



# HOPEX V4 What's New

# Introduction to HOPEX V4

- With this new release, HOPEX provides a true business-outcome driven approach to accelerate business transformation.
- Many improvements and features have been brought to this release, including automated data collection through open APIs, a modernized user interface and a set of intelligent reports and dashboards.
- Thanks to new mobile applications and a dedicated enterprise portal, the solution now offers a simpler way to consume and share information across the organization.

## Accelerate Business Transformation with HOPEX V4



- **Get the full picture** by connecting Business, IT, Data and Risk perspectives
- **Accelerate time-to-value and generate demonstrable ROI** through an outcome-driven approach based on out-of-the-box reports
- **Automate data-entry and foster adoption** with an open platform that connects seamlessly to third party solutions

# HOPEX, a Business-Outcome-Driven Platform

## Automated data population

Accelerate time-to-value through open APIs and out-of-the-box integrations

## Best-in-class UX

Web-based UX and collaborative features optimized for quick business user adoption

## Out-of-the-box reports

Dashboards and analytics that focus on business objectives and deliver value

## Use-case based deliverables

Methodology based on real use cases rather than lengthy frameworks, ensuring repeatable and tangible results

HOPEX Store

Find here all the add-on you can deploy on HOPEX Platform. This catalog contains application, content and connectors to other systems.

Please, make sure you select the add-on related to the HOPEX platform you are running on. Go to our [Download Center](#) to get the latest HOPEX platform.

Read our store support policy here: [HOPEX Store terms of use & support policy](#).

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API & Integration

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HOPEX Store





**APQC Framework**  
Speed up process definition with the APQC framework contents ! This updated...

 0  0


by [oguimard](#)





**Web Service Factory Template**  
Develop custom web service on HOPEX based on the "web service factory" template. ...

 0  0

by [oguimard](#)



**Audit Everywhere**  
Add offline capabilities to Audit solution on the HOPEX platform. Download latest...

 0  0


by [oguimard](#)





**APQC Framework**  
Speed up process definition with the APQC framework contents ! This updated HOPEX Solution Packs...

 0  0


by [oguimard](#)




**Service Now integration**  
Connect HOPEX with Service Now and exchange application, technologies and business...

 0  0


by [oguimard](#)




**GraphQL REST API**  
Extend HOPEX with REST API based on the GraphQL framework to query the...

 0  0

by [oguimard](#)



**Web Service Factory Template**  
Develop custom web service on HOPEX based on the "web service factory" template. Download latest...

 0  0

by [oguimard](#)

- Available in the MEGA Community
- Several HOPEX and 3<sup>rd</sup> party add-ons available for your specific use cases
- Includes Audit Everywhere and ServiceNow integration



# **HOPEX 360 HOPEX ID Card**



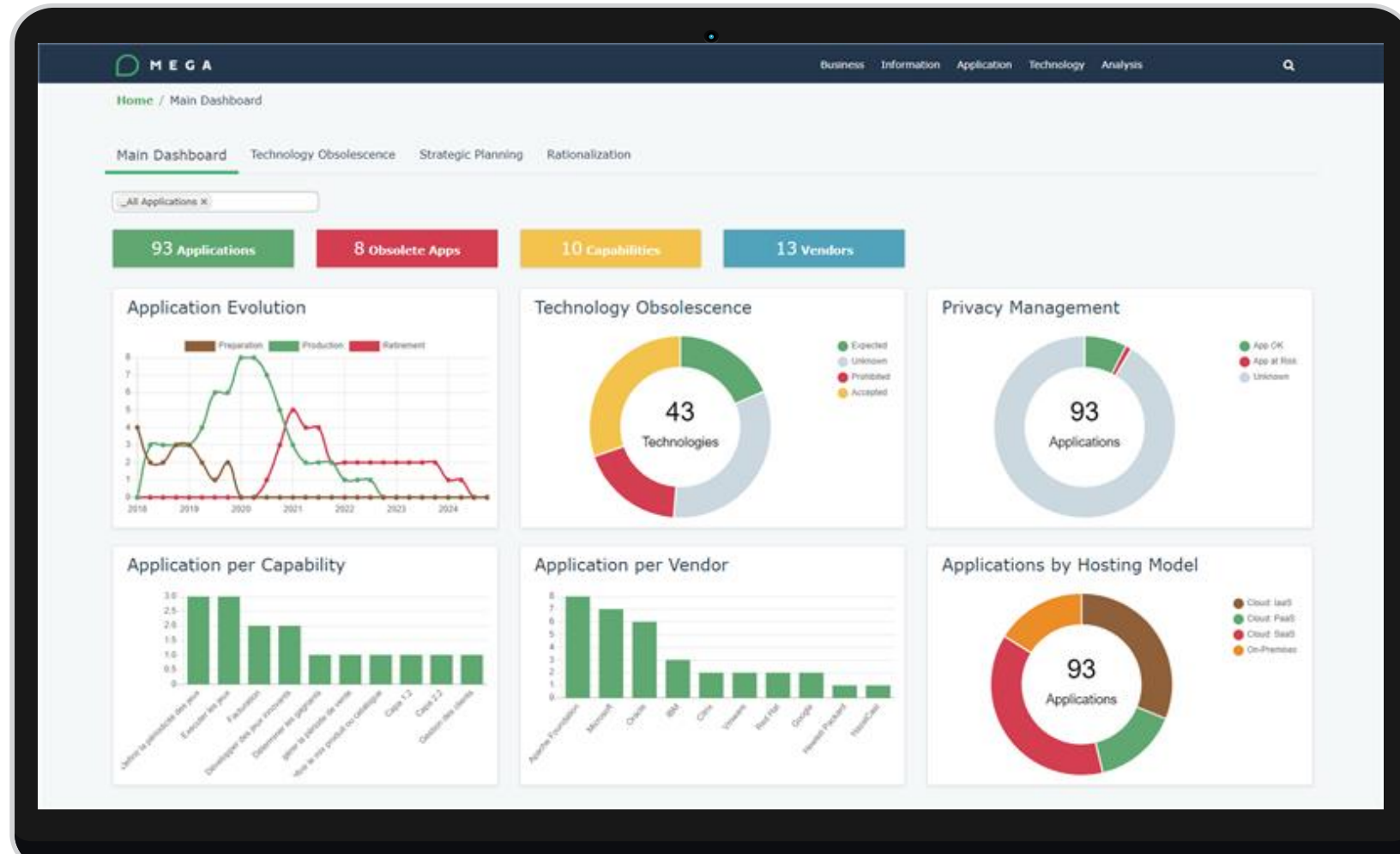
# HOPEX 360 Web Portal Main Interface

HOPEX 360 is a new Enterprise portal, available out-of-the-box that gives insights to track the progress of your transformation initiative



# Create added-value dashboards with HOPEX 360

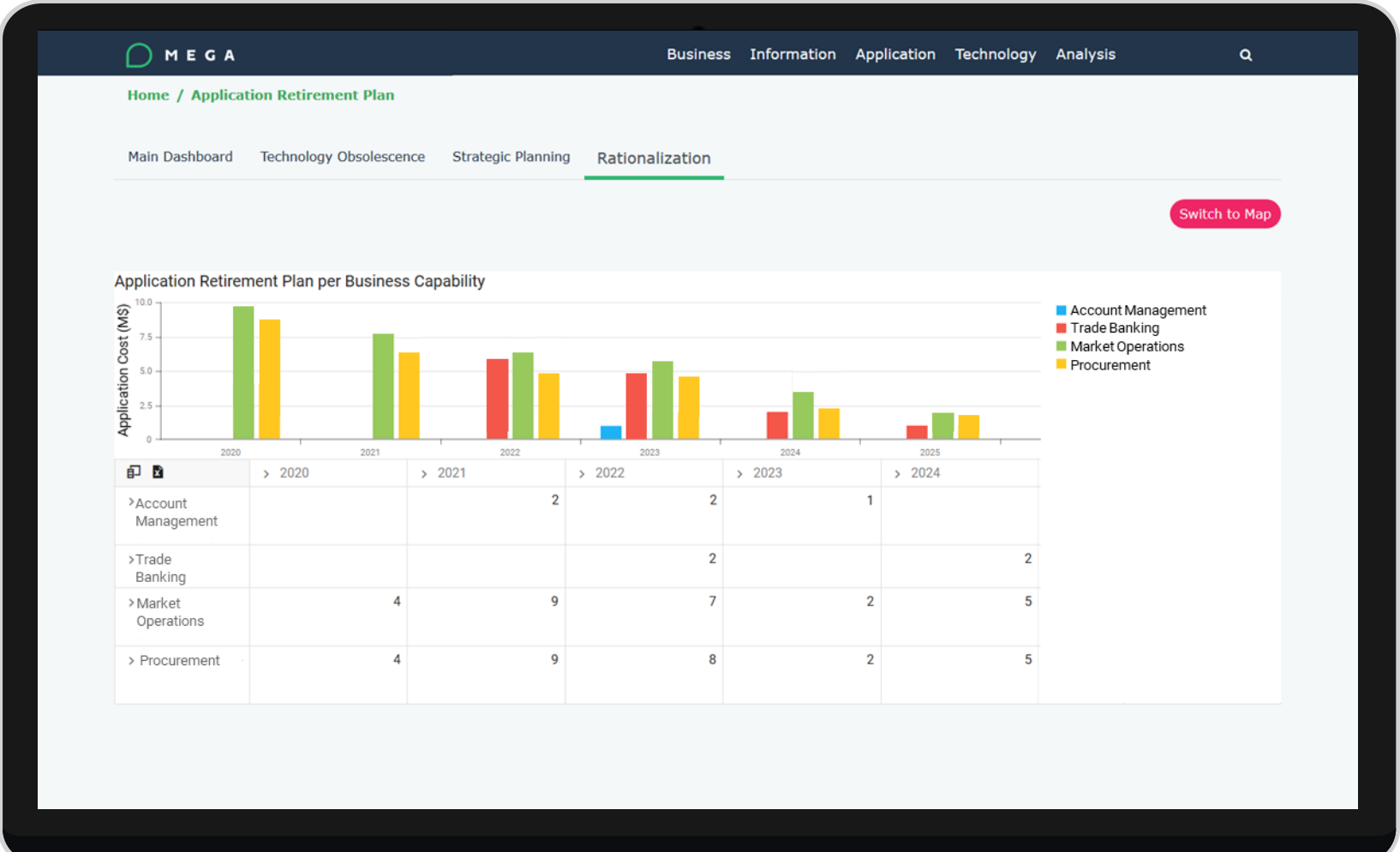
Share key analytics of your EA initiative to the C-suite and demonstrate value





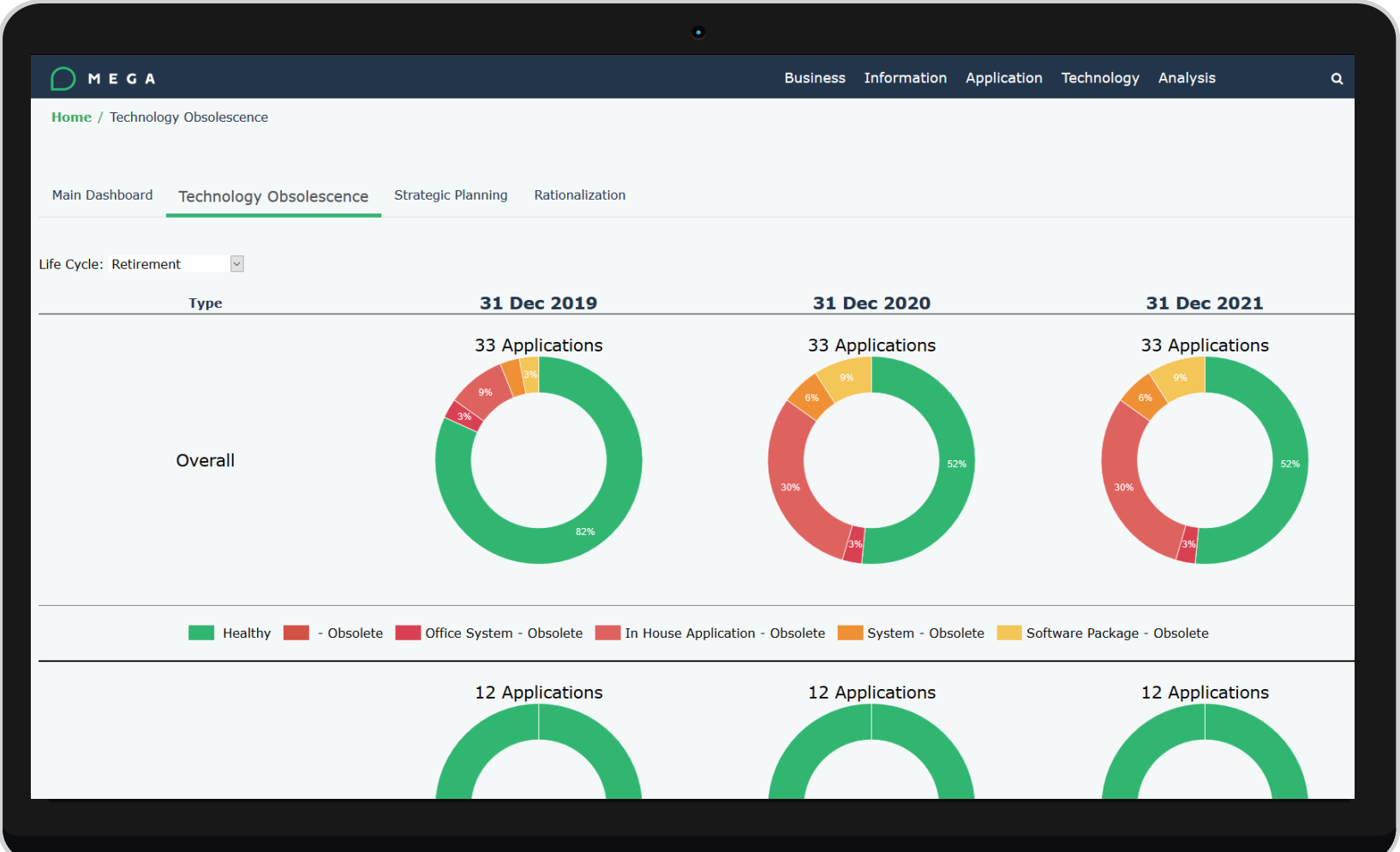
# Monitor Application Rationalization Dashboard in HOPEX 360

Share key analytics of your EA initiative to the C-suite and demonstrate value

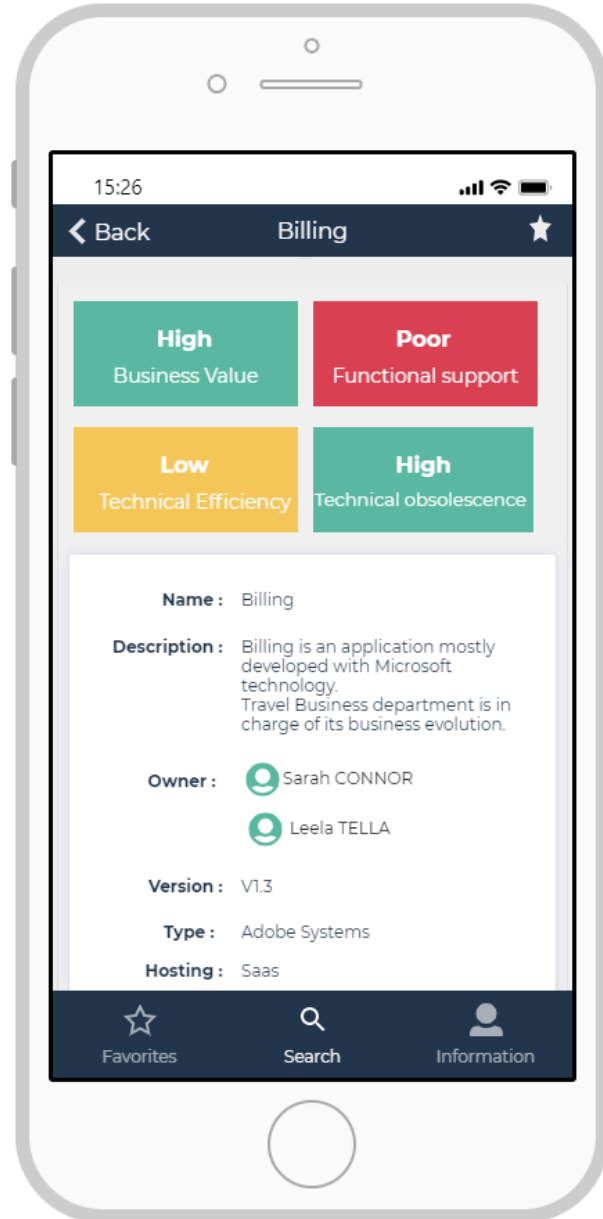


# Monitor Technology Obsolescence Dashboard in HOPEX 360

Share key analytics of your EA initiative to the C-suite and demonstrate value



# HOPEX ID Cards



The HOPEX ID Card mobile app provides insights on applications, software technologies and data to everyone in your organization wherever they are.

- Available for applications, technologies and data
- Works on mobile or desktop
- Applications:
  - Application overview (version, type)
  - Assessments
  - Linked capabilities & processes
  - Technologies
  - Golden source
  - Installations
  - Owners
- Data:
  - Data glossary
  - Data usage in applications
  - Links from concepts to IT data
  - Responsibilities (designers, owners)

# HOPEX IT Business Management



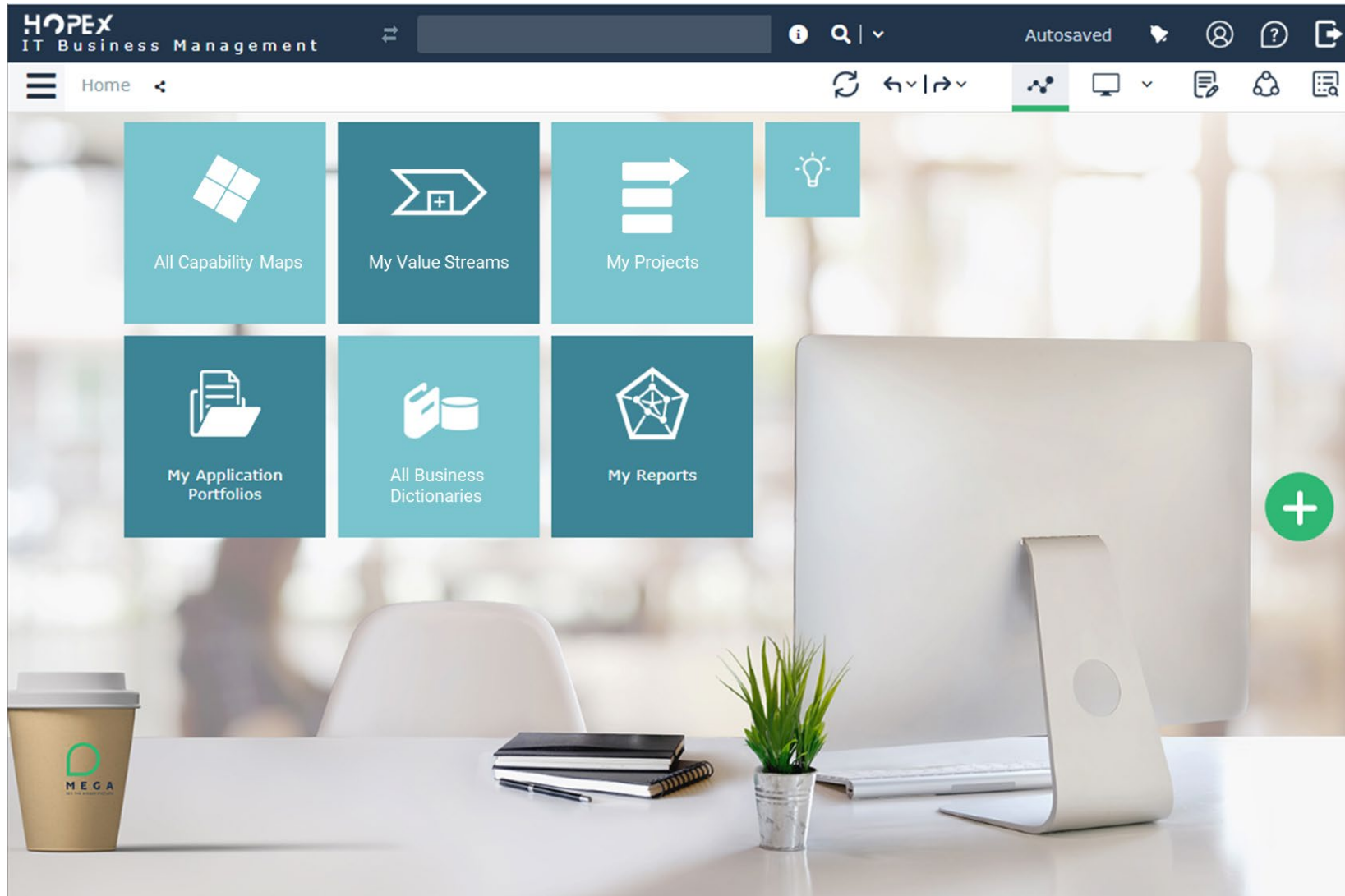


# HOPEX IT Business Management Introduction

- HOPEX IT Business Management is a brand-new strategic planning solution based on HOPEX IT Portfolio Management to ensure that IT projects are aligned with strategic objectives and keep up with rapidly changing market conditions.
- It provides in a single product a business architecture capability, application portfolio management, technology risk management and a data glossary.
- It supports new content including BIAN capability maps for the banking industry and Bizbok from the Business Architecture Guild.

