



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

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SAPinsider
2023



In This Session

We will review over 30 new risk management and process control features that were developed based on real business cases for the internal SAP SE GRC organization. Attend this session to become familiar with these hidden gems and understand how they can benefit your processes.

- Review new SAC dashboards for enhanced reporting analytics, which also supporting audit requirements.
- Receive adaptable word templates for improved print reporting capabilities.
- Learn more about one single entry screen for risk management, including personalization options.
- Discuss mandatory field settings and enhanced field labeling.
- Explore enhanced copy features

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

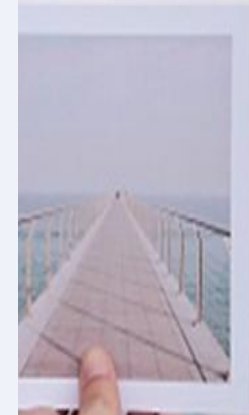
Our delivery milestones.

04

Lessons Learned

What to consider.

Wrap Up



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

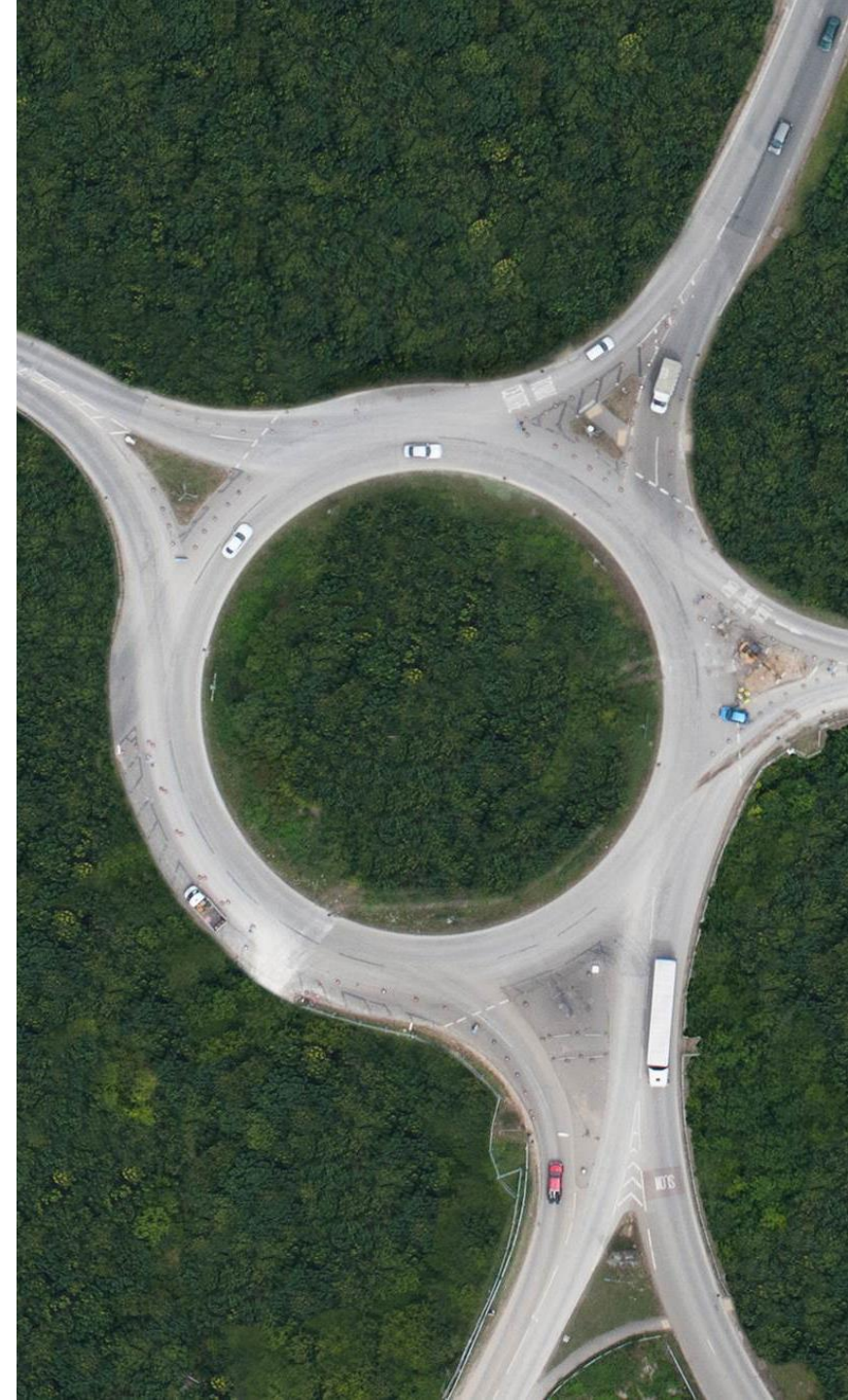


01 Approach

- Create survey

| # | Topic | Feature / Functionality (be as precise as possible, incl. link or screenshot e.g.) | Feed-back from | UI-Rat- ing* | User interface improvement proposal | Handling rating* | Handling improvement proposal | Perfor- mance rating* | Process Flow rating* | Additional comment |
|---|-------|--|----------------|-----------------|-------------------------------------|---------------------|-------------------------------|-----------------------------|----------------------------|--------------------|
|---|-------|--|----------------|-----------------|-------------------------------------|---------------------|-------------------------------|-----------------------------|----------------------------|--------------------|

