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# From Blueprint to System of Action

Making Operational Resilience Scalable and  
Sustainable

# Webinar Agenda

Just ahead of the UK Operational Resilience March regulatory milestone, global financial services firms have defined their North Star for resilient operations. Blueprints fashioned out of a myriad of spreadsheets and documents, teams are now tasked with making these frameworks actionable for their enterprise.

There is a better way. Get an inside look on how some of the world's most trusted financial services organizations use Fusion to drive operational agility for their business, including:

- Top operational resilience challenges, goals, and use cases
- Using real-time visibility into risks and issues as they occur, stopping disruption in its tracks
- Transforming insight into informed action, driving competitive leverage and business value
- Preview Fusion's first half 2022 innovations



# Introductions



**Rich Cooper**

Head of Global Financial  
Services Strategy



**Ryan Shea**

Solutions Engineer



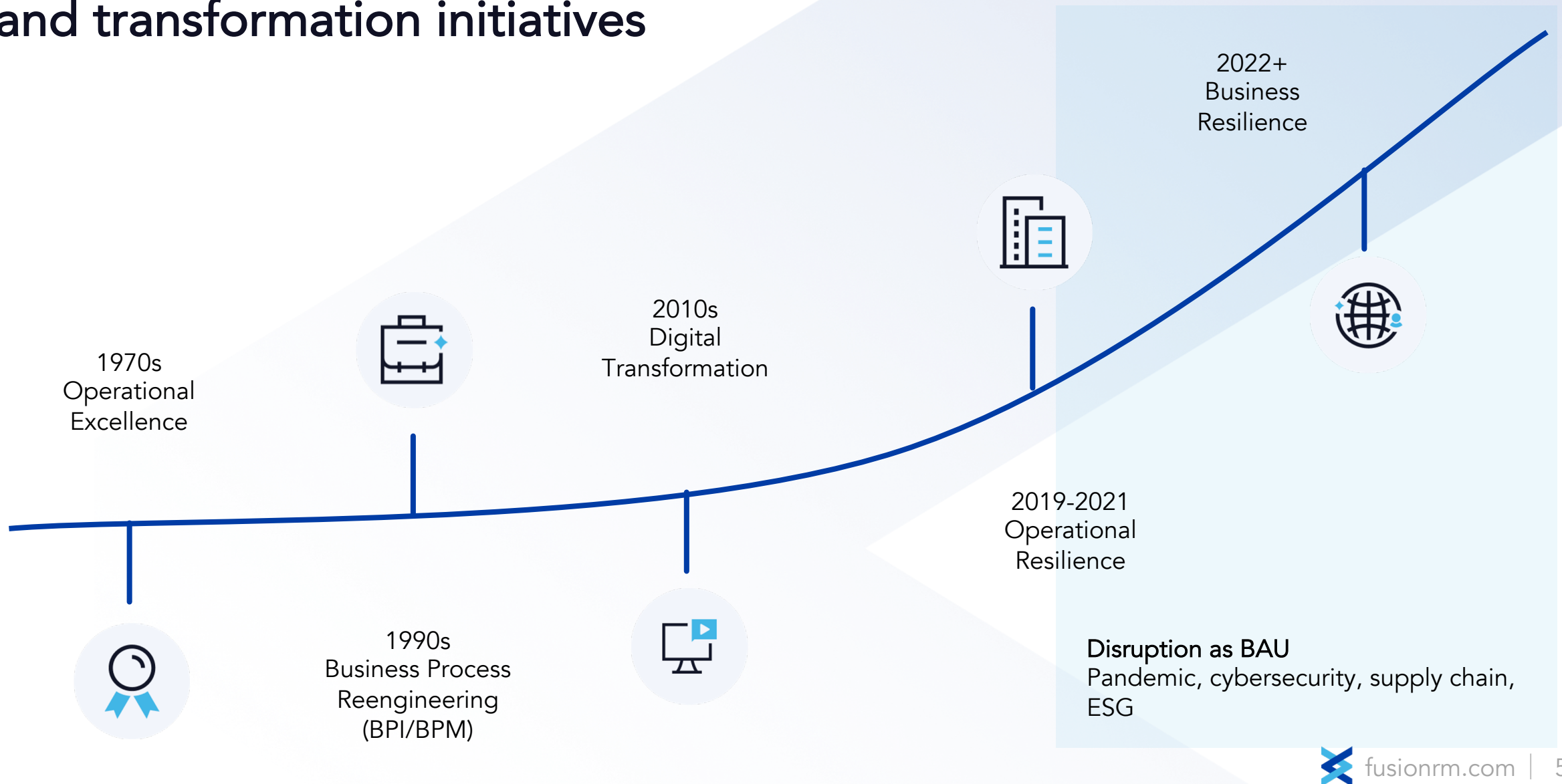
**Paula Fontana**

Sr Director, Product and  
Partner Marketing

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# Operational Resilience Use Cases

# Resilience is turbocharging organizational and process optimization and transformation initiatives



“The policy we introduced last March seeks to drive better outcomes for consumers, clients, and markets. Otherwise, disruptions could harm markets integrity, create potential instability in the financial system or threaten the viability of firms. We've designed the operational resilience policy to help you help yourselves. While we know that complying with it will take considerable time and investment, you are to an extent future proofing your business. You're investing to make sure your important business services can withstand the unknown. And in case of any material disruption, can be recovered in the timely manner to minimize impact to consumers. That future proofing element is vital because you can't always predict what is going to happen. Cyber threats will always evolve. COVID continues to cause uncertainty and strain. So you need to remain on the front foot.

