2014
RSA Archer
grc summit
EMEA

Security & Compliance Challenges

Automate ISMS, BCM and ICS with RSA/Archer

Use Case: Business Resiliency

EMC²

RSA

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About the Speaker.

- Thorsten Scheibel
- AMBCI
- DZ BANK AG
- Business Continuity & Crisis Manager
- 6 years GRC Experience

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About the Speaker.

- Lars Rudolff
- Management Consultant
- TÜV Rheinland i-sec GmbH
- Information Security/
  Risk Management
- Many Customer Projects
  with RSA Archer

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Agenda.

- **Presentation DZ BANK/TÜV Rheinland**
- Initial Situation
- Project Procedure
- ICS Implementation
- BCM Implementation
- ISMS Implementation
- Outlook

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DZ BANK

- BANK
- ISO 22301 certified
- 4.000 Employees
- 3 years an RSA Archer customer

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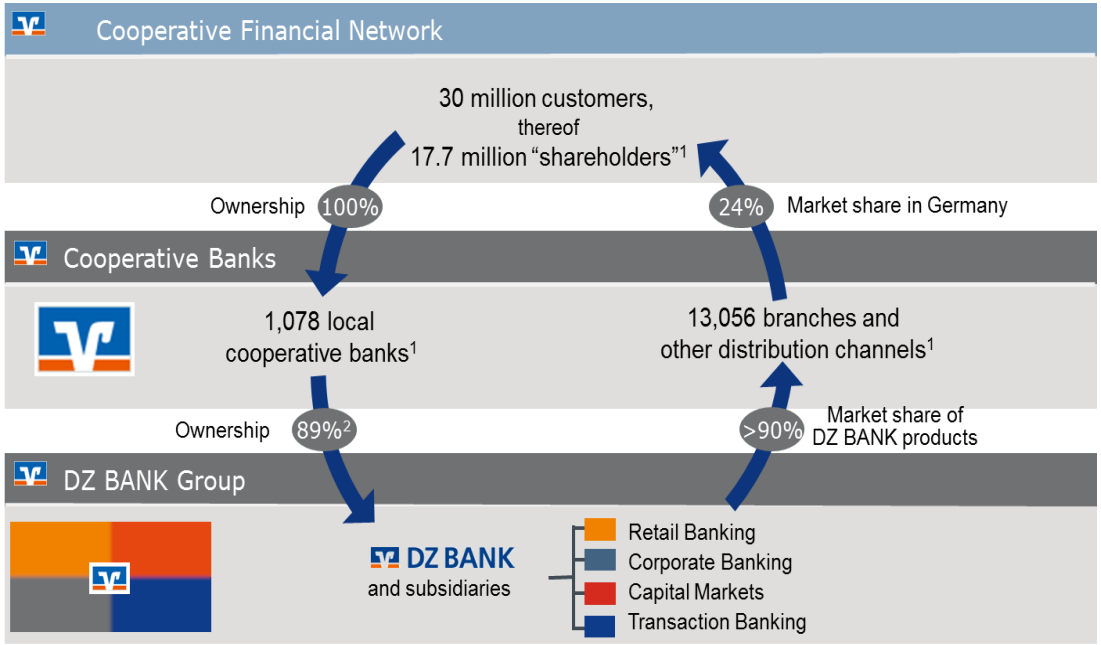
Cooperative Financial Network.

Interaction within Germany



[1] 31.12.2013 according to the National Association of German Cooperative Banks, BVR; [2] Including indirect and direct participations

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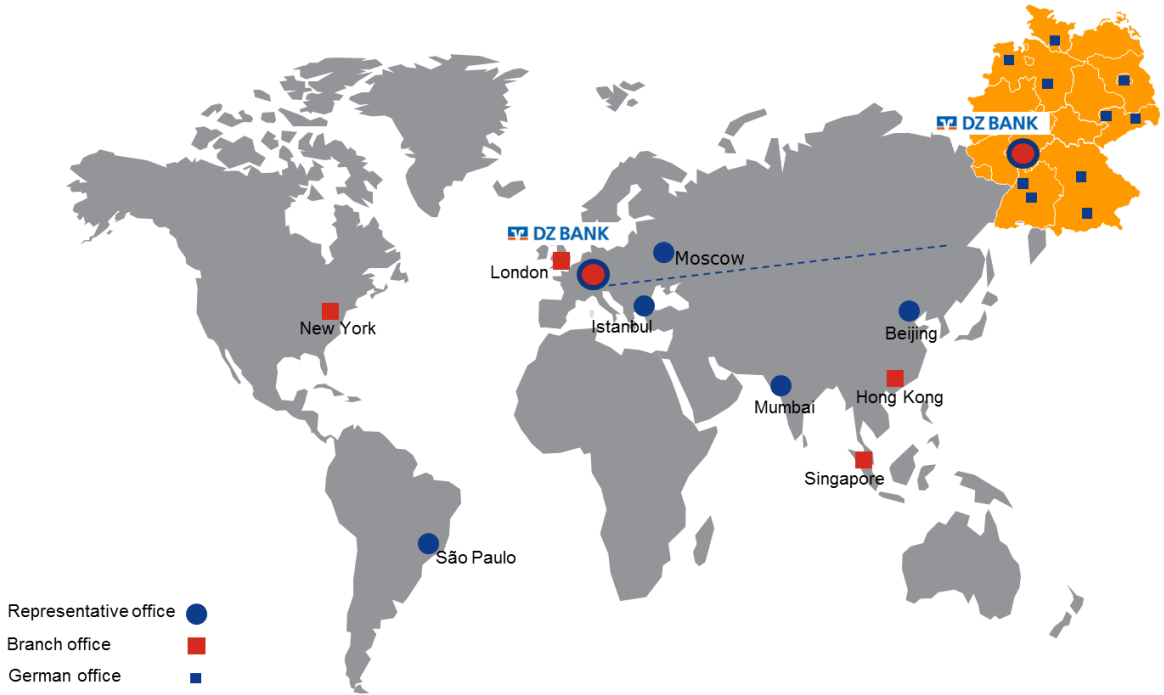
DZ BANK's worldwide presence.



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TÜV Rheinland.

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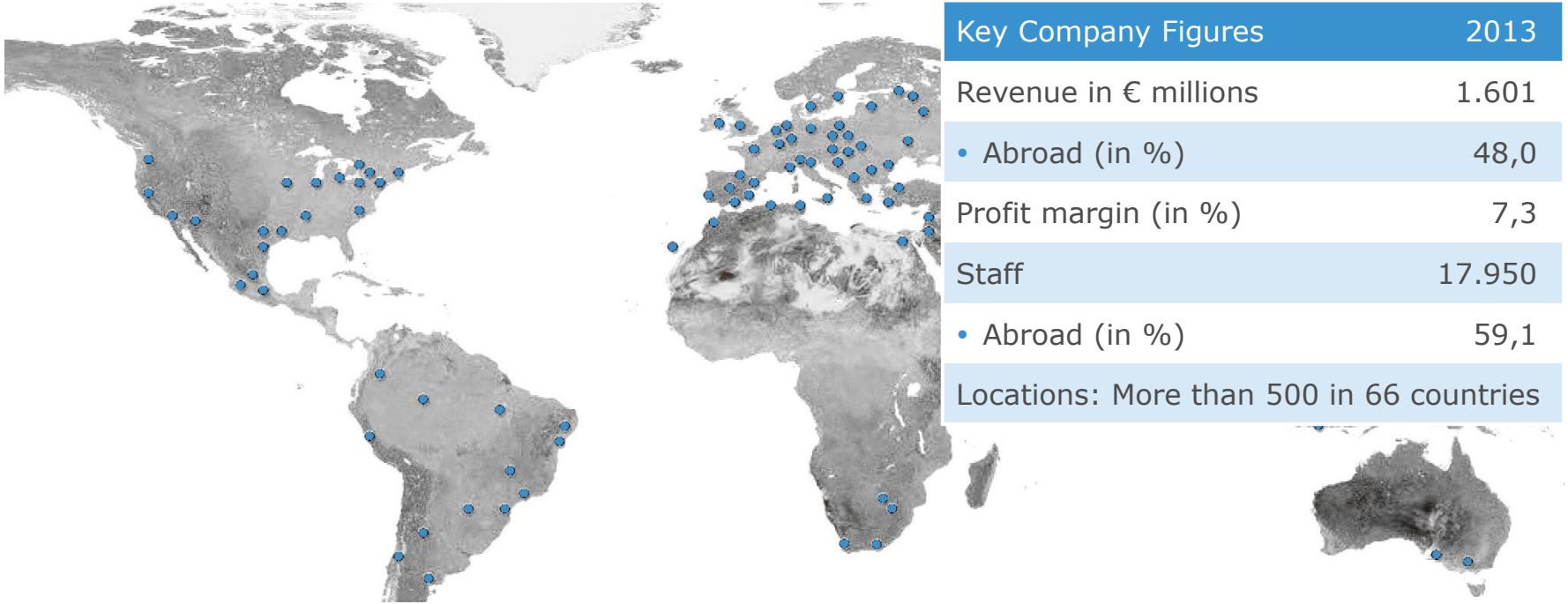
Present on all continents.