- 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

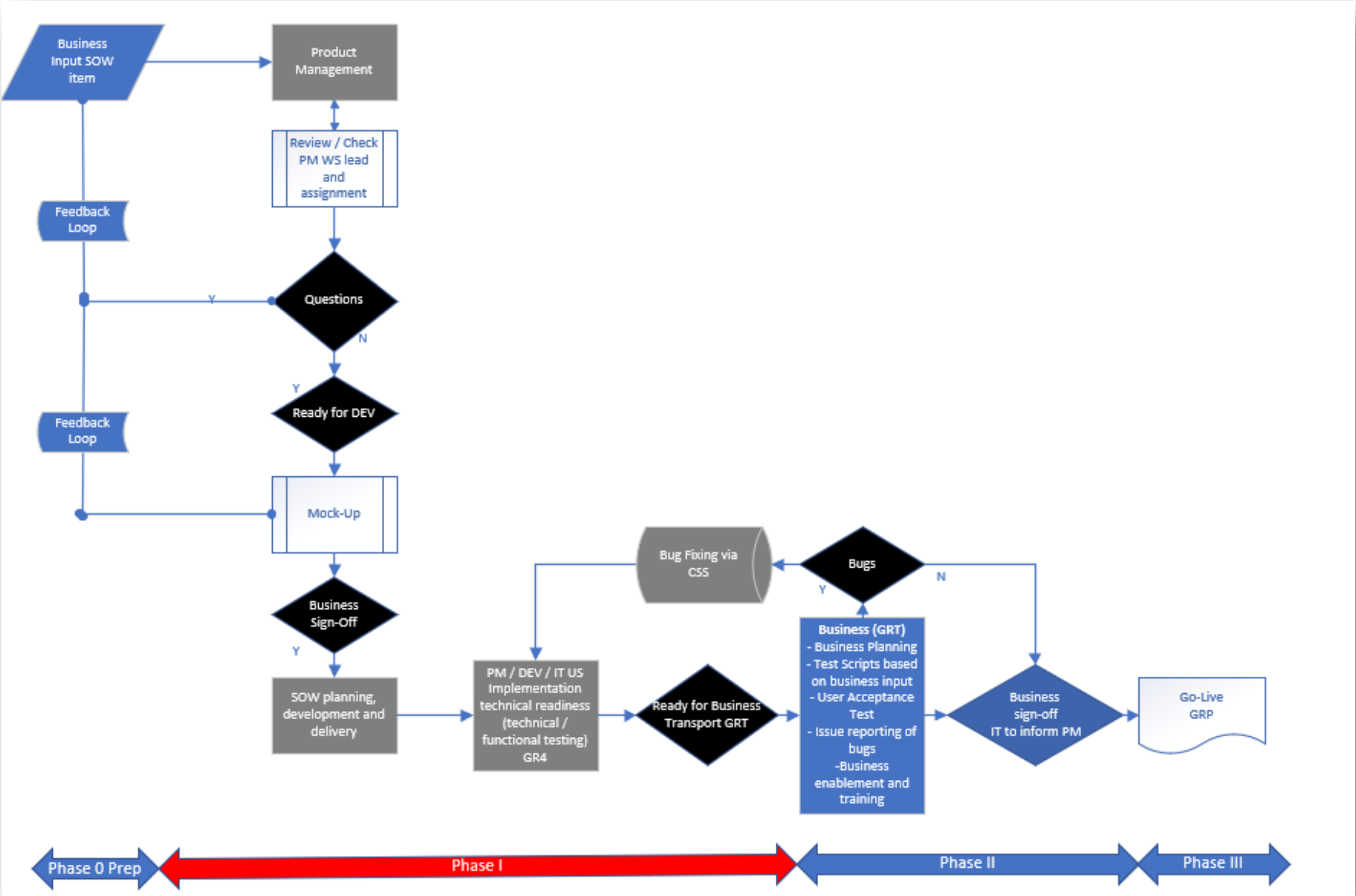


02 Organizational Set-Up

- 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

Table of Contents

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| Appendix | 4 |

| 1.2 Work packages and associated tasks | 5-Apr-2021 | 25-Apr-2022 | 90% |
|--|------------|-------------|-----------|
| 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 | <p>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.</p> <p>Corresponding notes are included up to SP19.</p> |
| 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. | | |
| 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 | <p>Please note: Here the previously developed "PS340-related" dashboards have been re-engineered as standard dashboards in addition to a CCM dashboard.