

# Von Experten für Experten.

IBM Cognos Controller Roundtable 2011

- ◆ 3. Mai ~ Hamburg
- ◆ 4. Mai ~ Waiblingen
- ◆ 5. Mai ~ Düsseldorf



## Close. Consolidate. Report.

Vorbereitung, Erfassung und Veröffentlichung von Finanzdaten.

## Agenda

IBM Business Analytics 2011

Start



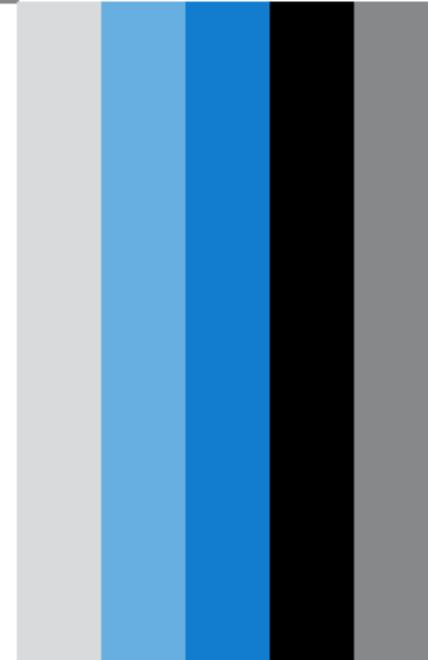
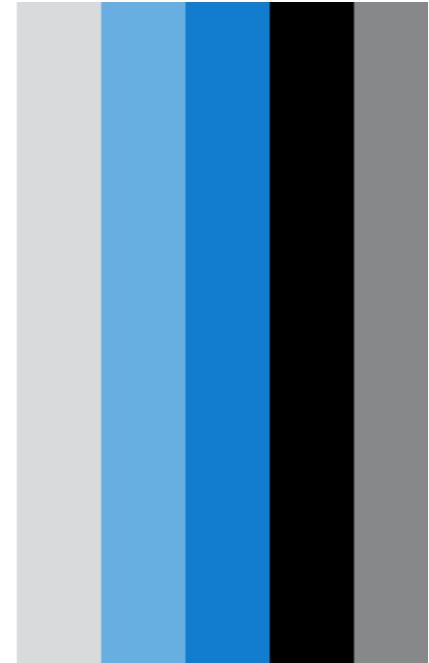
Erfahrungsberichte IBM Cognos Controller 8.5

- Kaffeepause -

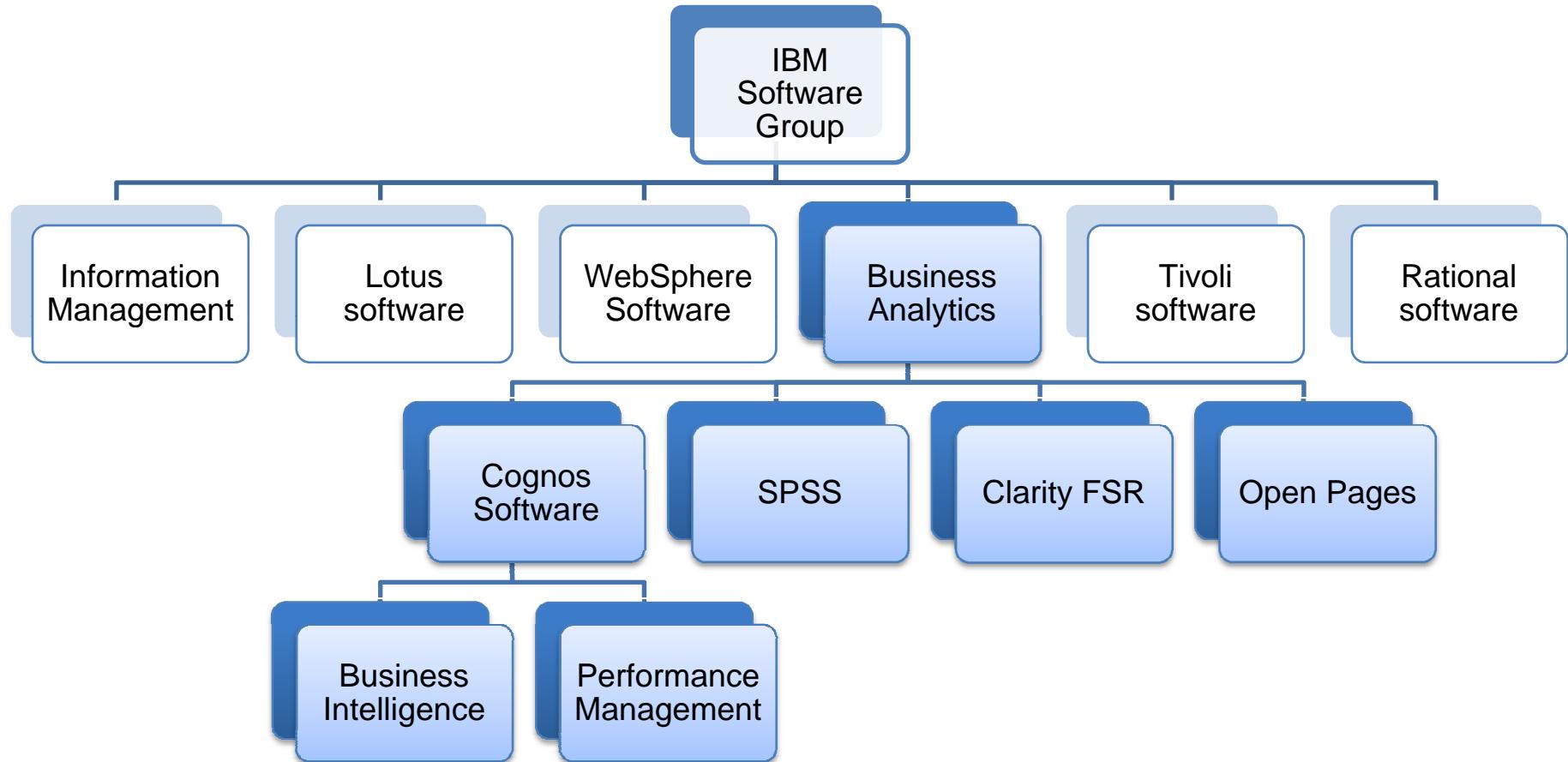
Close.Consolidate.Report – Die „Last Mile“ im  
Abschlussprozess



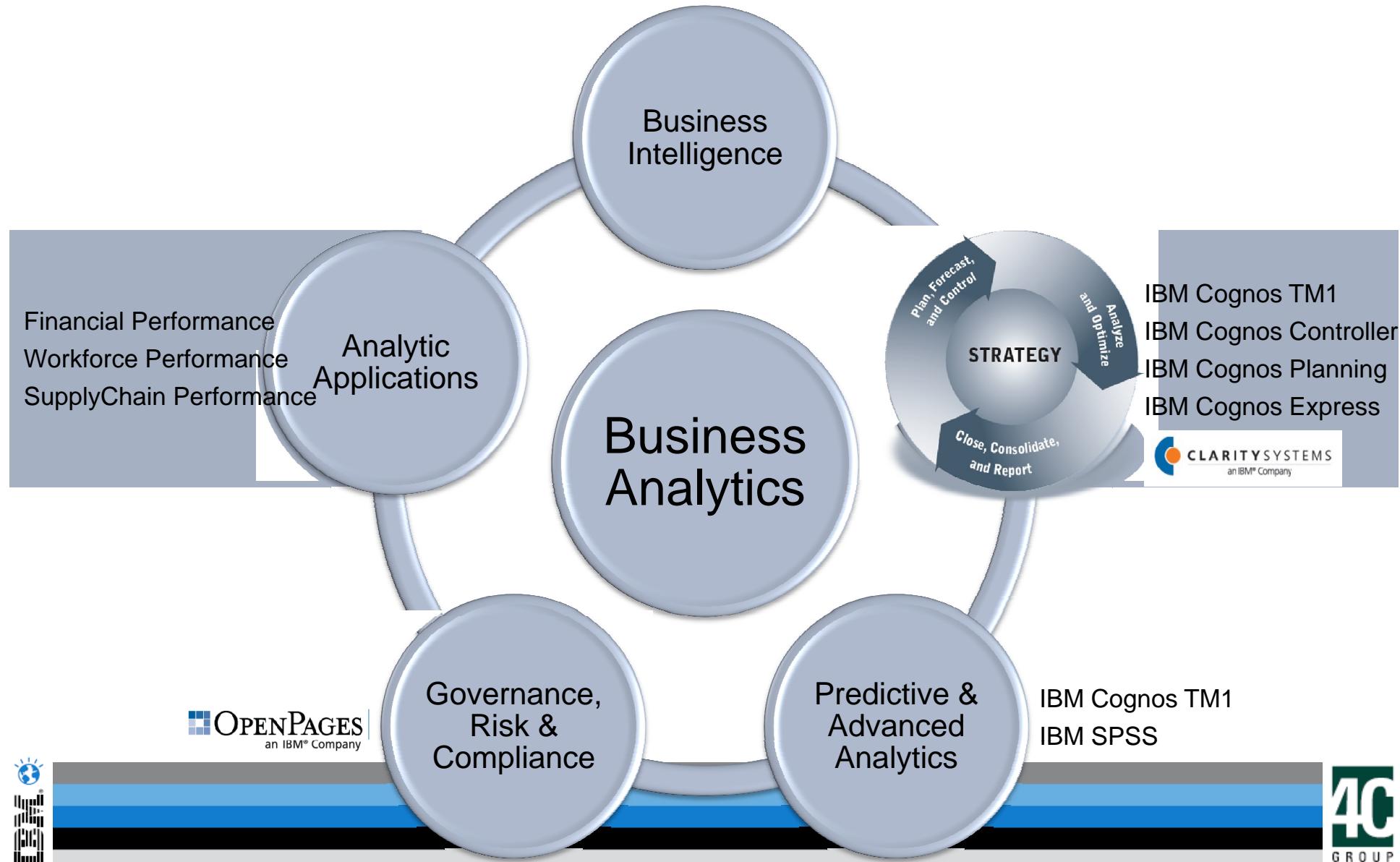
# IBM Business Analytics 2011



# Die „Brand“ Business Analytics in der IBM Software Group



# IBM Cognos Business Analytics



# Konzernsteuerung auf einer Plattform



■ IBM Cognos 8 Business Intelligence ■ IBM Cognos 8 Controller ■ IBM Cognos TM1 ■ IBM Clarity Systems ■ IBM und ZetVisions



## Partnerschaft mit ZetVisions AG, Heidelberg

**Beteiligungsmanagement und –controlling zur Konzernsteuerung mit zetVisions Corporate Investment Manager (zetVisions CIM)**

Verwaltung von Informationen über

- Name, Sitz, Rechtsform, Anteilsquote
- wesentliche Mandatsträger
- Aktionäre
- Finanz- und Rechtsinformationen
- Wirtschaftsprüfertestate
- Transaktionen wie Kauf, Verkauf, Zu- und Abschreibungen
- und anderes mehr....



