



Catalyst Questions

for the SoundStep Consulting Services' Business
Operating Model Transformation Framework (BOMTF-13)

Simplicity and Clarity



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Introduction

This document contains the **Catalyst Questions** which are part of the **SoundStep Consulting Services' Business Operating Model Framework¹ (BOMF-13)**. Catalyst questions are used by the practitioners of the Framework to gather the information needed to create strategies for transforming how a business operates. The reason they are called catalyst questions is that they jumpstart the interview sessions between the people who are responsible for implementing a transformation program, and those who are running the business, or functional areas within a business, that is to be transformed.

Catalyst questions are intended to stimulate discussions, ideation, and innovation. They are the primary mechanism used to gather both broad and detailed information about how a business currently operates. The responses to the catalyst questions are utilized to create the transformation approaches, strategies, and plans which are then shared with all stakeholders who will be involved in workshops to re-imagine and transform the business.

Therefore, Catalyst questions serve a very important purpose which is to promote and encourage all stakeholders to collaborate and work closely together in transforming their business.

1 - The Framework and the catalyst questions are part of Business Operating Model Transformations Tutorials created by Samuel G. Medina © 1996, 2010, 2021



How the Catalyst Questions are Organized

- The ***SoundStep Consulting Services' Business Operating Model Transformation Framework (BOMTF-13)*** consists of 13 Dimensions (refer to Figure 1)
- Each of the Dimensions are described in Figures 2a thru 2c
- For each of the 13 Dimensions there is a specific set of Catalyst Questions
- Each set of Catalyst Questions is provided in this document



Figure 1: SoundStep Consulting Services' Business Operating Model Transformation Framework (BOMTF-13) & Its Thirteen Dimensions

1. Corporate and Departmental Policies
2. Business Outcomes & Key Measures
3. Value Proposition in the Overall Value Chain
4. Internal and External Customers
5. Inherent Nature of Work
6. People Capabilities
7. Processes and Procedures Capabilities
8. Data, Analytics and Performance Tracking Capabilities
9. Internal and External Reports and Reporting
10. Regulatory, Audit, and Legal Compliance Capabilities
11. Document Management Capabilities
12. Platforms, Systems, Technology, and Information Security Capabilities
13. Location Capabilities and the Physical Locations Where Work is Conducted



Figure 2a: The First Set of Dimensions of the SoundStep Consulting Services' Business Operating Model Transformation Framework (BOMTF-13)

1. Corporate and Departmental Policies

The Corporate Policies and Operating Principles that governs how the overall business will operate, and the Departmental Policies and Operating Principles that will govern how a business unit or service unit operates

2. Business Outcomes & Key Measures

The Business Outcomes and Key Measures that the overall business, and each business unit or service unit is required to achieve and be measured by (aka Scorecard)

3. Value Proposition in the Overall Value Chain

The value proposition of the business, business unit or service unit (including the Products, Services, and Offerings Produced)

4. Internal and External Customers

The external and internal customers who utilize the product(s), service(s), and offering(s)

5. Inherent Nature of Work

The inherent nature of the work (End to end Across the business' value chain, and by functional area within the value chain (and whether it is a front, mid, or backoffice function)



Figure 2b: The Second Set of Dimensions of the SoundStep Consulting Services' Business Operating Model Transformation Framework (BOMTF-13)

6. People Capabilities

How the human resources (workforce) are organized including the leadership, management and supervisory levels and roles, & accountabilities and decision-making hierarchy; the job families, employee roles & responsibilities; and includes temporary workers and contractors.

7. Processes and Procedures Capabilities

The high-level Processes and Procedures supporting each Product and Service, and the detailed-level processes and procedures that are embedded in workflows (whether automated and manual)

8. Data, Analytics & Performance Tracking Capabilities

The data analytics and performance tracking capabilities used to ensure that the business outcomes and key measures are being met including the customer experience measures and the service level targets) are clearly defined and tracked

9. Internal and External Reports and Reporting

A catalog of all internal reports utilized to manage and run the business (company-wide and per business and service unit), and external reports that are provided to end-customers, regulators, industry analysts, etc.

