



The Adventure of Business Use Cases Becoming Real GRC Features and Functions @SAP

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SAPinsider
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SAPinsider

Agenda

01

Motivation

Why we started this project and what it is about.

02

Our Project

What we wanted to achieve and how.

03

Outcome and Results

Our delivery milestones.

04

Lessons Learned

What to consider.



01 Motivation



01 Starting Point

- 10+ years after implementation and roll-out
- With regular co-innovations

- Collecting pain points
- Collecting end-user improvement ideas
- How can we make life easier?
- Taking user experience to the next level

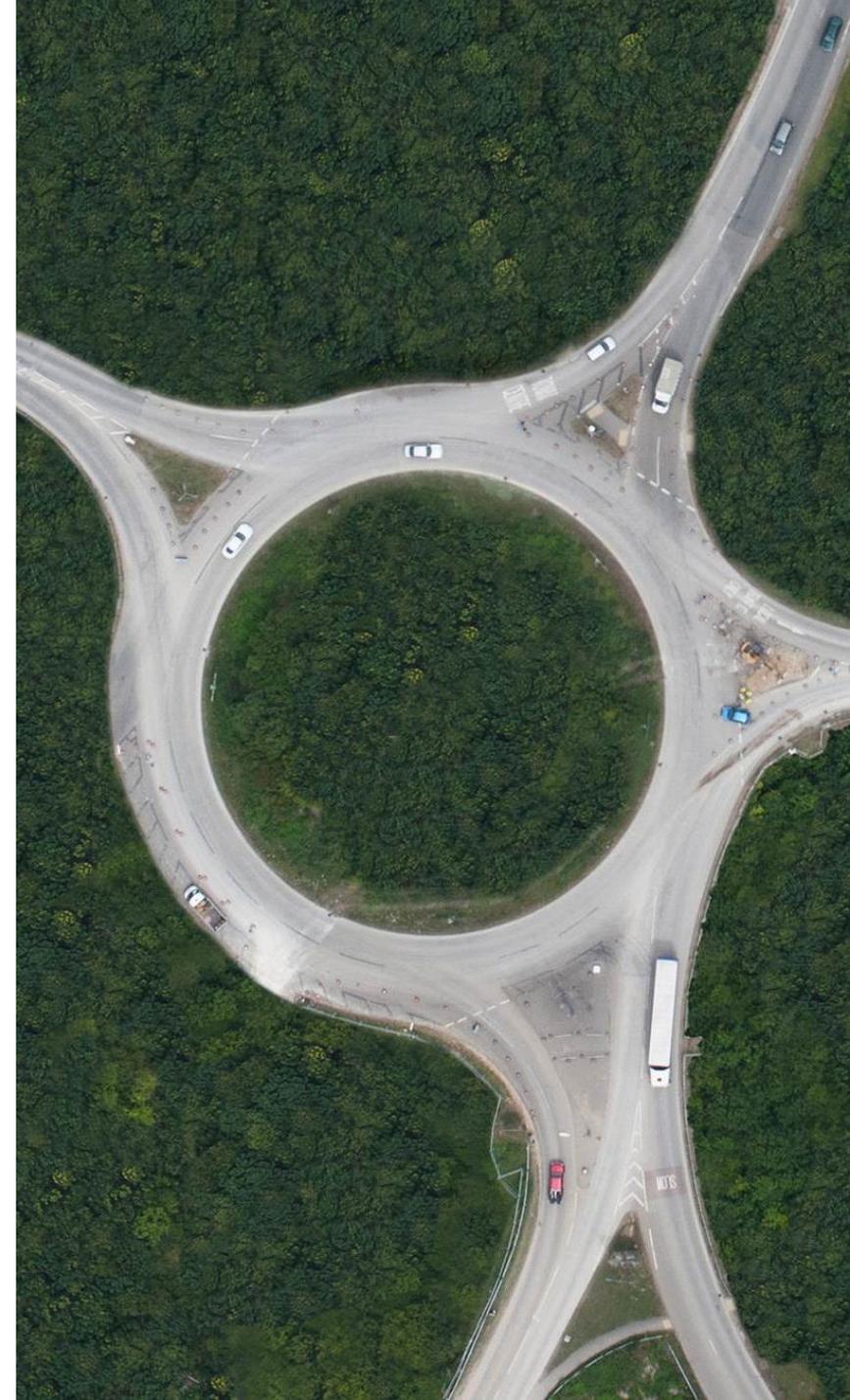


01 Approach

- Create survey

#	Topic	Feature / Functionality (be as precise as possible, incl. link or screenshot e.g.)	Feed-back from	UI-Rating* User interface improvement proposal	Handling rating* Handling improvement proposal	Performance rating* Process Flow rating*	Additional comment
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- Collect feedback including ratings
- Analyze results
(assess and classify with regards to complexity and delivery responsibility)
- Voting for prioritization
- Alignment with stakeholders
- Statement of Work