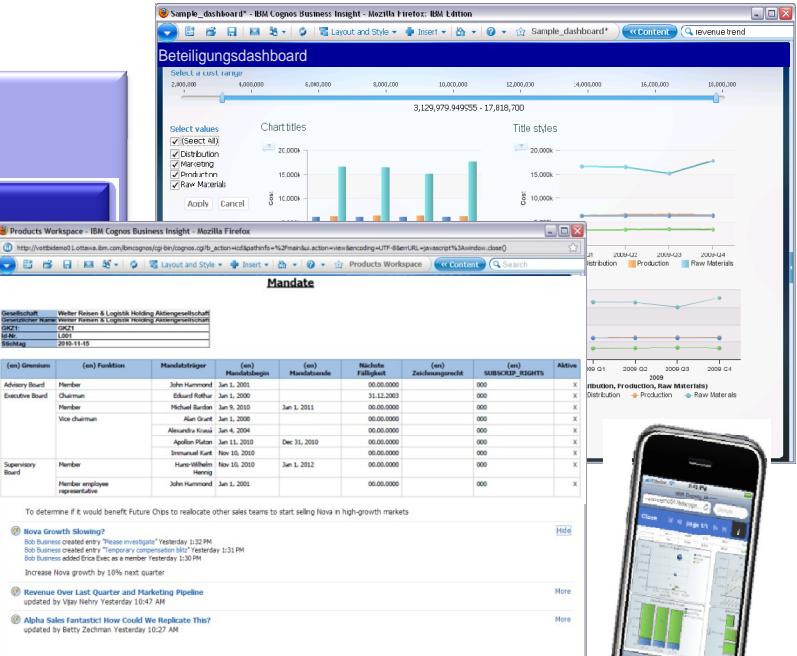
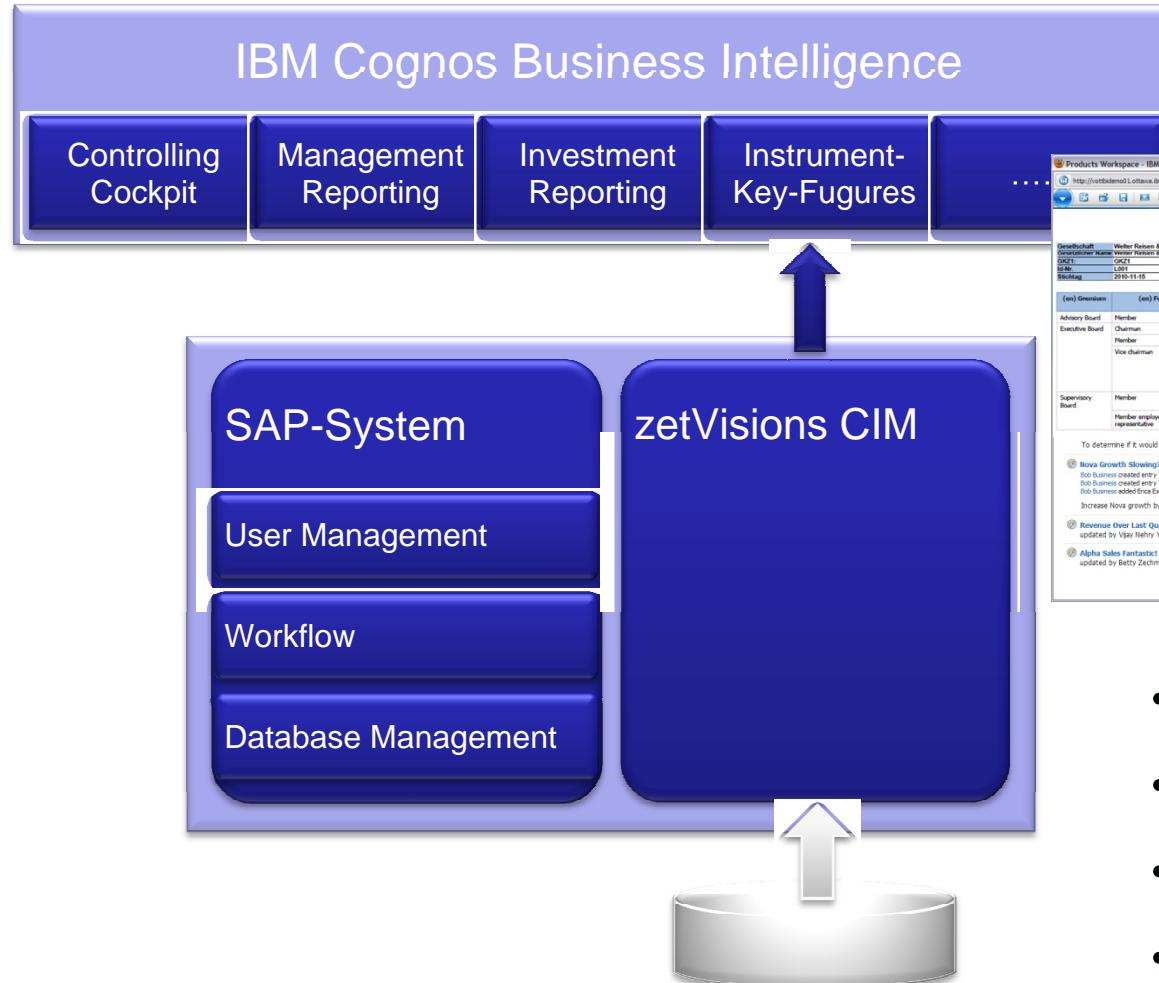
*Kooperation mit IBM - Beteiligungsmanagement-Lösung zetVisions CIM mit IBM Cognos Reporting*

*Heidelberg, 18.11.2010 -- zetVisions Corporate Investment Manager (zetVisions CIM) bietet jetzt noch mehr Möglichkeiten und dockt das Reporting von IBM Cognos an. Ohne den Einsatz weiterer Instanzen (also etwa ohne eine SAP BW-Installation) sind nun alle Informationen mit IBM-Cognos-Werkzeugen abrufbar.*

