

# Deutsche Börse Group

Individual Data Processing

Training Material for Suppliers

– *Public Document* –

Version 2.0

## Document Control

### Document properties

<b>Responsibility</b>	Master IDP Coordinator
<b>Audience</b>	Deutsche Börse Group
<b>Validity</b>	Unlimited, till revocation
<b>Revision interval</b>	Yearly
<b>Next revision</b>	2024

### Document history

<b>Version</b>	<b>Changes</b>	<b>Date</b>	<b>Author, Department</b>
1.0	Initial version	15.1.2022	Master IDP Coordinator
2.0	Annual update	15.12.2023	Master IDP Coordinator

# Table of Contents

<b>1</b>	<b>Purpose of the Document.....</b>	<b>1</b>
<b>2</b>	<b>Introduction .....</b>	<b>2</b>
2.1	Learning Content .....	2
<b>3</b>	<b>What is “Individual Data Processing”?.....</b>	<b>3</b>
3.1	Definition .....	4
3.2	Deviations .....	5
3.3	Examples of IDPs.....	6
3.4	Examples of Non-IDPs.....	7
3.5	Examples of In Development files .....	9
3.6	Legal Background and Importance for Risk Management .....	10
3.7	Primary Roles and Responsibilities .....	12
3.8	Additional Roles and Responsibilities .....	13
<b>4</b>	<b>Individual Data Processing Lifecycle .....</b>	<b>16</b>
4.1	Tools used in the IDP Lifecycle.....	17
4.2	IDP Lifecycle Overview .....	18
4.3	Identification .....	19
4.4	Classification.....	21
4.5	The risk survey at a closer look.....	22
4.6	Dokumentation.....	23
4.7	Approval .....	25
4.8	Controls .....	26
4.9	Disabling IDPs.....	27
4.10	Reporting.....	28
<b>5</b>	<b>Conclusion.....</b>	<b>29</b>
5.1	Summary .....	30
5.2	Important Link.....	30

## **1 Purpose of the Document**

The document details information about a training on “Individual Data Processing”. Individual components of the training and subsequent explanation are well described in this Document.

## Individual Data Processing IDP Training Material for Supplier

19 January 2024

## 2 Introduction

The training is designed to provide you with a clear understanding of Individual Data Processing (IDP), its importance, and your responsibilities when processing business-relevant information.

The training is divided into three core chapters:

1. What is an IDP?
2. Roles and Responsibilities concerning IDPs
3. The IDP Lifecycle.

### 2.1 Learning Content

Progress  Introduction

DEUTSCHE BÖRSE GROUP

### Learning content

The main learning objectives of this training are:

1. Learn how to correctly define and identify an IDP
2. Distinguish between what is considered an IDP, Non-IDP and a file 'in development'
3. Understand the legal background of an IDP and its importance for risk management
4. Identify roles and responsibilities for IDPs within our organisation

### 3 What is “Individual Data Processing”?

The slide features a background image of four professionals (two women and two men) in business attire standing in a modern office setting. In the top left corner, the Deutsche Börse Group logo is visible. A blue question mark icon is in the top right corner. A blue text box in the middle left contains the following text:

In this chapter, you will explore the fundamental concepts of IDP including:

- Examining how an IDP application is defined in our organisations IDP Policy
- Looking at examples of IDPs, Non-IDPs and files in development
- Understanding the legal background of IDPs and its importance for risk management

Below this text box, the word "Chapter" is partially visible. At the bottom, a navigation bar contains the title "What is Individual Data Processing?" and a series of numbered buttons (1, 2, 3, 4, 5, 6). Button 1 is selected, indicated by a checkmark. A play button icon is positioned between buttons 1 and 3.