02 Our Project

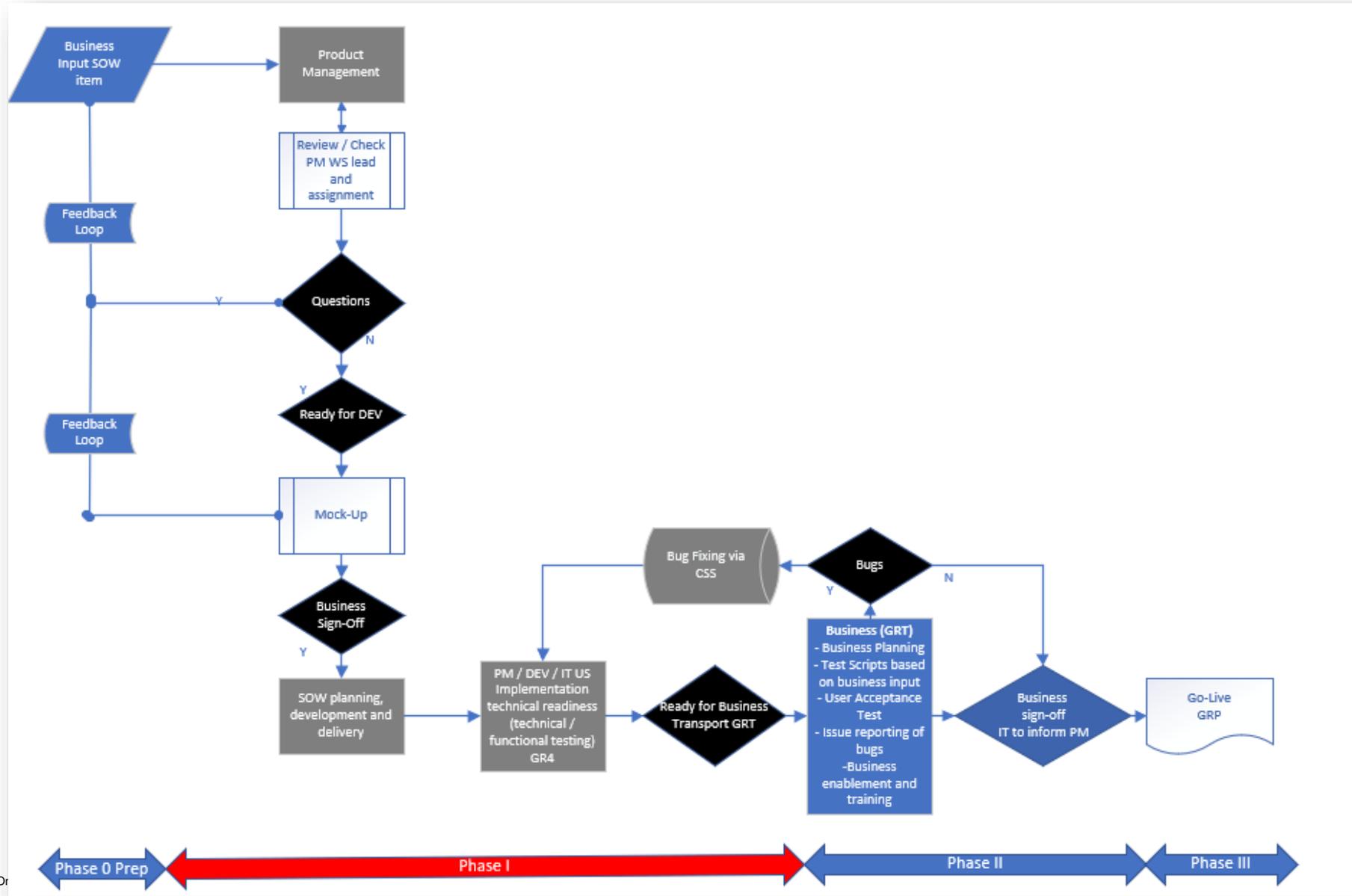


02 Organizational Set-Up

- Kick-Off
- Weekly alignment meetings with development and IT, inc. status updates and issue reporting
- Weekly Business status update meetings
- Monthly Steering status updates
- Bi-monthly Steering meetings
- PMO support



02 Development and Implementation Approach



02 Functional Specification for SOW Items and Packaging / Planning / Tracking

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1.2 Work packages and associated tasks	5-Apr-2021	25-Apr-2022	91%
Mandatory Field settings SOW#4- (joint planning with SOW#8) Allow for fields, including custom defined fields, to be included into the mandatory system setting framework - so that the corresponding logic and checks are applied. Customizing table to determine field that will then be mandatory and included in the logic.			Delivered
<i>SOW#4 overall completion rate</i>			100%
One Single Entry Screen (GRP& Simplified RPS) SOW#6 & SOW#7 GRP Data Entry requires significant number of screens to be accessed and filled out. The constant tabbing, moving in and out of screens is not user centric. Develop GRP Activity frontend screen, enable system to allow for multiple Top Risks, related Underlying risks, multiple responses per risk, analyses to be maintained in one step.			(x) Delivered
<i>SOW#6 & SOW#7 overall completion rate</i>			100%
One Single Entry Screen Simplified RPS SOW#7 joint planning with SOW#6 Easy data entry screen for Simplified RPS Requesting to develop a single screen where the field risk managers can enter all required data without any screen transitions.			Delivered
Improve Accuracy and Meaning of Field Labels SOW#8 (joint planning with SOW#4) Field description names need to be updated to properly reflect use. For instance, if a particular field is used in Board Reports or Supervisory Board Reports, provide clear indication to the user. Update of field descriptions, inclusion of a "hover over" technology to provide additional end-user information on the "what and how".			x Delivered
<i>SOW#8 overall completion rate</i>			100%

02 Reporting

Executive Summary



- Xyz done
- Abc in progress
- Issue 123 resolved
- 987 open

02 Delivery

#	Short text	Link to test cases as applicable	Additional info as necessary
SOW#5	Allow users to delete their own Old/Invalid Work Items from their inbox.	SOW#5 and SOW#28	Please validate the draft test cases developed to accelerate your testing and Go-Live to ensure they meet your current processes and adapt as necessary.
SOW#28	CCM Issue handling: Closing of CCM tasks. A backend report that allows closure of CCM tasks with a status like "auto closed" or similar. This way, we have audit evidence that the tasks have been generated but were not closed. This would allow to clean-up the work inbox; so far only the deletion of work items and cases is supported.		Corresponding notes are included up to SP19.
SOW#41	Interfaces to SAC: Enhance standard content and views for SAC including visual options (heatmap) also considering the data integration aspects (RM/PC)	SOW#41 and SOW#43	Please note: Here the previously developed "PS340-related" dashboards have been re-engineered as standard dashboards in addition to a CCM dashboard.
SOW#43	SAC Dashboard: SAP GRC development support of effort to enable SAC Dashboard		Please validate the draft test cases developed to accelerate your testing and Go-Live to ensure they meet your current processes and adapt as necessary. Please also validate the numbers to ensure correct calculation. Corresponding notes are included up to SP19.

