

The Role - Glue of the organization

Vienna, 09 September 2022

The ADELTA.FINANZ AG

KeyFacts

Full-service factoring provider, owner-managed

Purchased receivables 2020: approx. 148 TSD Volume: 277 million
Purchased receivables 2021: approx. 150 TSD Volume: 314 million

Number of customers (vendors)
approx. 750 customers

58 employees
Head office location Düsseldorf, nationwide

Nico Teutsch, COO, with ADELTA.FINANZ AG since 01.06.2022

Responsible for Operations,
Customer and accounts receivable management, credit risk and process management

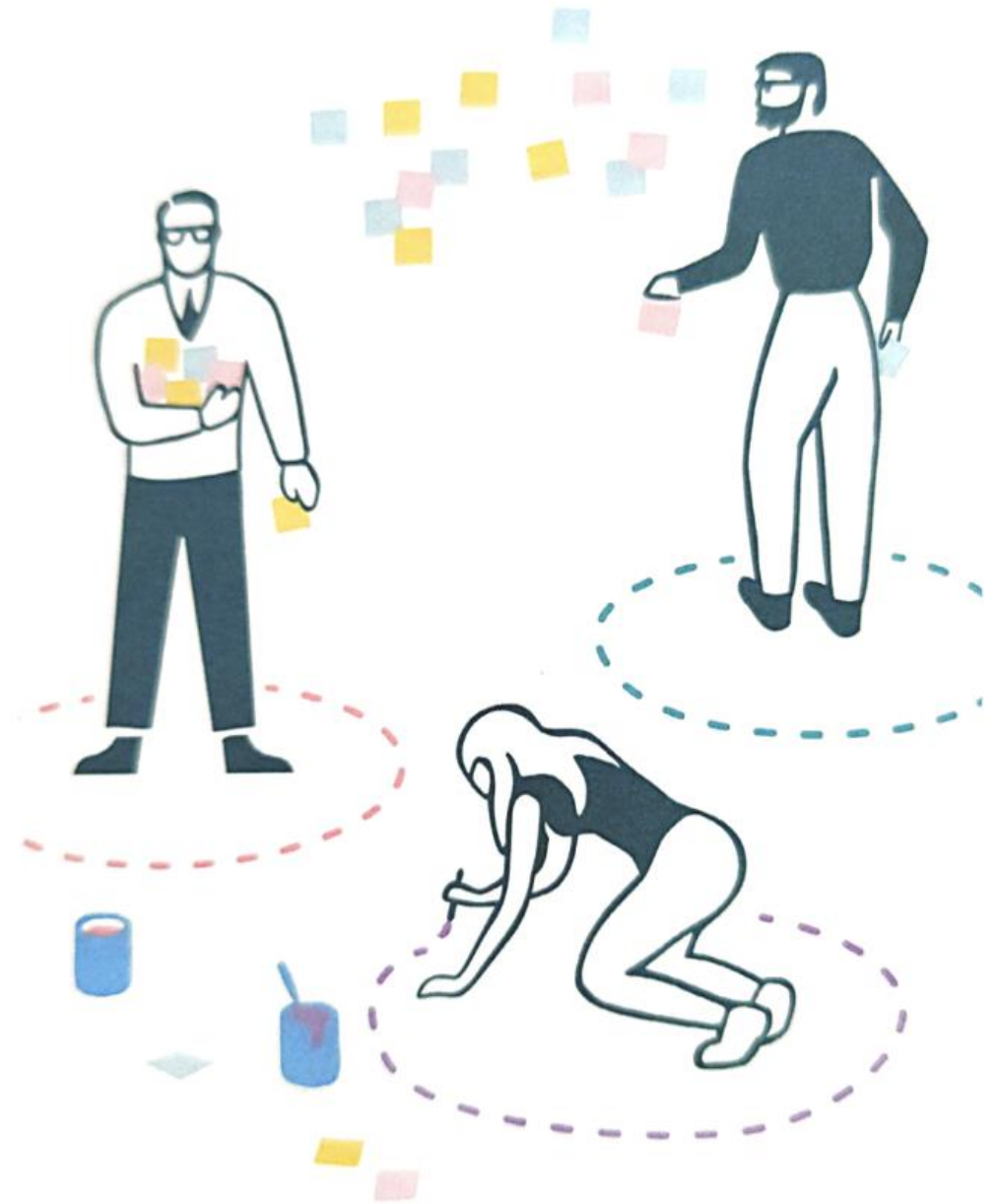
Until 30.05.2022 - Head of Process Management at IKB Deutsche Industriebank AG



The Importance of Roles¹

Why Roles?

