



## Case Study – Banking Business Analysis

### Client

The Client provides comprehensive services in banking, investment, trust, and insurance through its nearly 2,000 employees. The Client serves individuals and families, large and mid-size corporations, small businesses, agribusinesses, nonprofits, public and government entities, at more than 100 branch offices throughout Minnesota, Wisconsin, and North Dakota. The bank is co-owned by its sponsoring Foundation, a nonprofit charitable trust, and the Client's employees.

### Challenge

The Client wanted to improve its internal business processes related to its policies and procedures, specifically:

- 1) Develop a process for defining, approving, publishing, maintaining and implementing policies
- 2) Document several existing policies

Investigate the complexity of establishing a roles-based security access model for the Client's Windows-based network, with recommendations on next steps

### Solution

Charter Solutions, Inc. spent three months interviewing relevant Client staff, collecting information on current practices, and documenting the findings. We produced a format for describing proposed policies or procedures, and elaborated the management approval process for putting new policies and procedures into practice. We also documented several existing processes in this new format and published them to a central location on the existing company intranet.

To develop the roles-based security model, Charter Solutions interviewed Client staff, studied and documented network configurations, and proposed several solutions. This work allowed Client management to make an informed decision about the future of this project.

### Benefits

There were several outcomes of this engagement:

- 1) The Client formalized a well-understood, well-documented policy and procedure process
- 2) Important complexities in the Client's network configuration were identified, resulting in improved management decision making
- 3) The Client successfully addressed approximately 20 open audit items



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