10. Regulatory, Audit, and Legal Compliance Capabilities

The capabilities required to meet the regulatory, audit and legal requirements



Figure 2c: The Third Set of Dimensions of the SoundStep Consulting Services' Business Operating Model Transformation Framework (BOMTF-13)

11. Document Management Capabilities

The Types of documentation that the business or business unit or service unit must maintain as required by regulating authorities

12. Technologies Capabilities (delivered thru Systems, Infrastructure Services, Telecoms & Networking, Information Security, others)

The various technology-based capabilities and the actual technologies utilized utilized to deliver them ((usually described in technology architecture diagrams)

13. Location Capabilities and the Physical Locations Where Work is Conducted

Location Capabilities (Offices, Processing Centers, Data Centers, Employees' Residences where remote work is conducted, and the Physical Security Policies, Processes, and Procedures, and Compliance Requirements)



“Catalyst Questions” for Dimension #1: Corporate and Departmental Policies

- What are some of the Corporation-wide/Global, Regional, Local, and Departmental Policies that must be adhered to and not changed?
- Why should these policies remain unchanged?
- Which company products and services have different policies, reporting requirements and governance that must be adhered to, and not changed?
- Are there Policies to ensure that new products and services, or changes to them require regulatory approvals? Which products and services?
- What Policies govern the financial accounting and reporting (Statutory vs. GAAP)? What GAAP policies must be adhered (e.g. UK, Australia, US, etc.)?
- Are there Policies that restrict the types of business processes and workflows that can be used?
- Are there Policies that restrict the sharing of information or data?
- Are there Policies that restrict the type of third party transformation partners and vendors?
- Are there Policies or Business Norms regarding when major program implementation cannot take place (e.g. seasonality, blackout periods, holidays)?
- For the Policies that are likely to be impacted by the transformation program, please provide a list of the Stakeholders, their roles, and decision authority..
- Please provide a list of the Stakeholders who are authorized to change the Policies impacted by the major transformation program, and specify the span of their decision-making authority (company-wide, regional, national, departmental).



“Catalyst” Questions for Dimension # 2: Business Outcomes & Key Measures

- Have the Strategic Transformation Goals, Desired Business Outcomes, and Key Measures been defined by the C-level executives and Board Members for this major transformation program by the Transformation? Please share them.
- Have the ‘Target Benefits’ of the Transformation been defined and quantified? Please share them.
- Have the Target Business Outcomes and Key Measures and Benefits been broken down into goals for each Business Unit and Service Unit, and by Geography (global, regional, local, departmental) levels? Please share them.
- Will third parties be involved in this transformation program? If so, what will be their roles and responsibilities in achieving the Target Business Outcomes and Key Measures?
- Have the target Business Outcomes and Key Measures been defined for each major Service and Process, especially those that are customer-facing?
- What are the Top 5 Success Measures for the major transformation program for each level, that is, global, regional, local, departmental)? Have they been translated into organization goals, team goals, and employee goals?
- Please provide all the critical Business Outcomes and Key Measures utilized today (Current State) and the Target Business Outcomes and Key Measures and Target Benefits (Future State).
- Please share all the Initiatives, Mandates, Programs, and Projects that are in-progress or will be in-flight during this major transformation and their intended contribution to the Target Business Outcomes, Key Measures, and Promised Benefits if any.
- Will any of the Mandates, Programs, and Projects in -progress conflict with this transformation program, or possibly create challenges in obtaining the human and financial resources required? Please provide a list and clarify their potential impact.
- Can you please provide a list of the Sponsors for this Program , as well as the Leaders and Managers who will be jointly responsible with the any third party resources for the success of the major transformation program?



“Catalyst” Questions for Dimension # 3: Value Proposition in the Overall Value Chain

- For every department that is impacted by this Transformation, is there clarity as to where it fits in the overall business' value chain. If so, please share the value chain(s) being utilized.
- Has this major transformation program been authorized to change the Overall Business Value Chain? If yes, please provide the Current Value Chain and the Target Value Chain.
- Is there a service catalog(ues) utilized by the Service Units that itemizes the services they provide to internal and external customers? Do those catalogs include Business Outcomes and Key Measures, service level or performance level targets and requirements? If so, please share them by Service Unit, and a the global, regional, local, and departmental levels.
- Is there a service catalog(ues) utilized by the Business Units that itemizes the client-facing services they provide to end customers? Do the catalogs include Business Outcomes and Key Measures, service level or performance level targets and requirements? If so, please share them by Service Unit, and a the global, regional, local, and departmental levels. If they differ by End-Customer contract or policy, please provide samples and by classification (large/major accounts, mid or small size, micro).
- Given the scope of the major transformation program, what regions, countries, departments will continue to have a different value chain because of local laws and regulations?
- Which of the Services (internal and client-facing) are considered as revenue-generating? Please provide details.
- Which of the Services (internal and client-facing) are considered as not revenue-generating but provide non-financial benefits?
- For each Service and the Processes in support of each Service, what is the value proposition of each Process? What are the outputs of each Process in support of a Service(s).
- Please provide a mapping of the Services and Key Processes to the Overall Business Outcomes and Key Measures today (as-is business). If it does not exist, is this mapping included as one of the transformation activities?