- Roles are a simple method to distribute responsibilities
- Roles help companies to understand what tasks need to be done in a team/area/company
- Roles are the smallest organizational unit

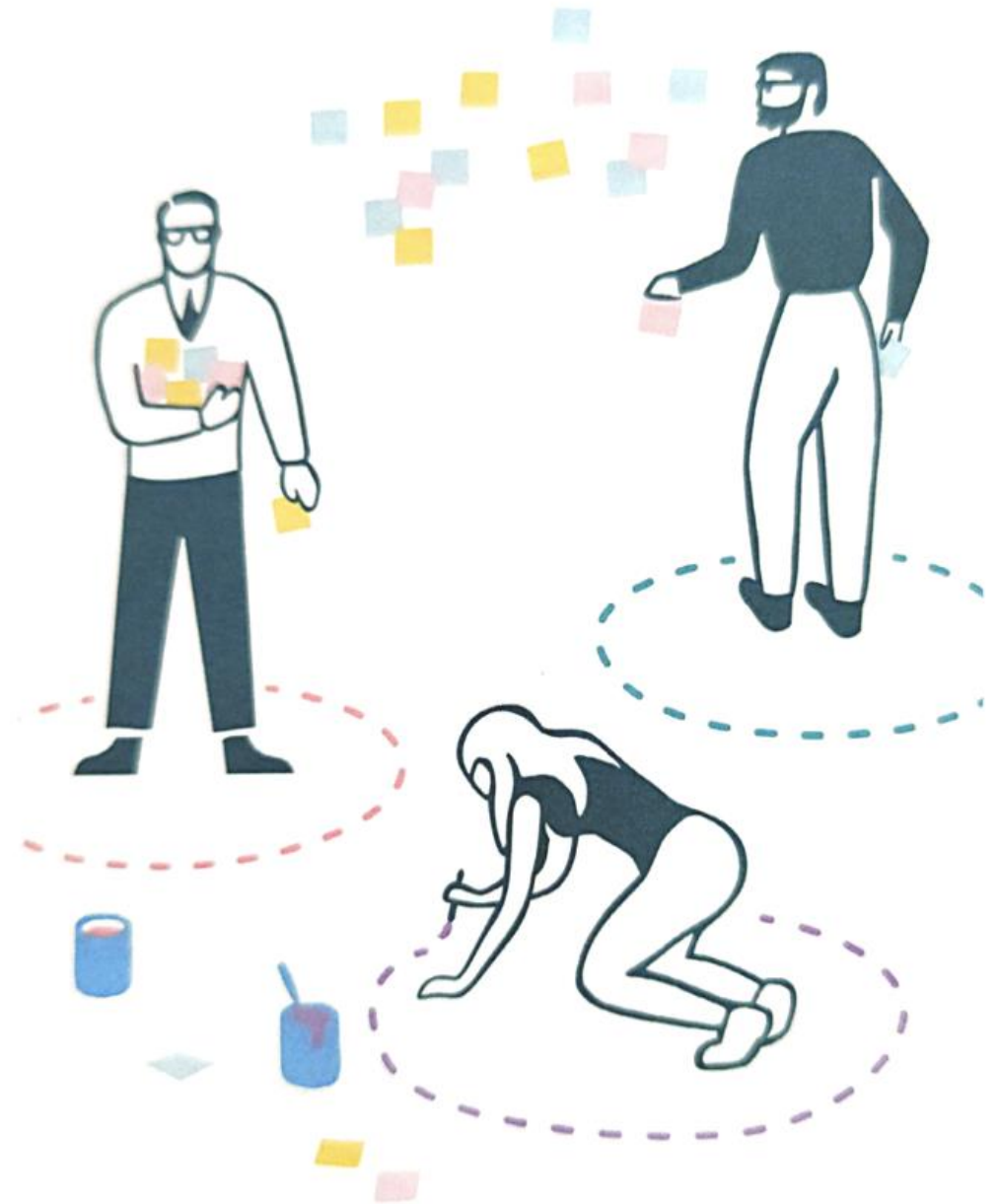


¹ New Narratives #14, page 48ff

The Importance of Roles¹

What are Roles?

- In contrast to a position or a job, roles are intended to be more small-scale and modular, allowing responsibility to be distributed flexibly. Each role describes a clearly defined area of responsibility that can also be transferred from one person to another.

