



MANAGEMENT OF OPERATIONAL RISKS WITH RISKCITY WEB

WITHOUT ANY MEDIA BREAK FROM DETAILED
MEASURE TO THE MANAGEMENT REPORT

THE APPROACH OF RISKCITY

RISK MANAGEMENT BEYOND EXCEL

Murphy's Law:

- If anything can go wrong, it will go wrong ...
 - ... at the worst possible time,
 - ... in the worst possible way.

- If everything seems fine, something has been ignored.

Murphy's law is not only essential for a single risk, but also for the process of risk management!

THE APPROACH OF RISK CITY

BENEFIT OF INTEGRATED RISK MANAGEMENT

Successful risk management is based on completeness and transparency.

RiskCity gives advice to several questions:

- Which corporate risks are existing?
- Which risks are to revise?
- What counteractions are planned?
- What's the realization progress of actions?
- Which Ad-hoc-Messages are on hand?
- Are the risk reports complete?
- What is to be reported to the board?

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FUNCTIONAL BENEFITS

- Consistent specification of hierarchical model
- Mapping of organization and corporate group structures
- Distribution of risk-templates
- Systematic gathering of risks and actions
- Skill-based input screens for data collection
- Quantitative or qualitative assessment for gross, expected and target risk
- Ad-hoc message generator
- Early warning indicators
- Historization of report data
- Observation of deadlines for check cycle and actions
- Scalable reports for group structure

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SYSTEM-ORIENTED BENEFITS

- **High usability, little time and effort for training**
- **Multi language support**
- **User administration on user layer**
- **Excel export for special evaluations**
- **Workflow module can be integrated for high process reliability**
- **Comprehensive deadline tracking via reminder module**
- **Connection to existing user administrations via LDAP incl. SSO**
- **Scalable from single user up to enterprise solution**
- **Available as SAAS-solution „risk management on demand“**
- **No local installation of software required**

RISK CITY

FUNCTIONAL COMPONENTS

Report consolidation und evaluation

- Overview corporate risks
- Presentation of risk portfolio
- Progress of actions
- Traffic-light report
- Time series report
- Early warning indicators
- Previous month comparison
- Risk- and observation areas
- Filter by corporate structure

Risks

- Creation and maintenance
- Control of check cycle

Actions

- Creation and tracing

General functions

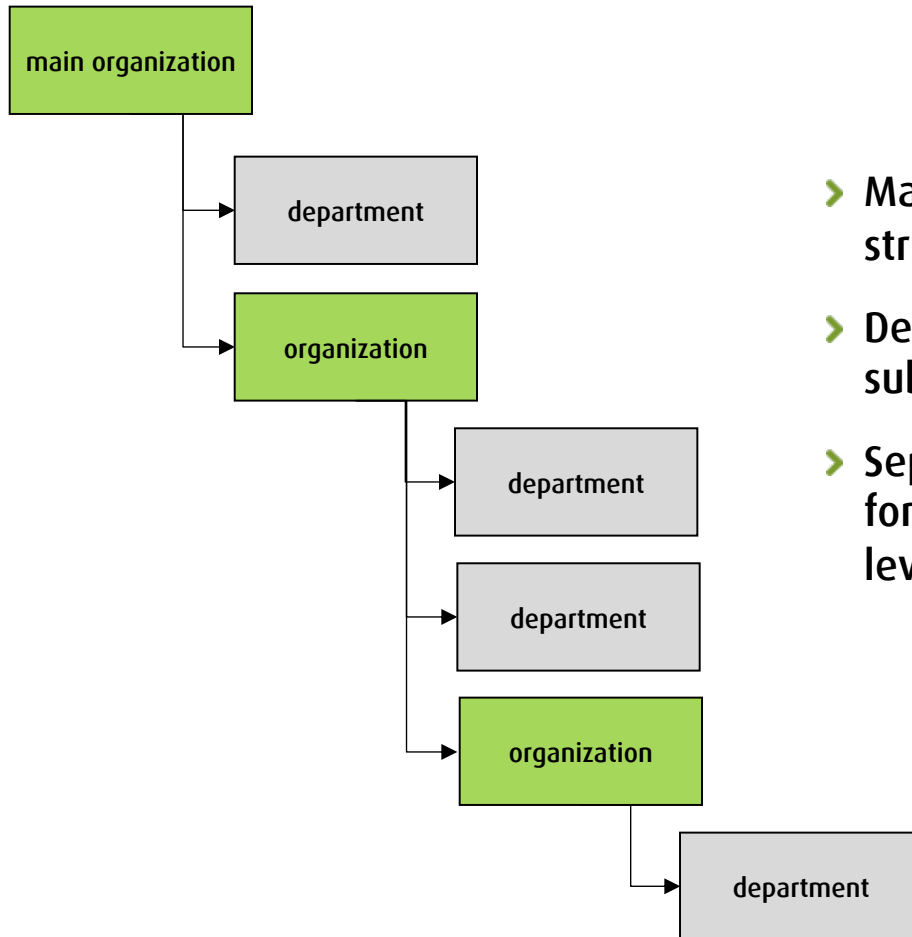
- Personal desktop
- Ad-hoc-message
- Access protocol
- File attachments

