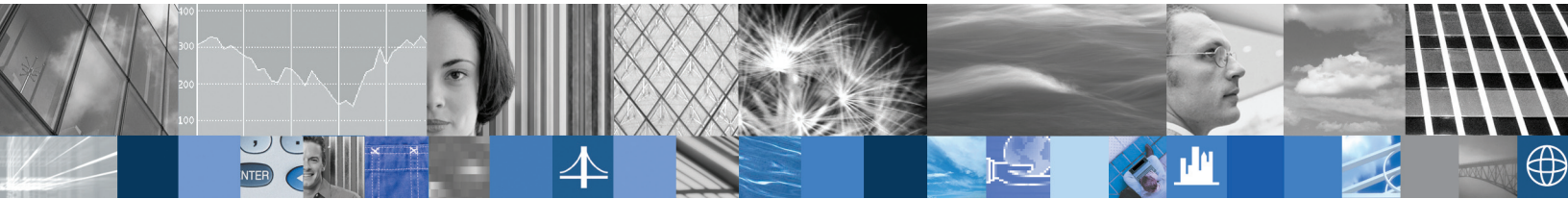


IBM® Workplace™ for Business Controls and Reporting Version 2.6



Highlights

- ***Establishes a sustainable controls management platform to help lower the total cost of compliance***
- ***Increases visibility into organizational processes, risks and control effectiveness***
- ***Simplifies enterprise risk and control self-assessments with user-defined surveys***
- ***Enhances efficiency with support for multiple control types, including out-of-the-box support for COSO and CoBIT internal-control frameworks***
- ***Delivers a role-based, collaborative approach with executive dashboards for real-time monitoring***
- ***Leverages leading IBM technologies to improve people and process efficiencies***

Use a sustainable platform to document, evaluate and report on internal controls

Taking risks is a fact of business life. To help improve shareholder value, organizations must assess and manage risks successfully, which, in turn, requires effective management of the business controls environment. Maintaining compliance is another necessity of business life. To help address the variety of regulatory initiatives, organizations need the ability to document, evaluate and report on internal controls of any type. The ultimate challenge for many organizations is implementing an open controls management platform that addresses these needs across the enterprise.

IBM® Workplace™ for Business Controls and Reporting Version 2.6 software provides a sustainable controls management platform based on open standards and supports internal controls of any type—operational, strategic, compliance, IT or financial. With out-of-the-box support for both COSO and the CoBIT internal-control frameworks, IBM Workplace for Business Controls and Reporting Version 2.6 software helps to reduce complexity by delivering a single tool to help companies meet multiple compliance requirements. In addition, by integrating capabilities for knowledge and information management and by providing a collaborative work environment, IBM Workplace for Business Controls and Reporting software can help you to effectively manage internal business controls and reporting requirements.

Gain enhanced visibility with shared controls and simplified reporting

IBM Workplace for Business Controls and Reporting software can be an important part of your overall business controls management process. The capability for *shared controls* helps reduce testing efforts by allowing users to share evaluation results across business units and processes. *Certification* capability at the business unit and process levels provides accountability—giving owners the ability to certify that business units and processes are meeting company standards and to provide certification comments following review of controls. And audit trails allow you to track key changes.

The product also delivers easy-to-use, out-of-the-box reports based on IBM DB2® Alphablox® technology, so you can quickly and easily monitor the status of your control effectiveness. An executive view enables you to monitor and follow up on overall control effectiveness, control impact, evaluation status and the number of controls within the organization. In total, 33 standard reports are available to provide the detailed visibility your organization needs; alternatively, you can also use Alphablox technology to create custom reports to meet the unique reporting needs of your organization. Flexible reporting options continue to be supported through integration with leading third-party vendors, including MicroStrategy, Actuate, Business Objects, Cognos and Hyperion.

Improve organization with enterprise risk and control self-assessment surveys

Self-assessment surveys, a critical component of any strong self-assessment program, provide valuable insight into organizational risks associated with business processes and lines of business. They help empower process owners to be accountable and responsible for identifying risks, and for creating mitigation plans to address those risks.

IBM Workplace for Business Controls and Reporting Version 2.6 software delivers a new survey tool based on IBM® Workplace Forms™ technology that enables you to create and manage customized self-assessment surveys. With the new survey tool, you can publish surveys to internal and external survey respondents; review and return surveys for correction; and utilize external reporting tools to display the results of the survey.

