

# Risk and Controls in the Public Cloud: What's New from SAP

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Las Vegas

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2024

**SAP**insider



## In This Session

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This is not about 'GRC 2026' (internal name) which is *Private* cloud. This is about our *Public* cloud GRC risk and control software.

Learn about this easy to use yet powerful, low TCO, quick to implement and operationalize, risk and control solution.

Hear more about the pressing business challenges that this GRC solution addresses

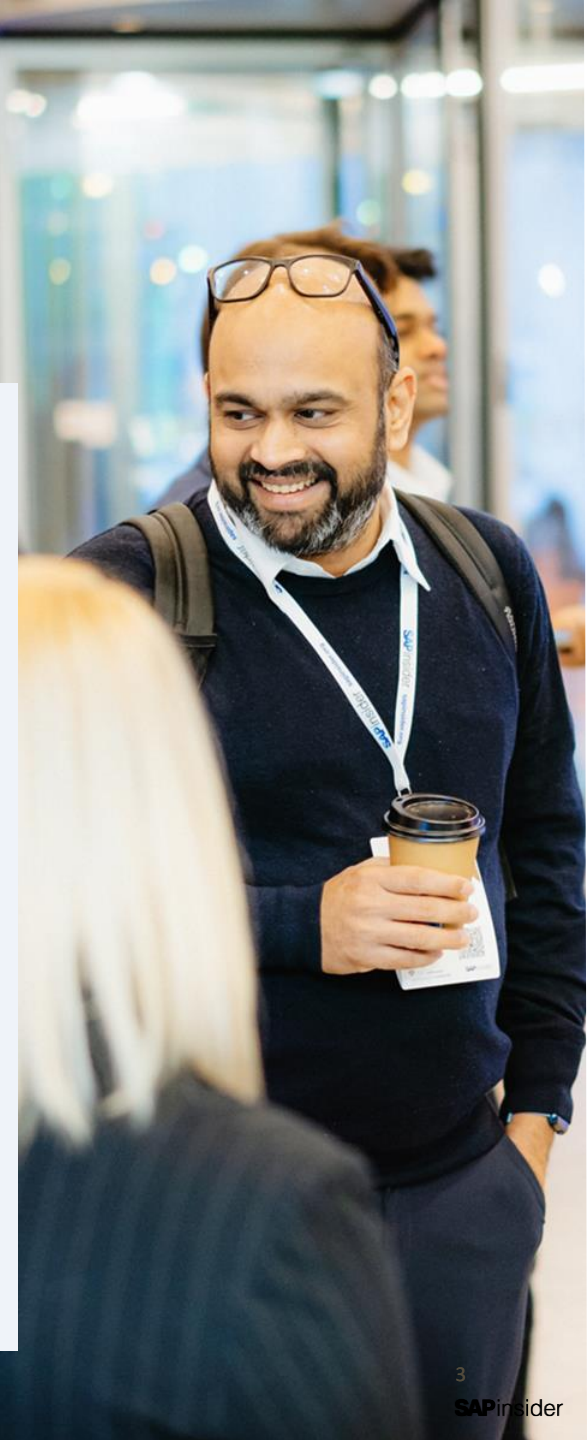
Discover which AI features we plan to introduce in 2024

Find out what else is new in this solution and what can you expect in the future

# What We'll Cover

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- Name Change
- Organization Challenges: Controls, Risk and Compliance
- Solution Capabilities
- Use Cases
- Roadmap
- AI Roadmap Topics – Deeper Dive
- Software Screenshots
- Wrap-Up





## Name Change

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SAP Financial Compliance Management  
is renamed to:

**SAP Risk and Assurance Management**



## Organization Challenges: Controls, Risk and Compliance

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What is causing pain?

# Organization's Trends

## for Governance, Risk & Compliance

30%

**increase in cost of compliance expected by companies.**

**90%** of compliance leaders expect evolving business, regulatory, and customer demands to increase compliance-related operating costs by up to **30%**.<sup>1</sup>

75%

**of companies to increase risk management spend.**

**3 out of 4** of companies are planning to increase spend across data analytics (75%), process automation (74%), and technology (72%) to support the detection and monitoring of risks.<sup>2</sup>

50%

**of companies to automate controls.**

**50%** of organizations aim to automate controls monitoring and management capabilities to address core drivers of GRC strategy in 2023.<sup>3</sup>

1. ["Compliance Risk Study 2022 Report: Find Calm in Every Compliance Storm."](#) Accenture, May 2022.

2. ["2022 Global Risk Survey."](#) PwC, 2022.

3. ["GRC State of the Market 2023 – Benchmark Research Report."](#) SAP Insider, SAP SE 2023.



# Why Do Organizations Need SAP Risk and Assurance Management?

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**CUSTOMER FOCUS:** Consistent and transparent risk-aware operations are required across finance and other major business processes to help ensure performance, assurance, resiliency and trust.

Organizations must thrive in a disruptive business environment, with ever changing risks. They are often in an ongoing state of flux (e.g. business change, IT change, regulatory change, digitalization). They must also demonstrate due diligence over financial records and ensure quarterly and annual reports accurately reflect their finances, for multiple purposes. And soon to include ESG reporting.

**SOLUTION FOCUS:** Centralised view across enterprise for internal control status and adequacy, and related risks. Delivered content for financial, master data, SOD, IT, ESG, HRDD controls across both SAP S/4HANA cloud, and on-premise deployments.

# Vital Capabilities for Governance, Risk and Compliance

Unified Risk & Control Management



Comprehensive Domains



*Improved Business Resilience*

Enterprise Risk Management

**Detailed insight** into how risk drivers can impact business value and reputation for smart, risk-based decisions.

Risk Reporting + Monitoring

**Report** top risks and actions with one consolidated dashboard to enable executives to make faster, more informed decisions.

Business Controls + Compliance

**Document**, centralize and automate controls performance and testing using best practice internal control processes.

Security + Data Protection

**Support** data protection and security compliance by monitoring system vulnerabilities, identifying threats and cyberattacks, with real-time monitoring and automated risk scoring.

Identities + Access Governance

**Automate** user provisioning, privileged access, and role management while continuously monitoring users and applications for risk.



Financial Gain

**Increase** revenue and prosperity and decrease costs.



Operational Efficiency

**Run** efficiently, without interruptions in production, supply chains, or services.



Reputation Uplift

**Increase** customer trust, loyalty, and public opinion.



Legal Compliance

**Manage** laws and regulations, and avoid disputes, lawsuits, and regulatory penalties.



Competitive Edge

**Strengthen** competitive position, increase market presence, and acquire more customers.

# Digital / Financial Transformation to S/4HANA

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Based on EY Paper: 5 Common compliance myths when moving to S/4HANA

1. Our existing controls framework will suffice in the new SAP S/4HANA environment. **No.** *Ledger is different, use of S/4 will drive change, processes will change, different gaps/vulnerabilities exist, exception reports will change.*
2. SAP Security is solely IT's responsibility. **No.** *Business requests roles for teams, and everyone is busy – things get missed.*
3. We will engage auditors after go-live. **Not wise.** *Audit may stop the go-live because likelihood of financial delays / errors, misstatement is high.*
4. Our current internal controls governance and operating support model is flexible enough to support the future changes. **No.** *Being flexible requires agility which requires a single, centralized, integrated, adopted, digitalized system. Automate as much as possible, ready to use content.*

[Based on EY Paper](#)

# Line of Business Internal Control Challenges



**OPERATIONS**



**FINANCE**



**LOGISTICS**

control testing,  
status  
(MS Excel, MS Word)

control testing,  
status  
(MS Excel, MS Word)

control testing,  
status  
(MS Excel, MS Word)

## ACCOUNTING & FINANCE, SUSTAINABILITY, PROCUREMENT, IT, ..



### Challenges

- Manual consolidation
- Time consuming follow-up
- Error prone process
- Small samples, risk of omissions



Risk  
Management,  
Compliance



CEO, CFO



Internal Audit

# Why does the Internal Control conversation matter?

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**An Internal Controls over [LOB here] Reporting (ICxR) system provides evidence that:**

- Financial and other statements are accurate and being prepared reliably
- Adequate controls are in place to safeguard [LoB] data, policies and processes
- Corporate objectives are being achieved



**Considerations:**

- S/4HANA does not have out the box ICxR – and it shouldn't, it is an ERP system
- New/migration SAP S/4HANA adoption: bespoke implementation project to set up ICxR



**Without it:**

- Best endeavours, manual, Excel, effort & potential errors, reporting challenges
- Financial misstatements, material weakness audit findings => fines, imprisonment (SOX)
- Reputational damage, share value drop