As I've said, disruption is inevitable. And in the 10 months since we've published the policy, we have seen that borne out. In that time, we've seen customers unable to access their money. Some of the world's most significant websites becoming unavailable and worrying vulnerabilities arising that may have been exploited by malicious actors. Time and again, we are being reminded that the threats to your ongoing business services are real, evolving and may even be increasing. It's your readiness, therefore, that determines the outcome. Now it's January still and many of us will recently have set ourselves a new year's resolution or two. Whether you are looking to run a marathon, learn a new language, or eat more healthily, it can help to have checkpoints to see how you are doing, and whether you are on track to achieve your goal.”

**Suman Ziaullah**

Head of Technology resilience and Cyber, FCA

“So, the reality is that the alignment that we want to achieve is that alignment at the principle level, because we recognize that a perfect alignment in all the details and expectations between all regulatory bodies internationally, is going to be impossible. In fact, it is a rare thing.

So a perfect alignment will be rare, but the key thing here is as long as the principles are aligned, then we believe that firms should be able to work together and really work around any, I would say, differences in implementation, but aligning to the outcomes that we're looking for. So, I think the key thing here really is the outcomes that we're looking for, I believe are primarily aligned. So, I think the last point I would make it really to say that operation resilience as a topic is not new. Right? Many of the major jurisdictions today already have different regulatory expectations or supervision aspects that really contribute to resilience.










Some of this could be the way of their risk management frameworks or expectations around risk management frameworks. [We] talked a lot about third party and outsourcing, but there are also expectations around business continuity. So all these so-called practices, frameworks contribute to resilience, and we are continuing to engage with different jurisdictions and setting standard, setting bodies, to ensure that as we continue this journey, our principles are aligned.”

**Wai Keong Lock**

Senior Technical Risk Specialist, Bank of England

# Regulatory Landscape – Operational Resilience

Direct Regulations

|                               |  |  |   |  |   |
|-------------------------------|--|--|---|--|---|
| <b>Operational Resilience</b> | <b>PRA / FCA (BOE)</b><br>Op Res: Impact Tolerances for Important Business Services<br>   | <b>EU DORA</b><br>Digital Operational Resilience Act<br>   | <b>OCC</b><br>Sound Practices to Strengthen Operational Resilience<br> | <b>BASEL</b><br>Principles for Operational Resilience<br> | <b>ISO</b><br>22316: Organizational Resilience<br> |
|-------------------------------|--|--|---|--|---|

Supporting Regulations

| Business Continuity, IT Continuity, and Crisis Management   |   | Cyber Resilience & IT Recovery  |   | 3rd Party and Supply Chain  |  |
|---|---|---|---|---|--|
| <b>FFIEC</b><br>IT Handbook – Business Continuity Management Booklet<br>   | <b>PRA</b><br>Operational Continuity in Resolution<br> | <b>NIST</b><br>Developing Cyber Resilient Systems<br>  | <b>ECB</b><br>TIBER-EU Testing Framework<br>    | <b>PRA</b><br>Outsourcing and 3rd Party Risk Mgmt.<br>  | <b>EBA</b><br>Guide-lines on Outsourcing Arrangements<br>   |
| <b>ISO</b><br>22301 BCM Systems Requirements<br>   | <b>BCI</b><br>Good Practices Guideline – BCM<br>     | <b>FSB</b><br>Effective Practice for Cyber Incident<br>   | <b>ISO 2700 Series</b><br>Cyber Security Certification Framework<br>   | <b>ISO</b><br>22318 – Guidelines for Supply Chain Continuity<br>   | <b>FFIEC</b><br>II.C.20 Oversight for Third-Party Service Providers<br>   |
|   |   | <b>EBA</b><br>Guidelines on ICT & Security Risk Mgmt.<br>   | <b>ECB</b><br>Cyber Resilience Oversight Expectations for FMIs<br>   | <b>EIOPA</b><br>Markets in Financial Instruments Directive<br>   | <b>FFIEC</b><br>Guidance on Outsourcing Third Party Risk<br>  |



International



FinServ Only



Consultation Paper



Legally Binding

# Generating Value within the Risk Ecosystem

Increasingly, firms are subject to a wide array of dependencies on their operating environment.

Key questions for firms:

- How might external uncertainties disrupt our firm?
- What risks do they present to us?
- Do we have the right relationships with our external stakeholders to ensure early awareness and response?



