

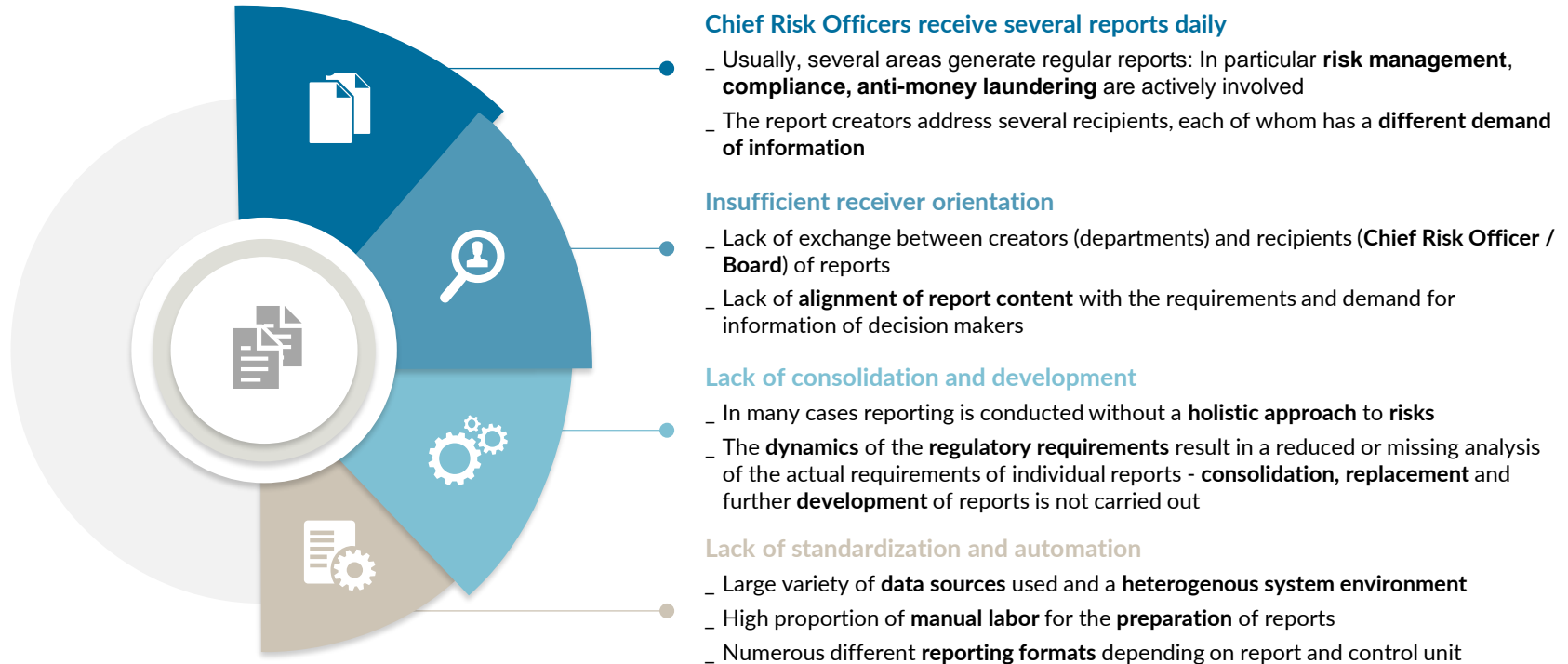
Temporary co-driver

Efficiency Increase in Regulatory Reporting Processes

Reducing Effort, Increasing Efficiency, Promoting Good Decisions

Regulatory Reporting Processes

Inefficient processes and a lack of recipient-oriented regulatory reports generate high expenses and impede good decisions



Regulatory Reporting Processes

A complete inventory of all reports created and a detailed analysis enable an increase of efficiency



Step 1: Inventory

- _ **Complete compilation** of all reports of the control units
- _ **Workshops** with responsible managers for each report on the **creation process**
- _ Workshops **with decision-makers** on their **information requirements** and on relevant key risk indicators
- _ Definition of the **minimum regulatory requirements**



Step 2: Analysis of Reports

All existing reports are subjected to an analysis along the following categories (excerpt)

- _ **Client** and **recipient** of reports
- _ **Objective** and **achievement** of the report
- _ **Legal** requirements, if necessary
- _ **Frequency** and **effort** of report generation
- _ Used **datasets** and **systems**
- _ Impact of the abolition
- _ Potentials of **automation**



Step 3: Optimization of processes

- _ **Reduction** of generated reports to a **regulatory** and **strategic minimum**
- _ Reconciliation within the enterprise on the **legal framework** for internal reports
- _ Separation of **data preparation** and **content annotation** of reports
- _ **Harmonization** of **report creation** processes and formats in the control units
- _ **Unification** of data sources
- _ Realization of **automation**

Regulatory Reporting Processes

The optimization of reporting processes leads both to a relief for employees in the creation process as well as to a better information basis for decision makers



Benefits for employees in the creation process

- _ **Reduced workload** by reducing the number of required reports and simplified process steps
- _ **Motivational effect** for employees - only reports with **regulatory** and **corporate strategy relevance** are processed and created
- _ No time-consuming editing of reports "for filing"
- _ Foundation for the **intensive cooperation** between the employees of **the control units** (risk management, compliance, anti-money laundering & anti-fraud)



Benefits for Chief Risk Officer / Boards

- _ Reduction of the transmitted reports to **important and essential** contents, aligned with the information requirements
- _ Better and quicker **decision-making** through lesser and significant reports
- _ Standardization of **reporting requirements** simplifies the comparability and assessment of the **risk situation**
- _ A holistic approach to the **overall risk situation** from all control functions involves (risk management, compliance, anti-money laundering & anti fraud)
- _ Optimization creates the foundation for further **harmonization** of processes in the control functions and a valid basis for **automation decisions**

Your point of contact

For any further question, we are gladly at your disposal.



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