Master data and basic functionality

- Configuration of hierarchical tree
- Mapping of corporate structure
- Configuration and user roles
- Configuration of observation and risk areas
- Language configuration
- Skill configuration

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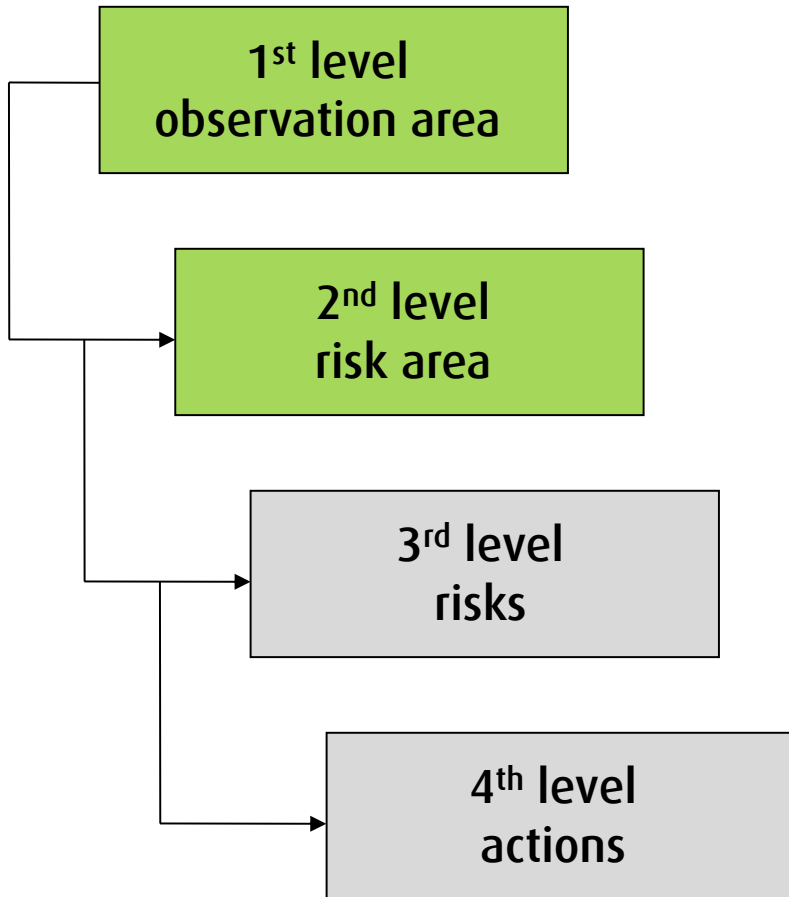
MODEL OF ORGANISATION



- › Mapping of corporate group structures
- › Definition of departments and sub-organizations
- › Separation of user access rights for organization and department level

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MODEL OF HIERARCHY



Strategic specification

Default risk structure

level 1 – 2 provided by central risk manager

Operational recording

Processing of risk structure level 3 - 4 by risk owner

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THE COMPONENTS

MASTER DATA AND BASIC FUNCTIONS

- Upkeeping of observation and risk fields
- Figure of the company organization
- Configuration and role assignments
- Language and skill settings
- Virtual Desk
- Access Log
- Attachments