# Solution Capabilities

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How we address pain points



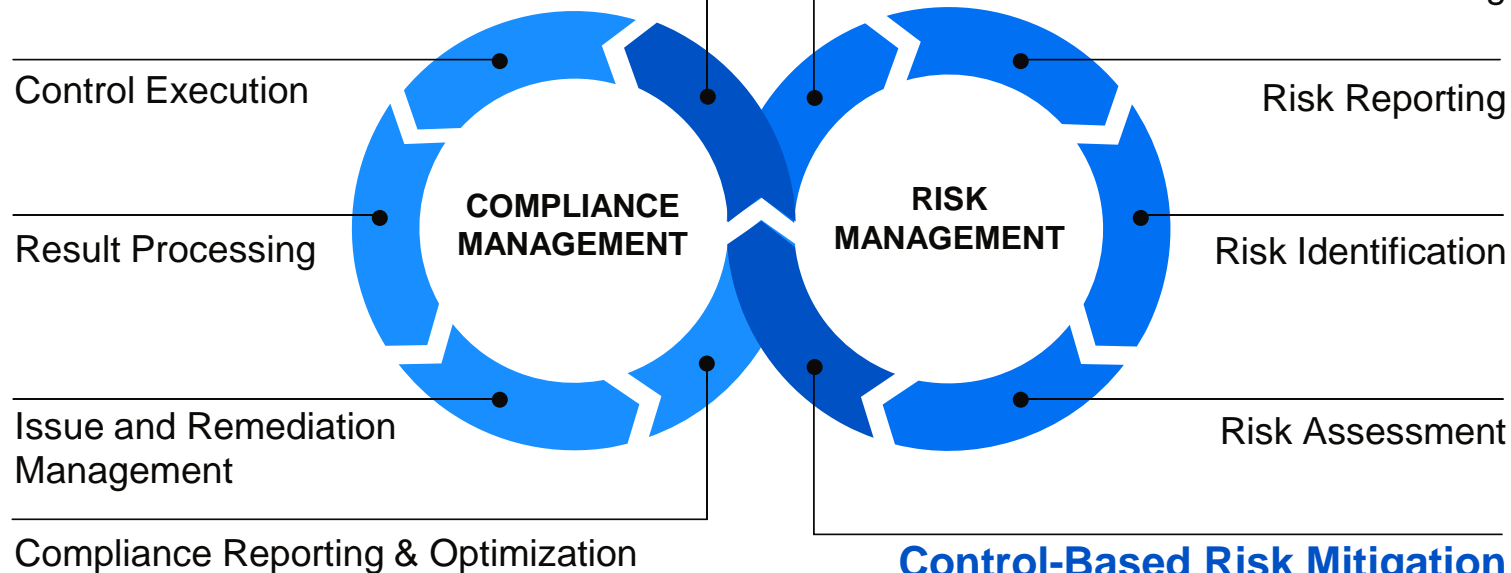
# Scope of SAP Risk and Assurance Management

Next-generation  
GRC control & risk  
solution for public cloud

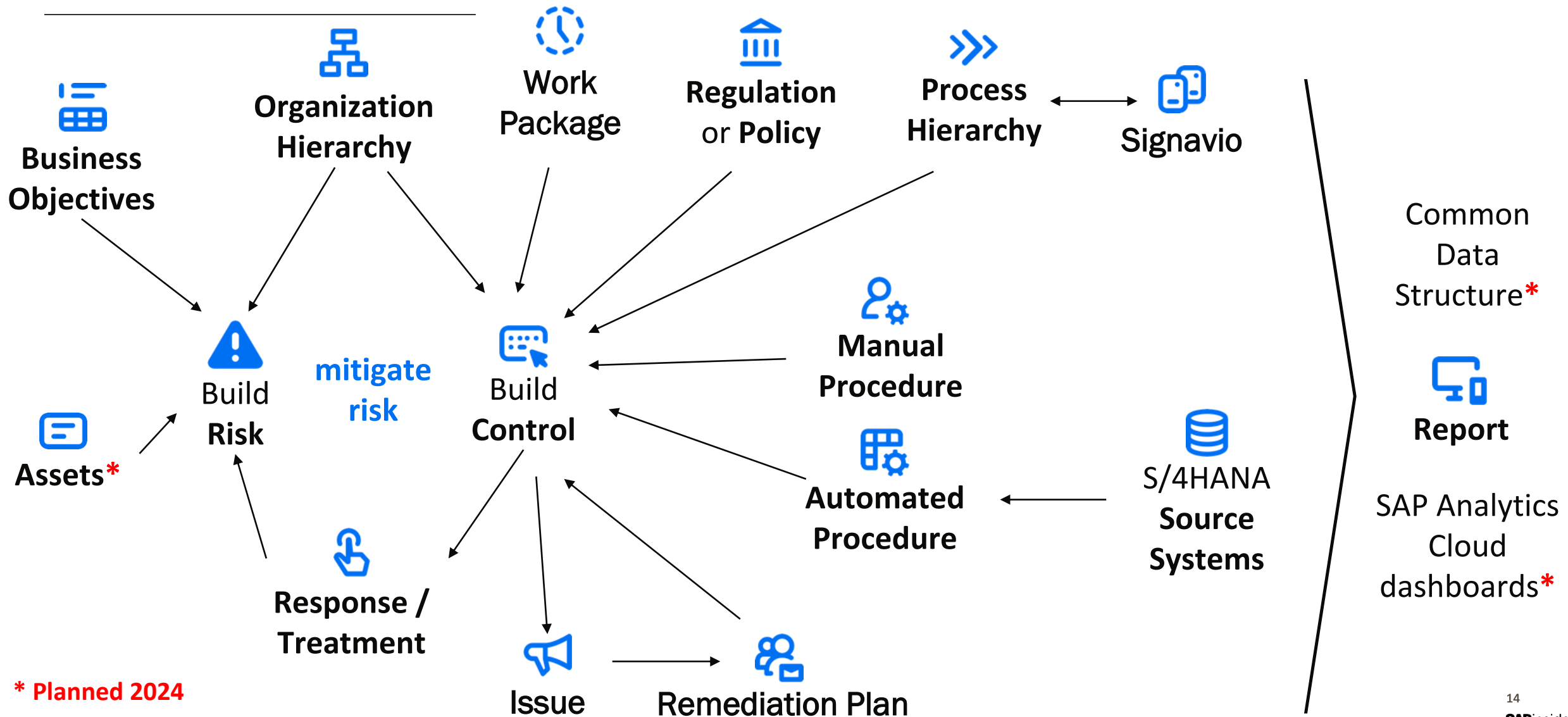


- Leverage one platform
- Governance, risk, & compliance (GRC) becomes Value-add
- Solution and Process integration