# HOPEX IT Business Management New UI

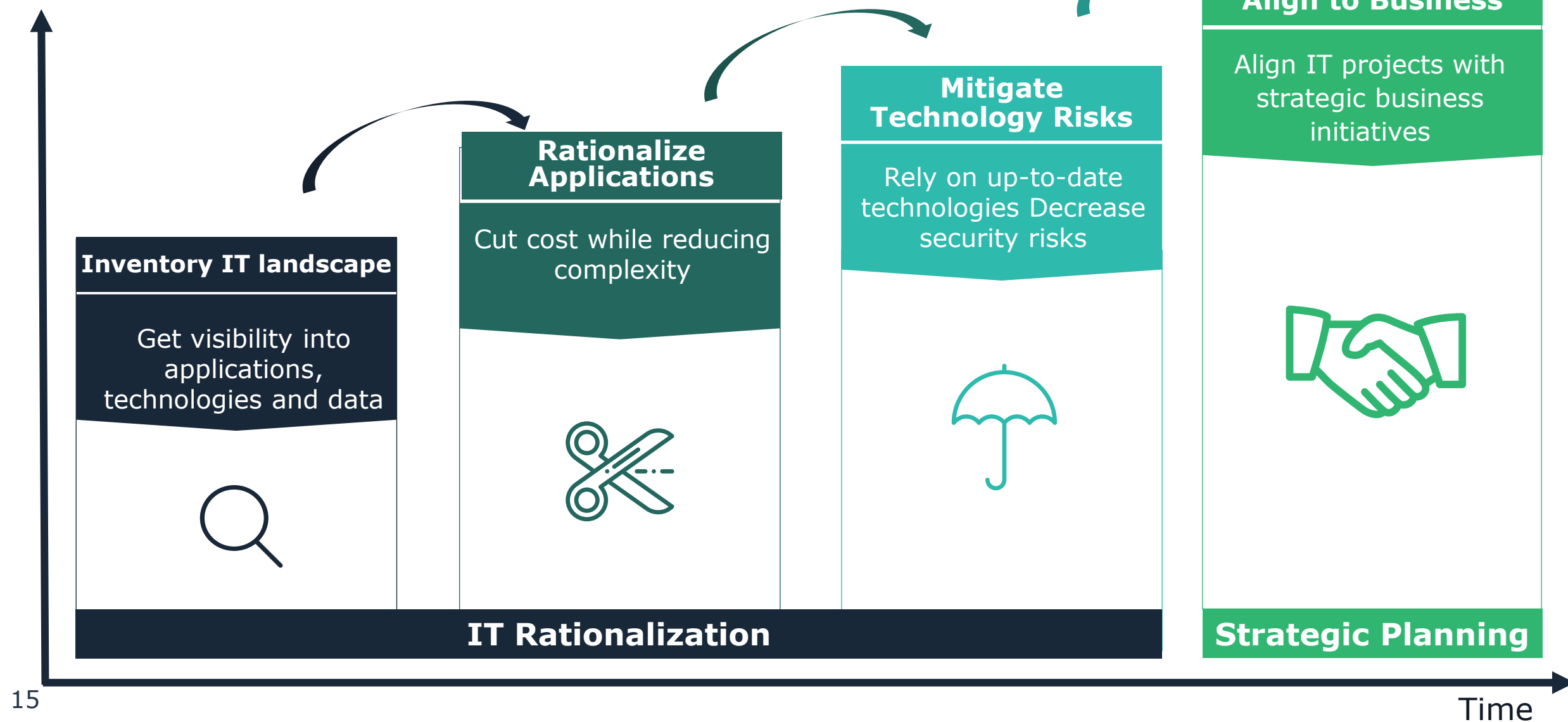
- Tiles provide shortcuts to frequently used features and are customizable by end-users



# Accelerate transformation with HOPEX ITBM

Increase the value of your work by adding new use cases as you grow

Business Value



# HOPEX IT Business Management Key Features

## Build strategic roadmap

- Capture vision, objectives, **strategy**, and tactics
- **Map business capabilities** and functionalities
- Create **value streams**
- Create **transformation roadmaps**

## Optimize IT

- **Automatically** collect IT assets
- **Build a data glossary** as central documentation for IT projects
- **Rationalize IT portfolio** (apps, technology)
- Create, share **dashboards** and **ID cards** of applications, technology and data

## Transform IT

- Identify IT transformation **projects**
- Perform what-if analysis using transformation **scenarios**
- **Prioritize projects** based on strategic alignment
- **Turn ideas into projects** aligned to business outcomes

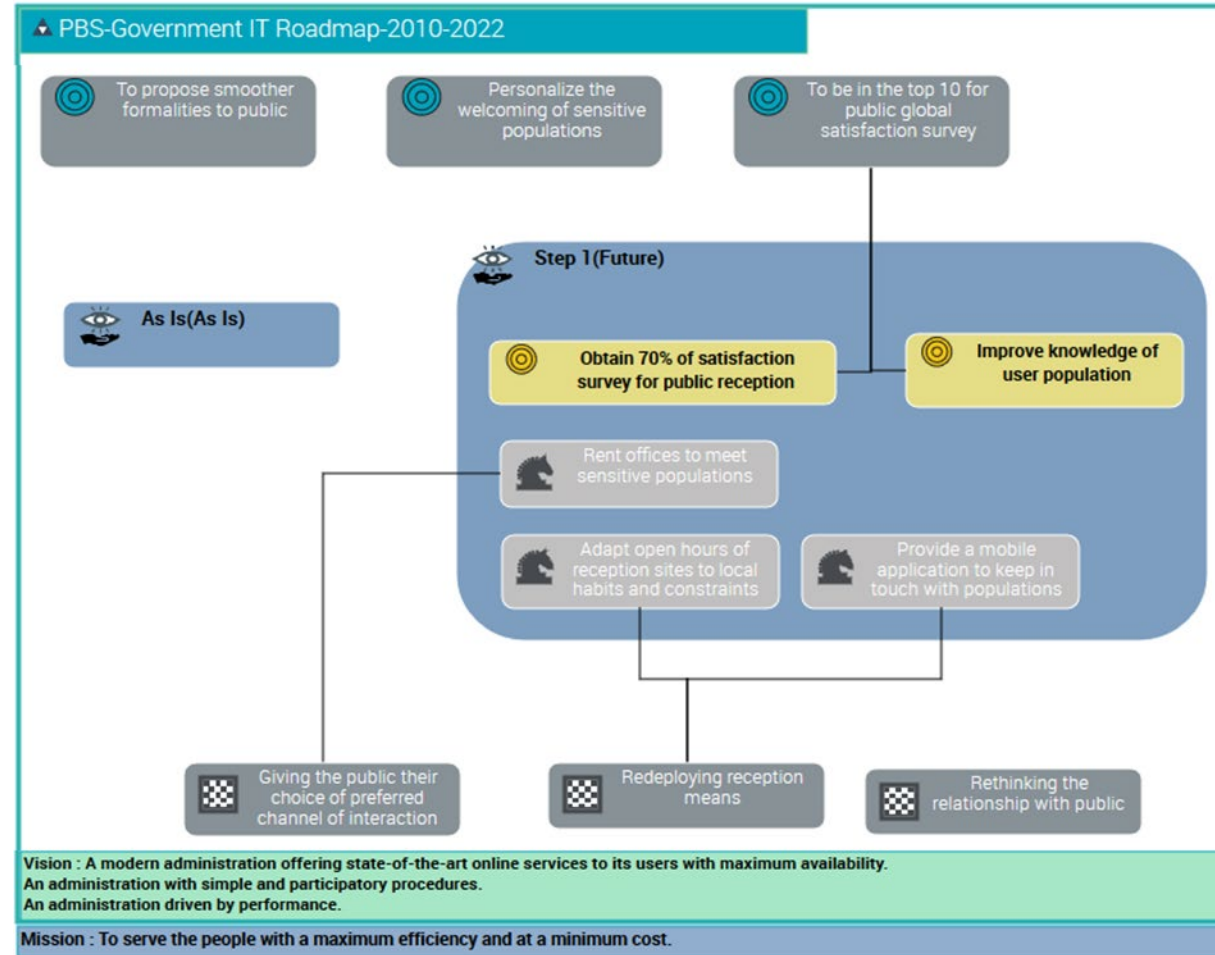


# Build Strategic Roadmap



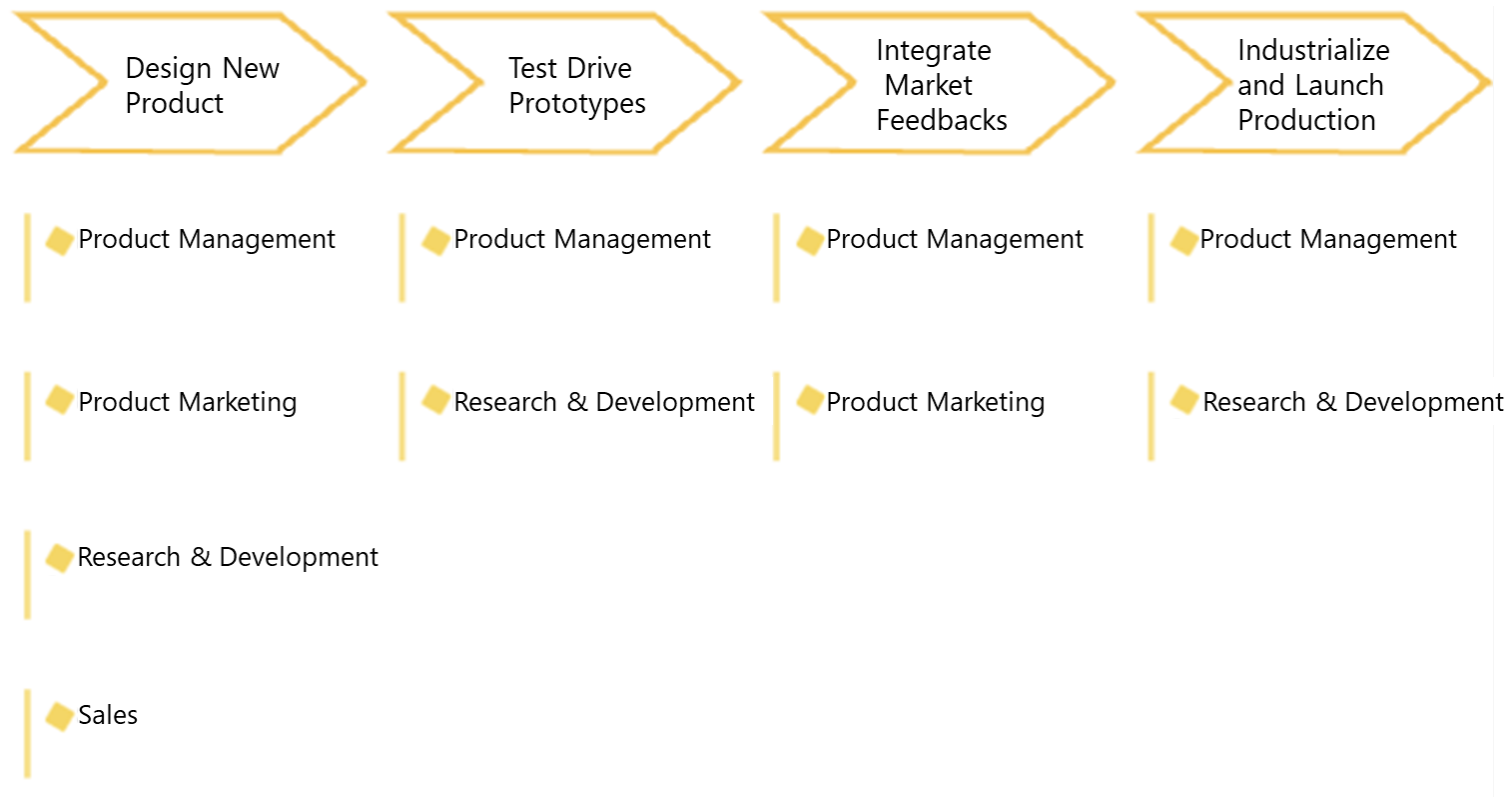
# Strategy Definition

- Define mission, vision, goals and strategy for the whole enterprise
- Define objectives and tactics for each transformation stage



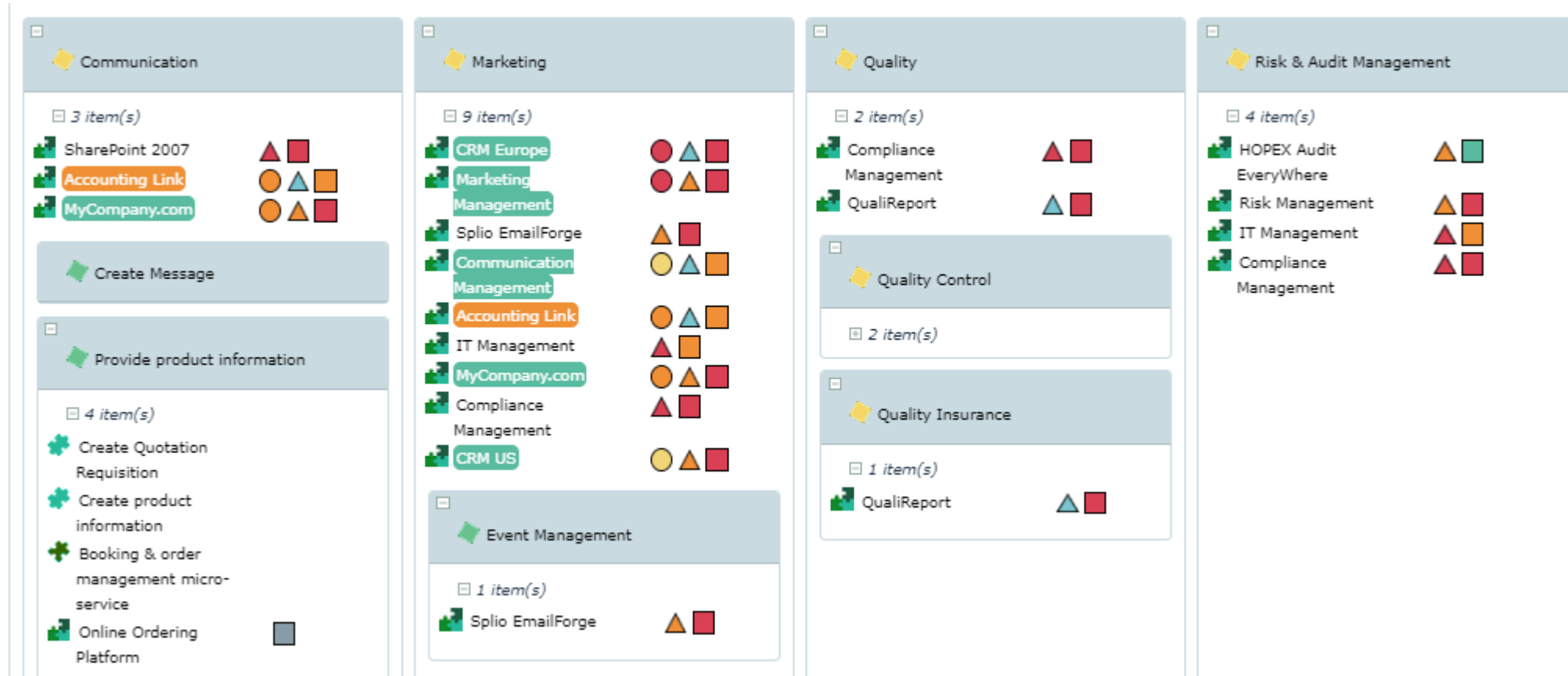
# Design value streams

- Value streams define the stages necessary to satisfy customers.
- Link business capabilities to each stage of the value stream. Ensure that your organization delivers the value expected to customers.
- If capabilities are missing, identify the actions required to develop or acquire new business capabilities (build vs partner)



# Map applications to Business Capabilities (New UI)

- Map applications to business capabilities in business capability maps
- Multiple criteria rendering are available thanks to user-defined icons and color coding



✓ **Capability Maps** display capabilities of an organization and the alignment of key enterprise assets that contribute to their implementation

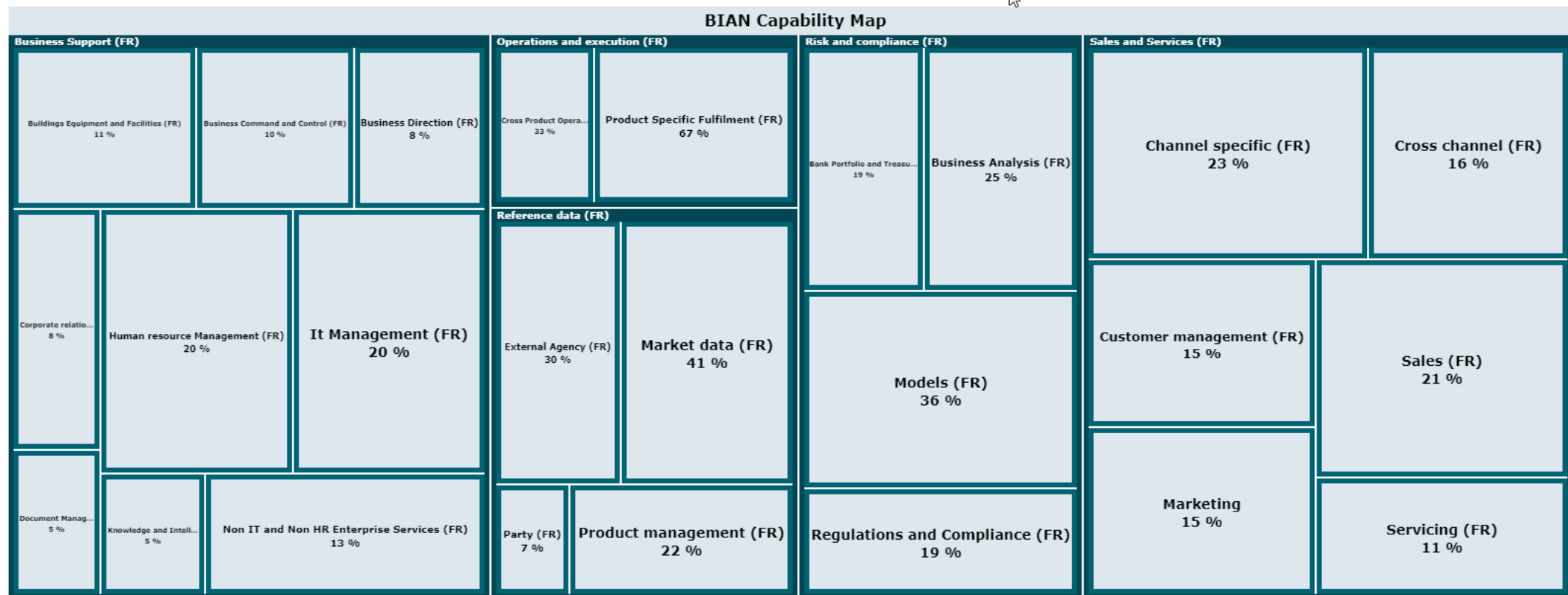


# New Treemaps

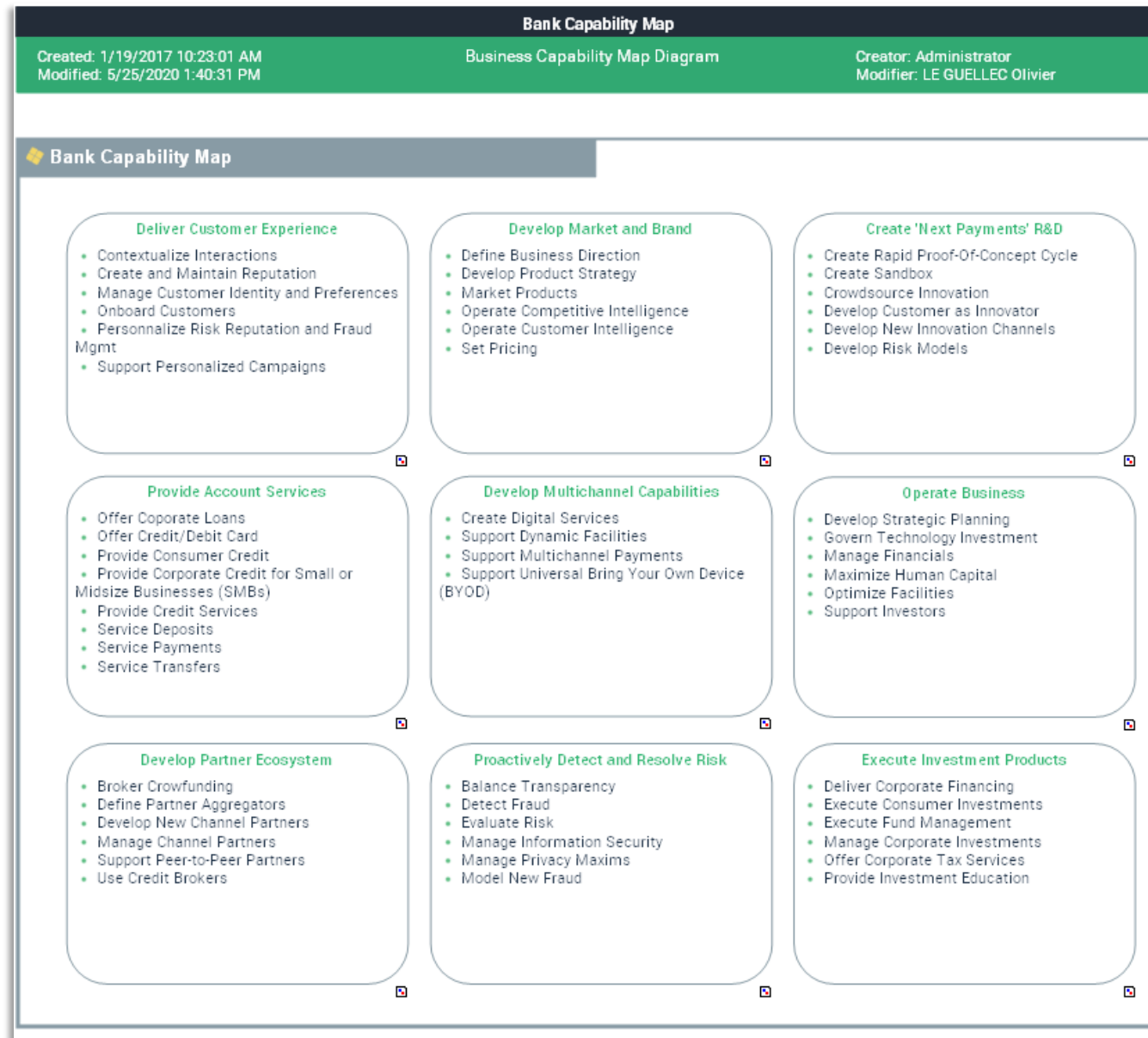
- Map capabilities and functionalities using treemaps
- Square size depends on the selected parameter, for example: number of applications that support a business capability
- Select the number of sub-capabilities and sub-functionalities to view