### 3.1 Definition

The screenshot shows a presentation slide with a blue header. On the left, there is a 'Progress' indicator with a white bar. On the right, the text 'What is Individual Data Processing?' is displayed. The Deutsche Börse Group logo is in the top left corner. The slide title is 'Individual Data Processing – Definition'. Below the title, it states: 'Within our organization, IDP applications are defined in the IDP Policy as follows:'. A paragraph defines IDP applications as those developed by end users in business units, not following established IT software development processes. A list of three criteria follows: 1) based on approved technology, 2) used regularly and in the future (excluding one-time events or backups), and 3) containing data processing required by a business process (excluding simple arithmetic operations). Vertical blue navigation arrows are on the left and right sides of the content area.

Progress

What is Individual Data Processing?

DEUTSCHE BÖRSE GROUP

## Individual Data Processing – Definition


Within our organization, IDP applications are defined in the IDP Policy as follows:





**IDP applications:** IDP applications are applications developed by the end user in the business units, which are not the result of an established software development process within IT and where changes or adaptations are not subject to established IT change management processes. IDP applications are part of a business process and are required for operating the business process or for controlling it.

Additionally, the following criteria must be fully met so that an IDP application qualifies as such:

- The application must be based on an approved technology.
- The application must be used regularly and in future, thus applications that are used for one-time events or that are stored for archiving or backups are excluded.
- The application must contain data processing required by a business process. Data processing is, for instance, the use of formulas or programming code. This is to be distinguished from data processing for the purpose of simple visualisation or a small number of simple arithmetic operations, which does not qualify a file as an IDP application.

### 3.2 Deviations

Progress  What is Individual Data Processing?

## Individual Data Processing – Deviations

The IDP Policy also contains deviations which, if applicable, would require for an application to be classified as an IDP.


#### Deviations


1. Deviating from point [2](#) are applications developed by the end user in the business units that are used once in a recurring process and that have a direct regulatory or legal relevance (particularly, regarding annual financial statements, tax, risk management, and external reporting). These are to be classified as IDP applications.
2. Deviating from points [2](#) and [3](#) are such files that are directly used for external reporting. These are to be classified as IDP applications.

Understanding the definition and deviations is crucial for correctly identifying and managing IDPs within our work environment.



### 3.3 Examples of IDPs

Progress  What is Individual Data Processing?

 DEUTSCHE BÖRSE GROUP


## Examples of IDPs

Common examples of IDPs are files used for:

- Financial models (e.g., discounted cash flows)
- Risk analysis (e.g., Monte Carlo simulation)
- Portfolio management (e.g., files containing return on investments, sharpe ratio, and beta coefficients)
- Trading and investment analysis (e.g., files containing VBA codes to process market data and execute trading algorithms)

Within our organisation, IDP applications may be based on **MS Excel**, **MS Access**, or on **specific runtime environments and script languages** outlined in the Individual Data Processing Standard (e.g., Python, SQL, and Java).

IDPs must only be stored on either SharePoint or FileShare. IDPs must not be stored on your private drive.



**Individual Data Processing**  
**IDP Training Material for Supplier**

**3.4 Examples of Non-IDPs**



**Examples of Non-IDPs 1/2**

Files which are not considered an IDP are referred to as 'Non-IDPs'. The non-exhaustive standalone criteria in the left column of the table below is to be used as guidance to understand what **does not** constitute an IDP.

Non-IDP Criteria	What does it mean?
A file containing data processing that is not required for a business process.	The data processed in the file is NOT (part of) the necessary input which contributes to the output of the business process (i.e., it does not operate or control the business process). For example, a file with complex formulas which assigns secret Santas across different departments.
A file that contains a small number of simple arithmetic operations.	For example, the logic of the file can be understood by a qualified third person within a short period of time (5-10 minutes). This person can be your direct colleague or another subject matter expert.
A file that contains mostly confidential data but is not used to operate or control a business process.	Simply containing confidential data which is not otherwise used as input for the output of a business process does not make the file an IDP, especially since confidentiality is controlled by other mechanisms according to the Information Security Policy.
A file that is automatically exported from another application or automatically generated as a report.	For example, a report extracted from a data-analytics tool such as SAP Analytics (SAC).
A file that contains data processing for the purpose of simple visualization or that contains a small number of simple arithmetic operations.	For example, the simple statistics of successfully performed test cases, or data is not processed but depicted in graphs, statistics, aggregations for management decisions.
A file that is used to document or manage intra-team activities.	For example, a team member list, activity plans, project management.
A file designed for a specific, one-time event.	For example, to complete a one-time project task.