Key Company Figures	2013
Revenue in € millions	1.601
• Abroad (in %)	48,0
Profit margin (in %)	7,3
Staff	17.950
• Abroad (in %)	59,1
Locations: More than 500 in 66 countries	

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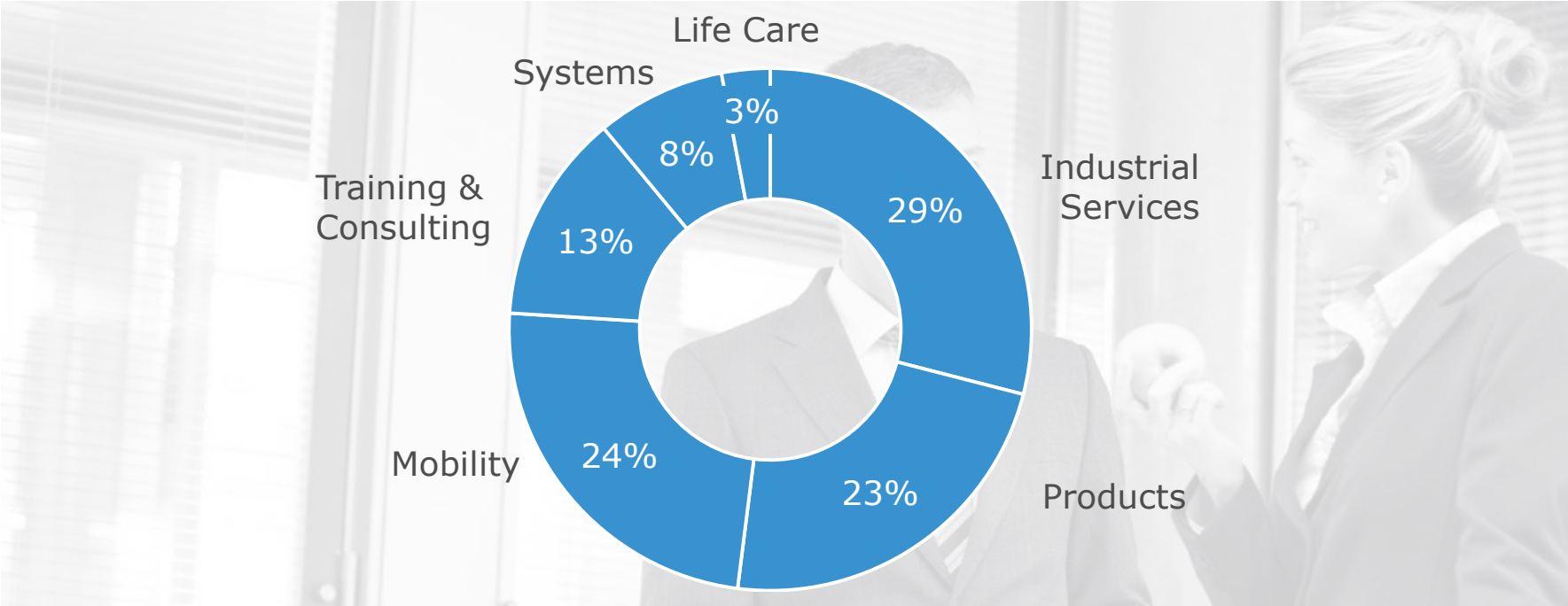
Revenue share by business segment.



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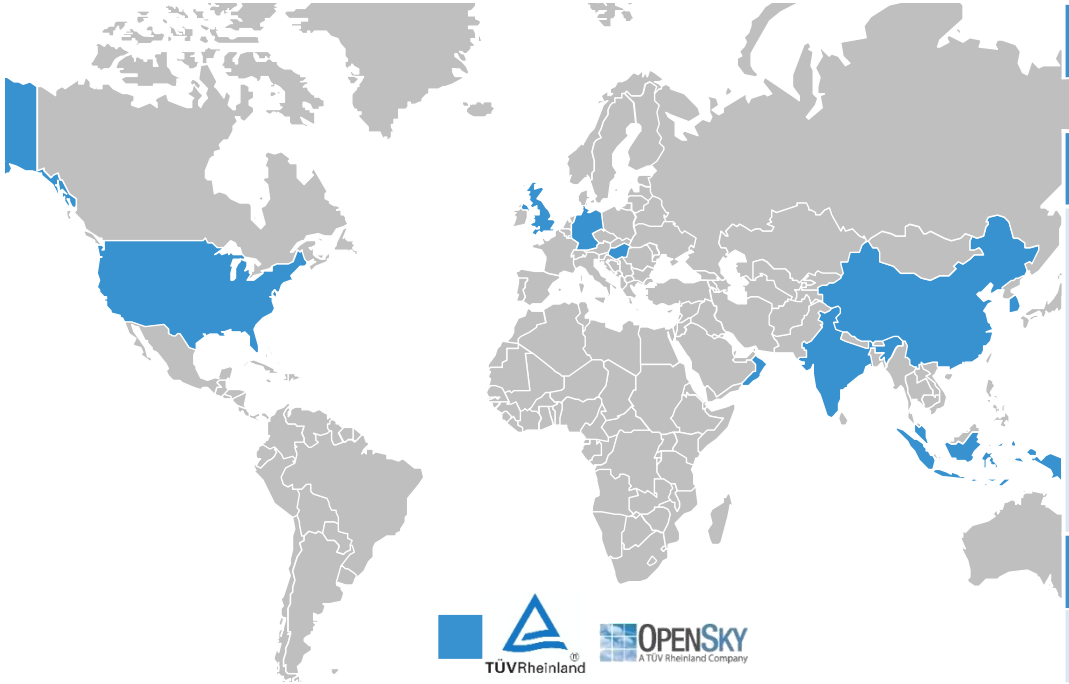
World of ICT Services.



Revenue 2014: approx. 155 Mio. €

ICT & Consulting Service Portfolio

- Cyber Security
- IT Infrastructure Services
- Management Consulting
- Business Engineering Services
- R&D Management
- Telco Service Solutions

IT Training

- Professional Training Solutions

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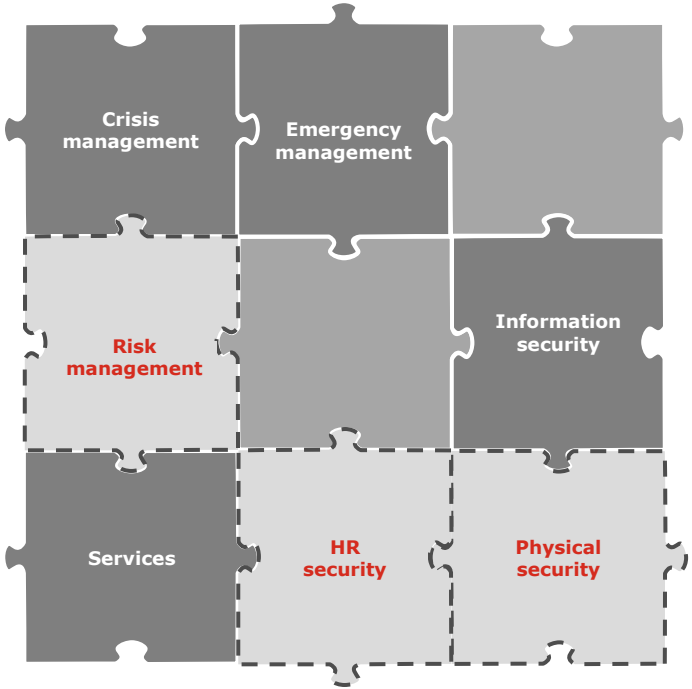
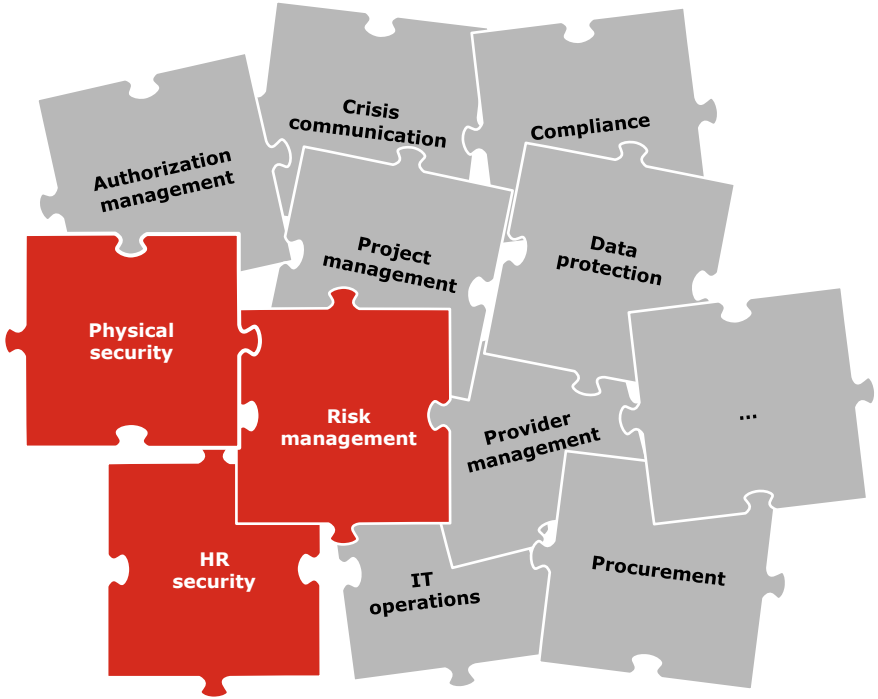
Organizational Structure. Pre-existing Structure.