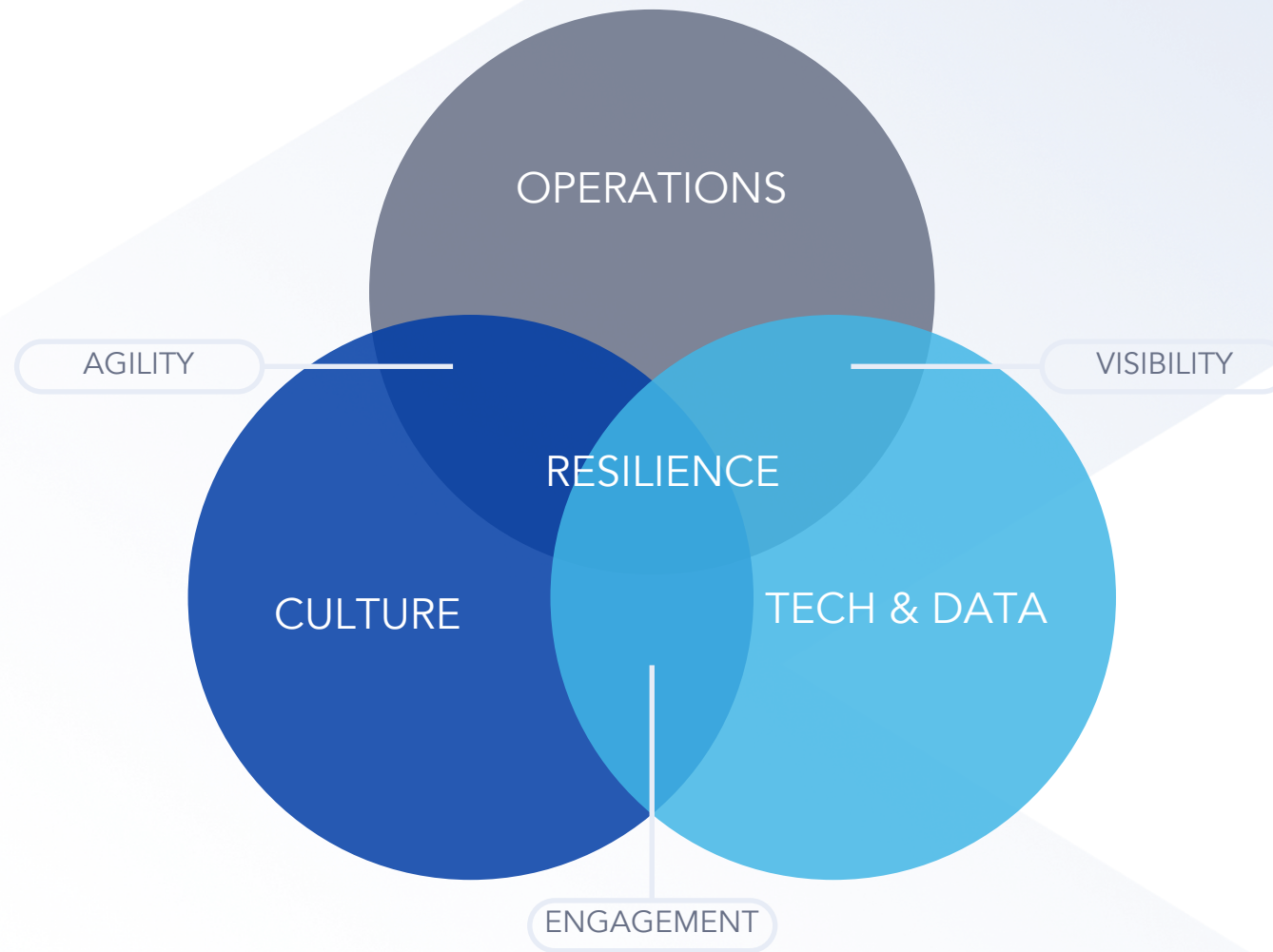
# Boards and Executives – Use Cases

|                                  | BOARDS  | EXECUTIVES   | SERVICE LEADERS  |
|----------------------------------|---|--|--|
| <b>Business challenges</b>       | Understanding and supporting the strategy for operational resiliency, including important services, impact tolerance, and execution oversight.  | Greater visibility into health status of all service lines across the firm.  | Creating a service that is resilient by design.  |
| <b>How Fusion adds value</b>     | <ul style="list-style-type: none"><li>• Signals events that require disclosure</li><li>• Resiliency/service health scoring</li><li>• Single pane of glass into current state, activity on the horizon, long—term priorities</li></ul> | <ul style="list-style-type: none"><li>• Resiliency / service health scoring</li><li>• Detect changes in operating environment that signal trouble</li><li>• Simulate and deploy best next response</li></ul> | <ul style="list-style-type: none"><li>• Visibility of end-to-end service</li><li>• Creates agility and confidence in response</li><li>• Drives prioritization and engagement of the firm</li></ul>           |
| <b>Key capabilities</b>          | <ul style="list-style-type: none"><li>• Board reporting</li><li>• Horizon scanning</li><li>• Scenario planning and simulation</li></ul>   | <ul style="list-style-type: none"><li>• MuleSoft integration</li><li>• Horizon scanning</li><li>• Scenario planning and simulation</li><li>• Dynamic response</li><li>• Fusion Advanced Reporting</li></ul>  | <ul style="list-style-type: none"><li>• Service map &amp; dashboards</li><li>• Scenario testing</li><li>• Dynamic response</li><li>• Change management and reporting across multiple jurisdictions</li></ul> |
| <b>Frameworks can include...</b> | <ul style="list-style-type: none"><li>• UK Operational Resilience</li><li>• OCC</li><li>• OCIR</li><li>• EU DORA</li></ul>  | <ul style="list-style-type: none"><li>• UK Operational Resilience</li><li>• OCC</li><li>• OCIR</li><li>• EU DORA</li></ul>   | <ul style="list-style-type: none"><li>• UK Operational Resilience</li><li>• OCC</li><li>• OCIR</li><li>• EU DORA</li></ul>   |