RISKS AND MEASURES

- Recording and maintenance
- Monitoring of overdue events
- Follow-up of measures
- Assess risks and reports
- Central distribution or decentralized collection

CONSOLIDATION AND EVALUATIONS

- Overview and current status of risks and measures
- Presentation of the risk portfolio
- Traffic light and time series reports
- Comparison of previous month
- Target group-specific evaluation via risk book
- Filter by organizational structure

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THE METHODOLOGY

RISK IDENTIFICATION

- Group-wide deployment of risks (top-down)
- Integration of risks into the hierarchy tree (bottom-up)
- Integration of early warning indicators

RISK ASSESSMENT

- Qualitative and quantitative assessment of risks
- Risk portfolio (subjective assessment of level and probability)
- Risk simulations are possible with external tools, e.g. @RISK

RISK MANAGEMENT

- All common methods can be used: avoiding, reducing, passing on and self-bearing of risks
- Action orientation by transparent tracking of measures

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PRESENTATION OF THE SOLUTION / SPECIFICATIONS OF THE CENTRAL RISK MANAGEMENT

Organization

Denotation	Type	Risk management	Location	Shortname	ID
<input type="checkbox"/> Decisio GmbH	Main Organization	Windus, Rene	Hannover	DecGmbH	95
<input type="checkbox"/> human resources department	Department			hrd	97
<input type="checkbox"/> purchasing department	Department			PD	96
<input type="checkbox"/> development	Organization	Max, Matthias	Berlin	Dev	98
<input type="checkbox"/> purchasing department	Department			DevPD	99
<input type="checkbox"/> management consultancy	Organization	Windus, Rene	Frankfurt	MC	104
<input type="checkbox"/> human resources department	Department			MCHD	110
<input type="checkbox"/> purchasing department	Department			MCPD	105
<input type="checkbox"/> project management	Organization	Foelker, Thomas	Hamburg	PM	100
<input type="checkbox"/> purchasing department	Department			PMPD	101

Tree of hierarchy

<input type="checkbox"/> 1. IT	<input type="checkbox"/> 3. Market
<input type="checkbox"/> 1.1. Communication	<input type="checkbox"/> 3.1. Marketing
<input type="checkbox"/> 1.2. Network	<input type="checkbox"/> 3.2. Procurement
<input type="checkbox"/> 1.3. Hardware	<input type="checkbox"/> 3.3. Customers
<input type="checkbox"/> 2. Finance	<input type="checkbox"/> 3.4. Competing company
<input type="checkbox"/> 2.1. Exchange Loss	<input type="checkbox"/> 4. Projects
<input type="checkbox"/> 2.2. Investment Loss	<input type="checkbox"/> 4.1. Project objectives
<input type="checkbox"/> 2.3. Liquidity	<input type="checkbox"/> 4.2. Project Management

- Define hierarchies (observation fields, risk fields)
- Map corporate structure
- Assign roles and skills to employees
- Set access rights and language
- Manage keywords

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PRESENTATION OF THE SOLUTION / THE RISK

Risiko		
Time to market		
Organisation	Unternehmensberatung	Abteilung
Risikoigner	Thomas Foelker	Zuständiger GF
Bezeichnung	Time to market	
Beobachtungsfeld	Externe Risiken	Risikofeld

Basisinformationen Ergänzungen Risikobewertung Maßnahmen

Basisinformationen

Risikobeschreibung	!	Ein Produkt kommt zum falschen Zeitpunkt oder in einer falschen Qualität zum Ku Sie haben noch 3816 Zeichen zur Verfügung
Grad der Beherrschbarkeit	!	50%
Veränderungen zum Vormonat	!	Maßnahmenfortschritt
Status	!	offen
Aktuelle Risikotendenz	!	Gleichbleibende Entwicklung
Risikostategie-Bezeichnung	!	vermeiden

Risiko		
Time to market		
Organisation	Unternehmensberatung	Abteilung
Risikoigner	Thomas Foelker	Zuständiger GF
Bezeichnung	Time to market	
Beobachtungsfeld	Externe Risiken	Risikofeld

Basisinformationen Ergänzungen Risikobewertung Maßnahmen

Risikobewertung

Brutto		
Schadenshöhe (in TEuro)	!	250 Eintrittswahrscheinl (in %)
Einstufung SH		B schwerwiegend Einstufung EW
Risikoklasse		GF-Einstufung
Schadenerwartungswert (in TEuro)		165
Netto		
Schadenshöhe (in TEuro)	!	250 Eintrittswahrscheinl (in %)

- Entering risks and classifying them in hierarchy trees
- Perform or update risk assessment
- Link measures
- Report risks
- Deadline monitoring

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PRESENTATION OF THE SOLUTION / MEASURE MANAGEMENT

Maßnahme Zugehör

Mitarberschulung

Bezeichnung !

