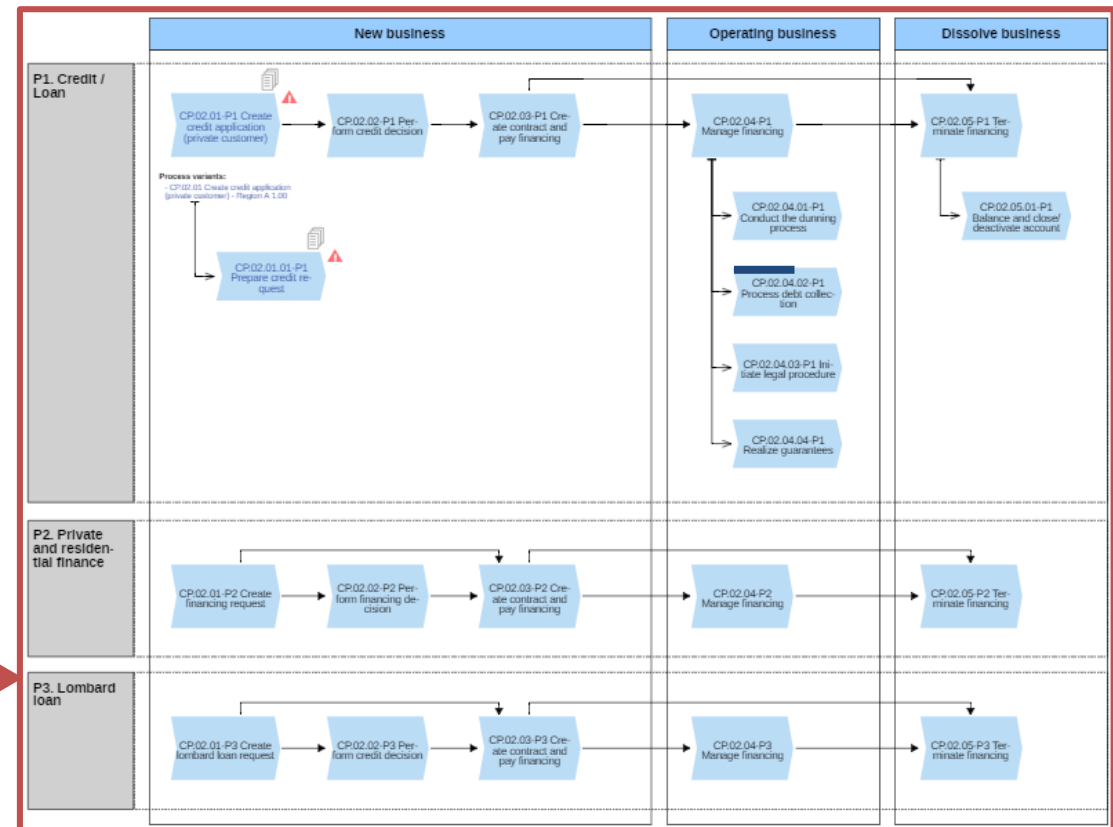
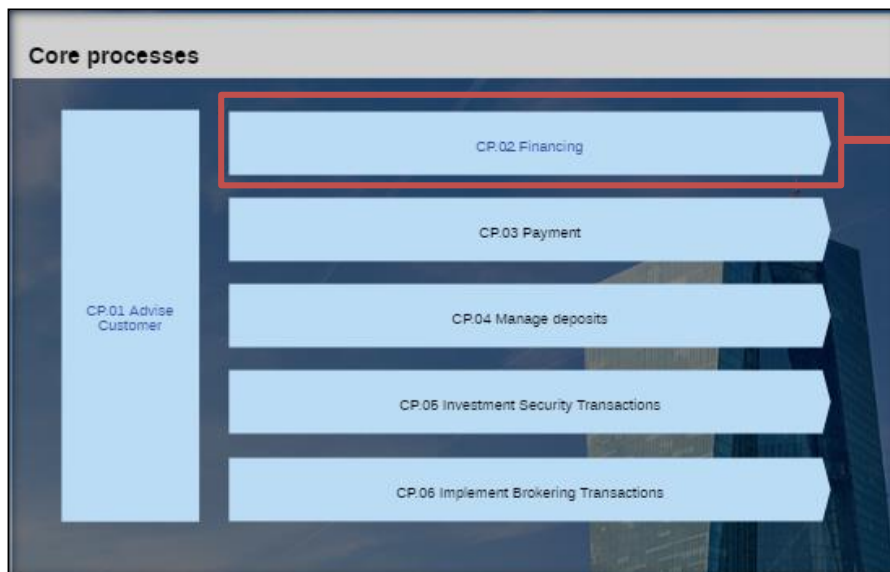
Reference Company Map: Retail Banking