Report run on 6/2/2020 18:24 (4 s)

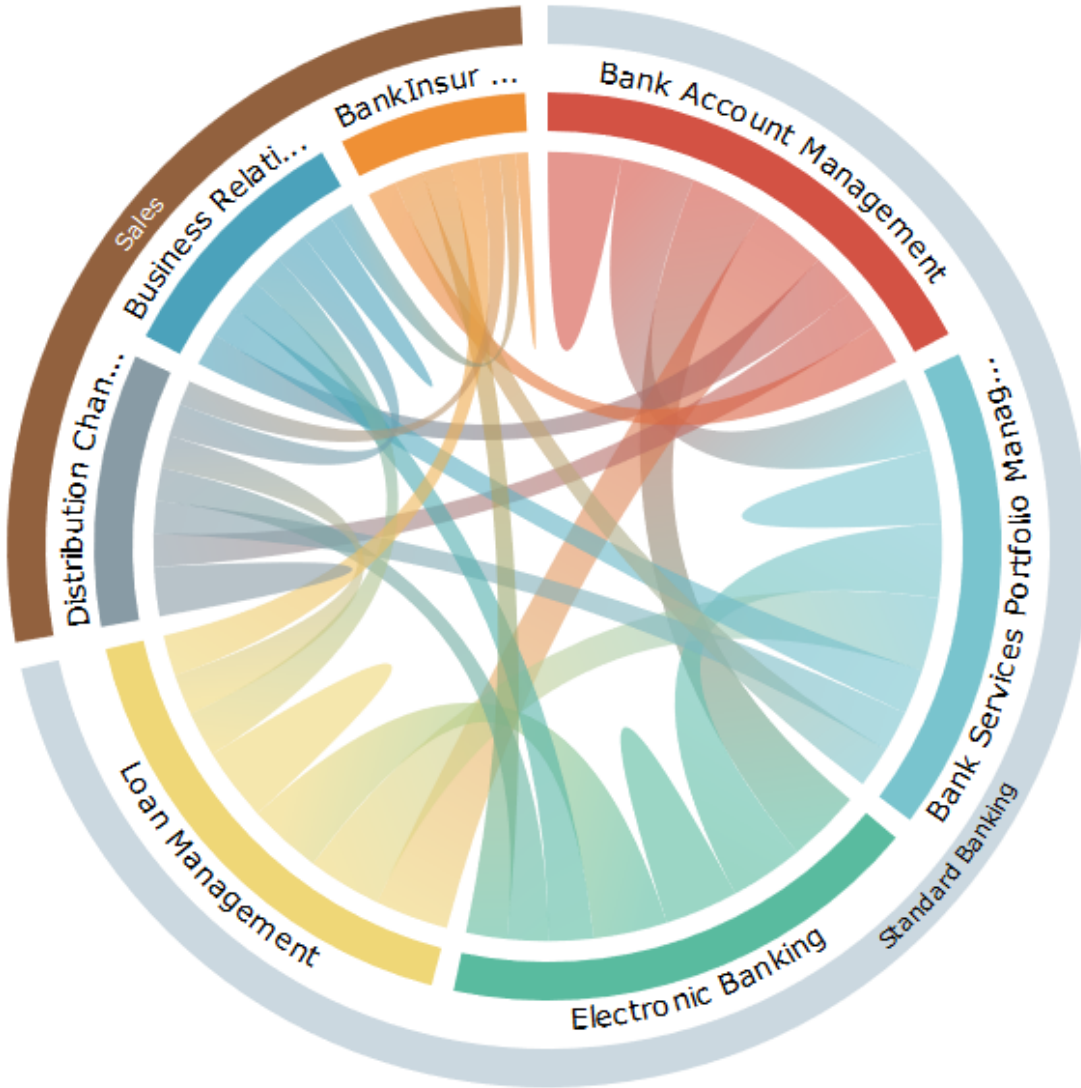
Number of displayed levels  Display criterion



# New UI for Business Capability diagrams



# Capability Dependency Chord Diagram



- Analyze dependencies between business capabilities and applications.

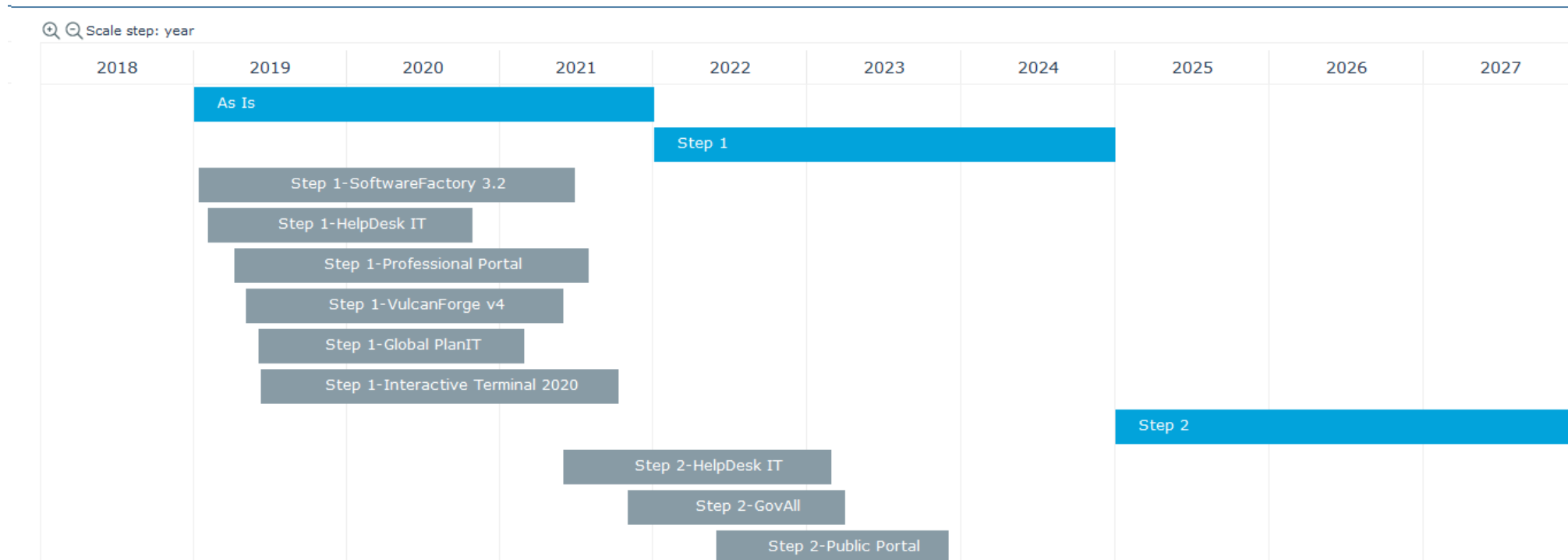
*Benefit:*

- ✓ *Understand the business criticality of an application*
- ✓ *Get visibility on the functional scope of an application*

# Plan Projects per Transformation Stage

- Link each project to a transformation stage of the strategic roadmap to ensure projects are aligned with IT strategic planning

GOVT- IT Transformation Projects Deliverables Planning and Impact



- ✓ *Benefit: Transform a strategic vision into concrete projects*

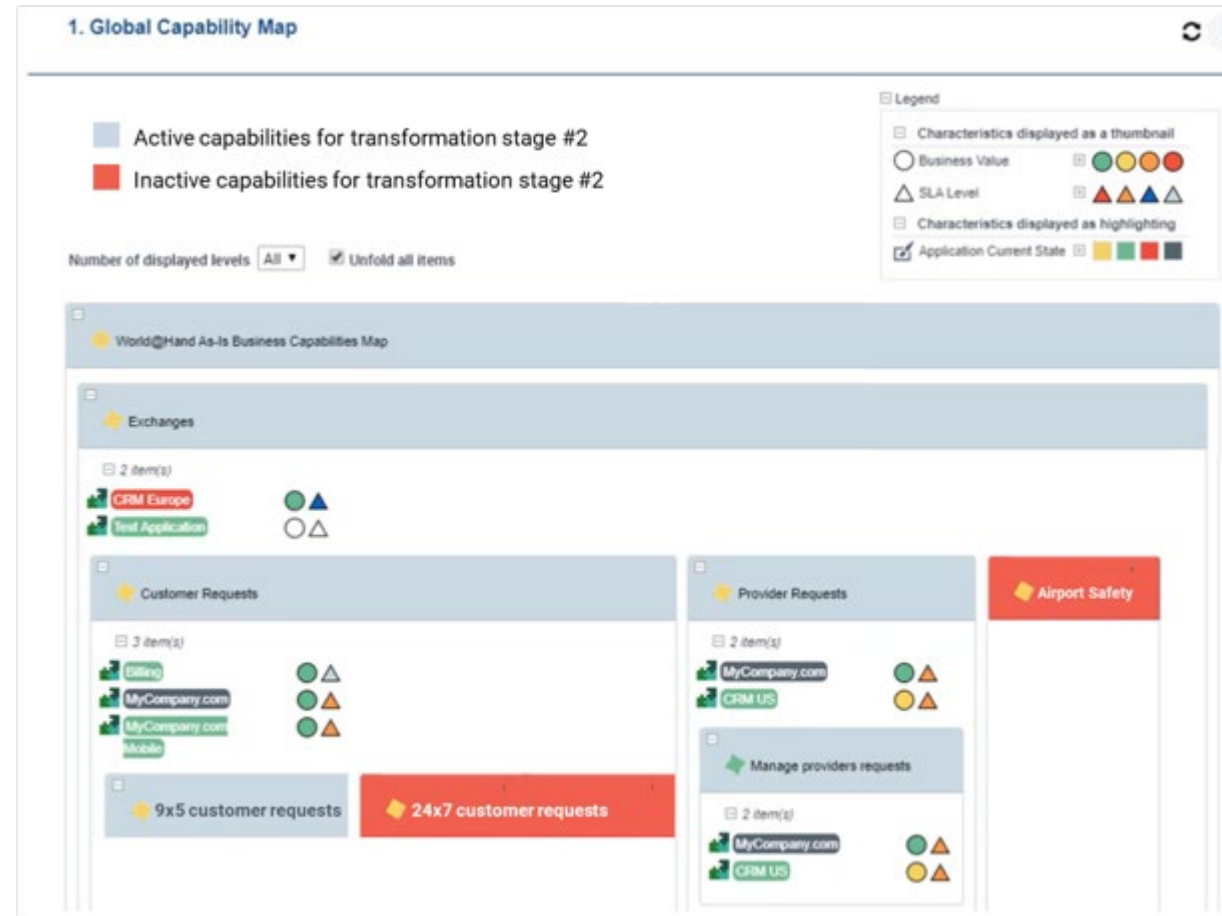


# View Active Business Capabilities per Transformation Stage

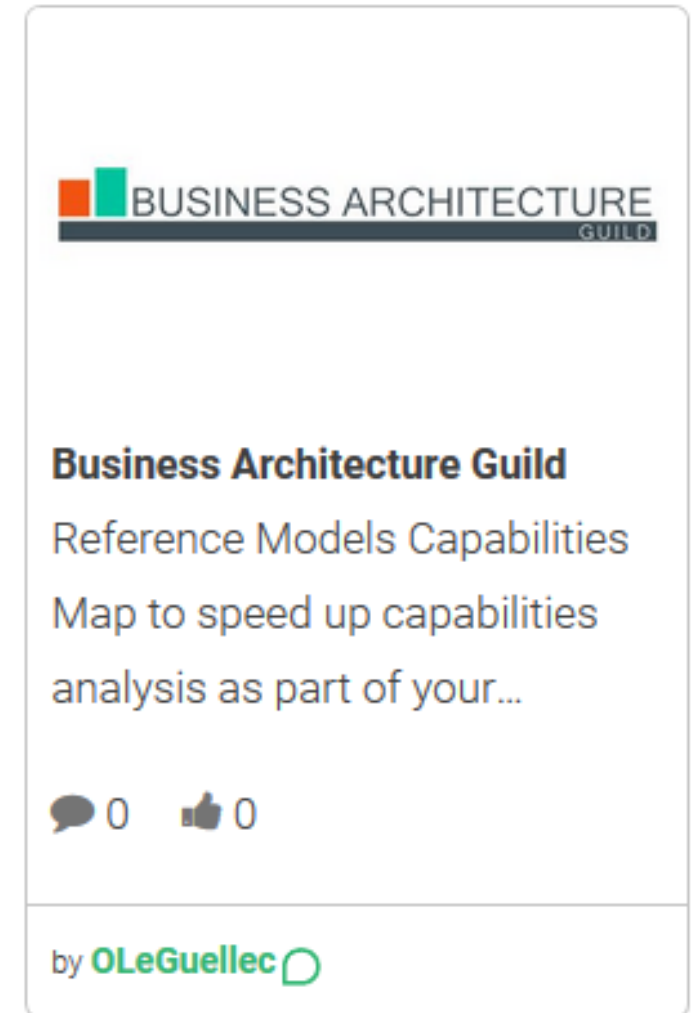
- Highlight active and inactive business capabilities for each transformation stage

## Benefits:

- ✓ Get a dynamic view of business capability maps based on transformation stage.
- ✓ Better plan the evolution of the IT landscape in accordance to business capability requirements



- The BA Guild publishes the Bizbok and provides BA certification programs
- BA Guild Reference Models, including capability maps and data concepts, are now available as a solution pack in HOPEX Store (common models or industry specific: insurance, government, financial services, transportation)
- *Note that reference models are only available to BA Guild members*

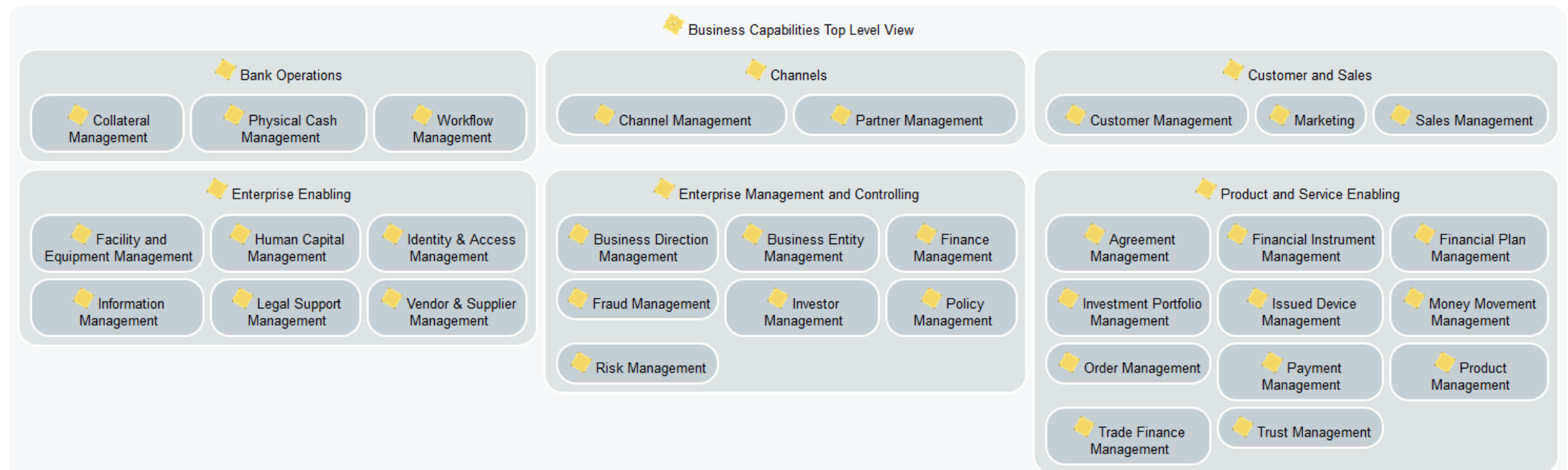


*Business Architecture Guild tile  
in HOPEX Store*

# BIAN Integration - New Content in ITBM



- BIAN provides standardized frameworks for the banking industry
- In HOPEX, BIAN members can import BIAN models in the ArchiMate format, using a conversion tool available in the HOPEX Store



# Optimize IT



# Application Inventory New UI

**HOPEX**  
IT Business Management

Home / Applications of my Portfolios / CRM Management

All Applications + New

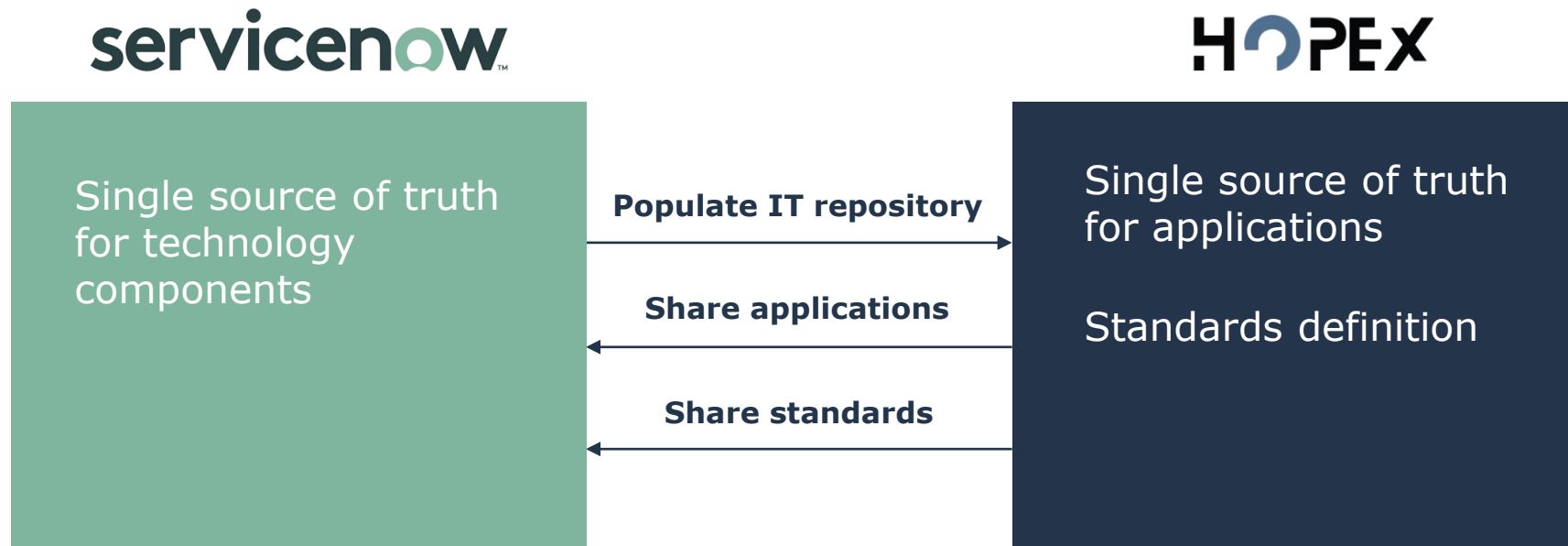
<input type="checkbox"/>	Local name ↑	Application Type	Current State	Technology Compliance	Global Expense
<input type="checkbox"/>	Benefits Tracker	In House Application	Production	<span>Prohibited</span>	\$120,000
<input type="checkbox"/>	Booking Management	In House Application	Production	<span>Expected</span>	\$95,000
<input type="checkbox"/>	Booking Pricing & Billing	In House Application	Production	<span>Expected</span>	\$42,500
<input type="checkbox"/>	Breakdown System v1.0	System	Retired	<span>Accepted</span>	\$10,000
<input type="checkbox"/>	Breakdown System v2.0	System	Production	<span>Accepted</span>	\$5,000
<input type="checkbox"/>	Business Rules Controller	Middleware	Production	<span>Accepted</span>	\$135,000
<input type="checkbox"/>	CAD Viewer	Software Package	Production	<span>Prohibited</span>	\$85,000
<input type="checkbox"/>	Catalog Management	Software Package	Retired	<span>Unknown</span>	\$3,500
<input type="checkbox"/>	Compensation Manager	In House Application	Production	<span>Accepted</span>	\$75,000
<input type="checkbox"/>	Completely Different Maintenance ...	System	Retirement	<span>Expected</span>	\$15,500
<input type="checkbox"/>	CRM Ascendix	Software Package	Production	<span>Expected</span>	\$23,200
<input type="checkbox"/>	<b>CRM Management</b>	Software Package	Production	<span>Prohibited</span>	\$12,450