Beschreibung !
Sie haben noch 3967 Zeichen zur Verfügung

Verantwortlicher !

Status

Plan-Termin-Typ fixer Termin fortlaufend

Plan-Termin ! -16

Prognose-Termin -16

Ist-Termin -16

Deadline -16

Kosten (in TEuro)

- Planning and monitoring of measures
- Automatic link to associated risk
- Deadline monitoring

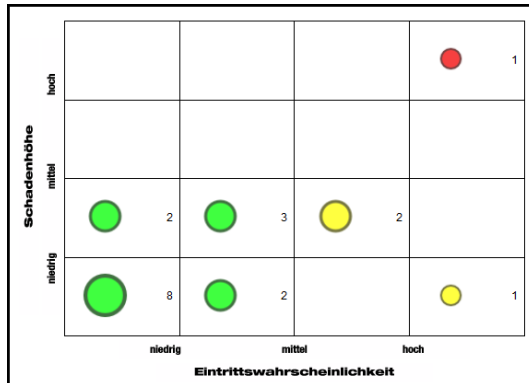
Basisinformationen Ergänzungen Risikobewertung **Maßnahmen**

Maßnahmen

Bezeichnung	Verantwortlicher	Status
<input type="checkbox"/> Ausbildung des Fachpersonals fördern	Manfred Teske	Idee
<input type="checkbox"/> Mitarberschulung	Max Power	begonnen
<input type="checkbox"/> Team-Workshops durchführen, Anreize schaffen	Thomas Foelker	Idee

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PRESENTATION OF THE SOLUTION / EVALUATIONS



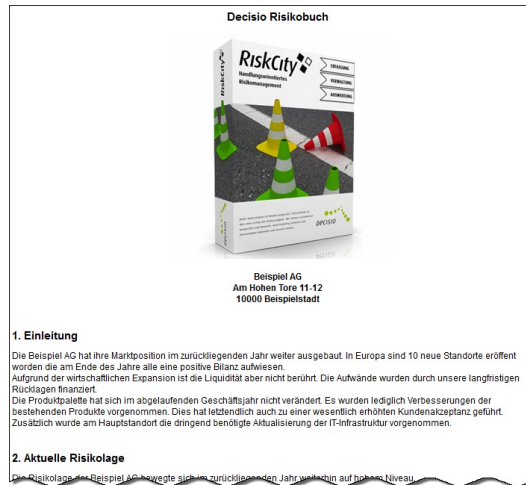
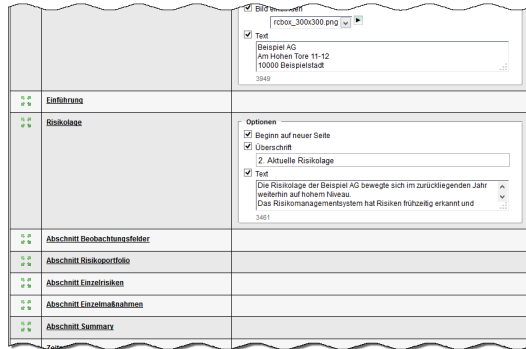
Bezeichnung	Organisation	Risikoelgner	Aug. 2012	Juli 2012	Juni 2012	Mai 2012	Apr. 2012
Aufwand durch sonstige Forderungsausfälle	Decisio	Rene Windus					
Fehlende Liquidität	Decisio	Rene Windus					
Sinkender Cash-Flow	Decisio	Rene Windus					
Verwalten von Vermögen	Decisio	Rene Windus					
Währungsrisiko	Decisio	Rene Windus					
Ausfall der EDV-Anlage	Decisio	Manfred Teske					
Internet	Decisio	Manfred Teske					
Schlechte Marktposition	Decisio	Thomas Foelker					

