

# Manual for using the software RIMIKSX

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## Hotline, Imprint

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## RIMIKSX, introductory remarks

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### What is RIMIKSX?

RIMIKSX is a web and database based software solution which has been implemented using state-of-the-art programming technology. RIMIKSX is used for the software technical mapping of professional risk management systems according to the latest requirements. RIMIKSX also supports the systematic development of an Internal Control System ICS. All risks, controls and assessments of compliance with legal or company-wide guidelines can be mapped.

Companies as well as projects can be presented.

Integrated in RIMIKSX is also a simulation module which allows multi-stage and multi-year simulation ("Monte Carlo simulation").

RIMIKSX is based on the international standard ISO 31000:2018 for risk management. Accordingly, risk is understood to be the impact of uncertainty on objectives. Risk management comprises the coordinated activities for steering and controlling the group of companies with regard to risks.

Risk management is characterised by an interdisciplinary interaction between controlling, internal audit and quality management. Its task is to anticipate future opportunities and risks and to support companies in making future decisions.

There is consensus that the system must be appropriate to the complexity of the company's risk situation.

The mere detection of dangers is not enough; the system must also define risk areas and also monitor whether the measures introduced by management are being implemented or whether there is a need for adjustment. Risk management is to be structured in two stages, with the first stage serving the purpose of early risk detection and the second stage being to monitor the functionality of the system. It must be established across all hierarchical levels in the company. In addition, the RMS must be adequately documented, i.e. it must be usable in court. This documentation obligation is important because it does not result directly from the wording of the law.

Strategic risk management forms the foundation of the entire RM process. The central component is above all the definition of company-specific RM objectives in the form of a risk strategy, including the determination of the company's risk appetite (risk-averse, risk-taking, risk-neutral). The primary goals of the RM are:

- Sustainable increase in enterprise value
- Securing the company's goals
- Securing the future success of the company
- Reduction of risk costs
- Social goals from the company's social responsibility.

are the basis of strategic risk management:

- Determining the structural and process organization
- Definition of the risk policy guard rails
- Defining responsibilities with areas of competence, decision-making powers, clearly defined tasks, as well as defined workflows and communication channels.

### The right browser

RIMIKSX requires a web browser. The common browsers are checked and if necessary appropriate programming is done.

The pages are optimized for the browsers "Edge", "Firefox", "Chrome" and "Opera".

The development of RIMIKSX requires state of the art programming elements. These are in turn based on the latest browser development stages. For this reason, older versions can lead to display problems. The older the version, the greater the risk of unfavorable display of page contents. The browsers themselves offer compatibility views. Nevertheless, it can lead to shifts.

It is strongly recommended, not least for security reasons, to use the latest browser versions. The optimal versions are listed in the initial window. There is no guarantee for optimal display with older versions.

**Tip:** In Internet browsers you can change or optimise the views. With the key combination Ctrl + or Ctrl - (or Ctrl +, Ctrl -) the page view can be enlarged or reduced (Zoom +, Zoom -).

## Technical requirements

Recommended server equipment with own hosting:

IIS 7.5SQL

Server 2016

.NET Core 2.2HDD

1 GB

Virtualizations are supported.

All specifications are recommendations. Other configurations are also supported.

## Navigation

RIMIKSX is an Internet ("Web") solution. It works analogous to the control of web pages.

With the left mouse button the respective modules can be called up and called up or navigated through the menu.

Please note that only those modules can be displayed and selected for which a corresponding authorization has been set up. RIMIKSX has a finely structured authorization system which is maintained by the administrator.

## System administration

Each RIMIKSX access has at least one system administrator. Administrators configure the system, define the role concept and create user names and passwords. Administrators have extended access and delete functions.

## System requirements

Internet access is required. Otherwise there are no further restrictions. From a technical point of view access to the RIMIKSX database must be set up. This depends on the requirements of the company's own IT policy. It may be necessary to install the database on a separate server. This requires technical support (see Hotline).

A local installation is also possible with higher costs and IT technical support. In this case the technical requirements already mentioned apply.

## Handling of tables

Tables are used at several places in the program, which is why the basic handling is explained here.

Symbols are provided with functions such as (in the order of the picture)



- Delete
- Copy
- Export to Excel
- Assign formula
- New entry (Create)



- Show/hide columns



- Select line(s), several

Titel

- Selection with the mouse button sorts the column (A - Z)
- new selection sorts the column (Z - A)
- new selection resets the origin



abc Enthält

abc Enthält nicht

abc Beginnt mit

abc Endet mit

= Ist gleich

≠ Ist nicht gleich

Q Zurücksetzen





- customize view
- Load standard view
- Update

20 50 100 500

- Number of characters in the view

Seite 1 von 4 (63 Elemente) 1 2 3 4

- Show page

## Formatting

At different places in RIMIKSX it is possible to enter texts and notes. These windows have formatting functions. Texts can be copied and texts can be formatted similar to a word processing program.

## Explanations to the manual

For each program page the navigation is first described in keywords (title: [Navigation](#)).



Symbols are provided with functions such as (in the order of the picture)


- Delete
- Copy
- Export to Excel
- Assign entry to another position (formula, risk, opportunity, audit)
- New entry (Create)

After navigation, the [purpose and use of the site](#) is described.

## Help

Help is available at [www.RIMIKS.info](http://www.RIMIKS.info). There is also a hotline (office hours): +41 (0)44 586 36 55.

Another possibility is to contact us by e-mail at [info@mindnetconsult.ch](mailto:info@mindnetconsult.ch).

On start page  Select ? in the top line with the mouse button opens the help.

## Registration page

---



## Registration

Username and password are required.

The system administrator assigns user names and passwords.

The user name also controls the access authorizations. If you have permission for an entity, it is loaded automatically. The browser also stores the last selected entity. It will be started automatically at the next start, just like the table views.

**ATTENTION:** When entering the password, please note that the password is case-sensitive.

**Tip** It is possible to log on more than once in parallel, for example to open a table twice. To do this, it is necessary to open the Internet browser twice. Only opening another window in the same browser session can lead to complications, depending on the browser version.

**Security** Two-factor authentication (also known as two-factor authentication) provides additional security because an additional step is required at logon. The administrator defines the security procedure. RIMIKSX supports the following methods for two-factor authentication.

**E-mail verification.** An e-mail confirmation is requested during registration. An e-mail is sent to the user's address and verified by user confirmation.

**SMS verification:** Upon registration, the user receives an SMS to his or her stored mobile number. The code authorizes the user to log in to RIMIKSX.

## Set language

Language tables are stored in the program. These can be changed or supplemented. Currently available are the language versions German, English, French and Spanish. The selection is made via the language selection at the bottom.

The first time RIMIKSX is called, the program checks the language settings of the browser. The settings can be adjusted individually. RIMIKSX selects the topmost setting (= default setting) of the browser.

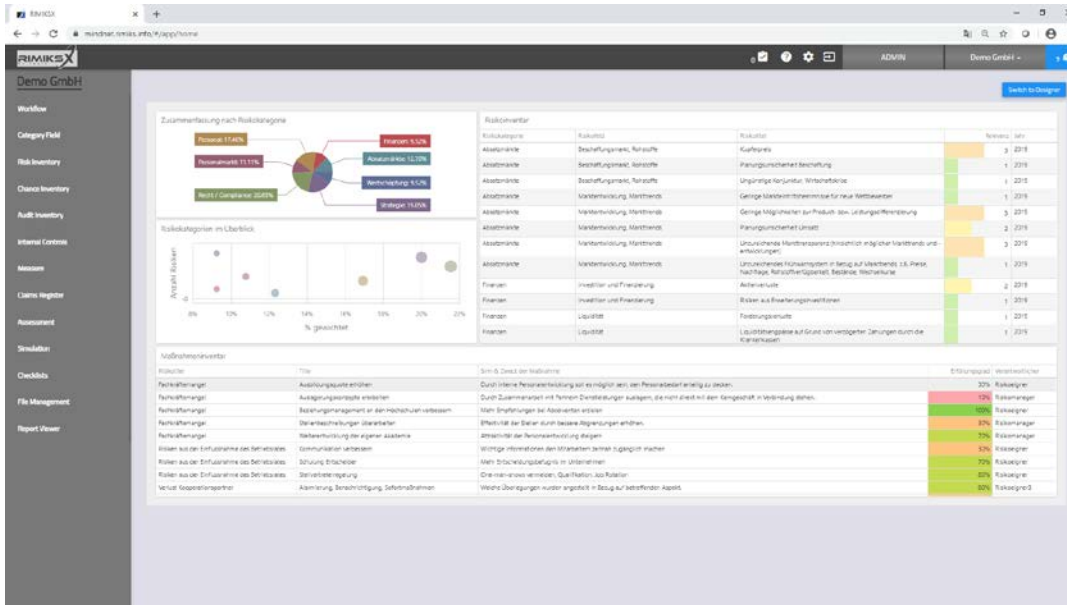
## Forgotten your password?

The configuration defines how to proceed in case of forgotten credentials. If "Forgotten password" is selected, a window with the procedure is displayed.

# Homepage

The start page is individually designed. It depends on the user and his role, the design of the dashboard and the last activities.

Example:



## Tasks



Selecting the task icon in the top line with the mouse button opens the task list. Tasks are generated from the workflow, e.g. checking the entries by the risk manager. Tasks can be created and edited directly with this function.

Tasks can be assigned to other RIMIKSX users.

Selecting the task icon opens a menu.

- Open
- Done
- Newly created
- Show all
- Create
- Save

**Open** Task assigned to the user. The task can be marked as completed.

**Done** Shows the list of completed tasks.

**Newly created** Shows all new tasks.

**Show all** Opens the task list in table format throughout the screen.

**Create** Create new task, describe it, assign it to users and enter due date.

**Save** Saves the tasks marked as completed.

Symbols are provided with functions:

- Edit (pencil)
- Delete (Recycle Bin)



Columns can be assigned to the table or removed again (move column titles back into the list)



It is possible to design the table (see below) according to your own ideas. Save view restores the view the next time you log in. Saved views can be loaded.



Reset view means restoring the original view.



Function key F5 or "Refresh" load the most current data from the database.

The following adjustment options are available:

- Sort
- Column width
- Order
- Filter

**Sorting:** The contents of each column can be sorted, ascending, descending.

**Column width:** The column titles can be changed with the mouse. The corresponding arrow selection appears next to the titles. An arrow to the right and left allows you to widen the columns.

**Order:** The order of the columns can be changed with the mouse. To do this, select a title and drag it to the new position.

**Filter:** Make an entry in the column header according to which the filter is to be applied.

## Help



Selection ? in the top line with the mouse button opens the help.

## Settings



Selection

## Language

Language tables are stored in the program. These can be changed or supplemented. Currently available are the language versions German, English, French and Spanish.



The selection is made via the settings in the top line.

The first time RIMIKSX is called, the program checks the language settings of the browser. The settings can be adjusted individually. RIMIKSX selects the topmost setting (= default setting) of the browser.

## Password



The change is made via the settings in the top line.

The system administrator assigns user names and passwords. They can change their personal passwords by entering their new password in the menu bar under "Change password" after the login process.

The administrator may have activated increased security settings, e.g:

1. Password complexity: At least 1 upper case letter, 1 number, 1 lower case letter, no special characters
2. Password length: at least 8 characters.
3. Password repetition: the last 5 passwords must not be identical.
4. Password validity: after 90 days the password must be changed.
5. Password entered incorrectly: after 5 attempts the user will be locked.

## Log off

Select Logout to exit the program. This is also necessary if the user settings or role concepts were changed. It is also necessary to log off to access the database as a different user.

## Log off



## Entity, Client



Selecting the entity (= client) opens the entity data.

Access to the entity and its contents is dependent on permissions. These are defined by the system administrator or by persons authorized for system administration. For example, these are the roles and the users that are granted access to an entity with a role. The role is entity specific.

**Tip:** In the search field (uppermost field) you can make entries for filtering. It is also possible to enter the company structure (e.g. legal entities, business units and similar). The filter shows the entities assigned to the corporate structure.

## ADMIN



Selecting Administration opens the configuration files.

In the ADMIN area, all configurations are carried out, such as the creation of a new entity (client), simulation models, checklists and much more.


## Notifications




Selecting "Notifications" in the top line with the mouse button opens the notifications.

The notifications are defined in the configuration by the system administrator. These are, for example,

notification or notification when a new risk is created, when a relevance changes, or ad-hoc risk notification.

 marks the notification as read and deletes the entry

 opens the corresponding contents.

**Settings:** Notifications can be activated and the type of notification can be selected.

## Select pages

In the control menu on the left side, the pages released in the role can be accessed, e.g. workflow, field matrix, risk inventory, reports, etc.

## Dashboard

After logging in, the dashboard is activated. The dashboard can be customized. The dashboard that is set up for the start is displayed.

The dashboard can be interactive. By selecting a graphic element, the content of the linked table can change accordingly.

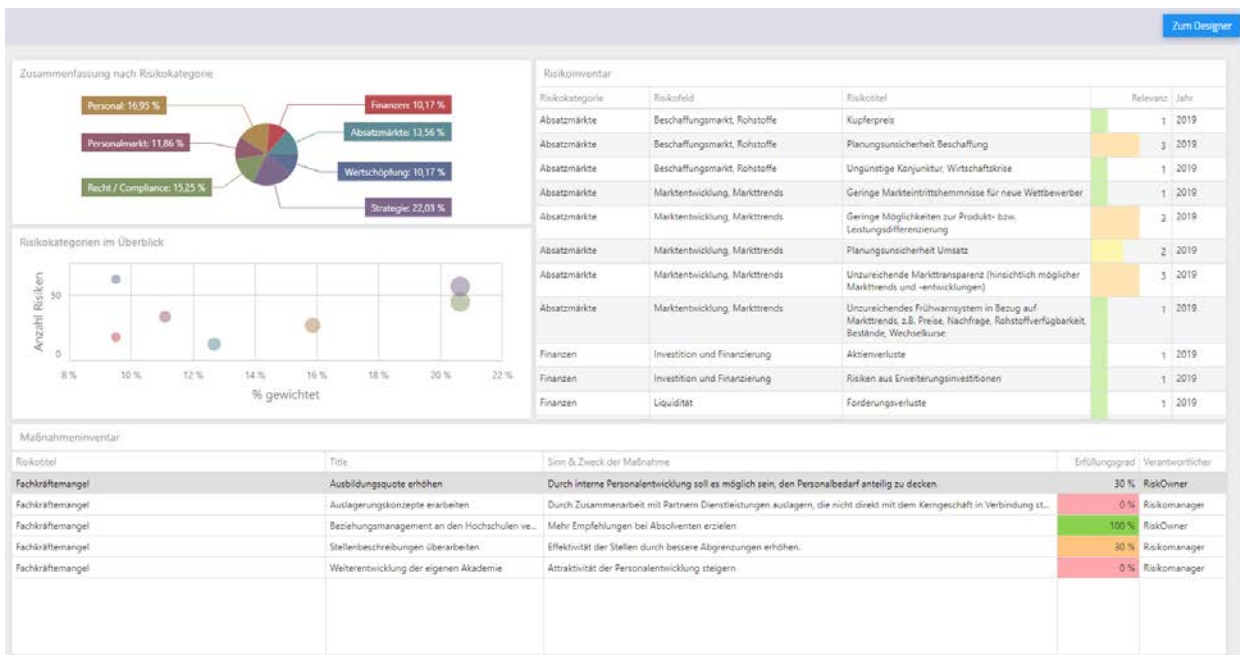
 Zum Designer

The individualization is done by selecting "To Designer". Dashboards are user-specific views of database content.



The dashboard can be accessed at any time by selecting the RIMIKSX logo.

Example:



## To the designer

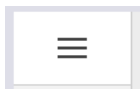
Zum Designer

The individualization is done by selecting "To Designer".

Assistance from the manufacturer:

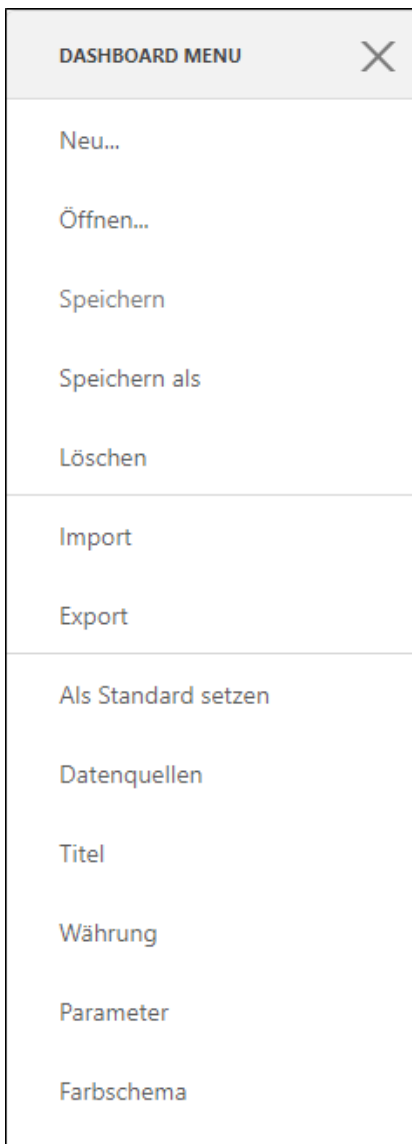
<https://devexpress.github.io/dotnet-eud/dashboard-for-web/articles/index.html>

Dashboard menu:



Important functions can be controlled in the dashboard menu:





**New:** Create new dashboard, enter title and select database sources. You can also make your own SQL queries. Experience shows that less experienced users can make changes. However, creating new dashboards requires - depending on their complexity - advanced knowledge.