<< < | Page 1 of 2 | > >> | Show 50 elements | Displaying 1 - 50 of 89



# Quickly Populate the repository with ServiceNow

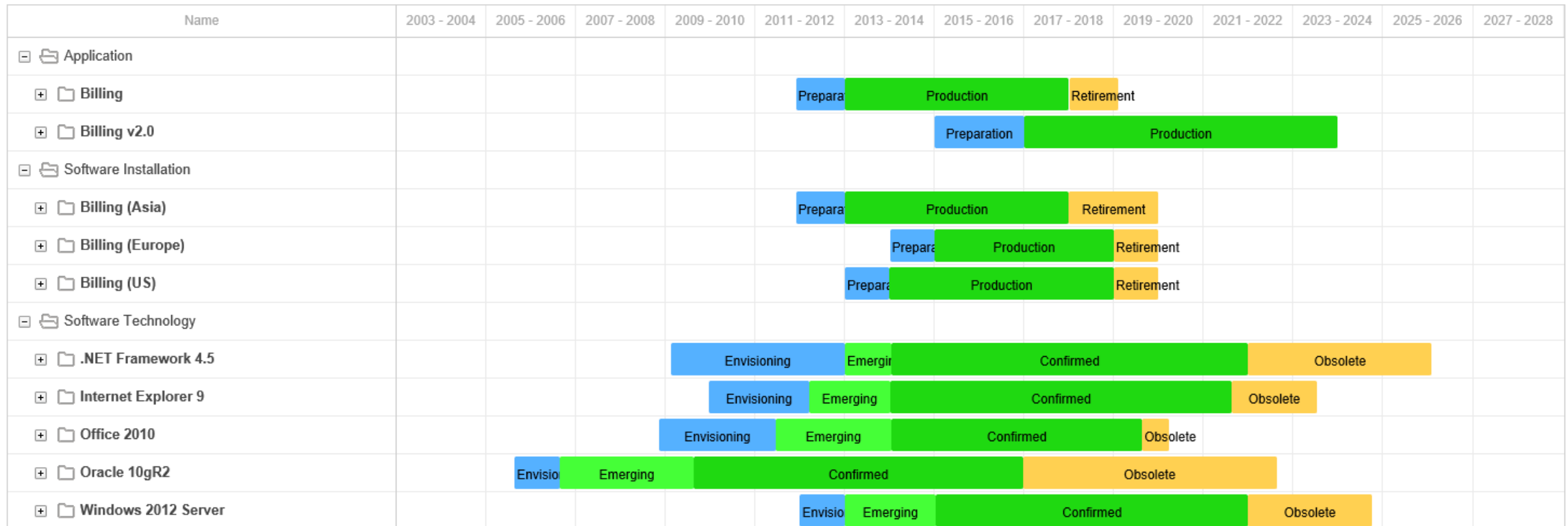
- Quickly populate the HOPEX repository with IT assets coming from ServiceNow
- Reciprocally, by defining the HOPEX platform as a single source of truth for applications, ensure that ServiceNow has an application inventory that reflects the strategic decisions made.
- Define technology standards based on the IT policy



- ✓ *Reduce time-to-value*
- ✓ *Bring the strategic vision to technology assets in HOPEX*

# Application Lifecycle

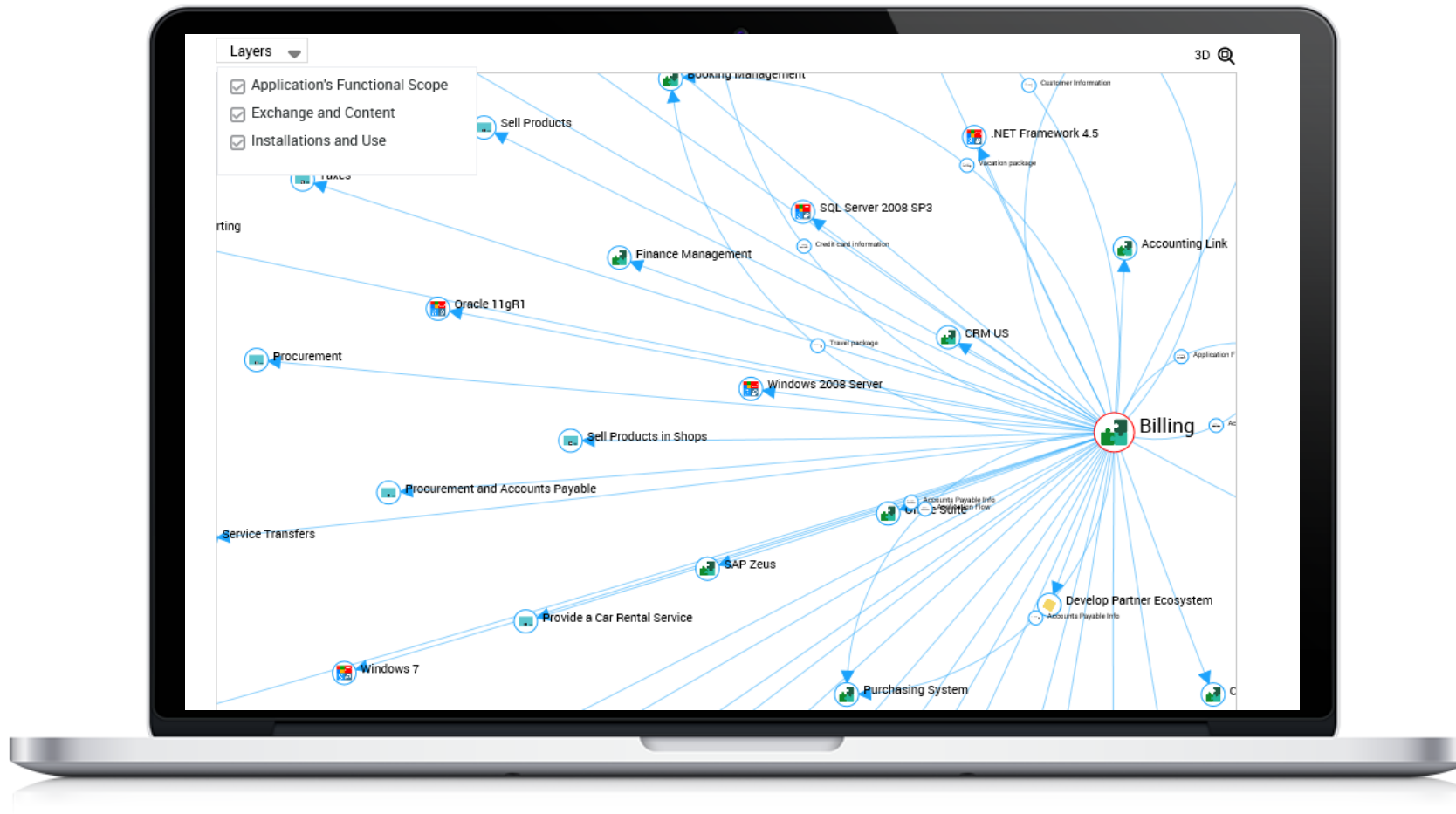
- Define Application and Technology Lifecycle as well as deployment timeline



✓ Allows IT leaders to have a clear view of lifecycles and better plan new application developments

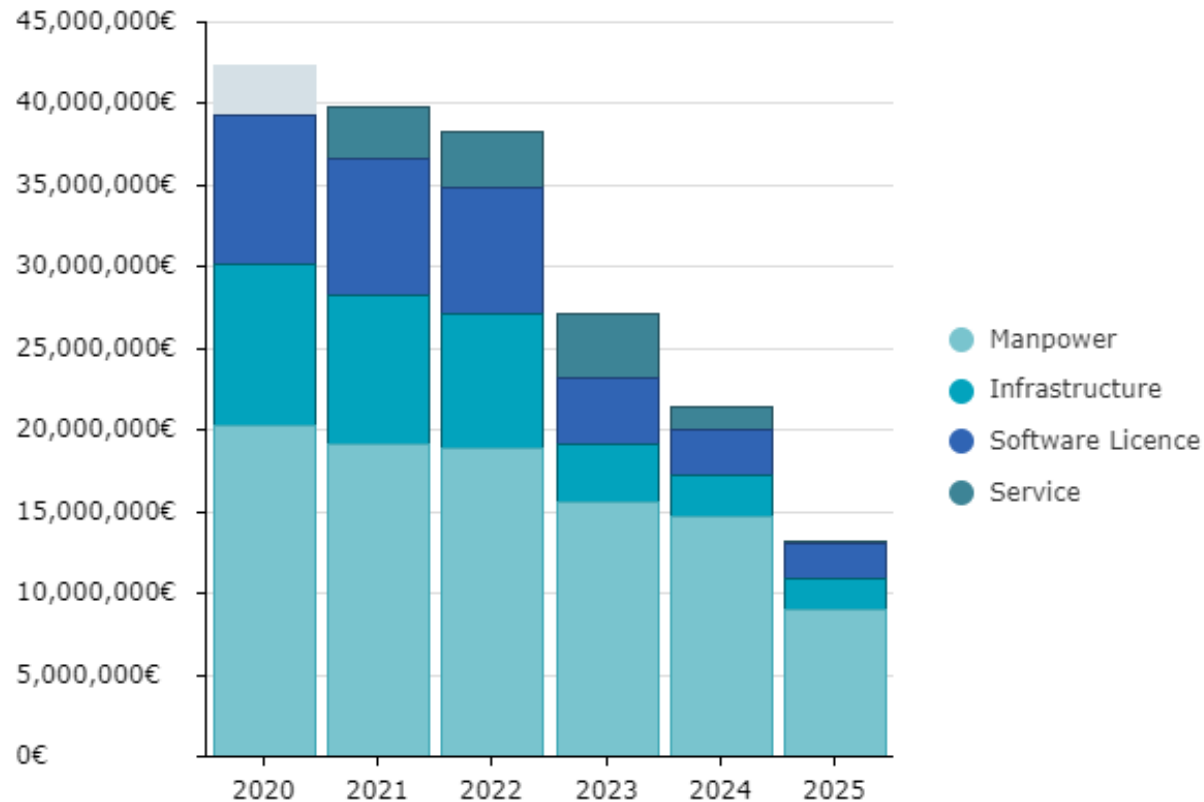
# Application Environment

- Visually describes all the links to an application such as business capabilities, business processes, technology components, business lines



✓ *Provides an insight into the criticality of an application*

# Application Costs



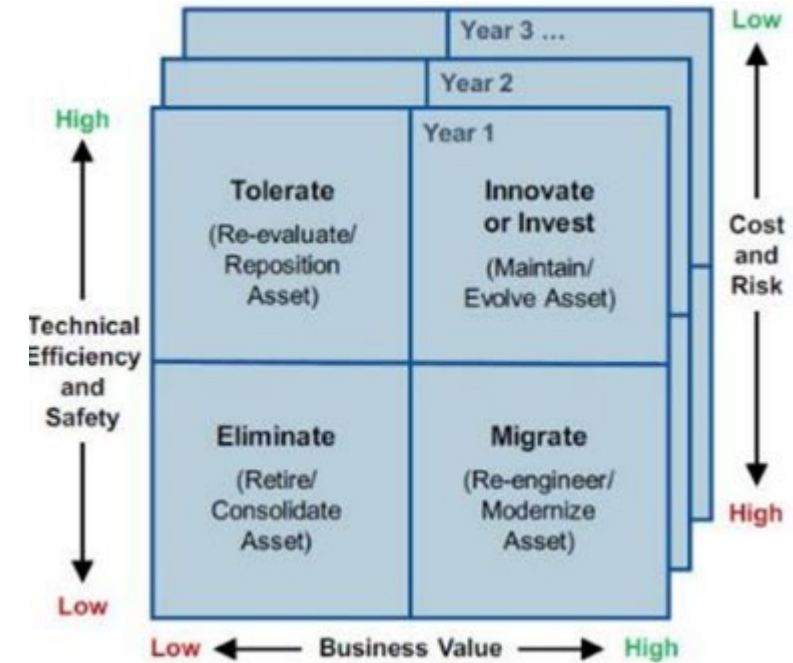
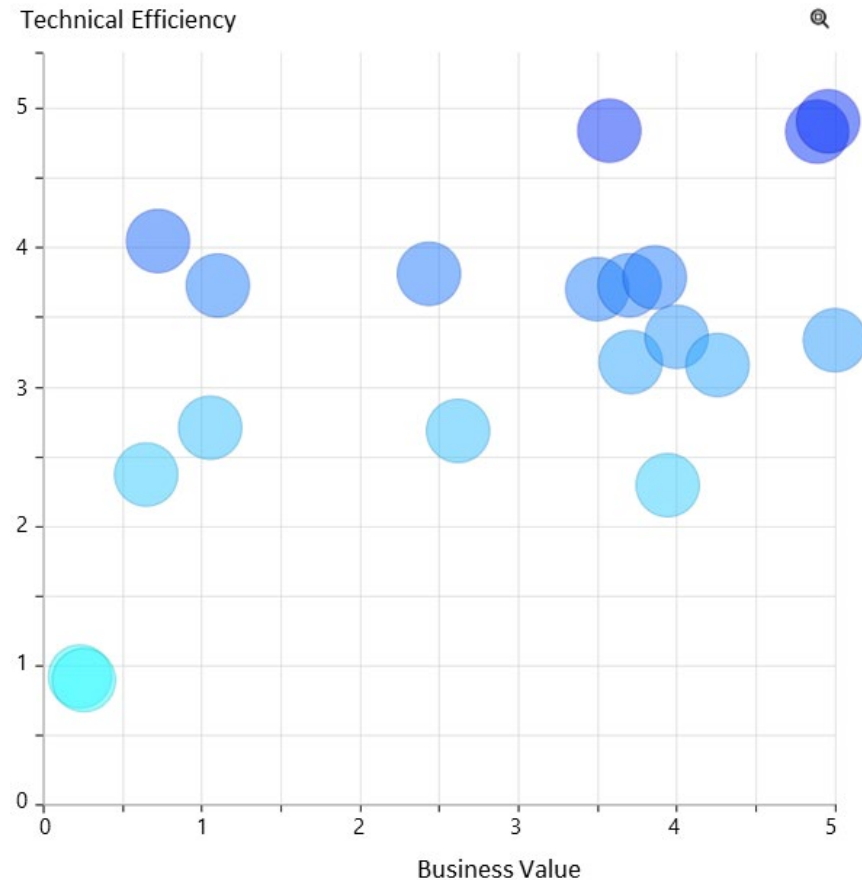
- Breakdown costs by:
  - Labor costs
  - Infrastructure costs
  - License costs
  - Service costs
- Plan costs over multiple years
- Include recurring / non-recurring costs

	2020	2021	2022
Manpower	€20,242,747.00	€19,151,432.00	€18,913,705.00
Infrastructure	€9,863,623.00	€9,116,742.00	€8,189,612.00
Software Licence	€9,194,940.00	€8,423,203.00	€7,710,343.00
Service	€2,989,200.00	€3,158,200.00	€3,501,600.00
Total	€42,290,510.00	€39,849,577.00	€38,315,260.00

✓ *Enables application owners to view cost structure as well as cost evolution over time*

# Assess Applications

- Assess applications based on their **business value** and **technical efficiency**



Source: Gartner



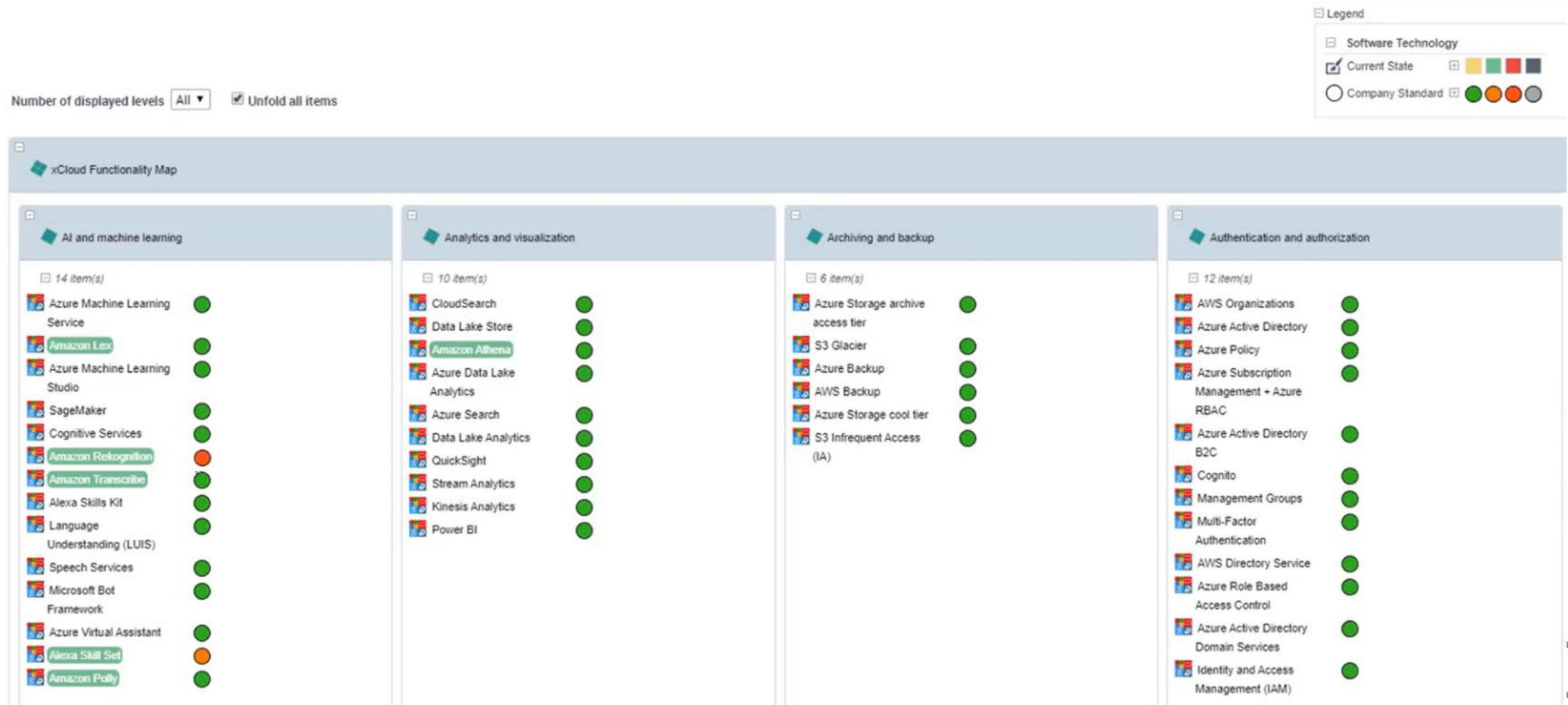
# Manage Technology Components

- List all underlying technology components used in applications
  - ✓ Provides enhanced monitoring of technologies including
    - Technology lifecycle,
    - Obsolescence
    - Compliance with company standards

<input type="checkbox"/>	Local name ↑	Company Standard	Vendor	Current State	Support Alert
<input type="checkbox"/>	 .NET Framework 3.0	 Prohibited	 Microsoft	 Retired	 Unsupported Usage
<input type="checkbox"/>	 .NET Framework 3.5	 Prohibited	 Microsoft	 Retired	 Unsupported Usage
<input type="checkbox"/>	 .NET Framework 4.0	 Approved	 Microsoft	 Confirmed	 Unsupported Usage
<input type="checkbox"/>	 .NET Framework 4.5.0	 Prohibited	 Microsoft	 Retired	 Unsupported Usage
<input type="checkbox"/>	 .NET Framework 4.5.1	 Approved	 Microsoft	 Confirmed	 Unsupported Usage
<input type="checkbox"/>	 .NET Framework 4.7.1	 Accepted	 Microsoft	 Emerging	 Unsupported Usage
<input type="checkbox"/>	 .NET Framework 4.7.2	 Approved	 Microsoft	 Emerging	 Unsupported Usage
<input type="checkbox"/>	 Alexa Skill Set	 Accepted	 Amazon Web Ser...	 Production	 NA
<input type="checkbox"/>	 Alexa Skills Kit	 Accepted	 Amazon Web Ser...		 NA

# Map Technologies by Technical Functionality

- Map your IT landscape from a technical perspective with technical functionalities
- View technology state such as compliance with company standards.