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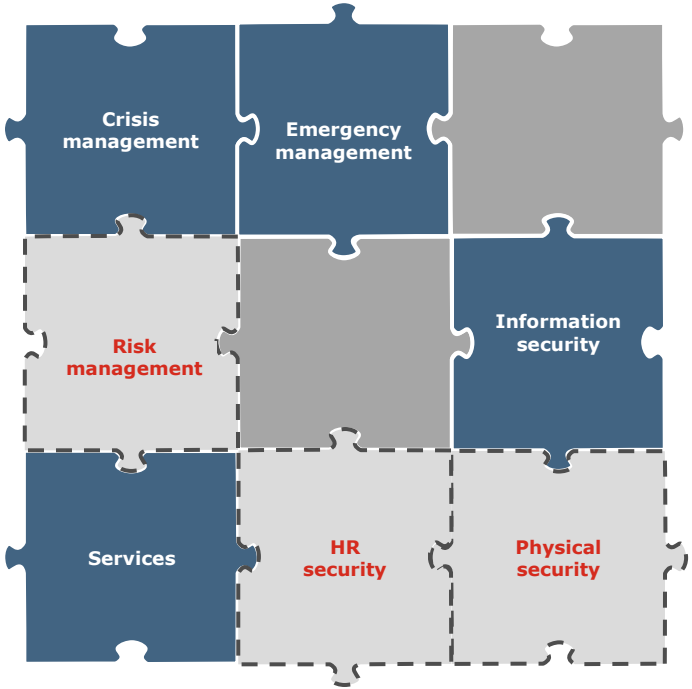
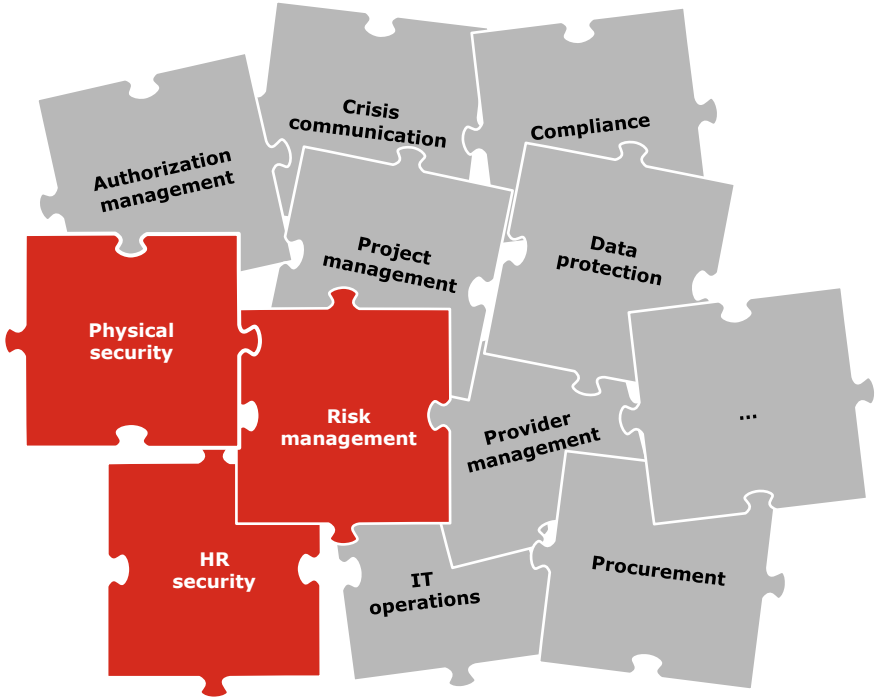
Organizational Structure. Pre-existing Structure.





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Subjects. Application Areas.

Corporate security

- BCM
- ISMS
- Physical security
- HR security
- Authorization management
- Security situation

IT

- IT risk management
- IT compliance management
- ICS

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Challenges. Things Shared.

- Different subject areas
- Different project procedures

but …

- Shared data
- Shared platform

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Standard. Project Procedure (1/3).

1 Conception

- One-day training of main contact at client
- Workshops to coordinate functional requirements for “translation” into technical functions
- Creation of a prototype in RSA Archer
- Approval/partial approval by client

2 Implementation

- Implementation in RSA Archer
- Testing by TÜV Rheinland
- Creation of documentation
- If necessary: Creation of interface documentation

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Standard. Project Procedure (2/3).

3 Testing

- Installation in integration environment
- Testing by client on basis of coordinated test cases
- Adjustment based on feedback and updating of documentation

4 Pilot

- Testing by selected client employees (later users of solution)
- Adjustment based on feedback and updating of documentation

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Standard. Project Procedure (3/3).

5 Approval

- Approval of documentation by client
- Approval of system by client

6 Go Live

- Transfer of functions and data to be migrated into live system

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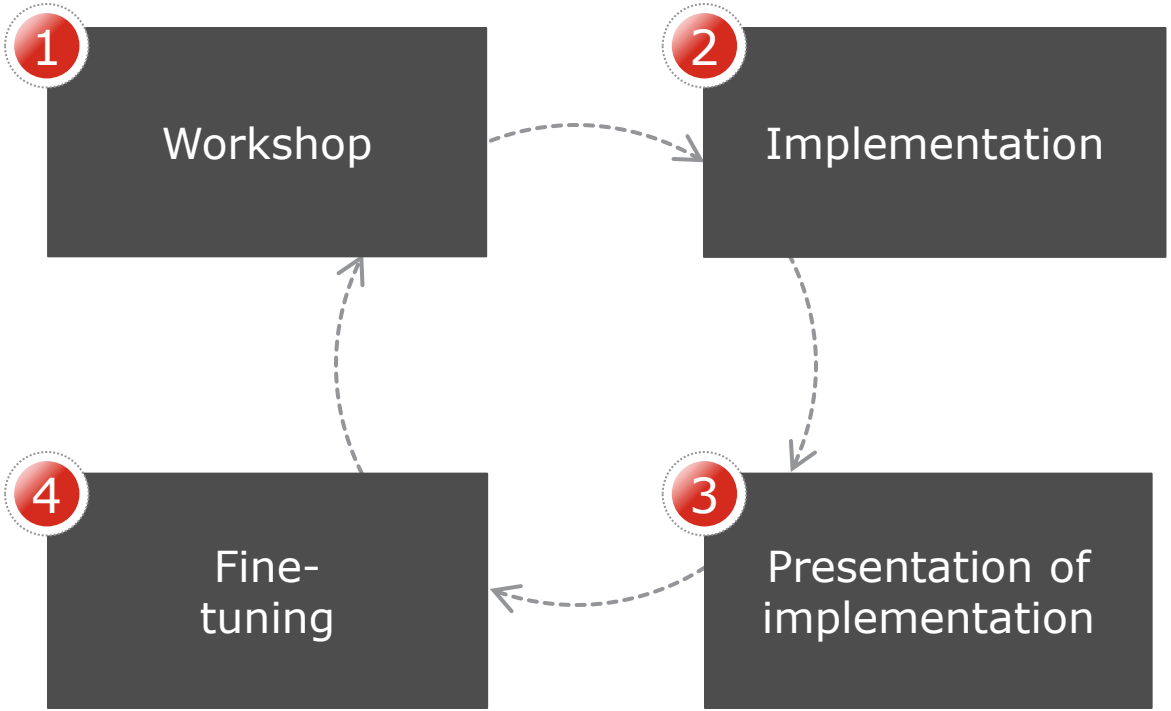
Project Procedure. Alternative.



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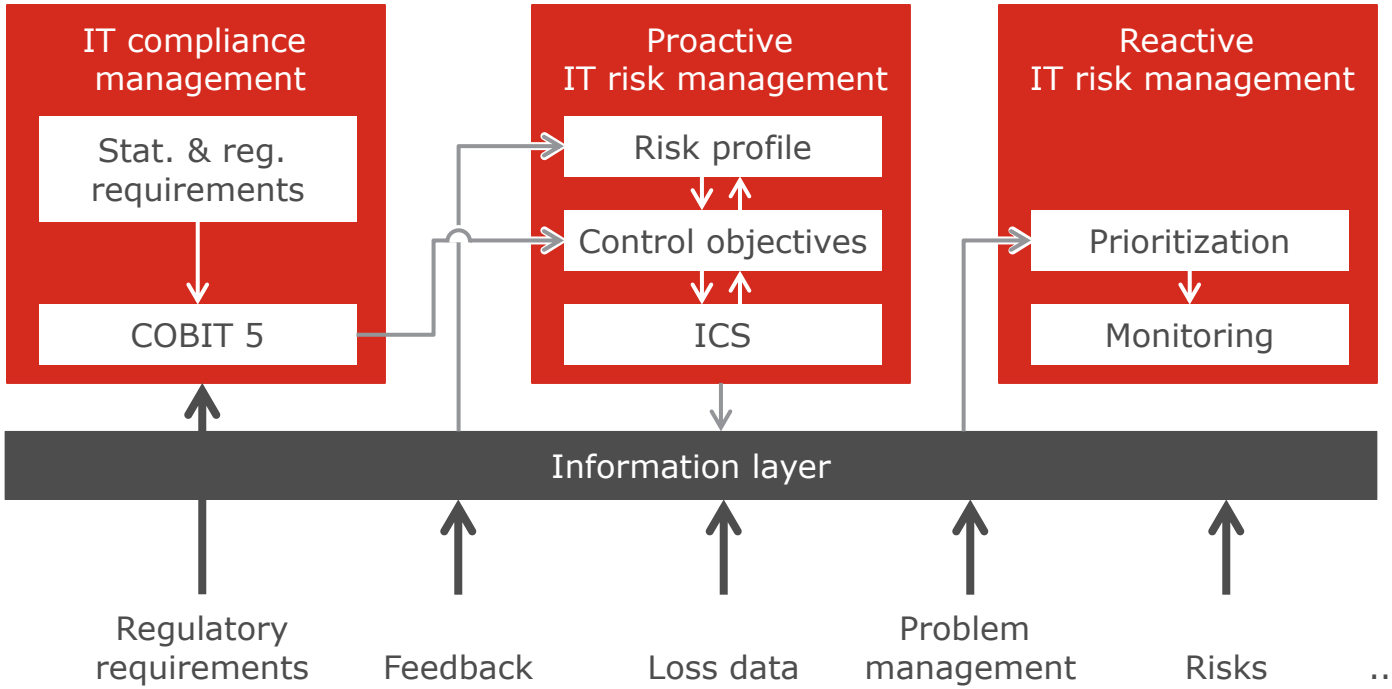
IT Risk. Compliance Management.