“Catalyst” Questions for Dimension # 4: Internal and External Customers

- For each Service, and Key Process please provide the Internal and/or External Customers who will be the recipients of the the Service’s and Key Process’ outputs/deliverables or end-products.
- Please provide samples of the deliverables or end-products (e.g. correspondences with end-customers, statements, contracts, etc.)
- Please provide samples of internal and external customer-facing reports for the Key Services and Key Processes.
- Please identify the Business Outcomes and Key Measures and service level targets/performance targets that must be met by the outputs/deliverables or end-products. Please include quantitative and qualitative measures.
- Please provide the existing Internal and External Customer Categorizations or Segmentation(s), and the key attributes that drive the classifications.
- Please provide the mapping of Services and Service Levels to the Customer Classifications or Type (including for standard Customers through Platinum, to “White Glove Services”).
- Please provide the current costs and the number of human and IT resources associated with each Customer category and service.
- Please provide the average Operating Cost and Capital Expenditures associated with each Customer* classification and Service.
- Please indicate if the personnel and third party resources will be involved in Customer re-segmentations/re-classifications, and the transformation of the associated Key Services and Processes.
- Please provide any in-progress or planned programs and projects that will significantly impact Customer* deliverables/end-products.



Catalyst” Questions for Dimension # 5: Inherent Nature of Work

- For each Service, and Key Process please provide the inherent nature of the work needed to deliver the service or key process. For example, a) revenue-generating, client-facing, VIP customer-facing, b) mid-office support for the front-office organizations (e.g. support to client relationship managers, sales teams, brokers and agents), c) back-office services or process or functions, “internal customers-facing” services and processes such as accounting and billing.
- For each Service and Key Process please provide the nature of the work that dictates where it should be located (based on company policies, nature of business, laws and regulations, company constraints and limitations, etc.) – that is, in a global location, regional location, in-country location, specific Province, State, City or Municipal location. Please indicate whether the current locations of where each service and/or key process carried out is due to a) historical reasons only, b) accepted business norms, b) company policies, legal requirements.
- Please provide information on existing third party(ies) services which by contract must be conducted in specific locations; and indicate whether or not those contracts can be re-visited and changed and/or cancelled.
- Please indicate for each Service and Key Process the type of job families and/or roles that are required to complete the work outputs or deliverables because of the inherent nature of the work.
- For each of the aforementioned please indicate the impact level of the transformation program, the risk level with respect to disruption to the existing organization structure and existing business operation, and the risk tolerance..
- Please provide information on Services and Key Processes whose nature are best delivered via systems and technology solutions (machine language, robotics process automation, artificial intelligence, etc.), but are currently carried out manually due to historical reasons or other constraints.
- Please provide a high-level view of all the Services and Key Processes that require human review and authorization (including signatures) due to the inherent nature of work.



“Catalyst” Questions for Dimension # 6: People Capabilities

- For each Service, and Key Process please provide the current job family classifications, the roles within the job family, and the qualifications required for each of the Services and Key Processes that will be Transformed.
- For each Service and Key Process please provide the organization structure and the decision-making authority levels and leadership/management hierarchy.
- For each Service and Key Process please provide the number of full-time employees, part-time employees, contractors, etc. that are required to meet the current Business Outcomes and Key Measures, and Service Level Targets and Agreements (with internal and external customers).
- Please provide the costs associated with each of the aforementioned ‘human resources’ per Service and per Key Process. Please specify salaries, benefits, bonuses, etc. as required by the type of major transformation being undertaken.
- Please indicate whether third party contractors/consultants will be required to assist or lead the Organizational Change Management as part of the transformation, and the level of involvement (e.g aggregate level only, job families level only, specific roles and qualifications, or a full consulting service where all aspects of the human resources and how they are organized are included).
- Please provide information (on the current business) of any constraints and limitations due to a having a limited number of subject matter experts. Include limitations due to language requirements, business culture, nature of products and services.
- For each Service and Key Process please provide the Training requirements for each job family or class, and please indicate the Training requirements for client-facing roles and those required to comply with laws and regulations.
- For each Service and Key Process, please provide the average annual capital investments (including for IT and other similar assets) required to maintain the current performance levels.