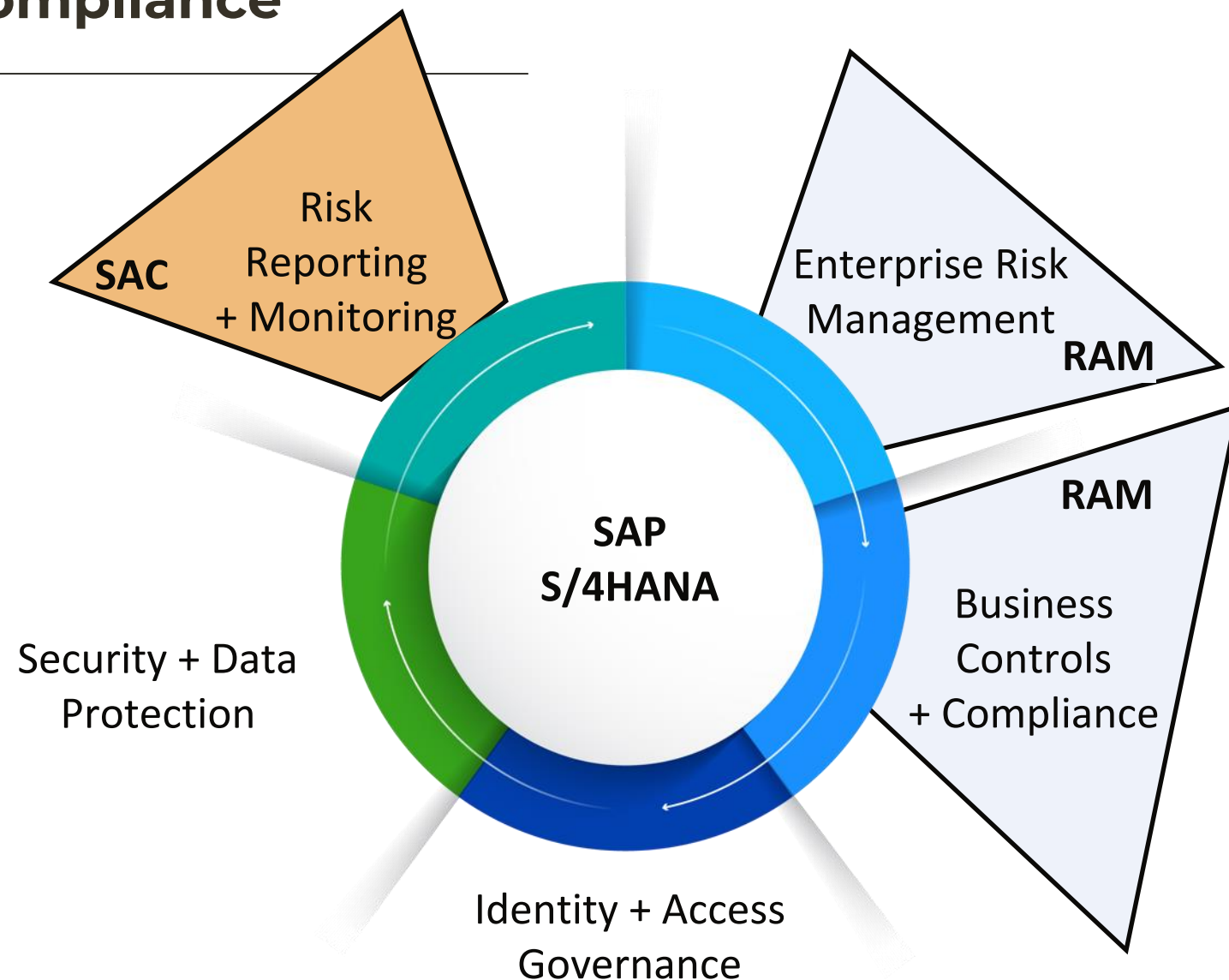
## Risk-Based Control Management



# Objects in SAP Risk and Assurance Management



# SAP Solutions for Governance, Risk & Compliance

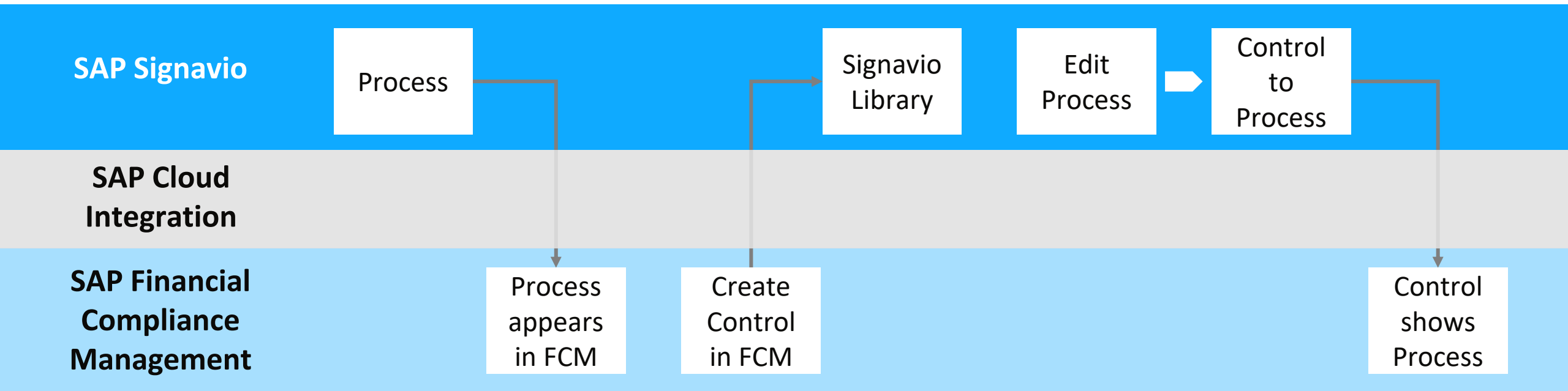


## SAP solutions for Governance, Risk & Compliance provide:

- ✓ **Unified Risk Management** – with automated processes and data-driven decision making
- ✓ **Comprehensive Risk Domains** – with specialized capabilities to efficiently manage a wide variety of risks
- ✓ **Improved Business Resilience** – with mature and flexible solutions that enable adaptability and agility

# Integration with SAP Signavio Process Manager

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# Risk Documentation & Assessment

## Risk Analysis Summary

Analysis Result	Total Loss		Total Impact Level		Likelihood Value		Risk Level	
Inherent Risk	312,000,000.00	EUR	Major		60.00	%	High	
Residual Risk	204,500,000.00	EUR	Major		36.30	%	Medium	
Target Residual Risk	92,000,000.00	EUR	Moderate		10.00	%	Low	

## Comments

No data

## Attachments and Links

## Use Cases

Now, so much more than finance



# #1: Finance - SAP Baseline Content

SAP Risk and Assurance  
Management ships with over  
75 rules for use as  
Automated Procedures:

- 3 for Tax Compliance
- 2 for ESG

These can be added to by  
customers

Partners will produce and sell  
their own content packages  
too, via the GRC Content Hub  
Service

<https://help.sap.com/viewer/eb2cb166f76248bdba43bf04fccd143e/1.0/en-US/c6bccce22805495c8c2432209bf80474.html>

Automated Procedures
> Journal Entries
> Purchasing
> Suppliers
> Invoices
> Payments
> General Ledger Accounts
> Sales Orders
> Customers
> Vendor Master Data
> Chart of Accounts
> Products
> Assets
> Contract-Based Revenue Recognition
> Tax

[<Previous](#)

## Content Overview ☆

The content for SAP S/4HANA Cloud involves checks on business data and transactions in SAP S/4HANA Cloud to help detect non-compliance.

### Prerequisites

In order to use the content for SAP S/4HANA Cloud, you first need to perform the following actions:

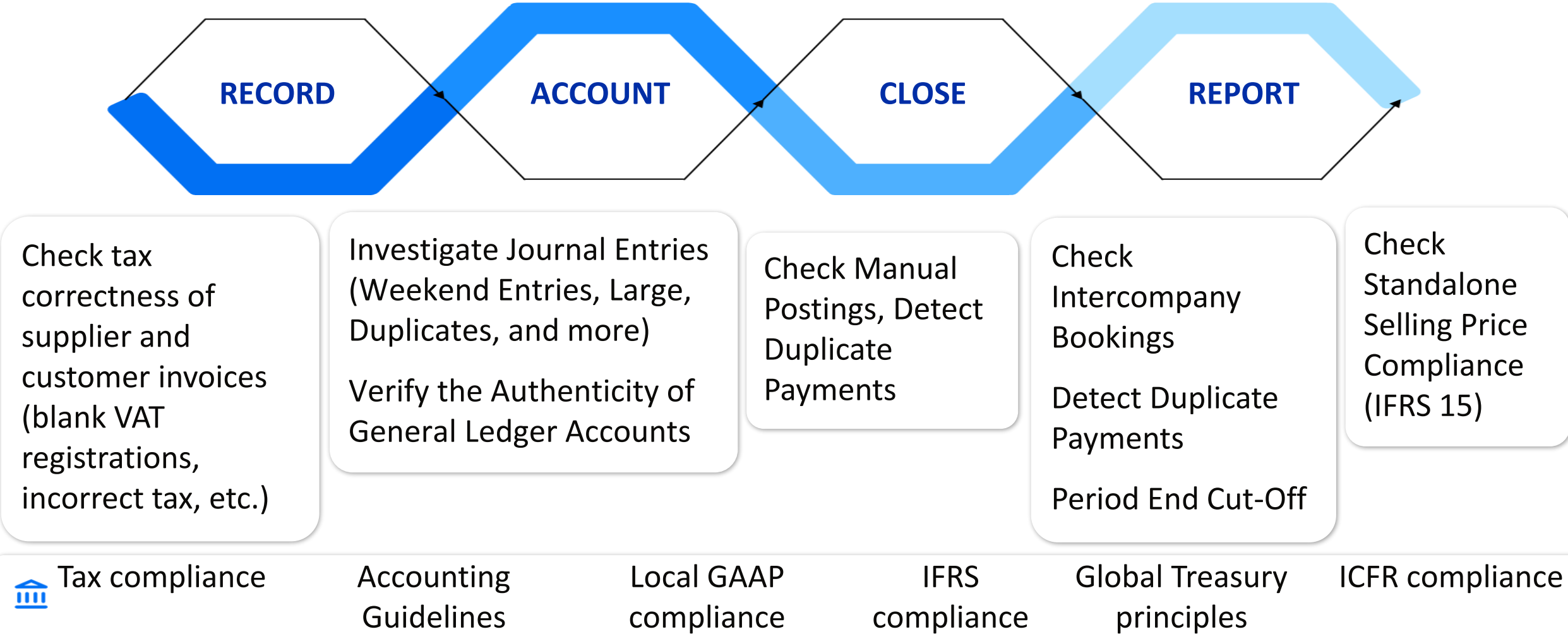
1. Establish a connection to SAP S/4HANA Cloud. For instructions, see [Connectivity](#) in the *Administration Guide for SAP Financial Compliance*.
2. Follow the [Set-up Instructions](#) for Scope Item 3KY.