# Manage Data dictionary and Business Glossary

- Based on data dictionary, a full working Business Glossary can be initialized
- Enrich glossary concept includes definitions, pictures and synonyms
- Business glossary can also be initialized from and Excel Template Import Tool
- Share the glossary across the organization
- Build multiple glossaries depending on your needs

- ✓ *Seamlessly create business glossaries*
- ✓ *Gather in a single repository all the terms used in an organization so that everyone share the same understanding*

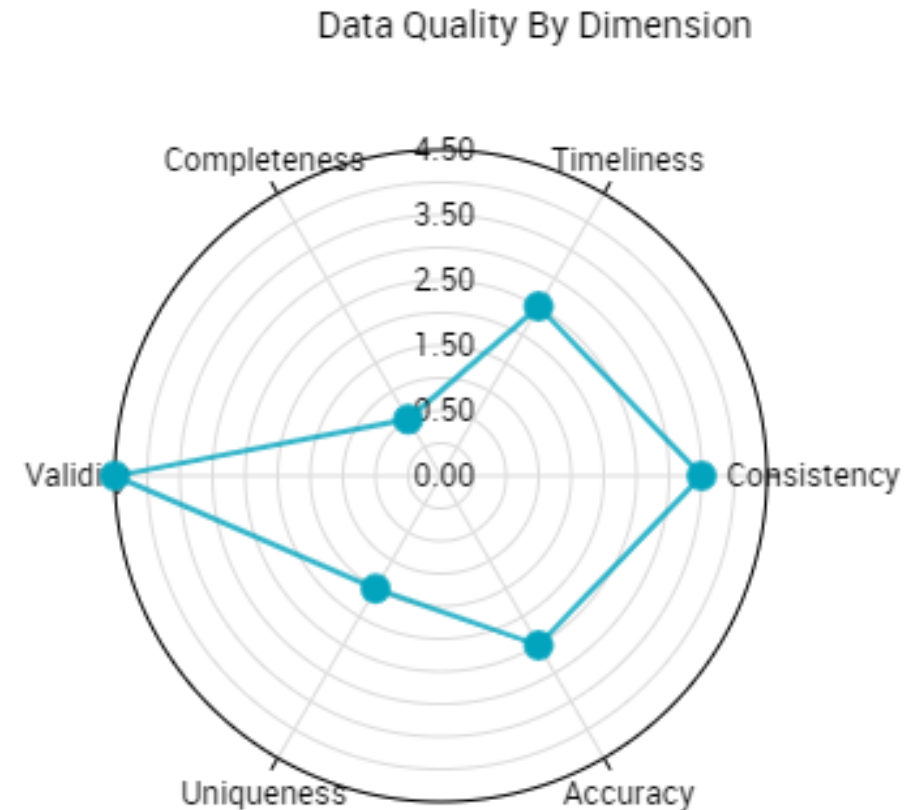
## Glossary Report - Airport

### Glossary Report - Airport i

Aircraft	<p> <b>Concept</b> 1. A device that is used or intended to be used for flight in the air.</p>  <p>(Synonyms) Airplane (Hypernyms) Asset (Defined Architecture Products)  Aircraft (Component 1) Flight: A journey made by flying, usually in an aeroplane (Type) Flight (Presence) Always (Cardinality) 1</p>
Aircraft Diagnostic Data View	<p> <b>Concept</b> 1.  (Defined Architecture Products)  Aircraft Diagnostic Data View</p>
Airline	<p> <b>Concept</b> 1. An organization providing a regular public service of air transport on one or more routes (Defined Architecture Products)  Airline (Component 1) Aircraft: A device that is used or intended to be used for flight in the air. (Type) Aircraft (Presence) Always (Cardinality) *</p>

# Assess Data Quality

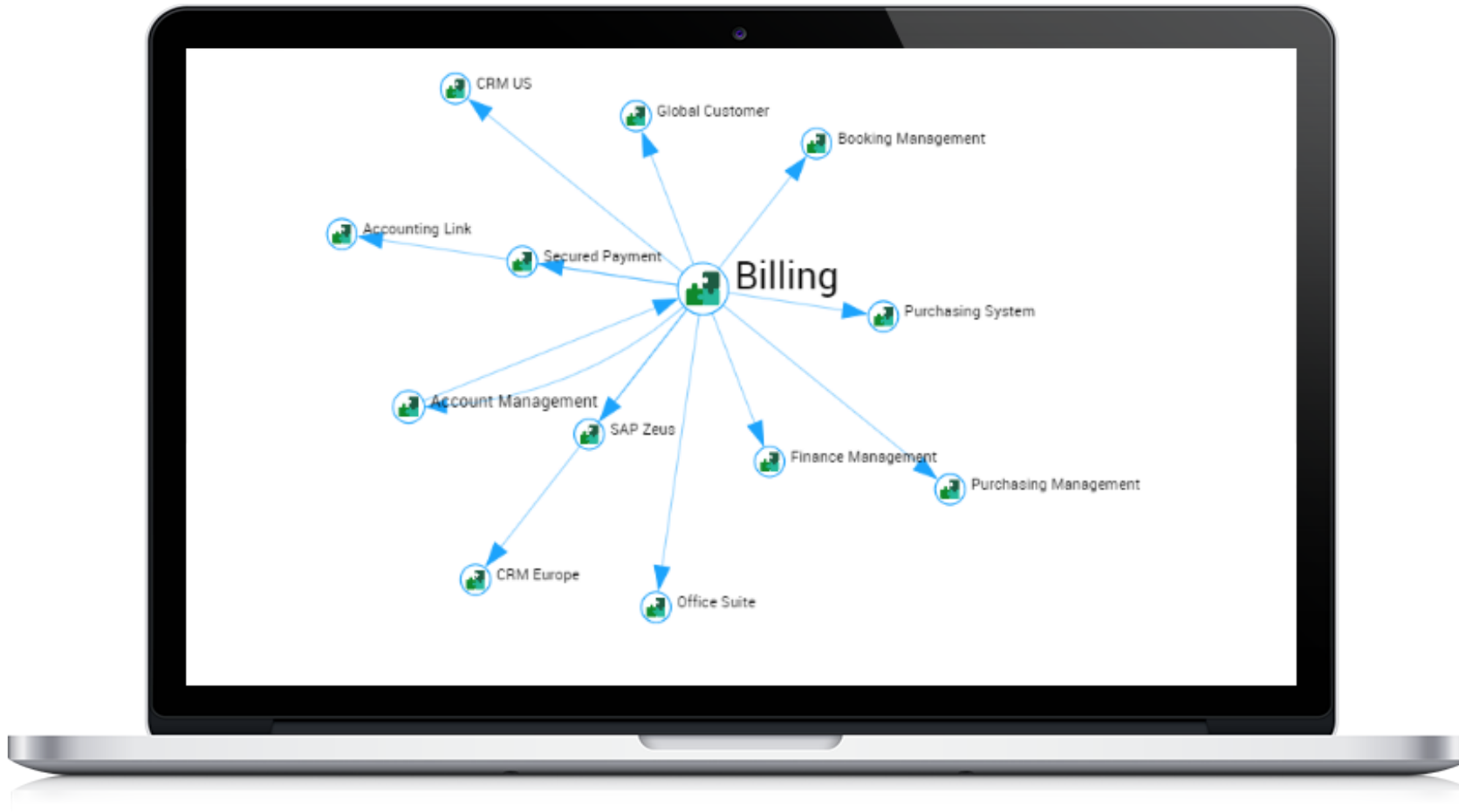
- Assess data quality under the six dimensions of data quality including Completeness, Uniqueness, Timeliness, Consistency, Validation and Accuracy.
- Campaigns can be set up to assess data quality by various stakeholders in the organization



- ✓ Get a clear understanding of the data quality in your organization
- ✓ Proceed to remediation plans to improve data quality

# View Data Flows

- Monitor data flows between applications within your organization



✓ *Get an understanding of the effort needed to remove an application*



# View Data Usage in Applications

- View how applications use the data of a data dictionary
- Connect applications and data through data stores.

Information Container	Owned Information	CRUD	Referenced Area	Information Stores	Store Owner	Store Access
📁 Booking	📄 Airline					
	📄 Booking	CRD	📄 Billing	📄 Billing	📄 Billing File Data	
				📄 Billing	📄 Billing	
		CRUD	📄 Booking	📄 Application External Data Store	📄 Billing	
	📄 Business Traveller					
	📄 Contact					
	📄 Flight					
	📄 Hotel					
	📄 Location	CRUD	📄 Airport Mobile	📄 Airport Mobile	📄 Airport Mobile	
	📄 Promotion					
	📄 Travel Agency					
	📄 Traveller					
	📄 Trip Package					

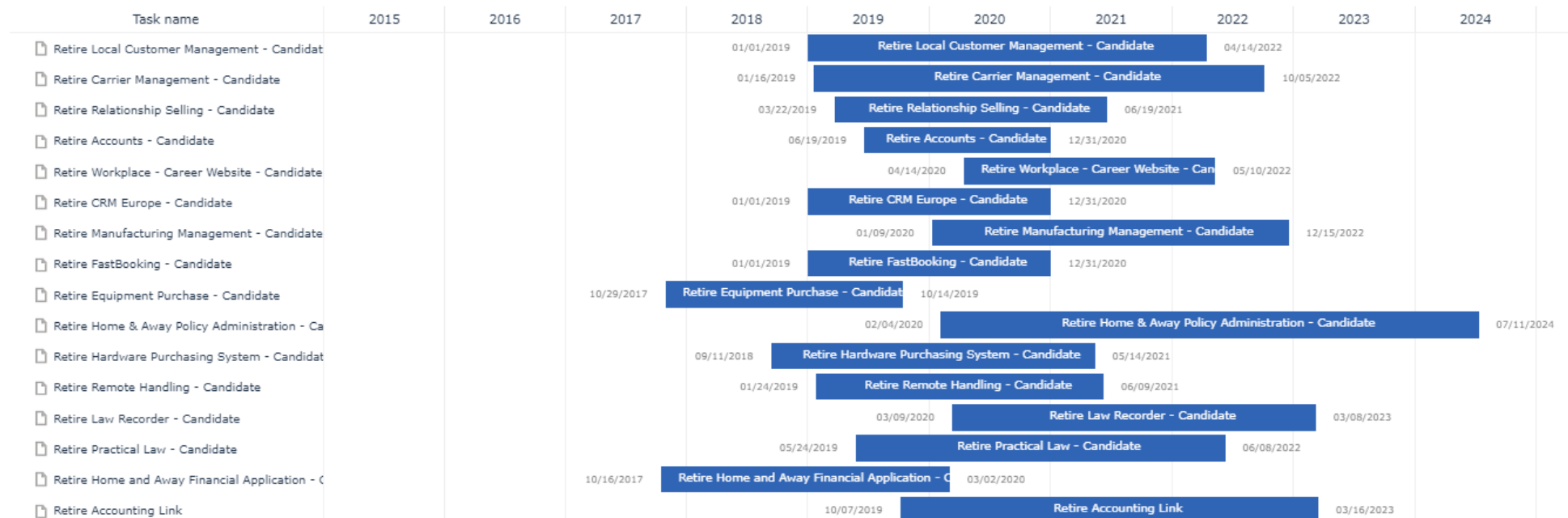
- ✓ Quickly understand the impacts of change in a data dictionary
- ✓ Provides traceability from business glossary, data dictionary and data usage in applications

# Transform IT



# Create transformation projects

- View all project timelines and deliverables in a single report
- View deliverables at risks



## 2. Projects Deliverables Roadmap

Project	Dependency (prerequisite)	Status	On Time ?	Project end date			2017	2018	2019	2020	2021
				Plan	Forecast	Actual					
Retire Local Customer Management - Candidate		Candidate Project	On Time	4/14/2022						Local Customer Management	
Retire Carrier Management - Candidate		Candidate Project	On Time	10/5/2022							Carrier Management
Retire Relationship Selling - Candidate		Candidate Project	On Time	6/19/2021						Relationship Selling	
Retire Accounts - Candidate		Candidate	On	12/31/2020						Accounts	

# Assess projects under various criteria

- Assess projects using various criteria such as strategic alignment, business value and risk and other criteria

3. Projects Assessment Summary Table

	Strategic Alignment Level	Business Value Level	Risk Level	Cost Level	Budget	Benefits	Return on Investment
Retire Local Customer Management - Ongoing	10 - Very High	10 - Very High	6 - Medium	8 - High	€100,000.00	€111,600.00	12%
Retire Carrier Management - Ongoing	9 - Very High	9 - Very High	7 - High	9 - Very High	€600,000.00	€1,034,416.00	72%
Retire Relationship Selling - Ongoing	10 - Very High	10 - Very High	8 - High	10 - Very High	€1,500,000.00	€1,945,855.00	30%
Retire Accounts - Ongoing	8 - High	8 - High	8 - High	9 - Very High	€1,000,000.00	€1,171,084.00	17%
Retire Workplace - Career Website - Ongoing	7 - High	7 - High	8 - High	8 - High	€2,000,000.00	€2,804,708.00	40%
Retire CRM Europe - Ongoing	9 - Very High	9 - Very High	10 - Very High	10 - Very High	€1,200,000.00	€3,594,462.00	200%
Retire Accounting Link - Ongoing	8 - High	7 - High	9 - Very High	9 - Very High	€5,000.00	€5,973.00	19%
Airport IOT Insourcing MRO - Ongoing	10 - Very High	10 - Very High	7 - High	9 - Very High	€5,000,000.00	€7,368,162.00	47%

✓ Assess your transformation projects with criteria **relevant** to your business

# Compare Transformation Scenarios

- **Compare transformation scenarios** based on costs and other criteria

Project	Cost Nature	2017	2018	2019	2020	2021
Retire Local Customer Management - Candidate	Manpower	€0.00	€0.00	€13,200.00	€13,200.00	€13,200.00
	Infrastructure	€0.00	€0.00	€24,000.00	€24,000.00	€24,000.00
	Sub-Total	€0.00	€0.00	€37,200.00	€37,200.00	€37,200.00
Retire Carrier Management - Candidate	Manpower	€0.00	€0.00	€264,921.00	€275,640.00	€275,640.00
	Sub-Total	€0.00	€0.00	€264,921.00	€275,640.00	€275,640.00
Retire Relationship Selling - Candidate	Manpower	€0.00	€0.00	€131,292.00	€168,804.00	€79,244.00
	Infrastructure	€0.00	€0.00	€24,985.00	€32,124.00	€15,080.00
	Software Licence	€0.00	€0.00	€114,652.00	€147,410.00	€69,201.00
	Sub-Total	€0.00	€0.00	€270,929.00	€348,338.00	€163,525.00
	Retire Accounts - Candidate	Manpower	€0.00	€124,371.00	€233,196.00	€0.00

Compare transformation scenarios based on costs



Compare transformation scenarios



# HOPEX Business Process Analysis

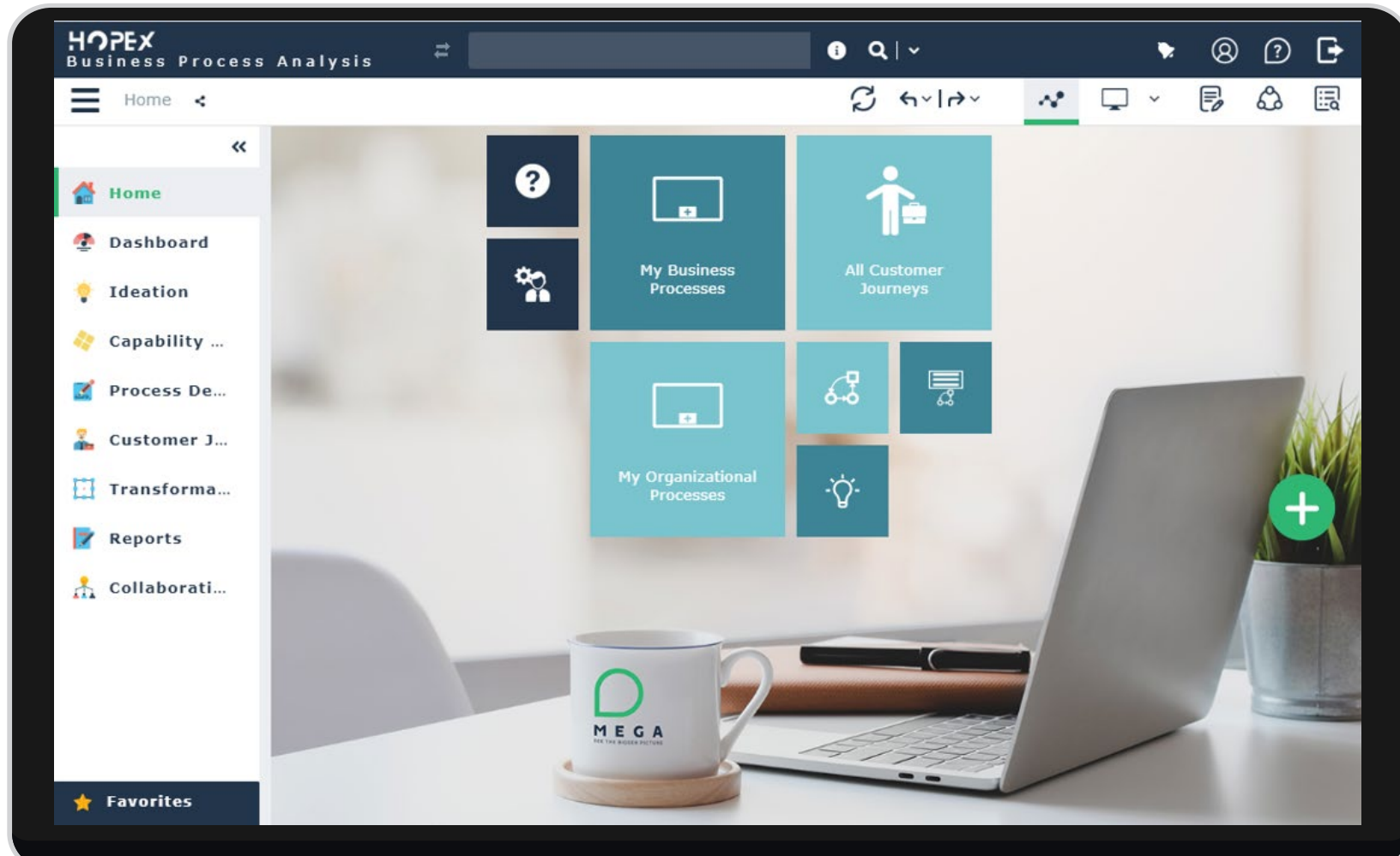




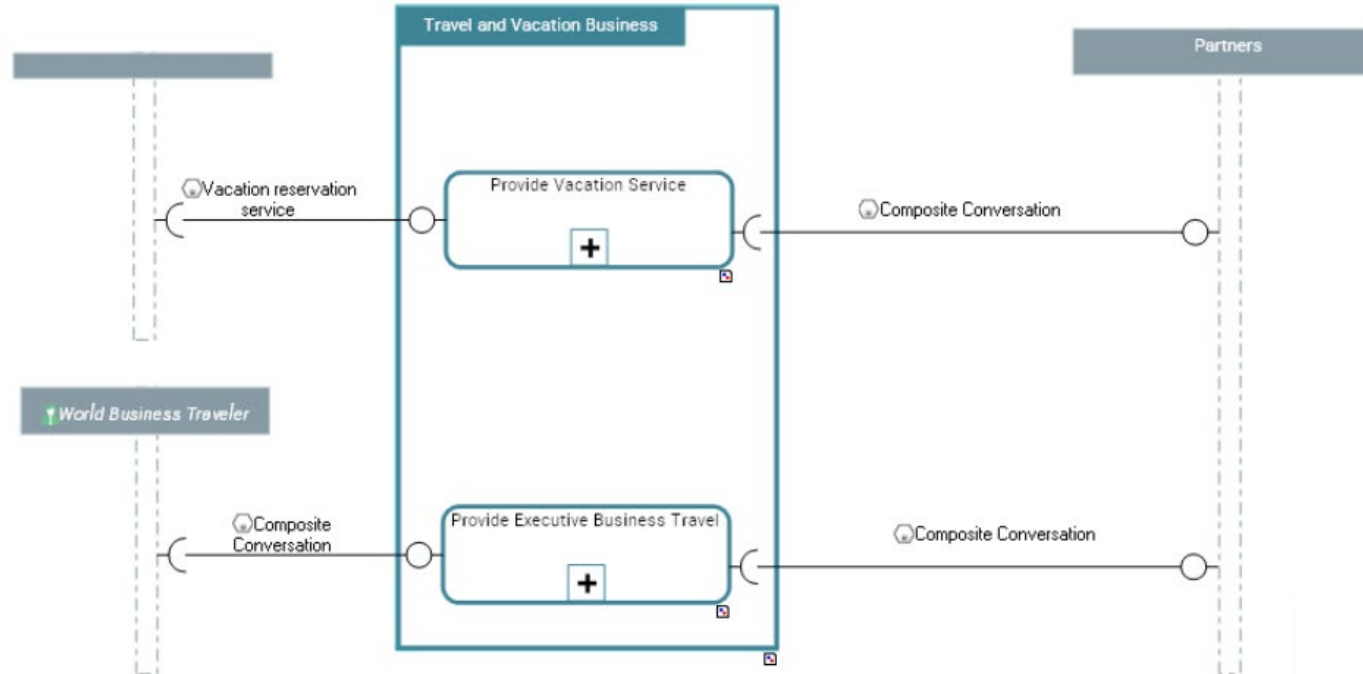
# HOPEX Business Process Analysis V4 Introduction

- HOPEX Business Process Analysis benefits from a new UI and redesigned process shapes to better communicate process optimization in the organization.
- It fully supports APQC to help structure processes, either cross industry or industry specific.