Organisation Decisio		SR akt.	SR Vorh.	% Abw.	EW akt.	EW Vorh.	% Abw.	SEW akt.	SEW Vorh.	% Abw.
nach Abteilung	Risiko									
Controlling	Time to market	750	0	100	75	0	100	563	0	100
Controlling	Probleme mit Behörden	750	0	100	55	0	100	413	0	100
Finanzen	Unzureichende Finanzmittelbräue	150	150	0	10	10	0	23	23	0
Finanzen	Fehlende Liquidität	325	325	0	5	5	0	16	16	0
IT	Internet	800	800	0	70	70	0	560	560	0
IT	Ausfall von Diensten und Systemen	1.500	1.500	0	40	55	-27	600	825	-27
Marketing	Unzureichende strategische Finanzmarktkenntnis	1.500	1.500	0	75	75	0	1.125	1.125	0
Marketing	Fehlentscheidungen bezüglich Marketing	1.500	1.500	0	35	35	0	525	525	0
Personalwesen	Unzureichende Personalplanung	350	350	0	25	33	-24	68	116	-54
Personalwesen	Mangelnde Personalplanung	750	750	0	65	65	0	488	488	0
Summe Decisio		8.375	6.875	22				4.401	3.678	20

- The breadth and depth of the evaluations can be configured via filters and options.
- Evaluations individually for each organization or cumulated with the involvement of subordinate organizations
- Various evaluation options such as risk portfolio, time series considerations or comparison of reporting months

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PRESENTATION OF THE SOLUTION / MODULE RISK BOOK



- From the management report on the overall risk situation to the customer-specific report
- Target group-oriented output through the use of profiles
- Full configurability in the graphical representation as well as in the scope of the output data
- Direct export in pdf form possible

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PRESENTATION OF THE SOLUTION / EARLY WARNING INDICATORS

Bezeichnung	Warnung	Alarm
Anzahl Überstunden / Gesamt-Arbeitsstunden (Zahl)	5	20
Anzahl Krankheitstage / Anzahl Mitarbeiter (Zahl)	11	30
nicht gewählt		

Unit	Status	Value 1	Value 2	Value 3
Marketing	Yellow Flag	800	70	560
Management Consulting	Green Flag	750	65	488
Finanzen	Grey Flag	0	0	0

- Multilingual configuration incl. determination of the unit of measurement
- Assignment and actual recording for each organization
- Under- or exceeding can be selected
- Automatic traffic light calculation
- Up to 3 early warning indicators selectable
- Triggering recognizable by flags in the views and notification by e-mail, configurable

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PRESENTATION OF THE SOLUTION / ADMINISTRATION

Benutzer

alle | A | B | C | D | E | F | G | H | I | J | K | L | M | N | O | P | Q | R | S | T | U | V | W | X | Y | Z

Seite 1 / 1

<input type="checkbox"/>	Rnr	Nachname	Vorname	Benutzername	Administrator	Sprache
<input type="checkbox"/>	1	Administrator	Hans	admin	Ja	Deutsch
<input type="checkbox"/>	2	Doe	John	jdoe	Nein	Deutsch
<input type="checkbox"/>	3	Eiomer	Peter	peiomer	Nein	Deutsch
<input type="checkbox"/>	4	Floq	Louis	lfloq	Nein	Deutsch
<input type="checkbox"/>	5	Foelker	Thomas	tfuelker	Nein	Deutsch
<input type="checkbox"/>	6	Frey	Andreas	afrey	Nein	Deutsch
<input type="checkbox"/>	7	Manager	Mas	mmanager	Nein	Deutsch
<input type="checkbox"/>	8	Masala	Stevén	smaalala	Nein	Deutsch
<input type="checkbox"/>	9	Meier	Hans	hmeier	Nein	Deutsch
<input type="checkbox"/>	10	Orca	Peter	porca	Nein	Deutsch
<input type="checkbox"/>	11	Power	Mas	mpower	Nein	Deutsch
<input type="checkbox"/>	12	Teste	Manfred	mteste	Ja	Deutsch