Source: QUICK GUIDE for IDP Identification, Documentation, and Approval

Progress



What is Individual Data Processing?



## Examples of Non-IDPs 2/2

Files which are not considered an IDP are referred to as 'Non-IDPs'.

Common examples of Non-IDPs include files used for:

- Event planning
- Budget planning
- Training schedules

### 3.5 Examples of 'In Development' files

Progress

What is Individual Data Processing?

DEUTSCHE BÖRSE GROUP

## Examples of 'In Development' Files

A file 'in development' remains in this state until the file has been approved by the IDP Process Owner. This is the case if the work on the logic of the file is either not yet complete, or the file has not yet been fully documented, tested, or approved. Until then, it must not be used.


A file that is in development is not, however, considered an IDP or a Non-IDP, but rather has the status 'in development'.





Files must not be in the status in development for more than 180 days.

Examples of in development files include:

- An Excel file whose formulas are still being developed and which, once successfully implemented, will be used to process business data.
- A script file that is currently being tested with test data and, after successful implementation, will be used to read business data out of a database and transform or process the data.

### 3.6 Legal Background and Importance for Risk Management

Progress  What is Individual Data Processing?

## Legal Background and Importance for Risk Management

<p>The requirements further described in this IDP training can be derived from several regulations:</p> <ul style="list-style-type: none"><li>• Minimum Requirements for Risk Management (MaRisk)</li><li>• Supervisory Requirements for IT in Financial Institutions (BAIT)</li><li>• Commission de Surveillance du Secteur Financier (CSSF) Circular 12/552 and 20/750</li><li>• European Banking Authority (EBA) Guideline on ICT and Security Risk Management</li><li>• Monetary Authority of Singapore (MAS) Technology Risk Management Guidelines</li></ul>	<p>Additionally, from a risk management perspective, adequate handling of IDPs is required to:</p> <ul style="list-style-type: none"><li>• Reduce the risk of so called 'Shadow IT' (i.e., IT that is not approved or controlled by our organisations IT department);</li><li>• Appropriately protect critical information in IDPs by proper identification, classification, documentation, approval, controls, and reporting; and</li><li>• Migrate IDPs with an information classification of 'critical' into a regular IT application</li></ul>
---	--

## 4 Roles and Responsibilities

**DEUTSCHE BÖRSE GROUP**

**?**

In this chapter, you will explore the various roles associated with IDPs and the corresponding responsibilities within our organisation. In particular, you will:

- Identify the primary roles within the IDP framework
- Gain insights into the additional roles involved in the effective management and execution of IDP processes
- Understand the responsibilities of each role


Chapter

**Roles and Responsibilities**


1 ✓ 2 ✓ **▶** 4 5 6

## 4.1 Primary Roles and Responsibilities

The screenshot shows a web application interface with a dark blue header. On the left, there is a 'Progress' indicator with a white bar. On the right, there is a 'Roles and Responsibilities' section. The main content area has a white background with a blue border. At the top left of the content area is the Deutsche Börse Group logo. At the top right are three circular icons: a home icon, a refresh icon, and a menu icon. The main title is 'Primary Roles and Responsibilities'. Below it, the text describes the 'IDP Developer' role and lists its responsibilities. A horizontal line separates this from the 'IDP Process Owner' role description and its responsibilities. A footnote at the bottom explains that the IDP Process Owner can delegate approval. The bottom of the screenshot is a solid dark blue bar.

Progress 

Roles and Responsibilities

 DEUTSCHE BÖRSE GROUP

### Primary Roles and Responsibilities

IDP Developer is an employee who develops and maintains IDPs.