in allen Beteiligungen zur Außenansicht des Konzerns

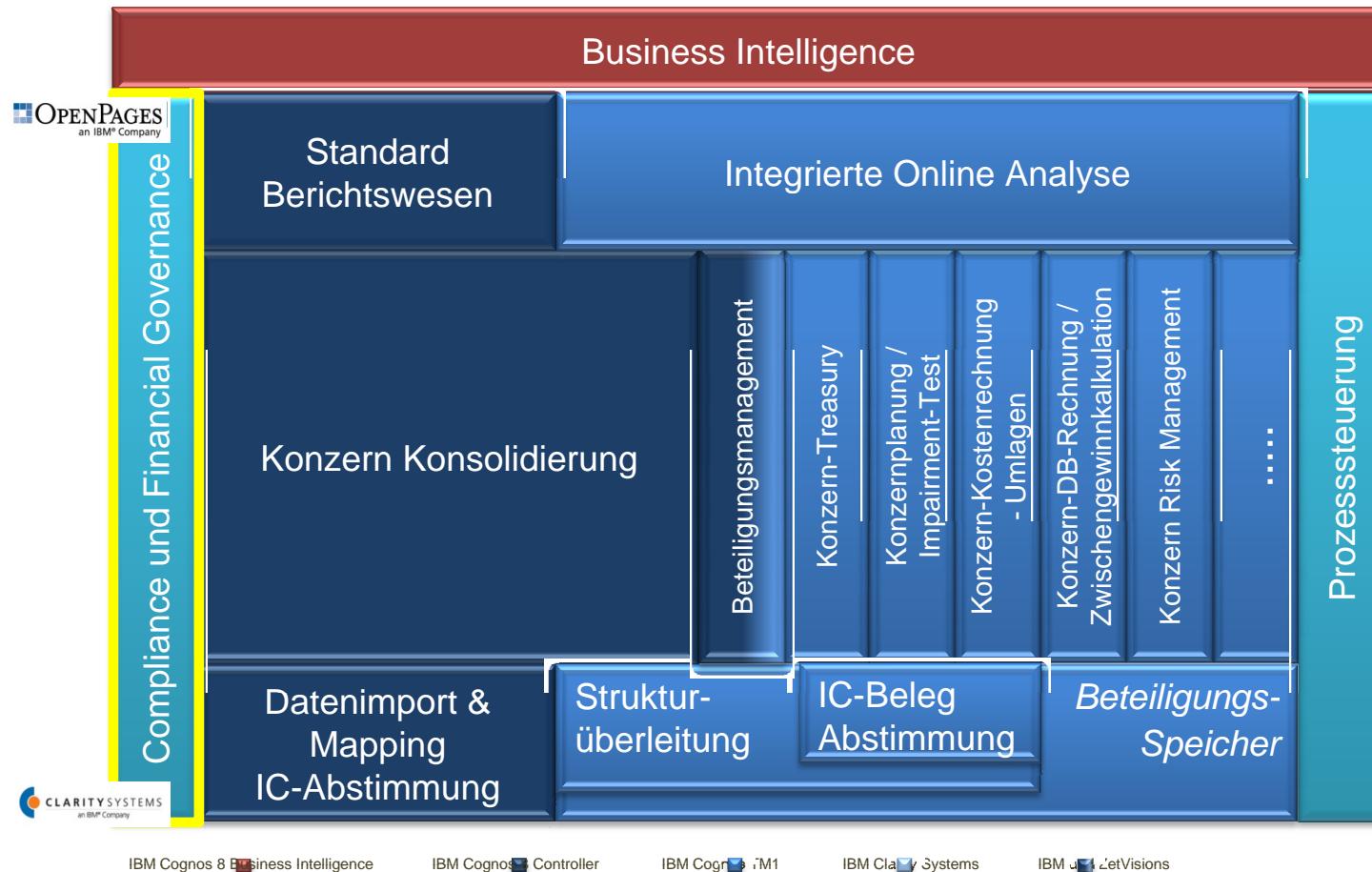


# IBM Cognos BI als Reportingplattform für zetVisions CIM

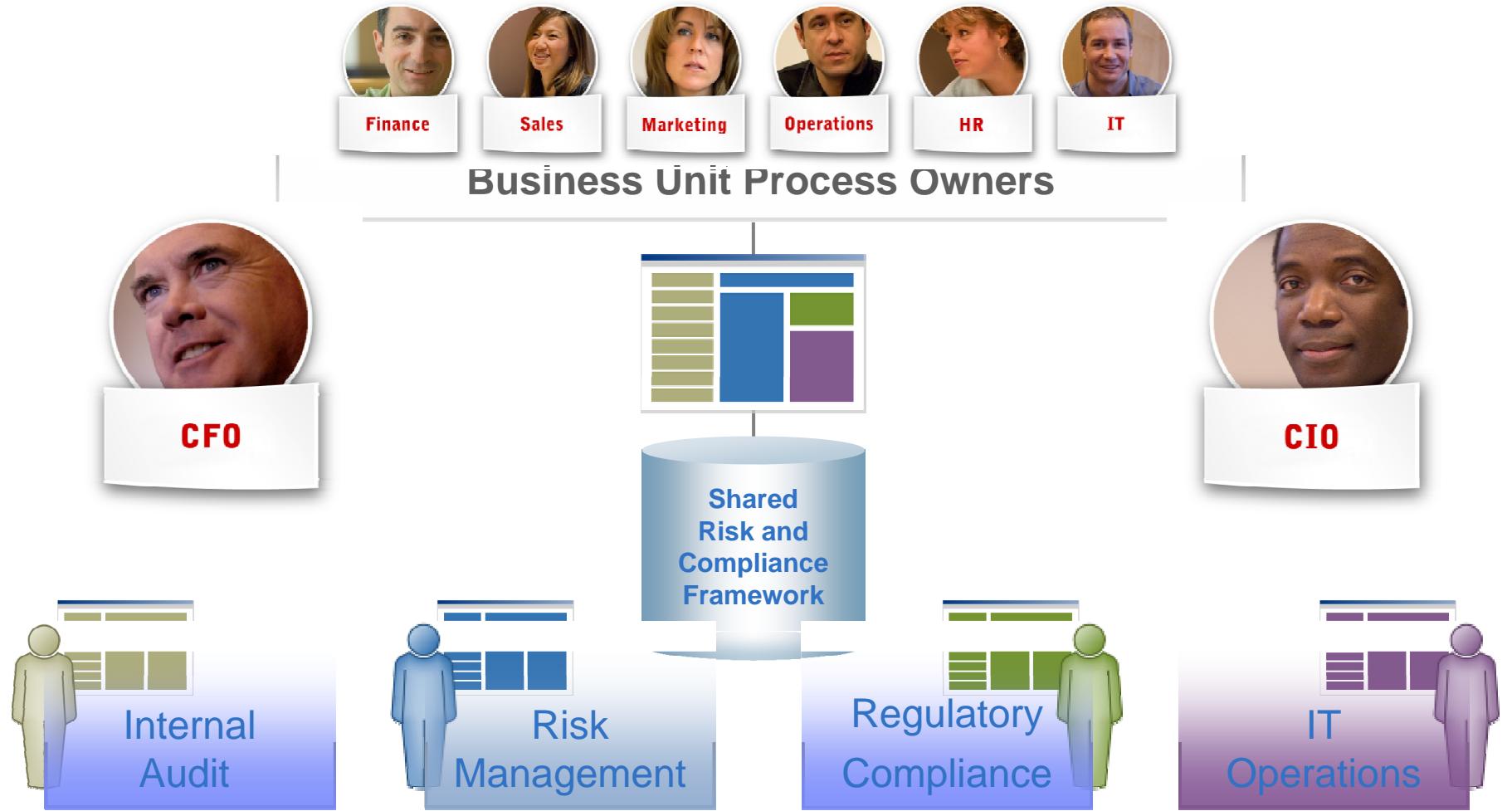


- Kein SAP BW mehr notwendig
- Real-Time-Reporting
- Integrierte Reports
- Report Self-Service

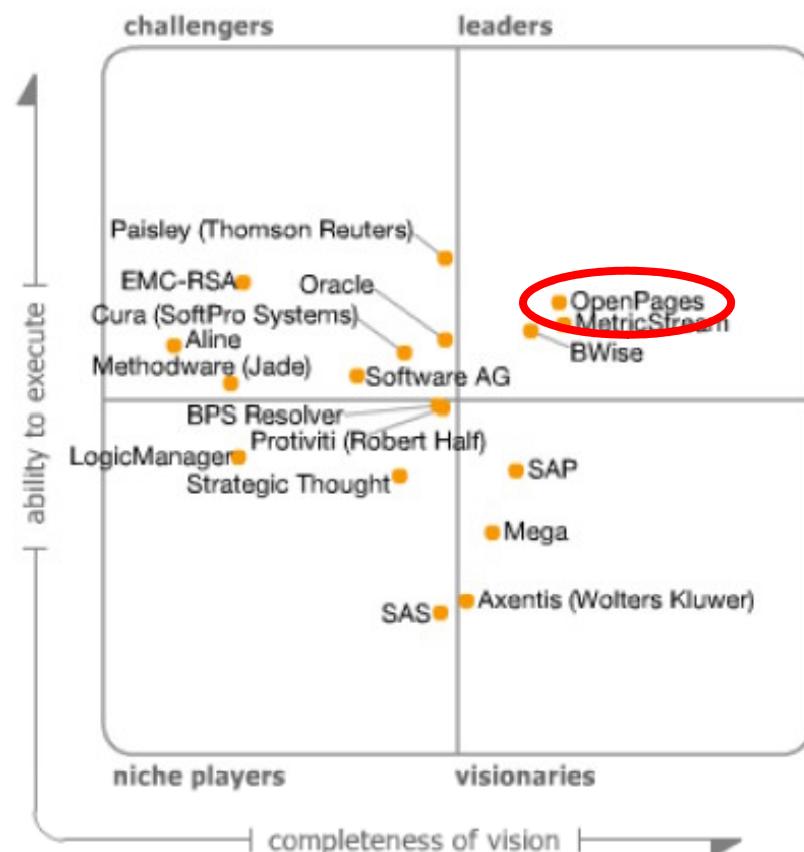
# Konzernsteuerung auf einer Plattform



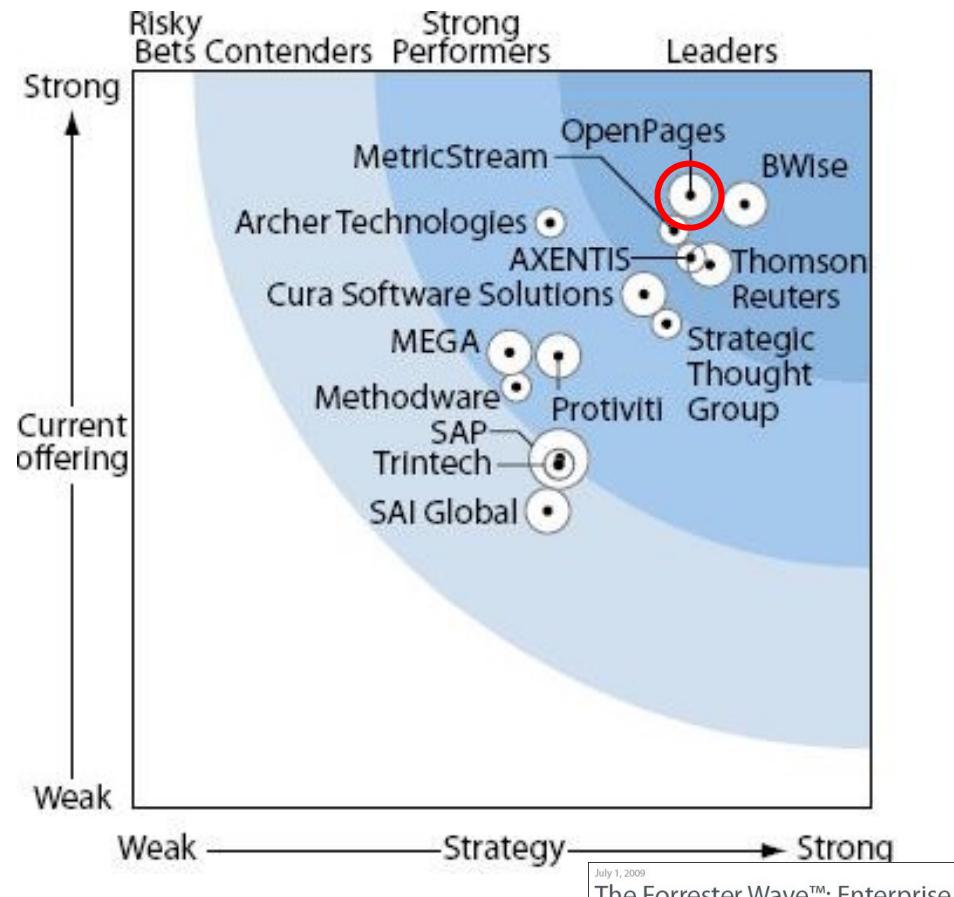
# Open Pages: zentrale Sichtweise auf alle Risk-Informationen



# Analysten über OpenPages



Source: Gartner (October 2010)



# 5 Plays der OpenPage Governance Suite

## *Play*



### **Banking Operational Risk**

## *Description*

Extending IBM Cognos FIRM solution to enable financial services companies to manage operational risk, as detailed by the Basel II accord; including support for basic, standard and Advanced Measurement Approach (AMA).



### **Insurance Operational Risk**

Enable insurance companies to automate the process of identifying, measuring, monitoring, analyzing and managing operational risk for a holistic view of risk within the organization.



### **Insurance Solvency II**

Help insurance companies comply with Solvency II timelines by the end of 2012, and effectively integrate operational risk within overall Solvency II solution.



### **GRC for the Office of CFO**

To help companies across all industries identify and manage risk and compliance activities across the enterprise through a single, integrated management system.



### **Regulatory Compliance**

Extending IBM Cognos FIRM solution to empower companies with the visibility and decision support required to identify and manage all areas of compliance risk.