# HOPEX Business Process Analysis new UI



# Redesigned Business Processes

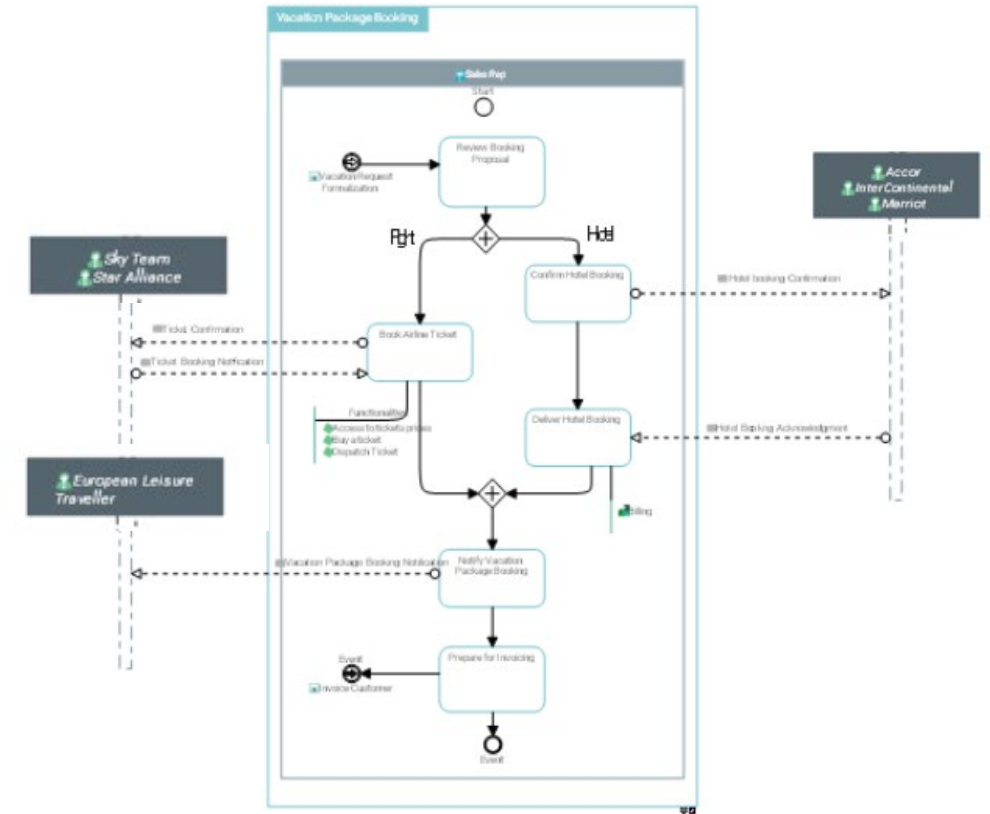
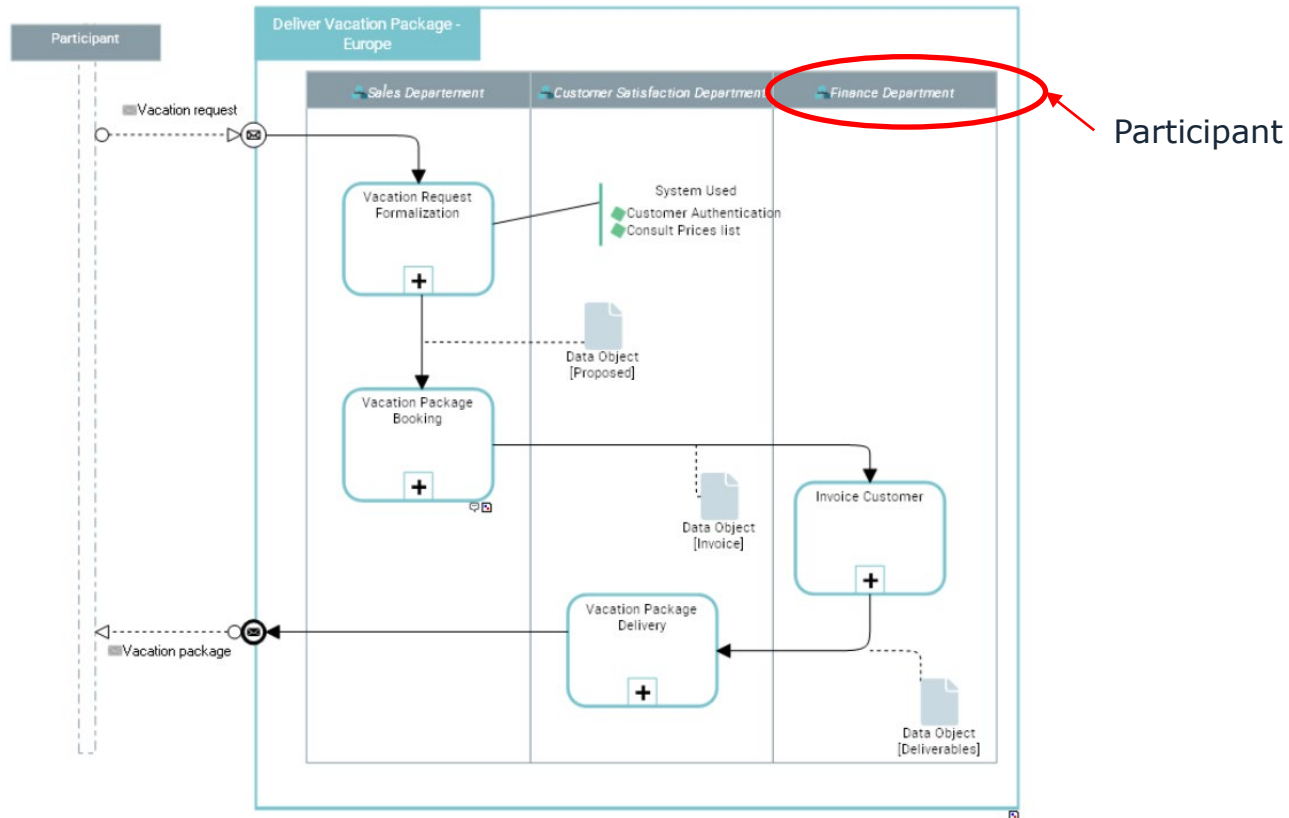


- Describe main business processes of an organization using the BPMN notation.
- Describe business structure of an organization.

- ✓ Provides an overview of all business processes in an organization
- ✓ Helps focus on important items by giving a comprehensive view of business processes

# Redesigned Organizational Processes

- Describe a sequence of operations and participants
- Assign participants to organizational units of the company.

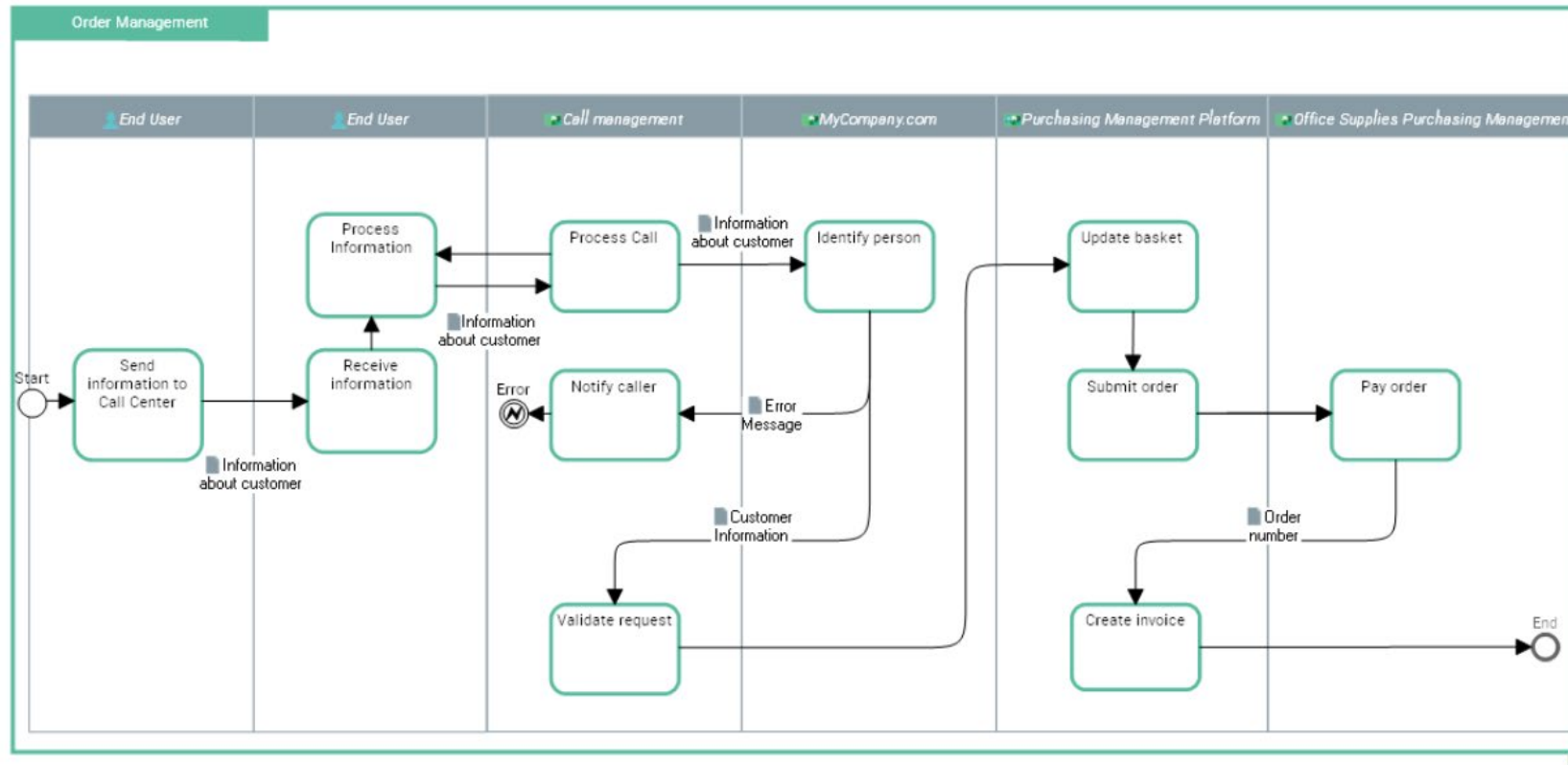


- ✓ Enables users to drill down to one or multiple sub-processes
- ✓ Each process item is stored in the repository for reuse purpose

Operations performed by a participant

# Redesigned System Processes

- Describe workflows, and sequences of tasks
- Tasks can be assigned to participants that represent applications, IT services or org-units (for interactive tasks).



- ✓ *Automatically check IT Architecture compliance with implemented workflows, based on data stored in the repository.*

# Use APQC framework to help structure your processes (either generic or industry-specific)

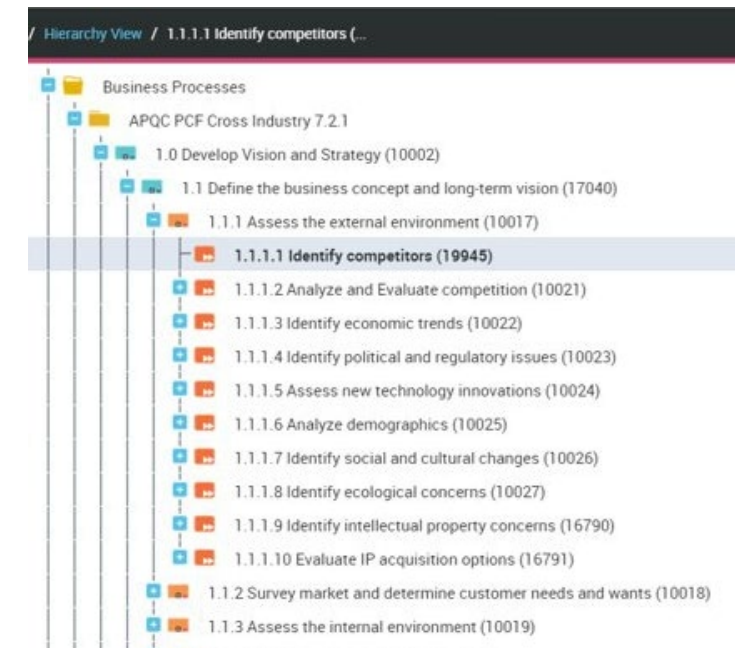


- APQC Implementation:

- The hierarchy structure of APQC can have up to four levels.
- Level 1 & 2 are implemented as business processes (blue) or value streams (yellow). The other sub-levels in value streams.

PCF ID	Hierarchy ID	Name
10002	1.0	Develop Vision and Strategy
10003	2.0	Develop and Manage Products and Services
10004	3.0	Market and Sell Products and Services
20022	4.0	Deliver Physical Products
20025	5.0	Deliver Services
20085	6.0	Manage Customer Service
10007	7.0	Develop and Manage Human Capital
10008	8.0	Manage Information Technology (IT)
17058	9.0	Manage Financial Resources
19207	10.0	Acquire, Construct, and Manage Assets
16437	11.0	Manage Enterprise Risk, Compliance, Remediation, and Resiliency
10012	12.0	Manage External Relationships
10013	13.0	Develop and Manage Business Capabilities

APQC Framework



APQC in HOPEX



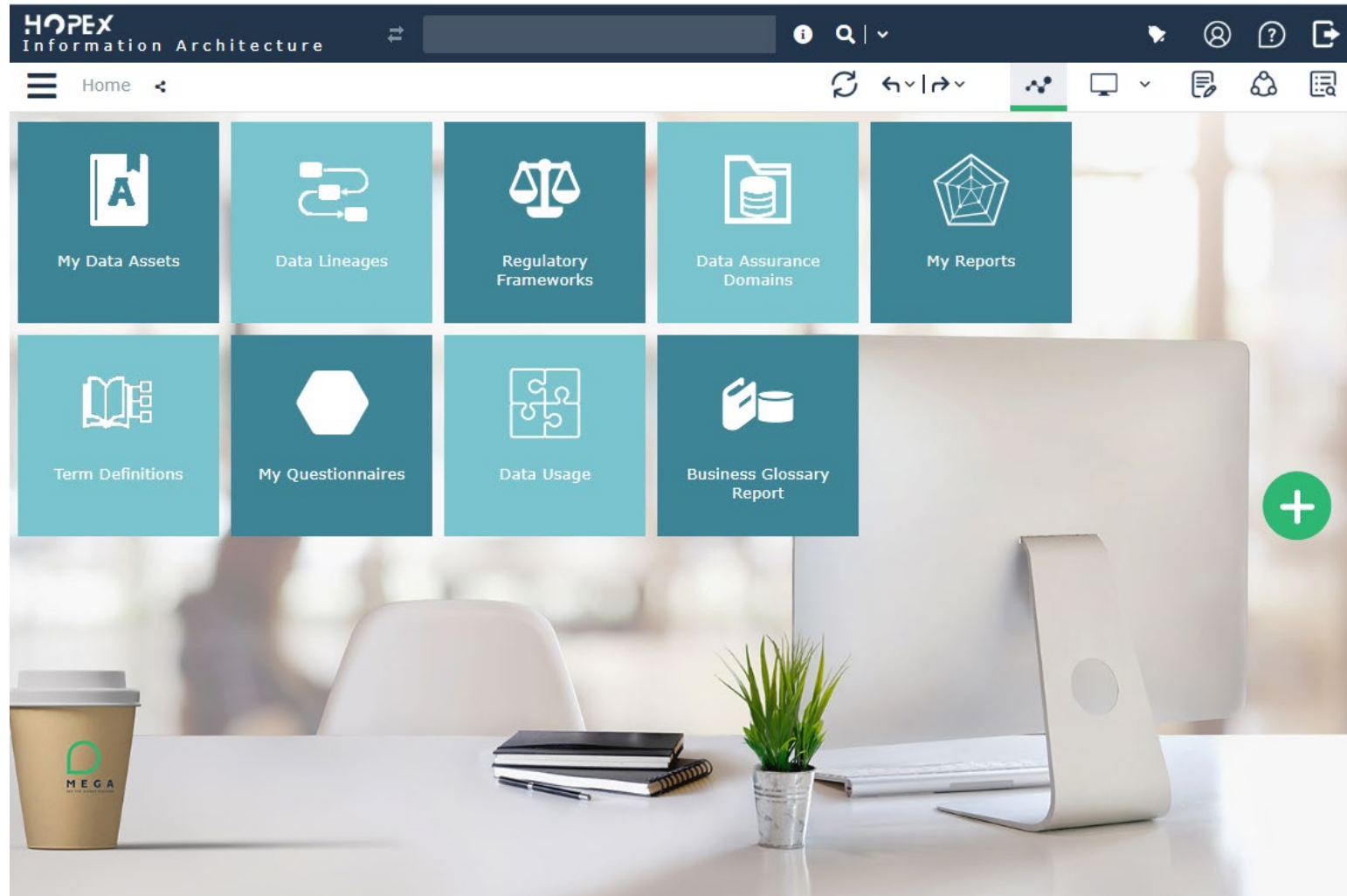
# HOPEX Information Architecture



# HOPEX Information Architecture Introduction

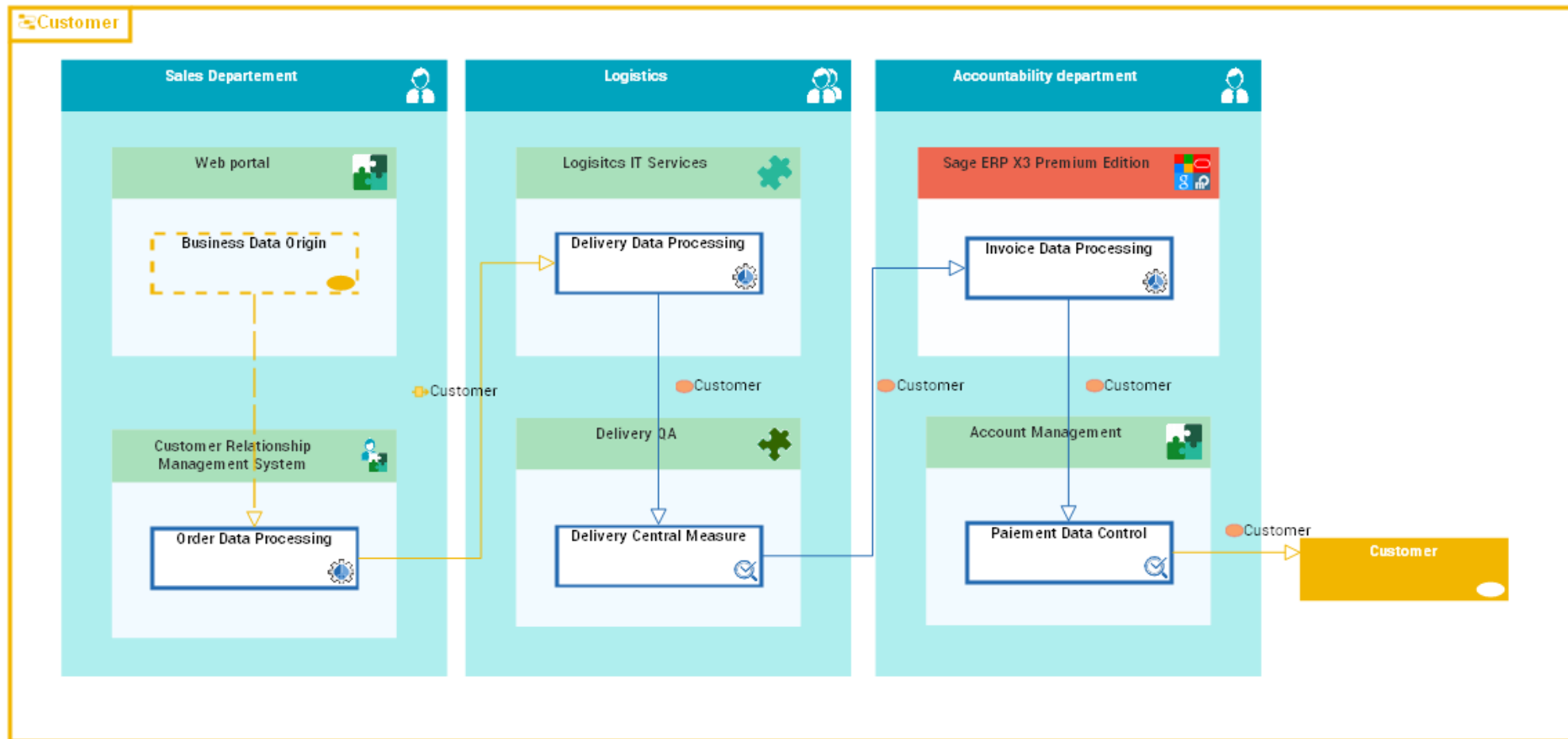
- HOPEX Information Architecture integrates new features to leverage enterprise data and tackle digital transformation.
- With this release, organizations can build a data glossary that can be used as a single source of truth by all business and IT stakeholders.
- They can ensure data compliance while managing data integrity and lineage.
- Organizations can share insights on data thanks to a new mobile app providing detailed information such as data glossary, data usage, data responsibilities and more.