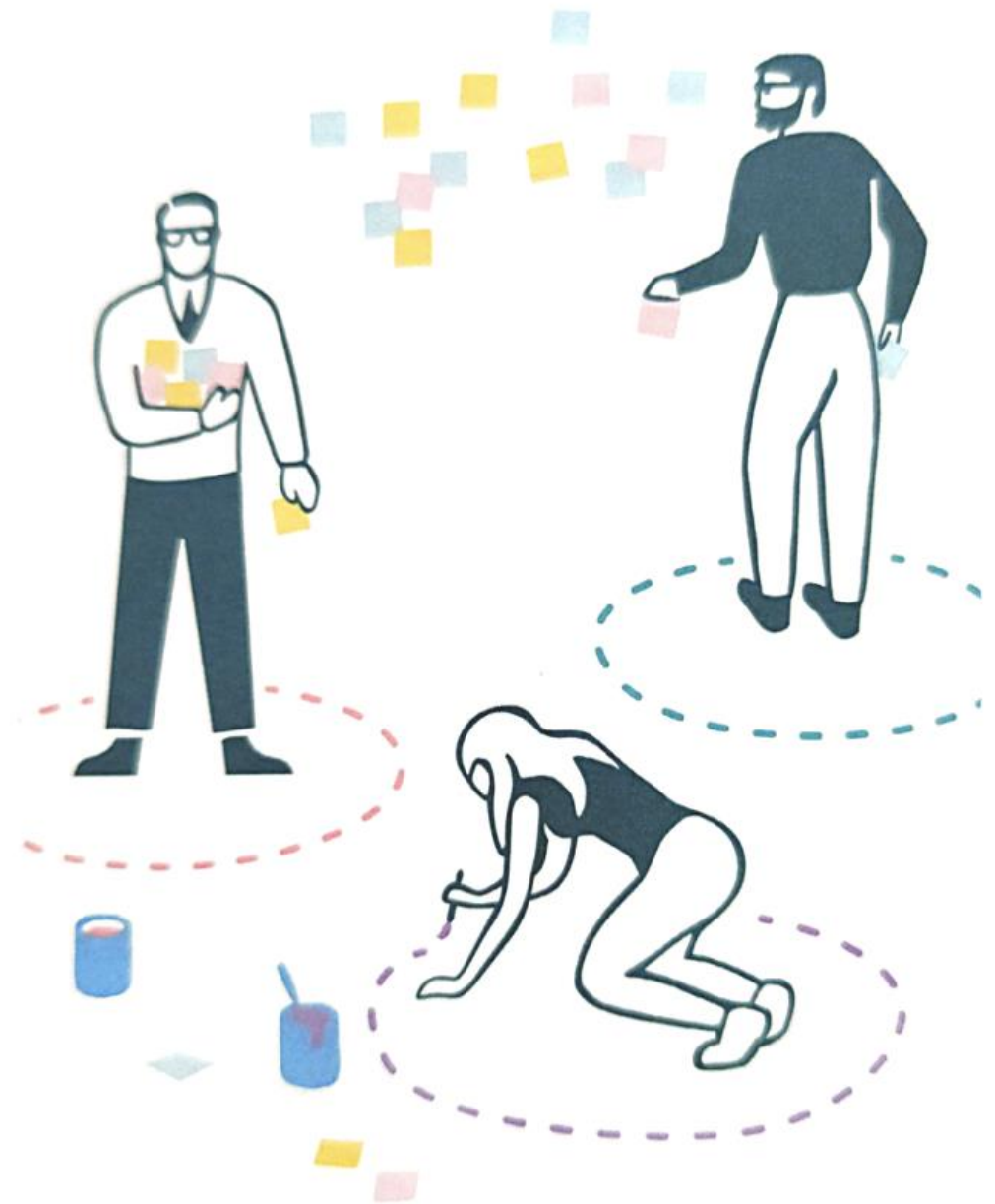


¹ New Narratives #14, page 48ff

The importance of roles¹

In order to classify:

- One person can easily fill multiple roles; but the more there are, the better the self-organizing ability of the person assigned to the role should be (they must be able to prioritize across many roles).
- Each organizational unit should define and assign a few standard roles. This can work on different levels, e.g. a moderation role but also a specific technical role.