**Open:** Opens an existing dashboard. Changes can be made and saved.

**Save as:** Existing dashboards can also be saved under a different name.

**Delete:** Removes a dashboard from the database.

**Import:** Insert a dashboard into the database.

**Export:** Export a dashboard and can be made available to other users.

**By default:** Opens the dashboard set as default when you open it. Open Dashboard, then set as default.

**Data sources:** Selection of predefined queries regarding risks and measures. You can also add your own queries.

**Title:** Function to change the title.

**Currency:** Definition of the format, if currency outputs are shown.

**Parameter:** Required to filter the database contents.

**Color scheme:** Define colors used in dashboards.

Zum Dashboard

Switches to the display mode (original mode on entry)

## Work area [Workzone]

RIMIKSX is divided into two main areas: Workzone and ADMIN.

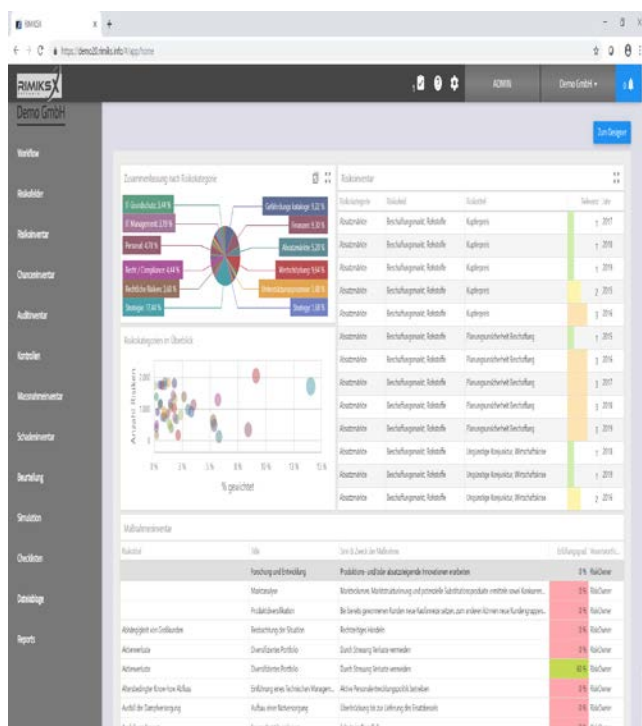
The control is done via the two active selection bars:



When working in the ADMIN zone, "Workzone" is visible and vice versa.

The structure of RIMIKSX depends on the user authorizations.

An example of the work surface. On startup the dashboard is displayed. The control elements are located on the left-hand side, e.g. risk fields, risk inventory, and much more.



## Workflow

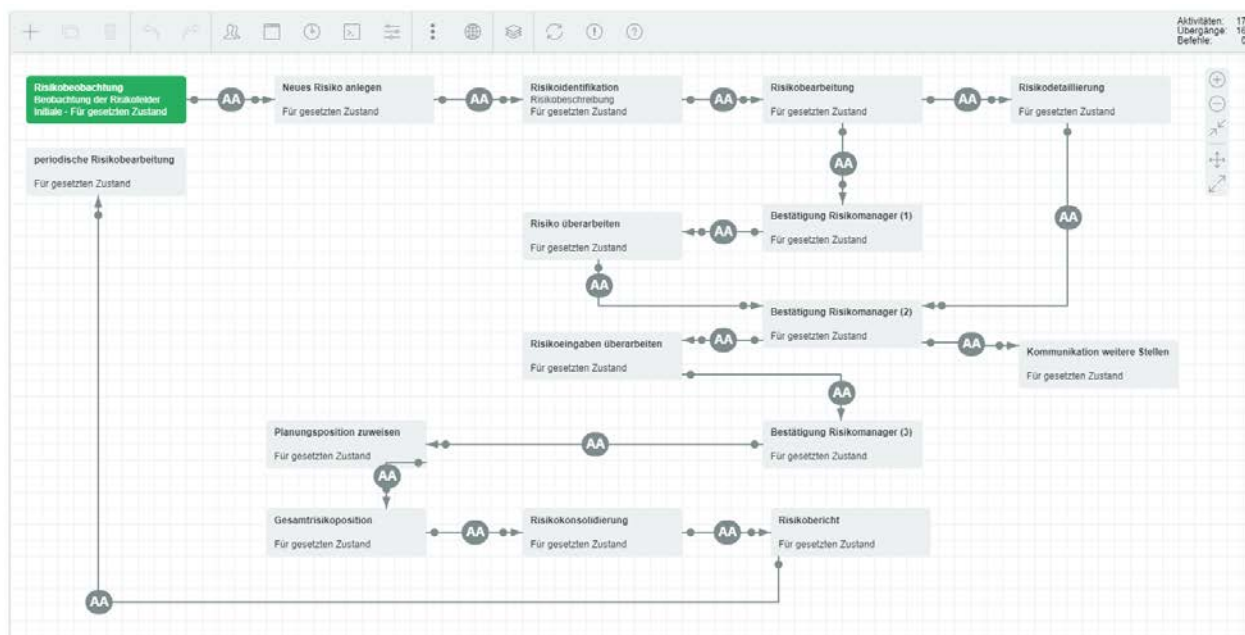
### Workflow auswählen

A workflow represents an input flow. The steps are stored with triggering actions that are entered in the notifications of the addressed users. Workflows can only be displayed in work areas. Workflows are created in the admin area. Workflows work in the background and are displayed in the corresponding pages for Risk Inventory, Opportunity Inventory or Audit Inventory.

The steps can affect one or more entries. Risks, measures, controls or other database elements can be included, depending on the workflow, which can be individually configured by the system administrator or

authorized users with access to the administration area ("workflow"). The system administrator determines which workflow is active for which entity. In the work area, the workflows can only be displayed, but not edited or changed.

Example:



In the detailed information of the affected risk (or opportunity, audit.entry) the current status in the workflow is displayed.

In the example "new risk", a risk is created, but provided with a characteristic. If the risk has not been released, these risks (or opportunities, audit entries) are not yet shown in reports. Of course, reports can be created that display exactly these entries ("List of entries in workflow").

## Field Matrix

The field matrix is used to structure the recording of risks, opportunities or audit entries. The matrix is structured in 3 levels. Entries are assigned at the lowest level, for example, risks.

Example: Management and leadership processes (1st level), strategy (2nd level), strategic goals (3rd level), inconsistency of strategic premises (risk).



shows the corresponding entries (risks, opportunities, audit entries).



Edit field.



Move field to another position.

Tip: In the details (edit), you can define the owners of fields. Owners (except the Admin) see only the fields assigned to them.

Tip: The risk fields are structured in the admin area.

## Details

**Name:** Name of the field.

**Description:** Specifies the field.

**Category:** The field belongs to the category.

**Tip:** Main categories, categories, fields show the same structure (name, description, and in the case of category / fields also the membership of the upper level of the structure).

**Owner:** Responsible person.

**Identification:** Description of the procedure to identify content.

**Notes:** Comments by the responsible persons.

**Questions:** Describes which questions should be asked during identification.

**Log:** Possibility to document processes with annotations.

## Assessment



If it is selected, the color of the field changes, which means that an entry has been made in the appraisal.

**Period:** Period for which the entries are valid.

**Category:** Assignment to category (is defined in the admin area).

**Title:** Short title of the assessment.

## Risk inventory



Symbols are provided with functions (in the order of the picture):

- Delete
- Copy
- Export to Excel
- Assign entry to a formula (risks must first be selected)
- New entry (Create)



Columns can be assigned to the table or removed again (move column titles back into the

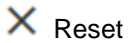
list)

**Tip 1:** Selecting a line opens the editing option.

**Tip 2:** Selection triangle in front of the title entry shows the list of risk participants.



It is possible to design the table (see below) according to your own ideas. Save view restores the view the next time you log in. Saved views can be loaded.



Reset view means restoring the original view.



Function key F5 or "Refresh" load the most current data from the database.

The following adjustment options are available:

- Sort
- Group
- Column width
- Order
- Filter

**Sorting:** The contents of each column can be sorted, ascending, descending.

**Group:** The table titles can be dragged and dropped into the top bar. This will group the table.

**Column width:** The column titles can be changed with the mouse. The corresponding arrow selection appears next to the titles. An arrow to the right and left allows you to widen the columns.

**Order:** The order of the columns can be changed with the mouse. To do this, select a title and drag it to the new position.

**Filter:** Make an entry in the column header according to which the filter is to be applied.

### Risk (edit or new entry)

**Selection:** Clicking on the line with the entry in the table opens the editing window.



create a new entry.

A new risk can be created. Risks are assigned to risk fields, which are assigned to risk categories. In this way, a structure can be created that enables quick navigation and an overview.

**Tip:** Risks can also be assigned to processes, which is common, for example, with so-called ICS risks.

- Tip:** Characteristics are created in the admin area. These are characteristics for the entries, which can be shown in reports or the table view.
- Tip:** Risk descriptions are pre-defined in the admin area and permissions are assigned to roles.
- Hint:** Intervals are defined in the admin area.

## General

- Title:** The field "**Title**" describes the entry briefly & concisely.
- Traffic light:** The selection red, yellow, green is used for simple prioritization of entries.
- category:** The "**Category**" shows you the superordinate category to which the risk is assigned and is used for structuring.
- Field matrix:** The "**field matrix**" is used for further assignment to certain company areas. The matrix is structured in 3 levels. Entries are assigned at the lowest level.
- Process:** Entries can be assigned to a process landscape in addition to the field matrix. It is a 1:1 relationship.
- Time period:** Designates e.g. the year or, in the case of projects, a milestone.
- Owner:** "**Owner**": At this point you can assign a responsible employee or a function/organization name to the identified risk. Click on the button of the selection list and select the desired entry. Only users defined as users can be entered. Furthermore, the selection depends on the role assigned to a user as well as the role of the risk field.
- Forw.date:** Time at which the risk should be set to resubmit.
- Interval:** In the "**Interval**" selection field, you specify the time span for the renewed check of this entry. Click with the mouse button on the desired period. The intervals are defined in the admin area.
- Supervision owner:** Enter the responsible employee in the selection list "**Supervision owner**". If you click on the button of the selection list, you can select a user from the list.
- Participants:** Any number of participants can be entered. There is only one owner.
- First line:** The first line shows the **years** to which risks can be assigned. If a year is selected, the corresponding data record is loaded and the contents of the risk for this year are shown.
- Tabs:** In the next few lines, **tabs** are displayed that can be selected to specify corresponding contents.
- Entity:** The "**Entity**" shows the company or project in which work is currently being done.
- Ad-hoc:** Ad-hoc is a feature to be used for ad hoc entries.
- Risk description:** The "**risk description**" in the middle of the input page is used to document information about the identified individual risk. This includes the exact name and description of an entry. In addition, you can also describe interactions with other risks. **Tip:** [blue arrow opens the other fields](#).
- Depending on the configuration and the role definition, other description windows are available, e.g. notes from the risk manager, notes from the internal audit.
- Creation date:** The creation date is set during the first save operation.
- Changed on:** "**Changed on**": At this point, the change date for processing this risk is automatically

inserted.

**Characteristics:** These are characteristics that are configured in the admin area. This allows the entry to be described or assigned more precisely. The characteristics can be displayed in the inventory.

**File:** Files can be uploaded.

## Relevance

**Idea:** Relevance is an expression of the overall significance of the risk for the object of investigation, e.g. a company, a subgroup, a department, a project. Theoretically, it is primarily dependent on the following characteristics of a risk: average loss burden (expected value), realistic maximum loss (or better Value@Risk) and duration of effect. In practice, when a risk is first assessed, its relevance is estimated by competent employees of the company. For all risks with a certain minimum probability of occurrence (e.g. 5 %), they are primarily guided by the realistic maximum loss. The expected value can hardly be determined without statistical methods and is therefore not initially considered. The duration of the impact is taken into account in terms of relevance to the extent that multi-year considerations are to be included in the considerations and such exposed risks are to be rated correspondingly higher. Operational risks tend to relate to the observation period of one year; strategic risks or market risks (e.g. economic situation, loss of the largest customer) can affect several periods.

**Tip:** Clicking on the entry selects the relevance.

## Risk assessment

**Idea:** Risk assessment serves to record the quantitative effects of a risk. The risks can be described using three scenarios. In each case, the probability of occurrence of the damage and the damage effect should be stated "net", i.e. taking into account existing coping measures. In addition, new coping measures can be recorded.

**Title:** Describes the entry (scenario) briefly & concisely.

**Probably.** Probability describes the frequency. Like the amount of damage, it can be variable and lies between ... and...

**Distribution:** An unlimited number of scenarios are available per risk, corresponding, for example, to a "realistic maximum loss", "medium loss" and "small loss". Describe qualitatively in the notes on the right for each scenario as precisely as possible what considerations form the basis of the scenario. The information on the amount of damage should be as comprehensible as possible.

There are different ways to describe a scenario:

- Fixed height
- Equal distribution
- Normal distribution
- Lognormal distribution
- Triangular distribution
- Disabled



**Description:** The evaluation can be described in a comprehensible way.

**Preview:** The entries per scenario can be checked visually for plausibility.

**Save:** Save saves the entries.



Prepare new risk assessment,

**Tip:** Any number of rating entries are possible.

**Tip:** For normally distributed risks, the entry can be made in percent of the expected value or in a currency.

**Tip:** An assessed risk must be assigned to a variable in the simulation (P&L item) so that the risk also has a quantitative effect.

## Fixed height

The expected loss value is calculated from a fixed loss amount and probability of occurrence. The sum of the maximum loss described is entered in the "Loss amount" input field. The probability is the time span in years in which this event will occur. You can enter the corresponding number directly after clicking in the field. Alternatively, you can directly enter a probability in percent. If necessary, repeat the steps described above for the other scenarios.

The so-called three-point estimate is applied to risks that typically occur in the form of events ("event-driven risks"). Typical applications are therefore loss events such as risks from product recall.

The risk is not described in the form of a continuum of possible events, but rather in the form of representative individual events ("scenarios") that make the extent of the risk representable.

A scenario is described by means of the amount of damage and probability of occurrence. When determining the amount of loss, you must ensure that the valuation is described in a way that is typical for the scenario and that the valuation is comprehensible. The probability of occurrence can also be estimated over the "step-in once in x years" period (e.g. a loss occurring every three years would correspond to a probability of 33.3% for a one-year observation period).

Special cases of three-point estimation are scenario descriptions where the probability does not add up to 100%. In this case it is assumed (often implicitly) that a "fourth" scenario will occur: a scenario without damage. The probability of occurrence of such a fourth point results from the addition of the three damage scenarios and the difference to 100% ( $100 - \text{EW small loss} - \text{EW medium loss} - \text{EW maximum loss}$ ).

## Equal distribution

In addition to the assessment described above, in which the expected loss is always calculated from the fixed loss amount and probability of occurrence, an alternative loss distribution can also be selected in more complex assessments. To do this, it is first necessary to select a distribution. In a second step, the parameters of the distribution must then be specified. Spreads can be specified both relatively as a

percentage (of the expected mean value) and absolutely as an amount. Optionally, a negative value for the probability can be specified. This makes it possible to depict corresponding scenarios with returns (= opportunities) instead of losses, or a combination of losses and returns. The preview enables the user to get a picture of his entries.

With equal distribution, the size of the intervals can be defined by varying the value "Dispersion". For a damage level of, for example, 100 with a dispersion of +/-30% the lower limit of the interval is 70 and the upper 130. The probability of a damage level occurring in this interval is the same for all damage levels.

### Normal distribution

Here, the calculation of the amount of damage is based on a normal distribution. The value of the dispersion corresponds to the standard deviation of a normal distribution.

The normal distribution assumes that the variable to be considered is influenced by a large number of (independent) individual events. The overall influence of these individual events leads to a continuous distribution ("distribution-oriented risk").

The risk (or more precisely, the multitude of individual risks) can be described by the parameters of normal distribution.

The most important parameter is the standard deviation ( $\sigma$  "Sigma"). It can be estimated by the value within which the range of deviation lies about 2/3 of the possible results of the considered variable (e.g.: "2/3 of all values lie within the range +/- 50 T€"). For reasons of plausibility and to estimate the relevance of the risk, the 3-sigma value should also be stated (e.g.: "If 2/3 of all values lie within the range +/- €50,000, almost all values lie within the range +/- €150,000, i.e. the realistic maximum loss value is €-150,000 deviation from the planned value").

Special features (and thus application notes) of the normal distribution are its symmetry around the planned value and the non-limitation of the edges (there is the "extreme value with a probability of almost zero").

### *Planning uncertainties*

In most companies, material items of a profit and loss statement are exposed to significant risks (here as an example the items of a total cost method):

- Turnover (quantity, price)
- Material costs
- Personnel costs
- Other costs

In the risk assessment process, it is assumed here that a large number of events occur in the course of a fiscal year which lead to deviations from the original planned values at the end of the planned year. These events can be regarded as risks, in the sense of a positive or negative deviation from target figures. Since a large number of such risks usually materialize in a fiscal year, the statistical "law of large numbers" can be applied, which allows these risks to be described with a normal distribution. Alternatively or in combination, you can also define a triangular distribution. To do this, you enter the data for the minimum ("minimum"), most probable ("normal") and maximum ("maximum") value. The evaluated risks are assigned to a variable in the simulation.

