Ruleguard

Master Operational Risk with Confidence

## Drive Resilience with Transparent, End-to-End Operational Risk Management

Industry Challenges in Operational Risk Management

Financial services firms encounter numerous challenges in managing operational risk, such as:

Increased Regulatory Demands

Regulated firms face mounting regulatory expectations around operational risk governance, with frameworks such as Basel III and PRA SS1/21 emphasising proactive risk identification, robust controls, and demonstrable risk management practices.
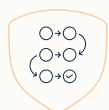
Disjointed and Manual Processes

Many organisations still rely on spreadsheets, isolated systems, or ad-hoc processes to manage operational risk. This fragmented approach leads to inefficiencies, incomplete risk reviews, and limits the ability to respond rapidly to emerging threats.

Poor Visibility and Inconsistent Reporting

Without a centralised risk repository and automated workflows, firms struggle to produce real-time, actionable insights. Static reporting makes it harder to identify material risks, track incidents, and demonstrate effective governance.

Reactive Rather Than Proactive Risk Management

Operational risk events are often managed reactively. The absence of systematic risk identification and control assessments leads to missed opportunities to strengthen resilience and prevent recurrence.

Limited Scalability and Cross-Team Collaboration

As organisations grow and regulatory complexity increases, legacy systems are ill-equipped to scale. Lack of integrated collaboration tools hinders information sharing and slows down issue resolution and decision-making.

Unlock the Benefits of Ruleguard's Operational Risk Management Solution

Comprehensive, End-to-End Risk Management Framework

Ruleguard provides a centralised, automated platform to manage the full lifecycle of operational risks. From identifying, assessing, and monitoring risks to managing incidents and control failures, every element is tracked with full auditability. Firms can seamlessly capture risks, map them to business processes, assign ownership, and automate escalations.

Built-in Regulatory Alignment and Risk Control Assurance

Our solution embeds best practice workflows aligned to regulatory standards, helping firms demonstrate robust governance and effective risk management. Automated control testing, timely escalations, and integrated attestations ensure risk frameworks remain effective, compliant, and up to date.

No-Code Flexibility for Business-Led Adaptability

Business users can easily configure risk taxonomies, assessment methodologies, workflows, and reporting fields without needing IT support. This no-code flexibility allows firms to adapt swiftly to regulatory changes, organisational restructuring, or evolving risk appetites.

Insightful MI Reporting and Real-Time Dashboards

Real-time dashboards and detailed MI reports provide instant visibility into risk exposure, control effectiveness, emerging trends, and incident resolution timelines. Management teams can easily track key risk indicators (KRIs) and produce comprehensive risk reports to support oversight and strategic decision-making.

Secure Collaboration and Seamless Integration

Role-based access controls, case collaboration tools, and seamless integration with a firm's CRM, document management, and communication systems, ensure teams can work together securely and efficiently. The platform scales effortlessly to support organisations of all sizes, building a resilient risk culture across the enterprise.

Why Ruleguard?

Efficiently identify and categorise operational risks with Ruleguard's intuitive platform. Learn how our Operational Risk Management Solution helps to map rules, risks and controls to regulations, policies and procedures.

Full Lifecycle Risk Management with Embedded Best Practices
Ruleguard automates operational risk workflows, integrating risk identification, assessment, monitoring, incident management, and control assurance within a single platform. Firms can confidently meet regulatory expectations and strengthen their operational environment.

Real-Time Risk Intelligence and Governance Insights
Dynamic dashboards and real-time MI offer unparalleled visibility into operational risks, enabling proactive risk mitigation and evidence-based governance.

Scalability, Secure Collaboration, and Ecosystem Integration
Designed to scale with your business, Ruleguard supports secure, cross-functional collaboration and integrates seamlessly with existing ecosystems, enabling a unified, efficient operational risk management environment.

Rapid, No-Code Configuration and Adaptability
Business-led configuration empowers teams to update risk frameworks, workflows, and reporting without coding, ensuring the solution evolves with the firm and the regulatory environment.

Intuitive Experience with End-to-End Coverage

Seamless Assurance Management
Simplify operational risk management with an intuitive, end-to-end platform.

Trusted by Industry Leaders
Chosen by leading financial institutions for robust operational risk solutions.

Innovation-Driven Technology
Continuously enhanced to meet evolving industry and regulatory demands.

Support
Benefit from dedicated customer success support and ongoing training.

Master operational risks and maintain market integrity

Ruleguard's **Operational Risk Management Solution** helps financial services firms to proactively manage the full lifecycle of operational risks. From risk identification and control testing to incident management and KRI monitoring, our platform delivers a unified, automated, and auditable framework. Business users can configure risk frameworks without coding, adapting swiftly to regulatory and business changes. With real-time MI dashboards, role-based collaboration, and seamless integration, Ruleguard helps firms enhance operational resilience, drive governance improvements, and meet regulatory expectations confidently.

Book a call with us to learn how global banks, asset managers, insurers, and investment firms use Ruleguard to enhance their operational risk management.

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