D	C	B	A	
unwahrscheinlich	wenig wahrscheinlich	wahrscheinlich	sehr wahrscheinlich	
nicht AR-relevant	nicht AR-relevant	AR-relevant	AR-relevant	A Existenzbedrohend
nicht AR-relevant	nicht AR-relevant	AR-relevant	AR-relevant	B schwerwiegend
nicht AR-relevant	nicht AR-relevant	nicht AR-relevant	nicht AR-relevant	C gering
nicht AR-relevant	nicht AR-relevant	nicht AR-relevant	nicht AR-relevant	D unbedeutend

Schlüsselwortlisten

Rnr	Bezeichnung	Quelle	Standard	Schlüsselwörter	Beschreibung
1	phosphoroth	rc	Keine	Keine, Risikomodifikation / -verminderung, Maßnahmen (Bewertung / Erhebung) Maßnahmefortschritt, Maßnahmetermina verschieben	Veränderungen zum Vormonat
2	occupanzsatz	rc	Keinem Unternehmensziel zuordenbar	Keinem Unternehmensziel zuordenbar, Kundenzufriedenheit erhöhen, Liefer- und Servicequalität erhöhen, Service, Kundenorientierung stärken, Standort- und Bereichsübergreifende Zusammenarbeit verbessern, Wettbewerbsfähige Kostenstrukturen entwickeln	Betroffenes Unternehmensziel
3	occupability	rc	0	0, 10, 20, 30, 40, 50, 60, 70, 80, 90, 100	Grad der Beherrschbarkeit

- Controlled access via Person document
- Management of the group structure and configurations
- Configuration and management of help areas
- Customize keywords and keyword lists
- Configuration of all mail notifications
- Definition of thresholds and matrix

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PRESENTATION OF THE SOLUTION

› Languages

- individuell für jeden Benutzer einstellbar

› Management of attachments

- Location configurable (database oder ftp)
- Customizable list of allowed file attachments

› Databases

- Oracle, MS SQL, MySQL or PostgreSQL

› Tooltips

- Activation for each user separately
- Maintenance via administration

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OPTIONAL MODULES / WORKFLOW

Workflow-Konfiguration						
<input type="checkbox"/>	Nr	Art	Level	Status	Daten Lesen	
<input type="checkbox"/>	1	Risiko	0	Entwurf	Workflowabschnitt im Dokument anzeigen - ja Dokument bearbeiten - ja Ziellevel - 2	Administratoren Administratoren (Toplevel) Assistenten Risikomanagement Risikomanagement (Toplevel)
<input type="checkbox"/>	2	Risiko	1	zur Überarbeitung	Workflowabschnitt im Dokument anzeigen - ja Dokument bearbeiten - ja Ziellevel - 2 Ziellevel2 - 4	Administratoren Administratoren (Toplevel) Assistenten Risikomanagement Risikomanagement Risikoverantwortlicher
<input type="checkbox"/>	3	Risiko	2	zur Freigabe	Workflowabschnitt im Dokument anzeigen - ja Dokument bearbeiten - nein Ziellevel - 3 Ziellevel2 - 1	Administratoren Administratoren (Toplevel) Assistenten Risikomanagement Risikomanagement
<input type="checkbox"/>	4	Risiko	3	Entwurf	Workflowabschnitt im Dokument anzeigen - ja Dokument bearbeiten - ja Ziellevel - 2 Ziellevel2 - 4	Administratoren Administratoren (Toplevel) Assistenten Risikomanagement Risikomanagement Risikoverantwortlicher
<input type="checkbox"/>	5	Risiko	4	zur Schließung	Workflowabschnitt im Dokument anzeigen - ja Dokument bearbeiten - nein	Administratoren Administratoren (Toplevel) Assistenten Risikomanagement Risikomanagement

- Run via buttons, graphically supported
- Any number of workflow stages can be set
- Status, permissions and behavior are configurable separately for each level
- Optional mail notification for each workflow stage

Risiko		
Ausfall der EDV-Anlage		
Workflow		
<input type="button" value="zur Freigabe"/> <input type="button" value="zur Schließung"/>		
Bereich	Immobilienmanagement	Abteilung
Risikoverantwortlicher	Peter Owner	Bereich
Bezeichnung	Ausfall der EDV-Anlage	
Beobachtungsfeld	EDV	Risiko
Status	Entwurf	

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OPTIONAL MODULES / CUSTOMERS - CUSTOMER RISK REPORTS

nach Kunde

Standardwerte für die Kundendaten dieses Risikos

Inhalt für Kunden	Handlungsempfehlung für den Kunden
Dieser Text ist ein Vorgabertext für das Feld Inhalt. Kundenindividuell kann der ...	Dieser Text ist ein Vorgabertext für das Feld Handlungsempfehlung für den Kunden. ...