As an aid to determining the standard deviation, you can consider what maximum still realistic deviation the quantity under consideration can have. For example, if you determine for the quantity fluctuation that it can be a maximum of 15% above and 15% below the planned value, the corresponding standard deviation is 1/3 of 15%, that is, 5%.

## Lognormal distribution

Here, the calculation of the expected value of the damage amount is based on a log-normal distribution. The value of the dispersion corresponds to the standard deviation of a log normal distribution.

## Triangular distribution

A simple way of assessing risks that is often used in practice is the "triangular distribution", in which a risk is described by a "minimum value", a "most likely value" and a "maximum value". This allows planning uncertainties (planning risks) to be recorded as fluctuations without requiring further statistical knowledge as in the case of the normal distribution. It is often quite easy to model a triangular distribution of a "worst" case, a "best" case and a "probable" case from a three-point estimate. Finally, from these three points, a triangular distribution with a lower limit, upper limit and the most frequent value can be modeled.

The advantage of this distribution function is also the adaptability to individual risks.

## Disabled

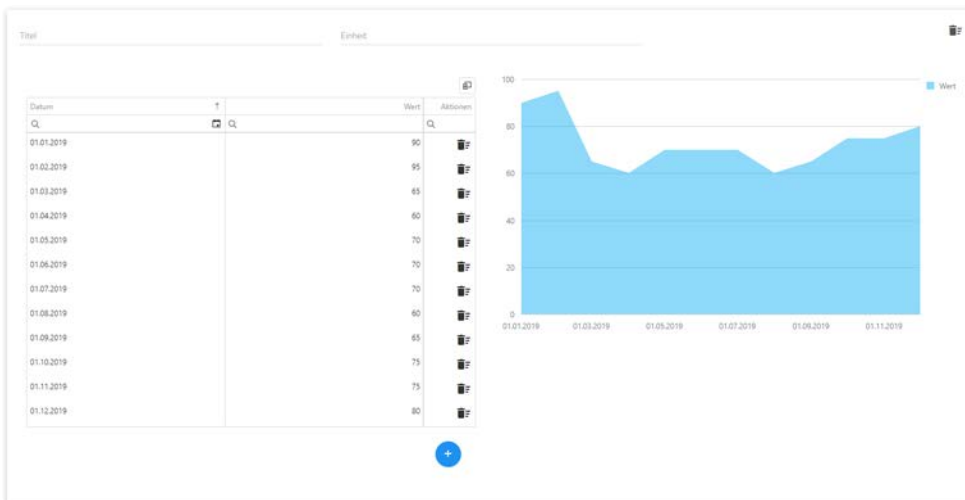
Scenarios can be deactivated by selecting "Deactivated" for the calculation. The entries remain saved and can be displayed again at any time. This allows different simulation runs to be created, whereby individual risks are hidden.

## Risk indicators

**Idea:** In the section "**early warning indicators**" you have the possibility to freely define indicators. A typical indicator could, for example, be the business climate index of the IFO Institute. By entering the date of the measured value and the value itself, the early warning indicator is displayed in the graph over time.



Create new entry,



**Tip:** You can create as many indicators as you like.

## Risk management measures

**Idea:** Risk measures cause a positive change in the risk position. Therefore, several measures should be defined for one risk if possible. On the page risk measure there is the possibility to enter new measures. The table below shows already created measures. These can be changed by "**Edit**" (pencil on the right side) or removed by "**Delete**". The inventory of measures in risk is an output in table form, which compactly represents the risk measures

for the risk (1:n)



Show and hide columns. To remove, drag column titles into the list.



It is possible to design the table (see below) according to your own ideas. Save view restores the view the next time you log in. Saved views can be loaded.



Reset

view means restoring the original view.



Function key F5 or "Refresh" load the most current data from the database.



Create new entry,



Measure can have n:n relationships. This means that a measure can also be assigned to other risks.

Tip: Click on column header to sort the entries in ascending or descending order.

Tip: You can use the magnifying glass to filter by entries.

## Activity recording

Tip: Some positions can be configured in the admin area. Common entries are described below as examples.

Title: First enter a short description of the planned measure in the "**Title**" line. To do this, click in the input field next to the text "Title" and enter a concrete description.

Goal: In the "**Goal**" line, describe the goal of your action. Click with the left mouse button in the input field and enter your text.

Type of b.: "**Type of risk management:**" If a project is necessary for the implementation of your measure, please click on the selection field "with project". If the measure should be carried out without a project, select "without project".

Status: In the selection field "**Status**" you enter the "state of affairs" for the respective measure. You have the graded selection from "available" to "planned". Click with the left mouse button on the selection field that best describes the current status of the measure.

Mode of operation: In the "**Mode of operation**" selection field, specify the way in which you want to achieve the above-mentioned objective. The selection option is usually divided into five levels from "avoid" to "not protectable".

Fixed costs: In the selection field "**Fixed costs**" the coping costs can be entered.

Effect Sh. : In the selection field "**Effect Level of damage**" you can record the influence of the measure when a risk (scenarios) occurs. The value shows in % the reduction of a damage.

40% reduces a conceivable damage from e.g. 1'000 to 600. Typical such measures are redundant design of the system, backup systems, sprinkler systems.

In addition, an insurance solution can be selected that has previously been entered in the company profile - > Insurance. Deductibles, maximum indemnity and amount of cover are taken into account.

**Effect occurrence :** In the selection field "**Effect probability of occurrence**" you can record the influence of the measure when a risk (scenario) occurs. The value shows in % the reduction on the probability. 40% reduces a conceivable damage with a probability of occurrence of 20% to 12%. A risk therefore occurs significantly less frequently. Typical such measures are procedural instructions, training of employees, protective devices, quality assurance measures.

**Degree of fulfillment:** The selection field "**Degree of fulfillment**" shows the status of the implementation in %. The % values are coloured in the inventory of measures. Up to 25% the measures appear red, up to 50% orange, up to 80% yellow, from 80% green. The effect is multiplied by the degree of fulfillment.

**Effectiveness:** The effectiveness of a measure can be noted here.

**Description:** Description of the interaction serves as a note field to describe the measure in more detail.

**Next Exerc.:** The date field allows you to enter the resubmission of the task.

**M. monitoring.:** Enables text input for monitoring, e.g. half-yearly monitoring.

**Impl. counter :** Continuous text (note function) for recording controls that serve the action (which are not recorded separately as controls).

**Owner:** In the selection field "**Owner**" the person responsible for the task can be specified.

**Participant:** In the selection field "**Participant**", participants for the measure can be defined.

**file:** Files with documents related to the measure can be uploaded.

**Save:** Saves entries.

**Modified on:** Modified shows the date of the last saving on this page.

## Cause / Effect

**idea:** In this input window causes and effects can be recorded. The idea here is that risks can be related to each other. For example, risks from business interruption can lead to image damage. In the image loss risk, the responsible person therefore enters the risks from business interruption as the cause. Conversely, the failure of central production components could result in damage to the company's image (= effect).



new entry



Copy entry



Delete

entry

## Control

**idea:** Controls serve to manage a risk or measures. Controls can have a revealing or protective character. Controls in the true sense of the word also include, for example, procedural instructions. These are often also assigned to measures. This depends on the company definition of controls.



Show and hide columns. To remove, drag column titles into the list.



It is possible to design the table (see below) according to your own ideas. Save view restores the view the next time you log in. Saved views can be loaded.



Reset view means restoring the original view.



Function key F5 or "Refresh" load the most current data from the database.



Create new entry,



Measure can have n:n relationships. This means that a measure can also be assigned to other risks.

**Tip:** Click on column header to sort the entries in ascending or descending order.

**Tip:** You can use the magnifying glass to filter by entries.

**Tip:** The controls support

- the achievement of the objectives of the measures through effective monitoring of their implementation
- the observance of laws and regulations (compliance) through protective controls
- the prevention, reduction and detection of errors and irregularities through detection checks
- ensuring the reliability and completeness of the results

## Control recording

**Tip:** Some positions can be configured in the admin area. Common entries are described below as examples.

**Title:** First enter a short description of the planned control in the "**Title**" line. To do this, click in the input field next to the text "Title" and enter a concrete description.

**Target:** In the "**Target**" line, describe the objective of your control. Click with the left mouse button in the input field and enter your text.

**Description:** Description serves as a note field to describe the control in more detail.

- Owner:** In the selection field "**Owner**" the person responsible for the task can be specified.
- Output:** Description serves as a note field to describe the result of the check in more detail.
- Control Interval:** In the selection field "**Control Interval**" you can specify the time span for the renewed check of this entry. Click on the desired period with the mouse button. The intervals are defined in the admin area.
- Type:** In the selection field "**Type**" you select the e.g. automated control or other values.
- Applications:** In the selection field "**Applications**" you can establish the reference to DV applications. The selection is configured in the admin area.
- Due date:** The date field allows you to enter the resubmission of the control.
- file:** Files with documents related to the measure can be uploaded.
- Save:** Saves entries.
- Modified on:** Modified shows the date of the last saving on this page.

#### Loss inventory (in risk)



Symbols are provided with functions such as (in the order of the picture)

- Delete
- Copy
- Export to Excel
- New entry (Create)



Columns can be assigned to the table or removed again (move column titles back into the list)

**Tip:** Selecting a line opens the editing option.



It is possible to design the table (see below) according to your own ideas. Save view restores the view the next time you log in. Saved views can be loaded.



Reset view means restoring the original view.



Function key F5 or "Refresh" load the most current data from the database.

The following adjustment options are available:

- Sort
- Column width
- Order

**Sort:** The contents of each column can be sorted in ascending or descending order.

**Column width:** The column titles can be changed with the mouse. The corresponding arrow selection appears next to the titles. An arrow to the right and left allows you to widen the columns.

**Order:** The order of the columns can be changed with the mouse. To do this, select a title and drag it to the new position.

## Damage assessment

**Idea:** Damages are events of a risk that have occurred. Typical are damages of insurable risks like liability cases, car damages and many more.

**Title:** First enter a short description of the damage in the "**Title**" line. To do this, click in the input field to the right of the text "Title" and enter a concrete description.

**CIRS:** There are 4 input fields that can be predefined. CIRS (Critical Incident Reporting System) is one of them. Title and entries can be changed. The selection list can be created or edited in the configuration area. These are characteristics that specify the damage more precisely.

**criteria:** There are n input fields that can be predefined. Criteria is one of them. Titles and entries can be changed. The selection list can be created or edited in the configuration area. These are characteristics that specify the damage more precisely.

**Division:** There are n input fields that can be predefined. Division is one of them. Titles and entries can be changed. The selection list can be created or edited in the configuration area. These are characteristics that specify the damage more precisely.

**Damage number:** Free input field.

**Underwriting year:** Insurance year of the policy to which the loss must be allocated. It may be that losses are only discovered some time later after they occur. Consequently, an older policy may also be affected.

**Date of damage:** Date on which the damage occurred.

**Damage Reporting Date:** Date on which the damage was reported.

**Amount of loss reported:** Amount reported on the reporting date. In most cases this is an estimate. In other words, the amount that the insurance company would have to cover.

**Excess:** Amount that is believed to be self-supporting.

**Total expenditure (deductible deducted):** Reported damage plus deductible.

**Claims payment:** Amount paid by the insurance company.



*Paid costs (without deduction of the deductible):* costs incurred in addition to the pure payment of damages.

*Total claims payments (without deduction of the deductible):* Claims payment plus costs.

*Loss reserve:* Amount that still needs to be reserved. If necessary, there may be no claims payment for a longer period of time and only one reserved claim until the claim has finally been settled. There may also be claims payments, but a residual amount is still reserved for any subsequent payments.

*Reserve costs:* costs that may still be incurred.

*Total reserves (without deduction of retention):* Loss reserve plus expenses.

*Total expenses (without deduction of retention):* Total claims payments plus total reserves.

*Cause:* Free input field.

*Effect:* Free input field.

*Status:* In the selection field "**Status**" you enter the "state of affairs" for the respective damage (e.g. reported and opened, in process, completed).

*Description:* Description of the interaction serves as a note field to describe the damage in more detail.

*Next practice...:* The date field allows you to enter the resubmission of the damage.

*Owner:* In the selection field "**Owner**" the person responsible for the damage can be specified.

*Participant:* In the selection field "**Participant**" a participant for the damage can be specified.

*Last modified.* Last modified :Last modified shows the date of last saving on this page.

*Save:* Save entries.

## Workflow

*idea:* Workflows are used to control predefined processes. This not only increases the quality of the entries (for example, release rules), but also enables activities to be initiated. Workflows are defined and assigned in the admin area.

*History:* The required actions are displayed and when they were triggered by whom.

## History

*idea:* Gradients show the change of entries.

*Action:* Shows what has changed.

*Username:* Indicates that the action has been performed.

*Object:* Shows what has been changed.

*Time:* Indicates when the time was changed.



Filter function at the columns and on the right at the end of the line shows details of the action.

The following adjustment options are available:

- Sort
- Column width
- Order

**Sort:** The contents of each column can be sorted in ascending or descending order.

**Column width:** The column titles can be changed with the mouse. The corresponding arrow selection appears next to the titles. An arrow to the right and left allows you to widen the columns.

**Order:** The order of the columns can be changed with the mouse. To do this, select a title and drag it to the new position.

## Inventory of opportunities



Symbols are provided with functions such as (in the order of the picture)

- Delete
- Copy
- Export to Excel
- Assign entry to a formula ([chances must be selected first](#))
- New entry (Create)



Columns can be assigned to the table or removed again (move column titles back into the list)

**Tip 1:** Selecting a line opens the editing option.

**Tip 2:** Selection triangle in front of the title entry shows the list of participants of the chance.



It is possible to design the table (see below) according to your own ideas. Save view restores the view the next time you log in. Saved views can be loaded.



Reset view means restoring the original view.



Function key F5 or "Refresh" load the most current data from the database.

The following adjustment options are available:

- Sort
- Group
- Column width
- Order
- Filter

**Sorting:** The contents of each column can be sorted, ascending, descending.

**Group:** The table titles can be dragged and dropped into the top bar. This will group the table.

**Column width:** The column titles can be changed with the mouse. The corresponding arrow selection appears next to the titles. An arrow to the right and left allows you to widen the columns.

**Order:** The order of the columns can be changed with the mouse. To do this, select a title and drag it to the new position.

**Filter:** Make an entry in the column header according to which the filter is to be applied.

### Chance (edit or new entry)

**Selection:** Clicking on the line with the entry in the table opens the editing window.



create a new entry.

A new chance can be created. Opportunities are assigned to fields that are assigned to categories. This allows a structure to be created that allows quick navigation and overview.

**Hint:** Opportunities can also be assigned to processes.

**Tip:** Characteristics are created in the admin area. These are characteristics for the entries, which can be shown in reports or the table view.

**Tip:** Opportunity descriptions are predefined in the admin area and permissions are assigned to roles.

**Hint:** Intervals are defined in the admin area.

### General

**Title:** The field "**Title**" describes the entry briefly & concisely.

**Traffic light:** The selection red, yellow, green is used for simple prioritization of entries.

**category:** The "**Category**" shows you the parent category to which the opportunity is assigned and is used for structuring.

**Field matrix:** The "**field matrix**" is used for further assignment to certain company areas. The matrix is structured in 3 levels. Entries are assigned at the lowest level.

**Process:** Entries can be assigned to a process landscape in addition to the field matrix. It is a 1:1 relationship.

**Time period:** Designates e.g. the year or, in the case of projects, a milestone.

**Owner:** "**Owner**": At this point you can assign a responsible employee or a function/organization name to the identified opportunity. Click on the button of the selection list and select the desired entry. Only users defined as users can be entered. Furthermore, the selection depends on the role assigned to a user as well as the role of the field.

**Surv.date:** Time at which the chance of resubmission should be set.

**Interval:** In the "**Interval**" selection field, you specify the time span for the renewed check of this entry. Click with the mouse button on the desired period. The intervals are defined in the admin area.

**Supervision owner:** Enter the responsible employee in the selection list "**Supervision owner**". If you click on the button of the selection list, you can select a user from the list.

**Participants:** Any number of participants can be entered. There is only one owner.

**First line:** The first line shows the **years** to which opportunities can be assigned. If a year is selected, the corresponding data record is loaded and the contents of the opportunity for this year are shown.

**Tabs:** In the next few lines, **tabs** are displayed that can be selected to specify corresponding contents.

**Entity:** The "**Entity**" shows the company or project in which work is currently being done.

**Ad-hoc:** Ad-hoc is a feature to be used for ad hoc entries.

**Risk description:** The "**opportunity description**" in the middle of the input page serves to document information on the individual risk identified. This includes the exact name and description of an entry. In addition, you can also describe interactions with other opportunities. **Tip: blue arrow opens the other fields.**

Depending on the configuration and the role definition, other description windows are available, e.g. notes from the opportunity manager, notes from the internal audit.

**Creation date:** The creation date is set during the first save operation.

**Changed on:** "**Changed on**": At this point, the change date is automatically inserted for the processing of this opportunity.