### Content Overview

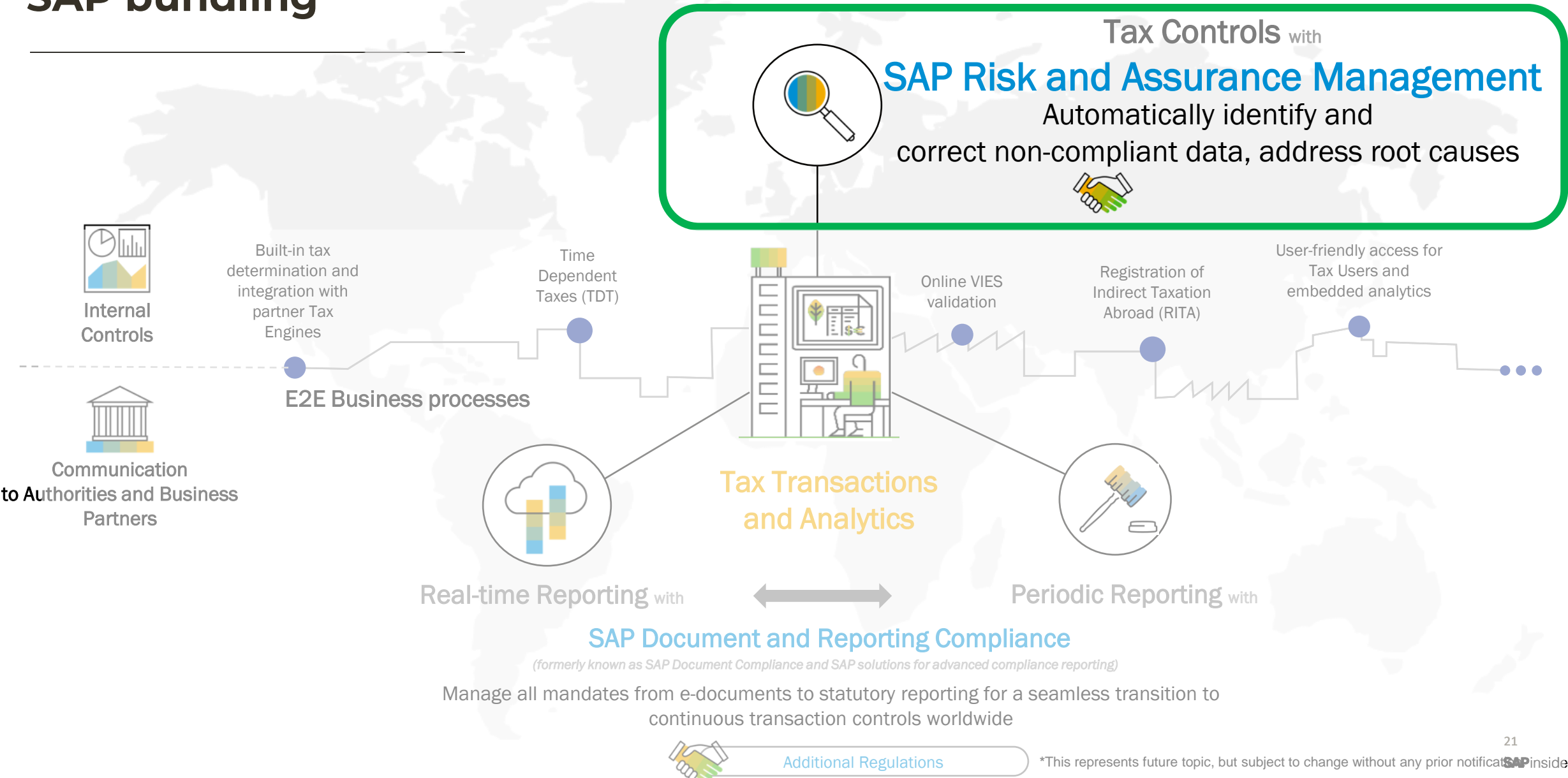
Content Item	
Controls	Automated Procedures
Journal Entries	
<a href="#">Check General Journal Entries Entered on Weekends</a>	<a href="#">Extract General Journal Entries Entered on Weekends</a>
<a href="#">Period End Cut-Off</a>	<a href="#">Extract Journal Entries Posted for Past Fiscal Period</a>
<a href="#">Check for Duplicate Journal Entries</a>	<a href="#">Duplicate Journal Entries with Same General Ledger Account and Description</a>
	<a href="#">Duplicate Journal Entries with Same Amount and Description</a>
	<a href="#">Duplicate Journal Entries with Same General Ledger Account and Amount</a>
<a href="#">Investigate Journal Entries</a>	<a href="#">Journal Entries Posted by General Ledger Accounts Not Used for Specified Amount of Time</a>
	<a href="#">Journal Entries That Exceed Defined Threshold Amount</a>
	<a href="#">Journal Entry Items That Exceed Defined Threshold Amount</a>
<a href="#">Check Manual Postings</a>	<a href="#">Manual Postings Created By Dialog User Accounts</a>
<a href="#">Check Intercompany Bookings</a>	<a href="#">Intercompany Bookings with No Trading Partner</a>
<a href="#">Check Purchase Orders with Goods Receipts</a>	<a href="#">Purchase Orders with Cleared Invoices and No Goods Receipt</a>
	<a href="#">Purchasing Document Items With Overpaid Goods Receipts</a>
	<a href="#">Purchase Order Items Where Delivery of Excess Goods is Possible</a>
Suppliers	
<a href="#">Check Suppliers</a>	<a href="#">Blocked Suppliers with Open Items</a>
	<a href="#">Suppliers with Duplicate Invoice Check Disabled</a>
	<a href="#">Suppliers with Evaluated Receipt Settlement Enabled</a>

# Finance Example: Record-to-Report process

Embed automated controls into S/4HANA business operations - example: Record-to-report



# #2: Tax Compliance & SAP bundling



## #3: IT Application Controls

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RAM customers can already access 8x IT automated procedures in S/4HANA (legacy from SPG). They will be formally included in the RAM baseline content in 2408.

- Detect users that never logged in
- Detect expired users that are not locked
- Detect expired and locked users that should be deleted
- Detect expired users with valid roles
- Detect active temporary users with a long validity period
- Detect active dialog users with profile SAP\_ALL or SAP\_NEW
- Detect temporary roles with a long validity
- Detect dormant users

## #4: SAP S/4HANA 2402: Indication of intent > finance

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S/4 2402 release will include an ESG automated procedure, an HRDD one and a 'typical' fraud one

- Supplier Duplicate Invoice (we updated and upgraded the logic)
- Cleared Invoices for Purchase Documents without Goods Receipt
- Same User created Supplier Master Data and posted invoice
- Suppliers in high **HRDD** risk countries
- Supplier in **ESG** high risk Countries
- **Existing S/4HANA control reports can in theory be integrated to RAM for continuous monitoring and assurance** (example RFDKLI40 – S/4HANA Credit Management) – see screenshots

## #5: Data Privacy/GDPR certification

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Work in Progress –  
no committed  
delivery date

SAP is working with partner Euro privacy to deliver RAM content pack for GDPR certification

- Will be part of RAM baseline content
- Free to customer
- Hope to complete H1-2024

## #6: Partner Content Packs

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Trusted boutique SAP GRC partner **Winterhawk:**

- 12x industry RAM content packs
- ESG content pack
- Launching managed service through global consortium United VARs

Trusted boutique SAP GRC partner **Turnkey:**

- RAM Starter pack on SAP Store
- Content ready for use in RAM (developed SAP baseline content), includes ESG
- Implementation services