# Open Pages Risk Management Controls-Dashboard

**OpenPages Operational Risk Management**

System Admin Mode: Disabled | Currently logged in as **ormanager** | Logout  
Reporting Period: Current **View**

**OPENPAGES**

My OpenPages Reporting Organization Assessments Indicators Losses Remediation Administration Help

Home

**My Reports**

Name	Description
KRI Summary	Graphical summary of KRI status by Entity, with KRI Trend subreport.
Loss Event Summary	Graphical summary of Loss Events for a date range by entity, filtered by categories, with Loss Event detail subreport.
ORM Dashboard	Operational Risk Enterprise Dashboard
Risk Assessment Status	Graphical summary of Risk Assessment status by entity, with Risk Assessment detail subreport.

**Risks Not Accepted**

Name	Description
RSK-01-02-03	Unauthorized access to payment system
RSK-03	Employment Practices and Workplace Safety
RSK-04	Clients, Products, & Business Practices

**My Risk Assessments**

Name	Description
RA-NA-CB-RCSA-001	Internal Fraud and Theft
RA-NA-CB-RCSA-002	External Fraud
RA-NA-CB-RCSA-003	Employment Practices and Workplace Safety
RA-NA-CB-RCSA-004	Clients Products & Business Practices
RA-NA-CB-RCSA-005	Damage to Physical Assets
<a href="#">[More items...]</a> <a href="#">Show All</a>	

**My Controls**

Name	Description
CTL-01-01-01	Settlements staff must check that all tickets have been signed by front office staff in accordance with procedures.
CTL-01-01-02	Unauthorised deals must be returned to the front office authorisation prior to input.
CTL-01-01-03	Risk must review position reports for transactions in unauthorised products.
CTL-01-01-04	Review of credit exposures against limits which will identify any trades with unauthorised counterparties.
CTL-01-02-01	Trading desk must sign off the cancellation and correct ticket.
<a href="#">[More items...]</a> <a href="#">Show All</a>	

**My Issues**





**Risk Assessments**

# Open Pages Operational Risk Management Dashboard

**Übersicht der Risiken nach Status**

**Konzernsicht**

**Key Risk Indicator**

**Rest Risiko Anzeige**

**Oct 14, 2010**

**Operational Risk Dashboard**

Select Entity: \* Parent Business Entity Location

**Risk Assessment Status**

Business Entity	New	In Progress	Under Review	Approved	Rejected
Commercial Banking	1	2	2	2	1
Retail Banking	2	6	7	3	1
Retail Brokerage	2	3	2	1	

**Loss Event Summary**

Business Entity	Non-Financial Loss	Financial Loss	Recovery Amount	Net Loss
Commercial Banking	4,000,000	14,820,000	0	14,820,000
Retail Banking	8,000,000	9,450,000	3,045,000	6,405,000
Retail Brokerage	5,500,000	19,950,000	0	19,950,000

**KRI Status**

Business Entity	Acceptable	Borderline	Unacceptable
Retail Banking	28	12	5

**Residual Risk Exposure**

Business Entity	Residual Risk Exposure	Risk Appetite
Commercial Banking	595,000	1,500,000
Retail Banking	2,712,112	3,000,000
Retail Brokerage	595,000	1,000,000

# Open Pages Operational Risk Management Dashboard

OpenPages Operational Risk Management

Cognos Viewer - Operational Risk Dashboard

ormanager Log Off

Einzelheit Keep this version Add this report

## Operational Risk Dashboard

Select Entity: \* /Global Financial Services

Finish Oct 14, 2010

### Risk Assessment Status

Business Entity	New	In Progress	Under Review	Approved	Rejected
North America	5	11	11	6	2

### KRI Status

Business Entity	Acceptable	Borderline	Unacceptable
North America	28	12	5

### Loss Event Summary

Business Entity	Non-Financial Loss	Financial Loss	Recovery Amount	Net Loss
North America	17,500,000	44,220,000	3,045,000	41,175,000

### Residual Risk Exposure

Business Entity	Residual Risk Exposure	Risk Appetite
Asia Pac	0	0
Corporate	2	0
North America	3,902,112	5,500,000

# Risiko Kategorien (Katalog)

**Risk Assessment Detail**

**Business Entity:** /Global Financial Services/North America  
**Risk Assessment Status:** All

Business Entity: /Global Financial Services/North America/Commercial Banking						
Risk Name	Status	Start Date	End Date	Assessment Creator	Assessor	Reviewer
<a href="#">RA-NA-CB-RCSA-004</a>	Approved	Jan 17, 2008	Mar 17, 2008	OpenPagesAdministrator	ormmanager	ormdirector
<a href="#">RA-NA-CB-RCSA-007</a>	Approved	Jan 17, 2008	Mar 17, 2008	OpenPagesAdministrator	ormmanager	ormdirector
<a href="#">RA-NA-CB-RCSA-003</a>	In Progress	Jan 17, 2008	Mar 17, 2008	OpenPagesAdministrator	ormmanager	ormdirector
<a href="#">RA-NA-CB-RCSA-005</a>	In Progress	Jan 17, 2008	Mar 17, 2008	OpenPagesAdministrator	ormmanager	ormdirector
<a href="#">RA-NA-CB-RCSA</a>	New	Jan 17, 2008	Mar 17, 2008	OpenPagesAdministrator	orm	ormdirector
<a href="#">RA-NA-CB-RCSA-001</a>	Rejected	Jan 17, 2008	Mar 17, 2008	OpenPagesAdministrator	ormmanager	ormdirector
<a href="#">RA-NA-CB-RCSA-002</a>	Under Review	Jan 17, 2008	Mar 17, 2008	OpenPagesAdministrator	ormmanager	ormdirector
<a href="#">RA-NA-CB-RCSA-006</a>	Under Review	Jan 17, 2008	Mar 17, 2008	OpenPagesAdministrator	ormmanager	ormdirector

Business Entity: /Global Financial Services/North America/Retail Banking						
Risk Name	Status	Start Date	End Date	Assessment Creator	Assessor	Reviewer
<a href="#">RA-NA-RB-Process-009</a>	Approved	Aug 4, 2008	Sep 3, 2008	OpenPagesAdministrator	ormmanager	ormdirector
<a href="#">RA-NA-RB-RCSA-007</a>	Approved	Jan 17, 2008	Mar 17, 2008	OpenPagesAdministrator	ormmanager	ormdirector
<a href="#">RA-NA-RB-Scenario-002</a>	Approved	Aug 15, 2007	Oct 14, 2007	OpenPagesAdministrator	ormmanager	ormdirector
<a href="#">RA-NA-RB-Process-003</a>	In Progress	Jun 15, 2008	Jul 15, 2008	OpenPagesAdministrator	ormmanager	ormdirector
<a href="#">RA-NA-RB-Process-007</a>	In Progress	Jul 25, 2008	Aug 24, 2008	OpenPagesAdministrator	ormmanager	ormdirector
<a href="#">RA-NA-RB-Process-008</a>	In Progress	Jul 30, 2008	Aug 29, 2008	OpenPagesAdministrator	ormmanager	ormdirector
<a href="#">RA-NA-RB-RCSA-001</a>	In Progress	Jan 17, 2008	Mar 17, 2008	OpenPagesAdministrator	ormmanager	ormdirector
<a href="#">RA-NA-RB-RCSA-003</a>	In Progress	Jan 17, 2008	Mar 17, 2008	OpenPagesAdministrator	ormmanager	ormdirector
<a href="#">RA-NA-RB-RCSA-005</a>	In Progress	Jan 17, 2008	Mar 17, 2008	OpenPagesAdministrator	ormmanager	ormdirector
<a href="#">RA-NA-RB-Process-006</a>	New	Aug 4, 2008	Sep 3, 2008	OpenPagesAdministrator	ormmanager	ormdirector

# Risikokategorie

OpenPages Operational Risk Management

System Admin Mode: Disabled | Currently logged in as ormanager | Logout Reporting Period: Current View

Risk Assessments: RA-NA-RB-RCSA-001

Description: Internal Fraud and Theft Business Entity Hierarchy: Global Financial Services > North America > Retail Banking

Current View: Detail View Go

**RA-NA-RB-RCSA-001**

Description: Internal Fraud and Theft

Business Entity Hierarchy: Global Financial Services > North America > Retail Banking

**Fields**

**General**

Name: RA-NA-RB-RCSA-001	Domain: Operational
Folder: Risk Assessments / Global Financial Services / North America / Retail Banking	Type:

**Scheduling**

Start Date: Jan 17, 2008	End Date: Mar 17, 2008
Frequency: Annually	Next Assessment Date: Jan 17, 2008

**Assessment**

Assessor: ormanager	Reviewer: ormdir
Status: In Progress	Assessment Complete: False

**Related Information**

- Parents
- Business Entities (1)
- Associations
- Processes (0)
- Sub-Processes (0)
- Control Objectives (0)
- Risks (7)
- Controls (0)
- Scenario Analyses (0)
- Issues (0)
- Signatures (0)

Attachments

- Links (0)
- Files (0)

**Kategorie mit 7 zugeordneten Einzelrisiken**

# Beschreibung des Einzelrisiko

OpenPages Operational Risk Management

OPENPAGES

System Admin Mode: Disabled | Currently logged in as ormanager | Logout Reporting Period: Current View

Risk Assessments: RA-NA-RB-RCSA-001

Current View: Detail View Go

RA-NA-RB-RCSA-001

Description: Internal Fraud and Theft

Business Entity Hierarchy: Global Financial Services > North America > Retail Banking

Risk Assessment Details

Fields

Automation Jobs

Change History

LOCKS

Related Information

Parents

Business Entities (1)

Associations

Processes (0)

Sub-Processes (0)

Control Objectives (0)

Risks (7)

Controls (0)

Scenario Analyses (0)

Issues (0)

Signatures (0)

Attachments

Links (0)

Files (0)

**Risks**

Name	Description	Category	Acceptance
RSK-01-01-01	Unauthorized deal	Internal Fraud	Yes
RSK-01-01-02	Unauthorized amendment	Internal Fraud	Yes
RSK-01-01-05	Bogus trades recorded	External Fraud	Yes
RSK-01-02-01	Independent Nostro function	Internal Fraud	Yes
RSK-01-02-02	Fraudulent payment order	Internal Fraud	Yes

**RSK-01-01-01**

General

Name: RSK-01-01-01	Description: Unauthorized deal
Owner: ormanager	Domain: Operational
Category: Internal Fraud	Subcategory: Unauthorised Activity
Folder: Risks / Global Financial Services / North America / Retail Banking	

