**GenAI Operating Model for Barclays Finance and Collaborative Programs**

**1. Introduction**

**Purpose**: Establish a scalable, governed operating model to build, manage, and consume GenAI applications across Finance and collaborating programs (e.g., Impairment, Treasury, Liquidity).

**Objectives**:

* Streamline onboarding of new use cases and teams
* Provide clear governance, roles, and decision rights
* Ensure compliance with CSO, CDO, Legal, MRM, Compliance, GAIGC
* Promote reuse of established GenAI Patterns and applications

**2. Scope & Patterns**

**Scope**: All GenAI initiatives under Finance and collaborating programs across Barclays.

**Core Patterns**:

* Translate (e.g., TranslateX)
* Search / Generate / Summarize / Assistant (e.g., DocGen & Assistant)
* Agentic AI Workflows

**3. Governance Framework**

**Steering Committee**: Senior representatives from Finance GenAI Team.

* Review use cases and business benefits, and approve overall strategy, budgets, high-risk/high-priority projects with significant business impact
* Advise program teams on securing approval from the GenAI champion for POCs
* Guide program teams to collaborate and ensure compliance with CSO, CDO, Legal, MRM, Compliance, ARB, GAIGC for Pilot and Production

**GenAI Center of Excellence (CoE)**: Finance GenAI team as CoE.

* Define standards, patterns, toolkits, and best practices
* Own common services and code base (knowledgebase, security, logging, etc.)

**Program Councils**: Each collaborating program forms a council with Finance CoE managers.

* Review new use cases, resource allocation, and compliance checks

**4. Organizational Roles & Responsibilities**

| **Role** | **Responsibilities** |
| --- | --- |
| Finance GenAI Sponsor | Ensures funding is secured by program teams, evangelizes strategy, chairs Steering Committee |
| CoE Lead & Architects | Define patterns, maintain reference architectures, and drive technical standards |
| Finance Risk Manager | Ensures the program team coordinates reviews with CSO, CDO, MRM, Legal, Compliance, ARB, GAIGC, etc. and secures approval |
| Program Manager | Represents a business program, manages local IT delivery and priorities |
| Data Steward | Manages data ingestion, quality, metadata standards, etc. |
| DevOps / Cloud Ops Lead | Manages CI/CD, monitoring, and production support in AWS |
| Business Owner | Defines requirements, validates outputs, and owns adoption metrics |

**Division of Responsibilities: Finance GenAI CoE vs Program Teams**

**Finance GenAI CoE Team Responsibilities:**

**Strategic & Governance**:

* Define overall GenAI strategy and vision for Finance
* Establish and maintain governance framework and standards
* Chair Steering Committee and make strategic decisions
* Approve high-risk/high-priority projects with significant business impact

**Technical Leadership**:

* Define and maintain GenAI patterns (Translate, Search/Generate/Summarize, Agentic AI)
* Create and update reference architectures and technical standards
* Develop reusable infrastructure templates (CloudFormation modules)
* Maintain Common Code Base (CCB) strategy and repository
* Own common services (knowledgebase, security, logging, etc.)

**Enablement & Support**:

* Provide technical guidance and best practices to program teams
* Conduct feasibility assessments and pattern alignment reviews
* Guide program teams on compliance processes and requirements
* Run Community of Practice and knowledge sharing sessions
* Maintain documentation portal and training materials

**Quality Assurance**:

* Final review and approval of all GenAI applications before production
* Code review and approval for all CCB changes
* Ensure adherence to technical standards and architectural principles

**Program Teams Responsibilities:**

**Delivery Execution**:

* Conduct all development and testing activities following CCB approach
* Implement solutions using CoE-provided patterns and standards
* Manage local IT delivery, timelines, and resource allocation
* Execute deployment following standardized pipelines

**Business Ownership**:

* Define business requirements and validate solution outputs
* Own adoption metrics and business impact measurement
* Secure funding for their GenAI initiatives
* Drive user adoption and change management within their programs

**Compliance & Approvals**:

* **Coordinate and secure all horizontal approvals**: CSO, CDO, Legal, MRM, Compliance, ARB, GAIGC
* Own the outcome of compliance review processes
* Generate required artifacts and documentation for regulatory reviews
* Ensure adherence to data governance and security requirements

**Operations & Support**:

* Provide business context and requirements for monitoring and alerting
* Participate in incident resolution and post-implementation reviews
* Manage program-specific configurations and customizations
* Execute runbooks and operational procedures

**Collaborative Activities:**

**Joint Responsibilities**:

* Use case feasibility assessment and prioritization
* Solution design and architecture reviews
* Risk assessment and mitigation planning
* Performance monitoring and optimization
* Continuous improvement initiatives

**Clear Boundaries**:

* **CoE provides the "how" (technical framework, standards, patterns)**
* **Program teams execute the "what" (business solutions, delivery, approvals)**
* **Both collaborate on the "why" (strategic alignment, business value)**

**5. Engagement & Contribution Models**

**Scenario A: Reuse Existing Apps**

* Business Identifies Need → Contact CoE Service Desk
* CoE assesses fit to existing TranslateX, DocGen & Assistant, Agentic Workflows
* Onboarding sessions scheduled