Neuer Kunde Kunden löschen

Kunde	Hierarchiebaum	Inhalt für Kunden	Handlungsempfehlung für den Kunden
<input type="checkbox"/> Testkunde	Standard-Baum	Der Vorgabertext wurde angepasst.	Dieser Text ist ein Vorgabertext für das Feld Handlungsempfehlung für den Kunden. ...

Kunden Hierarchiebaum

Bezeichnung:

Struktur

- 1. [Sicherheit](#)
- 1.1. [Recht](#)
- 1.2. [Cyberangriff](#)
- 2. [Produktion](#)
- 2.1. [Betrieb](#)

- Different customer hierarchy trees configurable
- Effects of the individual risk on the respective customer
- Customer-specific explanatory texts can then be stored for each risk.
- Customer-related creation of evaluations possible

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OPTIONAL MODULES / REMINDER

Mahnwesen

Empfänger	Administratoren Risikomanagement Assistenten Führungskräfte Fachverantwortliche Leiter Vertreter Risk Owner
Anzahl Tage nach Beginn des Berichtsmodus	1
aktiv	<input checked="" type="checkbox"/> ja <input type="checkbox"/> nein
Betreff	Mahnwesen
Text	Folgende Platzhalter können verwendet werden: #NAME (Bezeichnung), #USER (Name des Empfängers), #LINK (Link auf das Dokument) Hallo #USER! Das Risiko: #NAME ist überfällig. Link: #LINK

- Configurable via the administration area
- Any number of reminder levels adjustable
- Triggering before reaching or after the selected deadline
- Mail notification optionally based on stored configurations

Mahnwesen

<input type="checkbox"/>	Idr	aktiv	Empfänger	Anzahl Tage nach Beginn des Berichtsmodus	Betreff
<input type="checkbox"/>	1	<input checked="" type="checkbox"/>	Risk Owner	1	Mahnwesen

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INTERFACES

› General

- Interfaces to OLAP- or SQL-based systems can be created project-specifically
- Connection of existing user administration via LDAP possible
- SingleSignOn (SSO)

› E-Mail-Clients (e.g. MS Outlook)

- Mail notification possible
- Further functions are possible on a project-specific basis

› MS Office

- Excel Export
- File attachments can be integrated
- PDF Export

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SERVICES

➤ **Consulting**

Decisio also provides consulting services for the introduction or optimisation of risk management.

➤ **Customizing**

Configuration and customer-specific program adaptations are possible.

➤ **Hotline**

2nd Level support by phone and mail as part of the maintenance contract.
1st Level support individually by arrangement.

➤ **Migration of data**

After detailed analysis as a service

ABOUT RISKCITY

REFERENCES



- RiskCity is an industry-independent solution. Since 2003, the first version of RiskCity has been running at a customer's premises.
- RiskCity offers a flexible, customer-specific configurable framework in which the risk management of a wide variety of industries can be mapped.
- RiskCity is built on a powerful development framework. As a result, customer-specific requirements can be implemented quickly and cost-effectively.
- Statement of an auditor to a RiskCity client: "Your risk management is better than that of many DAX companies."

RISK CITY

THE RISK MANAGEMENT TOOL RISK CITY ...

- ... supports the whole risk management process required by KonTraG.
- ... avoids loss of information.
- ... records internal Ad-hoc-messages.
- ... is focused on an action oriented risk management with counteractions.
- ... is the platform for complete und transparent risk documentation.
- ... simplifies administration, documentation and reporting by default processes, structures and workflow.
- ... is ready to use as an SAAS-solution „risk management on demand“
- ... can be used as a global or local corporate application.
- ... is scalable from single user to multi language corporate group solution.

RiskCity – Without any media break from detailed measure to the management report

CONTACT

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