Qualitative Measurement

Inherent Impact: High	Residual Impact: High
Inherent Likelihood: High	Residual Likelihood: Medium
Inherent Risk Rating: Critical	Residual Risk Rating: Critical

Quantitative Measurement

Inherent Severity: USD 75,000.00 (USD 75,000.00)	Inherent Frequency: 1.00
Inherent Risk Exposure: USD 75,000.00	Residual Risk Exposure: USD 0.00

Acceptance

Acceptance: Yes	Within Tolerance: Yes
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# Übersicht des Risikokatalogs

OpenPages Operational Risk Management

Cognos Viewer - KRI Summary

KRI Summary

Business Entity: /Global Financial Services/North America  
Risk Assessment Status: All

Business Entity: /Global Financial Services/North America/Retail Banking

KRI Name	Description	Data Source	KRI Frequency	Target	KRI Threshold	Unit of Measurement	Value Range	KRI Direction
<a href="#">KRI-0001</a>	Breaches of Credit Limits		Monthly	5	10	Percentage	5	Increase means greater risk
<a href="#">KRI-0002</a>	Breaches of Credit Limits		Monthly	5	10	Percentage		Increase means greater risk
<a href="#">KRI-0003</a>	Regulatory Fines		Monthly	10	20	Percentage		Increase means greater risk
<a href="#">KRI-0004</a>	Regulatory Fines		Monthly	10	20	Percentage		Increase means greater risk
<a href="#">KRI-0005</a>	Debt Writeoff		Monthly	2	5	Percentage		Increase means greater risk
<a href="#">KRI-0006</a>	Debt Writeoff		Monthly	2	3	Percentage		Increase means greater risk
<a href="#">KRI-0012</a>	Debt Writeoff		Monthly	2	3	Percentage		Increase means greater risk
<a href="#">KRI-0007</a>	Money Laundering		Monthly	10	20	Percentage		Increase means greater risk
<a href="#">KRI-0008</a>	Money Laundering		Monthly	0.1	0.15	Percentage		Increase means greater risk
<a href="#">KRI-0009</a>	Unauthorised transactions		Monthly	1	2	Percentage		Increase means greater risk
<a href="#">KRI-0010</a>	Unauthorised transactions		Monthly	0.1	0.15	Percentage		Increase means greater risk
<a href="#">KRI-0011</a>	Non-standard contracts		Monthly	5	10	Percentage		Increase means greater risk
<a href="#">KRI-0013</a>	Funding Losses		Monthly	10	20	Percentage		Increase means greater risk
<a href="#">KRI-0014</a>	Nostro Breaks		Monthly	5	10	Percentage		Increase means greater risk
<a href="#">KRI-0015</a>	Nostro Breaks		Monthly	5	10	Percentage		Increase means greater risk
<a href="#">KRI-0016</a>	Trading Losses		Monthly	10	20	Percentage		Increase means greater risk
<a href="#">KRI-0017</a>	Limit Breaches		Monthly	5	10	Percentage		Increase means greater risk
<a href="#">KRI-0018</a>	Limit Breaches		Monthly	5	10	Percentage		Increase means greater risk
<a href="#">KRI-0019</a>	Product waivers		Monthly	5	10	Percentage		Increase means greater risk
<a href="#">KRI-0020</a>	Legal Costs		Monthly	10	20	Percentage		Increase means greater risk

G R O U P

# Open Pages Compliance Management Dashboard

OpenPages - FIRM

**OPENPAGES**  
an IBM® Company

Regulatory Compliance    Regulator Interaction    Policy Management    Metric Analysis    Adhoc Analysis

### Regulatory Control Effectiveness

% Effective Controls

Mandate	Entity	Value
BSA/AML	North America	~65%
Equal Credit Opp	North America	~45%
CA 1380	North America	~55%
GLBA	North America	~60%
PCI	North America	~50%
EU Data Directive	North America	~40%
FCPA	North America	~35%
PCI	EMEA	~60%
EU Data Directive	EMEA	~50%
FCPA	EMEA	~45%
PCI	Asia Pac	~55%
EU Data Directive	Asia Pac	~45%
FCPA	Asia Pac	~40%
PCI	Auto Pac	~50%
EU Data Directive	Auto Pac	~40%
FCPA	Auto Pac	~35%

### Compliance Risk Assessment

Risk Score	Data Privacy				Banking	
	CA 1386	PCI	GLBA	EU Data Directive	BSA/AML	Equal Credit Opp
North America	7.43	4.71	4.43		5.67	4.00
Asia Pac	5.14	4.57	4.43		8.17	2.83
EMEA		4.57	4.57	5.14	6.33	4.00
Average	6.29	4.62	4.48	5.14	6.72	3.61

### Regulatory Change Status

% of Tasks

Category	On Track	Behind	Overdue
Category A	~55%	~25%	~20%
Category B	~45%	~30%	~25%
Category C	~35%	~40%	~25%
Category D	~40%	~35%	~25%

### Compliance Incidents

Count of Incidents

Incident Type	Period 1	Period 2	Period 3
Internal Audit	~150	~100	~120
Regulatory	~10	~10	~10
Employee	~20	~20	~20
Custom	~100	~80	~100

# Open Pages Compliance Management Metrics

OpenPages - FIRM

**OPENPAGES**  
an IBM® Company

Regulatory Compliance    Regulator Interaction    Policy Management    Metric Analysis    Adhoc Analysis

No filter

**Internal**

- Regulatory Fines
- Compliance Incidents
- # of Customer Complaints
- Code of Conduct Violations
- # of New Policy Warnings
- # of Regulator Inquiries

**Code of Conduct Violations**

Month	Violations
Apr 2009	260
May 2009	260
Jun 2009	160
Jul 2009	240
Aug 2009	200
Sep 2009	180
Oct 2009	220
Nov 2009	240
Dec 2009	240
Jan 2010	240
Feb 2010	240
Mar 2010	260

**Metric Analysis**

	Actual	Target	Variance
US\$650,000.00	US\$1,000,000.00	-US\$350,000.00	
45	25	20	
118	100	18	
24	25	-1	
32	18	14	
34	30	4	

**2009 Regulatory Compliance Metrics**

**Regulatory Fines**

Month	Exposure
Jan	1
Feb	1
Mar	22
Apr	1
May	5
Jun	5
Jul	2
Aug	1
Sep	1
Oct	1
Nov	57
Dec	1

**Compliance Incidents**

Month	Incidents
Jan	17
Feb	13
Mar	23
Apr	65
May	45
Jun	59
Jul	37
Aug	19
Sep	45
Oct	55
Nov	58
Dec	47

**Number of Complaints**

Month	Complaints
Jan	160
Feb	165

# Open Pages Compliance Management Analyse

OpenPages - FIRM

**OPENPAGES**  
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Loss Summary   KRI's/Issues Status   Metric Analysis   Adhoc Analysis

File Edit View Settings Run Help

Insertable Objects

- OpenPagesFirm
- + OP-Operational Risk
- + OP-Regulatory Compliance

Rows: Risk Category   Columns: Business Line   Context filter:

Risk Category	Business Line	Agency Services	Asset Management	Commercial Banking	Corporate Finance
Business Disruption and System Failures		\$1,331,229	\$1,021,528	\$5,884,695	\$
Clients, Products and Business Practices		\$3,838,874	\$13,158,841	\$51,458,309	\$
Damage to Physical Assets		\$356,801		\$1,825,834	
Employment Practices and Workplace Safety		\$2,816,860	\$4,158,457	\$7,412,747	\$
Execution, Delivery and Process Management		\$58,592,038	\$57,158,676	\$100,514,052	\$18
External Fraud		\$1,029,033	\$1,784,263	\$95,975,091	\$
Internal Fraud		\$643,237	\$1,326,525	\$5,735,240	\$
Risk Category		\$68,608,072	\$78,608,290	\$268,805,968	\$399,



# OpenPages „Office Of Finance“ Dashboard

**Audit Universe**

Audit Result	Count
Excellent	3
Good	2
Fair	2
Poor	1
No Result	1

**Audit Details**

Audit Name	Description	Type	Priority	Result	Unit Audited Name
<a href="#">IA-03-03</a>	Vendor supply quality review	Operational	Very High	Poor	Audit Planning FY 08
<a href="#">IA-01-03</a>	Data Center Physical Security	System Security	High	Fair	Audit Planning FY 08
<a href="#">IA-01-02</a>	Residential Billing	Operational	Low		Audit Planning FY 08
<a href="#">IA-03-02</a>	Ad hoc request for special project 1332	Ad Hoc	Very High	Excellent	Audit Planning FY 08
<a href="#">IA-01-01</a>	Billable expenses and reimbursement	Financial	Very High	Good	<ul style="list-style-type: none"> <li> Agency Services</li> <li> Asset Management</li> <li> Commercial Banking</li> <li> Audit Planning FY 08</li> </ul>
<a href="#">IA-03-01</a>	External system security	System Security	Very High	Good	Audit Planning FY 08
<a href="#">IA-01-10</a>	Building Physical Security Audit	Strategic	High	Excellent	Audit Planning FY 08
<a href="#">IA-03-04</a>	Ad hoc request for special project 1400	Ad Hoc	Very High	Fair	Audit Planning FY 08
<a href="#">IA-01-05</a>	Expenses and Reimbursement	Financial	High	Excellent	Audit Planning FY 08

**Regulatory Compliance Status**

Mandate	Undetermined	Ineffective	Effective	Score
ISO/IEC 17799:2005	2	1	6	66.7%
CA 1386	7	1	6	66.7%
PCI	9	181	95.3%	
GFS Internal	2	1	6	66.7%
GLBA	1	1	6	75.0%
HIPAA	2	1	6	66.7%
CobiT	1	1	16	88.9%

**Financial Process Control Effectiveness**

Process Name	Not Determined	Ineffective	Effective
S01	1		
S01	1		7
I01	2		8
P01	1	1	8
S01		1	7
I01			10
<b>Total</b>	<b>5</b>	<b>2</b>	<b>40</b>