**Characteristics:** These are characteristics that are configured in the admin area. This allows the entry to be described or assigned more precisely. The characteristics can be displayed in the inventory.

**File:** Files can be uploaded.

## Relevance

**Idea:** Relevance is an expression of the overall significance of the opportunity for the object of investigation, e.g. a company, a subgroup, a department, a project.

**Hint:** Click on the entry to select the relevance.

## Chance assessment

**Idea:** The opportunity assessment serves to capture the quantitative effects of an opportunity. The opportunities can be described using three scenarios.

**Title:** Describes the entry (scenario) briefly & concisely.

**Probably.** Probability describes the possibility that the chance will be realized.

**Distribution:** An unlimited number of scenarios are available per chance.

There are different ways to describe a scenario:

- Fixed height
- Equal distribution
- Normal distribution
- Lognormal distribution
- Triangular distribution
- Disabled

**description:** The evaluation can be described in a comprehensible way.

**Preview:** The entries per scenario can be checked visually for plausibility.

**Save:** Save saves the entries.



Create new opportunity assessment,

**Tip:** Any number of rating entries are possible.

**Tip:** For normally distributed chances, the input can be in percent of the expected value or in a currency.

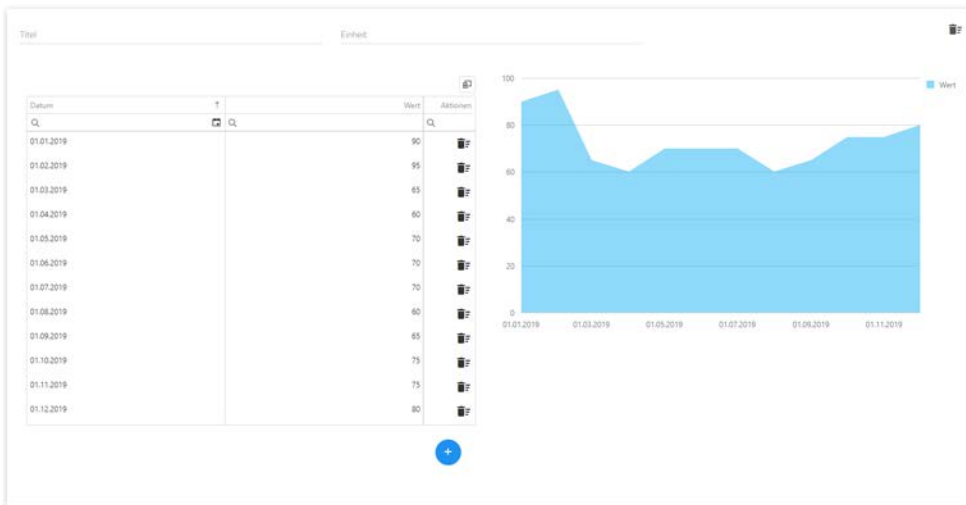
**Tip:** An evaluated opportunity must be assigned to a variable in the simulation (income statement item) so that the opportunity has a quantitative effect.

## Opportunity indicators

**Idea:** In the section "**early warning indicators**" **you** have the possibility to freely define indicators. A typical indicator could, for example, be the business climate index of the IFO Institute. By entering the date of the measured value and the value itself, the early warning indicator is displayed in the graph over time.



Create new entry,



Tip: You can create as many indicators as you like.

### Opportunity measures

Idea: Opportunity measures cause a positive change in the opportunity position. Therefore, several measures should be defined for an opportunity. On the page Opportunity Measure there is the possibility to enter new measures. The table below shows already created measures. These can be changed by "Edit" (pencil on the right side) or removed by "Delete". The inventory of measures in the risk is an output in table form, which shows the chance measures for the chance (1:n) in a compact way



Show and hide columns. To remove, drag column titles into the list.



It is possible to design the table (see below) according to your own ideas. Save view restores the view the next time you log in. Saved views can be loaded.



Reset view means restoring the original view.



Function key F5 or "Refresh" load the most current data from the database.



Create new entry,



Measure can have n:n relationships. This means that a measure can also be assigned to other opportunities.

Tip: Click on column header to sort the entries in ascending or descending order.

Tip: You can use the magnifying glass to filter by entries.

## Activity recording

**Tip:** Some positions can be configured in the admin area. Common entries are described below as examples.

**Title:** First enter a short description of the planned measure in the "**Title**" line. To do this, click in the input field next to the text "Title" and enter a concrete description.

**Goal:** In the "**Goal**" line, describe the goal of your action. Click with the left mouse button in the input field and enter your text.

**Type of b.:** "**Type of action**" If a project is necessary for the implementation of your action, please click on the selection field "with project". If the measure is to be carried out without a project, select "without project". The label can be changed in the admin area.

**Status:** In the selection field "**Status**" you enter the "state of affairs" for the respective measure. You have the graded selection from "available" to "planned". Click with the left mouse button on the selection field that best describes the current status of the measure.

**Mode of operation:** In the "**Mode of operation**" selection field, specify the way in which you want to achieve the above-mentioned objective. The selection option is usually divided into five levels from "avoid" to "not protectable". Accordingly, other terms apply to opportunities, which can be configured in the admin area, e.g. avoid costs, limit costs, reduce costs, or increase opportunity potential, create success potential.

**Fixed costs:** In the selection field "**Fixed costs**" the costs can be entered.

**Effect Sch. :** In the selection field "**Effect Damage Amount**" you can record the influence of the measure when an opportunity (scenarios) occurs. The value shows in % the reduction of a damage. 40% reduces a conceivable damage from e.g. 1'000 to 600. Typical such measures are redundant design of the system, backup systems, sprinkler systems. The reverse logic applies to the chances, i.e. 0% as the starting point.

**Effect entry :** In the selection field "**Effect probability of occurrence**" you can record the influence of the measure when an opportunity (scenario) occurs. The value shows in % the reduction on the probability. In the case of opportunities, the reverse logic applies, starting with 0%.

**fulfillment level:** The selection field "**Degree of fulfilment**" shows the status of the implementation in %. The % values are coloured in the inventory of measures. Up to 25% the measures appear red, up to 50% orange, up to 80% yellow, from 80% green. The degree of fulfillment is taken into account for the simulation. The effect is multiplied by the fulfillment level.

**Effectiveness:** The effectiveness of a measure can be noted here.

**Description:** Description of the interaction serves as a note field to describe the measure in more detail.

**Next practice.:** The date field allows you to enter the resubmission of the task.

**M. monitoring.:** Enables text input for monitoring, e.g. half-yearly monitoring.

**Impl. contr. :** Continuous text (note function) to record controls that serve the action (which are not separately recorded as controls)

**Owner:** In the selection field "**Owner**" the person responsible for the task can be specified.

**Participant:** In the selection field "**Participant**", participants for the measure can be defined.

**file:** Files with documents related to the measure can be uploaded.

**Save:** Saves entries.

**Modified on:** Modified shows the date of the last saving on this page.

### Cause / Effect

**Idea:** In this input window, causes and effects can be recorded. The idea here is that opportunities can be related to each other. For example, opportunities from the reduction of the reject rate can lead to a positive image. In the chance image gain, the responsible person enters the chance of reduced rejects as the cause.



new entry



Copy entry



Delete

entry

### Control

**idea:** Controls are used to manage an opportunity or measures. Controls can have a revealing or protective character. Controls in the true sense of the word also include, for example, procedural instructions. They are often also assigned to measures. This depends on the company definition of controls.



Show and hide columns. To remove , drag column titles into the list.



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Reset

view means restoring the original view.



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Create new entry,



Measure can have n:n relationships. This means that a measure can also be assigned to other opportunities.

**Tip:** Click on column header sorts the entries in ascending or descending order.



**Tip:** You can use the magnifying glass to filter by entries.

**Tip:** The controls support

- the achievement of the objectives of the measures through effective monitoring of their implementation
- the observance of laws and regulations (compliance) through protective controls
- the prevention, reduction and detection of errors and irregularities through detection checks
- ensuring the reliability and completeness of the results

## Control recording

**Tip:** Some positions can be configured in the admin area. Common entries are described below as examples.

**Titles:** First enter a short description of the planned control in the "**Title**" line. To do this, click in the input field next to the text "Title" and enter a concrete description.

**Target:** In the "**Target**" line, describe the objective of your control. Click with the left mouse button in the input field and enter your text.

**Description:** Description serves as a note field to describe the control in more detail.

**Owner:** In the selection field "**Owner**" the person responsible for the task can be specified.

**Output:** Description serves as a note field to describe the result of the check in more detail.

**Control Interval:** In the selection field "**Control Interval**" you can specify the time span for the renewed check of this entry. Click on the desired period with the mouse button. The intervals are defined in the admin area.

**Type:** In the selection field "**Type**" you select the e.g. automated control or other values.

**Applications:** In the selection field "**Applications**" you can establish the reference to DV applications. The selection is configured in the admin area.

**Due date:** The date field allows you to enter the resubmission of the control.

**file:** Files with documents related to the measure can be uploaded.

**Save:** Saves entries.

**Modified on:** Modified shows the date of the last saving on this page.

## Workflow

**idea:** Workflows are used to control predefined processes. This not only increases the quality of the entries (e.g. release rules), but also enables activities to be initiated. Workflows are defined and assigned in the admin area.

**Course:** Shows the required actions and when they were triggered by whom.

## History

**idea:** Gradients show the change of entries.  
**Action:** Shows what has changed.  
**Username:** Indicates that the action has been performed.  
**Object:** Shows what has been changed.  
**Time:** Indicates when the time was changed.



Filter function at the columns and on the right at the end of the line shows details of the action.

The following adjustment options are available:

- Sort
- Column width
- Order

**Sorting:** The contents of each column can be sorted, ascending, descending.

**Column width:** The column titles can be changed with the mouse. The corresponding arrow selection appears next to the titles. An arrow to the right and left allows you to widen the columns.

**Order:** The order of the columns can be changed with the mouse. To do this, select a title and drag it to the new position.

## Audit inventory



Symbols are provided with functions such as (in the order of the picture)

- Delete
- Copy
- Export to Excel
- Assign entry to a formula (**audit entries must first be selected**)
- New entry (Create)



Columns can be assigned to the table or removed again (move column titles back into the list)

**Tip 1:** Selecting a line opens the editing option.

**Tip 2:** Selection triangle in front of the title entry shows the list of participants of the audit entries.



It is possible to design the table (see below) according to your own ideas. Save view restores the view the next time you log in. Saved views can be loaded.



Reset view means restoring the original view.



Function key F5 or "Refresh" load the most current data from the database.

The following adjustment options are available:

- Sort
- Group
- Column width
- Order
- Filter

**Sort:** The contents of each column can be sorted in ascending or descending order.

**Group:** The table titles can be dragged and dropped into the top bar. This will group the table.

**Column width:** The column titles can be changed with the mouse. The corresponding arrow selection appears next to the titles. An arrow to the right and left allows you to widen the columns.

**Order:** The order of the columns can be changed with the mouse. To do this, select a title and drag it to the new position.

**Filter:** Make an entry in the column header according to which the filter is to be applied.

### Audit entry (edit or new entry)

**Selection:** Clicking on the line with the entry in the table opens the editing window.



create a new entry.

A new audit entry can be created. Audit entries are assigned to fields that are assigned to categories. In this way, a structure can be created that enables quick navigation and overview.

**Hint:** Audit entries can also be assigned to processes.

**Tip:** Characteristics are created in the admin area. These are characteristics for the entries, which can be shown in reports or the table view.

**Tip:** Audit descriptions are pre-defined in the admin area and permissions are assigned to roles.

**Hint:** Intervals are defined in the admin area.

## General

- Title:** The field "**Title**" describes the entry briefly & concisely.
- Traffic light:** The selection red, yellow, green is used for simple prioritization of entries.
- Category:** The "**Category**" shows you the superordinate category to which the audit entry is assigned and is used for structuring.
- Field matrix:** The "**field matrix**" is used for further assignment to certain company areas. The matrix is structured in 3 levels. Entries are assigned at the lowest level.
- Process:** Entries can be assigned to a process landscape in addition to the field matrix. It is a 1:1 relationship.
- Time period:** Designates e.g. the year or, in the case of projects, a milestone.
- Owner:** "**Owner**": At this point, you can assign the audit entry to a responsible employee or a function/organization name. Click on the button of the selection list and select the desired entry. Only users defined as users can be entered. In addition, the selection depends on the role assigned to a user as well as the role of the field.
- Date:** Time at which the audit entry should be set to resubmission.
- Interval:** In the "**Interval**" selection field, you specify the time span for the renewed check of this entry. Click with the mouse button on the desired period. The intervals are defined in the admin area.
- Supervision owner:** Enter the responsible employee in the selection list "**Supervision owner**". If you click on the button of the selection list, you can select a user from the list.
- Participants:** Any number of participants can be entered. There is only one owner.
- First line:** The first line shows the **years** to which audit entries can be assigned. If a year is selected, the corresponding record is loaded and the contents of the audit entry for this year are displayed.
- Tabs:** In the next few lines, **tabs** are displayed that can be selected to specify corresponding contents.
- Entity:** The "**Entity**" shows the company or project in which work is currently being done.
- Ad-hoc:** Ad-hoc is a feature to be used for ad hoc entries.
- Risk description:** The "**audit description**" in the middle of the input page is used to document information about the individual risk identified. This includes the exact name and description of an entry. In addition, you can also describe interactions with other audit entries. **Tip: blue arrow opens the other fields.**
- Depending on the configuration and the role definition, other description windows are available, e.g. notes from the audit entry manager, notes from internal audit.
- Creation date:** The creation date is set during the first save operation.
- Changed on:** "**Changed on**": At this point, the modification date is automatically inserted for the processing of this audit entry.
- Characteristics:** These are characteristics that are configured in the admin area. This allows the entry to be described or assigned more precisely. The characteristics can be displayed in the inventory.
- File:** Files can be uploaded.

## Relevance

**Idea:** Relevance is an expression of the overall significance of the audit entry for the object of investigation, e.g. a company, a subgroup, a department, a project.

**Tip:** Clicking on the entry selects the relevance.

## Audit entry Evaluation

**Idea:** The audit entry evaluation serves to capture the quantitative effects of an audit entry. The audit entries can be described using three scenarios.

**Title:** Describes the entry (scenario) briefly & concisely.

**Probably.** Probability describes the possibility that an audit entry will be realized.

**Distribution:** An unlimited number of scenarios are available per audit entry.

There are different ways to describe a scenario:

- Fixed height
- Equal distribution
- Normal distribution
- Lognormal distribution
- Triangular distribution
- Disabled

**Description:** The evaluation can be described in a comprehensible way.

**Preview:** The entries per scenario can be checked visually for plausibility.

**Save:** Save saves the entries.



Create new audit entry assessment,

**Tip:** Any number of rating entries are possible.

**Tip:** For normally distributed audit entries, the entry can be made in percent of the expected value or in one currency.

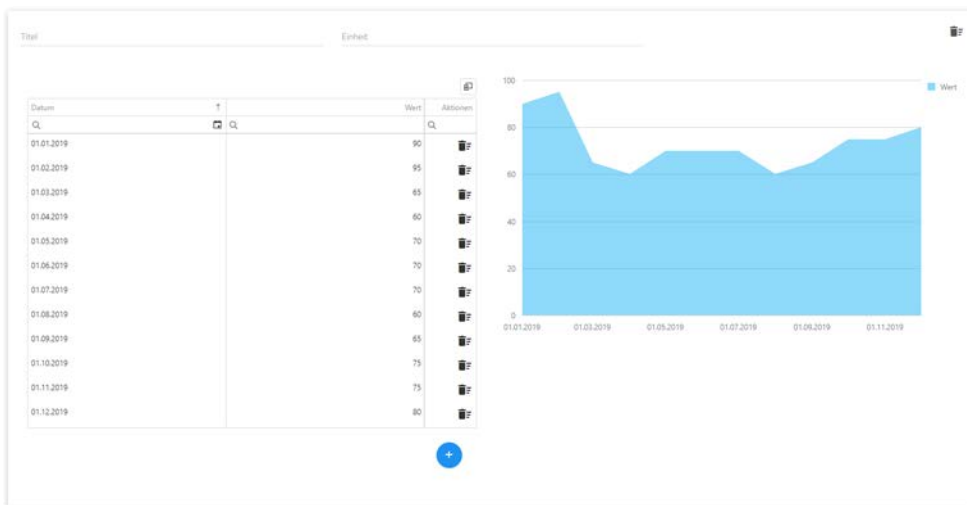
**Tip:** An evaluated audit entry must be assigned to a variable in the simulation (P&L item) so that an audit entry also has a quantitative effect.

## Audit entry indicators

Idea: In the section "**early warning indicators**" you have the possibility to freely define indicators. A typical indicator could, for example, be the development of bad debt losses. By entering the date of the measured value and the value itself, the early warning indicator is displayed in the graphic over time.



Create new entry,



Tip: You can create as many indicators as you like.

## Audit entry Measures

Idea: Audit measures cause a positive change. Therefore, several measures should be defined for an audit entry if possible. On the page Audit Task, you can enter new actions. The table below shows already created actions. These can be changed by "**Edit**" (pencil on the right side) or removed by "**Delete**". The inventory of measures in risk is an output in table form, which compactly displays the audit measures for the audit entry (1:n)



Show and hide columns. To remove, drag column titles into the list.



It is possible to design the table (see below) according to your own ideas. Save view restores the view the next time you log in. Saved views can be loaded.