 Name ▾

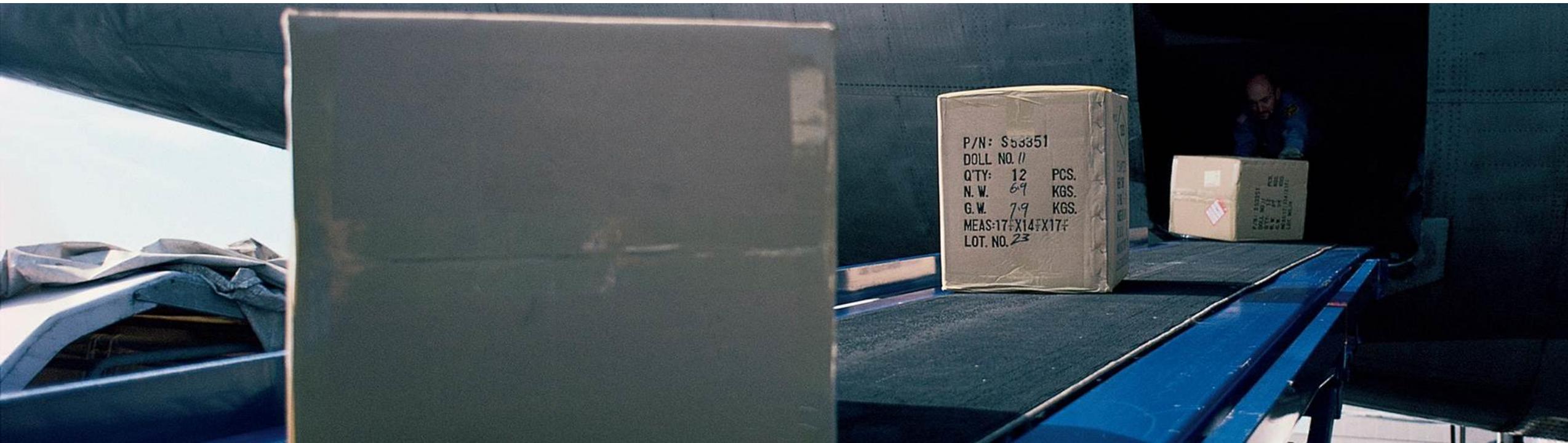
 Cancel Work Items.pdf

 SOW_5_Cancel_Work_Item_Draft.docx

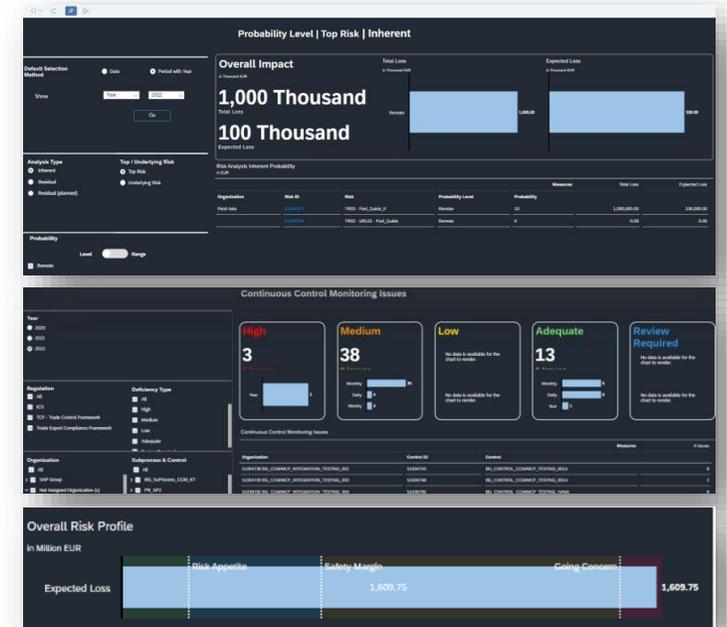
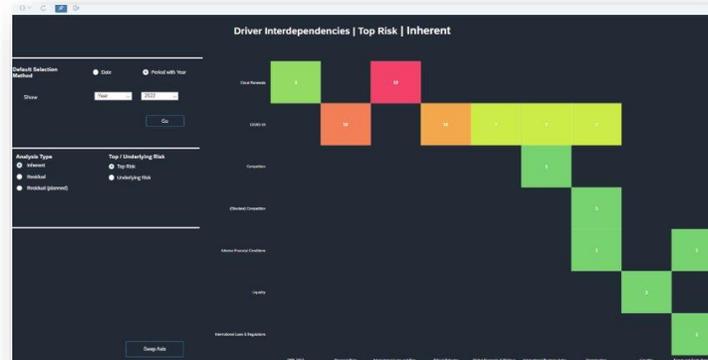
 SOW_5_Reject_or_Approve_Requested_Cancel_Work_Item_Draft.docx

 SOW_5_Request_Cancel_Work_Item_Draft.docx

03 Outcome and Results



03 SAP Analytics Cloud Dashboards



Business case:

In the context of the auditing standard PS340, we had developed home grown dashboards for reporting.

Once the concept was fully validated, we wanted to provide this also to our customers and ensure continuous improvement as necessary.

Delivery:

- Risk Aggregation by Risk Category
- Risk Aggregation by Impact Category
- Risk Aggregation by Driver Category
- Driver Interdependencies
- Impact Interdependencies
- Probability Level
- Driver Risk Count Heatmap
- Risk Profile
- Risk Count Heatmap
- CCM

Relevant Information:

Available with SP18 and 19 as well as via notes associated.