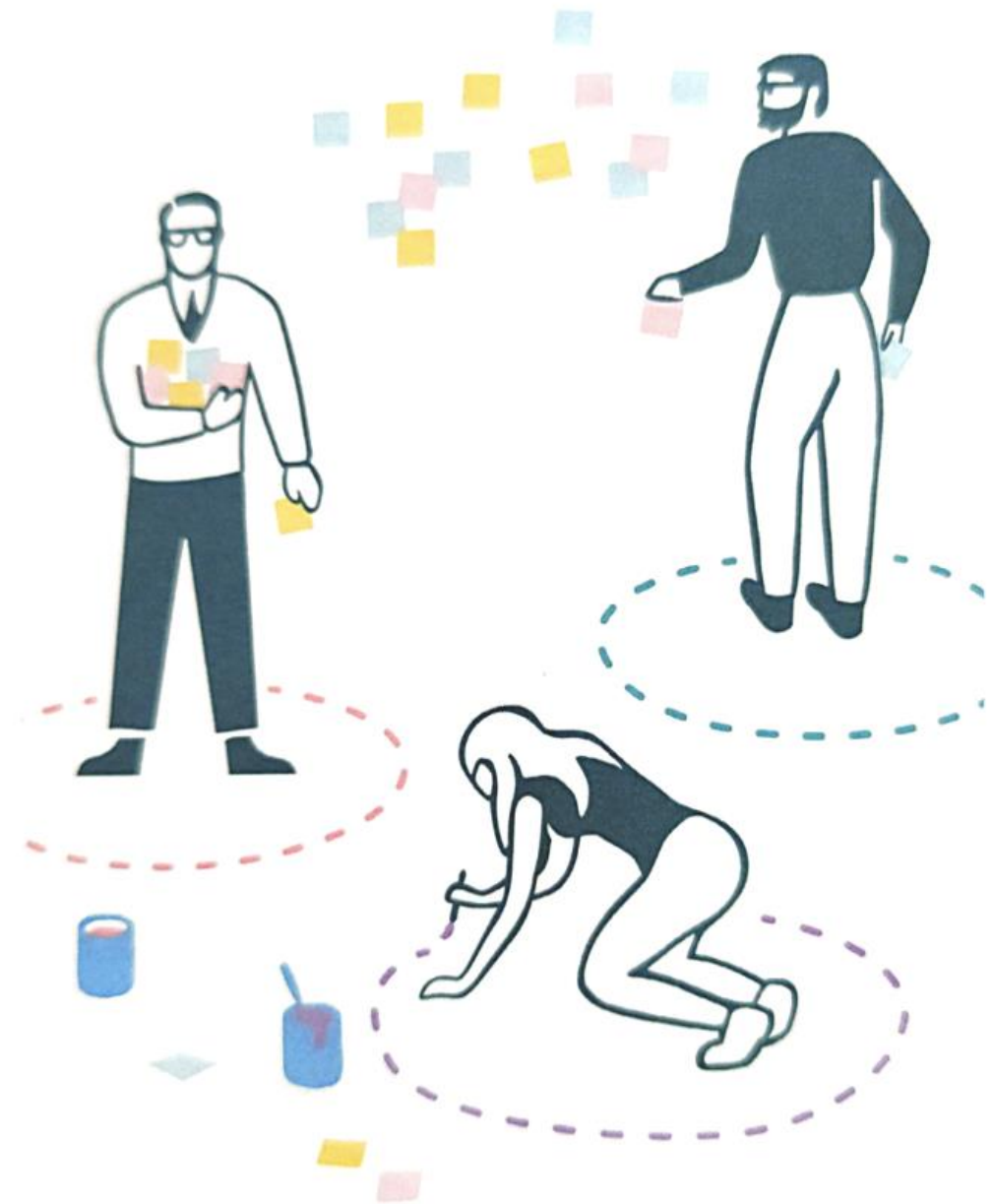


¹ New Narratives #14, page 48ff

Position vs. Role¹

Position

- A position is rigid. A company advertises it and looks for a person to fill the position.
- A position is broadly defined. In classical organizations, each person holds exactly one position to be filled full time.
- The salary is linked to the position. In classical organizations there are fixed rules for this. So if you move to another position, you (usually) get a different salary.
- As already indicated: In classic organizations, each employee has exactly one position. If a new activity is needed, a new position is needed for it, which is filled with a new employee.



¹ Klein, Hughes: The Loop Approach, page 109

Position vs. Role¹

Role

- A role is flexible It is only created and filled when there is a need for it. And abolished at any time when the need is fulfilled.
- A role is precise and thought of from a need. Do you need someone who takes care that new customers are entered into the CRM system? Then a role can be created for that.
- A role is not directly relevant to compensation. This was not going to work, if only because most employees have multiple roles. So new criteria for fair compensation are needed.
- In role mode, employees have several roles at the same time. These require different amounts of time and are partly located in other teams. Depending on the prioritization, an employee fills his or her respective roles with varying intensity.

Roles can be assigned to tasks, roles require (IT) **resources**, roles can be assigned to organizational units.

→ Roles can be managed in ADONIS

Idea: Merge roles and IT authorizations in ADONIS

→ Development of an overarching role model

¹ Klein, Hughes: The Loop Approach, page 109

Added value of an overarching Role Model

Develop roles

- Collect activities
- Cluster activities into roles
- Formulate name and purpose/use
- Assign roles

Role administration (optimize)

- Role-Life-Cycle - Reduction of effort for ordering and withdrawing, because ideally **only the** corresponding role has to be assigned according to demand.
- User-Life-Cycle - transparent implementation of Joiner / Mover / Leaver processes, because it is clearly defined when which role has to be assigned how/who to assign it to
- Responsibilities - by means of a transparent role model, responsibilities (DEMI) can be assigned in a comprehensible manner.
- User-friendliness - recognition of the procedural and organisational structure
- Recertification - significant reduction of effort during recertification
→ no check on an individual rights basis and/or individual user basis

Added value of an overarching Role Model

Regulatory requirements

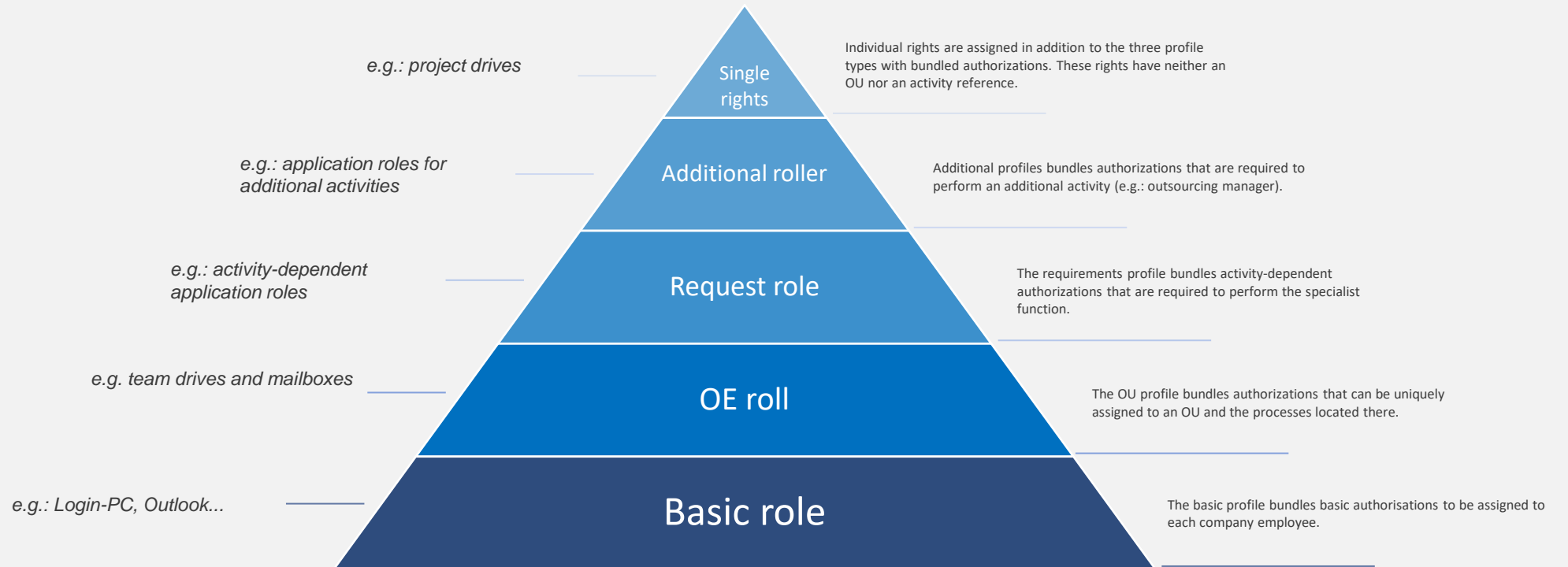
- BAIT 5.23 - "User authorization management ensures that the authorizations granted are designed in accordance with the organizational and functional requirements of the institution".
- Separation of functions - avoidance of procedural conflicts through conflict-free modeling Avoidance of toxic authorization combinations
- Minimal principle - users **only** have permissions that are required for the activity and are clearly assigned to them.