**Scenario B: New Build**

* Program Manager submits use case via standardized intake form
* CoE and Program Council perform feasibility, pattern alignment, and compliance checks
* Joint delivery team formed (CoE + Program IT)
* Follow lifecycle stages (Design → Build → Test → Review → Deploy)

**6. Delivery Lifecycle & Processes**

**Intake & Prioritization**: Monthly review by Program Councils against strategic KPIs.

**Design & Architecture**: Use CoE reference architecture; pattern selection and compliance gating.

**Development & Testing**: Code repositories (Common Code Base), IaC templates, automated security scans.

**Compliance & Approval**: Pre-production review by Finance Risk Manager; generate artifacts for CSO/CDO/GAIGC/MRM/Legal/Compliance/ARB.

**Production Rollout**: Standardized deployment pipelines; runbooks for Ops.

**Support & Operations**: 24x7 monitoring, SLAs, incident management.

**Continuous Improvement**: Post implementation reviews, pattern updates, community of practice.

**7. Risk & Change Management**

**Risk Assessment Methodology for New Use Cases**

**Initial Risk Assessment**:

* Business impact classification (Low/Medium/High/Critical)
* Data sensitivity analysis (PII, confidential, restricted data handling)
* Regulatory impact evaluation (compliance requirements, audit implications)
* Technical complexity assessment (integration points, dependencies, scalability requirements)
* Security risk evaluation (attack vectors, data exposure risks, access controls)

**Risk Mitigation Framework**:

* Mandatory risk register maintenance throughout project lifecycle
* Regular risk review checkpoints aligned with delivery milestones
* Escalation triggers for high-risk items to Finance Risk Manager and Steering Committee
* Risk acceptance criteria and sign-off requirements by appropriate stakeholders

**Change Control Processes**

**Pattern & Application Modifications**:

* All changes to existing patterns and applications must follow Common Code Base (CCB) approach
* Development and testing conducted by respective program teams under Finance GenAI team guidance
* Finance GenAI team provides governance framework and technical standards
* Final review and approval by Finance GenAI team before production deployment

**Change Categories**:

* **Minor Changes**: Bug fixes, performance optimizations (Program team approval + CoE notification)
* **Major Changes**: Feature enhancements, pattern modifications (Finance GenAI team approval required)
* **Critical Changes**: Architecture changes, security updates (Steering Committee approval required)

**Approval Responsibility**:

* Program teams are responsible for securing approval from all horizontal functions: **CSO, CDO, Legal, MRM, Compliance, ARB, GAIGC**
* Finance GenAI team guides the Program teams to coordinate the approval process but program teams own the outcome
* No production deployment without documented approvals from all required horizontals

**Impact Assessment Procedures**

**Core Service Updates**:

* Impact analysis on all dependent applications and use cases
* Backward compatibility assessment and migration planning
* Communication plan to all affected program teams with minimum 4-week advance notice
* Staged rollout approach with rollback procedures defined
* Post-deployment monitoring and validation with affected stakeholders

**Assessment Documentation**:

* Technical impact analysis (performance, functionality, integration effects)
* Business impact evaluation (user experience, operational processes, SLA implications)
* Risk assessment updates based on proposed changes
* Resource requirement analysis (effort, timeline, budget implications)
* Stakeholder communication and training requirements

**8. Standards, Tooling & Platform**

**Cloud Platform**: AWS shared landing zone, IAM standards, network segmentation.

**Common Services**: Knowledgebase (OpenSearch), RAG services, PII redaction service.

**DevOps Toolchain**: CloudFormation, CloudWatch, GitLab, Nexus 3, Sonar, Veracode, etc.

**Security & Compliance**: Guardrails with AWS Config, Security Hub, encryption, audit logging.

**Reusable Infrastructure Templates**: Pre-built CloudFormation modules for RAG, CloudWatch, BAM authentication, Guardrails, GitLab pipelines, EKS clusters, and Data Ingestion, etc.

**Common Code Base (CCB) Strategy**: All GenAI application code is centralized in a shared repository. Teams fork or branch for feature work, with every change subject to strict version control, automated testing, and formal review/approval by Finance GenAI CoE SMEs to prevent divergence and ensure traceability.

**9. Metrics & Reporting**

**Adoption Metrics**: # of programs onboarded; # of use cases delivered.

**Performance Metrics**: Latency, error rates, cost per request.

**Business Impact**: Time saved, accuracy improvements, cost savings.

**Compliance Metrics**: # of reviews passed; # of audit findings.

**10. Communication & Community**

**GenAI Community of Practice**: Monthly forums for knowledge sharing, pattern showcase.

**Documentation Portal**: Central source for architecture docs, templates, runbooks.

**Training & Enablement**: Workshops, hands-on labs for new program teams.

**11. Roadmap & Continuous Evolution**

**Pattern Enhancements**: Add new patterns (e.g., multimodal, Analytics, Recon, etc.).

**Platform Upgrades**: Evaluate emerging AWS services, LLM improvements.

**Process Optimization**: Automate compliance gating, enhance observability.