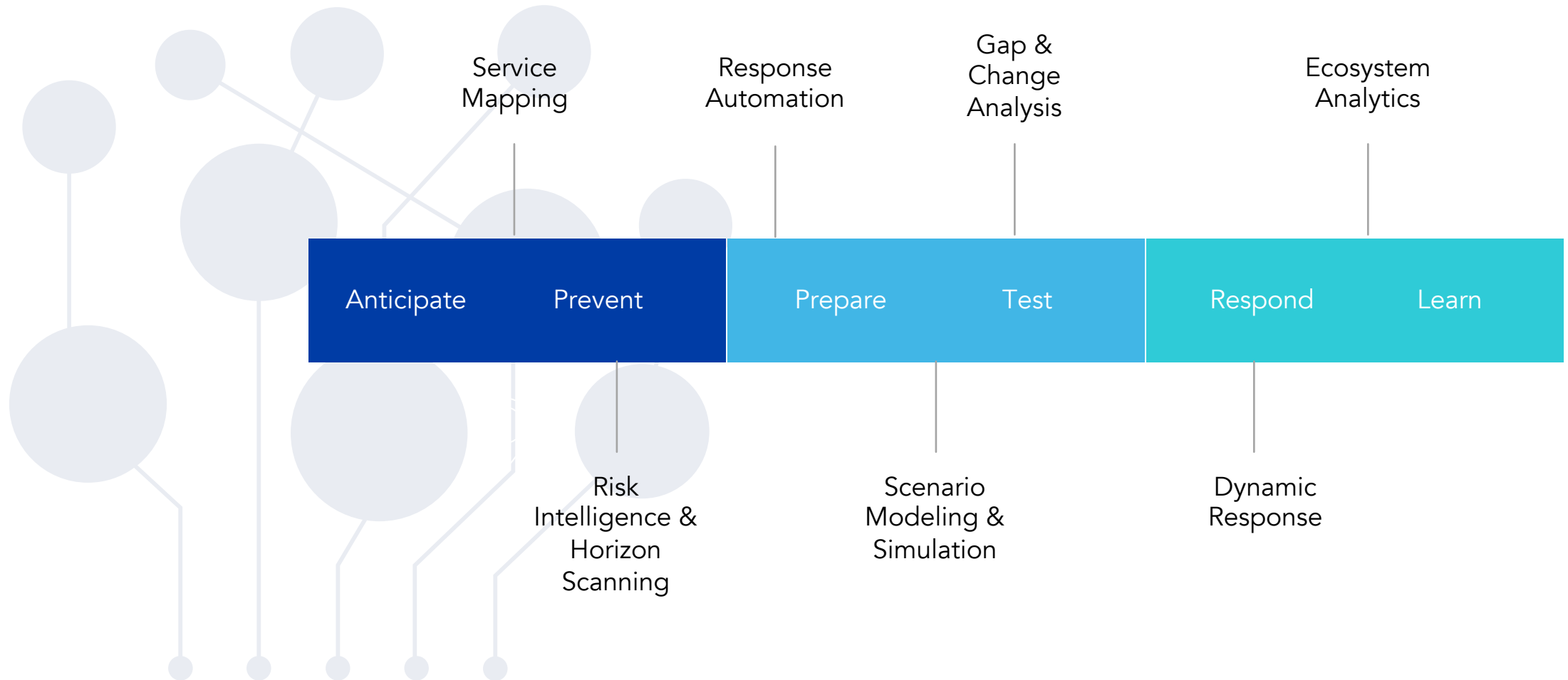
# Risk and Resilience Leadership - Use Cases

|                                  | BUSINESS CONTINUITY  | RISK   | RESILIENCE  |
|----------------------------------|--|--|---|
| <b>Business challenges</b>       | Meeting requirements to ensure business operations run smoothly and as close to plan as possible.  | Track internal controls to prove compliance, tie regulatory frameworks to ERM program, assure leadership that all necessary obligations are met.                             | Meeting resilience standards set forth by regulators like the BOE and other similar organizations   |
| <b>How Fusion adds value</b>     | <ul style="list-style-type: none"><li>• More efficiently collect evidence from dispersed departments and demonstrate compliance with existing BC/DR requirements</li><li>• Access key information more quickly</li></ul> | <ul style="list-style-type: none"><li>• Expand existing RM program to link risks to controls and demonstrate effective program management with a push of a button</li></ul>  | <ul style="list-style-type: none"><li>• Regulations have individual accountability mandates and our technology can help to enable a defensible program</li></ul>          |
| <b>Key capabilities</b>          | <ul style="list-style-type: none"><li>• Data models &amp; objects</li><li>• Remediation &amp; action plans</li><li>• For multiple frameworks: UCF</li></ul>  | <ul style="list-style-type: none"><li>• Attestation workflow</li><li>• Control mapping</li><li>• Dashboards &amp; reporting</li><li>• For multiple frameworks: UCF</li></ul> | <ul style="list-style-type: none"><li>• Control mapping</li><li>• Change management</li><li>• Dashboards &amp; reporting</li><li>• For multiple frameworks: UCF</li></ul> |
| <b>Frameworks can include...</b> | <ul style="list-style-type: none"><li>• Internal BC/DR plans</li><li>• Internal Policy and Procedure</li><li>• Regulations for BC/DR</li><li>• ISO 22301</li><li>• Resiliency requirements</li></ul>                     | <ul style="list-style-type: none"><li>• BC/DR</li><li>• IT Security/Privacy/NIST/CMMC</li><li>• Resiliency requirements</li><li>• ISO 27000 series</li></ul>                 | <ul style="list-style-type: none"><li>• Resiliency requirements</li><li>• IT Security/Privacy</li><li>• Other BC/DR</li></ul>   |