A uniform role model guarantees regulatory compliance while simultaneously increasing efficiency



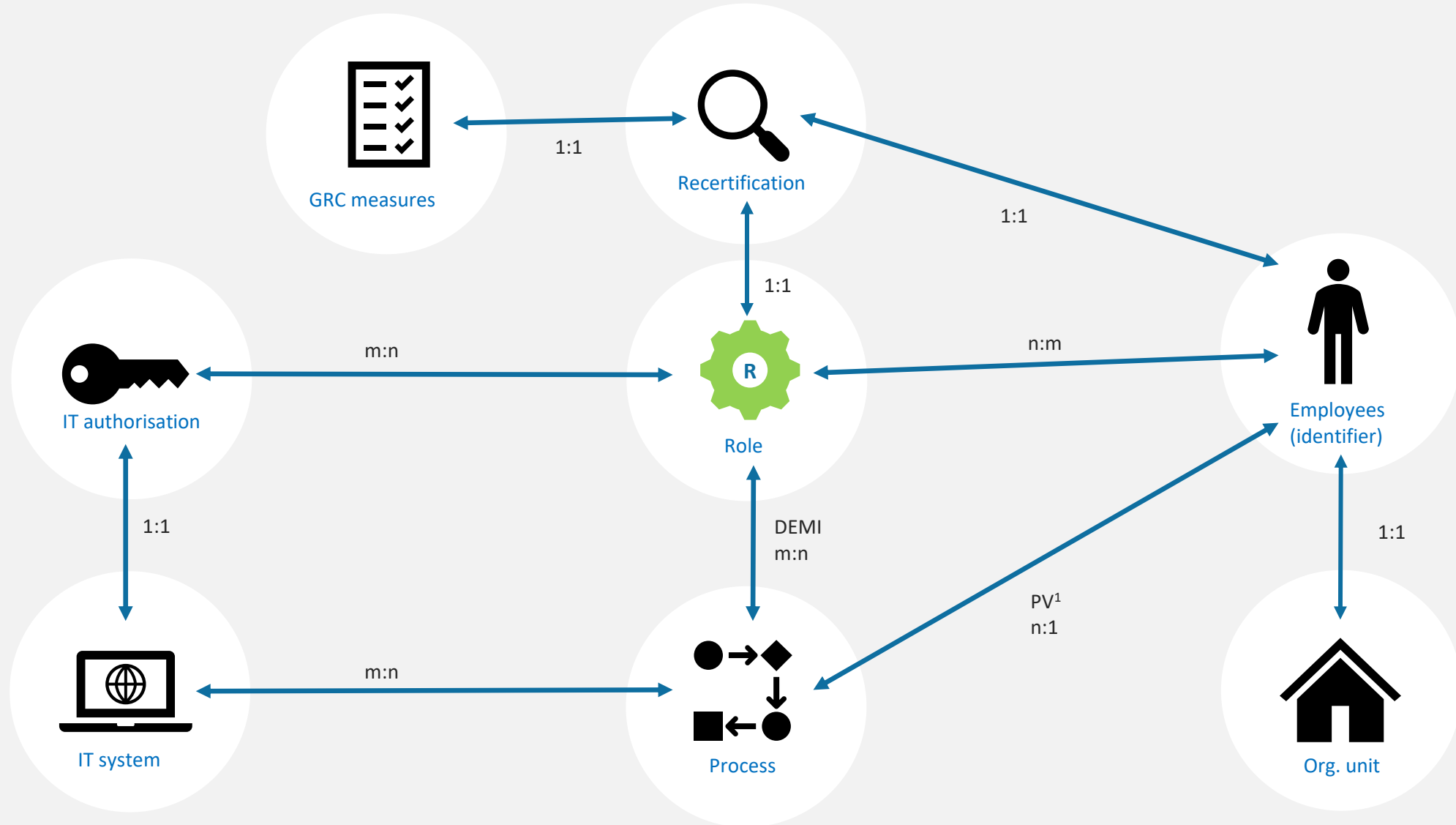
Best practice approach for an overarching role model

The role model bundles authorizations in basic, OU and request roles, each of which refers to basic functionalities, OU-specific functionalities or functional activities.



The role model ensures the congruence required by supervisory law. of IT authorizations to business requirements is ensured.

Role as central object



1) Employee responsible for the process

Object IT-authorization

Objekte

Filter...