11:40:01 AM 13-Oct-10

**Issues by Assignee and Age**

Assignee	Age	Count
processowner1	0-7 Days	1.5
processowner2	0-7 Days	2.5
processowner1	8-14 Days	3.5
processowner2	8-14 Days	4.5
processowner1	15-21 Days	3.5
processowner2	15-21 Days	4.5
processowner1	22-28 Days	3.5
processowner2	22-28 Days	4.5
processowner1	29-35 Days	3.5
processowner2	29-35 Days	4.5
processowner1	36-42 Days	3.5
processowner2	36-42 Days	4.5
processowner1	43-49 Days	3.5
processowner2	43-49 Days	4.5
processowner1	50-56 Days	3.5
processowner2	50-56 Days	4.5
processowner1	57-63 Days	3.5
processowner2	57-63 Days	4.5
processowner1	64-70 Days	3.5
processowner2	64-70 Days	4.5
processowner1	71-77 Days	3.5
processowner2	71-77 Days	4.5
processowner1	78-84 Days	3.5
processowner2	78-84 Days	4.5
processowner1	85-91 Days	3.5
processowner2	85-91 Days	4.5
processowner1	92-98 Days	3.5
processowner2	92-98 Days	4.5
processowner1	99-105 Days	3.5
processowner2	99-105 Days	4.5
processowner1	106-112 Days	3.5
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processowner2	176-182 Days	4.5
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processowner2	183-189 Days	4.5
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processowner2	190-196 Days	4.5
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processowner2	204-210 Days	4.5
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processowner2	211-217 Days	4.5
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processowner1	952-958 Days	3.5
processowner2	952-958 Days	4.5
processowner1	959-965 Days	3.5
processowner2	959-965 Days	4.5
processowner1	966-972 Days	3.5

# „Controls“ Monitor

OpenPages GRC for Office of Finance

Mandate Control Effectiveness Detail - Cognos Viewer - Mozilla Firefox

Keep this version Add this report

## Mandate Control Effectiveness Detail

Business Entity: /Global Financial Services  
Mandate Topic: All  
Mandate: ISO/IEC 17799:2005

Risk Name	Risk Description	Risk Inherent Impact	Risk Inherent Likelihood	Control Name	Control Owner	Control Design Effectiveness	Control Operating Effectiveness
<a href="#">IT01-RSK-02-02</a>	Breach of confidential data	High	Low	<a href="#">IT01-CA-01-01</a>	itdirector	Effective	Effective
				<a href="#">IT01-CA-01-02</a>	itdirector	Effective	Effective
				<a href="#">IT01-CA-01-03</a>	itdirector	Effective	Effective
				<a href="#">IT01-CA-01-04</a>	itdirector	Effective	Effective
				<a href="#">IT01-CA-01-05</a>	itdirector	Effective	Effective
				<a href="#">IT01-CA-02-01</a>	itdirector	Effective	Effective
				<a href="#">IT01-CA-02-02</a>	itdirector	Effective	Ineffective
				<a href="#">IT01-CA-02-03</a>	itdirector	Effective	Not Determined
				<a href="#">IT01-CA-02-04</a>	itdirector	Not Determined	Not Determined
Business Entity:	<a href="#">/Global Financial Services/Corporate/IT</a>						
Mandate Name:	<a href="#">ISO 17799</a>						
Sub-Mandate Name:	<a href="#">ISO 17799-11</a>						
		Disk	Disk				Central

# „Controls“ Detail

OpenPages GRC for Office of Finance

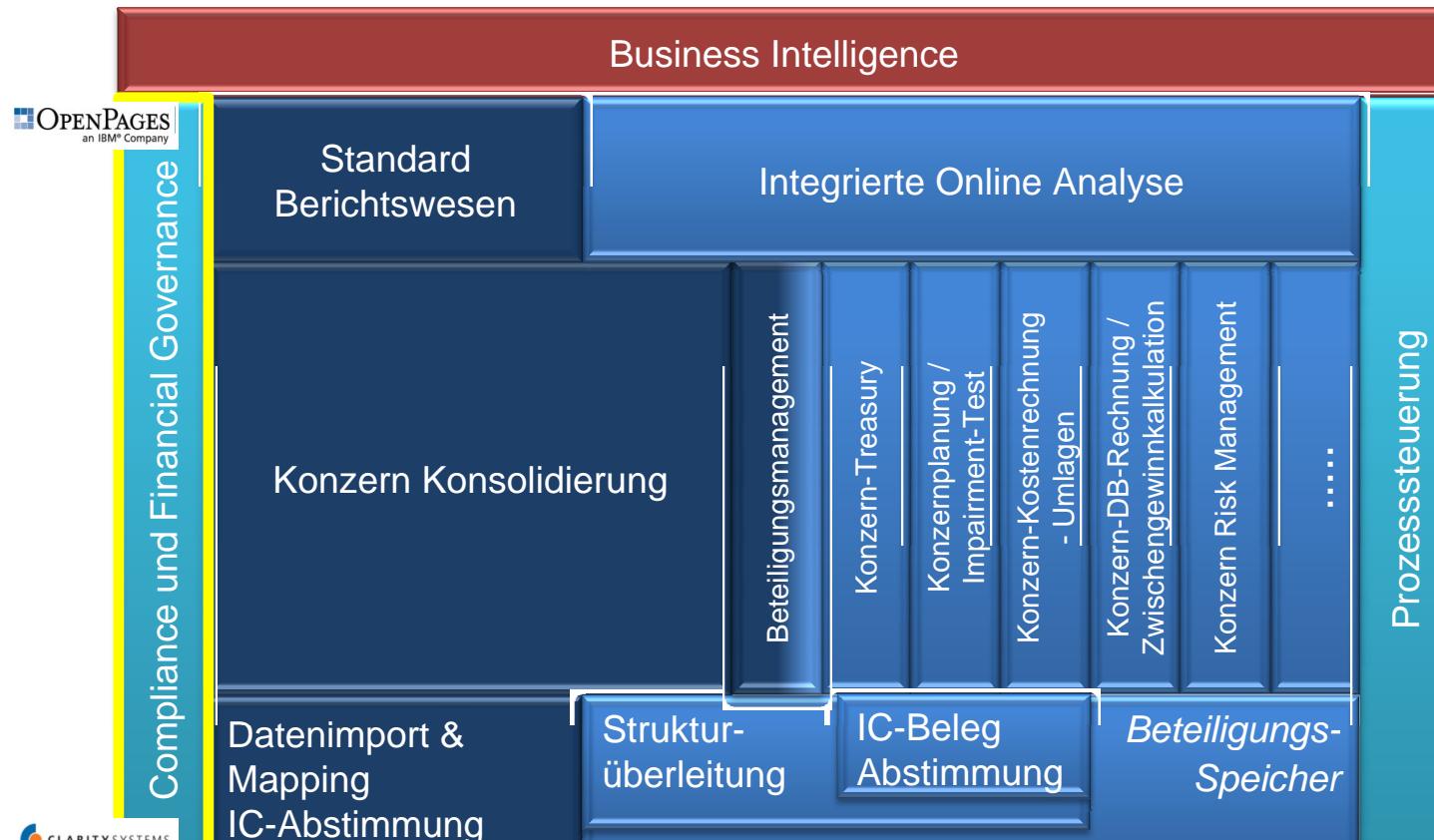
System Admin Mode: Disabled | Currently logged in as OpenPagesAdministrator | Logout Reporting Period: Current View

Controls: IT01-CA-02-02

Business Entity Hierarchy: Global Financial Services > Corporate > IT Primary Parent Hierarchy: IT01 > IT02-01 > IT01-CA-02-02 > IT01-RSK-02-02

Control Details		Fields		Actions	
<a href="#">Fields</a>		<a href="#">Name:</a> IT01-CA-02-02	<a href="#">Description:</a> All security system configurations, upgrades and patches are appropriately authorized as well as adequately reviewed and approved by appropriate management.	<a href="#">Edit</a>	
<a href="#">Automation Jobs</a>		<a href="#">Folder:</a> Controls / Global Financial Services / Corporate / IT	<a href="#">Creation Date:</a> Jun 2, 2008 10:40:28 AM EDT	<a href="#">Delete</a>	
<a href="#">Change History</a>		<a href="#">Created By:</a> OpenPagesAdministrator	<a href="#">Last Modification Date:</a> Oct 14, 2010 9:06:30 AM EDT	<a href="#">View History</a>	
<a href="#">Locks</a>		<a href="#">Last Modified By:</a> OpenPagesAdministrator	<a href="#">Classification:</a> Key Control Activity	<a href="#">Edit</a>	
<a href="#">Related Information</a>		<a href="#">Operating Effectiveness:</a> Ineffective	<a href="#">Design Effectiveness:</a> Effective	<a href="#">Delete</a>	
<a href="#">Parents</a>		<a href="#">Effectiveness Rating:</a> Ineffective	<a href="#">Additional Description:</a> Ensure that all requests for change are assessed in a structured way for impacts on the operational system and its functionality. This assessment should include categorisation and prioritisation of changes. Prior to migration to production, changes are authorised by the appropriate stakeholder.	<a href="#">View Details</a>	
<a href="#">Risks (1)</a>		<a href="#">COSO Component:</a> Control Activity	<a href="#">Control Type:</a> Preventive	<a href="#">Edit</a>	
<a href="#">Accounts (0)</a>		<a href="#">Safeguarding of Assets:</a> Yes	<a href="#">Control Method:</a> Manual	<a href="#">Delete</a>	
<a href="#">Sub-Accounts (0)</a>		<a href="#">IT System:</a>	<a href="#">Control Owner:</a> itdirector	<a href="#">View Details</a>	
<a href="#">Risk Assessments (0)</a>		<a href="#">Does the Control Owner Perform the Control?:</a> Yes	<a href="#">Owner Response:</a>	<a href="#">Edit</a>	
<a href="#">Applications (0)</a>		<a href="#">Owner Comment:</a>	<a href="#">Financial Statement Assertions:</a>	<a href="#">Delete</a>	
<a href="#">Personnel (0)</a>		<a href="#">Frequency:</a> Monthly	<a href="#">Documentation Location:</a>	<a href="#">View Details</a>	
<a href="#">Infrastructure (0)</a>		<a href="#">Possible Test Types:</a> Examination	<a href="#">Reduction of Inherent Frequency (% reduction):</a>	<a href="#">Edit</a>	
<a href="#">Requirements (0)</a>		<a href="#">Reduction of Inherent Severity (% reduction):</a>	<a href="#">Domain:</a> Technology	<a href="#">Delete</a>	
<a href="#">Associations</a>		<a href="#">Mandate:</a> HIPAA, AML, GLBA, ITIL, CA 1386, CobiT, ISO/IEC 17799:2005, GFS Internal	<a href="#">Topics:</a>	<a href="#">View Details</a>	
<a href="#">Tests (1)</a>		<a href="#">Source:</a>	<a href="#">Audit Design Effectiveness:</a> Not Determined	<a href="#">Edit</a>	
<a href="#">KRI's (0)</a>				<a href="#">Delete</a>	
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<a href="#">Links (0)</a>				<a href="#">View Details</a>	
<a href="#">Files (0)</a>				<a href="#">Edit</a>	

