



## DOCUMENT CRITICAL DATA ELEMENTS WITH A 'CLICK'

Compliance with Existing & Future Regulatory Requirements Using ASG Data Intelligence

### USING ASG DATA INTELLIGENCE, NORD/LB:

- Completed documentation of its glossaries, bank auxiliaries and critical data to show regulatory authorities
- Reduced compliance processes by 3-4 weeks
  - Had significant savings
  - Cost & Time Savings
  - Central Maintenance Costs

**“ Once the solution was implemented and tested, ASG made sure NORD/LB stakeholders were trained on DI so they could use it to its full potential. ”**

**Herbert Fehse**  
Applications Manager,  
NORD/LB

### ! CHALLENGE

Norddeutsche Landesbank Girozentrale (NORD/LB) is one of the largest commercial, federal state-owned banks in Germany. Headquartered in Hanover, Germany, NORD/LB comprises more than 6,000 employees and spans 21 cities worldwide, including Paris, New York, London and Shanghai. NORD/LB partners with 65 savings banks across Northern Germany and beyond, in addition to operating as a service provider for individual savings banks.

As a systemically important bank (SIB), NORD/LB houses massive amounts of data related to business (e.g. several reporting systems) and IT (e.g. millions of tables and fields contained in databases) and has long required solutions for governing that data. Since 1998, NORD/LB had used ASG's Metadata Management Repository (ASG-Rochade) for data management, data modeling and data dictionary purposes – all of which were extremely effective at governing the bank's data and helping to maintain regulatory compliance.

When NORD/LB was faced with a new regulation in 2015 – the Basel Committee on Banking Supervision's regulation number 239 (BCBS 239), the bank quickly needed to enhance its data governance strategy. BCBS 239 necessitated proof of risk data aggregation capabilities and internal risk reporting practices to bolster overall risk management. To comply with BCBS 239, NORD/LB sought a solution that would enable more comprehensive documentation of: the bank's most important critical data elements (CDEs); risk data aggregation processes (especially for new staff); and the flow of data and metadata within the bank's IT architecture.

With ASG's Rochade solution already in place, NORD/LB elected to use ASG's enhanced Enterprise Data Intelligence (DI) solution to meet the demands of BCBS 239. Leveraging Enterprise DI expanded the capabilities in order to provide data quality management, enterprise data dictionary, business intelligence, enterprise metadata management and most importantly, data lineage. These functionalities would be critical for providing NORD/LB with the data visibility and governance capabilities needed to comply with regulations.

## SOLUTION

In 2017, Herbert Fehse, an applications manager from NORD/LB's IT department and the BCBS 239 project team, partnered with ASG to embark on a multi-phase DI implementation process. This process was strongly supported by the BCBS 239 program manager Mr. Horst Thanbichler and the project manager for the metadata management part in the BCBS 239 project, Mrs. Kim-Janice Breuer.

The first phase focused on educating NORD/LB business users about the DI product – not only offering a proof of concept (PoC), but also mapping its capabilities against the needs of NORD/LB. Through conversations with the NORD/LB team, ASG and NORD/LB were able to design a DI solution that would optimize the company's compliance and reporting processes. This required adapting both the data models and the visualization of their top metrics to enable NORD/LB to use and present data enterprise-wide, including to the bank's subsidiaries. "Once the solution was implemented and tested, ASG made sure NORD/LB stakeholders were trained on DI so they could use it to its full potential," Fehse said.

Next, the ASG and NORD/LB teams began discussions for phase two, commencing in July 2018. This phase would involve synchronizing the DI solution with NORD/LB's data quality group to further manifest benefits to the bank, such as integrating the organization's entire data quality and data lineage information, including data glossaries. Next, ASG would integrate DI with the SAP software that generates risk reports, documenting how the SAP systems transform relevant data – a critical step to help regulatory auditors understand where data is coming from across the bank's different systems.

## RESULTS

With the DI solution, NORD/LB can now efficiently document summaries, applications, processes and critical data elements. By being able to track and report data lineage, NORD/LB can quickly meet requests from regulatory authorities. When regulators from the European Banking Authority come to NORD/LB, as they do every six months to examine compliance, NORD/LB is able to quickly pick out two pieces of record and show the auditor where that information comes from, what its lineage is, how it's changed and from which system it originated. Whereas this process used to require three to four weeks of preparation from NORD/LB – involving close examination of systems, Excel spreadsheets and paper trails to identify requested data – it can now be conducted with the click of a button.

In addition to making NORD/LB more agile in responding to regulatory requests, DI has also proven effective at mitigating potential compliance issues in the future. Using extensive database systems and modeling tools, DI allows the bank to compare releases every six months to identify what data has changed and what is new. Through this process, and with visibility into the repository, NORD/LB can generate updated databases and perform impact analyses to identify problems within the organization before they occur.

DI has become an integral part of NORD/LB's compliance process. By helping the bank comply with existing and future regulatory requirements, like BCBS 239 and freeing up employees to focus on more strategic work, it enables NORD/LB to maintain customer trust and loyalty.

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