Janus' Appian Implementation

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September 24, 2014
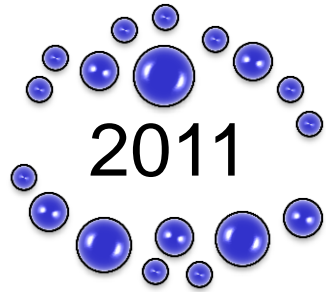
Who is Janus?

Janus Capital Group (JCG)

- Global investment firm dedicated with differentiated investment solutions from three independent managers

- 1200 Employees

- As of June 30, 2014 Janus Capital Group's subsidiaries managed $177.7 billion

Corporate Headquarters Office

Janus' Appian Implementation

2011
- Process Improvement Charter
- Hired 3 Black Belts

2012
- Established Quality Control Working Team
- Attended PEX Conference
- Initiated RFP for BPM Technology Platform

2013
- Selected BPM Vendor
- Developed Cash Management BPM Application
- Designed Security Pricing Application

2014
- Build Product Management Application
- Establish BPM Governance
- Application Design Training for the Business

Janus' JTRAC Strategy

- **Enhance Control and Reduce Risk**
  - Provide process and compliance monitoring and audit trail records
  - Improve controls through business rules, focus on exception processing
- **Increase Efficiency**
  - Process higher volumes and more complex processes more accurately without increasing staff levels
  - Reduce or eliminate non-value added work steps and further standardize processes
- **Accountability**
  - Workflow changes managed by the business
  - Visibility into daily activities through manager work queues
  - Enhanced communication helps to breaks down walls between functional silos

JTRAC Uses Cases

- Important to show value quickly

- Big enough that people care that it succeeds and concerned if it fails
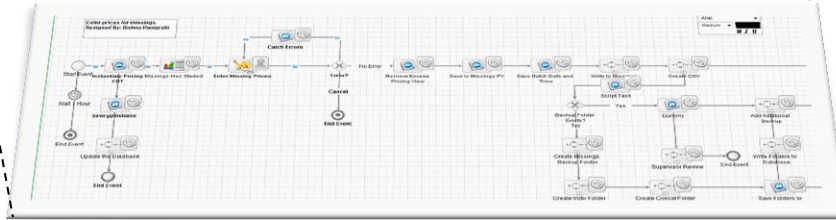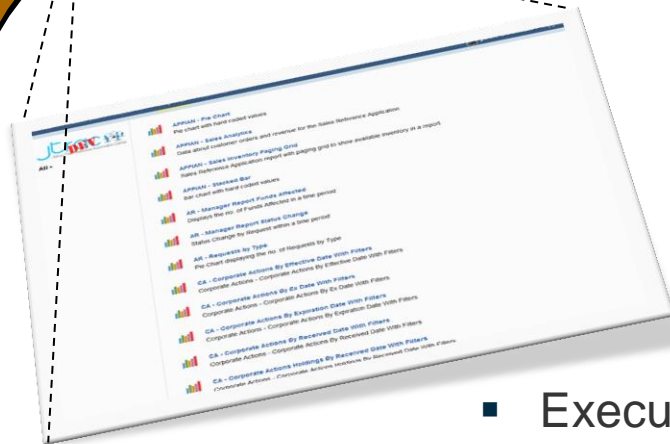
Initial Areas of Focus
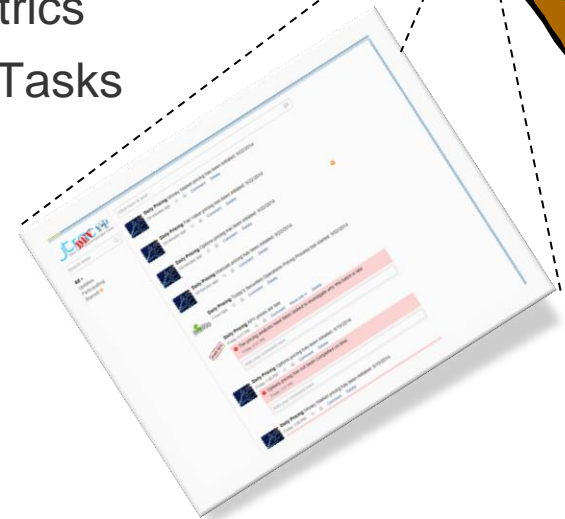
Business Rule Automation   Department Management   Case Management
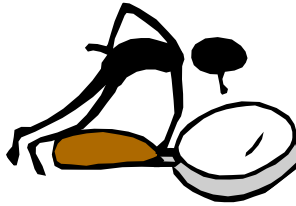
Different Views into Process