- **Big 4:**
- Content can be ready for use in RAM
- Advisory services for RAM
- Some setting up Managed Services

# Combining: SAP Labs Concept

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## Days Sales Outstanding: Key Performance Indicator

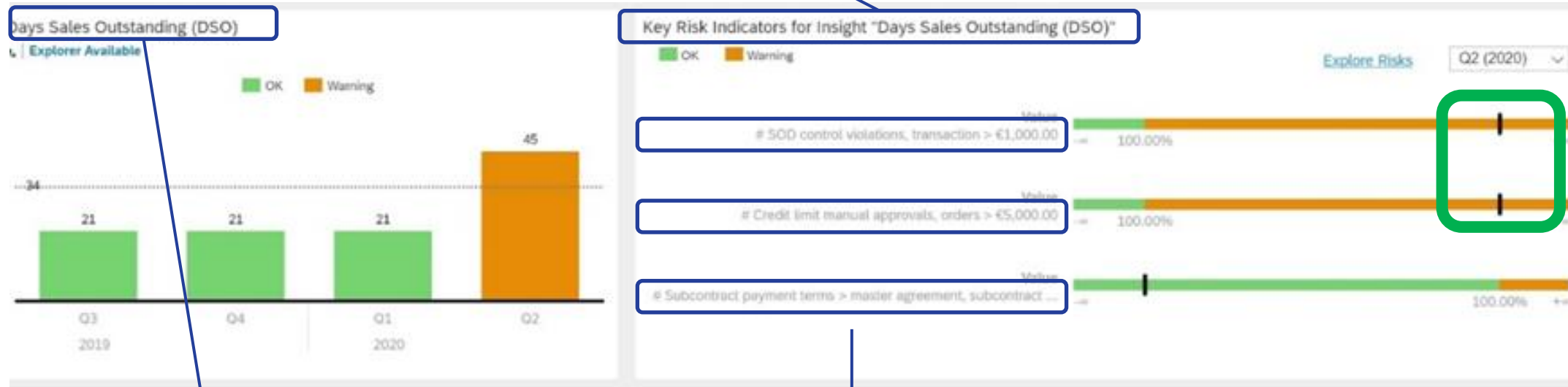
$$\text{DSO ratio} = \text{Accounts Receivable} / \text{Net Credit Sales} \times \text{Number of Days}$$

- Days Sales Outstanding is interpreted as the "days worth of (average) sales that you currently have outstanding".
- It can be thought of the size of the outstanding accounts receivable (legally enforceable claims for payment held by a business for goods supplied and/or services rendered that customers/clients have ordered but not paid for).
- A higher DSO ratio can indicate a customer base with credit problems and/or a company that is deficient in its collections activity. A low ratio may indicate the firm's credit policy is too rigorous, which may be hampering sales.

# Putting it all Together

SAP Analytics  
Cloud bespoke  
demo on standard  
SAP GRC data

## Days Sales Outstanding



### Days Sales Outstanding

- Quarterly tracking of ratio

### KRIs – Automated Procedures

- # SOD control violations, with transactions > € 1,000.00
- # Credit limit manual approvals, orders > € 5,000.00
- # Subcontract payment terms > Master agreement terms

# Putting it all Together

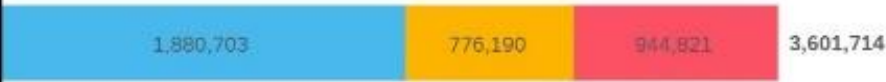
SAP Analytics  
Cloud bespoke  
demo on standard  
SAP GRC data

## Financial Exposure by Objective & Significant Risk

Manage Supply Chain Risk      Poor supply chain



Unreliable inventory Info



Hostile activities at facilities



Goods and Services      Plant delay or shutdown

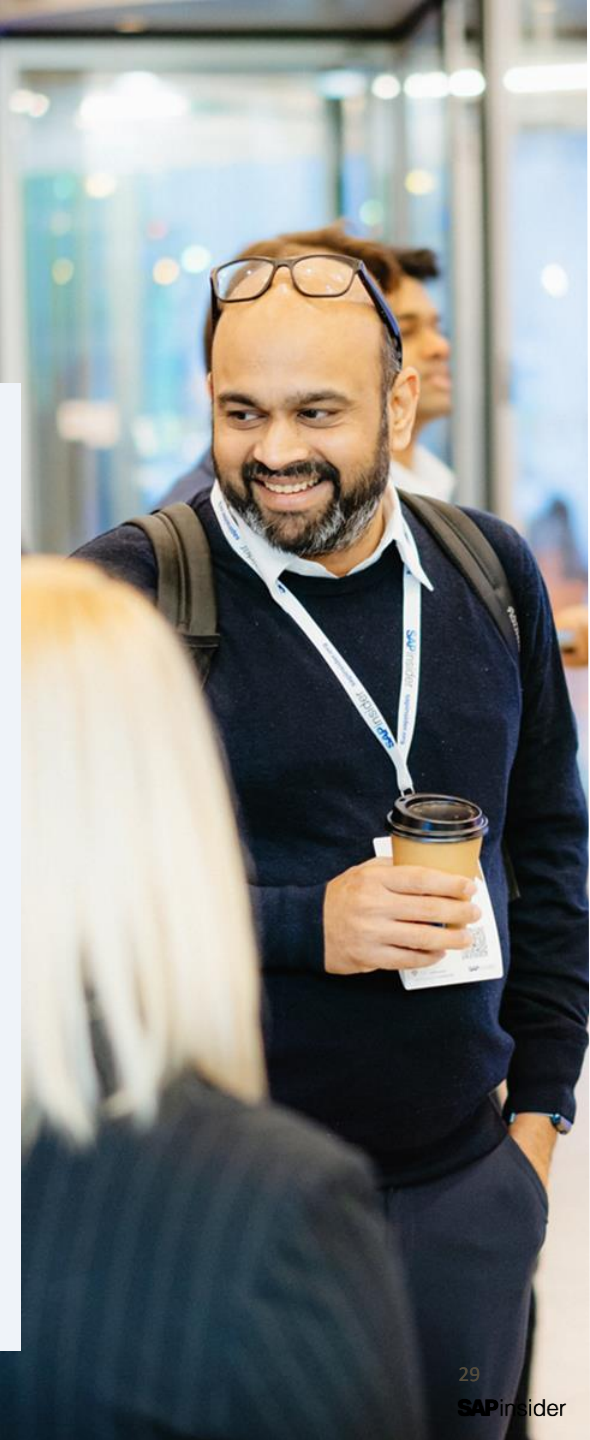


Maximum Loss Data  
Inherent Risk Delta  
Residual Risk

# Benefits of SAP Risk and Assurance Management

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- Low total cost of ownership
- Simple infrastructure
- Short time to operationalize
- Smoother digitalization, finance/digital transformation
- Ease of use, intuitive user interface
- Standardised best practice approach
- Access to expanding consumable content
- Leverage SAP Business Technology Platform capabilities
- In line with SAP strategy, customer strategy
- Benefits from AI



# Roadmap

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## Q1/24

- Asset management, integrated with risk
- Ad-hoc tasks in issue and remediation management
- Multi-issue consolidation in issue management and remediation
- Extended documentary capabilities in issue and remediation management
- Extended workflow capabilities for e-mail notifications in manual procedures