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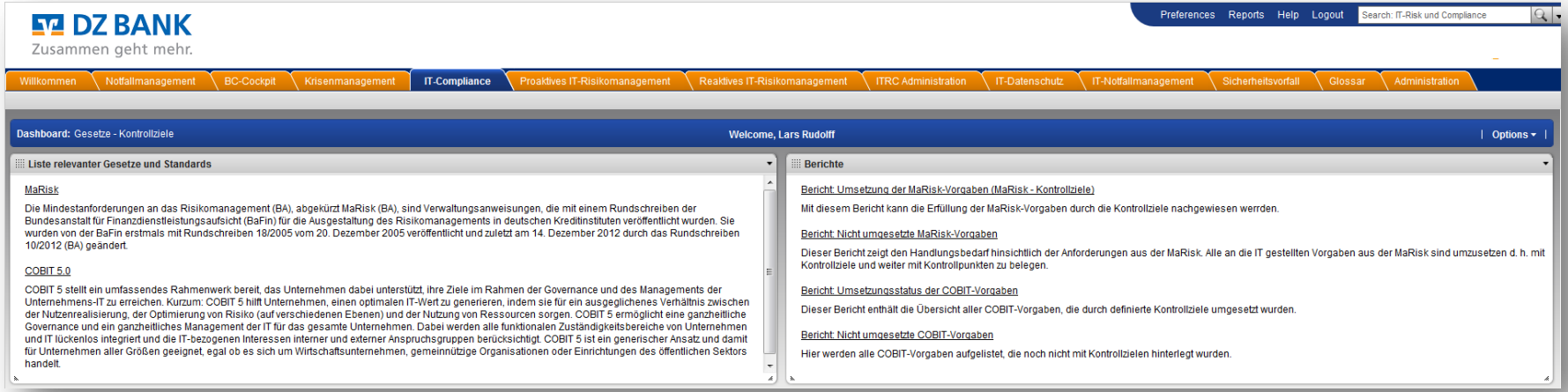
IT Compliance Management.

Variants.



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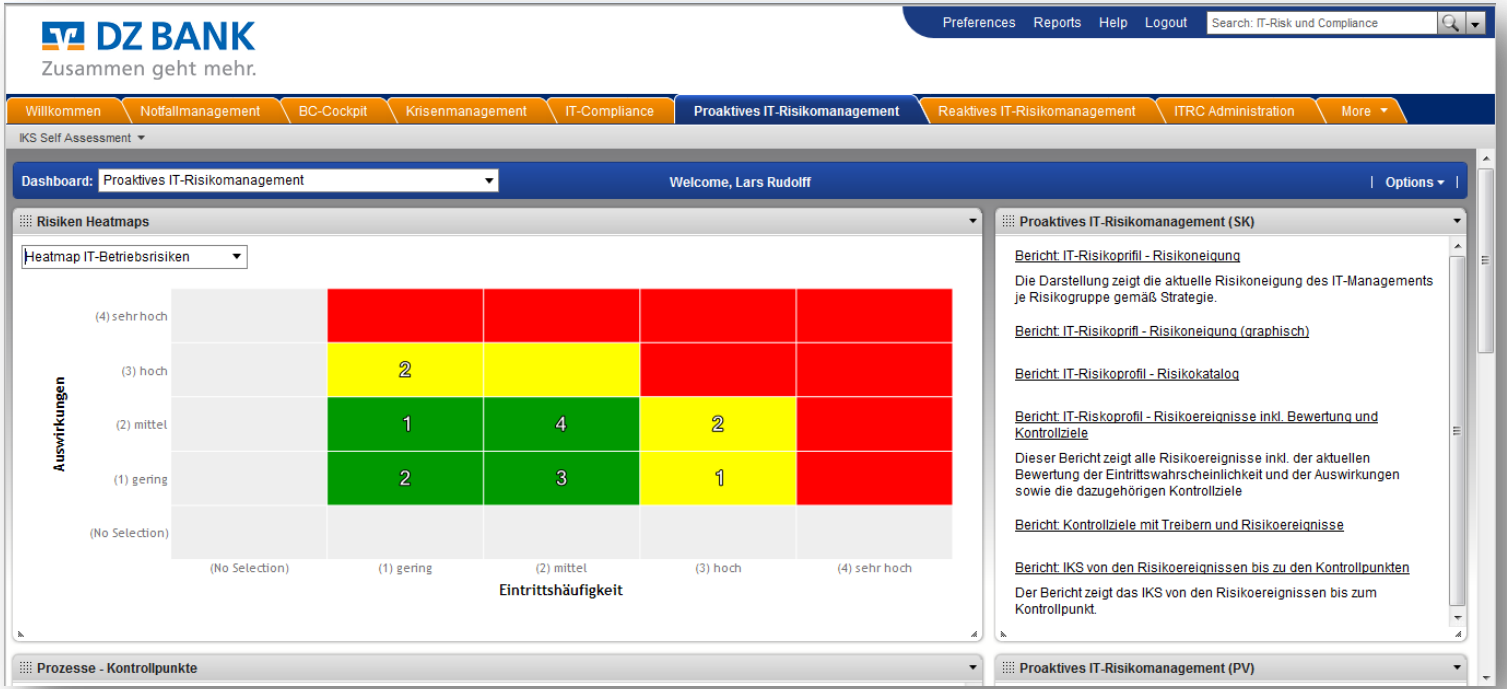
Proactive. IT Risk Management ICS.



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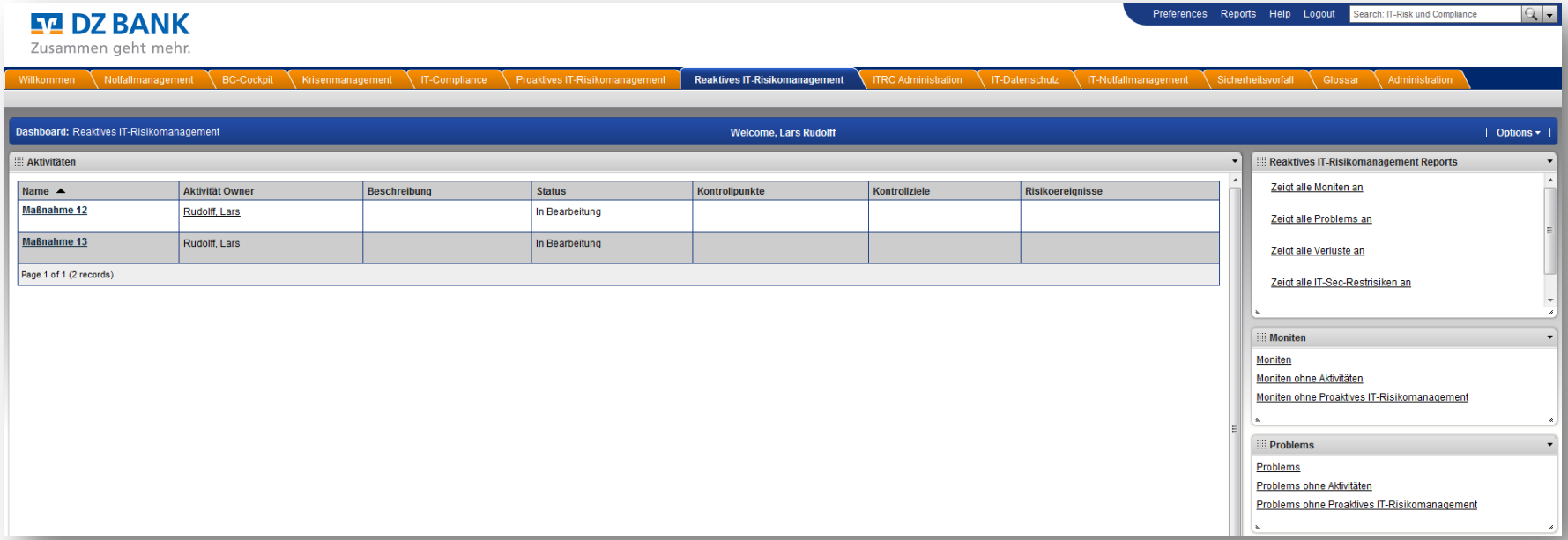
Reactive. IT Risk Management.