# Konzernsteuerung auf einer Plattform



■ IBM Cognos 8 Business Intelligence ■ IBM Cognos 8 Controller ■ IBM Cognos TM1 ■ IBM Clarity Systems ■ IBM und ZetVisions



## Was ist Clarity?

1. Eine Disclosure Management Lösung  
Erstellung von Pflichtveröffentlichungen  
(u.a. zur Erstellung der Geschäftsberichte in MS-Word)



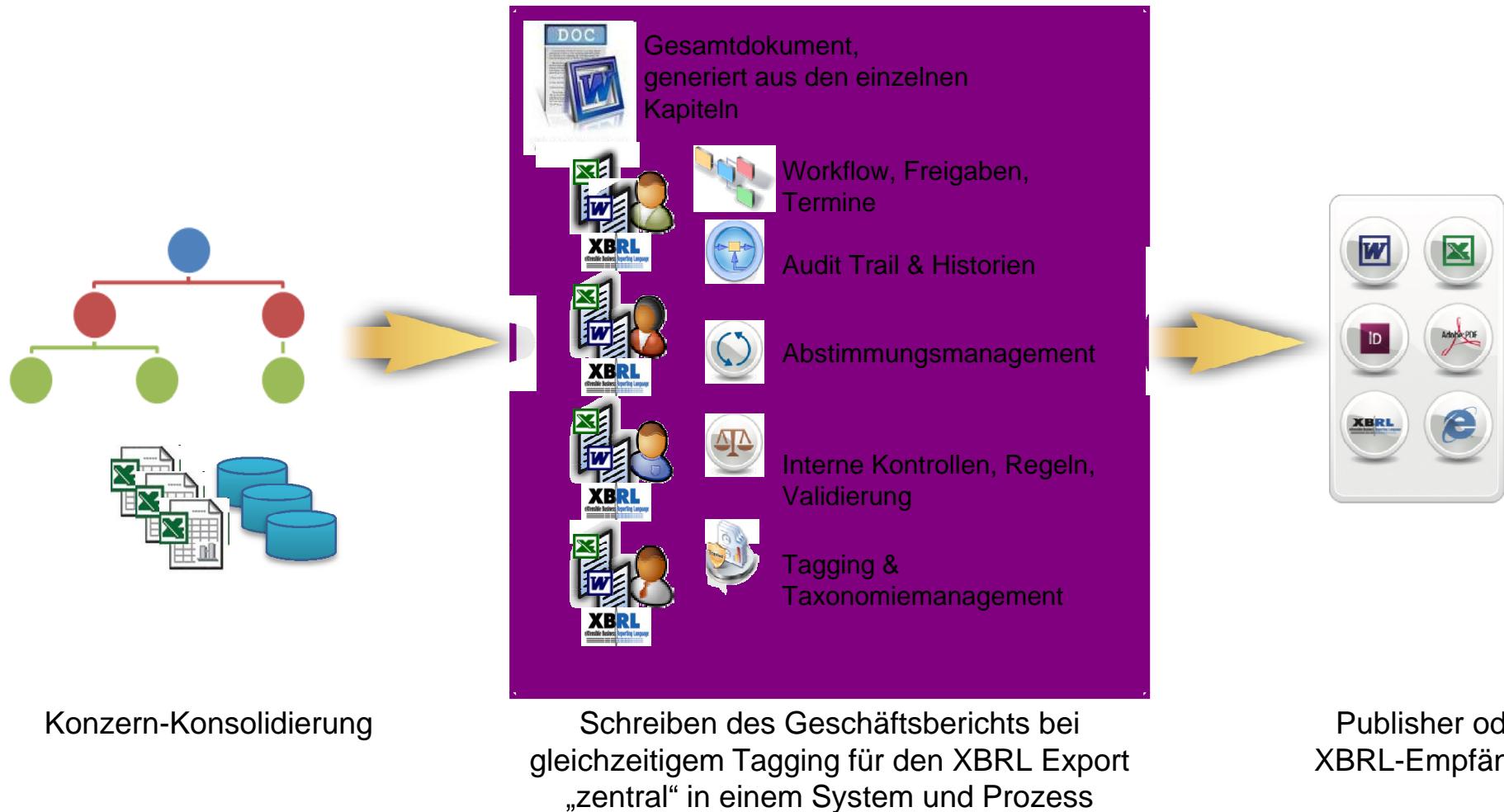
2009 Annual Report



2. Eine Lösung, die die Pflichtveröffentlichungen integriert via dem XBRL-Standard elektronisch übermitteln kann.  
(z.B. An die SEC oder für die e-Bilanz in Deutschland)



## “Last Mile“ im Abschlussprozess mit Clarity



## Analysten über Clarity

*“Clarity FSR is a leader in this market...”*



*“Currently, Clarity Systems, the leader in this market, has established itself in financial governance through the recent successful introduction of its FSR product.... FSR can also apply XBRL tags for external disclosure that will aid in passing financial information to regulatory agencies. This workflow process also has the capability to extend into other critical "last mile" areas, such as tax reporting,....*

*“Clarity Systems has a differentiated capability to produce full regulatory filings as well as strong XBRL tools.”*



FORRESTER®



## Agenda

IBM Business Analytics 2011

Start



Best-Practice-Beispiele zur  
Umsetzung eines  
automatisierten Cashflows  
im Konzern

Erfahrungsberichte IBM Cognos Controller 8.5

- Kaffeepause -

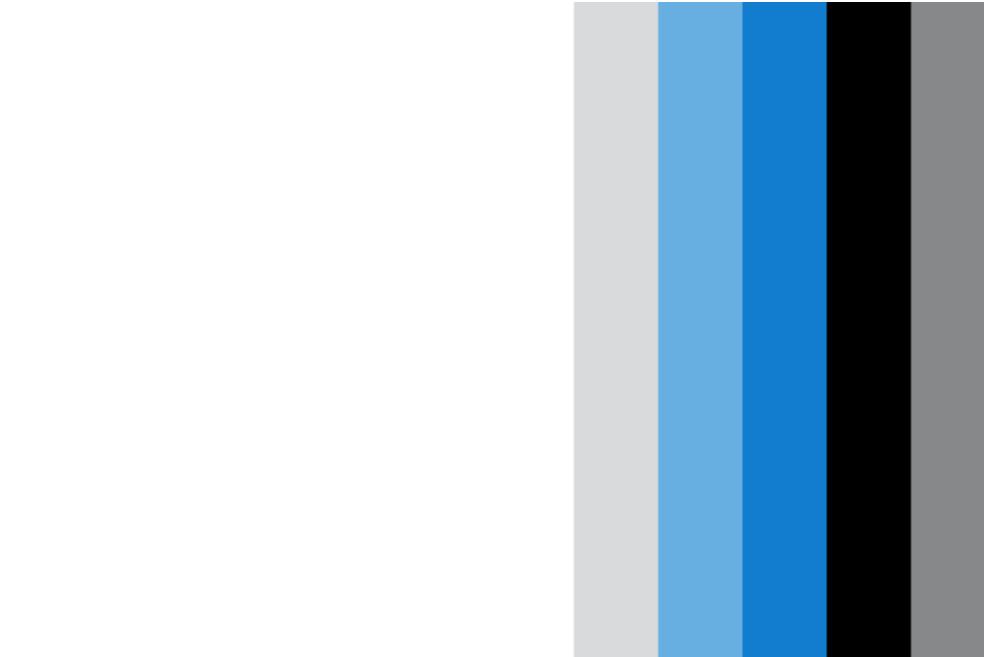
Close.Consolidate.Report – Die „Last Mile“ im  
Abschlussprozess



# Erfahrungsberichte IBM Cognos Controller 8.5



# Kaffeepause



## Agenda

IBM Business Analytics 2011

Start



Best-Practice-Beispiele zur  
Umsetzung eines  
automatisierten Cashflows  
im Konzern

Erfahrungsberichte IBM Cognos Controller 8.5

- Kaffeepause -

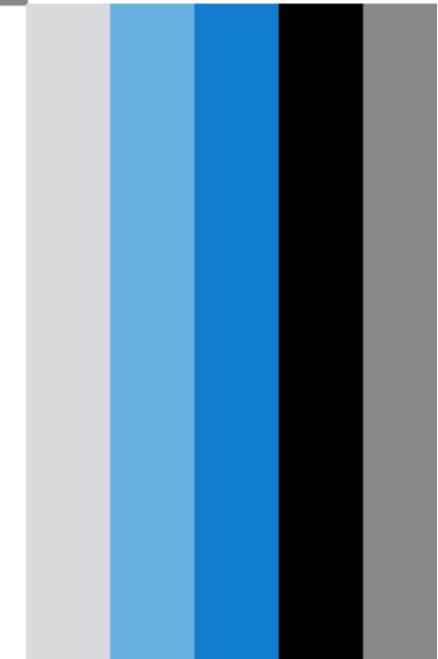
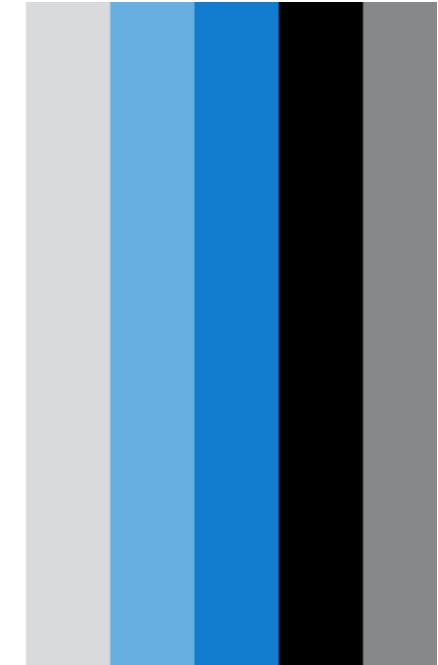
Close.Consolidate.Report – Die „Last Mile“ im  
Abschlussprozess



# **Close.Consolidate.Report**

## **Die „Last Mile“ mit**

## **IBM Clarity FSR**



## Vertrauen..... (so sollte Ihr Statement nicht aussehen)

# Ich versichere....

nach bestem Wissen

(was wahlgemerkt ein wenig löchrig ist)

und Gewissen

(was ist das.....),

dass mein Abschlussbericht

(mehr oder weniger)

korrekt ist.