## Q2/24

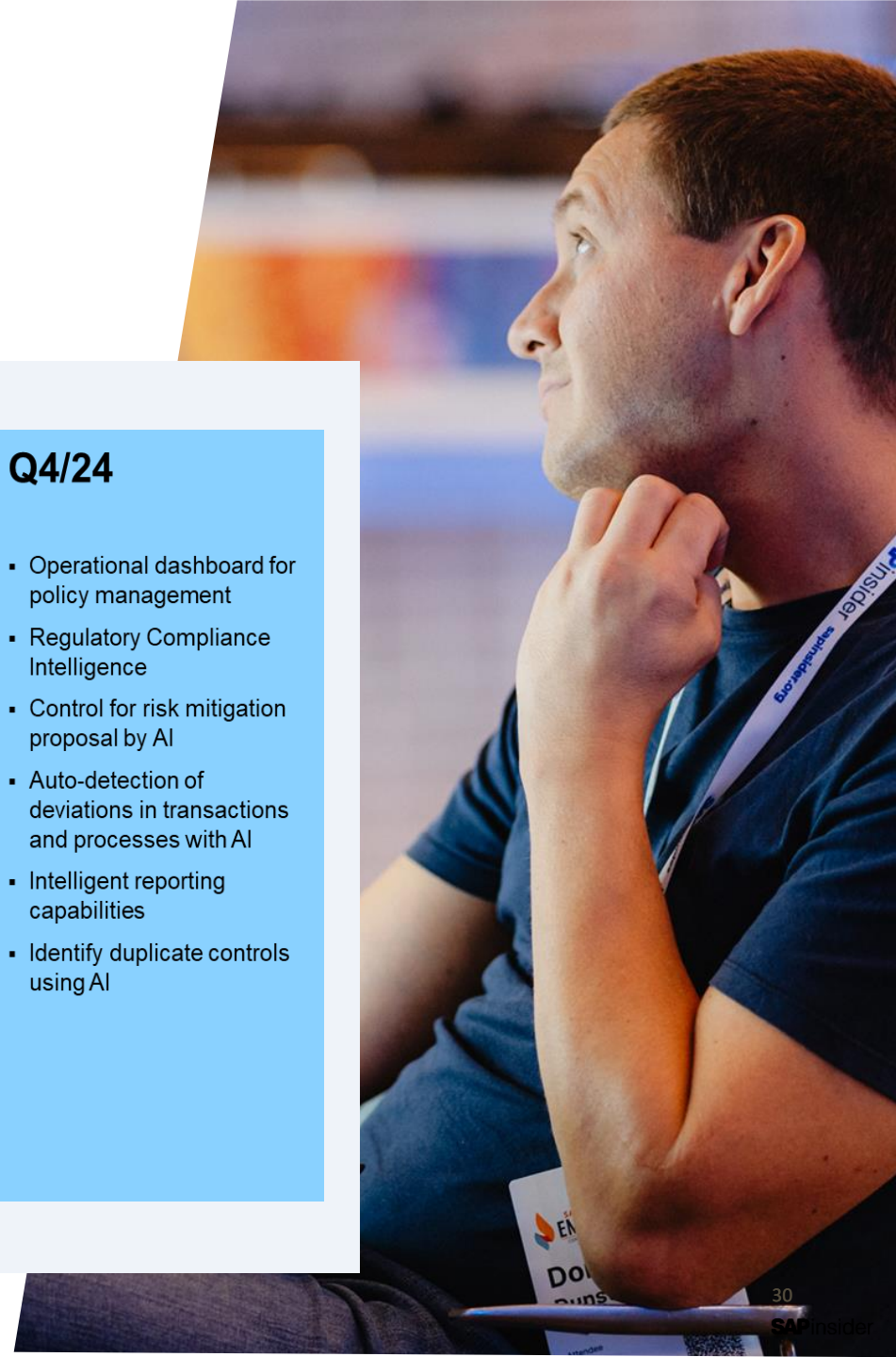
- Integration with SAP Document Reporting Compliance
- Manual procedure - offline execution
- Decision support for issues with machine learning
- Comprehensive customer specific reporting

## Q3/24

- Integration with SAP Identity Access Governance
- Further connectivity options for automated control execution
- Extended analytical and reporting capabilities: New aggregation layer of business data plus new reporting dashboards
- Policy management capabilities in compliance
- Qualitative risk management capabilities
- Enhancement of Signavio integration for controls & risks

## Q4/24

- Operational dashboard for policy management
- Regulatory Compliance Intelligence
- Control for risk mitigation proposal by AI
- Auto-detection of deviations in transactions and processes with AI
- Intelligent reporting capabilities
- Identify duplicate controls using AI



# Our Overall Vision

Sales positioning:

**Office of the CFO** → Main topics: Finance, Tax, ESG, (IT)

Technical positioning:

**Intelligence Platform** for the Office of the CFO  
→ Detect any outlier, not anticipated, and create issues in RAM for mitigation (Vision)

Solution paradigm:

**Simple** to use, **integrated**, with **content** out-of-the-box (e.g. via content hub)



**Development direction:**

- Comprehensive **control management**, with risk management capabilities to enhance and complete any use case. (focus on controls to start, risk is mainly complementary)
- We use **integration** into SAP systems as our advantage in
  - the creation of controls (e.g. from Signavio) and
  - the execution of controls (e.g. in S/4HANA).
- We leverage **AI cases** within the solution and extend to source systems to achieve smart self-healing finance.

# Roadmap plan 2024

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Subject to change without further notice

## Q1/24

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# Roadmap plan 2024

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# AI Roadmap Topics – Deeper Dive

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Target is 2024

- AI Use Cases
- Integrations

# AI Use Cases – target Q4-2024

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Subject to change without further notice

- Decision support with Machine Learning in IRM. Once Issue conclusions are save & closed, use that data to predict likelihood for new issues. Have done a PoC. Don't have to train a model, so simpler than BIS. Auto selection of most appropriate remediation workflows.
- Auto-detection of deviations in transactions and processes with AI. There will be AI-based logic in S/4HANA finance looking for deviations (e.g. Benford's law). It automatically raises suspicious cases in RAM to be investigated in RAM. S/4HANA has all the data, RAM is the intelligence& assurance platform.
- Regulatory Compliance Intelligence. An SAP Business Technology Platform application. Uses any kind of regulatory publication or change. Process pdf document and analyze using LLM, map against controls that exist in RAM (or potentially PC). Not sure yet if this will be a stand-alone purchase.
- Other useful cases such as suggesting controls based on risk, detecting duplicate controls.

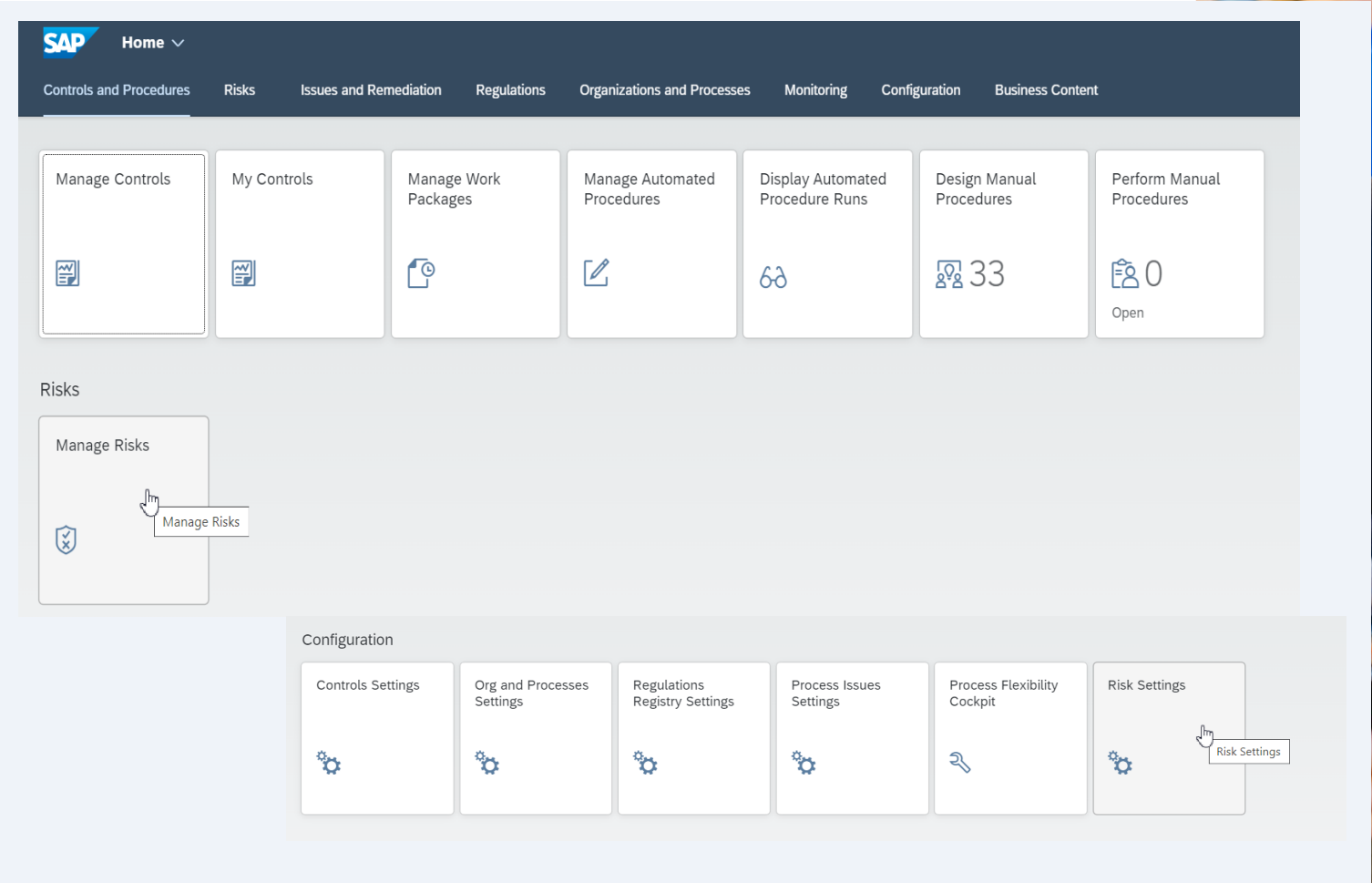
# Integrations – target Q4-2024

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Subject to change without further notice