</p> <p>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.</p> <p>Corresponding notes are included up to SP19.</p> |
| SOW#43 | SAC Dashboard: SAP GRC development support of effort to enable SAC Dashboard | | |



Name ▾



Cancel Work Items.pdf



SOW_5_Cancel_Work_Item_Draft.docx

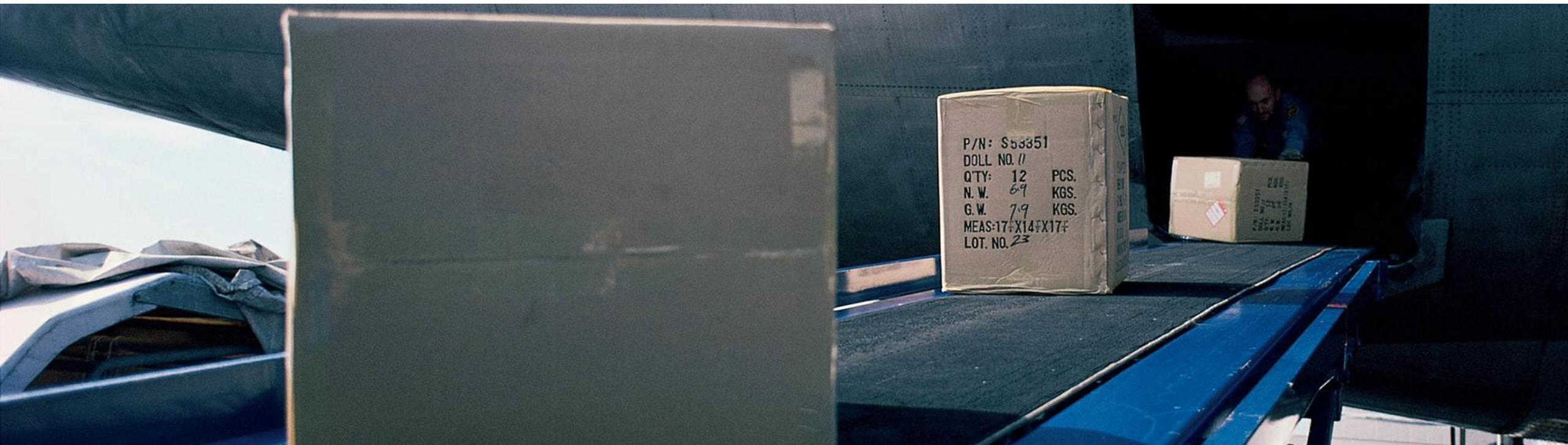


SOW_5_Reject_or_Approve_Requested_Cancel_Work_Item_Draft.docx



SOW_5_Request_Cancel_Work_Item_Draft.docx

03 Outcome and Results



03 SAC Dashboards

Investment, Customer Value and Business Benefit



Altogether 10 SAC dashboards (9 for RM and 1 for PC) are available out-of-the box and ready to use delivered with SP18 and 19.