Enhance efficiency with controls management support

IBM Workplace for Business Controls and Reporting software provides support for a broad range of internal controls: strategic, operational, IT, compliance and financial. Within the context of each of these controls, process information can be linked to applicable information within the enterprise. For example, Basel II or operational risk controls can be linked to loss data information; financial processes can be linked to key financial statement accounts to help understand the effect of a particular control on the statement's accuracy; and IT policies can be linked with applicable business continuity processes.

Comprehensive controls management capabilities include the following:

- **Global, shared controls**—*Controls that support multiple risks (even if the risk is not in the same business unit or process) may be tested once and then shared with other risks. This helps reduce the cost of testing by allowing a control to be tested once and applied broadly.*
- **Versioning and trending**—*Versioning support enables the organization to create a version of its data at defined intervals. These versions remain online and can be used to gauge progress and trends.*
- **E-mail notifications**—*Notifications via e-mail provide an efficient method of tracking significant changes and alerting users to expected actions.*
- **Automated organizational movement**—*Organizational movement allows anyone with the appropriate access rights to move an organizational unit and all related process and control documentation.*
- **Process and control catalog import**—*Process and control information stored in spreadsheets or expressed as XML can be imported directly using a utility that ships with the IBM Workplace solution, reducing the time to set up processes and controls.*
- **Dynamic process updates**—*Dynamic process updates allow changes to controls to be recorded in the original process and control catalog, and then pushed to all business units that will use the changed process and controls. This helps reduce administrative time as process and control catalogs change due to reengineering, process improvements or new systems implementations.*

- **Edit and rename user interface items**—*Label Manager, an administrative component of the solution, allows buttons, labels and drop-down lists to be edited or renamed to match specific corporate language and terminology when required.*
- **Extended value for your IT environment**—*Built on open Sun Microsystems Java™ 2 Platform, Enterprise Edition standards, IBM Workplace technology enables you to implement a modular solution, helping extend the value of your current IT infrastructure.*
- **Flexible database support**—*IBM Workplace for Business Controls and Reporting software can be implemented on either IBM DB2 Universal Database™ software or Oracle as your underlying database management system.*
- **Meet key financial reporting regulations such as the Sarbanes-Oxley Act of 2002, Loi de Sécurité Financière, Canadian Bill 198, OMB A-123, Japanese statutes and the EU Directive on Financial Reporting**—*Certification of elements can take place at the individual control level and then be rolled up to allow process owners to certify their processes, so that, subsequently, business unit owners may certify their business units.*

Take a collaborative, role-based approach to controls reporting

IBM Workplace for Business Controls and Reporting software creates a role-based environment that allows users to view information specific to their roles within the controls management process. In addition, they can manage and share documents, such as organizational charts, policies and

standard operating procedures, in a security-rich environment. Integrated collaboration capabilities can help teams resolve issues and share information quickly with real-time communication through instant messaging, online discussions and meetings, and automatic e-mail alerts.

All content related to your processes and business controls, as well as documents defining your policies and procedures or compliance processes, can be stored in the solution's controls database. This database can be accessed through the IBM Workplace portal by internal staff, auditors, external legal counsel and others—as required and defined by your company.

Leverage industry-leading IBM technology and services

The power of IBM Workplace for Business Controls and Reporting software can be enhanced by IBM DB2 Records Manager software, which helps enable the structured disposition of content and records based on comprehensive, policy-driven retention rules (time or event based). In addition, selective suspension (legal holds) can be communicated.

To ensure that expectations for roles and responsibilities are clearly communicated and enforced enterprise wide, effective ongoing training is critical. The IBM Lotus® Learning Management System offering can help ensure that your employees—despite turnover and personnel shifts—are properly trained on the latest standard operating procedures and understand their roles. IBM Lotus Learning

Management System software is a scalable, flexible learning management solution that supports an organization's complete set of learning activities, resources and courseware.

To improve process efficiency, IBM WebSphere® Business Integration Modeler software can be used to improve customers' control processes and export them back into the IBM Workplace for Business Controls and Reporting software's repository for implementation. IBM WebSphere Business Integration Modeler software, together with IBM Workplace for Business Controls and Reporting software, can help support an organization's efforts to perform complex risk analytics, simulate scenarios and optimize its business activities. Simulations allow customers to better understand the consequences of their business activities, assess the impacts from a risk perspective and put the appropriate mitigation activities into place.