- Generic use of ODATA services connector – any supporting system (SAP and non-SAP)
- SAP Document and Reporting Compliance (target Q2-2024)
- SAP Identity and Access Governance (target Q3-2024)
- Further connectivity options for automated control execution (target Q3-2024, candidates are for example Ariba, Concur)
- Data Consolidation Services: open reporting for RAM (throughout 2024) – open reporting options as well as potential source information for other AI use cases

# Software Screenshots



My Inbox

 25

My Controls

Perform Manual  
Procedures 65

Open

Process Issues



Issues Overview



## Controls Overview Dashboards

Master Data Analysis



Compliance Analysis



## Risk, Controls and Procedures

Manage Controls

Manage Work  
PackagesDisplay Automated  
Procedure RunsManage Automated  
ProceduresDesign Manual  
Procedures

11

Manage Rule  
ProjectsDisplay Procedure  
Instances

303

Manage Risks



# Controls List

My View ▾

2 filters active: Status, Editing Status



Controls (30)

[Mass Edit](#)

<input type="checkbox"/>	Name	Control Risk Level	Latest Control Performanc...	Control Effectiveness Test ...	Latest Control Assessment...	Changed On ⌵	Control Owner
<input type="checkbox"/>	Verify the Authenticity of General Ledger Accounts 3	High	<div><div></div><div></div><div></div><div></div><div></div></div>	<div><div></div><div></div><div></div><div></div><div></div></div>	<div><div></div><div></div><div></div><div></div><div></div></div>	Feb 8, 2024, 11:53:18 AM	
<input type="checkbox"/>	Check Purchase Orders with Goods Receipts 16	High	<div><div></div><div></div><div></div><div></div><div></div></div>	<div><div></div><div></div><div></div><div></div><div></div></div>	<div><div></div><div></div><div></div><div></div><div></div></div>	Feb 8, 2024, 11:53:09 AM	Tim Browne
<input type="checkbox"/>	Check for Duplicate Journal Entries 12	Medium	<div><div></div><div></div><div></div><div></div><div></div></div>	<div><div></div><div></div><div></div><div></div><div></div></div>	<div><div></div><div></div><div></div><div></div><div></div></div>	Feb 8, 2024, 11:53:01 AM	Tim Browne
<input type="checkbox"/>	Check Intercompany Bookings 15	High	<div><div></div><div></div><div></div><div></div><div></div></div>	<div><div></div><div></div><div></div><div></div><div></div></div>	<div><div></div><div></div><div></div><div></div><div></div></div>	Feb 8, 2024, 11:52:53 AM	Tim Browne
<input type="checkbox"/>	Check Manual Postings 14	High	<div><div></div><div></div><div></div><div></div><div></div></div>	<div><div></div><div></div><div></div><div></div><div></div></div>	<div><div></div><div></div><div></div><div></div><div></div></div>	Feb 8, 2024, 11:51:35 AM	Jessica Pearson
<input type="checkbox"/>	Investigate Journal Entries 13	High	<div><div></div><div></div><div></div><div></div><div></div></div>	<div><div></div><div></div><div></div><div></div><div></div></div>	<div><div></div><div></div><div></div><div></div><div></div></div>	Feb 8, 2024, 11:51:22 AM	Jessica Pearson

# Control Details

Period End Cut-Off

5

Created On: Oct 13, 2023, 4:54:18 PM

Created By: JPEARSON

Changed By: system

Changed On: Feb 16, 2024, 12:58:03 PM

Significance

Key Control

Control Risk Level

High

Status

Active

Control Effectiveness Test Results

Latest Control Performance Results

Latest Control Assessment Results

Edit

Retire

Display Procedure Instances

Ctrl+E

General Information

Description

Additional Information

External Information

Procedures

Related Objects

Attachments and Links

Valid From:

Jan 1, 2021

Valid To:

Dec 31, 9999

Recommended Monitoring Frequency:

Monthly

Control Group:

Record to Report

Description

Recording financial transactions in the correct fiscal period is important to ensure accurate and compliant financial reporting. Proper cut-off should be implemented.

Additional Information

Chart of Accounts:

—

Business Objective:

—

External Information

External System:

SIGNAVIO

External ID:

f53bf1a1d52e4aa2a8f9d18f6e953d6d

External Link:

https://editor.signavio.com/p/hub/dictionary/entry/f53bf1a1d...

Updated At:

Feb 2, 2024, 6:30:30 PM

Procedures

Automated Procedures (1)

Simulate

Create Ad-Hoc Work Package

Name	Reference Period	Destination	Last Run Results	System Type	Source Type	
<div>Extract Journal Entries Posted for Past Fiscal Period_FP</div>	Fiscal Period	<div>1 of 1 defined</div> <div></div>	<div>Completed Without Found Items</div>	S4 HANA Cloud Edition	ODATA	>

2

Display

Organizations (2)

Add

Remove

Name	Validity Period	Type
Treasury	Jan 1, 2020 - Dec 31, 9999	Organization
USA	Jan 1, 2020 - Dec 31, 9999	Organization

Business Processes (1)

Add

Remove

Name	Validity Period	Type
Financial Statement Close	Jan 1, 2020 - Dec 31, 9999	Subprocess

Procedures (2)

Add

Remove

Create Ad-Hoc Work Package

Name	Type	System Type	Source Type	Defined/All Destinations
AP Extract Journal Entries Posted for Past Fiscal Period	Automated Procedure	SAP S/4HANA Cloud	OData Service	
Cut-Off Testing	Manual Procedure			

# Control Details: Period End Cut-off, uses AP Extract Journal Entries for Past Fiscal Period

Destinations and Parameters

Destinations (1)

Destination	Parameters	
FCMS4HC	Defined	<a href="#">Edit</a>

Close

Parameter Values for AP Extract Journal Entries Posted for Past Fiscal Period

Destination: FCMS4HC


Parameters

Clear Values

Amount in Company Code Currency:	Company Code Currency:	Ledger:	Transaction Code:
<input type="text" value="&gt;=\$10,000.00 x"/>	<input type="text" value="USD"/>	<input type="text" value="=0L x"/>	<input type="text" value="=MB1C x"/>

# Controls Results

<



Display Procedure Instances ▾

Standard\* ▾


Control:


Procedure:


Work Package:


Assurance Activity:


Control ID:

Search 









5x

Completed (35)

In Process (25)

Error (3)

Procedure	Result	Destination	Scheduled Run Time ⌵	Actual Run Time	Assurance Activity	Mar
Extract Journal Entries Posted for Past Fiscal Period_FP	<a href="#">Completed Without Found Items</a>	FCMS4HC	Feb 1, 2024, 6:30:00 AM	Feb 1, 2024, 6:30:01 AM	Control Performance	
Extract Journal Entries Posted for Past Fiscal Period_FP	<a href="#">Completed Without Found Items</a>	FCMS4HC	Dec 1, 2023, 6:30:00 AM	Dec 1, 2023, 6:30:04 AM	Control Performance	
Extract Journal Entries Posted for Past Fiscal Period_FP	<a href="#">Completed Without Found Items</a>	FCMS4HC	Dec 1, 2023, 6:30:00 AM	Dec 1, 2023, 6:30:04 AM	Control Performance	
Extract Journal Entries Posted for Past Fiscal Period_FP	<a href="#">Completed with Found Items</a>	FCMS4HC	Nov 1, 2023, 6:30:00 AM	Nov 1, 2023, 6:30:27 AM	Control Performance	
Extract Journal Entries Posted for Past Fiscal Period_FP	<a href="#">Completed with Found Items</a>	FCMS4HC	Nov 1, 2023, 6:30:00 AM	Nov 1, 2023, 6:30:27 AM	Control Performance	
Extract Journal Entries Posted for Past Fiscal Period_FP	<a href="#">Completed Without Found Items</a>	FCMS4HC	Oct 1, 2023, 7:30:00 AM	Oct 10, 2023, 11:25:01 AM	Control Performance	
Extract Journal Entries Posted for Past Fiscal Period_FP	<a href="#">Completed Without Found Items</a>	FCMS4HC	Oct 1, 2023, 7:30:00 AM	Oct 10, 2023, 11:25:01 AM	Control Performance	
Extract Journal Entries Posted for Past Fiscal Period_FP	<a href="#">Completed Without Found Items</a>	FCMS4HC	Aug 1, 2023, 7:30:00 AM	Aug 1, 2023, 7:30:01 AM	Control Performance	