Out-of the box reporting for:

- 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



Powerful evaluations, aggregations as well as interdependency assessments are available for analysis together with monitoring capabilities on risk profile, risk bearing capacity, probability.

Look and Feel

Check out the video:



[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 and Personalization

Investment, Customer Value and Business Benefit



For GRC 12.0 we have worked from SP 14 to 19 to create 3 completely new Fiori tiles:

- (a) Manage Risk
- (b) Manage Response
- (c) Manage Activities



Reason was to provide an one single entry screen to streamline the management of risks and related information.



Enhance the user experience with an increased efficiency in screen flow.

Look and Feel

<
 Home
Risk ▾

Global TR1 ULR1 Unchanged

5080168

[Delete](#)
[Show Change History](#)

Created By: Patrick Doench
 Created On: 08.03.2021
 Changed By: Patrick Doench
 Changed On: 08.03.2021

Risk Type:
 Operational Risk

Risk Level:
High

Status:
 Active

[General Information](#)
[Roles ▾](#)
[Related Risk ▾](#)
[Analysis ▾](#)
[Responses \(3\)](#)
[Survey](#)
[Attachments & Links](#)
[Notes \(0\)](#)

Basic Information Edit

| | | |
|--|--|--|
| Name: Global TR1 ULR1 Unchanged Organizational Unit: 2021 New Report Test OU (Global) Secondary Org. Unit: | Activity: 2021 New Reports Test Act (Global) Risk Category: Insurance Trend: | Valid From: 08.03.2021 Valid To: 31.12.9999 |
|--|--|--|

Additional Information Edit

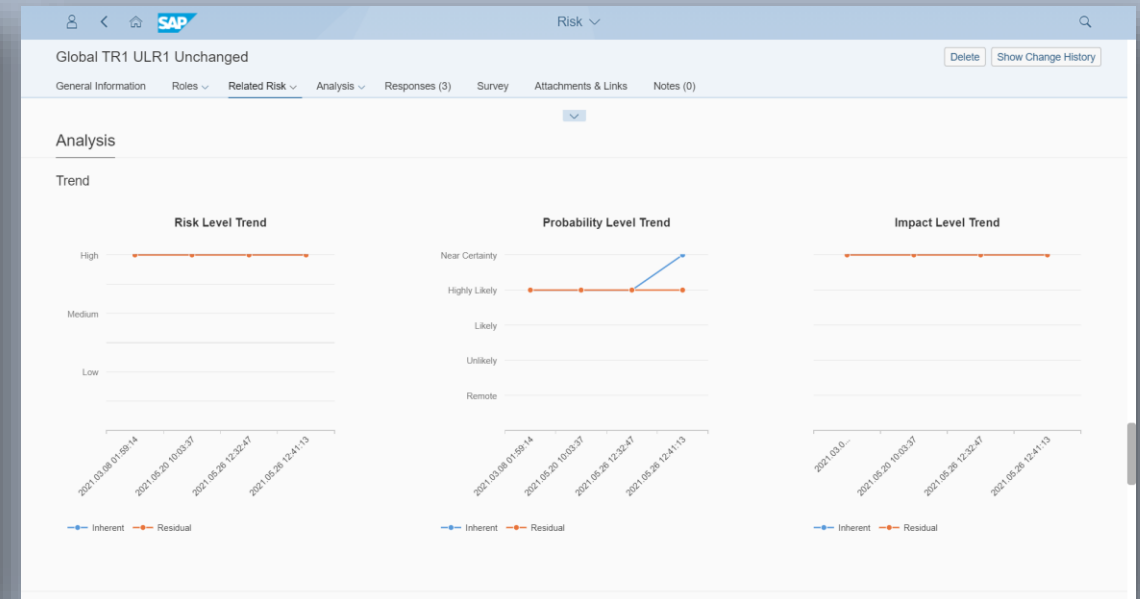
GRC Status Update:

Rationale and Source:

GRC Risk Summary:

Risk Details:

ULR Risk Details: Lorem ipsum dolor sit amet, consetetur sadipscing elitr, sed diam nonumy eirmod tempor invidunt ut labore et dolore magna aliquyam erat, sed diam voluptua. At vero eos et accusam et justo duo dolores et ea rebum. Stet clita kasd gubergren, no sea takimata sanctus est Lorem ipsum dolor sit amet. Lorem ipsum dolor sit amet, consetetur sadipscing elitr, sed diam nonumy eirmod tempor invidunt ut labore et dolore magna aliquyam erat, sed diam voluptua. At vero eos et accusam et justo duo dolores et ea rebum. Stet clita kasd gubergren, no sea takimata sanctus est Lorem ipsum dolor sit amet.