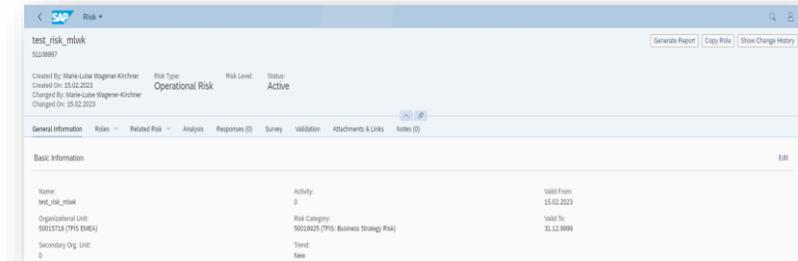
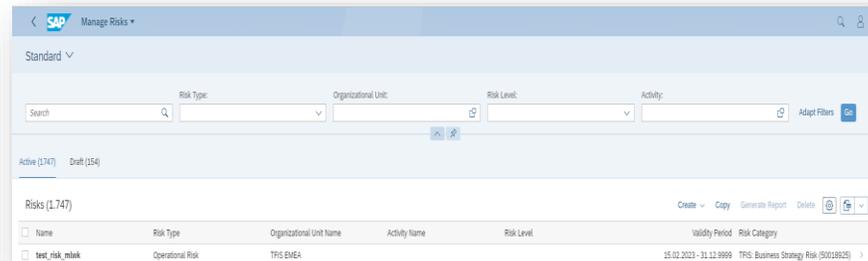
Some basic configuration required e.g. to reflect the risk profile thresholds.

[Configure URL of NetWeaver Business Client for SAC Dashboards | SAP Help Portal](#)

[Configure SAC Risk Profile Dashboard | SAP Help Portal](#)

[Configure Currency Conversion for SAC Dashboards | SAP Help Portal](#)

03 One Single Entry Screen – Fiori – Manage Activities, Risks and Responses



Business case:

Data entry requires significant number of screens to be accessed and filled out. The tabbing, moving in and out of screens is not always efficient. Provide a one single entry screen without further transitioning requirements.

Delivery:

- Three Fiori tiles with respective list viewers.
- Sorting, filtering, and grouping.
- One data entry screen with direct interfaces to copy, change history and reporting.
- Custom defined fields are included in representation.

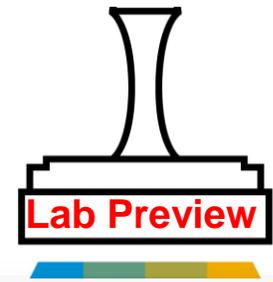
Relevant Information:

Available with SP15 and 19 as well as via notes associated.

[Configure the UI Fields for Risk Management Fiori Apps | SAP Help Portal](#)

[Custom Defined Fields | SAP Help Portal](#)

03 Personalized Settings



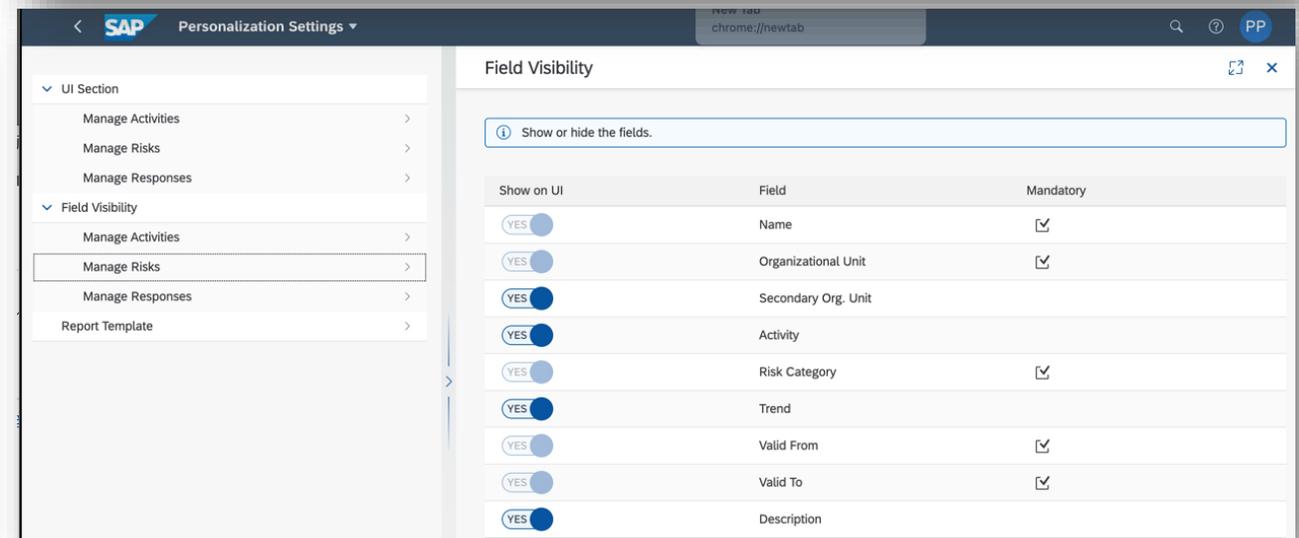
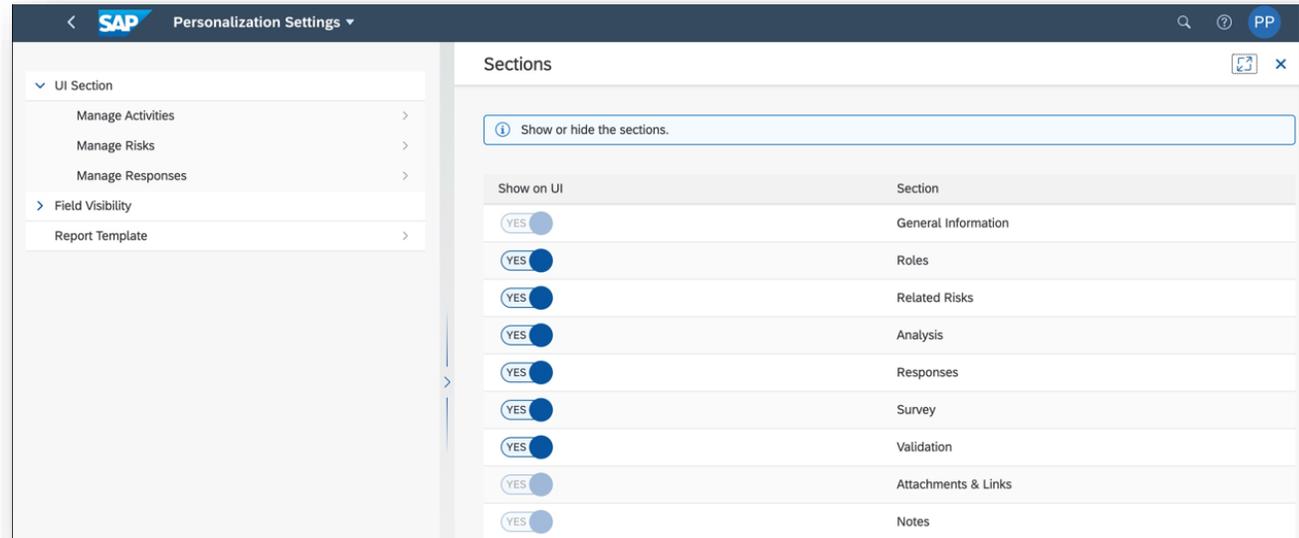
Business case:

We want to be able to adapt the end-user screen according to our needs to increase efficiency in our daily work.

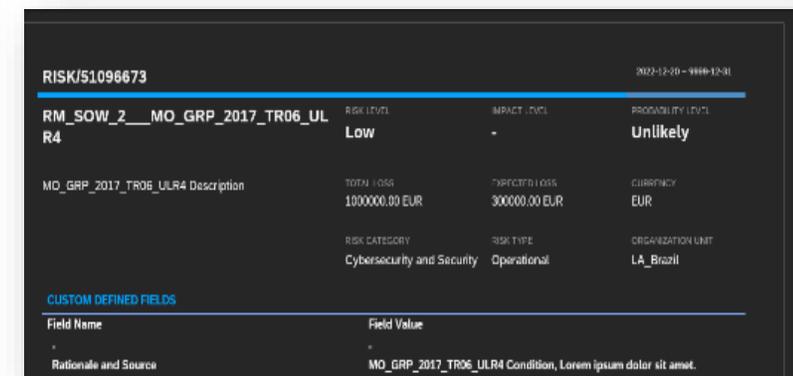
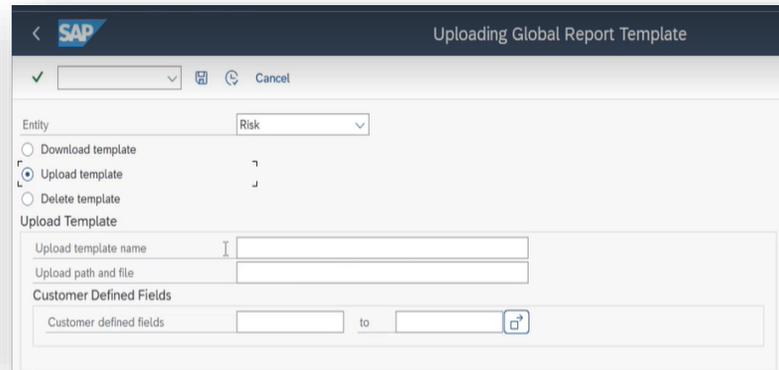
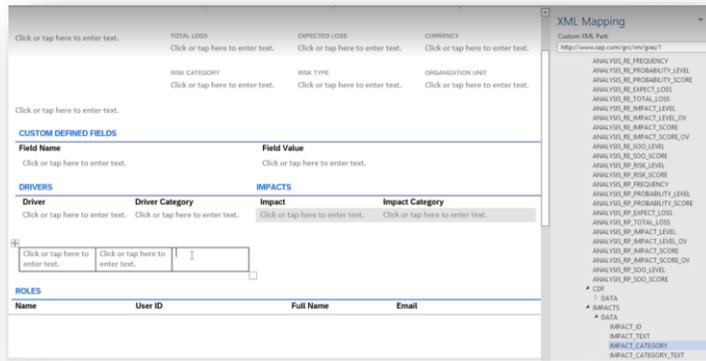
Mandatory fields cannot be hidden-

Relevant Information:

This is planned to be available with the new component version of UIGRRMPC 200 with planned RTC end of March 2023.



03 Enhanced Reporting via Microsoft Word®



Business case:

As reporting requirements vary based on business context, we want to be able to easily develop reporting templates directly in MS Word and then use them from within the application.

Delivery:

- An enhanced reporting engine.
- The word reporting templates utilize the respective GRC fields incl. custom-defined-fields and also provide an integration into Microsoft with all available features [Content controls in Word | Microsoft Learn!](#)
- Integration into application via *Generate Report*

Relevant Information:

Available with SP19 as well as via notes associated.

A template file is provided. Word templates for general use can be created supported by content control.

[Get Sample Custom XML File | SAP Help Portal](#)

[Generate Report | SAP Help Portal](#)

[Create Word Templates with Content Controls | SAP Help Portal](#)

03 Personalized Settings Report Template



Business case:

We want to be able to adapt and include custom defined fields in our reporting template.