Reset view means restoring the original view.



Function key F5 or "Refresh" load the most current data from the database.



Create new entry,



Measure can have n:n relationships. This means that an action can also be assigned to other audit entries.

**Tip:** Click on column header to sort the entries in ascending or descending order.

**Tip:** You can use the magnifying glass to filter by entries.

### Activity recording

**Tip:** Some positions can be configured in the admin area. Common entries are described below as examples.

**Title:** First enter a short description of the planned measure in the "**Title**" line. To do this, click in the input field next to the text "Title" and enter a concrete description.

**Goal:** In the "**Goal**" line, describe the goal of your action. Click with the left mouse button in the input field and enter your text.

**Type of B.:** "**Type of action**" If a project is necessary for the implementation of your action, please click on the selection field "with project". If the measure is to be carried out without a project, select "without project". The label can be changed in the admin area.

**Status:** In the selection field "**Status**" you enter the "state of affairs" for the respective measure. You have the graded selection from "available" to "planned". Click with the left mouse button on the selection field that best describes the current status of the measure.

**Mode of operation:** In the "**Mode of operation**" selection field, specify the way in which you want to achieve the above-mentioned objective. The selection option is usually divided into five levels from "avoid" to "not protectable". Accordingly, different terms apply to audit entries, which can be configured in the admin area, e.g. avoid costs, limit costs, reduce costs, create potential for success.

**Fixed costs:** In the selection field "**Fixed costs**" the costs can be entered.

**Effect Sch. :** In the selection field "**Effect damage level**" you can record the influence of the measure when an audit entry (scenarios) occurs. The value shows in % the reduction of a damage. 40% reduces a conceivable damage from e.g. 1'000 to 600. Typical such measures are redundant design of system, backup systems, sprinkler systems. The reverse logic applies to the audit entries, depending on their characteristics, i.e. 0% as the starting point.

**Effect entry :** In the selection field "**Effect probability of occurrence**", you can record the influence of the measure when an audit entry (scenario) occurs. The value shows in % the reduction on the probability. For audit entries the reverse logic can apply, starting with 0%. This depends on the definition.

**fulfillment level:** The selection field "**Degree of fulfilment**" shows the status of the implementation in %. The % values are coloured in the inventory of measures. Up to 25% the measures appear red, up to 50% orange, up to 80% yellow, from 80% green. The degree of fulfillment is

taken into account for the simulation. The effect is multiplied by the fulfillment level.

**Effectiveness:** The effectiveness of a measure can be noted here.

**Description:** Description of the interaction serves as a note field to describe the measure in more detail.

**Next practice..:** The date field allows you to enter the resubmission of the task.

**M. monitoring..:** Enables text input for monitoring, e.g. half-yearly monitoring.

**Impl. contr. :** Continuous text (note function) to record controls that serve the action (which are not separately recorded as controls)

**Owner:** In the selection field "**Owner**" the person responsible for the task can be specified.

**Participant:** In the selection field "**Participant**", participants for the measure can be defined.

**file:** Files with documents related to the measure can be uploaded.

**Save:** Saves entries.

**Modified on:** Modified shows the date of the last saving on this page.

## Cause / Effect

**Idea:** In this input window, causes and effects can be recorded. The idea here is that audit entries can be related to each other. So audit entries from the avoidance of mistakes can, for example, lead to a better company result. In the audit entry Danger of embezzlement, the responsible person therefore enters the audit entry Violations of compliance facts as an effect. Causes can be, for example: organizational deficiencies, human error, technical failure, intentional actions (example mentioned).



new entry



Copy entry



Delete

entry

## Control

**idea:** Controls are used to control an audit entry or actions. Controls can have a revealing or protective character. Controls in the true sense of the word also include, for example, procedural instructions. They are often also assigned to measures. This depends on the company definition of controls.



Show and hide columns. To remove, drag column titles into the list.



It is possible to design the table (see below) according to your own ideas. Save view restores the view the next time you log in. Saved views can be loaded.





Reset view means restoring the original view.



Function key F5 or "Refresh" load the most current data from the database.



Create new entry,



Measure can have n:n relationships. This means that an action can also be assigned to other audit entries.

**Tip:** Click on column header to sort the entries in ascending or descending order.

**Tip:** You can use the magnifying glass to filter by entries.

**Tip:** The controls support

- the achievement of the objectives of the measures through effective monitoring of their implementation
- the observance of laws and regulations (compliance) through protective controls
- the prevention, reduction and detection of errors and irregularities through detection checks
- ensuring the reliability and completeness of the results

## Control recording

**Tip:** Some positions can be configured in the admin area. Common entries are described below as examples.

**Titles:** First enter a short description of the planned control in the "**Title**" line. To do this, click in the input field next to the text "Title" and enter a concrete description.

**Target:** In the "**Target**" line, describe the objective of your control. Click with the left mouse button in the input field and enter your text.

**Description:** Description serves as a note field to describe the control in more detail.

**Owner:** In the selection field "**Owner**" the person responsible for the task can be specified.

**Output:** Description serves as a note field to describe the result of the check in more detail.

**Control Interval:** In the selection field "**Control Interval**" you can specify the time span for the renewed check of this entry. Click on the desired period with the mouse button. The intervals are defined in the admin area.

**Type:** In the selection field "**Type**" you select the e.g. automated control or other values.

**Applications:** In the selection field "**Applications**" you can establish the reference to DV applications. The selection is configured in the admin area.

**Due date:** The date field allows you to enter the resubmission of the control.

**file:** Files with documents related to the measure can be uploaded.

**Save:** Saves entries.

**Modified on:** Modified shows the date of the last saving on this page.

### Workflow

**idea:** Workflows are used to control predefined processes. This not only increases the quality of the entries (e.g. release rules), but also enables activities to be initiated. Workflows are defined and assigned in the admin area.

**History:** The required actions are displayed and when they were triggered by whom.

### History

**idea:** Gradients show the change of entries.

**Action:** Shows what has changed.

**Username:** Indicates that the action has been performed.

**Object:** Shows what has been changed.

**Time:** Indicates when the time was changed.



Filter function at the columns and on the right at the end of the line shows details of the action.

The following adjustment options are available:

- Sort
- Column width
- Order

**Sort:** The contents of each column can be sorted in ascending or descending order.

**Column width:** The column titles can be changed with the mouse. The corresponding arrow selection appears next to the titles. An arrow to the right and left allows you to widen the columns.

**Order:** The order of the columns can be changed with the mouse. To do this, select a title and drag it to the new position.

### Inventory of measures



Symbols are provided with functions such as (in the order of the picture)

- Delete
- Copy
- Export to Excel
- Creating a new entry
- Assign entry
- Open template



Columns can be assigned to the table or removed again (move column titles back into the list)

**Tip:** Selecting a line opens the editing option.



It is possible to design the table (see below) according to your own ideas. Save view restores the view the next time you log in. Saved views can be loaded.

**X** Reset view means restoring the original view.



Function key F5 or "Refresh" load the most current data from the database.

The following adjustment options are available:

- Sort
- Group
- Column width
- Order
- Filter

**Sorting:** The contents of each column can be sorted, ascending, descending.

**Group:** The table titles can be dragged and dropped into the top bar. This will group the table.

**Column width:** The column titles can be changed with the mouse. The corresponding arrow selection appears next to the titles. An arrow to the right and left allows you to widen the columns.

**Order:** The order of the columns can be changed with the mouse. To do this, select a title and drag it to the new position.

**Filter:** Make an entry in the column header according to which the filter is to be applied.

## Loss inventory



Symbols are provided with functions such as (in the order of the picture)

- Delete
- Copy
- Export to Excel

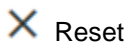


Columns can be assigned to the table or removed again (move column titles back into the list)

**Tip 1:** Selecting a line opens the editing option.



It is possible to design the table (see below) according to your own ideas. Save view restores the view the next time you log in. Saved views can be loaded.



Reset view means restoring the original view.



Function key F5 or "Refresh" load the most current data from the database.

The following adjustment options are available:

- Sort
- Group
- Column width
- Order
- Filter

**Sorting:** The contents of each column can be sorted, ascending, descending.

**Group:** The table titles can be dragged and dropped into the top bar. This will group the table.

**Column width:** The column titles can be changed with the mouse. The corresponding arrow selection appears next to the titles. An arrow to the right and left allows you to widen the columns.

**Order:** The order of the columns can be changed with the mouse. To do this, select a title and drag it to the new position.

**Filter:** Make an entry in the column header according to which the filter is to be applied.

## Controls



Symbols are provided with functions such as (in the order of the picture)

- Delete
- Copy
- Export to Excel
- Creating a new entry
- Assign entry
- Open template



Columns can be assigned to the table or removed again (move column titles back into the list)

**Tip:** Selecting a line opens the editing option.



It is possible to design the table (see below) according to your own ideas. Save view restores the view the next time you log in. Saved views can be loaded.

**X** Reset view means restoring the original view.



Function key F5 or "Refresh" load the most current data from the database.

The following adjustment options are available:

- Sort
- Group
- Column width
- Order
- Filter

**Sort:** The contents of each column can be sorted in ascending or descending order.

- Group:** The table titles can be dragged and dropped into the top bar. This will group the table.
- Column width:** The column titles can be changed with the mouse. The corresponding arrow selection appears next to the titles. An arrow to the right and left allows you to widen the columns.
- Order:** The order of the columns can be changed with the mouse. To do this, select a title and drag it to the new position.
- Filter:** Make an entry in the column header according to which the filter is to be applied.

## Loss inventory



Symbols are provided with functions such as (in the order of the picture)

- Delete
- Copy
- Export to Excel



Columns can be assigned to the table or removed again (move column titles back into the list)

**Tip:** Selecting a line opens the editing option.



It is possible to design the table (see below) according to your own ideas. Save view restores the view the next time you log in. Saved views can be loaded.

**X** Reset view means restoring the original view.



Function key F5 or "Refresh" load the most current data from the database.

The following adjustment options are available:

- Sort
- Column width
- Order
- Filter

**Sorting:** The contents of each column can be sorted, ascending, descending.

**Column width:** The column titles can be changed with the mouse. The corresponding arrow selection appears next to the titles. An arrow to the right and left allows you to widen the columns.

**Order:**The order of the columns can be changed with the mouse. To do this, select a title and drag it to the new position.

**Filter:** Make an entry in the column header according to which the filter is to be applied.

## Assessment

**Idea:**Evaluation is the input page for the evaluation of responsible persons. In the admin area, the specifications are defined (for example, period, category).

**period:** z. e.g. year, for projects milestones...

**Category:** Categorization of an evaluation...

**Title:** Describes the assessment briefly and concisely.

**Owner:** Responsible user.

**Detailed input:** The input page is used for description.

**Save the entry:** Saves the entry.

**Delete:** Deletes the entries in the Risk Assessment field.

## Simulation

**Idea:** The objective of the simulation is to **determine the overall risk positions** (risk aggregation). Interactions between risks are explicitly taken into account. The effects of the individual risks are aggregated in the context of corporate planning using risk simulation ("Monte Carlo simulation"). In independent simulation runs, random numbers are used to run through a fiscal year several thousand times and to calculate a characteristic of the income statement and balance sheet in each case. Aggregation is used to determine the "scatter bands" of future earnings figures caused by risks, which ultimately contributes to a well-founded assessment of reliability and an improvement in corporate planning. Detailed results can be found under Aggregation Results.

net takes the measures into account.

Multi-year simulation calculates all periods simultaneously to take into account dependencies between periods. The calculation process takes correspondingly longer.

Export details of the calculations (100,000 scenarios of all positions) to perform further analysis (e.g. quantile calculation 99.9%)

Simulation starten

runs the simulation.

Simulation speichern


allows you to save the simulation.

## Simulation laden

loads saved simulation results.

**Hint:** In the net simulation, the entries are taken into account in the measures (effect of amount of damage, effect of probability of occurrence). With regard to the level of damage, the % effects of all measures that affect a risk are considered first, followed by the selected insurance policies.

**Tip:** The simulation is divided into P&L (income statement), balance sheet and key figures. With the key figures, all areas can be linked to each other (profit and loss statement, balance sheet, key figures)

The following options are available for the Risk Allocation ( )  table:



Columns can be assigned to the table or removed again (move column titles back into the list)



It is possible to design the table (see below) according to your own ideas. Save view restores the view the next time you log in. Saved views can be loaded.



Reset view means restoring the original view.



Function key F5 or "Refresh" load the most current data from the database.

## Simulation results

**Idea:** The simulation results are presented in compressed tabular form.



Symbols are provided with functions (in the order of the picture):

- Assign risks / opportunities / audit entries to a position
- Display histogram of the position. A histogram is a graphical representation of the frequency distribution of simulation results.

**Tip:** When interpreting the following parameters, it should be noted that the sign can be a decisive factor in determining whether lower values are to be interpreted better or worse. For example, higher sales are usually to be interpreted positively, higher material costs



negatively.

Results from the simulation are displayed for the income statement, balance sheet and key figures in the defined format (number or %).

**Value:** Calculated value of the input, according to the formulas behind it.

**Planned value:** The entered values are added or subtracted according to the logic of the model and correspond to the planned values.

**Mean value:** The total of all simulation results of a variable gives the mean value. This can deviate from the planned value due to risks that have occurred. It corresponds approximately to the planned value from a risk perspective.

**Q 1%:** Q 1% shows the so-called quantile of the simulation results. 1% of all values were lower than ... 99% of all values were higher than ...

**Q 5%:** Q 5% shows the so-called quantile of the simulation results. 5% of all values were lower than ... 95% of all values were higher than ...

**Q 10:** Q 10% shows the so-called quantile of the simulation results. 10% of all values were lower than ... 90% of all values were higher than ...

**Q 90%:** Q 90% shows the so-called quantile of the simulation results. 90% of all values were lower than ... 10% of all values were higher than ...

**Q 95%:** Q 5% shows the so-called quantile of the simulation results. 95% of all values were lower than ... 5% of all values were higher than ...

**Q 99%:** Q 99% shows the so-called quantile of the simulation results. 99% of all values were lower than ... 1% of all values were higher than ...

**LPM:** Expression for Lower Partial Moment, a statistical value which in RIMIKSX outputs the mean value of all simulation results which are below the planned value or the mean value of the overall position. It therefore shows all negative results.

The following adjustment options are available (after the simulation has been carried out, since only then is the table available):

- Sort
- Column width
- Order
- Filter

**Sorting:** The contents of each column can be sorted, ascending, descending.

**Column width:** The column titles can be changed with the mouse. The corresponding arrow selection appears next to the titles. An arrow to the right and left allows you to widen the columns.

**Order:** The order of the columns can be changed with the mouse. To do this, select a title and drag it to the new position.

**Filter:** Make an entry in the column header according to which the filter is to be applied.

## Checklists

**Idea:** Pre-defined queries on specific topics such as "maturity level of the system", SWOT checklist and many more

**Open Checkl.:** Allows you to select and create a new checklist.

**Tip:** Selecting a line opens the editing option.

The following adjustment options are available:

- Sort
- Column width
- Order

**Sort:** The contents of each column can be sorted in ascending or descending order.

**Column width:** The column titles can be changed with the mouse. The corresponding arrow selection appears next to the titles. An arrow to the right and left allows you to widen the columns.

**Order:** The order of the columns can be changed with the mouse. To do this, select a title and drag it to the new position.

## File storage

**idea:** File storage is used to store files in the database and make them available to users.



new entry.



Display file

The following options are available:

- Sort
- Group
- Column selection
- Column width

## – Order

- Sort:** The contents of each column can be sorted in ascending or descending order.
- Group:** The table titles can be dragged and dropped into the top bar. This will group the table.
- Column selection:** The right mouse button over the table title allows you to define the columns under Column Options.
- Column width:** The column titles can be changed with the mouse. The corresponding arrow selection appears next to the titles. An arrow to the right and left allows you to widen the columns.
- Order:** The order of the columns can be changed with the mouse. To do this, select a title and drag it to the new position.
- Filter Function:** There is an input field under the column header. The input makes it possible to filter in the table according to it. Various options are possible: Includes, Does not include, Corresponds, Does not correspond, Greater than, Smaller than. Please note that only the first word is case sensitive. Otherwise this does not matter. It is also not necessary to enter whole words as keywords, even fragments are sufficient, as long as you clearly allow the desired selection.

## Reports

- Tipp:** Die Reports werden im Admin-Bereich konfiguriert und stehen den Benutzern Rollen abhängig zur Verfügung.

## Konsolidierung (Mandant)

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Idee: Die Mandanten sollen zusammengeführt werden können. Mandanten können ausgewählt werden. Die verschiedenen Inventare stehen zur Verfügung:

- Risikoinventar
- Chanceninventar
- Auditinventar
- Kontrollen
- Maßnahmeninventar
- Schadeninventar
- Simulation.

### Risikoinventar

Datenauswahl: Die Konsolidierung beginnt mit der Datenauswahl. Es sind die Mandanten und die Zeitfenster zu bestimmen.

Tip: Nur die Daten filtern, die auch wirklich benötigt werden, das beschleunigt den Ladevorgang.



Symbole sind mit Funktionen versehen (in der Reihenfolge des Bildes):

- Delete
- Copy
- Export to Excel
- Assign entry to a formula ([risks must first be selected](#))



Spalten können der Tabelle zugewiesen oder wieder entfernt werden (Spaltentitel in die Liste zurückziehen)


Tip 1: Selecting a line opens the editing option.