03 Personalization Options for One Single Entry Screen

Investment, Customer Value and Business Benefit



With the component UIGRRMPC 200, we have introduced additional personalization options for all three new Fiori applications.



Switch off and of course also switch back on sections or fields that are not relevant for the daily work, while of course mandatory fields may not be excluded.



An ultimately streamlined end-user experience to make daily work easier and more efficient.

Look and Feel

Personalization Settings

UI Section

Manage Activities

Manage Risks

Manage Responses

Field Visibility

Report Template

Sections

Show or hide the sections.

| Show on UI | Section |
|-------------------------------------|---------------------|
| <input type="checkbox"/> | General Information |
| <input checked="" type="checkbox"/> | Roles |
| <input checked="" type="checkbox"/> | Related Risks |
| <input checked="" type="checkbox"/> | Analysis |
| <input checked="" type="checkbox"/> | Responses |
| <input checked="" type="checkbox"/> | Survey |
| <input checked="" type="checkbox"/> | Validation |
| <input type="checkbox"/> | Attachments & Links |
| <input type="checkbox"/> | Notes |

Personalization Settings

UI Section

Manage Activities

Manage Risks

Manage Responses

Field Visibility

Report Template

Field Visibility

Show or hide the fields.

| Show on UI | Field | Mandatory |
|-------------------------------------|---------------------|-------------------------------------|
| <input checked="" type="checkbox"/> | Name | <input checked="" type="checkbox"/> |
| <input checked="" type="checkbox"/> | Organizational Unit | <input checked="" type="checkbox"/> |
| <input checked="" type="checkbox"/> | Secondary Org. Unit | |
| <input checked="" type="checkbox"/> | Activity | |
| <input type="checkbox"/> | Risk Category | <input checked="" type="checkbox"/> |
| <input checked="" type="checkbox"/> | Trend | |
| <input type="checkbox"/> | Valid From | <input checked="" type="checkbox"/> |
| <input type="checkbox"/> | Valid To | <input checked="" type="checkbox"/> |
| <input checked="" type="checkbox"/> | Description | |

03 UI Flexibility

Investment, Customer Value and Business Benefit



We have introduced a field control view for risk, called **V_GRRM_FLD_CNTRL** that can be maintained via transaction SM30 and has been developed from SP14-SP16.



Now it can be centrally determined which fields are visible, which are mandatory and what kind of tool tip text should be displayed, including custom-defined fields.



This feature allows to adapt screens to the real business processes and activities while increasing the end-user support with adaptable messages as well as reducing the “noise”.

Look and Feel

| Field Control for Risk Applications | | | | | |
|-------------------------------------|------------------|---------|-----------|--------|---------|
| App. Name | UI Field | Visible | Mandatory | Action | ToolTip |
| Manage Activity... | ActivityCategory | | | | |
| Manage Activity... | Description | | | | |
| Manage Activity... | Name | | | | |
| Manage Activity... | OriginId | | | | |
| Manage Activity... | ValidFrom | | | | |
| Manage Activity... | ValidTo | | | | |
| Manage Risk... | Activity | | | | |
| Manage Risk... | Description | | | | |
| Manage Risk... | Name | | | | |
| Manage Risk... | OriginId | | | | |
| Manage Risk... | RiskCategory | | | | |
| Manage Risk... | ValidFrom | | | | |
| Manage Risk... | ValidTo | | | | |
| Manage Resp... | Completeness | Yes | | | |
| Manage Resp... | Effectiveness | Yes | | | |
| Manage Resp... | Name | | | | |
| Manage Resp... | OriginId | | | | |
| Manage Resp... | Owner | | | | |
| Manage Resp... | ResponseType | | | | |
| Manage Resp... | ShareResponse | No | | | |

03 Reporting Options and Personalization

Investment, Customer Value and Business Benefit



Enhancement of reporting engine and integration into the application *Generate Report*. Template provisioning to provide starting point.