Responsibilities:

- Develops and maintains the IDP and the IDP Inventory
- Identifies, classifies, and documents IDPs (negligible, minor, major, and critical) during the Risk Survey
- Initiates the IDP approval process
- Provides support for IDPs developed by him/her

---


IDP Process Owner is the responsible line manager (at least level 5) of the IDP Developer.

Responsibilities:





- Regularly checks the IDPs, Non-IDPs and in development files within his/her area of responsibility
- Provides approval\* for all IDPs within his/her area of responsibility
- Defines within one year of classification a plan for migration of critical IDPs into a regular application
- Provides annual confirmation of all IDPs within his/her area of responsibility

\*The IDP Process Owner can delegate the approval of the IDPs however this delegation must be documented in a traceable manner.

## 4.2 Additional Roles and Responsibilities

Progress 

Roles and Responsibilities



### Additional Roles and Responsibilities 1/3

**Chief Information Security Officer (CISO)** is a senior-level executive who holds the mandate to fulfil the 2nd Line of Defence information security management responsibilities.

**Responsibilities:**

- Defines the IDP Framework of Deutsche Börse Group (DBG)
- Ensures the framework's operational effectiveness and adherence to the Information Security Control requirements

---





**Master IDP Coordinator** is an employee located within Deutsche Börse AG (DBAG) who oversees and evaluates the implementation status of the IDP Framework in all covered entities and assumes reporting duties.

**Responsibilities:**

- Establish the guidelines for documenting the control activities which must be performed by the responsible 1st LoD role holders
- Set up and execute additional sample checks on the existing control documentation to ensure completeness and correctness of the classified IDP applications
- Escalate identified non-compliances with the IDP application requirements
- Verify the migration plans for critical IDP applications in alignment with all IDP Coordinators



**Progress**  **Roles and Responsibilities**

## Additional Roles and Responsibilities 2/3

IDP Coordinator is an employee within DBG who oversees, evaluates, and reports on the implementation status of the IDP Framework in his area of responsibility.

**Responsibilities:**

- Coordinating IDP processes and carrying out controls as per the IDP Control Catalogue
- Verification of migration plans of critical IDPs
- Provides central services within the area of responsibility/legal entity such as user support and management reporting


---





IDP Tester\* is an employee who prepares and executes the test cases for the IDPs.

**Responsibilities:**

- Prepares the test documentation
- Executes the test cases

\*It is important to note that the IDP Tester and the IDP Developer must be different employees

Progress  Roles and Responsibilities

 DEUTSCHE BÖRSE GROUP   

## Additional Roles and Responsibilities 3/3

IDP Business Support is located within DBAG and provides central services to all IDP Coordinators, and where necessary, to all IDP Process Owners.

**Responsibilities:**

- Provides tools for identifying, inventorying, classifying, and reporting IDPs

---

IDP Information Owner is an employee who manages and mitigates risks associated with IDPs.

**Responsibilities:**

- Manages and efficiently mitigates the risks identified as a result of IDP risk assessments

Individual Data Processing  
IDP Training Material for Supplier

5 Individual Data Processing Lifecycle

The slide features the Deutsche Börse Group logo in the top left corner. A blue question mark icon is in the top right. The main content area has a blue background with white text. Below the text is a navigation bar with six numbered buttons (1-6) and a play button icon. The background image shows three business professionals in a meeting.

**DEUTSCHE BÖRSE GROUP**

**?**

In this chapter, you will gain insights into the IDP lifecycle. Lifecycle refers to the stages that a file which is ultimately classified as an IDP goes through. Particularly this includes:

- The tools used in the IDP lifecycle
- How an IDP is identified
- The classification of an IDP in relation to the four security objectives (confidentiality, integrity, availability, authenticity) and overall risk classification (negligible, minor, major, critical)
- How to correctly document an IDP
- The process for granting approval of an IDP
- How to disable an IDP
- The controls in place
- Reporting mechanisms for IDPs