ADONIS

Other levels of Company Map

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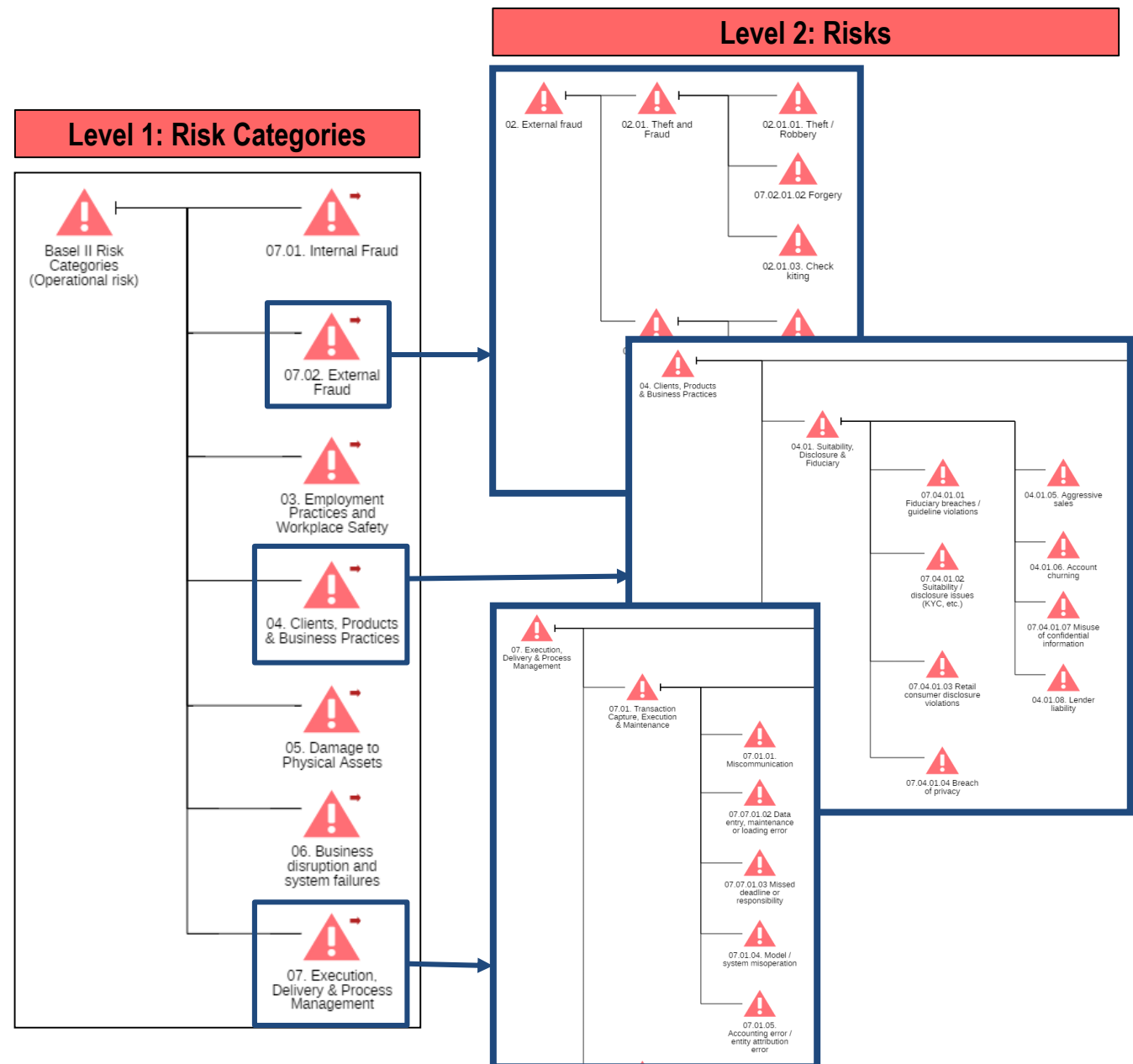
- **Product (groups)**
- **Lifecycles**