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BCM Implementation

- Performance of business impact analysis
- Preparation of BIA report
- Preparation of business continuation plans
- Exercises and tests
- Administration of emergency workplaces

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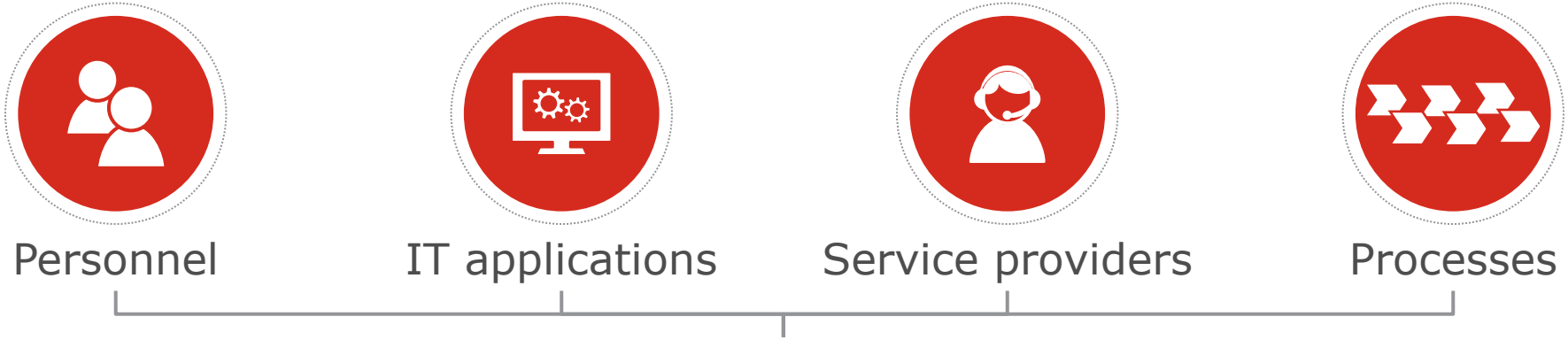
Interfaces. Connection.



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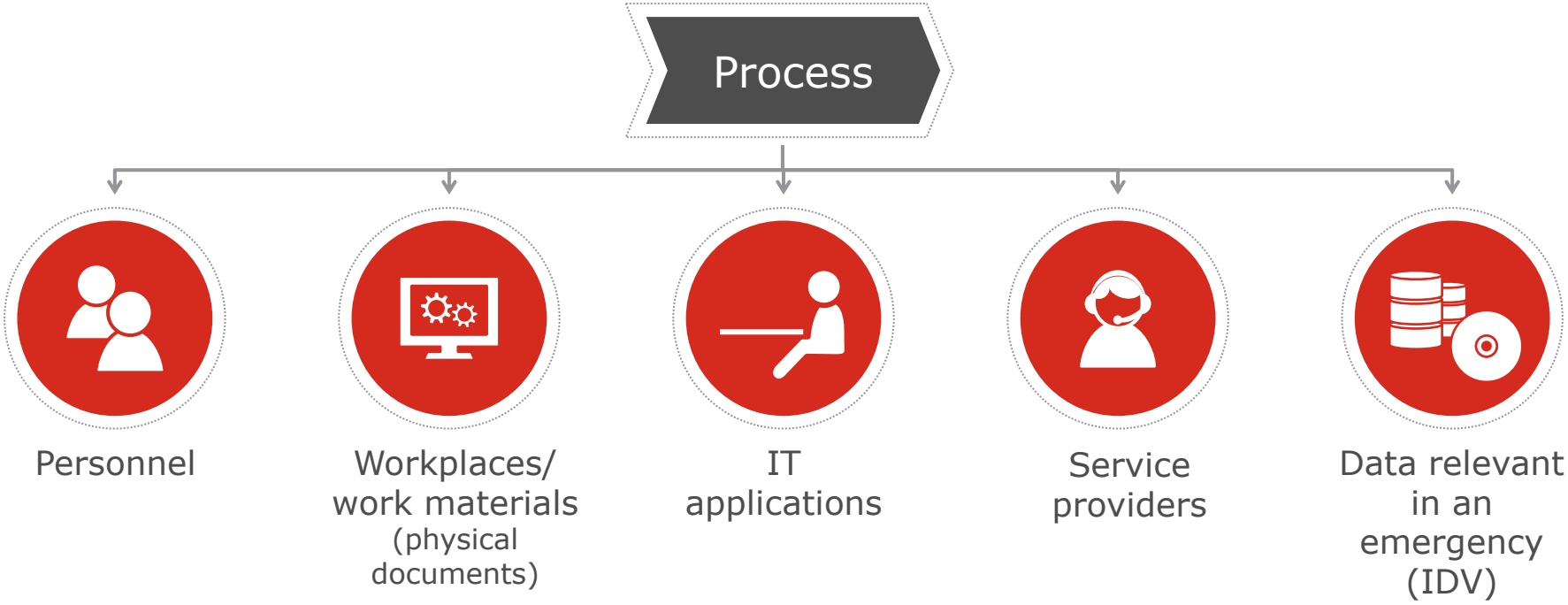
Link. Resources.



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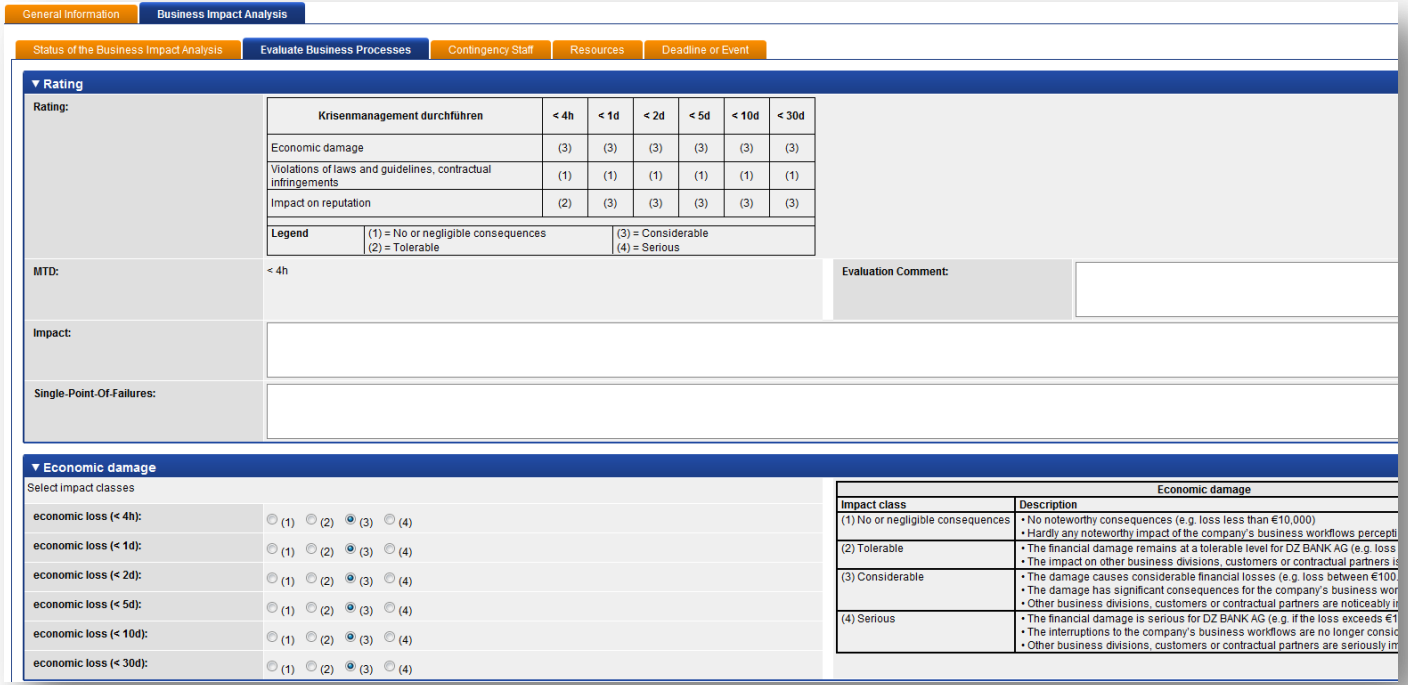
MTD Evaluation.



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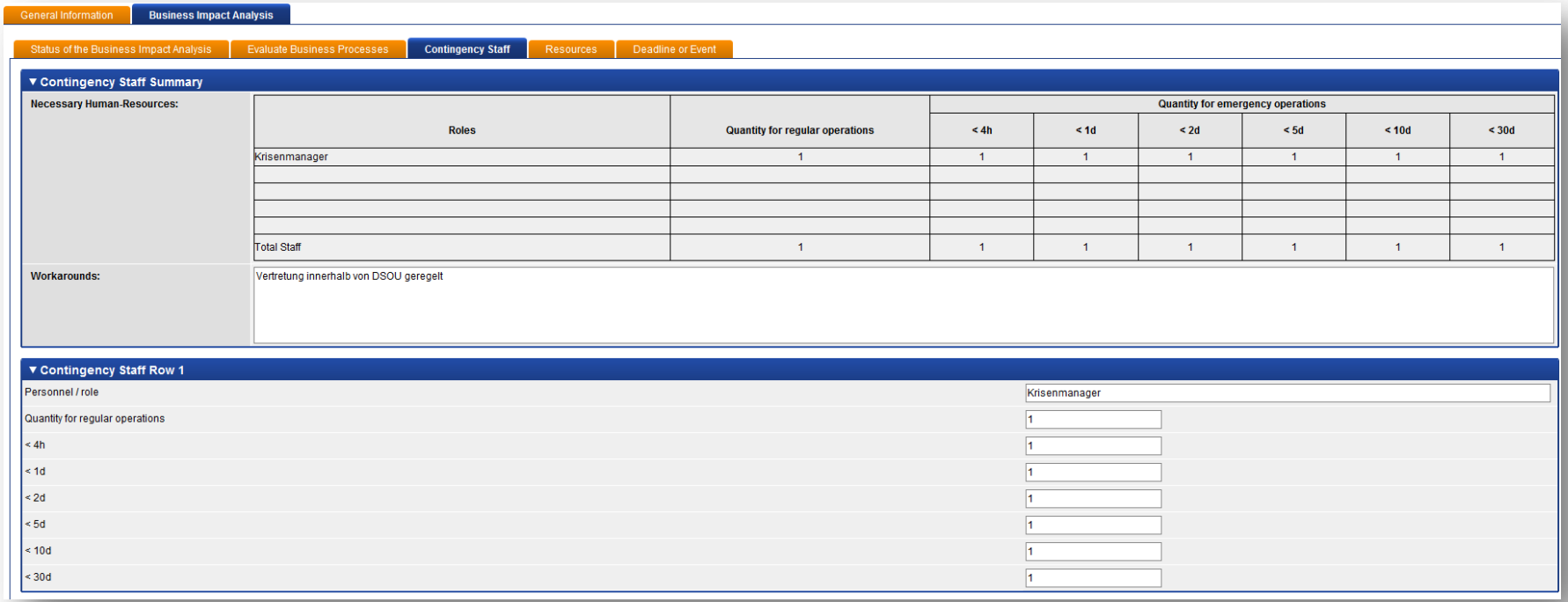
Contingency staff.