Chapter

**Individual Data Processing Lifecycle**

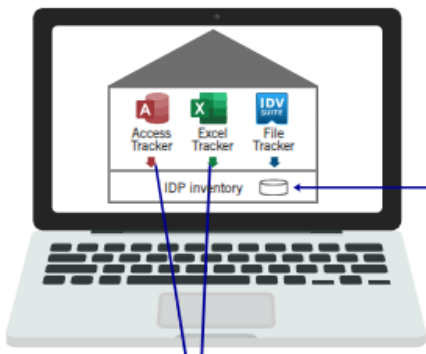
1 ✓ 2 ✓ 3 ✓ **▶** 5 6

### 5.1 Tools used in the IDP Lifecycle

Progress  Individual Data Processing Lifecycle

DEUTSCHE BÖRSE GROUP

Tools used in the IDP Lifecycle



- The IDV-Suite: An application used for identifying MS Excel and MS Access based files
- Excel Tracker: A pre-installed add-in on MS Excel which supports the process of IDP identification, classification, and subsequent processes
- Access Tracker: A pre-installed add-in on MS Access which supports the process of IDP identification, classification, and subsequent processes
- File Tracker: An application with an interface to the IDV-Suite which helps identify IDPs based on technologies other than MS Excel or MS Access (e.g., scripts). This needs to be downloaded by the user from the [Software Centre](#).
- SAP Analytics Cloud (SAC): A tool used for reporting on the IDP Inventory based on data extracted from the IDV Suite

Plug-in Access and Excel.

## 5.2 IDP Lifecycle Overview

Progress

Individual Data Processing Lifecycle

DEUTSCHE BÖRSE GROUP

### IDP Lifecycle Overview

What does the typical lifecycle of an IDP look like?

Click on the 'Next' arrow to find out more.

Identification Classification Documentation Approval Controls Disabling Reporting

### 5.3 Identification

Progress  Individual Data Processing Lifecycle

DEUTSCHE BÖRSE GROUP

## Identification 1/2

The first step in the IDP lifecycle is to identify whether a file is an IDP, Non-IDP, or in development.


When creating and saving a file which contains formula or codes in either Excel or Access, a [Risk Survey](#) is triggered automatically which requests the user to answer a first set of questions in case the file is saved again after 24 hours of the initial save of the file.

Files based on other technologies, such as script files, must first be identified using the FileTracker application. To do this, the user needs to manually identify the IDP by using the FileTracker and actively adding it to the IDP inventory. After that, he needs to classify the file by filling out the Risk Survey in the FileTracker.


The user who fills out the Risk Survey is the IDP Developer.

Individual Data Processing  
IDP Training Material for Supplier

Progress  Individual Data Processing Lifecycle

 DEUTSCHE BÖRSE GROUP

## Identification 2/2



A file will only be considered an IDP if the data processed within the file is used to operate or control a Business Process.

In this case the IDP needs to be connected to the relevant business process as defined in SAP GRC.


In case the file is not connected to a Business Process that it is operating or controlling, then the file should not be considered an IDP.

Files can be 'in Development' for a maximum of 180 days before it needs to be classified as an IDP. In all cases the business purpose of the file needs to be provided as part of the identification step.





Based on the responses selected in the Risk Survey, the file is then categorized into one of [three categories](#):

1. IDP
2. Non-IDP
3. In development


## 5.4 Classification

Progress 

Individual Data Processing Lifecycle

### Classification



For files considered an IDP, the user is prompted via the Risk Survey to choose the risk classification of the IDP. The overall criticality of the file is derived from the four Information Security objectives. These are:

- **Confidentiality:** The file is restricted to only those who are authorized to access it.
- **Integrity:** The data or information contained in the file has not been altered or destroyed in an unauthorized manner.
- **Authenticity:** The data contained in the file is complete and accurate.
- **Availability:** The file is accessible and usable when an authorized entity demands access.

Within the Risk Survey, the user must answer [questions](#) related to the types of impact the IDP might have if a breach occurs (e.g., financial, reputational, media impact) and determine the specific classification level for the different types of impact. This must always depict the estimated maximum impact for each security objective in case of any possible breach. The user can click on the 'question mark' button in the Risk Survey if further information is required for each question.