Tip 2: Selection triangle in front of the title entry shows the list of risk participants.



Es besteht die Möglichkeit, die Tabelle (s. unten) nach eigenen Vorstellungen zu gestalten. Ansicht speichern stellt die Ansicht beim nächsten Anmelden wieder her. Gespeicherte

Ansichten können geladen werden.

 Reset view means restoring the original view.

 Function key F5 or "Refresh" load the most current data from the database.

The following adjustment options are available:

- Sort
- Group
- Spaltenbreite
- Order
- Filter

**Sorting:** The contents of each column can be sorted, ascending, descending.

**Gruppieren:** Die Tabellentitel können per „Drag & Drop“ (auswählen und verschieben) in die oberste Leiste gezogen werden. Dadurch wird die Tabelle gruppiert.

**Column width:** The column titles can be changed with the mouse. The corresponding arrow selection appears next to the titles. An arrow to the right and left allows you to widen the columns.

**Reihenfolge:** Die Spaltenreihenfolge kann mit der Maus verändert werden. Hierzu wird ein Titel ausgewählt und an die neue Stelle gezogen.

**Filter:** Make an entry in the column header according to which the filter is to be applied.

## Chanceninventar

**Datenauswahl:** Die Konsolidierung beginnt mit der Datenauswahl. Es sind die Mandanten und die Zeitfenster zu bestimmen.

**Tipp:** Nur die Daten filtern, die auch wirklich benötigt werden, das beschleunigt den Ladevorgang.



Symbols are provided with functions (in the order of the picture):

- Delete
- Copy
- Export to Excel
- Assign entry to a formula ([risks must first be selected](#))



Columns can be assigned to the table or removed again (move column titles back into the list)

Tip 1: Selecting a line opens the editing option.

Tipp 2: Auswahl-Dreieck vor dem Titel-Eintrag zeigt die Liste der Beteiligten des Risikos.



Es besteht die Möglichkeit, die Tabelle (s. unten) nach eigenen Vorstellungen zu gestalten. Ansicht speichern stellt die Ansicht beim nächsten Anmelden wieder her. Gespeicherte Ansichten können geladen werden.



Reset view means restoring the original view.



Funktionstaste F5 oder „Aktualisieren“ laden die aktuellsten Daten aus der Datenbank.

The following adjustment options are available:

- Sort
- Group
- Column width
- Order
- Filter

**Sort:** The contents of each column can be sorted in ascending or descending order.

**Group:** The table titles can be dragged and dropped into the top bar. This will group the table.

**Column width:** The column titles can be changed with the mouse. The corresponding arrow selection appears next to the titles. An arrow to the right and left allows you to widen the columns.

**Order:** The order of the columns can be changed with the mouse. To do this, select a title and drag it to the new position.

**Filter:** Make an entry in the column header according to which the filter is to be applied.

## Auditinventar

**Datenauswahl:** Die Konsolidierung beginnt mit der Datenauswahl. Es sind die Mandanten und die Zeitfenster zu bestimmen.

**Tipp:** Nur die Daten filtern, die auch wirklich benötigt werden, das beschleunigt den Ladevorgang.



Symbols are provided with functions (in the order of the picture):

- Löschen
- Copy
- Export to Excel
- Assign entry to a formula ([risks must first be selected](#))



Columns can be assigned to the table or removed again (move column titles back into the list)

**Tip 1:** Selecting a line opens the editing option.

**Tipp 2:** Auswahl-Dreieck vor dem Titel-Eintrag zeigt die Liste der Beteiligten des Risikos.



Es besteht die Möglichkeit, die Tabelle (s. unten) nach eigenen Vorstellungen zu gestalten. Ansicht speichern stellt die Ansicht beim nächsten Anmelden wieder her. Gespeicherte Ansichten können geladen werden.



**Reset** view means restoring the original view.



Function key F5 or "Refresh" load the most current data from the database.

The following adjustment options are available:

- Sort
- Group
- Column width
- Order
- Filter

**Sorting:** The contents of each column can be sorted, ascending, descending.

**Gruppieren:** Die Tabellentitel können per „Drag & Drop“ (auswählen und verschieben) in die oberste Leiste gezogen werden. Dadurch wird die Tabelle gruppiert.

**Column width:** The column titles can be changed with the mouse. The corresponding arrow selection

appears next to the titles. An arrow to the right and left allows you to widen the columns.

**Order:** The order of the columns can be changed with the mouse. To do this, select a title and drag it to the new position.

**Filter:** Make an entry in the column header according to which the filter is to be applied.

## Kontrollen

**Datenauswahl:** Die Konsolidierung beginnt mit der Datenauswahl. Es sind die Mandanten und die Zeitfenster zu bestimmen.

**Tipp:** Nur die Daten filtern, die auch wirklich benötigt werden, das beschleunigt den Ladevorgang.



Symbols are provided with functions (in the order of the picture):

- Delete
- Copy
- Export to Excel
- Neuen Eintrag erstellen
- Assign entry
- Open template



Columns can be assigned to the table or removed again (move column titles back into the list)

**Tip:** Selecting a line opens the editing option.



It is possible to design the table (see below) according to your own ideas. Save view restores the view the next time you log in. Saved views can be loaded.



Reset view means restoring the original view.



Function key F5 or "Refresh" load the most current data from the database.

The following adjustment options are available:



- Sort
- Group
- Column width
- Order
- Filter

**Sorting:** The contents of each column can be sorted, ascending, descending.

**Gruppieren:** Die Tabellentitel können per „Drag & Drop“ (auswählen und verschieben) in die oberste Leiste gezogen werden. Dadurch wird die Tabelle gruppiert.

**Spaltenbreite:** Die Spaltentitel können mit der Maus verändert werden. Neben den Titel erscheint die entsprechende Pfeilauswahl. Ein Pfeil rechts und links ermöglicht, die Spalten zu verbreitern..

**Order:** The order of the columns can be changed with the mouse. To do this, select a title and drag it to the new position.

**Filter:** Make an entry in the column header according to which the filter is to be applied.

## Maßnahmeninventar

**Datenauswahl:** Die Konsolidierung beginnt mit der Datenauswahl. Es sind die Mandanten und die Zeitfenster zu bestimmen.

**Tipp:** Nur die Daten filtern, die auch wirklich benötigt werden, das beschleunigt den Ladevorgang.



Symbols are provided with functions (in the order of the picture):

- Delete
- Copy
- Export to Excel
- Creating a new entry
- Assign entry
- Open template



Columns can be assigned to the table or removed again (move column titles back into the list)

**Tip:** Selecting a line opens the editing option.



Es besteht die Möglichkeit, die Tabelle (s. unten) nach eigenen Vorstellungen zu gestalten. Ansicht speichern stellt die Ansicht beim nächsten Anmelden wieder her. Gespeicherte Ansichten können geladen werden.



Ansicht zurücksetzen bedeutet wiederherstellen der ursprünglichen Ansicht.



Function key F5 or "Refresh" load the most current data from the database.

The following adjustment options are available:

- Sort
- Group
- Column width
- Order
- Filter

**Sort:** The contents of each column can be sorted in ascending or descending order.

**Group:** The table titles can be dragged and dropped into the top bar. This will group the table.

**Column width:** The column titles can be changed with the mouse. The corresponding arrow selection appears next to the titles. An arrow to the right and left allows you to widen the columns.

**Order:** The order of the columns can be changed with the mouse. To do this, select a title and drag it to the new position.

**Filter:** Make an entry in the column header according to which the filter is to be applied.

## Schadeninventar

**Datenauswahl:** Die Konsolidierung beginnt mit der Datenauswahl. Es sind die Mandanten und die Zeitfenster zu bestimmen.

**Tip:** Nur die Daten filtern, die auch wirklich benötigt werden, das beschleunigt den Ladevorgang.



Symbols are provided with functions (in the order of the picture):

- Delete
- Copy
- Export to Excel



Columns can be assigned to the table or removed again (move column titles back into the list)

**Tip:** Selecting a line opens the editing option.



Es besteht die Möglichkeit, die Tabelle (s. unten) nach eigenen Vorstellungen zu gestalten. Ansicht speichern stellt die Ansicht beim nächsten Anmelden wieder her. Gespeicherte Ansichten können geladen werden.



**Reset** view means restoring the original view.



Function key F5 or "Refresh" load the most current data from the database.

The following adjustment options are available:

- Sort
- Column width
- Order
- Filter

**Sorting:** The contents of each column can be sorted, ascending, descending.

**Spaltenbreite:** Die Spaltentitel können mit der Maus verändert werden. Neben den Titel erscheint die entsprechende Pfeilauswahl. Ein Pfeil rechts und links ermöglicht, die Spalten zu verbreitern..

**Order:** The order of the columns can be changed with the mouse. To do this, select a title and drag it to the new position.

**Filtern:** Im Spaltentitel Eintrag vornehmen, nach dem gefiltert werden soll.

## Simulation

**Datenauswahl:** Die Konsolidierung (Simulation) beginnt mit der Datenauswahl. Es sind die Mandanten und die Zeitfenster zu bestimmen.

**Tipp:** Nur die Daten filtern, die auch wirklich benötigt werden, das beschleunigt den Ladevorgang.



simulieren: führt 100'000 für jede Zeile durch und berechnet die Kennzahlen (statistische Werte).



Details exportieren: exportiert 100'000 Zeilen für jede Spalte. Damit lassen sich Quantilsbestimmungen durchführen oder eigene Histogramme anfertigen. Es sind auch weitere Kennzahlen wie bspw. Variationskoeffizient u.v.m. denkbar,

### Konsolidierung

führt die Konsolidierung bzw. Simulation wenn ausgewählt aus.

### Simulation speichern

allows you to save the simulation.

### Simulation laden

loads saved simulation results.



Columns can be assigned to the table or removed again (move column titles back into the list)



Ergebnisse können nach Excel exportiert werden.



Histogramm der Position anzeigen. Ein Histogramm ist eine graphische Darstellung der Häufigkeitsverteilung der Simulationsergebnisse

#### Tipp:

Bei der netto-Simulation werden die Eintragungen bei den Maßnahmen (Wirkung Schadenshöhe, Wirkung Eintrittswahrscheinlichkeit) berücksichtigt. Dabei wird in Bezug auf die Schadenshöhe zuerst die %-Auswirkungen aller Maßnahmen die auf ein Risiko wirken, und dann die ausgewählten Versicherungen berücksichtigt.

Simulationsergebnisse sind jeweils brutto und netto:

**Durchschnitt:** Die Gesamtheit aller Simulationsergebnisse einer Variablen ergibt den Mittelwert.

**Q 1%:** Q 1% shows the so-called quantile of the simulation results. 1% of all values were lower than ... 99% of all values were higher than ...

**Q 5%:** Q 5% zeigt das so genannte Quantil der Simulationsergebnisse. 5% aller Werte lagen

tiefen als ... 95% aller Werte lagen höher als ...

- Q 10%:** Q 10% zeigt das so genannte Quantil der Simulationsergebnisse. 10% aller Werte lagen tiefer als ... 90% aller Werte lagen höher als ...
- Q 90%:** Q 90% zeigt das so genannte Quantil der Simulationsergebnisse. 90% aller Werte lagen tiefer als ... 10% aller Werte lagen höher als ...
- Q 95%:** Q 5% zeigt das so genannte Quantil der Simulationsergebnisse. 95% aller Werte lagen tiefer als ... 5% aller Werte lagen höher als ...
- Q 99%:** Q 99% zeigt das so genannte Quantil der Simulationsergebnisse. 99% aller Werte lagen tiefer als ... 1% aller Werte lagen höher als ...

The following adjustment options are available:

- Sort
- Column width
- Order
- Filter

**Sortieren:** Die Inhalte jeder Spalte kann sortiert werden, aufsteigend, absteigend.

**Spaltenbreite:** Die Spaltentitel können mit der Maus verändert werden. Neben den Titel erscheint die entsprechende Pfeilauswahl. Ein Pfeil rechts und links ermöglicht, die Spalten zu verbreitern..

**Order:** The order of the columns can be changed with the mouse. To do this, select a title and drag it to the new position.

**Filter:** Make an entry in the column header according to which the filter is to be applied.

**Simulation:** Berücksichtigt bei der Simulation die Eintragungen bei den Maßnahmen (Wirkung Schadenshöhe, Wirkung Eintrittswahrscheinlichkeit). Dabei wird in Bezug auf die Schadenshöhe zuerst die %-Auswirkungen aller Maßnahmen die auf ein Risiko wirken, und dann die ausgewählten Versicherungen berücksichtigt. Angezeigt werden bei Auswahl Simulation:

- Brutto Durchschnitt
- Brutto Q 95 (das 95%-Quantil der Ergebnisse)
- Netto Durchschnitt
- Netto Q 95 (das 95%-Quantil der Ergebnisse)

## Kumulation

- Idee:** Kumulation ist ein Spezialfall der mittels Konsolidierung berechneten Kennzahlen. Es werden gezielt Einträge ausgewählt, z. B. ein Mandant oder aus vielen Mandanten eine Kategorie. Diese können zusammen simuliert werden und Kennzahlen werden. Nach dem Filtervorgang muss die blaue Fläche "Kumulation" aktiviert werden.
- Mittelwert:** Die Gesamtheit aller Simulationsergebnisse einer Variablen ergibt den Mittelwert. Dieser kann vom Planwert aufgrund von eingetretenen Risiken abweichen. Es entspricht näherungsweise dem Planwert unter Risikogesichtspunkten.
- Q 1%:** Q 1% shows the so-called quantile of the simulation results. 1% of all values were lower than ... 99% of all values were higher than ...
- Q 5%:** Q 5% zeigt das so genannte Quantil der Simulationsergebnisse. 5% aller Werte lagen tiefer als ... 95% aller Werte lagen höher als ...
- Q 10%:** Q 10% shows the so-called quantile of the simulation results. 10% of all values were lower than ... 90% of all values were higher than ...
- Q 90%:** Q 90% zeigt das so genannte Quantil der Simulationsergebnisse. 90% aller Werte lagen tiefer als ... 10% aller Werte lagen höher als ...
- Q 95%:** Q 5% zeigt das so genannte Quantil der Simulationsergebnisse. 95% aller Werte lagen tiefer als ... 5% aller Werte lagen höher als ...
- Q 99%:** Q 99% zeigt das so genannte Quantil der Simulationsergebnisse. 99% aller Werte lagen tiefer als ... 1% aller Werte lagen höher als ...

## Reports

- Tipp:** Die Reports werden im Admin-Bereich konfiguriert und stehen den Benutzern Rollen abhängig zur Verfügung.

## Administrationsbereich [ADMIN]

---

Idee: Im Administrationsbereich werden sämtliche Konfigurationen vorgenommen. Dies beinhaltet das Anlegen von Entitäten bis hin zu Auswahllisten oder das Definieren von zwingenden Eingabefeldern.

### Konfiguration

Idee: Im Konfigurationsbereich werden Inhalte definiert, welche die ganze Datenbank betreffen, also übergreifender Art sind wie bspw. das Festlegen von Währungen, die Unternehmensstruktur u.v.m.

### Allgemein

- **Passwort Vorgaben aktivieren:** Vorgaben möglich wie:

The screenshot shows a configuration form titled "Passwort Komplexität". It features a checked checkbox for "Standardeinstellungen". Below it are four unchecked checkboxes: "Numerische Zeichen", "Kleinbuchstaben", "Sonderzeichen", and "Grossbuchstaben". At the bottom, there is a label "Anzahl Zeichen" with the value "3" and a blue horizontal line. At the very bottom, there are two buttons: "Abbrechen" and "Speichern".

- **Eingeschränkte Sichtbarkeit aktivieren:** Risikoeigner sehen nur die eigenen Risiken.
- **Wartungsmodus** bedeutet vorübergehende Deaktivierung des Datenbankzugriffs. Wenn der Administrator Änderungen vornehmen möchte und in dieser Zeit nicht in RIMIKSX gearbeitet werden soll.

### Applikationen

Idee: Die Applikationen sind in einem Auswahlfeld bei den Kontrollen verfügbar.



new entry

### Beurteilungskategorien

Idee: Die Beurteilungskategorien sind Titel, die der Beurteilung im Arbeitsbereich dienen. Es sind Beurteilungen in Fließtext zur Gesamtsituation. Es sind auch weitere Kategorien wie bspw. ad-hoc-Risikomeldungen möglich. Die Beurteilung ist auch pro Feld möglich.



new entry

**Tipp:** Ist editierbar bedeutet, dass Eingaben möglich sind. Ausgeblendet sperrt die Eingabemöglichkeit. Dadurch können bspw. Fehler vermieden werden, indem versehentlich die falsche Kategorie ausgewählt wird.

## Checklisten-Gruppen

**Idee:** Vordefinierte Abfragen zu bestimmten Themen wie bspw. "Reifegrad des Systems", SWOT-Checkliste u. v. m.  
Damit Checklisten erfasst werden können, ist eine Struktur erforderlich. Hierfür dienen die Checklisten-Gruppen. Bspw. "Checklisten für Felder".

## E-Mail (SMTP)

**Idee:** Benachrichtigungen und Aufgaben sollen auch per Mail an die Verantwortlichen gelangen. Hierzu sind Mail-Angaben erforderlich. Der Benutzer entspricht dem Absender.