Name	Version	Status
▼ Murex		
▼ Murex		
ACC_RW		
ADMIN		
BO_BND		
BO_PAY_ALL		
BO_SDM		
BO_VAL_CM		
BO_VAL_OPR		
CONFIG_IT		
CONFIG_MD		
FO_INV		
FO_MGT		
FO_RET		
FO_SAL		
FO_SIMURO		
FO_SPT		
FO_SYN		

ACC_RW ☆

Standard >

Projekt	ID:
	2782
	Name: i
	ACC_RW
	Beschreibung: i
	Accounting Read Write
	Kritikalität:
	Normal
	Anwendungssystem:
	Murex
	Teilanwendung:
	Murex
	Beschreibung Teilanwendung:
	Zentrale Treasury Applikation
	Zugriff:
	Schreiben

Daily import from master system

Inventory reconciliation or modification of the individual rights

After creation, IT authorization can be assigned to a role

Detailed information about the IT authorization visible

Object Role

Objekte

Filter...

Name	Version
RC	
RT	
T	
T_Modellierungsrollen	
Händler	1.00
T 1 Funding	1.00
T 1 Privatkunden	1.00
T 1 TL	1.00
T 6	1.00
T 6 TL	1.00
T BL	1.00
T_Organisationsrollen	
ORG_T01	0.01
ORG_T06	0.01
T_Spezialrollen	
APPSERVER_TOOLSTACK	0.01
HAENDLER_EINLAGEN	3.00
HAENDLER_INV	2.00

HAENDLER_EINLAGEN 3.00

Standard

Name: HAENDLER_EINLAGEN

Beschreibung: Funktionsrolle für Einlagengeschäft

Rolleartyp: Funktionsrolle

IT-Berechtigungen:

	Typ	Name
1	🔍	ADMIN-LESE
2	🔍	APEX_DISPOTool_FXD_FXPOS_R
3	🔍	APEX_DISPOTool_FXD_R
4	🔍	Abschluss von Handelsgeschäften in FX
5	🔍	Abschluss von Handelsgeschäften in FX
6	🔍	Abschluss von Handelsgeschäften in FX
7	🔍	Abschluss von Handelsgeschäften in FX
8	🔍	Admin_KUNDE(PDF-Plattform)
9	🔍	CGN_CAP_CONSUMERS
10	🔍	CGN_CON_DWH_T_APM_ALLG
11	🔍	CGN_CON_DWH_T_KDN_ALLG
12	🔍	CGN_SYS_PROD
13	🔍	CRM_BU_Deutschland
14	🔍	CRM_Benutzer
15	🔍	CRM_POS_T1-Mitarbeiter
16	🔍	
17	🔍	Read-Only
18	🔍	Trader
19	🔍	Trading

Roles are now only created in Adonis NP

Release workflow ensures transparency

Changes to the roles are transferred to TIM and the DL.

Archiving and historization in Adonis NP

Coverage of the complete Role-Life-Cycle

Assignment of roles to employees

Object Employee

HAENDLER_EINLAGEN (Rolle)

f (s212779)

Standard

Allgemein

Name: s212779

Vorname:

Nachname:

E-Mail:

Führungskraft:

	Typ	Name	
1		(s211353)	

Hat Rolle:

	Typ	Name	Version	Status		
1	R	BASISROLLE INTERN R-U 4.00	4.00	✓		
2	R	DA_LEG_R 1.00	1.00	✓		
3	R	DA_TSY_R 1.00	1.00	✓		
4	R	HAENDLER_EINLAGEN 3.00	3.00	✓		
5	R	KREDA_TSY 2.00	2.00	✓		
6	R	MUREX_SYN 2.00	2.00	✓		
7	R	MUREX_TSY 2.00	2.00	✓		
8	R	OMTOS_BIETER 2.00	2.00	✓		

Zugeordnete Organisationseinheit:

Aufgabe[6]

- (Eingehend) Mitarbeit/Mitwirkung[4]
 - Handel benachrichtigen
 - Handel benachrichtigen
 - Relevante Daten prüfen
 - Relevante Daten prüfen
- (Eingehend) Zu informieren[2]
 - Änderungen und Sollsalen sichten
 - Änderungen und Sollsalen sichten
- Benutzer[2]
 - (Ausgehend) Rollenverantwortlicher[1]
 - (s211353)
 - (Eingehend) Hat Rolle[1]
 - (s212779)
- Berechtigung[19]
 - (Ausgehend) IT-Berechtigungen[19]
 - Abschluss von Handelsgeschäften in FX
 - Abschluss von Handelsgeschäften in FX
 - Abschluss von Handelsgeschäften in FX
 - Abschluss von Handelsgeschäften in FX
 - ADMIN-LESE
 - Admin_KUNDE(PDF-Plattform)
 - APEX_DISPOTOOL_FXD_FXPOS_R

User objects are imported/synchronized from AD

Assignment/request of roles via TIM-WF

Archiving and historization in Adonis NP

Coverage of the complete user life cycle

Transparency about roles and their contents (need-to-know)

Object Recertification

Roles Recertification

User recertification

The screenshot displays the SAP Role Recertification interface. On the left, a list of roles is shown, including 'Rollen Rezet DA_LEG_R', 'Rollen Rezet DA_PERS_', 'Rollen Rezet DA_RT_08/21', and 'Rollen Rezet ENTW_KREDA'. The main area shows the details for 'Nutzer Rezet s212876 00/22'. The 'Allgemein' tab is active, showing the role name, version, and a table of 'Funktionsrollen' (Functional Roles). Below this, 'Spezialrollen' (Special Roles) and 'Einzelberechtigungen' (Individual Permissions) are listed in tables.