Reporting templates can now directly be developed in MS Word and can then be used from within the application including custom defined fields.



Business users can now create their individual reporting templates to meet the needs of various stakeholders utilizing the powerful MS Word features and toolbox.

Look and Feel

Entity

Risk

Download template

Upload template

Delete template

Upload Template

Upload template name

Upload path and file

Customer Defined Fields

TOTAL LOSS

EXPECTED LOSS

CURRENCY

RISK CATEGORY

RISK TYPE

ORGANIZATION UNIT

CUSTOM DEFINED FIELDS

Field Name

Field Value

DRIVERS

IMPACTS

ROLES

Name

User ID

Full Name

Email

RISK/51096673

| | | | |
|-----------------------------------|--|---------------|-------------------|
| RM_SOW_2__MO_GRP_2017_TR06_ULR4 | RISK LEVEL | IMPACT_ID | PROBABILITY LEVEL |
| | Low | - | Unlikely |
| MO_GRP_2017_TR06_ULR4 Description | TOTAL LOSS | EXPECTED LOSS | CURRENCY |
| | 1000000.00 EUR | 300000.00 EUR | EUR |
| | RISK CATEGORY | RISK TYPE | ORGANIZATION UNIT |
| | Cybersecurity and Security | Operational | LA_Brazil |
| CUSTOM DEFINED FIELDS | | | |
| Field Name | Field Value | | |
| Rationale and Source | MO_GRP_2017_TR06_ULR4 Condition, Lorem ipsum dolor sit amet. | | |

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.

<

SAP

Personalization Settings ▾

▼ UI Section

Manage Activities >

Manage Risks >

Manage Responses >

▼ Field Visibility

Manage Activities >

Manage Risks >

Manage Responses >

Report Template >

Report Template

Reserved Templates (9)

Search

| 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 |

Personalized Templates (2)

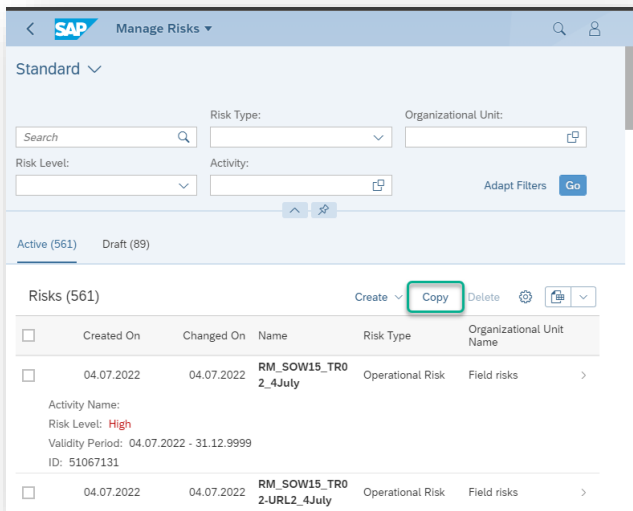
Search

Upload Template

Delete

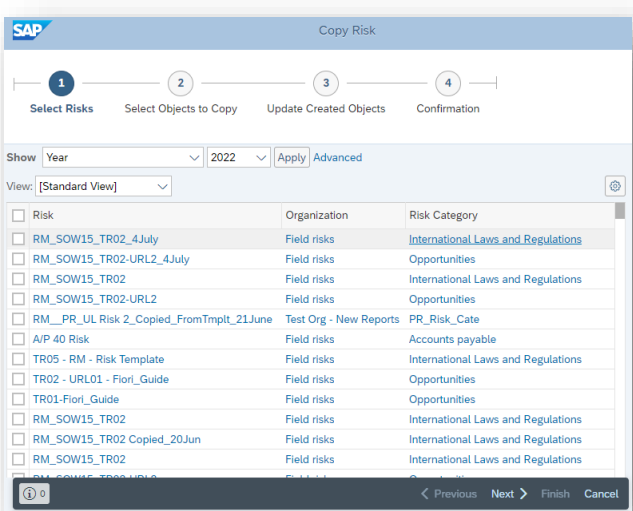
| <input type="checkbox"/> Name | Custom Defined Fields (Activity) | Custom Defined Fields (Risk) | Custom Defined Fields (Response) |
|---|----------------------------------|------------------------------|----------------------------------|
| Entity: Risk | | | |
| <input type="checkbox"/> GRAS_Report_Template_Risk_standard0.docx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