# Resilience requires the convergence of operational, cultural, and digital transformation strategies



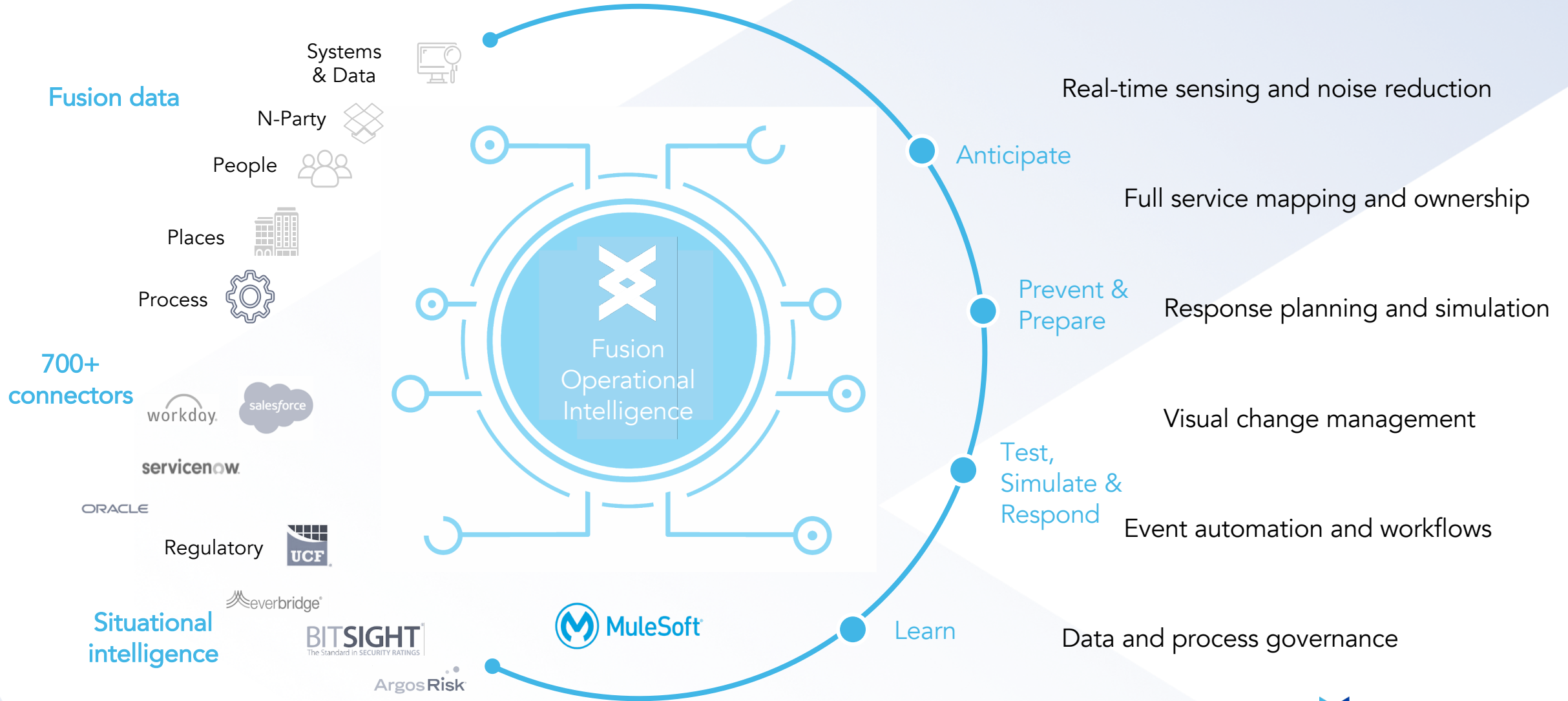
# Shared targets of focus for firms on the journey to more resilient operations



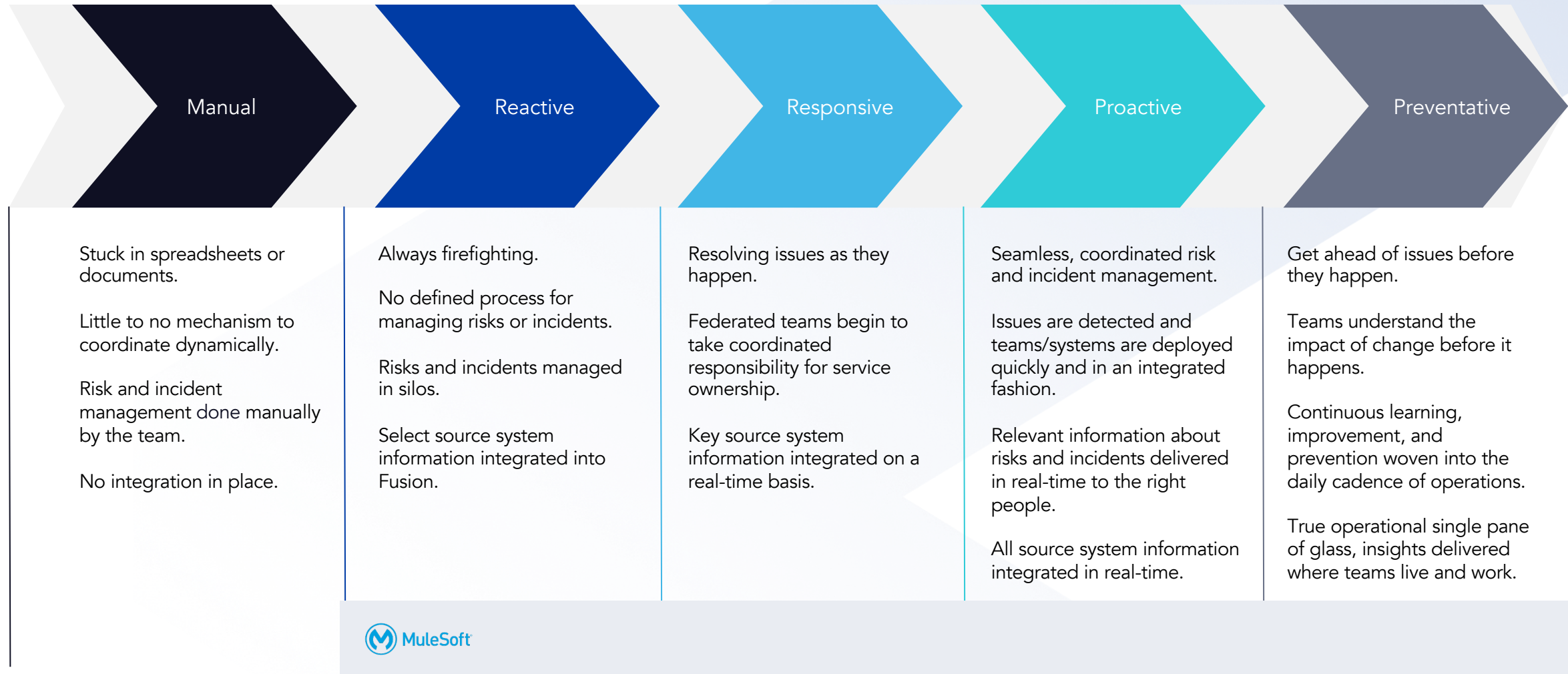
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# Creating Agility with Insight

# Risk & Resilience is the nerve center for the modern enterprise



# The journey from reactive to proactive resiliency



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# Building the Next Generation of Agility

Highlights from the next year of innovation

# Resiliency, Made Simple



## Faster Time to Value

Turnkey solutions for common use cases to get our technology in your hands quicker with less implementation effort.