The criticality of the IDP will therefore be one of the following classifications ranking from highest protection requirement to lowest protection requirement:

- Critical
- Major
- Minor
- Negligible



Individual Data Processing  
IDP Training Material for Supplier

5.5 The risk survey at a closer look

Progress 
Individual Data Processing Lifecycle

## The risk survey questionnaire at a closer look

🔍
🏠
📁
🕒
⚙️
🕒
📄


The classification scheme follows the Group Risk Classification scheme and consists of





- types of impact to be considered and
- specific criteria for each classification level for the different types of impact.

Type of Impact	Critical	Major	Minor	Negligible	
Financial Impact p.a.	DBAG, ELAG, CBF, CBL	>5.000.000 EUR	>550.000 EUR	>50.000 EUR	<= 50.000 EUR
	Other LEs	>140.000 EUR	>14.000 EUR	>1.400 EUR	<= 1.400 EUR
Impact on public confidence	Affected for a long period of time (above 3 years)	Affected for a medium period (above 1 year to 3 years)	Affected for a short period of time (above 1 month to 1 year)	Affected below 1 month	
Media/ reputational impact	Extensive international media broadening in popular newspapers, TV, and radio	International coverage in most international newspapers, TV, and radio	Media broadening in one or a few national or international newspapers	Negative report in local media	
Estimation of unwanted impact to markets	Harmful market reaction and significant market movement longer than 1-2 weeks	Harmful market reaction and significant market movement between 1 day to 1-2 weeks	Market irritation and undesirable movements for one day	No remarkable impact	
BICM criticality class	Critical	Essential	Necessary	Desirable	
Recovery Time Objective (RTO)	RTO <= 2 hours	RTO > 2h, <= 24 hours	RTO > 24 hours, <= 1 week	RTO > 1 week	
Personal Data (PD) processing (linked to ROPA)	high risk PD processing (generally) / very high-risk PD processing	high risk PD processing (exceptions)	normal PD processing	n/a	
Regulatory impact	Regulatory action incl. significant fines, special investigations, formal warnings against legal entities, boards and/or individual board members. Partial or complete loss of license and enhanced regulatory supervision or surveillance	Regulatory action with potential fines / other regulatory action/ significant findings by regulators	Verbal or written comments from regulators	No actions with respect to regulations	


Source: Information Risk Management Guideline

## 5.6 Dokumentation

Progress  Individual Data Processing Lifecycle

### Dokumentation 1/2



Documentation is required for all IDPs.

The level of documentation which the IDP Developer must provide is dependent on the **information classification** of the IDP (negligible, minor, major, or critical) and its **technical complexity**.

An IDP can be classified as a file with either **low** or **high technical complexity**.

The technical complexity of an IDP application determines the documentation requirements for 'negligible' and 'minor' IDPs in terms of test documentation and technical documentation.

Whether an IDP application has a low or high level of technical complexity can be deduced from the use of Excel/Access functionalities.

Script files added via FileTracker are always considered IDP applications with **high technical complexity**.

The user must fill out the **'Documentation'** section in the Excel or Access Tracker and add any documentation to the 'Additional Files' tab.

Individual Data Processing  
IDP Training Material for Supplier



## Documentation 2/2



The following table shows which documents are required depending on the IDPs information classification.

Documentation	'Negligible' and 'Minor' IDPs	'Major' and 'Critical' IDPs****
Business Purpose	Yes	Yes
Business Requirements	Yes*	Yes
Test Cases	Yes**	Yes
User Guide/Training Material	n/a	Yes
Technical Documentation	Yes**	Yes
Access Concept	Yes	Yes
Recovery Procedure	Yes***	Yes
Risk Assessment	n/a	Yes

\* If the file operates or controls more than one business process.