Ich habe dies mit meinen Mitarbeitern

und den Prüfern kontrolliert,

(die ich bezahle)

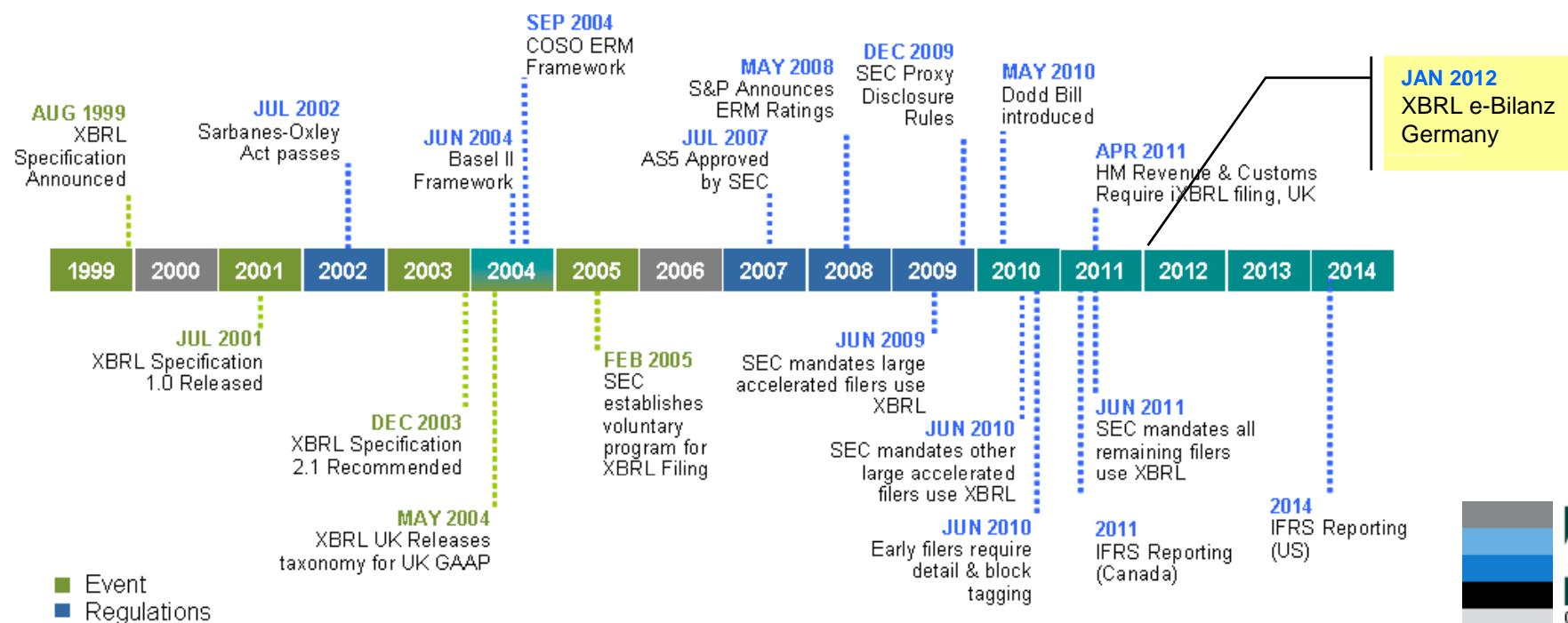
die mir uneingeschränkt zustimmen.

(und wehe, wenn nicht)

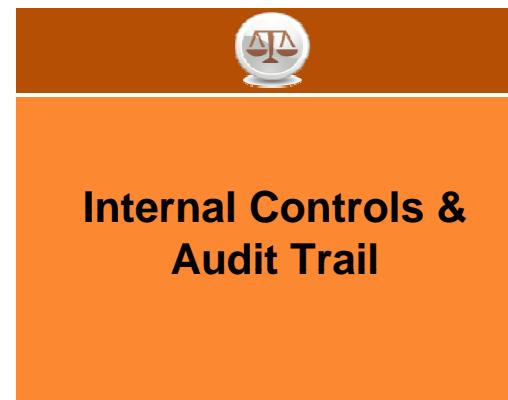
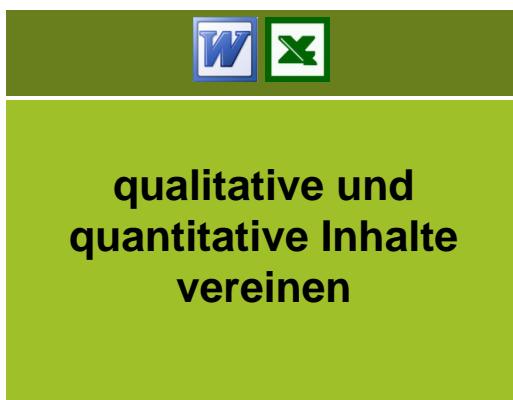
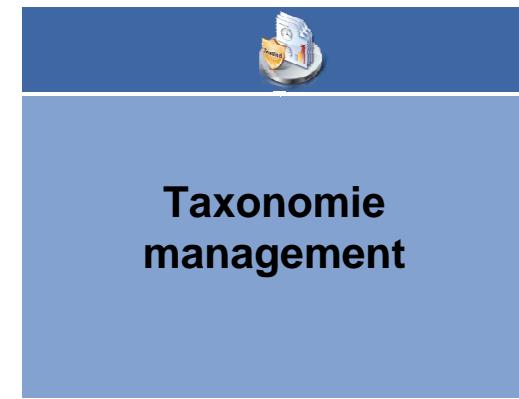
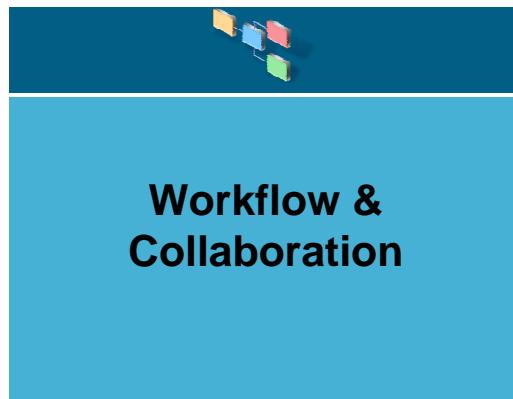


# Warum XBRL?

- Pflicht zur XBRL Datenlieferung
  - USA: Einführung durch die SEC 2005
  - USA: für large Enterprises seit Juni 2010 durch die SEC Pflicht,
  - USA: ab Juni 2011 für alle börsenlisteten Unternehmen
  - England: ab April 2011 nach HMRC-Standard Pflicht
  - **Deutschland: „e-Bilanz“ ab 01.01.2012 Pflicht!**



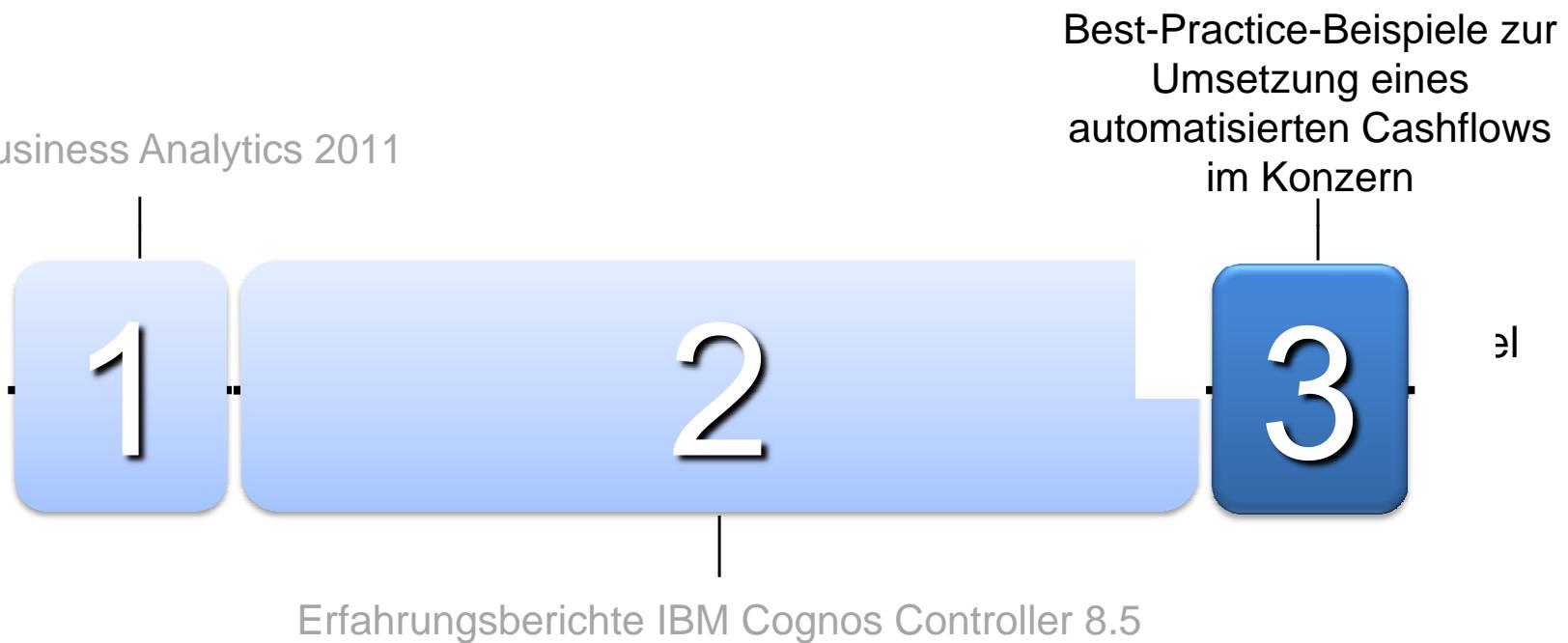
# Bausteine zu einer erfolgreichen „Last Mile“



## Agenda

IBM Business Analytics 2011

Start



# **Best-Practice-Beispiele zur Umsetzung eines automatisierten Cashflows im Konzern**