## Role-Based Personalization

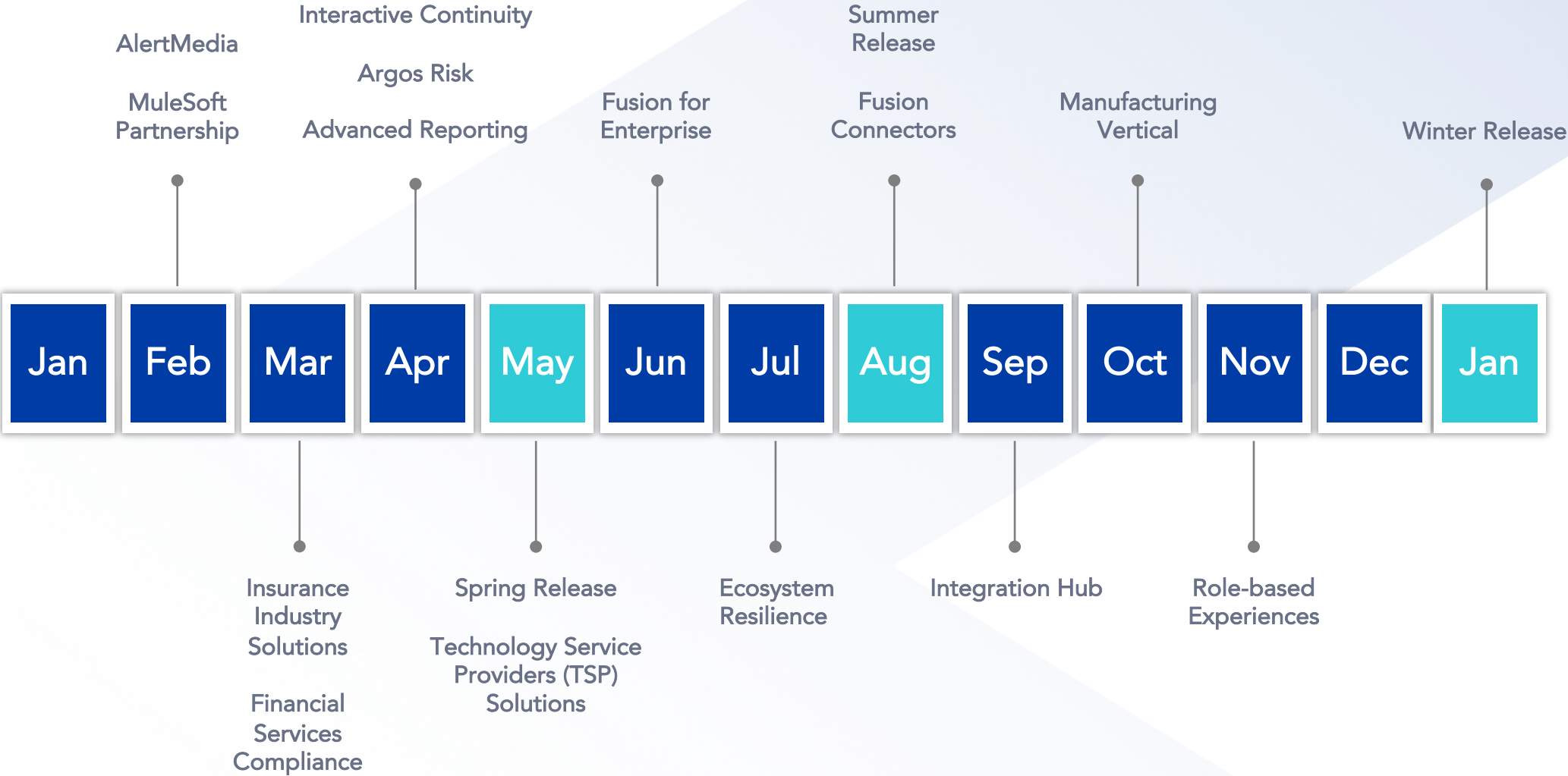
Meeting the needs of varied perspectives, from the front line to the boardroom.