Evolving interpretations of corporate policy can impact downstream changes to dozens of policy artifacts and hundreds of supporting business process objectives. Policy provisioning is the discipline of capturing, interpreting, communicating and managing these policies over time. Clients can use IBM Workplace for Business Controls and Reporting software along with IBM Rational® RequisitePro® software to trace legislation from policy interpretation to application requirements, identify coverage gaps and understand the impact of changes to regulations, policies or applications.

And you can get your solution started confidently with IBM Software Services. The IBM Software Services for Lotus team has experience in helping organizations derive business value from their IBM and Lotus software investments. The team provides technical services designed to assist with project management and implementation, as well as technical orientation, for the IBM Workplace for Business Controls and Reporting solution. IBM Software Services for Lotus professionals can assess your environment and provide recommendations that take into account internal and external deployment risks, helping you make timely and well-informed decisions. A self-paced computer-based training program designed to acquaint you with the basic IBM Workplace solution is also available from the IBM Software Services for Lotus team.

Manage controls with flexible deployment options, including hosting

IBM provides a flexible hosting solution—IBM Workplace for Business Controls and Reporting Service—that enables you to use IBM Workplace for Business Controls and Reporting software over the Internet. As a cost-effective, easy-to-deploy alternative delivery method, this service provides monthly billing based on usage (per user) and helps you to:

- **Speed return on investment**—*Eliminate delays due to procurement cycles to acquire hardware; implement solution in weeks not months.*
- **Reduce costs**—*Eliminate capital investments associated with new hardware and training.*

- **Reduce IT risks**—*IBM assumes daily operations, backup and restoration, data archiving and application upgrades.*
- **Focus on core business capabilities**—*IBM provides the installation, configuration, management and administration of the infrastructure and application.*
- **Respond more flexibly to changing business requirements**—*Add or reduce resources as you need them and map IT costs to actual business costs.*

Hosted in IBM e-business Hosting™ world-class, security-rich data centers, IBM Workplace for Business Controls and Reporting Service gives you full command over your control processes and data while reducing the headaches of running the systems and software.

For more information

To learn more about the IBM Workplace for Business Controls and Reporting solution, contact your IBM representative or visit:

ibm.com/software/workplace/businesscontrols

For minimum technical specifications, please visit:

142.ibm.com/software/workplace/products/product5.nsf/wdocs/bcg-sysrequirements



© Copyright IBM Corporation 2006

IBM Corporation
Software Group
Route 100
Somers, NY 10589
U.S.A.

Produced in the United States of America
03-06
All Rights Reserved

DB2, DB2 Universal Database, e-business Hosting, IBM, the IBM logo, Lotus, the On Demand Business logo, Rational, RequisitePro, WebSphere, Workplace and Workplace Forms are trademarks of International Business Machines Corporation in the United States, other countries or both.

ALPHABLOX is a registered trademark of Alphablox Corporation in the United States, other countries or both.

Java and all Java-based trademarks are trademarks of Sun Microsystems, Inc., in the United States, other countries or both.

Other company, product or service names may be trademarks or service marks of others.

Clients are responsible for ensuring their own compliance with the Sarbanes-Oxley Act and other relevant laws. It is the client's sole responsibility to obtain advice of competent legal counsel as to the identification and interpretation of any relevant laws, including but not limited to, the Sarbanes-Oxley Act, that may affect the client's business and any actions the client may need to take to comply with such laws. IBM does not provide legal, accounting or auditing advice, or represent or warrant that its services or products will ensure that a client is in compliance with any law.

The information contained in this documentation is provided for informational purposes only. While efforts were made to verify the completeness and accuracy of the information contained in this documentation, it is provided "as is" without warranty of any kind, express or implied. In addition, this information is based on IBM's current product plans and strategy, which are subject to change by IBM without notice. IBM shall not be responsible for any damages arising out of the use of, or otherwise related to, this documentation or any other documentation. Nothing contained in this documentation is intended to, nor shall have the effect of, creating any warranties or representations from IBM (or its suppliers or licensors), or altering the terms and conditions of the applicable license agreement governing the use of IBM software.