Relevant Information:

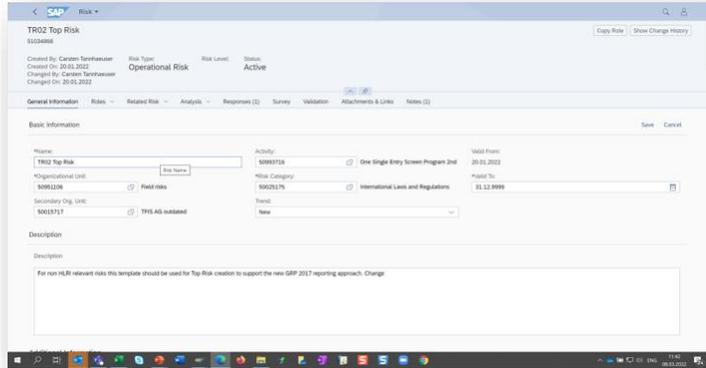
This is planned to be available with the new component version of UIGRRMPC 200 with planned RTC end of March 2023.

The screenshot shows the SAP Personalization Settings interface. The left sidebar contains a navigation menu with sections for 'UI Section' and 'Field Visibility', each containing 'Manage Activities', 'Manage Risks', and 'Manage Responses'. The 'Report Template' option is highlighted in the 'Field Visibility' section. The main content area is titled 'Report Template' and displays two tables: 'Reserved Templates (9)' and 'Personalized Templates (2)'. Both tables have columns for 'Name', 'Custom Defined Fields (Activity)', 'Custom Defined Fields (Risk)', and 'Custom Defined Fields (Response)'. The 'Reserved Templates' table is divided into sections for 'Entity: Activity', 'Entity: Risk', and 'Entity: Response'. The 'Personalized Templates' table is currently empty.

Name	Custom Defined Fields (Activity)	Custom Defined Fields (Risk)	Custom Defined Fields (Response)
Entity: Activity			
Activity_Standard_New.docx	1	1	1
Activity_standard.docx	14	12	9
Entity: Risk			
GRAS_Report_Risk_standardNew.docx		4	0
GRAS_Report_Risk_standard_1129.docx		0	0
GRAS_Report_Risk_standard_Nov.docx		2	0
Risk_Standard_1220.docx		3	2
Risk_standard.docx		12	9
Entity: Response			
GRAS_Report_Activity_standard55.docx			1
Response_standard.docx			9

Name	Custom Defined Fields (Activity)	Custom Defined Fields (Risk)	Custom Defined Fields (Response)
Entity: Risk			
<input type="checkbox"/> GRAS_Report_Template_Risk_standard0.docx		0	2

03 Mandatory Field Settings and Enhanced Field Labeling



App. Name	UI Field	Visible	Mandatory	ToolTips
Manage Activities	ActivityCategoryID			Activity Category
Manage Activities	Assumption			Assumption
Manage Activities	Constraint			Constraint
Manage Activities	Description			Description
Manage Activities	Name			Activity Name
Manage Activities	OrgUnit			Organization Unit
Manage Activities	ValidFrom			Valid From
Manage Activities	ValidTo			Valid To
Manage Risks	Activity			Activity
Manage Risks	Description			Description
Manage Risks	Name			Risk Name
Manage Risks	OrgUnit			Organization Unit
Manage Risks	RiskCategory			Risk Category
Manage Risks	SecondOrgUnit			Secondary Organization Unit
Manage Risks	Trend			Risk Trend
Manage Risks	ValidFrom			Valid From
Manage Risks	ValidTo			Valid To
Manage Respons...	CalcCompleteness			Calculated Completeness

App. Name	UI Field	Visible	Mandatory	Action	ToolTips
Manage Activities	ActivityCategory				
Manage Activities	Description				
Manage Activit...	Name				
Manage Activit...	OrgUnit				
Manage Activit...	ValidFrom				
Manage Activit...	ValidTo				
Manage Risks	Activity				
Manage Risks	Description				
Manage Risks	Name				
Manage Risks	OrgUnit				
Manage Risks	RiskCategory				
Manage Risks	ValidFrom				
Manage Risks	ValidTo				
Manage Respo...	Completeness	Yes			
Manage Respo...	Effectiveness	Yes			
Manage Respo...	Name				
Manage Respo...	OrgUnit				
Manage Respo...	Owner				
Manage Respo...	ResponseType				
Manage Respo...	ShareResponse	No			

Business case:

Allow for fields, including custom defined fields, to be included into the mandatory system setting framework - so that the corresponding logic and checks are applied. Improve Accuracy and meaning of Field Label by supporting adaptations.

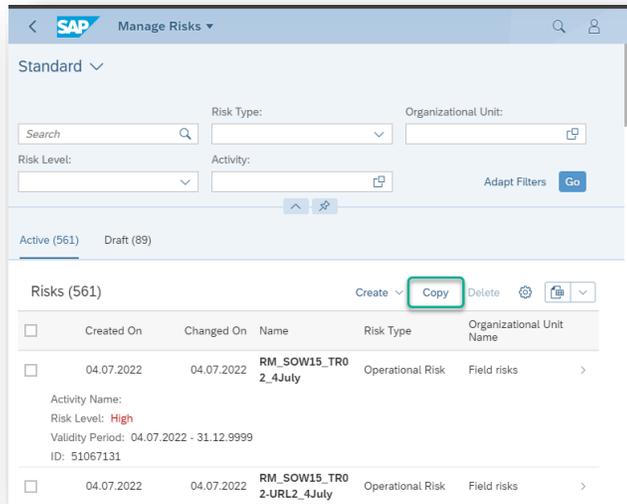
Delivery:

- Mandatory field settings supported for Risk, Responses and Activities.
- Fields not required by the standard GRC solution can be hidden.
- Custom logic can be referred to via action and the label explanation is maintained in Tool Tip.