\*\* Documentation requirements differ depending on whether the file is of low or high technical complexity

\*\*\* If the standard protection requirements are not already met

\*\*\*\* For IDPs that are classified as 'Major' or 'Critical' only for reasons of confidentiality, an access concept must be in place as a minimum requirement

Source: IDP Guideline V3.0

## 5.7 Approval

Progress  Individual Data Processing Lifecycle

DEUTSCHE BÖRSE GROUP

### Approval

- Once a file has been classified as IDP, documented and tested, the approval process must be initiated by the Developer via Excel or Access Tracker tool.
- For major and critical IDPs, the Risk Survey questionnaire must be completed before final approval can be granted.
- Approval must be provided by the Process Owner or their delegate after mandatory checks of the IDP has been carried out.

## Individual Data Processing IDP Training Material for Supplier

19 January 2024

Page | 26

### 5.8 Controls

Progress

Individual Data Processing Lifecycle

DEUTSCHE BÖRSE GROUP

## Controls

The purpose of the controls activities is to ensure that the inventory of all IDPs is up to date, properly tested and approved.

The IDP Coordinator is executing specific controls as outlined in the IDP Control Catalogue.

These are controls verifying:

- The correct classification of IDPs, Non-IDPs and files 'in development' including the documentation review and approval status
- The availability of replacement plans for critical IDPs
- The inventorization of unassessed script files
- The disabling of IDPs that are not used any more (save date > 14 month)

The Master IDP Coordinator is executing the control on the Annual Confirmation where he requests the confirmation from the IDP Process Owner, that all IDPs are inventoried and classified correctly.

## 5.9 Disabling IDPs

Progress  Individual Data Processing Lifecycle

DEUTSCHE BÖRSE GROUP

### Disabling IDPs

For IDPs which have not been saved in the last 14 months the following applies:

In case an IDP has not been used (save date > 14 months) it must be disabled. Disabling the IDP can be done in two ways:


- Archiving the file if it needs to be kept, for example due to retention obligations.
- Deleting the file if it does not need to be kept.

Putting an IDP into the status 'Archived' automatically revokes the approval and therefore moves the file into status 'Approval not initiated'. The IDP needs to undergo a new approval before it can be used again in production.


Individual Data Processing  
IDP Training Material for Supplier

5.10 Reporting

Progress  Individual Data Processing Lifecycle

 DEUTSCHE BÖRSE GROUP

## Reporting



The SAP Analytics Cloud (SAC) tool is the reporting tool used for IDPs, Non-IDPs and files in development.

- Specific reports are available for IDP Process Owners, IDP Coordinators and Master IDP Coordinators
- Specific reports are provided for management reporting and risk reporting on a regular basis

## 6 Conclusion

DEUTSCHE BÖRSE GROUP

In this chapter, you will find the summary and supporting documents.

Chapter

Conclusion

1 ✓ 2 ✓ 3 ✓ 4 ✓ [Play] 6



## 6.1 Summary

The screenshot shows a presentation slide titled "Summary" from the "Individual Data Processing e-training". The slide features the Deutsche Börse Group logo in the top left and navigation icons in the top right. The main text congratulates the user for completing the training and provides a list of basic principles for IDP management. The background of the slide shows a man with glasses looking at a tablet.

Progress  Conclusion

**DEUTSCHE BÖRSE GROUP**

### Summary

You have now reached the end of the **Individual Data Processing e-training**. We hope this training has empowered you with the skills and understanding needed to ensure compliance and effective management of IDPs in your business processes.

**Keep in mind the following basic principles:**

- Files can either be considered an IDP, Non-IDP or in development.
- IDPs can be based on MS Excel, MS Access, or specific runtime environments and script languages outlined in the IDP Standard.
- IDPs are required for operating or controlling a business process.
- IDPs should only be stored on SharePoint or FileShare and not on personal drives.
- The IDP Process Owner is responsible for the annual confirmation of all IDPs, Non-IDPs and in development files in his/her area of responsibility.
- The IDP lifecycle includes identifying, classifying, documenting, testing, approving, controlling, and reporting IDPs.
- Documentation is required for all IDPs.

## 6.2 Important Link

<https://deutscheboerse.sharepoint.com/sites/IN-Governance-and-Organisational-Services/SitePages/IDP.aspx>