- BPM Designers
- BPM Business Analyst

- Process Metrics
- Processing Tasks

- Executive Dashboards
- Email Task Assignments

JTRAC Securities Operations Implementation

Corporate Actions   Adjustment Request   Manual Pricing

JTRAC Securities Operations Implementation
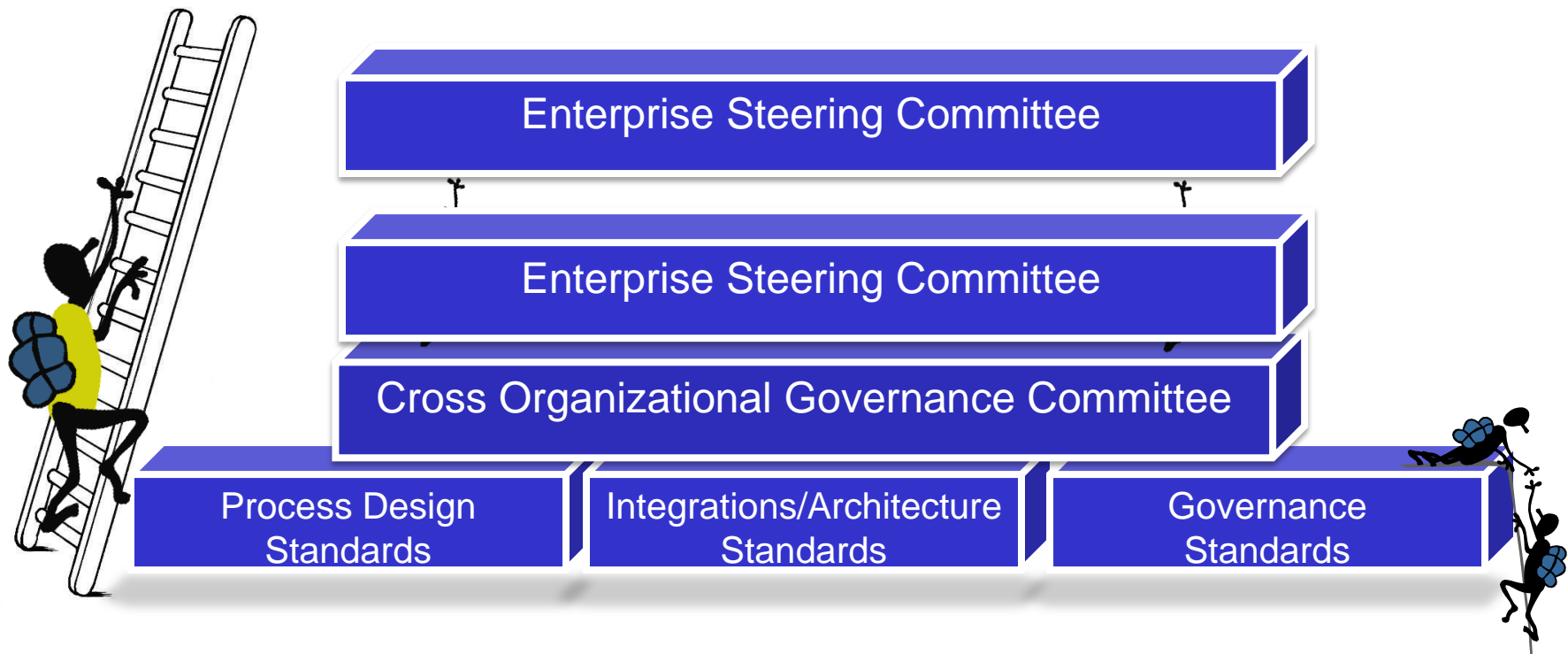

Reduction of Resource Allocation to Process Controls Steps

JTRAC Governance Structure

Enterprise Steering Committee

Enterprise Steering Committee

Cross Organizational Governance Committee

| Process Design Standards | Integrations/Architecture Standards | Governance Standards |

BPM Team Solution Model

Methodology Lifecycle

Process Monitoring

SOLVE	DEPLOY	EXECUTE	MANAGE	OPTIMIZE
• Review Opportunity • Align Resources • Determine critical success factors and dependencies	• Multiple review meetings • Design review • User Acceptance Testing	• Run the Business • Perform work	• Measure, Analyze, Process Performance Metrics	• Continuous Improvement Exercises • Process Optimization Discussions

BPMO Life Cycle Services

- **Human Change Management** – Formal training on the aspects and resolution for human change associated with the BPM effort
- **SOLVE Session** – A facilitated breakout session with a group of process/problem subject matter experts to achieve a new process design and raise risk related tasks
- **Blackboard Session** – A facilitated session during design/development of ongoing BPM process reviews

Work

- **Process Optimization Discussion (PODs)** – Annual discussions to review processes (or upon request) to identify areas of improvement using metrics or errors identified during QIC

Resources Allocation Planning

Business Resources

BPMO Resources

Lessons Learned

- Executive Ownership and Investment

- Processing is Industry Specific, Process is Universal

- DO NOT underestimate the Change Management aspect

- Include Information Technology in the decision making process

- Ensure proper architecture sizing