**Tipp:** Die Einstellungen können getestet werden, eine Test Email wird versendet.

## Formulareditor

**Idee:** Im Formulareditor werden zwingende Eingaben definiert, z. B. Mail-Adresse beim Benutzer. Es können auch Einschränkungen z. B. bzgl. Titellängen erfolgen.

**Tipp:** Die Einstellungen können getestet werden, eine Test Email wird versendet.

## HelpCenter

**Idee:** Die Links führen zu weitergehenden Informationen.

## Lizenzen

**Idee:** Die Lizenz steuert die Anzahl der verfügbaren Mandanten.

## Maßnahmen

**Idee:** Bei Maßnahmen sind vordefinierte Auswahlfenster verfügbar. In der Konfiguration können diese festgelegt werden.

## Schadenoptionen

**Idee:** Bei der Schadenerfassung sind vordefinierte Auswahlfenster verfügbar. In der Konfiguration können diese festgelegt werden.

## System

**Idee:** Unter dem Titel "System" verbergen sich übergeordnete Funktionen wie bspw. Jahresarbeiten, also kopieren von einem Zeitraum in den nächsten.

- **Zeitfenster-Daten kopieren:** Kopiert aus einem oder mehreren Mandanten ausgewählte Zeiträume.



- **Eigentümer kopieren:** Kopiert Einträge von Eigentümern zu einem anderen. Auch Beteiligte können geändert werden.
- **Manuell Daten einfügen:** Fehlende Einträge in der Übersetzungstabelle können bei Updates manuell ergänzt werden.
- **Ansichten aktualisieren:** Bei Updates können neue Felder hinzugefügt werden. Damit gespeicherte Ansicht diese Einträge anzeigen, ist eine Aktualisierung erforderlich.
- **Cache:** Temporär gespeicherte Inhalte in Browsern können zu Problemen führen. Rasche Abhilfe bietet die Funktion "Alle Caches löschen".

## Unternehmensstruktur

**Idee:** Die Strukturierung „Unternehmensstruktur“ dient dazu, die Navigation in konsolidierten Inventaren zu erleichtern. Hierzu können eine beliebige Anzahl Strukturen geschaffen und jeweils dreistufig angelegt werden. Bei jedem Eintrag und jeder Stufe können Mandanten zugeordnet werden. Über diese Zuordnung kann gefiltert werden.



new entry

**Tipp:** Oft dient die Konzernstruktur oder Organigramme zur Strukturierung einerseits (z. B. auch Geschäftsbereiche) und legale Strukturen andererseits als Gliederungskriterien. Auch geografische Strukturen können das Beantworten von Fragen erleichtern, z. B. welche Risiken gibt es in Deutschland?

## Versicherungskategorien

**Idee:** Versicherungen sind Maßnahmen, die dem Schadentransfer dienen. Die Versicherungen können erfasst werden und in Maßnahmen ausgewählt. Dadurch lassen sich so genannte Netto-Betrachtungen durchführen.



new entry

**Tipp:** Die Versicherungskategorien und Unterkategorien sollten sich an den versicherungsüblichen Strukturen orientieren, z. B. Sachversicherung (Feuerversicherung, Naturgefahren, u.v.m.) oder Haftlichtversicherung u.s.w.

## Währung

**Idee:** Währungen sind Mandanten zugeordnet und unterstützen die finanzielle Betrachtung in Landeswährung. In der Konsolidierung oder Simulation wird in die Hauptwährung umgerechnet.



new entry

**Tipp:** Der Umrechnungskurs bezieht sich auf die Hauptwährung.

## Zeitraum

**Idee:** Zeiträume dienen der zeitlichen Gliederung von Einträgen. Oft wird in Kalenderjahren

agiert und auch bewertet, also der Bezug zu einem Budget hergestellt. Projekte sind anders strukturiert, weshalb hierfür von Jahreszahlen abgewichen werden kann.



new entry

- Tipp:** Damit Jahreszahlen und Projekt-Meilensteine nicht zur Verwirrung führen, können sie getrennt erfasst bzw. zugeordnet werden. Bei Projekt-Mandanten werden dann diese Kriterien ausgewählt.
- Tipp:** Es gibt Unternehmen mit Jahresende abweichenden Geschäftsjahren. Das Format sind keine Zahlen, es kann also z. B. 2025/26 eingetragen werden.
- Tipp:** Für editieren Klick auf die entsprechende Zeile.
- Tipp:** Editierbar bedeutet, dass entsprechende Zeiträume bearbeitet werden können. Oft wird am Ende eines Jahres ein Zeitraum gesperrt, und es können keine Änderungen mehr vorgenommen werden.

The following adjustment options are available:

- Sort
- Column width
- Filter

**Sorting:** The contents of each column can be sorted, ascending, descending.

**Spaltenbreite:** Die Spaltentitel können mit der Maus verändert werden. Neben den Titel erscheint die entsprechende Pfeilwahl. Ein Pfeil rechts und links ermöglicht, die Spalten zu verbreitern..

**Filtern:** Die Lupe in den Spaltenüberschriften ermöglicht zu filtern.

## Übersetzungen



Symbols are provided with functions (in the order of the picture):

- Delete
- Export to Excel
- Neue Sprache hinzufügen



Columns can be assigned to the table or removed again (move column titles back into the list)

Tip: Selecting a line opens the editing option.



Symbole sind mit Funktionen versehen (in der Reihenfolge des Bildes):

- Als Default-Sprache festlegen.
- Sprachinhalte ändern
- Sprache löschen

The following adjustment options are available:

- Sort
- Column width
- Filter

**Sort:** The contents of each column can be sorted in ascending or descending order.

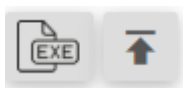
**Column width:** The column titles can be changed with the mouse. The corresponding arrow selection appears next to the titles. An arrow to the right and left allows you to widen the columns.

**Filtern:** Die Lupe in den Spaltenüberschriften ermöglicht zu filtern.

### Sprachinhalte ändern

**Idee:** Aus einer Ausgangsbasis eine neue Sprache erstellen (im Sinne von "copy & paste").

**Idee:** Des Weiteren sollen die Sprachinhalte angepasst werden können.



Symbols are provided with functions (in the order of the picture):

- Export to Excel
- Aus Excel importieren

The following adjustment options are available:

- Sort

- Column width
- Filter

**Sorting:** The contents of each column can be sorted, ascending, descending.

**Column width:** The column titles can be changed with the mouse. The corresponding arrow selection appears next to the titles. An arrow to the right and left allows you to widen the columns.

**Filtern:** Die Lupe in den Spaltenüberschriften ermöglicht zu filtern.

## Mandanten, Mandantenauswahl

**Idee:** Die Seite zeigt die in RIMIKSX angelegten Entitäten (engl. "Entity"). Darunter sind Teile der Datenbank zu verstehen, die mit sämtlichen Funktionen der Module ausgestattet sind, z. B. Feldermatrix, eigene Relevanzskala, Risikoliste. Verwandte Begrifflichkeiten wären etwa Mandanten, Unternehmen oder Projekte aber auch Geschäftsbereiche/Abteilungen mit „eigenem“ System bzw. Teil eines umfassenden Systems. Pro Datenbank können beliebig viele Entitäten angelegt werden. Dies ist jedoch abhängig von der erworbenen Lizenz.



Symbols are provided with functions (in the order of the picture):

- Editieren, auch Klick auf die Zeile aktiviert den Bearbeitungsmodus.
- Copy
- Löschen

**Tipp:** Die Reihenfolge der Mandanten kann geändert werden, einfach mit der Maus an die gewünschte Position verschieben. Die Mandanten werden im Auswahlmenü in der workzone in der angepassten Reihenfolge angezeigt.

**Tipp:** Der Zugang zu den Mandanten ist von der Rolle abhängig.

## Allgemein

**Idee:** Allgemein beinhaltet übergreifende Informationen zum Mandanten sowie die Bestimmung, um welche Art von Mandant es sich handelt.

**Name:** Titel des Mandanten, **Tipp:** im Namen erwähnen, wenn es sich bspw. um einen Geschäftsbereich handelt (Aggregation)

**Beschreibung:** Beschreibung des Mandanten.

**Währung:** Währung und Einheit, die für diesen Mandanten gilt. Die Zusammenführung erfolgt nach

einem im Admin-Bereich definierten Umrechnungskurs.

**Unternehmen:** Die Eingabe steuert den Datenimport, z. B. eine Ziffer 200. Dadurch können in der entsprechenden Excel-Spalte die Werte bestimmt werden.

**Straße:** Adresse des Unternehmens.

**PLZ:** Adresse des Unternehmens.

**Stadt:** Adresse des Unternehmens.

**Land:** Adresse des Unternehmens.

**Telefon:** Kontaktdaten.

**Fax:** Kontaktdaten.

**Mail:** Kontaktdaten.

**Website:** Kontaktdaten.



Projektmandanten definieren. Projekte haben andere Zeiträume und Projektkategorien im Sinne von Meilensteinen.



Simulationsmandanten definieren. Solche Mandanten können uneingeschränkt Bezüge zu allen verfügbaren Mandanten herstellen. In normalen Mandanten ist dies auf den Mandanten selber beschränkt. Diese werden benötigt, um Mandanten-übergreifend zu simulieren. So werden die Einträge (mit Szenarien) in den Mandanten zugeordnet und können in die übergreifenden referenziert werden (mehrstufiges Simulationsmodell). Dies verhindert Doppeleingaben.

## Kategorienfelder

**Idee:** Die Feldermatrix dient der Strukturierung der Erfassung von Risiken, Chancen oder Audit-Einträgen. Die Matrix ist 3-stufig gegliedert. An der untersten Ebene werden Einträge zugewiesen, z. B. Risiken.

**Beispiel:** Management und Führungsprozesse (1. Ebene), Strategie (2. Ebene), Strategische Ziele (3. Ebene), Inkonsistenz der strategischen Prämissen (Risiko).



shows the corresponding entries (risks, opportunities, audit entries).



Edit field.



Feld an eine andere Position verschieben.

**Tipp:** In den Details (bearbeiten) können die Eigentümer von Feldern definiert werden. Die Eigentümer (mit Ausnahme des Admin) sehen nur die ihnen zugewiesenen Felder.

## Details

**Name:** Name of the field.

**Description:** Specifies the field.

**Category:** The field belongs to the category.

**Tip:** Hauptkategorien, Kategorien, Felder zeigen dieselbe Struktur (Name, Beschreibung, und bei Kategorie / Felder auch die Zugehörigkeit zur oberen Gliederungsebene).

**Owner:** Responsible person.

**Identifikation:** Beschreibung der Vorgehensweise zur Identifikation von Inhalten.

**Notes:** Comments by the responsible persons.

**Fragen:** Beschreibt, welche Fragen bei der Identifikation gestellt werden sollen.

**Log:** Possibility to document processes with annotations.

## Beurteilung



If it is selected, the color of the field changes, which means that an entry has been made in the appraisal.

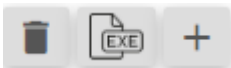
**Period:** Period for which the entries are valid.

**Kategorie:** Zuordnung zu Kategorie (wird im Admin-Bereich festgelegt).

**Title:** Short title of the assessment.

## Versicherungen

**Idee:** Erfassen der Versicherungslösungen, um in den Maßnahmen einen Bezug herzustellen und Berechnungen durchführen zu können.



Symbols are provided with functions (in the order of the picture):

- Delete
- Export to Excel
- Creating a new entry



Columns can be assigned to the table or removed again (move column titles back into the

list)

**Tip:** Selecting a line opens the editing option.

**Tipp:** Die Versicherungen beinhalten Werte, die bei den Maßnahmen verwendet werden können und sich auf die Ergebnisse quantitativ auswirken..

The following adjustment options are available:

- Sort
- Column width
- Order
- Filter

**Sort:** The contents of each column can be sorted in ascending or descending order.

**Column width:** The column titles can be changed with the mouse. The corresponding arrow selection appears next to the titles. An arrow to the right and left allows you to widen the columns.

**Order:** The order of the columns can be changed with the mouse. To do this, select a title and drag it to the new position.

**Filter:** Make an entry in the column header according to which the filter is to be applied.

## Checklisten

Die hier aufgeführten Checklisten werden in der Konfiguration festgelegt. Sie gelten für alle Entitäten der Datenbank und können von allen genutzt werden. Gespeichert werden die Inhalte jeweils gesondert.

**Idee:** Die in der Konfiguration erstellten Checklisten können den Mandanten an dieser Stelle zugewiesen werden.

## Relevanzen

**Idee:** Die Relevanz ist ein Ausdruck für die Gesamtbedeutung des Risikos für das Untersuchungsobjekt, z. B. ein Unternehmen, ein Teilkonzern, eine Abteilung, ein Projekt. Sie ist theoretisch vor allem abhängig von folgenden Charakteristika eines Risikos: mittlere Schadensbelastung (Erwartungswert), realistischer Höchstschaden (oder besser Value@Risk) und Wirkungsdauer. In der Praxis wird bei einer Ersteinschätzung des Risikos die Relevanz durch kompetente Mitarbeiter des Unternehmens geschätzt, die sich hierbei für alle Risiken mit einer bestimmten Mindesteintrittswahrscheinlichkeit (z. B. 5 %) vor allem am realistischen Höchstschaden orientieren. Der Erwartungswert kann ohne statistische Methoden kaum ermittelt werden und wird deshalb zunächst nicht betrachtet. Die Wirkungsdauer wird in der Relevanz insofern berücksichtigt, dass mehrjährige Betrachtungen in die Überlegungen einfließen sollen und solche exponierten Risiken entsprechend höher einzustufen sind. Operationelle Risiken beziehen sich eher auf den Betrachtungszeitraum eines Jahres, strategische Risiken oder Marktrisiken (bspw. Konjunktur, Wegfall des größten Kunden) können sich auf mehrere Perioden auswirken.

## Risikorelevanz

**Tip:** Clicking on the entry selects the relevance.



Neuen Eintrag vornehmen.

**Zeitraum:** Zeitraum, auf den sich die Relevanz bezieht.

**Titel:** Bezeichnung der Relevanz.

**Wert:** Wertbetrag, auf den sich die Relevanzstufen beziehen.

**Relevanz:** Bezeichnung der Relevanz. Farben können geändert werden (klicken auf die Zeile und bearbeiten). Die Sortierung erfolgt nach Maßgabe der Abweichung bzw. des daraus berechneten Wertes.

**Abweichung:** % des Wertes.

**Berechn. Wert:** Multiplikation von % mit dem Wert.

**Beschreibung:** Genaue Bezeichnung der Relevanz.



Columns can be assigned to the table or removed again (move column titles back into the list)

The following adjustment options are available:

- Sort
- Column width
- Order
- Filter

**Sorting:** The contents of each column can be sorted, ascending, descending.

**Column width:** The column titles can be changed with the mouse. The corresponding arrow selection appears next to the titles. An arrow to the right and left allows you to widen the columns.

**Order:** The order of the columns can be changed with the mouse. To do this, select a title and drag it to the new position.

**Filtern:** Im Spaltentitel Eintrag vornehmen, nach dem gefiltert werden soll.

### Chancenrelevanz

**Tip:** Clicking on the entry selects the relevance.





Neuen Eintrag vornehmen.

- Zeitraum:** Zeitraum, auf den sich die Relevanz bezieht.
- Titel:** Bezeichnung der Relevanz.
- Wert:** Wertbetrag, auf den sich die Relevanzstufen beziehen.
- Relevanz:** Bezeichnung der Relevanz. Farben können geändert werden (klicken auf die Zeile und bearbeiten). Die Sortierung erfolgt nach Maßgabe der Abweichung bzw. des daraus berechneten Wertes.
- Abweichung:** % des Wertes.
- Berechn. Wert:** Multiplikation von % mit dem Wert.
- Beschreibung:** Genaue Bezeichnung der Relevanz.



Columns can be assigned to the table or removed again (move column titles back into the list)

The following adjustment options are available:

- Sort
- Column width
- Order
- Filter

- Sortieren:** Die Inhalte jeder Spalte kann sortiert werden, aufsteigend, absteigend.
- Spaltenbreite:** Die Spaltentitel können mit der Maus verändert werden. Neben den Titel erscheint die entsprechende Pfeilauswahl. Ein Pfeil rechts und links ermöglicht, die Spalten zu verbreitern..
- Order:** The order of the columns can be changed with the mouse. To do this, select a title and drag it to the new position.
- Filter:** Make an entry in the column header according to which the filter is to be applied.

### Auditrelevanz

- Tip:** Clicking on the entry selects the relevance.



Neuen Eintrag vornehmen.

- Zeitraum:** Zeitraum, auf den sich die Relevanz bezieht.
- Titel:** Bezeichnung der Relevanz.
- Wert:** Wertbetrag, auf den sich die Relevanzstufen beziehen.
- Relevanz:** Bezeichnung der Relevanz. Farben können geändert werden (klicken auf die Zeile und bearbeiten). Die Sortierung erfolgt nach Maßgabe der Abweichung bzw. des daraus berechneten Wertes.
- Abweichung:** % des Wertes.
- Berechn. Wert:** Multiplikation von % mit dem Wert.
- Beschreibung:** Genaue Bezeichnung der Relevanz.