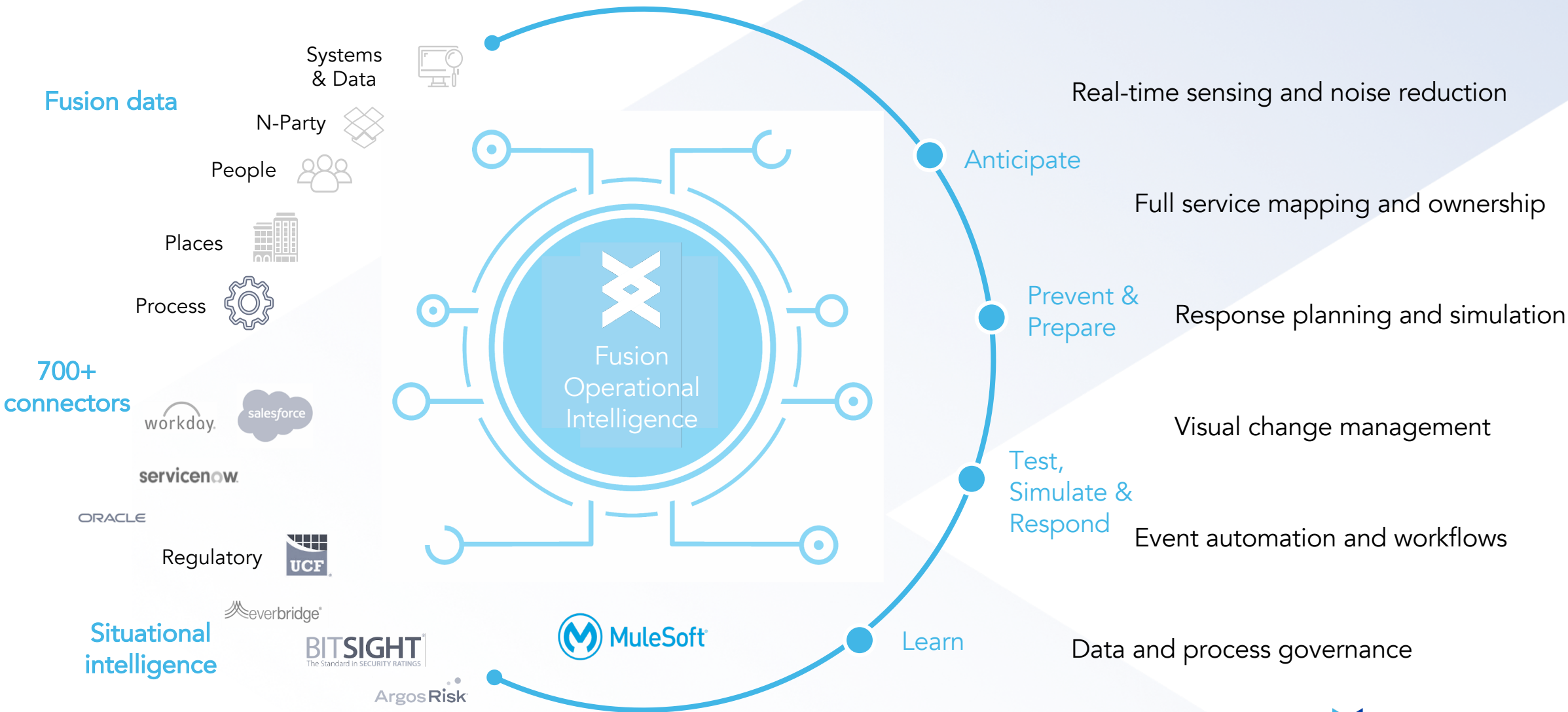
## Connected Experiences

Connected experiences that bring your integrated data to life in new ways: moving from system of record to system of action.

# Fusion's 2022 Launch Calendar

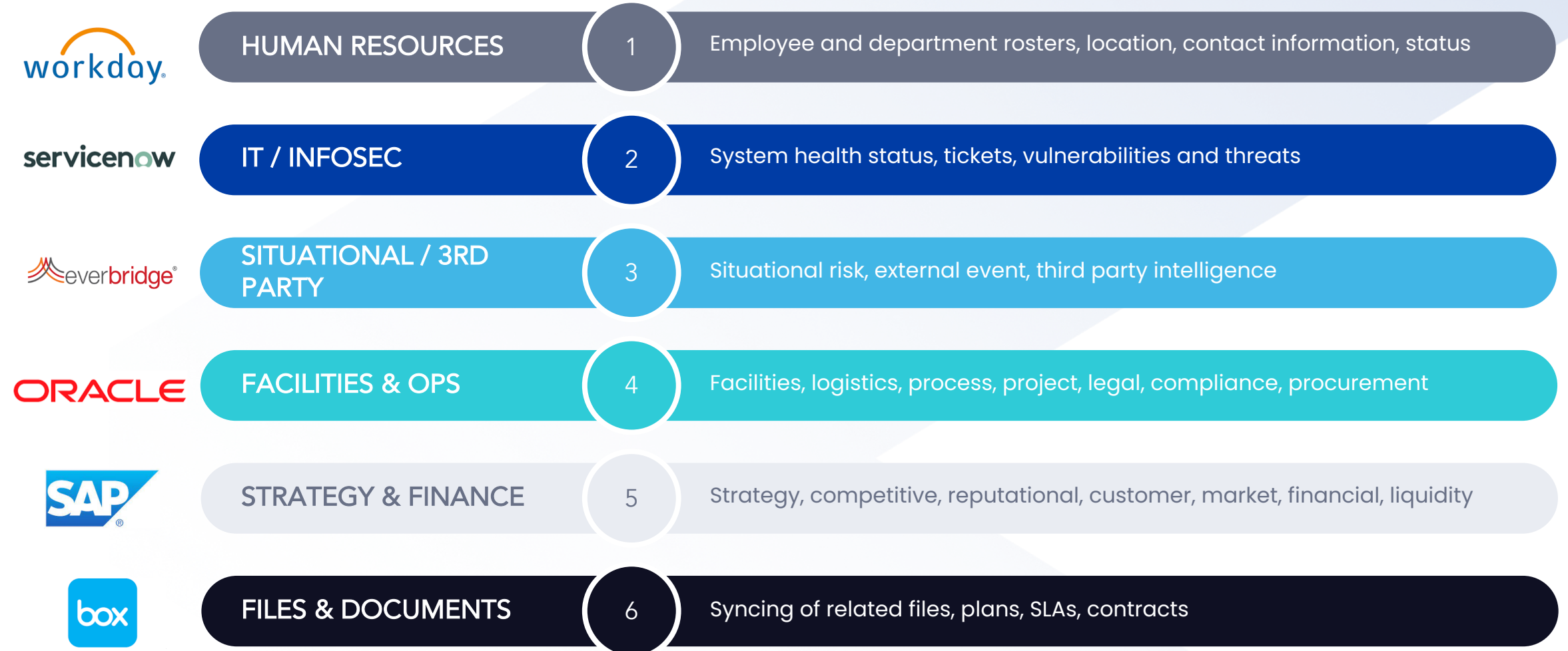


# Risk & Resilience is the nerve center for the modern enterprise

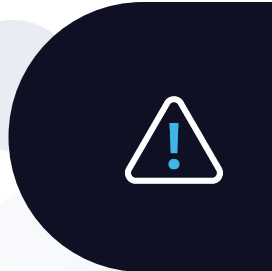


# MuleSoft Integration: Harnessing the Power of Operational Data

## Top 6 Integration Use Cases in Risk & Resilience



# Risk intelligence



## PROACTIVELY MITIGATE RISKS

Leverage real-time data to continuously monitor your vendor ecosystem, analyze trends, and mitigate issues before they happen.