Einwertung	Folgeaktion
ok	Kein Handlungsbedarf
ok	Kein Handlungsbedarf

Role	Einwertung	Folgeaktion Rolle	Kommentar
1 RT_SACHBEARB_SYSTEME 1.00	ok	Kein Handlungsbedarf	

Role	Einwertung	Folgeaktion Rolle	Kommentar
1 DA_KRED_R 1.00	ok	Kein Handlungsbedarf	
2 DA_LEG_R 1.00	ok	Kein Handlungsbedarf	
3 DA_RT 1.00	ok	Kein Handlungsbedarf	

Einzelberechtigung	Role	Abgabewert	Einwertung	Folgeaktion	Kommentar
1 GLB_BS_B	RT_SACHBEARB_SYSTEME 1.00	Nur Soll	ok	Kein Handlungsbedarf	
2 EBI_Z		Nur list	ok	Kein Handlungsbedarf	
3 KWR_Z		Nur list	ok	Kein Handlungsbedarf	
4 BIK_Z		Nur list	ok	Kein Handlungsbedarf	
5 GLB_Z		Nur list	ok	Kein Handlungsbedarf	
6 VER_Z		Nur list	ok	Kein Handlungsbedarf	
7 ERA_Z		Nur list	ok	Kein Handlungsbedarf	
8 SR-TANGRO:INVOICE_APPROV ER		Nur list	ok	Kein Handlungsbedarf	
9 SID_Z		Nur list	ok	Kein Handlungsbedarf	
10 ABW_Z		Nur list	ok	Kein Handlungsbedarf	
11 SR-FIAR-SI-ALL-USER		Nur list	ok	Kein Handlungsbedarf	
12 COV_Z		Nur list	ok	Kein Handlungsbedarf	
13		Nur list	ok	Kein Handlungsbedarf	
14		Nur list	ok	Kein Handlungsbedarf	
15		Nur list	ok	Kein Handlungsbedarf	
16		Nur list	ok	Kein Handlungsbedarf	
17		Nur list	ok	Kein Handlungsbedarf	
18 RISKANALYSIS_VIEW		Nur list	ok	Kein Handlungsbedarf	
19 INCIDENTS_OWNER		Nur list	ok	Kein Handlungsbedarf	
20 PM-BANK-VERLAG-BV-FORMS-OBJEKTVERWALTUNG		Nur list	ok	Kein Handlungsbedarf	
21 PM-VOEB-OBJEKTVERWALTUNG		Nur list	ok	Kein Handlungsbedarf	
22 BAV_Z		Nur list	ok	Kein Handlungsbedarf	
23 VDT_Z		Nur list	ok	Kein Handlungsbedarf	
24 PM-ep_Gmh-OBJEKTVERWA		Nur list	ok	Kein Handlungsbedarf	

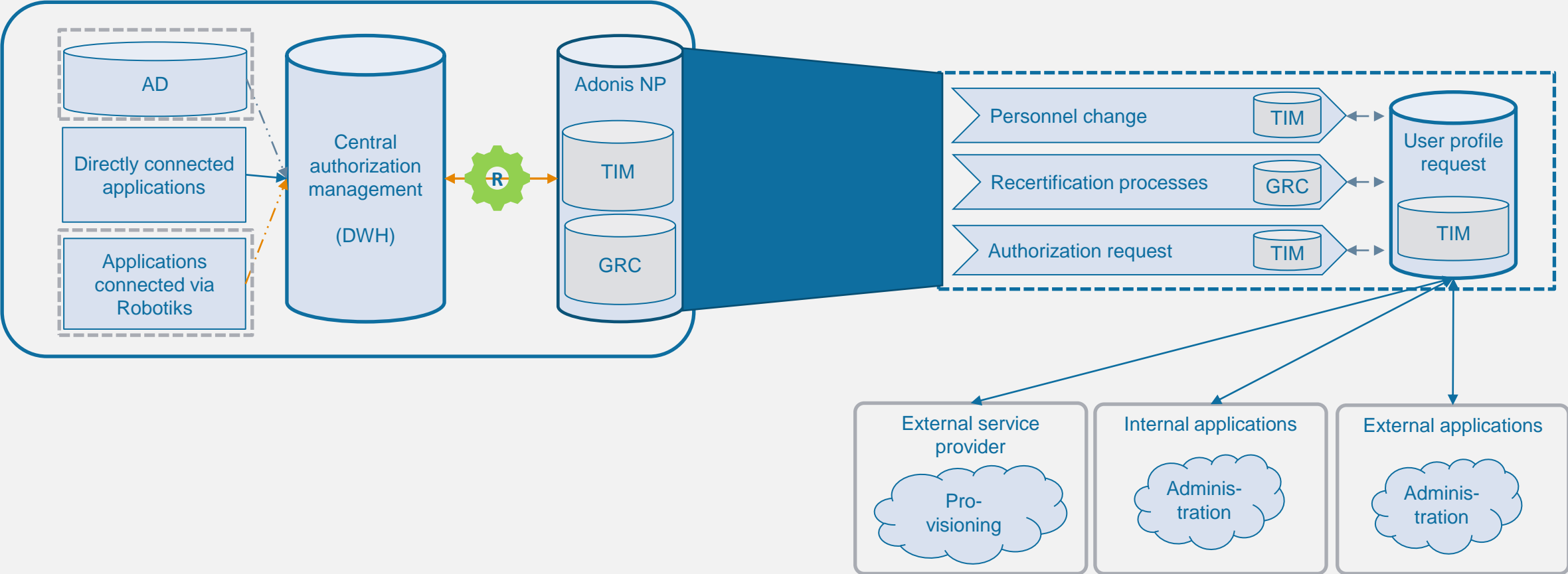
Dashboards for role and user recertification