Relevant Information:

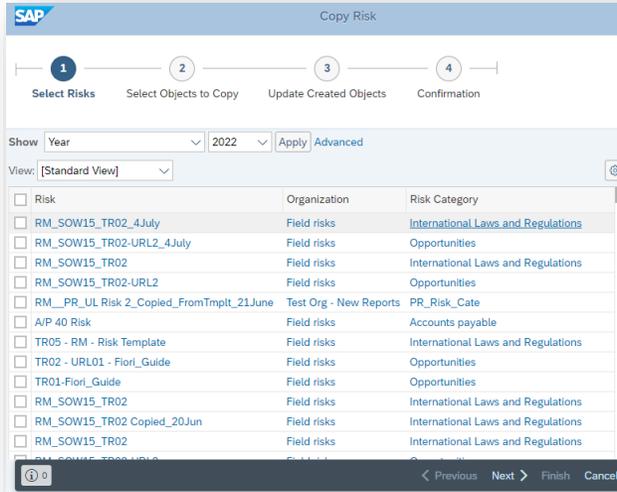
Available with SP14 to 16 as well as via notes associated.
Via transaction SM30 the **V_GRRM_FLD_CNTRL** needs to be maintained accordingly.

03 Enhanced Copy Features



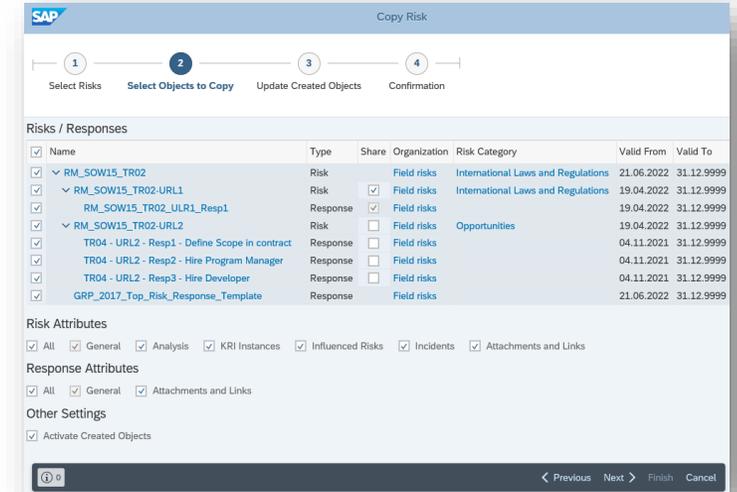
Business case:

Ability to copy a full risk or activity (incl. Top and underlying risks, open or closed) into a new activity. This would significantly shorten the process in creating new risks etc.



Delivery:

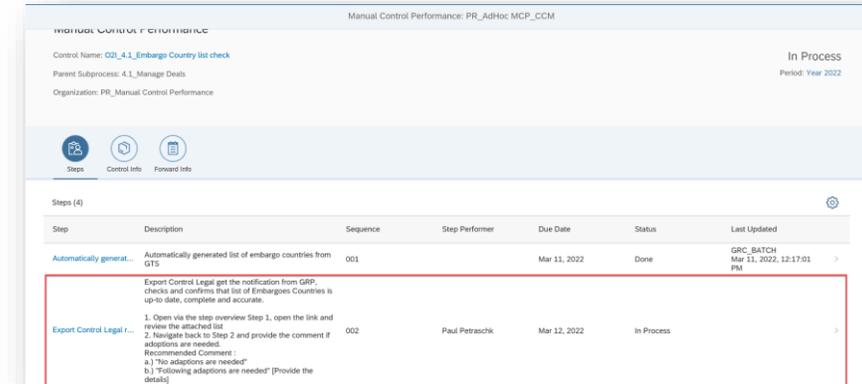
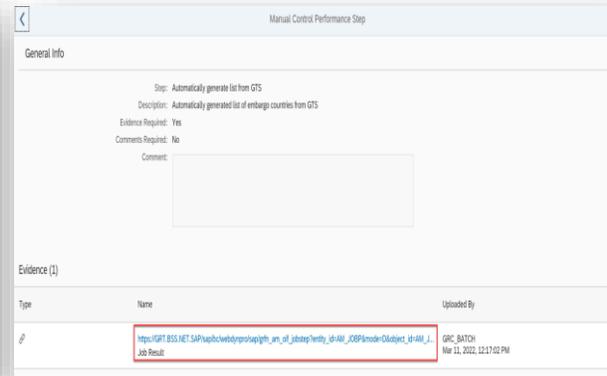
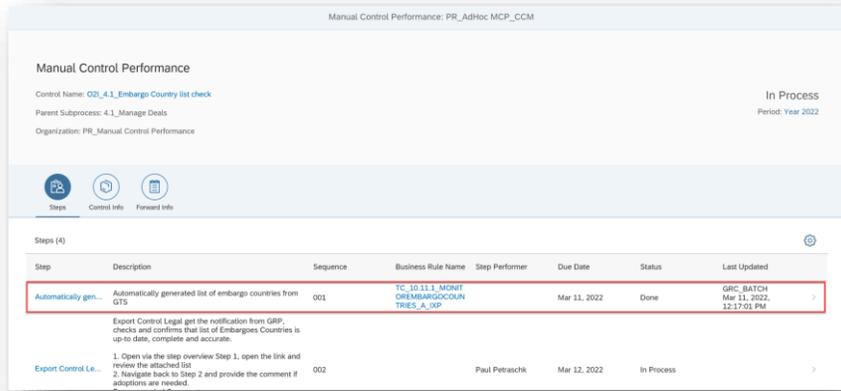
- Enhanced Copy feature for Risks and Activities in both NWBC and Fiori with necessary maintenance options integrated.



Relevant Information:

Available with SP14 to 16 as well as via notes associated.

03 MCP – CCM integration



Business case:

We want to be able to combine automated controls with manual Control Performance for a holistic representation of associated tasks while supporting automation to the extent possible.

Semi-automated Manual Control Performance.