03 Enhanced Copy Features



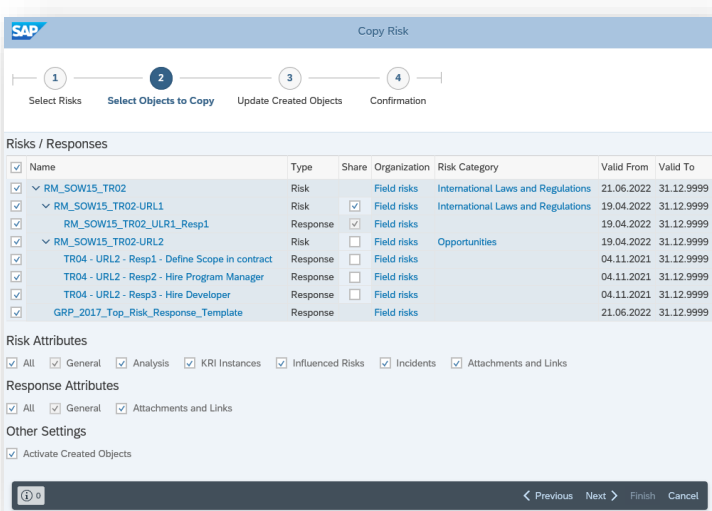
Business case:

- 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:

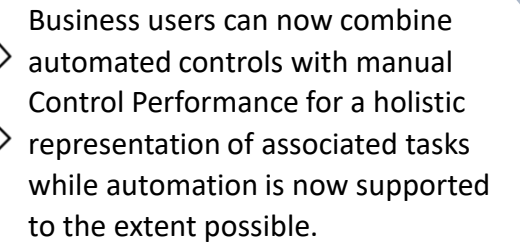
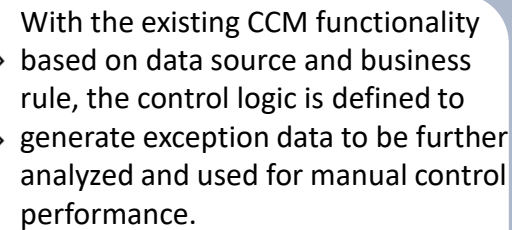
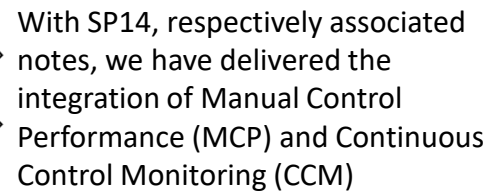
- Enhanced Copy feature for Risks and Activities in both NWBC and Fiori with necessary maintenance options integrated.



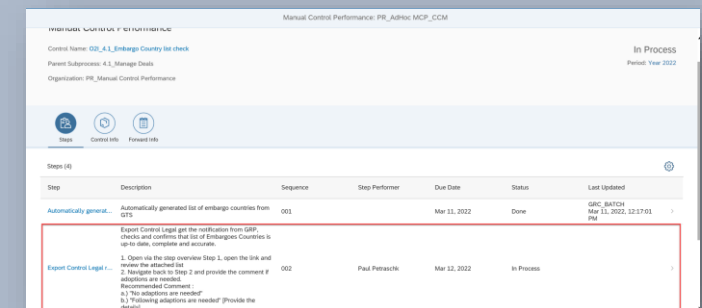
Relevant Information:

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

Investment, Customer Value and Business Benefit



Check out this video:



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03 Search Work Items

Investment, Customer Value and Business Benefit



With SP03, we have introduced the Work Item Search to support users and since then have continuously enhanced it up to SP19 to meet the different business user scenarios.