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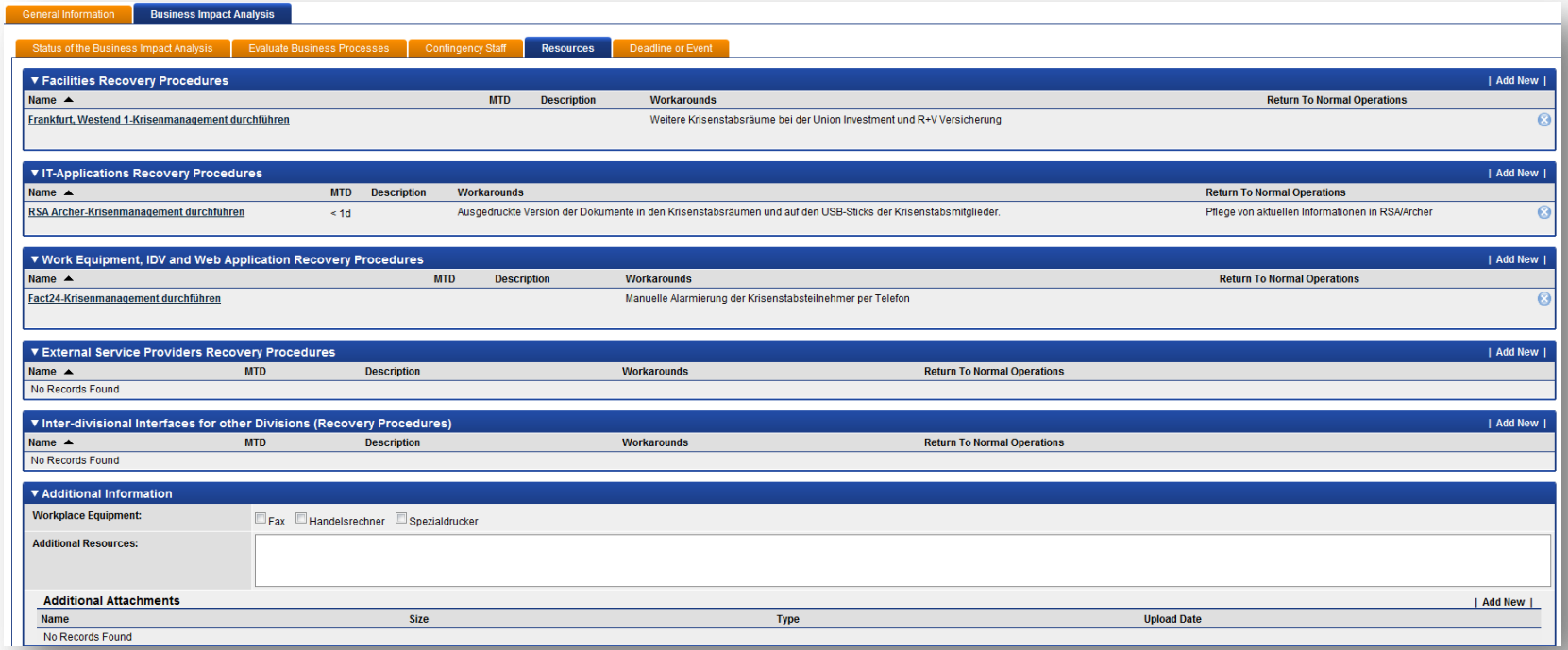
Resources.



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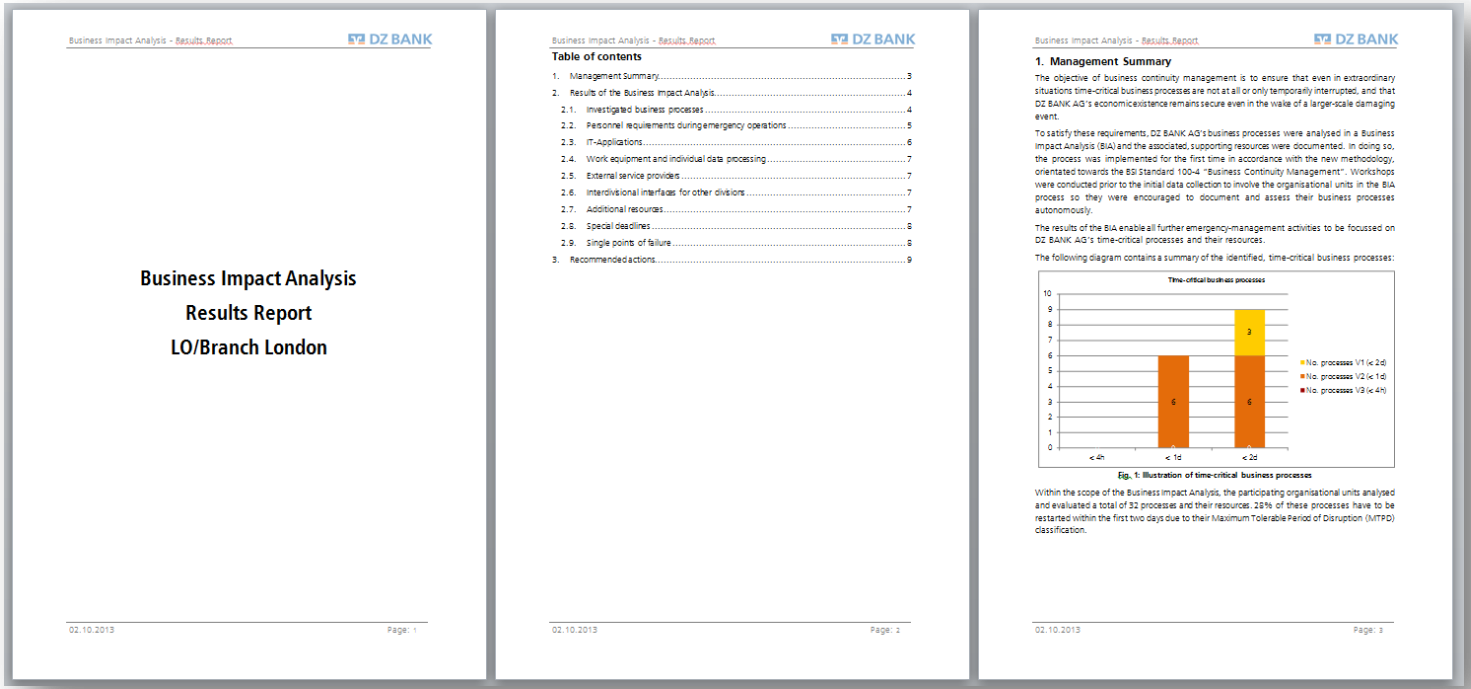
BIA report.



Business Impact Analysis - Results Report

DZ BANK

Business Impact Analysis

Results Report

LO/Branch London

02.10.2013 Page: 1

Business Impact Analysis - Results Report

DZ BANK

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Business Impact Analysis - Results Report

DZ BANK

1. Management Summary

The objective of business continuity management is to ensure that even in extraordinary situations time-critical business processes are not at all or only temporarily interrupted, and that DZ BANK AG's economic existence remains secure even in the wake of a larger-scale damaging event.

To satisfy these requirements, DZ BANK AG's business processes were analysed in a Business Impact Analysis (BIA) and the associated, supporting resources were documented. In doing so, the process was implemented for the first time in accordance with the new methodology, orientated towards the BSI Standard 100-4 "Business Continuity Management". Workshops were conducted prior to the initial data collection to involve the organisational units in the BIA process so they were encouraged to document and assess their business processes autonomously.

The results of the BIA enable all further emergency-management activities to be focussed on DZ BANK AG's time-critical processes and their resources.

The following diagram contains a summary of the identified, time-critical business processes:

Fig. 1: Illustration of time-critical business processes

Within the scope of the Business Impact Analysis, the participating organisational units analysed and evaluated a total of 32 processes and their resources. 28% of these processes have to be restarted within the first two days due to their Maximum Tolerable Period of Disruption (MTPD) classification.

