



Technology and Data Readiness Health Check

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SERVICE

A detailed study to get you on track to implement Reg-Tech or CLM technology solution. Focusing on the design of your target state operating model, policy framework and data services to ensure a rapid delivery, avoiding the common obstacles and weaknesses of Reg-Tech projects.

With a technology-agnostic approach, we will design the blueprint for your target state, ensuring that it will support your operating model and that you have the structure and strategy in place to deliver it successfully.

Following this activity, stakeholders and sponsors can confidently move into a detailed design and implementation phase.



OUTPUTS & DOCUMENTATION

Technology and Data Blueprint Document including:

- ▶ Operational and Policy Design and Impact
- ▶ Target state design for technology interactions
- ▶ Target state process model incorporating new technology
- ▶ Key design decisions
- ▶ Target state plan and delivery roadmap
- ▶ Governance structure and RACI
- ▶ Actions and prerequisites log



USE CASES

Technology and Data Readiness is designed to smooth the path to delivery of your Reg-Tech or CLM technology.

- ▶ You have selected a new Reg-Tech solution but need help delivering it
- ▶ You want to ensure that your operating model is optimised to the specific solution(s) you have chosen
- ▶ You have struggled to implement your Reg-Tech or CLM solution and need support
- ▶ You need to make changes to your operating model and policies to support new technology
- ▶ You know you're going to implement CLM or other Reg-Tech solutions, but you want to fully understand what the impact will be
- ▶ You are looking to digitise your onboarding journey and want to be sure you're on the right path



KEY FEATURES

Target State Design Blueprint

- ▶ Achievable, practicable scope and roadmap for delivery
- ▶ Identification of and planning for essential and optimal prerequisite activities
- ▶ Prioritise focus on the most beneficial activities
- ▶ Design for target state, system-enabling op model, maximising use of out-of-the-box functionality
- ▶ Present detailed and attainable plans to stakeholders / board members

Macro-level Requirements

- ▶ Focused requirements to deliver maximum benefit
- ▶ Identification of key design decisions
- ▶ Requirements and design decisions aligned to maximise the benefits of a specific solution

Proven Governance and Methodology

- ▶ Define clear roles and governance to ensure seamless delivery
- ▶ Validate known gaps and identify likely obstacles and weaknesses
- ▶ Prove assumptions and business cases
- ▶ Test and inform strategy

The Delta Capita Difference / Domain

Expertise:

- ▶ Proven experience delivering multiple Reg-Tech and CLM solutions
- ▶ Deep knowledge of different CLM solutions and how to build your organisation to maximise benefits with minimal configuration
- ▶ Real-life knowledge to anticipate and mitigate commonly experienced critical risks and obstacles
- ▶ Integrated into the CLM and Reg-Tech community, allowing for rapid resolution of technical questions and challenges



APPROACH

Review the full scope of technological, operational and policy change required to deliver the specific Reg-Tech / CLM solution.

Follow a structured series of workshops and focus groups to review the current state and assess activity to reach the target state.

1. High level scoping, priorities and objectives
2. Programme structure, governance and oversight model
3. Delivery plan and roadmap
4. Functional structure and impacts / assumptions for delivery
5. Technological structure and impacts / assumptions for delivery
6. Processes and Customer Journeys
7. Organisational model and location strategy
8. Policies, data requirements and documentation
9. Risk assessment model
10. Data services, data mastering and document storage
11. Technology landscape and interactions

These sessions will highlight risks and potential obstacles to delivery and capture key design decisions

Any key blockers and issues will be documented, workshopped and resolved if possible, or added to the actions / prerequisites document

Following completion of the activity, key stakeholders will have insight into how the solution will work and a roadmap for delivery to syndicate and approve.

This approach is tailored to the specific requirements of the problem statement and is flexible to allow for extension and follow on activities.



TOOLS

Delta Capita has its own toolset for delivering outputs and managing the study. These include:

- ▶ Delta Capita Scoping Grid
- ▶ Plans (Monday, MS project, Excel)
- ▶ Customer Journey capture (Mural, Flowcharts, Excel)
- ▶ Prestructured Powerpoint and Word documentation.
- ▶ Delta Capita's proven methodology

We will use the client's preferred tools wherever available or preferred.



STRUCTURE AND DURATION

- ▶ Typically around 6-8 weeks effort, with activity normally taking place over 8-10 weeks depending on complexity and availability of client resources
- ▶ Typically a team of 2-3 analysts supported by a manager and overseen by a Delta Capita Partner
- ▶ Team tailored to the knowledge and skillset requirement



SKILLS / KNOWLEDGE

- ▶ Project Management
- ▶ Technical Expertise (specific solution)
- ▶ Domain Expertise (specific business line/function)
- ▶ Design thinking
- ▶ Requirements gathering and flowcharting