Basel II/III and Solvency II Risk Catalogues

Overview

- ▶ Structure of risk catalogs from certain standards
- ▶ **7 main categories** with a total of **more than 120 subcategories**
- ▶ Can serve as the basis for aggregation and allocation of company-specific risk catalogs





- I. Successful Business Process Management with ADONIS
- II. Tool Feature Demonstration
- III. Typical Questions in Business Process Management
- IV. Reference Models
- V. Summary**

Seven good reasons for Process Management with ADONIS

ADONIS

A professional process management platform



Easy and intuitive handling

- ▶ Clearly structured – “keep it simple”
- ▶ One tool for all roles



Open and flexible

- ▶ Comprehensive best practice modelling library with integrated BPMN 2.0 support
- ▶ Flexibility through metamodeling
- ▶ Open interfaces for execution



More than modelling

- ▶ Extensive functionality for process analysis and graphical reporting
- ▶ Integration of business scenarios e.g. ICS/RM, EAM, QM, KVP, etc.



Well-positioned for all future challenges

- ▶ From simple modelling to extensive management scenarios



Process management as team work

- ▶ Real-time documentation online
- ▶ Role-specific access to content over the web
- ▶ Role-based release workflow



All-in-one

- ▶ Technical platform, consulting and far-reaching know-how



Proven, world-wide

- ▶ In all sectors, on all continents, with more than 30,000 installations

ADONIS – make processes work

Market Presence – Key Figures

ADONIS

98%



of clients on
Maintenance Contract

1120 ADONIS Customers



from which most are on the latest release version and
960 of which bought or upgraded last year

Over 75% of clients
serve as



References

Average
Deployment Time



2 Days

Installed Base

1,400+

of Customer of BOC Products

Community of 90,000+ users

of the Community and Cloud versions of BOC Products



The BOC Group in Social Media

ADONIS

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Business Process Management**

Showcase page



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Enterprise Architecture**

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BOC Group Evaluated by Global Market Study Research Firms

ADO.IT



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The Forrester Wave

Enterprise Architecture Management
Suites Q2 2017



Gartner®

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Gartner Magic Quadrant

2017 Magic Quadrant for Enterprise
Architecture Tools



Fraunhofer

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Fraunhofer Market Study

Metadata Management Tools for
Enterprise Architecture Management



Ovum
TMT intelligence | informa

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Ovum On The Radar Report

On The Radar Report, Published
June 29th, 2017

* The Forrester Wave™, EA Management Suites, Q2 2017, Forrester Research, Inc., June 14, 2017

* Fraunhofer-Gesellschaft, <https://www.fraunhofer.de/>

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* Ovum, <https://ovum.informa.com/>

BOC Group Named a worldwide “Leader” Among EA Suites

ADOIT

BOC Group received the highest score among all vendors in the Strategy category

The screenshot shows the Forrester website header with navigation links: research, data, connect, consulting, events, analysts, and a log in button. Below the header is a search bar. The main content area features the title "The Forrester Wave™: Enterprise Architecture Management Suites, Q2 2017" with a subtitle "Vendor EA Capability Is Increasing, But Stakeholder Experience Is An Issue" and a date "June 14, 2017". To the right of the title is a small photo of Gordon Barnett and text "By Gordon Barnett with Alex Cullen, Madeline King". Below the title is a section "Why Read This Report" with a paragraph of text. To the right of this section is a "Tools And Templates" section with a sub-section "Vendor Selection Aids" and a small icon of a document and a bar chart. Below the icon is the text "Forrester Wave™: Enterprise Architecture Management Suites, Q2 '17".