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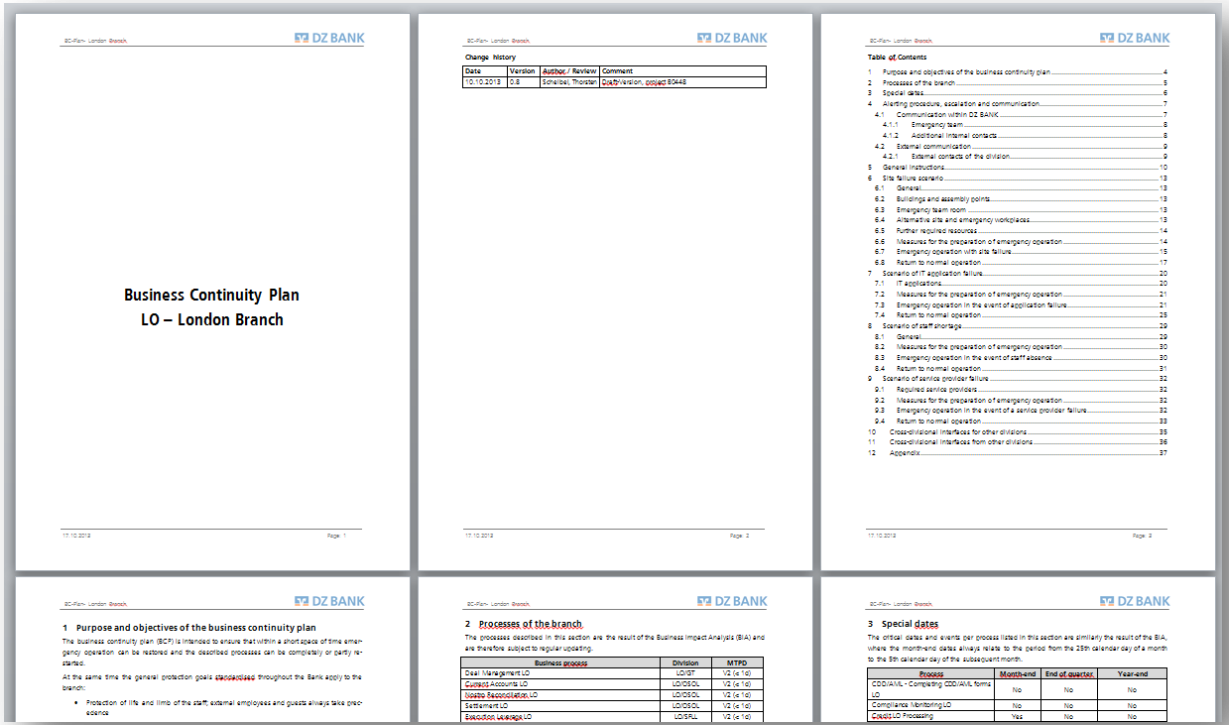
BCP.



Business Continuity Plan
LO – London Branch

Change history

Date	Version	Author / Review	Comment
10.10.2013	0.8	Schellbel, Thorsten	Draft Version, project BG448

Table of Contents

1 Purpose and objectives of the business continuity plan

The business continuity plan (BCP) is intended to ensure that within a short space of time emergency operation can be restored and the described processes can be completely or partly restarted.

At the same time the general protection goals stipulated throughout the Bank apply to the branch:

- Protection of life and limb of the staff, external employees and guests always take precedence

2 Processes of the branch

The processes described in this section are the result of the Business Impact Analysis (BIA) and are therefore subject to regular updating.

Business process	Division	MTPD
Deal Management LO	LO/GT	V2 (≤ 1d)
Current Accounts LO	LO/OSOL	V2 (≤ 1d)
Nostro Reconciliation LO	LO/OSOL	V2 (≤ 1d)
Settlement LO	LO/OSOL	V2 (≤ 1d)
Execution Leverage LO	LO/SRL	V2 (≤ 1d)

3 Special dates

The critical dates and events per process listed in this section are similarly the result of the BIA, where the month-end dates always relate to the period from the 25th calendar day of a month to the 5th calendar day of the subsequent month.

Process	Month-end	End of quarter	Year-end
CDD/AML - Completing CDD/AML forms LO	No	No	No
Compliance Monitoring LO	No	No	No
Crypto LO Processing	Yes	No	No

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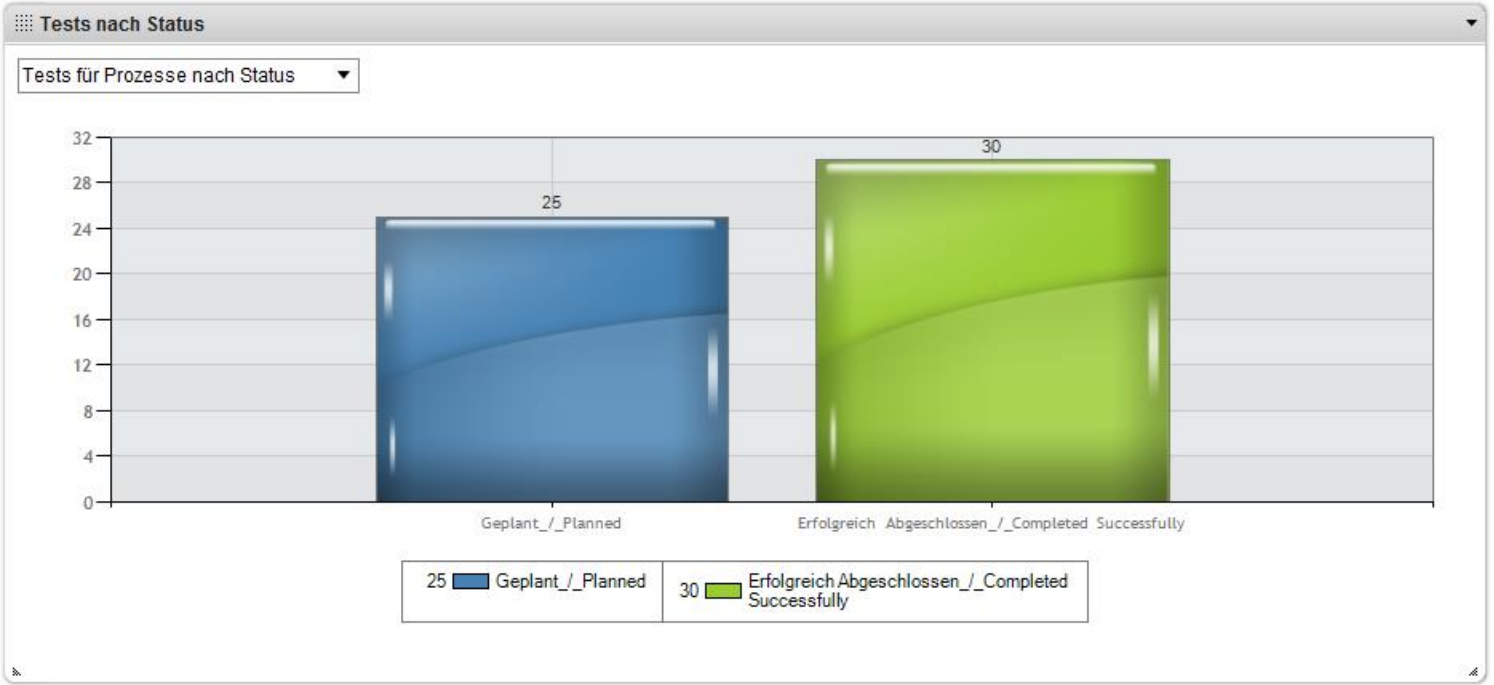
Drills and Tests dashboard.



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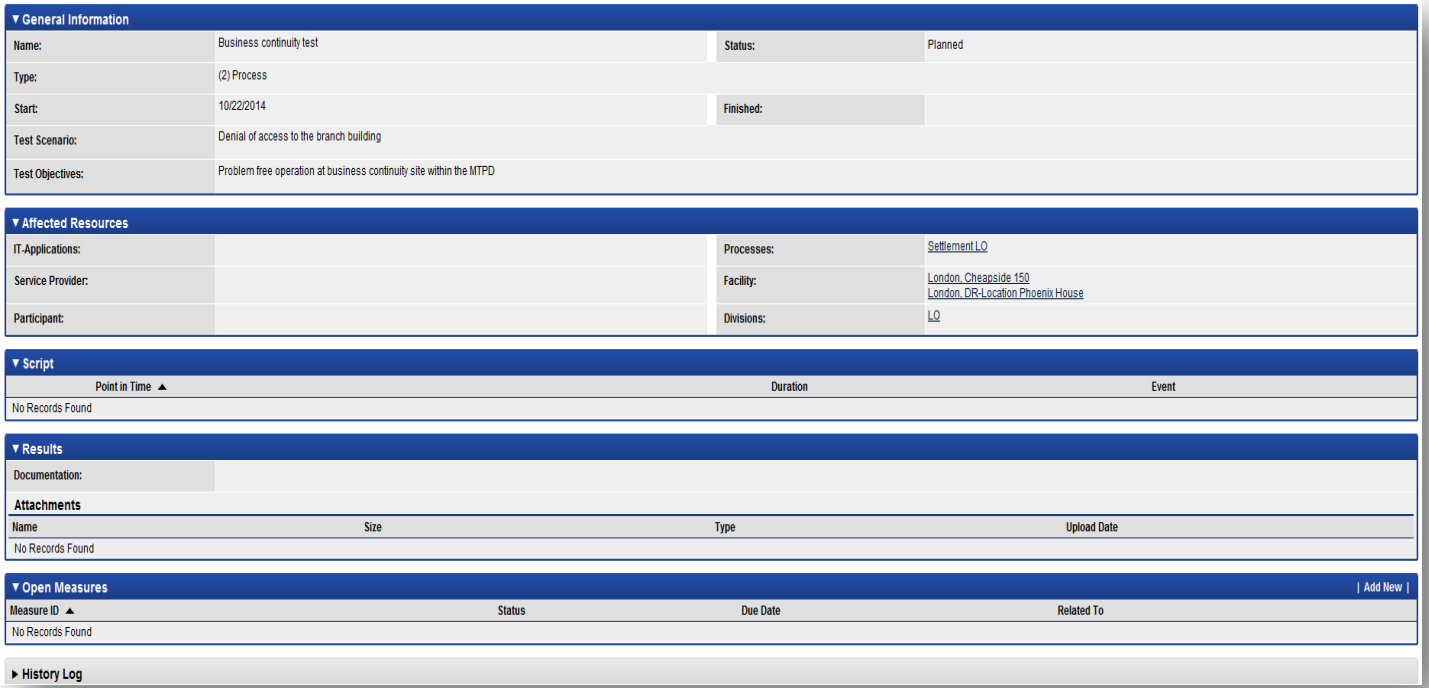
Planning & documentation.