# HOPEX Information Architecture New UI



# Data Lineage

- Describe the transformations that happen to the data. Data lineage diagrams include:
  - ✓ Applications, as well as technologies for external systems.
  - ✓ Data origin, processing type, control measurement and subject.
  - ✓ Different types of flows: standard and data flows (used when some new Data appear)
  - ✓ Definition of where applications are used and by who.

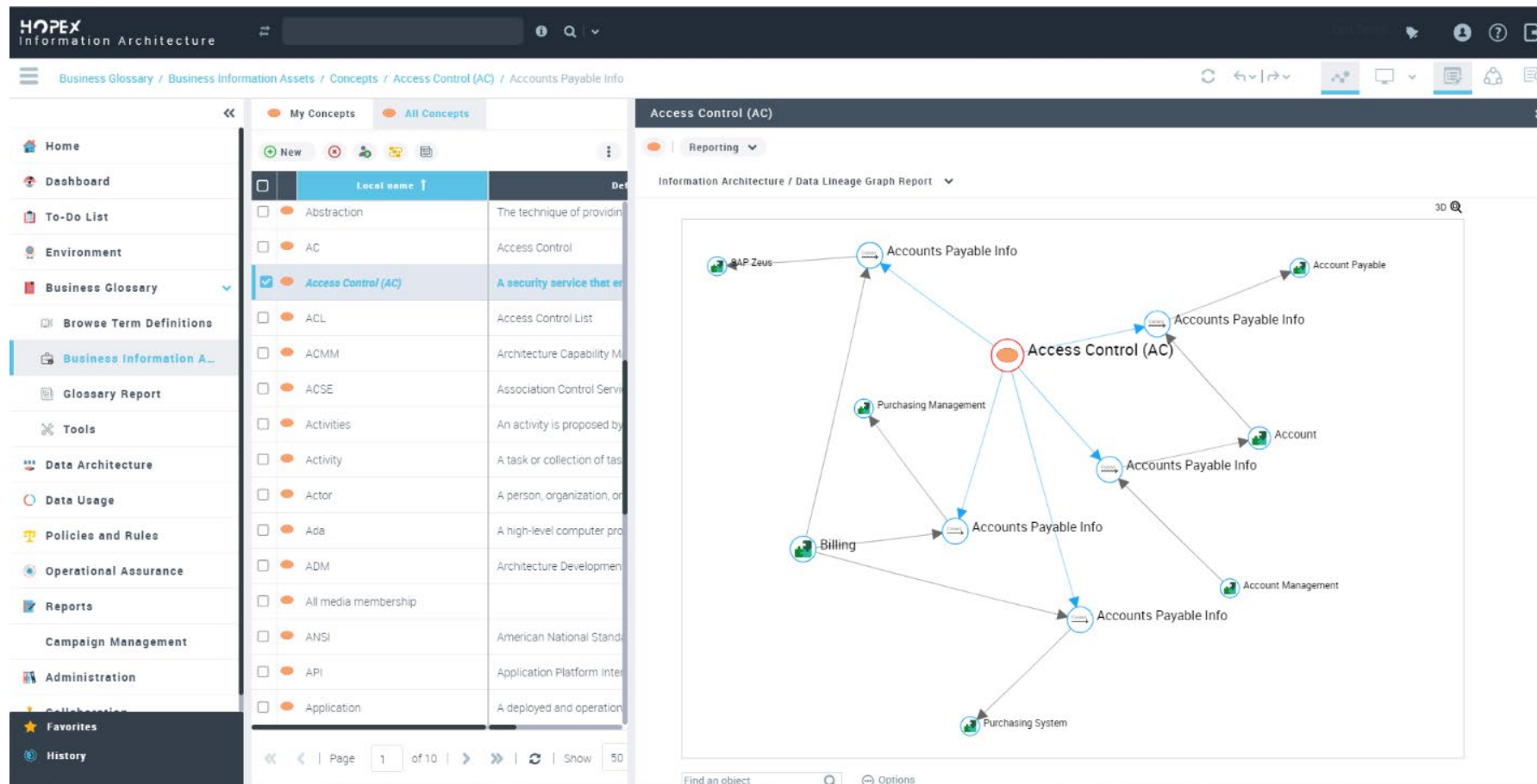


Map data lineage to understand how data is transformed



# Data Lineage Initialization

- Based on the data flows existing in the repository, data lineage diagrams can be automatically initialized from a graph report

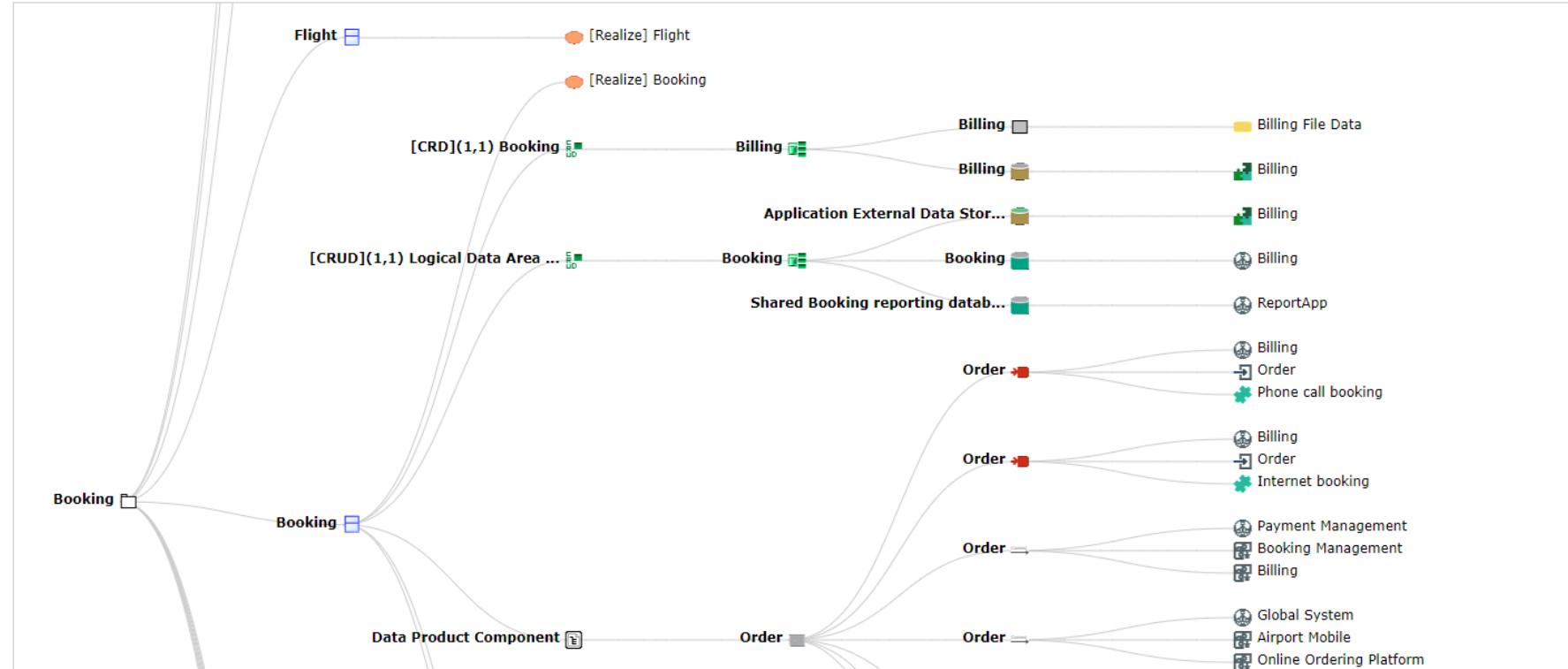


*Graph report for the data usage of a business concept*

# Data Usage in Applications

- View how applications use the data of a data dictionary
- Connect applications and data through data stores.

1. Use of Information Held by a Container (Dendrogram) Report Chapter



- ✓ Quickly understand the impacts of change in a data dictionary
- ✓ Provides traceability from business glossary, data dictionary and data usage in applications

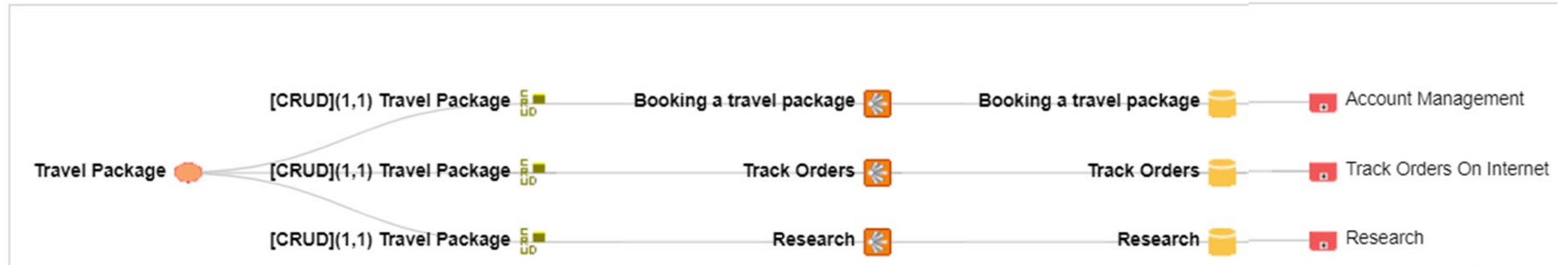


# Business Process Analysis Integration

- Link data and processes through flows or data stores

Legend:  Concept  CRUD  Data Domain  Data Store  Business Process

## 1. Use of information (Dendrogram) Report Chapter

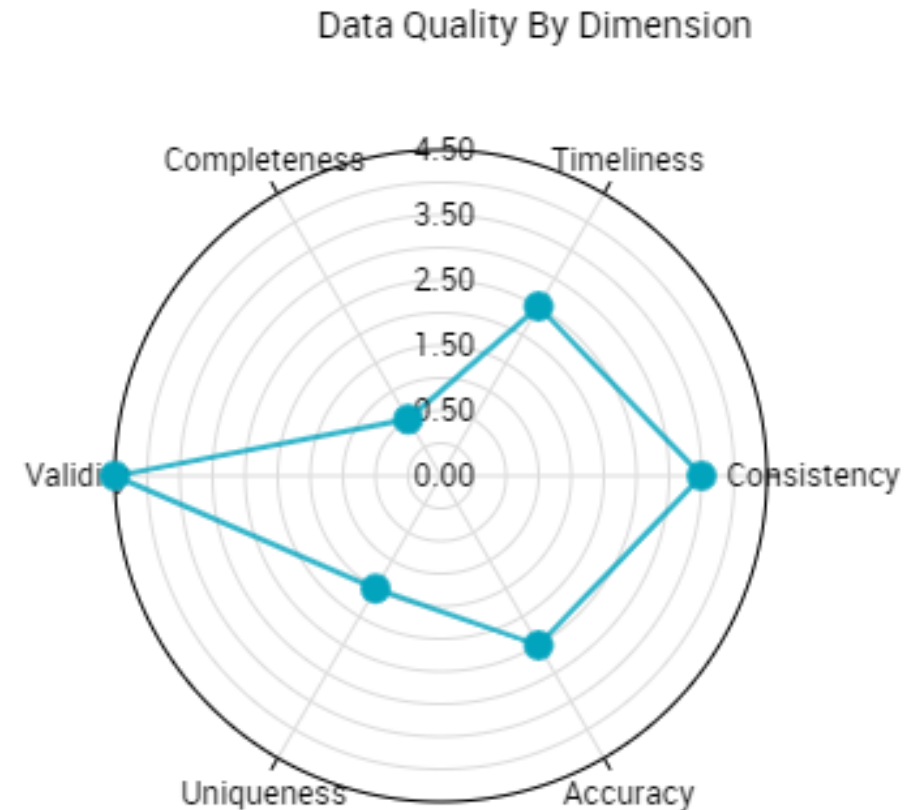


*The concept "Travel Package" is used in "Account Management", "Track orders on internet" and "Research" processes*

- ✓ Understand where data is used in processes to improve compliance to regulations.
- ✓ Understand the business criticality of a data

# Assess Data Quality

- Assess data quality under the six dimensions of data quality including Completeness, Uniqueness, Timeliness, Consistency, Validation and Accuracy.
- Campaigns can be set up to assess data quality by various stakeholders in the organization



- ✓ Get a clear understanding of the data quality in your organization
- ✓ Proceed to remediation plans to improve data quality

# Categorize Data

- Categorize data as **sensitive** or **golden**.
- This feature is common to HOPEX Privacy Management and HOPEX Information Architecture

ListHierarchy View

New

1 row(s) selected out of 21

	Data Category Name ↓	Retention Period	
<input type="checkbox"/>	Unique national identification number		
<input type="checkbox"/>	Union membership		
<input type="checkbox"/>	Sexual life or sexual orientation		
<input checked="" type="checkbox"/>	Sensitive	1 year	Data that can reveal racial and ethnic origin, religious or
<input type="checkbox"/>	Religious or philosophical convictions		
<input type="checkbox"/>	Racial or ethnic origin		
<input type="checkbox"/>	Political Views		
<input type="checkbox"/>	Personal life		
<input type="checkbox"/>	Location		
<input type="checkbox"/>	Judicial	10 years	Data that may reveal the existence of certain judicial measures
<input type="checkbox"/>	Health	1 year	Data generated by devices or applications used to gather a data
<input type="checkbox"/>	Golden Data		

Sensitive

Categorized Objects

Local name\*

Sensitive

Owner

Library

GDPR

Root Building Block

Connect

Short Name ↑	MetaClass
Booking	Entity (DM)

« < | Page 1 of 1 | > » | Show 50 elements

Concrete Categorized Classifier

✓ Helps comply with Privacy Management regulations such as GDPR and CCPA
















# Data Governance: Business Roles

- Business roles are aligned with the typical data roles in organizations to better manage responsibilities on data
- Any user in the solution can be assigned to any of these roles
- Database administrators and data engineers have limited rights

Business Roles	Tasks
<b>Data Designer</b>	<ul style="list-style-type: none"><li>• Enriches and maintains a data dictionary and data models. Contributes to data lineage.</li></ul>
<b>Data Owner</b>	<ul style="list-style-type: none"><li>• Defines access and usage of data. The data owner can be the original producer of the data, one of its consumers, or a third party.</li></ul>
<b>Data Steward</b>	<ul style="list-style-type: none"><li>• Lead manager in a data governance project. Works with business teams to define the objectives of a data governance project.</li></ul>
<b>Data Scientist</b>	<ul style="list-style-type: none"><li>• Brings together data designers and business managers</li></ul>
<b>Data Quality Manager</b>	<ul style="list-style-type: none"><li>• In charge of data quality. Sets up procedures to control incoming data.</li></ul>
<b>Data Chief Officer</b>	<ul style="list-style-type: none"><li>• In charge of the entire Data Strategy.</li></ul>
<b>Database Administrator</b>	<ul style="list-style-type: none"><li>• Administer databases in the organization. Retrieves SQL code from the tool.</li></ul>
<b>Data Engineer</b>	<ul style="list-style-type: none"><li>• Defines, develops, implements and maintains the appropriate tools and infrastructures for data analysis by data scientists</li></ul>

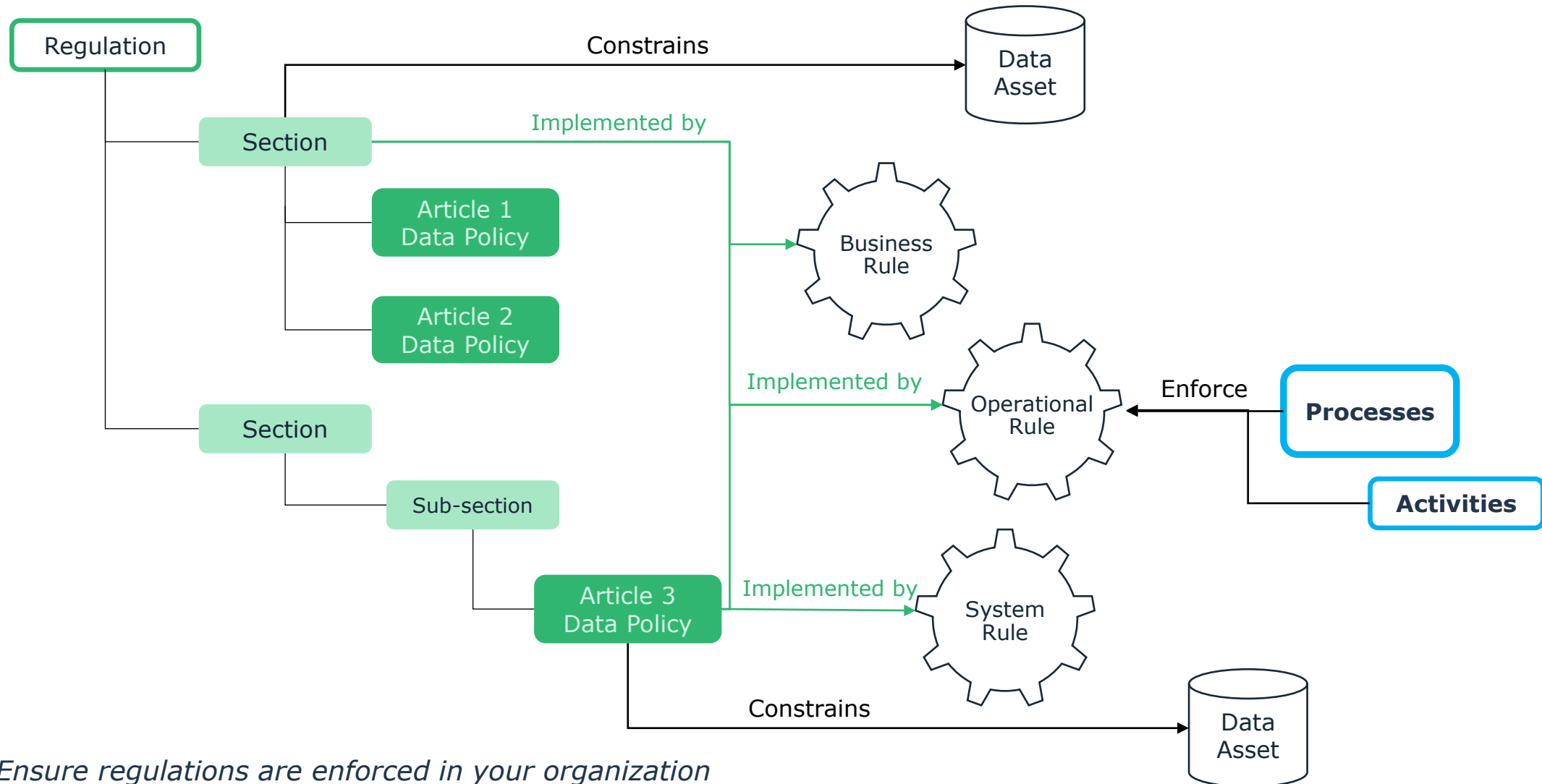
# Manage Data Policies

- Describe business directives and policies.
- Some standard regulatory requirements are provided out-of-the-box such as BCBS 239 and Solvency II.