“Catalyst” Questions for Dimension # 7: Processes and Procedures Capabilities

- Please provide high-level descriptions of the Catalog of Services, and the Key Processes and Procedures in support of each of the Services that will be impacted by the major transformation.
- Please provide Process maps including where possible sub-processes by varying levels of granularity (aka process decompositions), and the key activities for each.
- Please provide the Business Outcomes, Key Measures, service level targets and agreements, and other performance metrics currently in place to ‘measure’ the accuracy, completeness, quality, timeliness, effectiveness, efficiency of the Key Process and the Service.
- Please provide information on the Stakeholders and approvers of the results of the Service(s) and Key Processes and information on how they rate the Service “providers” and Process “owners” (internal or third parties).
- Please provide, if available, the current level of maturity of the current Processes and Procedures, and the origin of the maturity measurement (e.g. industry benchmark).
- Please specify if this transformation included conducting a third party benchmarking of the current Processes and Capabilities.
- Please provide information on the percentage (%) Automation vs. percentage (%) manual work for each Service and Key Process.
- For each Service and Key Process, please provide the # of full-time employees, part-time employees, contractors, etc. and the related average annual Operating Costs and average annual capital investments required.
- For each Service and Key Process, please provide the operating costs and capital investment required for IT support and IT assets (software, hardware, telecommunications and networking equipments, others).



“Catalyst” Questions for Dimension # 8: Data, Analytics & Performance Tracking Capabilities

- Please provide information on the data classifications, types and actual sample data that are required to execute the Service(s) and Key Processes that are in scope for this Transformation.
- Please indicate the data that are part of the actual Service and/or Process work outputs/deliverables that are a) client-facing and b) internal customer/stakeholder(s)-facing.
- Please provide information on how data is captured, stored, acted on/modified, communicated, retained, archived, and destroyed (at end of life) for all the Service and Key Processes impacted this transformation program.
- Please provide descriptions and diagrams of the data architecture at the relevant levels (company-wide, regional, national, departmental), and the data modeling and analytical tools utilized (also at the relevant geographical or organizational levels).
- Please indicate that data modeling and analytics policies, practices, subsystems and tools that are critical to the business overall, and/or critical to delivering the Service(s) or executing the Key Process(es).
- Please identify the data, analytics, and performance tracking capabilities required for the Service(s) and Key Process(es) that are impacted this transformation.
- For each Service and Key Process, please provide the # of full-time employees, part-time employees, contractors, etc. and the average annual costs (operating and capital expenditures) to execute the data management, analytics, and performance tracking.
- For each Service and Key Process, please provide the average annual costs (operating and capital expenditures) (including for IT and other similar assets) associated with data, analytics, and performance tracking.



“Catalyst” Questions for Dimension # 9: Internal and External Reports and Reporting

- Please provide a catalog of all the internal and external reports that will be impacted by this Transformation.
- Please provide key Samples of the key reports that are required to deliver a Service(s) or Key Process(es).
- Please identify all the reports that are client-facing and that have regulatory compliance requirements.
- Please provide information on all the stakeholders (recipients or consumers) of internal reports which include operations reports, transaction reports, management information reports, financial reports, etc.
- Please provide a list of regulatory compliance reports that are formally submitted to regulating entities.
- Please provide an inventory of reports that are utilized as Supplementary Information for filing with regulators, or for Statutory and GAAP reporting, for ESG reporting, etc.
- Please provide an inventory and samples of reports that are client-facing AND required by local laws, regulations, and practices (e.g. valuations of annuities, client statements, etc.) and please provide samples of the accompanying cover letters and other correspondences.
- For each Service and Key Process, please provide the # of full-time employees, part-time employees, contractors, etc. and the average annual costs (operating and capital expenditures).
- For each Service and Key Process, please provide the average annual costs (operating and capital expenditures)(including for IT and other similar assets).