Delivery:

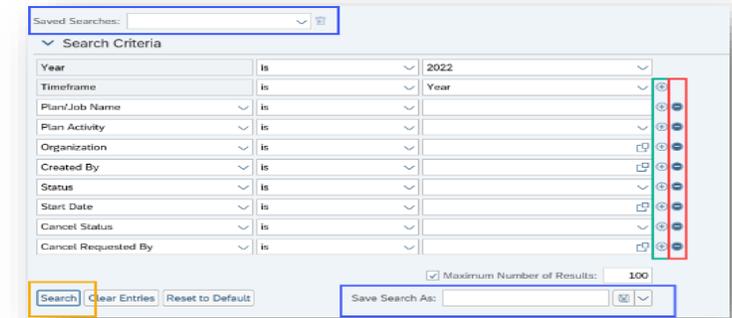
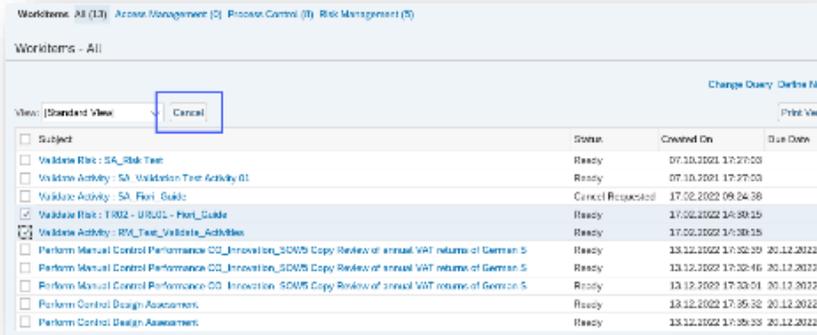
- With the existing CCM functionality based on data source and business rule, the control logic is defined to generate exception data to be further analyzed and used for further manual control performance.

Relevant Information:

Available with SP14 as well as via notes associated.

[Adding Continuous Control Monitoring to Manual Control Performance | SAP Help Portal](#)

03 Cancel Work Items



Business case:

We want to be able to delete old / invalid Work Items from our inbox for a particular set of workflows.

Delivery:

- The function of Cancel Work Items is not to physically delete work items, case or workflow, but to cancel work items.
- After the actual cancellation, the work items will disappear from user's work inbox and the status of the work items will change to Canceled in Search Work Items.
- For certain workflows a Power user approach is provided.

Relevant Information:

Available with SP19 as well as via notes associated.

Via SM30 in view V_GRPCCUST1 a flag for WORKITEM_CANCEL can be enabled. Once enabled, the button **Cancel** will appear in your work inbox.

[Cancel Work Items | SAP Help Portal](#)

04 Lessons Learned



04 Lessons Learned

- There is so much more than it meets the eye or first description...
- Sender vs. Recipient – an ongoing challenge requiring continuous improvements
- Detailed test scripts remain key success factor – reused service material
- Consider Feedback Loops
- Stay on top of new features and functionalities
- Establish business advisory and support function



Wrap-Up



Project Introduction - Regulatory Intelligence*

Project Scope

Research Project within SAP that investigates if Artificial Intelligence can be applied to compliance standards and (later) internal policy documents.

The goal of the project is to research and invent algorithms that identify, extract and analyze control information in standards and policies upon changes for further use in an internal controls management solution (like SAP Process Control).

With that the project team wants to support compliance specialists and alleviate the current cumbersome, time-intensive and error-prone process of required manual reviews whenever relevant standards (or policies) are updated.

How can I contribute?

The SAP project team (that consists of Data Scientists and GRC Experts) is constantly looking for feedback from compliance specialists that are dealing with standards and policy updates on a regular basis. Feedback may include relevance of research results of daily, expectations and usability of the solution.

What is in for me?

Given the experimental nature of the research project there is currently no intend or decision made on productization. However, if you are a compliance specialist with an interest in technology, this is your chance to learn how AI can be applied in your area of expertise.

Key	Control Definition	Assigned Controls (IDs)
<input type="checkbox"/> SA-22	Unsupported System Component	P2P-8, P2P-27, P2P-56
<input type="checkbox"/> SC-1	Policies and Procedures	P2P-8, ITC-27
<input type="checkbox"/> SC-2	Separation of System and User	CONF-65
<input type="checkbox"/> SC-2(1)	Interfaces for Non-Privileged Users	ITC-38, ITC-39
<input type="checkbox"/> SC-3	Security Function Isolation	CONF-27
<input type="checkbox"/> SC-5	Denial of Service Protection	EXT-13, EXT17
<input type="checkbox"/> SC-8(1)	Cryptographic Protection	EXT-5, EXT-6, EXT-7
<input type="checkbox"/> SC-11(1)	Irrefutable Communications Path	CONF-9
<input type="checkbox"/> SC-12(2)	Symmetric Keys	ITC-42
<input type="checkbox"/> SC-16(1)	Integrity Verification	EXT-11, EXT-12
<input type="checkbox"/> SC-18(2)	Acquisition, Development, and Use	CONF-28, CONF-29
<input type="checkbox"/> SC-18(5)	Execution in Confined Environments	ITC-36, ITC-37
<input type="checkbox"/> SC-26	Decoys	EXT-59

Where to find more information

GRC on sap.com

- **Governance, Risk, and Compliance (GRC) Solutions:** <https://www.sap.com/products/financial-management/grc.html>
- **What is GRC:** <https://www.sap.com/insights/what-is-grc.html>

General help with SAP Governance Risk and Compliance

- **Help Portal:** <https://help.sap.com/docs/> Then search for the product you need
- **SAP Process Control:** https://help.sap.com/docs/SAP_PROCESS_CONTROL
- **SAP Risk Management:** https://help.sap.com/docs/SAP_RISK_MANAGEMENT

Governance, Risk, Compliance (GRC), and Cybersecurity Blogs and our Community

- **GRC blogs:** <https://blogs.sap.com/tags/237150e2-6555-4a16-b49e-e93dbf1891da/>
- **SAP GRC Community:** <https://community.sap.com/topics/grc>

Key points to take home



Think BIG, but start small



Stick to the standard



Smart process design is crucial



Check out what's really in GRC



Training, enablement and feedback are key



User support is ongoing



Look into automation potential



Questions?

Thank you.



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