Characteristics of the report:

- ✓ Researched, analysed, scored and ...
- ✓ identified the global 10 most significant EA solution providers ...
- ✓ based on a 40-criteria evaluation ...
- ✓ grouped into three high-level categories:
 - Current Offering
 - Strategy
 - Market Presence

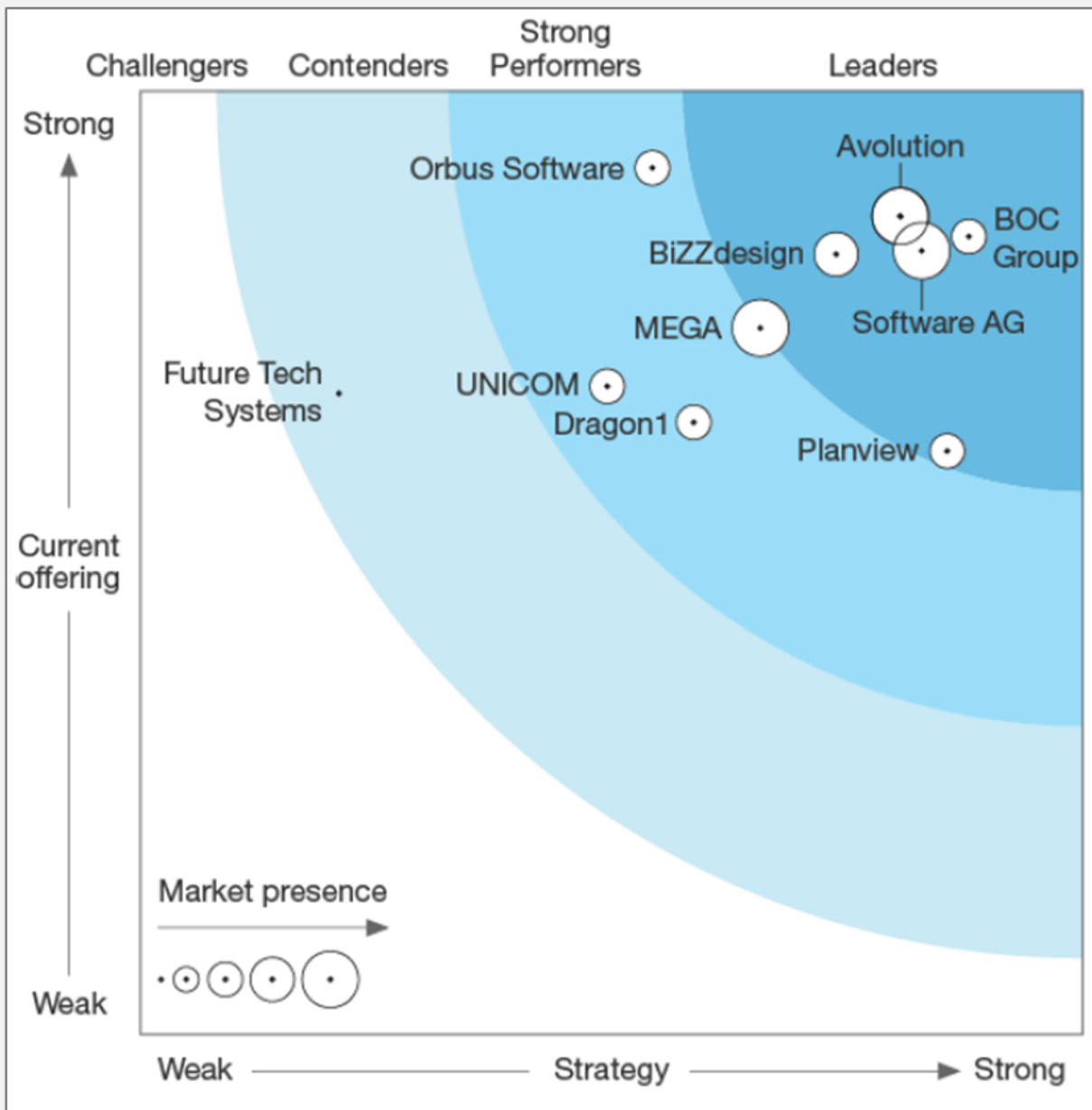
 **BOC Group Ranked 1st in EA Suites in the Strategy category!**

*“BOC Group is competitive in all criteria but is particularly strong in IT asset management and IT portfolio management.”**

* The Forrester Wave™, EA Management Suites, Q2 2017, Forrester Research, Inc., June 14, 2017

BOC Group Ranked 1st in EA Suites in Strategy Category

ADOIT



The Forrester Wave

Enterprise Architecture Management Suites – Q2 2017

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* The Forrester Wave™, EA Management Suites, Q2 2017, Forrester Research, Inc., June 14, 2017

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