Documentation of the entire "test action"

Generation of measures for monitoring (GRC)

Complete documentation

Architecture Authorization Management (Scheme)



Architecture Authorization Management (Scheme)

Adonis NP

- Role definition and modeling
- Administration incl. release workflow, historization and versioning
- Documentation of the control procedures

Adonis GRC

- Dashboards for roles and user recertification
- Implementation of role and user recertification
- Management and tracking of measures resulting from recertification

TIM Workflow

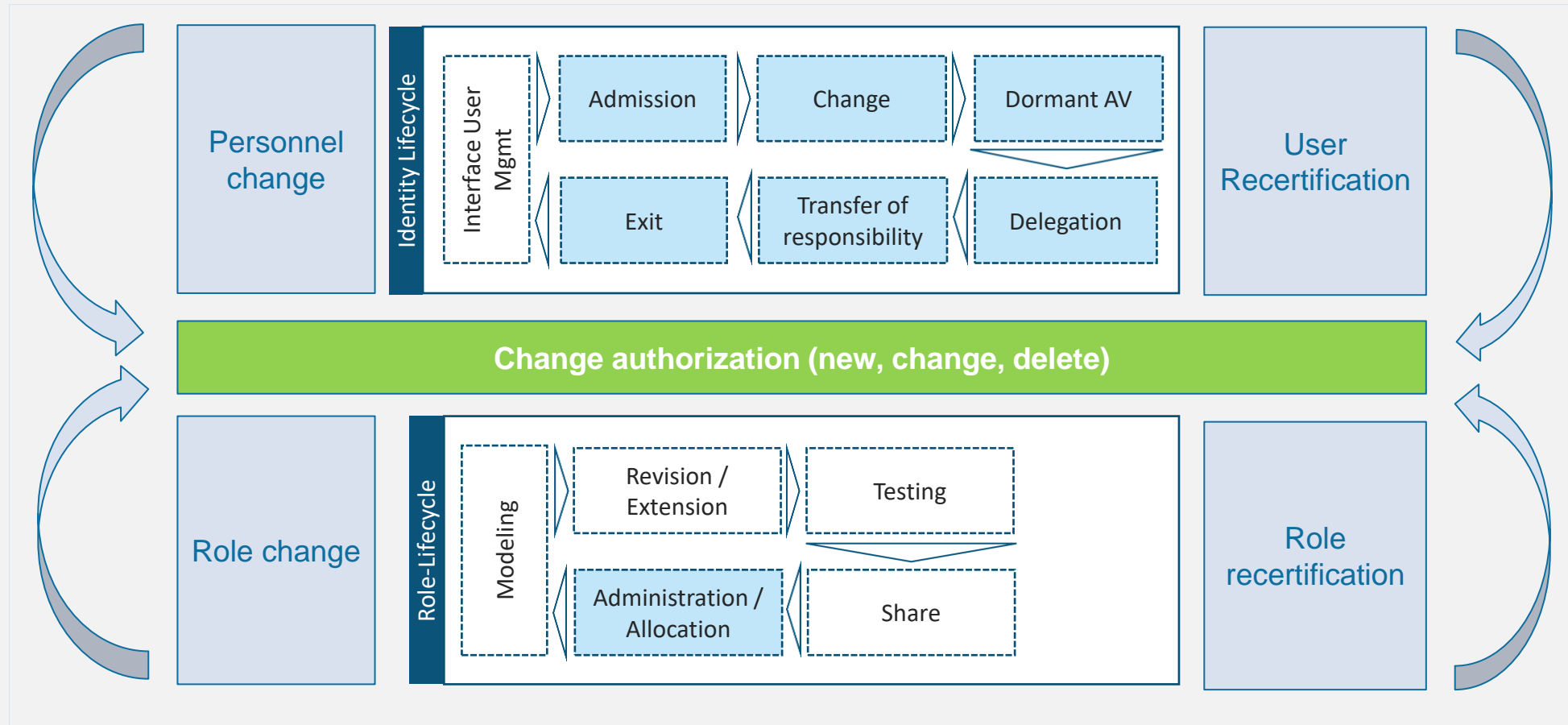
- Personnel change
- Requesting and changing roles (user profile request)
- "Further processing" of the measures from recertification and role change
- Interface to the service provider

Robotics

- Among other things, daily loading of the central authorization reporting system

Redesign/optimization of the Identity- & Role- Lifecycle (Scheme)

The authorization request as a central process of the identity & user lifecycle



Results and Conclusion

Roles are an elementary part of every organization

Clarity and awareness of the roles assigned to each colleague (also applies to "non" functional roles).

Linking tasks and responsibilities in the
Context of Identity and Access Management (IAM)

Process automation and efficiency improvement:

- Role Lifecycle (application and award process, recertification and roles)
- Identity Lifecycle (personnel change process)

Increasing transparency and efficiency

Thanks a lot!

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