## BUILD AN INFORMED PERSPECTIVE

Cut through the noise and surface actionable insights with dynamic dashboards, visualizations, and real-time data.



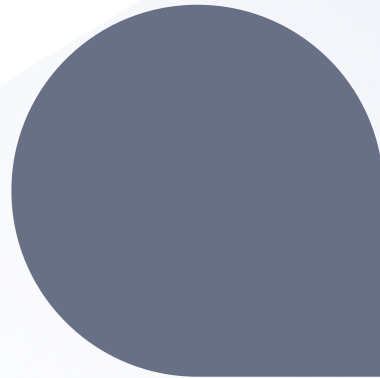
## MAKE DATA-DRIVEN DECISIONS

Save time, focus on what's critical, and make data-backed decisions by automating manual process and integrating reliable, quantitative insights.

# Building Interactive Continuity

## DYNAMIC RESPONSE CONSOLE

Leave static plans behind for a data-driven response tailored to every situation.

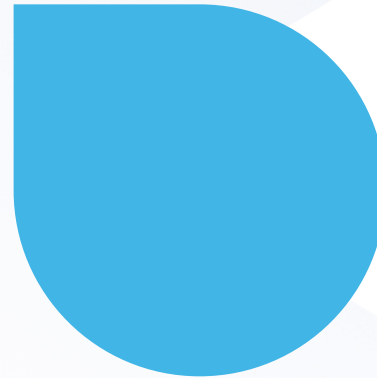
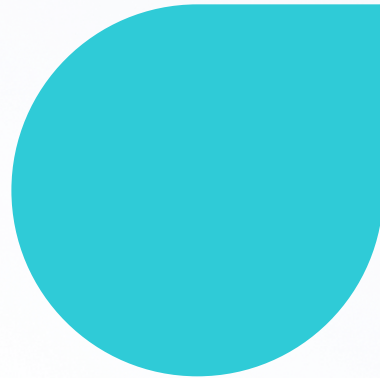


## INTELLIGENT INCIDENT MANAGEMENT

Identify the full scope of an Incident and facilitate a consistent approach to logging Incidents and recognizing any potentially impacted assets or known outages

## SCENARIO PLANNING & SIMULATION

Know the now status of important services, model 'what if' scenarios, rehearse, and measure response.



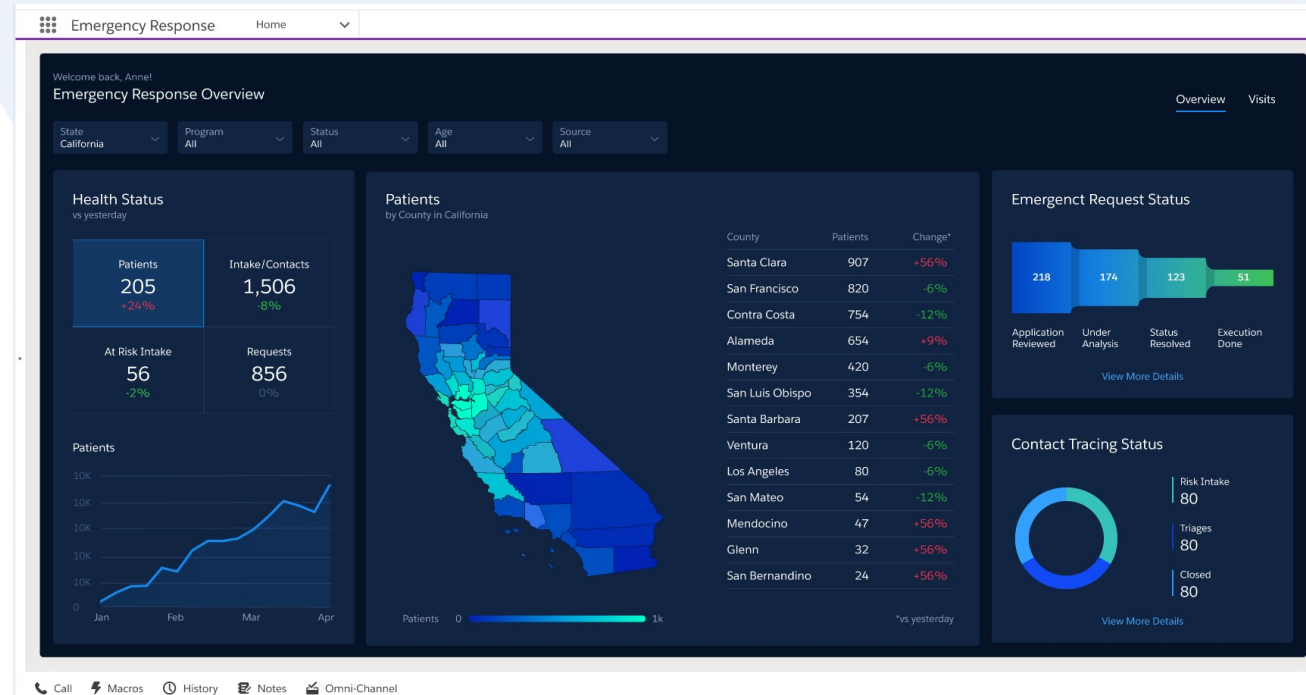
## INTERACTIVE CRISIS COMMUNICATION

Streamline collaboration with key stakeholders when it matters most through interactive crisis communication.

# Advanced Reporting

Federated insights that drive next best action

- Risk and resilience insights becoming more central to organizational decision-making.
- Advanced reporting provides improved and faster computational power with the ability to join more datasets.
- Leverage more diverse, engaging, interactive data visualization without leaving the platform.





# Thank You

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