“Catalyst” Questions for Dimension #10: Regulatory, Audit, and Legal Compliance Capabilities

- Please provide information on the regulatory, audit, and legal requirements that must be adhered to by this transformation program, and whether they are company-wide, regional, national, State, municipality, etc.
- Please provide information on the financial reporting policies and practices that are relevant to this transformation (e.g. statutory, GAAPs (e.g. US, UK, etc.), SEC, HIPAA etc. and/or similar ones for the industry(ies) the business is in.
- Please provide information on regulatory filing and reporting schedules that will be impacted by this transformation program.
- Please provide a list of the stakeholders that are responsible for the regulatory, audit, and legal compliance policies, reviews, and approvals for each impacted geography and department.
- Please provide a list of the internal and external auditors that will need to be involved in this transformation program.
- Please provide a description of the Risk, Governance and Compliance policies and procedures, governing committees and entities, and stakeholders (members) whose involvement will be required for this transformation program.
- For each Service and Key Process, please provide the # of full-time employees, part-time employees, contractors, etc. and the average annual costs (operating and capital expenditures).
- For each Service and Key Process, please provide the average annual costs (operating and capital expenditures) (including for IT support services and related assets).



“Catalyst” Questions for Dimension #11: Documentation Management Capabilities

- Please provide information on all the relevant types of documentation that will be impacted by this transformation and the classification and nature of each document type (e.g. Client-facing, internal only, regulatory requirements-related, internal performance tracking and MIS, financial reporting, etc.).
- Please provide the Stakeholders for each of the document classifications and/or types that will be impacted by this Transformation, and please provide the information on whether they are utilized company-wide, regionally, in-Country, locally, departmentally, etc.
- Please specify if third parties are being engaged to change the business Templates and Forms, Contracts and Policies, etc. especially for those that are required by regulating entities and by law (that are impacted by this Transformation).
- Please specify if the Document Life Cycle Management (from creation or capture, through storage, modifications, archiving and destruction) will be transformed as part of this program.
- Please provide information on which documents are critical for each Service and Key Process.
- Please provide information on the document retention policies.
- Please provide information on the locations of the documents that will be impacted by this transformation program (physical, virtual, digital).
- Please provide information on document policies, governance, and document “creators and approvers”.
- For each Service and Key Process, please provide the # of full-time employees, part-time employees, contractors, etc. and the average annual costs (operating and capital expenditures).
- For each Service and Key Process, please provide the average annual costs (operating and capital expenditures) (including for IT and other similar assets).



“Catalyst” Questions for Dimension #12: Platforms, Systems, Technology, and Information Security Capabilities

- Please provide descriptions, diagrams, and other artifacts that describes the various technologies that are currently utilized for each Service and Key Process that is relevant to this transformation program.
- Please include all platforms, applications systems, subsystems, data stores (i.e. data lakes, data warehouses, databases), and other related tools (e.g. spreadsheets, modeling software, etc.) that are utilized in the current operation of the Services and Key Processes that will be impacted by this transformation program.
- Please provide the architecture diagrams and hierarchy of the “Information & Technology Assets”.
- Please provide the governing architecture principles and policies that must be adhered to by this transformation program.
- Please provide all the relevant information and technology and infrastructure (IT and IS) operations services that will, a) affect this this transformation program, and conversely b) will be impacted by this transformation program.
- Please provide all the IT and IS transformations, programs, projects, and activities that are in-progress and that are planned that may impact this transformation program.
- For each Service and Key Process, please provide the # of full-time employees, part-time employees, contractors, etc. and the average annual costs (operating and capital expenditures).
- For each Service and Key Process, please provide the average annual costs (operating and capital expenditures) (including for IT and other similar assets).



“Catalyst” Questions for Dimension #13: Office Locations, Processing Locations, Data Centers, and Physical Security

- Please provide information on all the geographical locations of the business, business unit, or service unit, and its third party partners, vendors and alliances that will be impacted by this transformation program.
- Please provide information on relevant corporate policies and business norms regarding the aforementioned locations that are relevant to this transformation especially those that must be safeguarded and maintained even with this transformation program.
- Please provide information on nature of each locations ‘business operation’ (e.g.Sales office only, processing centers, customer centers, etc.) and which are global, regional and local (in-country).
- Please provide information on the business continuance and disaster recovery plans that are impacted by this transformation program.
- Please provide information on local or regional laws and regulations that must be adhered to as part of this transformation program (e.g. labor laws, taxes and VATs, financial reporting regulations and practices (e.g local GAAP, statutory reporting, etc.).
- Please provide high-level descriptions of the Physical Security policies, processes and procedures and the corporate/global, regional, country, State and municipal audit requirements that must be met/adhered to by this transformation program.
- For each Service and Key Process, please provide the # of full-time employees, part-time employees, contractors, etc. and the average annual costs (operating and capital expenditures)..
- For each Service and Key Process, please provide the average annual costs (operating and capital expenditures) (including for IT and other similar assets).



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Thank You!

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