▼ General Information

Name:	Business continuity test	Status:	Planned
Type:	(2) Process		
Start:	10/22/2014	Finished:	
Test Scenario:	Denial of access to the branch building		
Test Objectives:	Problem free operation at business continuity site within the MTPD		

▼ Affected Resources

IT-Applications:		Processes:	Settlement LO
Service Provider:		Facility:	London, Cheapside 150 London, DR-Location Phoenix House
Participant:		Divisions:	LO

▼ Script

Point in Time ▲	Duration	Event
No Records Found		

▼ Results

Documentation:

Attachments

Name	Size	Type	Upload Date
No Records Found			

▼ Open Measures | Add New |

Measure ID ▲	Status	Due Date	Related To
No Records Found			

▶ History Log

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Agenda.

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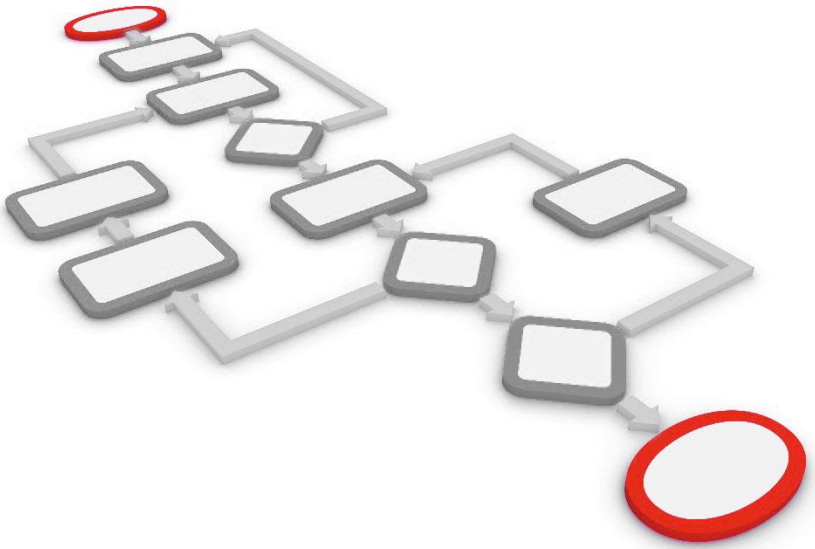
Processes. Management.



- Asset registration
- Determination of protection requirements
- Compliance evaluation
- Measures
- Compliance and risk reporting
- Policy administration

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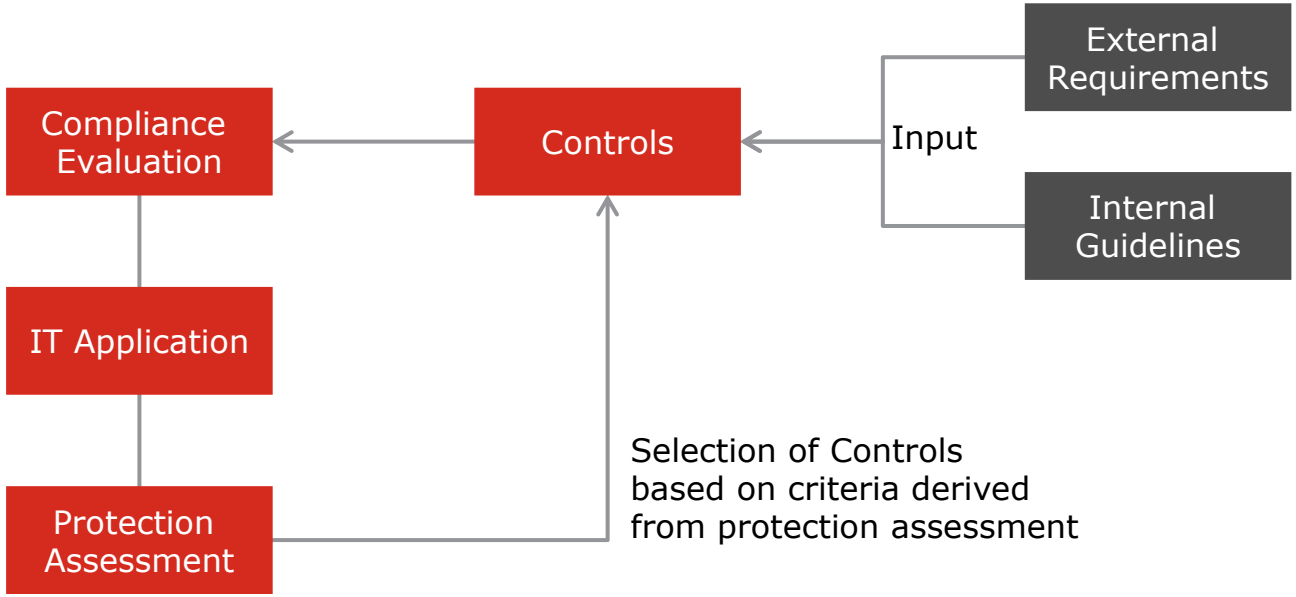
Excerpt. Data Model.

Security Concept.



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Protection Assessment.

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Outlook Synergies.

- Standard process
- Roll-out across DZ BANK Group
- Evaluation of operator model

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Success Factors. Successful Implementation.

- Conception and harmonization of processes
- Conception and implementation of your requirements
- Integration into existing system landscape
- Application operation
- Comprehensive project experience

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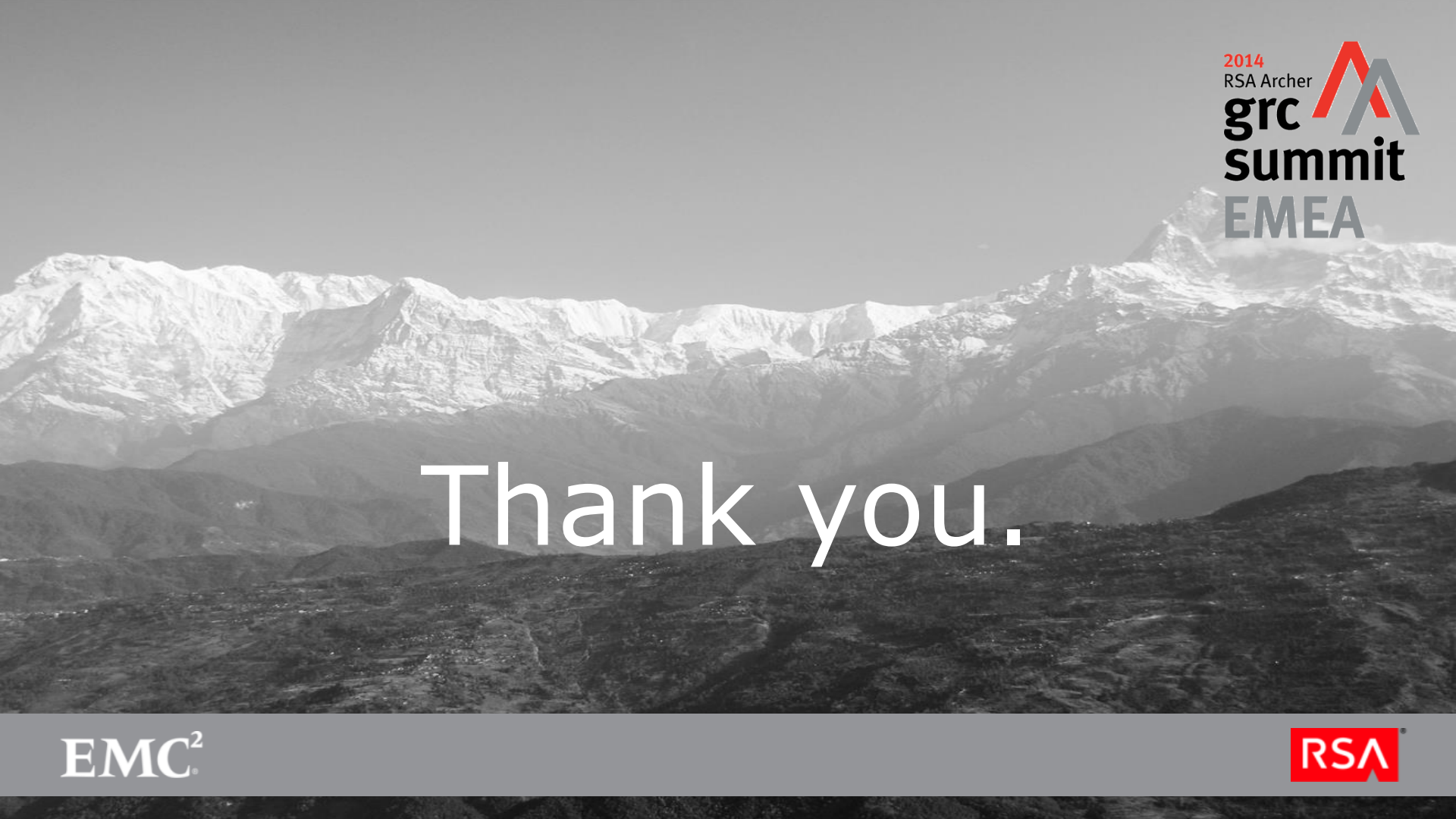
2014
RSA Archer
grc
summit
EMEA
Thank you.
EMC²
RSA