Spalten können der Tabelle zugewiesen oder wieder entfernt werden (Spaltentitel in die Liste zurückziehen)

The following adjustment options are available:

- Sort
- Column width
- Order
- Filter

- Sorting:** The contents of each column can be sorted, ascending, descending.
- Spaltenbreite:** Die Spaltentitel können mit der Maus verändert werden. Neben den Titel erscheint die entsprechende Pfeilauswahl. Ein Pfeil rechts und links ermöglicht, die Spalten zu verbreitern..
- Reihenfolge:** Die Spaltenreihenfolge kann mit der Maus verändert werden. Hierzu wird ein Titel ausgewählt und an die neue Stelle gezogen.
- Filter:** Make an entry in the column header according to which the filter is to be applied.

## Beschreibungen

- Idee:** Beschreibungen sind zusätzliche "Gefäße" für Texte, Anmerkungen und Notizen (z. B. Anmerkungen des Risikomanagers). Sie werden über die Rollen gesteuert.



Symbols are provided with functions (in the order of the picture):

- Beschreibungen Rollen zuweisen.
- Delete

Die Beschreibungen funktionieren identisch bei:

- Risikobeschreibungen
- Chancenbeschreibungen
- Audit-Beschreibungen

### Charakteristiken

**Idee:** Charakteristiken sind zusätzliche Merkmale für Einträge. Sie bestehen aus einem Titel und dazu gehörenden vordefinierten Ausprägungen.



Symbols are provided with functions (in the order of the picture):

- Delete
- Charakteristiken Rollen zuweisen.

Die Beschreibungen funktionieren identisch bei:

- Risikobeschreibungen
- Chancenbeschreibungen
- Audit-Beschreibungen

### Audit-Checkboxes

**Idee:** Audit-Checkboxes speichern einfache Einträge (ja / leer). Dadurch lassen sich Sachverhalte sehr rasch erfassen. Zum Beispiel "Eintrag wurde bearbeitet".



Symbols are provided with functions (in the order of the picture):

- Delete

**Tipp:** Audit-Checkboxes können nur in den Audit-Inventaren angezeigt werden.

### Simulation

**Simulation:** Im Admin-Bereich werden die Simulationsmodelle erstellt..

Symbols are provided with functions (in the order of the picture):

- Delete
- Charakteristiken Rollen zuweisen.



Symbols are provided with functions (in the order of the picture):

- Nach Excel exportieren.
- Von Excel importieren.



Symbols are provided with functions (in the order of the picture):

- Ziele nach oben verschieben
- Zeile nach unten verschieben
- Der Formel Einträge aus Risiken, Chancen, Audits zuweisen
- Bearbeiten
- Delete
- Neuer Untereintrag



erstellt einen neuen Eintrag auf oberster Ebene.

**Tip:** Selecting a line opens the editing option.



Columns can be assigned to the table or removed again (move column titles back into the list)

The following adjustment options are available:

- Sort
- Column width
- Order
- Filter

**Sort:** The contents of each column can be sorted in ascending or descending order.

**Column width:** The column titles can be changed with the mouse. The corresponding arrow selection appears next to the titles. An arrow to the right and left allows you to widen the columns.

**Order:** The order of the columns can be changed with the mouse. To do this, select a title and drag it to the new position.

**Filter:** Make an entry in the column header according to which the filter is to be applied.

## Eintrag erstellen, ändern

**Tipp:** Eintrag aus dem linken Fenster in das rechte Fenster ziehen (drag & drop)..

**Zeichen:** Plus, Minus, Gleich-Zeichen als visuellen Erläuterung zur Formel.

**Titel:** Bezeichnung des Formeleintrags.

**Planwert:** Entspricht dem Wert, auf den sich die Formel bezieht.

**Mandant:** Mandant, auf den sich die Formel bezieht. Bei "Simulations-Mandanten" können übergreifend Mandanten ausgewählt werden. Bei einfachen bleibt die Auswahl auf den geöffneten beschränkt.

**Simulation:** Gruppe, auf die sich die Formel bezieht.

**Zeitraum:** Zeitraum, auf den sich die Formel bezieht.



Wertreferenz bedeutet, dass der eingetragene Wert verwendet wird. In den Formeln hinterlegt und daran ggf. Szenarien angehängt. Bei einem Simulationslauf können sich demnach simulationsbedingt Werte ändern. Das kann aber zu falschen Ergebnissen führen. Offensichtlich ist dies bei den Kennzahlen. Wenn bspw. die Umsatzrendite berechnet wird und Zähler und Nenner mit Szenarien belegt sind, so haben wir eine doppelte Berücksichtigung von Szenarien. Mit dem Häkchen werden bei der Formel Szenarien ignoriert.



Währungsumrechnung berücksichtigt die Währung bei den Formeln. Bei übergreifenden Mandanten können die Währungen ja unterschiedlich sein. Werte müssen entsprechend auf die Hauptwährung umgerechnet werden.

## Kontrollintervalle

**Idee:** Kontrollintervalle dienen der wiederkehrenden Vorlage von Einträgen.

**Tipp:** Doppelklick auf einen Eintrag oder den Kalender öffnet das Eingabefenster.

**Tipp:** Kontrollintervalle sind Mandanten-spezifisch. Sie sind für alle Benutzer gleich.

×

**Betreff:**

**Ganztätig:**  EIN

**Anfangszeit:**  📅

**Endzeit:**  📅

**Beschreibung:**

**Wiederholung:**  EIN

Täglich  
 Wöchentlich  
 Monatlich  
 Jährlich

Alle:  Monat(e)

Am:

Wiederholungsende:  A...

## Prozesslandschaft

**Idee:** Die Prozesslandschaft ermöglicht eine weitere Gliederung der der Strukturierung der Erfassung von Risiken, Chancen oder Audit-Einträgen. Die Matrix ist 3-stufig gegliedert. An der untersten Ebene werden Einträge zugewiesen, z. B. Risiken.

**Beispiel:** Unterstützungsprozesse (1. Ebene), Materialwirtschaft (2. Ebene), Einkauf (3. Ebene).



Prozess bearbeiten.



Prozesseintrag an eine andere Position verschieben.

**Tipp:** In den Details (bearbeiten) kann die Beschreibung geändert werden.

## Standard-Bewertungen

**Idee:** Die Risikobewertung dient dazu, die quantitativen Auswirkungen eines Risikos zu erfassen. Die Risiken können mit Hilfe von drei Szenarien beschrieben werden. Es sollte jeweils sollte die Eintrittswahrscheinlichkeit der Schäden und die Schadenwirkung „netto“, d.h. unter Berücksichtigung vorhandener Bewältigungsmaßnahmen angegeben werden. Darüber hinaus können neue Bewältigungsmaßnahmen erfasst werden.

Die Eingabe einer Standard-Bewertung wird bei allen erfassten Risiko-Einträgen eingetragen.

**Titel:** Beschreibt den Eintrag (Szenario) kurz & bündig.

**Probably.** Probability describes the frequency. Like the amount of damage, it can be variable and lies between ... and...

**Verteilung:** Pro Risiko stehen eine unbegrenzte Anzahl an Szenarien zur Verfügung, was z. B. einem „realistischen Höchstscha- den“, „mittleren Schaden“ und „Kleinscha- den“ entspricht. Beschreiben Sie qualitativ in den Notizen rechts bei jedem Szenario möglichst genau, welche Überlegungen dem Szenario zu Grunde liegen. Die Angaben zur Schadenhöhe sollten möglichst nachvollziehbar sein.

There are different ways to describe a scenario:

- Fixed height
- Equal distribution
- Normal distribution
- Lognormal distribution
- Triangular distribution
- Disabled

**description:** The evaluation can be described in a comprehensible way.

**Preview:** The entries per scenario can be checked visually for plausibility.

**Save:** Save saves the entries.



Neue Risikobewertung erstellen,

**Tip:** Any number of rating entries are possible.

**Tip:** For normally distributed risks, the entry can be made in percent of the expected value or in a currency.

**Tipp:** Ein bewertetes Risiko muss in der Simulation einer Variablen zugeordnet sein (GuV-Position), damit sich das Risiko auch quantitativ auswirkt.

## Workflow

**Idee:** Workflows steuern die Eingabeprozesse in RIMIKSX. An dieser Stelle können vordefinierte Workflows ausgewählt werden.

## Checklisten

**Idee:** Checklisten unterstützen die Informationserhebung und dokumentieren Sachverhalte, z. B. die Einschätzung der Marktattraktivität oder Rating-Analysen.

Checklisten können erstellt (bzw. kategorisiert) werden für:

- Feldermatrix
- Mandanten
- Global (für alle verfügbar)

**Tipp:** Checklisten sind dreistufig ausgelegt: Titel, Frage, Antworten

**Tipp:** Kleines Dreieck vor den Einträge öffnet die Unterpositionen.



erstellt einen neuen Eintrag auf oberster Ebene.



Symbols are provided with functions (in the order of the picture):

- Bearbeiten
- Delete
- Neuer Untereintrag erstellen



Symbols are provided with functions (in the order of the picture):

- Importieren von Checklisten (Struktur identisch wie bei Export)
- Export von Checklisten

## Rollen

**Idee:** Rollen steuern den Zugang von Benutzern zu den Informationen.

**Tipp:** Klick auf einen Eintrag öffnet das Eingabefenster.



Symbols are provided with functions (in the order of the picture):



- Delete
- Export nach Excel
- Neue Rolle anlegen

Rollen enthalten die folgenden Teile:

- **Rollenname:** Titel der Rolle.
- **Berechtigungen:** Die markierten Berechtigungen erlauben den Zugriff zu den entsprechenden Informationen.
- **Charakteristiken:** Im Admin-Bereich vordefinierte Charakteristiken können hier zugewiesen werden.
- **Beschreibungen:** Im Admin-Bereich vordefinierte Beschreibungen können hier zugewiesen werden.
- **Reports:** Im Admin-Bereich vordefinierte Reports können hier zugewiesen werden.
- **Checklisten:** Im Admin-Bereich vordefinierte Reports können hier zugewiesen werden.



Columns can be assigned to the table or removed again (move column titles back into the list)

Es bestehen folgende Anpassungs-Möglichkeiten:

- Sort
- Column width
- Order
- Filter

**Sorting:** The contents of each column can be sorted, ascending, descending.

**Column width:** The column titles can be changed with the mouse. The corresponding arrow selection appears next to the titles. An arrow to the right and left allows you to widen the columns.

**Order:** The order of the columns can be changed with the mouse. To do this, select a title and drag it to the new position.

**Filter:** Make an entry in the column header according to which the filter is to be applied.

## Benutzer

**Idee:** Benutzer sind Anwender von RIMIKSX. Ein Benutzer hat mit einer Rolle Zugang zu einer Entität.

**Tipp:** Klick auf einen Eintrag öffnet das Eingabefenster.



Symbols are provided with functions (in the order of the picture):

- Delete
- Export nach Excel
- Neuer Benutzer anlegen

Benutzer enthalten die folgenden Teile:

- **Details:** Präzisierungen des Benutzers.
  - **Benutzername:** Präzisierung des Benutzers. Erforderlich für den Anmeldevorgang.
  - **Vorname Nachname:** Präzisierung des Benutzers.
  - **E-Mail Adresse:** Präzisierung des Benutzers.
  - **Aktiv:** Merkmal, um die Liste überschaubarer zu halten. Inaktive können ausgeblendet werden.
- **Rollen:** Auswahl der für den Benutzer zulässige Rollen.
- **Mandanten:** Zugang mit der ausgewählten Rolle.



Columns can be assigned to the table or removed again (move column titles back into the list)

The following adjustment options are available:

- Sort
- Column width
- Order
- Filter

**Sortieren:** Die Inhalte jeder Spalte kann sortiert werden, aufsteigend, absteigend.

**Column width:** The column titles can be changed with the mouse. The corresponding arrow selection appears next to the titles. An arrow to the right and left allows you to widen the columns.

**Reihenfolge:** Die Spaltenreihenfolge kann mit der Maus verändert werden. Hierzu wird ein Titel ausgewählt und an die neue Stelle gezogen.

**Filter:** Make an entry in the column header according to which the filter is to be applied.

## Snapshots

**Idee:** Ein Snapshot ist ein virtuelles Abbild von RIMIKSX, was zu bestimmten Zeitpunkten („Momentaufnahme“) ausgeführt wird. Es besteht aus Referenz-Markierungen. Das wichtigste Kriterium eines Snapshots ist der Zeitpunkt der Auslösung.



neuen Snapshot erstellen.

**Tipp:** Klick auf einen Eintrag öffnet das Eingabefenster. Die Snapshot-Bezeichnung kann geändert werden.

**Tipp:** Wenn ein Snapshot aktiviert ist, können keine Eingaben getätigt werden. Es kann der Stand zum gewählten Zeitpunkt betrachtet werden. Es erscheint in der obersten Zeile ein grüner Balken mit dem Snapshot-Namen. Aktivieren der grünen Fläche deaktiviert den Snapshot-Modus.



Symbole sind mit Funktionen versehen (in der Reihenfolge des Bildes):

- Aktiviert den ausgewählten Snapshot.
- Neuer Benutzer anlegen

## Report Designer

**Idee:** Möglichkeit, eigene Reports zu erstellen oder bestehende zu ändern.

Wir verweisen für Details auf die Hilfeseiten des Entwicklers:

<https://devexpress.github.io/dotnet-eud/interface-elements-for-web/articles/report-designer.html>

## Report Verwaltung

**Idee:** Die Report-Verwaltung dient dazu, die Reihenfolge und den Zugang zu steuern.



Symbols are provided with functions (in the order of the picture):

- In der Reihenfolge nach oben schieben
- In der Reihenfolge nach unten schieben
- Report einer Rolle zuweisen (ein Benutzer mit der entsprechenden Rolle hat Zugang zum Report)
- Report exportieren
- Report löschen

Report importieren

Symbols are provided with functions (in the order of the picture):

- Report importieren, öffnet ein Fenster, um dem Report einen Namen zu geben und eine entsprechende Datei zu importieren.

## Workflow-Verwaltung

Idee: Die Workflow-Verwaltung dient dazu, die Reihenfolge und den Zugang zu steuern.



neuen Workflow erstellen.



Symbols are provided with functions (in the order of the picture):

- Workflow bearbeiten
- Workflow löschen

Für Details verweisen wir auf:

<https://workflowengine.io/documentation/>

## Vorlagen

Idee: Vorlagen für Maßnahmen und Kontrollen integrieren.

Tipp: Vorlagen funktionieren für Maßnahmen und Kontrollen das sie Einträgen zugeordnet sind (n:n-Beziehung). Bei Risiken bspw. ist die Komplexität viel höher, da viele Merkmale erforderlich sind.

Tipp: Die Auswahl orientiert sich an den gängigen Feldermatrixen



neue Vorlage erstellen.



Symbole sind mit Funktionen versehen (in der Reihenfolge des Bildes):

- Vorlage bearbeiten
- Vorlage löschen

Vorlagen sind möglich für:

- Maßnahmen
- Kontrollen

Vorlagen enthalten die folgenden Teile:

- **Titel:** Titel der Vorlage.
- **Ziele:** Ziele (Sinn & Zweck) der Maßnahme bzw. Kontrolle.
- **Hauptkategorie:** Hauptkategorie der Feldermatrix.
- **Kategorie:** Kategorie der Feldermatrix.
- **Unterkategorie:** Unterkategorie der Feldermatrix.
- **Beschreibung:** Präzisierung der Vorlage.

## Dashboards

**Idee:** In der Dashboard-Verwaltung können Dashboards Benutzern zugeordnet und als Standard werden.

**Tipp:** Den Dashboard-Eintrag auswählen öffnet das Eingabefenster.



Symbols are provided with functions (in the order of the picture):

- Dashboard löschen

## Verlauf

**Idee:** Revisionssichere Dokumentation der Vorgänge in RIMIKSX.

**Tipp:** Vorlagen funktionieren für Maßnahmen und Kontrollen das sie Einträgen zugeordnet sind (n:n-Beziehung). Bei Risiken bspw. ist die Komplexität viel höher, da viele Merkmale erforderlich sind.

**Tipp:** Die Auswahl orientiert sich an den gängigen Feldermatrixen



neue Vorlage erstellen.



zeigt die Details zu den Vorgängen, sofern verfügbar. Bspw. neue Risiken haben keinen vorherigen Stand.

Verläufe enthalten die folgenden Teile:

- **Aktion:** Bezeichnung des Vorgangs.
- **Objekt:** Ziele (Sinn & Zweck) der Maßnahme bzw. Kontrolle.
- **Benutzername:** Verantwortlicher für die Änderung.
- **Uhrzeit:** Zeitpunkt der Änderung.

## Papierkorb

**Idee:** Gelöschte Objekte wiederherstellen.

Wiederherstellen ist möglich für:

- Gelöschte Mandanten
- Gelöschte Objekte von Mandanten aus
  - Risikoinventar
  - Chanceninventar
  - Audit-Inventar
  - Maßnahmeninventar
  - Schadeninventar
  - Kontrollen



Symbols are provided with functions (in the order of the picture):

- Gelöschtes Objekt wiederherstellen
- Gelöschtes Objekt endgültig löschen

Papierkorb-Inhalte enthalten die folgenden Elemente:

- **Name:** Bezeichnung des Objekts.
- **Zeitraum:** Zeitraum des Objekts.
- **Gelöscht am:** Zeitpunkt des Löschvorgangs.
- **Benutzer:** Verantwortlicher für die Löschung.