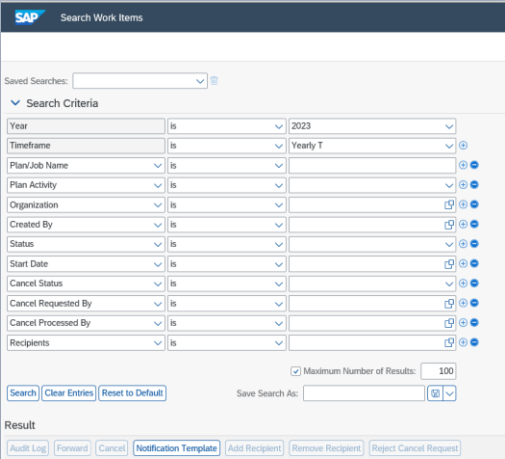
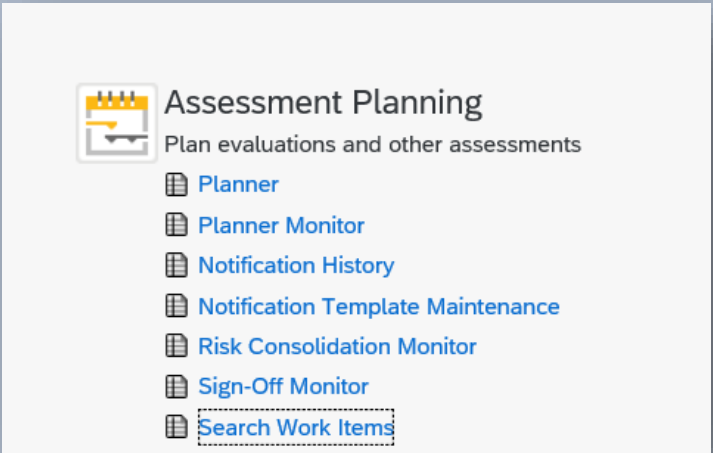


Dedicated Work items can now being searched for in a special view with filtering and sorting of all relevant attributes.



Business users and GRC admins now have a dedicated and comprehensive search function available for their work items (incl. sorting and filtering of associated attributes).

Look and Feel



Check out this video

03 Cancel Work Items

Investment, Customer Value and Business Benefit



Enhancement of workflow engine as well as associated audit log functionality together with full-blown notification template integration. Dedicated workflow items will be cancelled, but not physically be deleted.



Suitable obsolete Workflow items can now be forwarded cancelled by the users. In addition, a central administration view is available



Business users can now delete old / invalid Work Items from their inbox for a particular set of workflows. GRC admins can receive work item cancel requests and manage them.

Look and Feel

Workitems: All (13) | Access Management (2) | Process Control (1) | Risk Management (5)

Workitems - All

View: (Standard View) **Cancel** Change Query Define New Print View

| <input type="checkbox"/> Subject | Status | Created On | Due Date |
|--|------------------|---------------------|------------|
| <input type="checkbox"/> Validate Risk : SA_Risk Test | Ready | 07.10.2021 17:27:03 | |
| <input type="checkbox"/> Validate Activity : SA_Validation Test Activity 01 | Ready | 07.10.2021 17:27:03 | |
| <input type="checkbox"/> Validate Activity : SA_Fiori_Guide | Cancel Requested | 17.02.2022 09:24:38 | |
| <input checked="" type="checkbox"/> Validate Risk : TR02 - UR001 - Fiori_Guide | Ready | 17.02.2022 14:30:15 | |
| <input checked="" type="checkbox"/> Validate Activity : RM_Test_Validate_Activities | Ready | 17.02.2022 14:30:15 | |
| <input type="checkbox"/> Perform Manual Control Performance CG_Innovation_SDWS Copy Review of annual VAT returns of German S | Ready | 13.12.2022 17:32:39 | 20.12.2022 |
| <input type="checkbox"/> Perform Manual Control Performance CG_Innovation_SDWS Copy Review of annual VAT returns of German S | Ready | 13.12.2022 17:32:46 | 20.12.2022 |
| <input type="checkbox"/> Perform Manual Control Performance CG_Innovation_SDWS Copy Review of annual VAT returns of German S | Ready | 13.12.2022 17:33:01 | 20.12.2022 |
| <input type="checkbox"/> Perform Control Design Assessment | Ready | 13.12.2022 17:35:32 | 20.12.2022 |
| <input type="checkbox"/> Perform Control Design Assessment | Ready | 13.12.2022 17:35:33 | 20.12.2022 |

[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



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

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>

Thank you! Questions?



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Please remember to complete
your session evaluation.

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