Titles	Chapters	Chapter Articles
<p> I. Overarching governance and infrastructure</p>	<p> <b>Principal 1 Governance</b> A banks risk data aggregation capabilities and risk reporting practices should be subject to strong governance arrangements consistent with other principles and guidance established by the Basel Committee</p>	<p> 27 A banks board and senior management should promote the identification assessment and management of data quality risks as part of its overall risk management framework The framework should include agreed service level standards for both outsourced and inhouse risk data related processes and a firms policies on data confidentiality integrity and availability as well as risk management policies</p> <p> 28 A banks board and senior management should review and approve the banks group risk data aggregation and risk reporting framework and ensure that adequate resources are deployed</p> <p> 29 A banks risk data aggregation capabilities and risk reporting practices should be</p> <p> 30 A banks senior management should be fully aware of and understand the limitations that prevent full risk data aggregation in terms of coverage eg risks not captured or subsidiaries not included in technical terms eg model performance indicators or degree of reliance on manual processes or in legal terms legal impediments to data sharing across jurisdictions Senior management should ensure that the banks IT strategy includes ways to improve risk data aggregation capabilities and risk reporting practices and to remedy any shortcomings against the Principles set forth in this document taking into account the evolving needs of the business Se</p> <p> 31 A banks board is responsible for determining its own risk reporting requirements and should be aware of limitations that prevent full risk data aggregation in the reports it receives The board should also be aware of the banks implementation of and ongoing compliance with the Principles set out in this document</p>
	<p> <b>Principle 2 Data architecture and IT infrastructure</b> A bank should design build and maintain data architecture and IT infrastructure which fully supports its risk data aggregation capabilities and risk reporting practices not only in normal times but also during times of stress or crisis while still meeting the other Principles</p>	<p> 32 Risk data aggregation capabilities and risk reporting practices should be given direct consideration as part of a banks business continuity planning processes and be subject to a business impact analysis</p> <p> 33 A bank should establish integrated data taxonomies and architecture across the banking group which includes information on the characteristics of the data metadata as</p> <p> 34 Roles and responsibilities should be established as they relate to the ownership and quality of risk data and information for both the business and IT functions The owners business and IT functions in partnership with risk managers should ensure there are adequate controls throughout the lifecycle of the data and for all aspects of the technology infrastructure The role of the business owner includes ensuring data is correctly entered by the relevant front office unit kept current and aligned with the data definitions and also ensuring that risk data aggregation capabilities and risk reporting practices are consistent with firms policies</p>
	<p> <b>Principle 3 Accuracy and Integrity</b> A bank should be able to generate accurate and reliable risk data to meet normal and stress testing accuracy requirements</p>	<p> 36 A bank should aggregate risk data in a way that is accurate and reliable</p> <p> 37 As a precondition a bank should have a dictionary of the concepts used such that data is defined consistently across an organisation</p> <p> 38 There should be an appropriate balance between automated and manual systems Where professional judgements are required human intervention may be appropriate For many other processes a higher degree of automation is desirable to reduce the risk of errors</p>

# Regulatory articles, data policies, business rules

- Constrain data assets with data policy. Link rules to data policy. Enforce rules with processes





Characteristics - Characteristics

Comment

A bank's risk data aggregation capabilities and risk reporting practices should be:

(a) Fully documented and subject to high standards of validation. This validation should be independent and review the bank's compliance with the Principles in this document. The primary purpose of the independent validation is to ensure that a bank's risk data aggregation and reporting processes are functioning as intended and are appropriate for the bank's risk profile. Independent validation activities should be aligned and integrated with the other independent review activities within 13 the bank's risk management program, and encompass all components of the bank's risk data aggregation and reporting processes. Common practices suggest that the independent validation of risk data aggregation and risk reporting practices 14 should be conducted using

Definitions

New Reorganize Inherited Excluded

Short Name ↑	Text Definit
Business Directive Subject	Defining, gathering, and processing risk data according to the bank's risk re
<b>Business Directive Subject</b>	<b>The process by which the correctness (or not) of inputs, processing</b>

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Constrained Assets

New

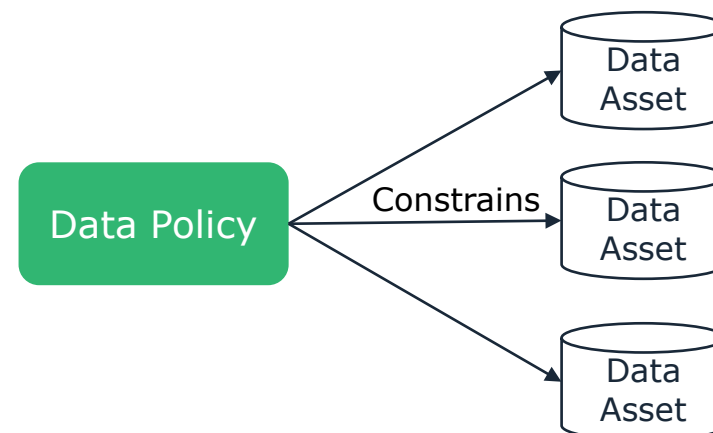
Name
Customer

The data concept "Customer" is tied to the policy "A banks risk data aggregation capabilities and risk reporting practice"

# Policy Constraints

- A data policy constraint can be applied to any data assets
- Data can be of any type including concepts and classes.

✓ Specify on which data asset the policy applies

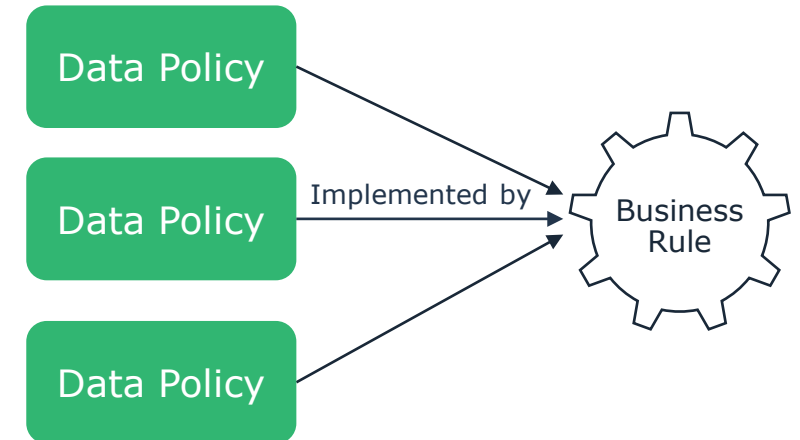


# Create Business Rules

- Create business rules to ensure that regulations are enforced
- Tie data policies to Business rules to relate a business rule to one or multiple data policies

Security Warning	
Business Policies	
Based on Business Policy	
New Connect	
Local name ↑	Policy Code
Security Warning Are Translated Into English and Spanish	Defense - SAR::C

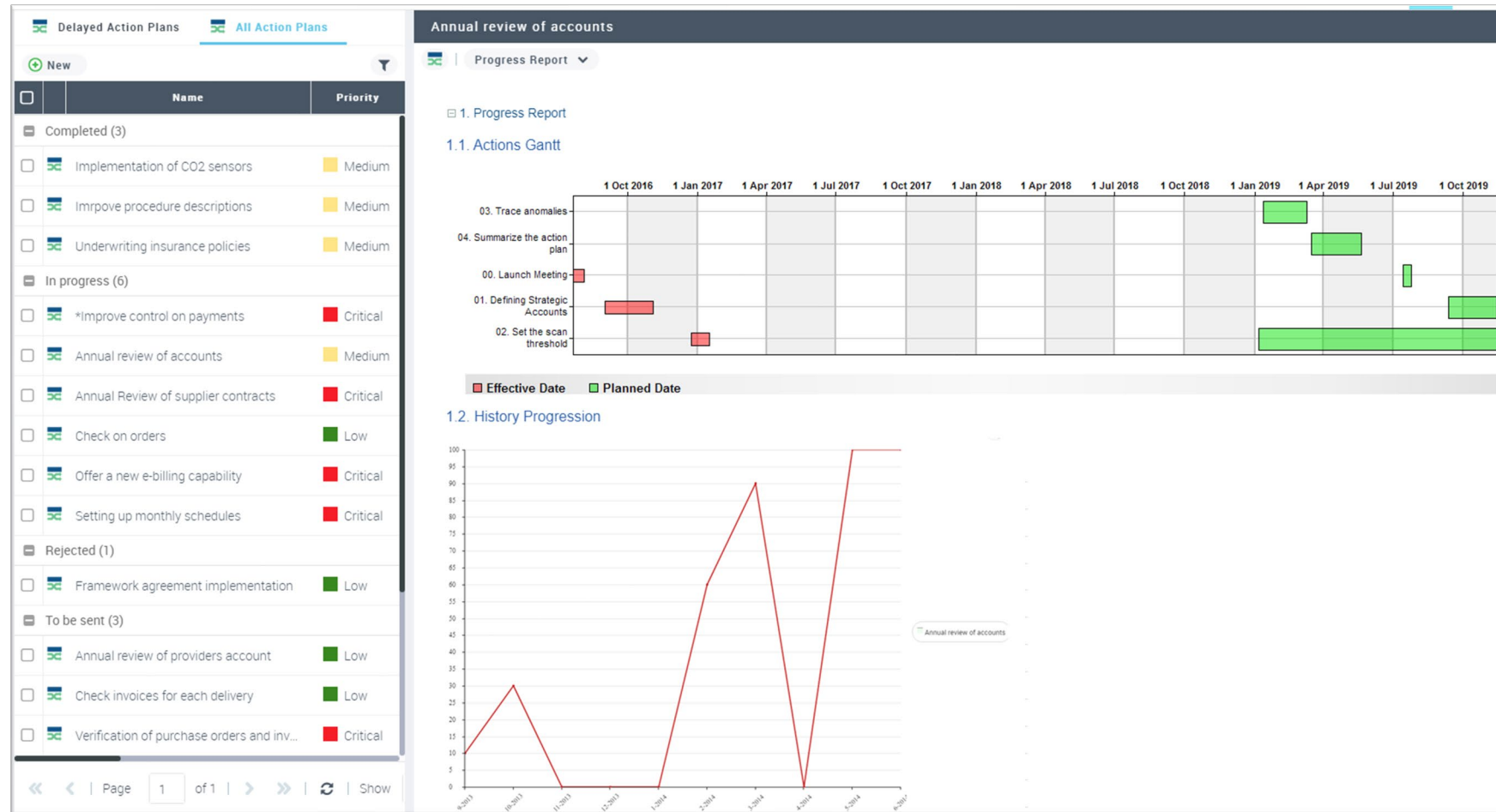
The policy “Security warnings are translated into English and Spanish” is tied to the business rule ‘Security Warning’



✓ Enables organizations to comply with regulations, enforce data policies, and reduce risks

# Define Remediation Plans

- Set action plans to remediate compliance breaches
- Remediation actions can take the form of application, infrastructure or data improvement projects



# HOPEX Integrated Risk Management

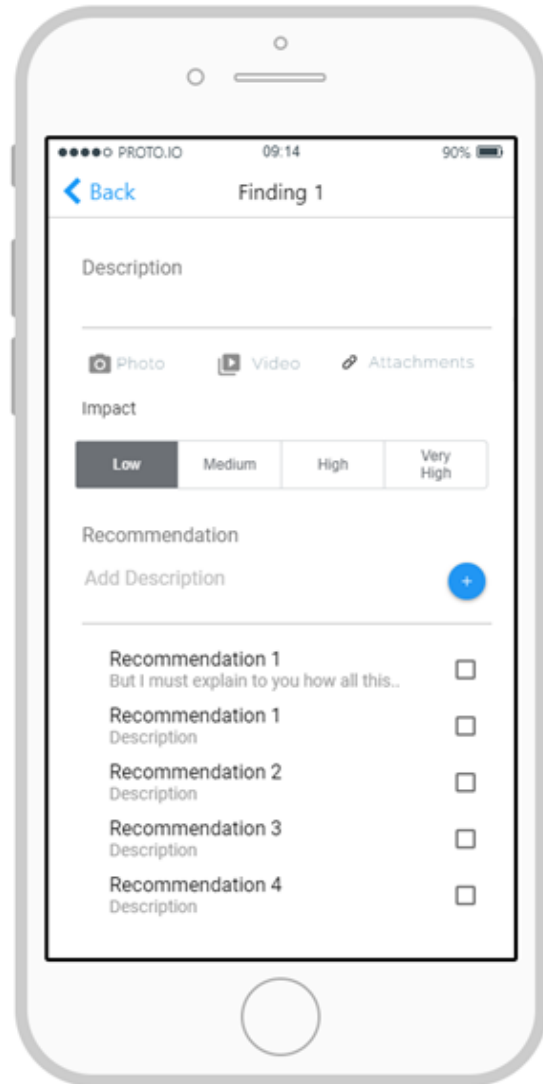


# HOPEX Integrated Risk Management Introduction

- HOPEX Integrated Risk Management now supports a new mobile application, HOPEX Audit Everywhere, to work remotely on audit activities, even with no internet connection.
- It also integrates with UCF to import regulation requirements to better manage compliance.
- Key Risk Indicators (KRIs) and custom questionnaires are now available to streamline risk management efforts.



# Audit Everywhere – Mobile app



As global market is rapidly evolving, companies need agile and easy to use mobile tools that enable greater productivity and high business outcome. Audit Everywhere improves auditor's productivity giving them the possibility to run and access audit from an easy to use interface online or offline.

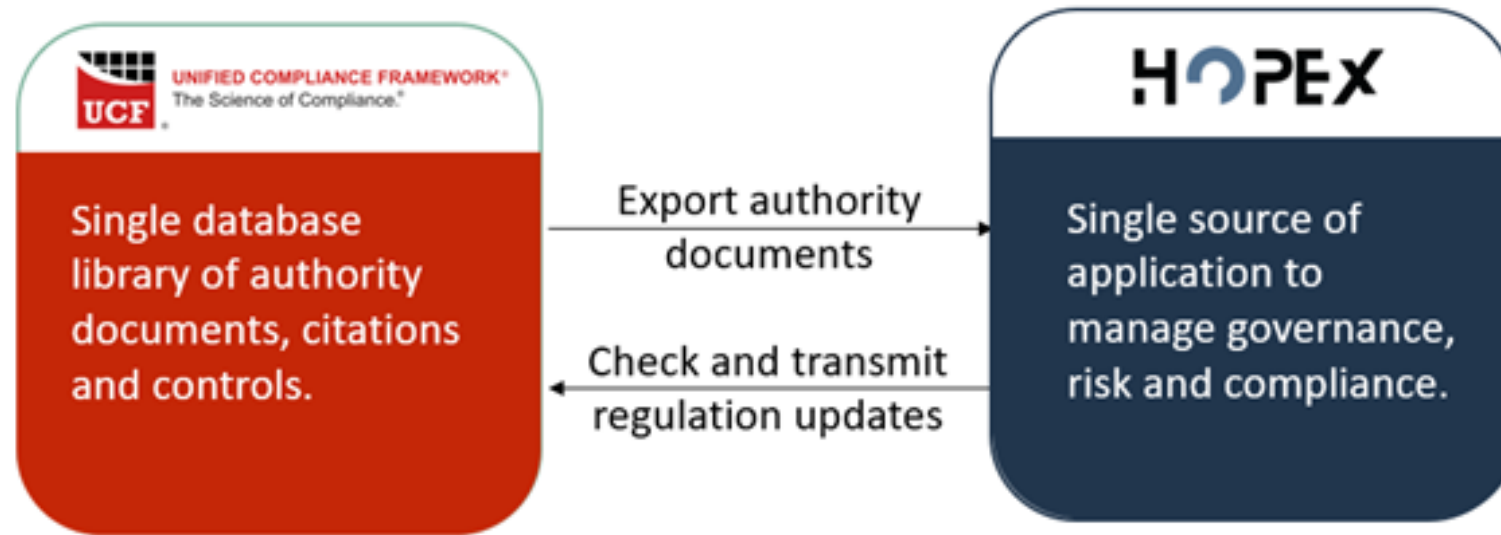
With Audit Everywhere, you can:

- **Easily access information in a few taps:** easily search for audit plans, recommendations, and findings
- **Work offline:** access and create audits in remote location having no internet connection.
- **Instantly upload documents:** attach any evidence such as pictures, videos or documents to a given audit

*HOPEX Everywhere is a progressive web application that can be used on any devices with a modern web browser: laptop, tablet or smart phone.*

# UCF Integration – To quickly import regulatory requirements into HOPEX

- The Unified Compliance Framework (UCF) is the big database library of interconnected compliance documents (more than 1000+ regulations and standards) including mapped authority documents, individual mandates, common controls and interconnected words and phrases.
- Mega has partnered with UCF to provide an out-of-the-box integration with HOPEX to import all regulatory content by a single click within the solution.



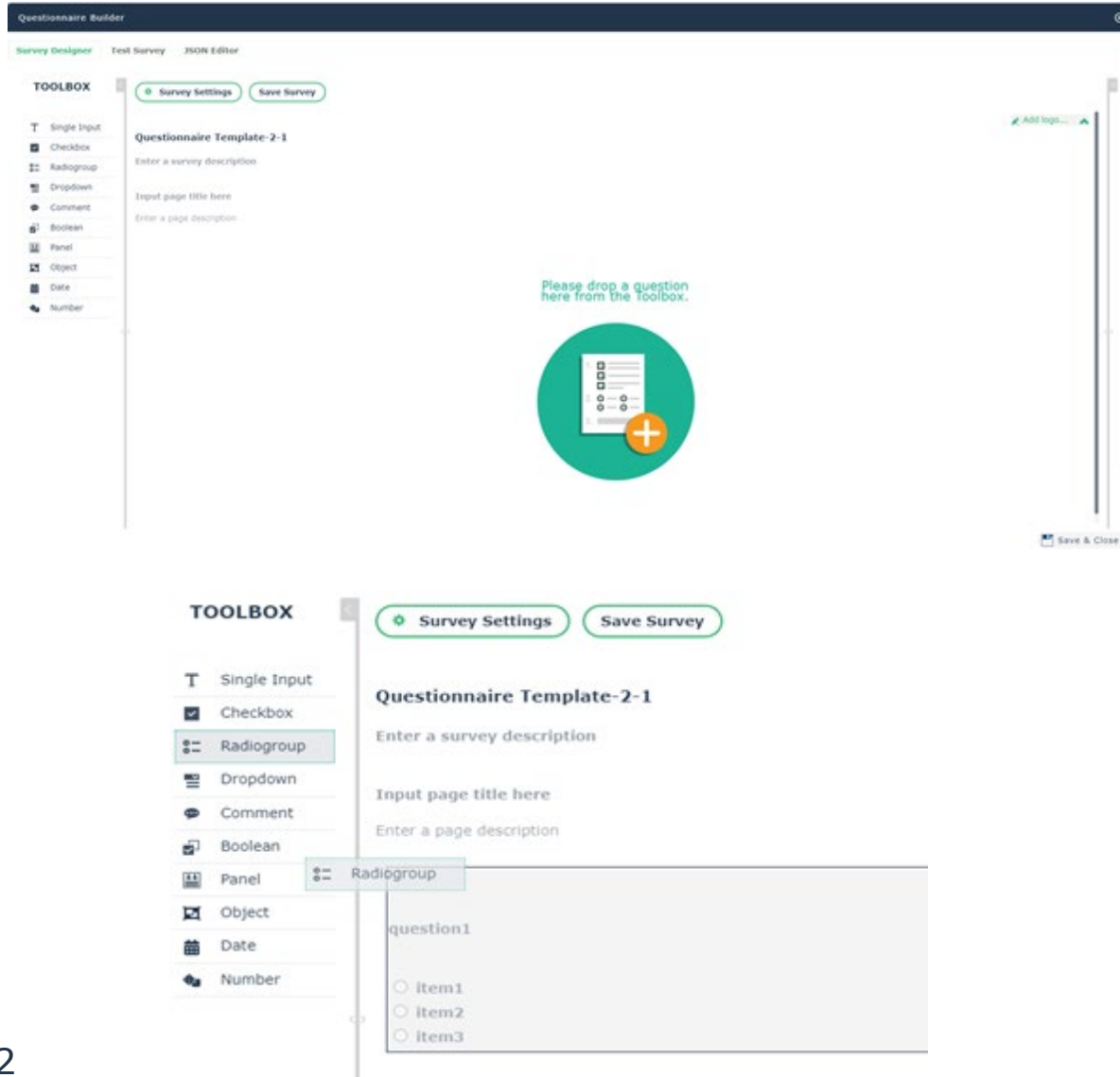
- ✓ *Avoid manual import of regulatory content and long import files*
- ✓ *All regulatory updates are notified and updated within the solution*

# List of important regulatory requirements tracked by UCF

<b>SOX</b>	<b>COSO</b>
<b>Basel II</b>	<b>HIPAA</b>
<b>PCI DSS</b>	<b>COBIT 4.0</b>
<b>NIST</b>	<b>ISO 27001</b>
<b>EU Data Protection 95/46/EC</b>	<b>UK Data Protection Act</b>
<b>Canada Economy Act Bill</b>	<b>Mexico Federal Personal Data Protection Law</b>
<b>Austria, Czech, Finland, France, German, Hungary, Italy Netherlands, Poland, Luxembourg, South Africa Data Protection Act</b>	<b>Australia Privacy Act</b>
<b>HK Personal Data Ordinance</b>	<b>India ITA 2000</b>
<b>Japan Protection of Personal Data</b>	<b>NZ Privacy Act</b>

**Note:** There are many more standards covered by UCF Framework which are not listed in above table. Please refer to UCF content directory for full list.

# New Drag-and-Drop Questionnaire Builder



- Building an assessment template from scratch can be easily achieved through a new questionnaire builder.
- The new dynamic questionnaire builder adopts a WYSIGWYG (What You See Is What You Get) interface.
- This new interface allows users to directly edit questions content via a simple edit button and quickly re-arrange questions through drag-and-drop functionality.

# Key Risk Indicator (KRI)

- Key Risk Indicator (KRI) are metric used by organization to provide an early warning of increasing risk exposures in various area of the enterprise.
- Each indicator has a dashboard which provides the following information:
  - **Indicator status** – This widget shows the quick status of the indicator which is automatically computed by the system.
  - **Measurement freshness** - This indicates the time when the data was last computed.
  - **Time to failure** - This indicates the forecasted value in number of days before the KRI fails.



# KRI (Key Risk Indicator) and KPI (Key Performance Indicator)

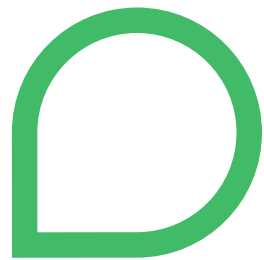
- KPIs are typically designed to offer a high-level overview of organizational performance and to analyze trends and monitor performance of enterprise.
- KRIs are designed to help understand increasing risk exposures in various areas of the enterprise.

- User can add various widgets and indicator graph to get the trend of lower threshold, higher threshold and values over the time in a graphical representation as shown in the figure.
- This graph can help companies to understand risk exposure and continuous monitoring of potential risks.

1. Indicator Graph







**DEGA**

SEE THE BIGGER PICTURE