# Issues Related to Controls + Remediation

<

SAP

Issues Overview ▾

Search In: "Apps" 

Q

JP

My View ▾

Issue Category: 

▾

Issue Owner: 

🔗

Go

Adapt Filters

Enter

Issues by Conclusion

Not Selected

9,816

Withdrawn

237

Confirmed

23

False Positive

18

Omitted

1

Quick Links

🛡️

Process Issues

📋

Organize Tasks

Validation Findings  
Needing Follow-Up

Number of findings with missing or inconsistent data

259

Results by Finding

17

3

239

Completed, but conclusion is missing

Completed, but tasks are open

Task Lists not sent

Open Issues

Number of open issues

7

High ▾

Open Issues by Status

7

In Process

Tasks by Due Date and Priority

Number of due tasks

20

Due Tasks by Priority

20

15

10

5

0

3

3

6

3

Very High

High

Medium

Low

Greatly Overdue

Last Week

This Week

Next Week

Issue Owners

Owners having the most open issues

👤

Jessica Pearson

👤

Victor Roland

👤

Mae Wong

Task Processors

Processors having the most open tasks

👤

Mae Wong

👤

Jessica Pearson

# Issue Details

<

SAP

Issue ▾

1 filter active: Editing Status

Issues (234)

Edit Status

Edit Risk Level

Edit Category

⋮

ID	Issue Category	
<input type="checkbox"/> 228 Draft	SOX	>
Status: New		
Risk Level: High		
Conclusion: Confirmed		
Created On: Nov 25, 2021, 11:54:19 AM		
<input type="checkbox"/> 232	SOX	>
Status: New		
Risk Level: High		
Conclusion: (Not Selected)		
Created On: Nov 25, 2021, 11:54:19 AM		
<input type="checkbox"/> 226	SOX	>
Status: New		
Risk Level: High		
Conclusion: (Not Selected)		
Created On: Nov 25, 2021, 11:54:19 AM		
<input type="checkbox"/> 215	SOX	>
Status: New		
Risk Level: High		
Conclusion: (Not Selected)		
Created On: Nov 25, 2021, 11:54:18 AM		
<input type="checkbox"/> 217	SOX	>

228

SOX

Comment

SOX Classification

Details

Conclusion

228

SOX

Display Saved Version

SOX Classification

Fiscal Year: 2021

Fiscal Period:

Issue Type: Control Issue

ICFR Deficiency: Control Deficiency

Relevant For: Line of Business

Details

Sources (1)

Source Name	Source ID	Source Object Type
AP Extract Journal Entries Posted for Past Fiscal Period	157	sap.grc.ap

Conclusion

Conclusion: \* Confirmed

Financial vulnerabilities exceed corporate guidelines

High likelihood this will result in financial exposure in the short term

# Drill Through to S/4HANA

<div><div>&lt;</div><div>SAP</div><div>Found Item ▾</div></div>			
228 / AP Extract Journal Entries Posted for Past Fiscal Period / Found Item Details			
Business Data			
CreationDate 2021-03-02	FiscalPeriodStartDate 2021-02-01	GlobalCurrency USD	CompanyCodeCurrency USD
FiscalYear 2021	BusinessTransactionType RMWA	JournalEntry <a href="#">4900016519</a>	FinancialAccountType_Text Material
AmountInCompanyCodeCurrency 8413100.29	AmountInBalanceTransacCrcy 8413100.29	FinancialAccountType M	TransactionCurrency USD
GLAccount_Text Inventory TradingGd	TransactionCode MB1C	AccountingDocumentType WA	CompanyCodeName BestRun US
DebitCreditCode_Text Debit	AccountingDocCreatedByUser CB9980000650	ProfitCenter Z_LOG_PC11	LedgerFiscalYear 2021
DebitCreditCode S	AmountInTransactionCurrency 8413100.29	Ledger 0L	IsSpecialPeriod false
BusinessTransactionType_Text Goods Movement	BalanceTransactionCurrency USD	AmountInGlobalCurrency 8413100.29	GLAccount 13600000
AccountingDocumentType_Text Goods Issue	FiscalPeriod 002	LedgerGLLineItem 000001	DebitAmountInCoCodeCrcy 8413100.29
ChartOfAccounts YCOA	PostingDate 2021-02-01	FiscalPeriodEndDate 2021-02-28	FiscalYearVariant K4
			FullName NagarajuGandaluri

# S/4HANA Fiori App

## Journal Entry (4900016519) - Entry View ⌵

Header	0	0	1
	Attachments	Notes	Related Documents

Journal Entry Date:  
02/01/2021

Posting Date:  
02/01/2021

Posting Period:  
2 / 2021

Journal Entry Type:  
WA (Goods Issue)

Company Code:  
1710 (BestRun US)

Transaction Currency:  
USD

Reference:  
—

Reference Document Type:  
MKPF (Material Document)

Header Text:  
—

Created:  
by CB9980000650 at 03/02/2021 12:00:23 PM

Show More

Line Items (2) | Standard ▾

T-Account View ⚙️ 📄 ▾


Posting View It...	G/L Account	Profit Center	Debit		Credit		
000001	13600000 (Inventory TradingGd)	Z_LOG_PC11 (Trading Goods-Ebikes)	8,413,100.29	USD	0.00	USD	>
000002	39912000 (Inv Init SF&Fin Bal)	Z_LOG_PC11 (Trading Goods-Ebikes)	0.00	USD	8,413,100.29	USD	>


[Task List](#)




1 filter active: Editing Status

Issues (1,304)



ID



1305

>

Issue Category: SOX


Status: In Process

Risk Level: High

Conclusion: (Not Selected)

Created On:  
Sep 6, 2022, 10:35:29 AM

Issue Owner: Neil Patrick



919

>

Issue Category: SOX

Status: Completed

Risk Level: High

Conclusion: False Positive

Created On:  
Jan 26, 2021, 10:18:16 AM

SOX

Edit

### Details

## Sources (1)

Source Name

MP Tax Amount Above Threshold

## Investigation and Remediation

## Task Lists (1)

☒ Sent

☒ Yes

## Conclusion

Conclusion:  
(Not Selected)

### Tax - Return Invoice to Supplier

Task List Type: Remediation

Task List Name: Update posting with correct Invoice amount

Task List Owner: Neil Patrick

## Completion

3 of 4

### Completion

## Tasks (4)

Search

Task ID	Task Name	Priority
1167	InitiateTask	Medium
1168	ReturnInvoicetoSupplier	High
1169	RepostInvoice	High
1170	ConcludeTask	Very high

My Inbox




My Inbox  
1

# **IT Application Controls**

# Control in RAM

<

 Manage Controls ▾



Q

JP

3 lines ▾


1 filter active: Editing Status

▾

Controls (34)							Mass Edit	Create			▾
<input type="checkbox"/> Name	Control Risk Level	Latest Control Perfor...	Latest Effectiveness ...	Latest Control Asses...	Changed On ⌵	Control Owner					
<input type="checkbox"/> Check Tax Compliance 9	Medium	<div><div>✓</div><div>✓</div><div>✗</div><div>✗</div><div>✗</div></div>	<div><div></div><div></div><div></div><div></div><div></div></div>	<div><div></div><div></div><div></div><div></div><div></div></div>	Jan 31, 2024, 4:39:00 PM	Jessica Pearson	>				
<input type="checkbox"/> IT Control - User Management 41	Medium	<div><div>✗</div><div>✗</div><div>✗</div><div>✗</div><div>✗</div></div>	<div><div></div><div></div><div></div><div></div><div></div></div>	<div><div></div><div></div><div></div><div></div><div></div></div>	Jan 30, 2024, 12:00:26 PM		>				
<input type="checkbox"/> SOD Controls - User Activity - Roll-out 50	Medium	<div><div>✓</div><div>✗</div><div></div><div></div><div></div></div>	<div><div>✗</div><div></div><div></div><div></div><div></div></div>	<div><div>✓</div><div></div><div></div><div></div><div></div></div>	Jan 19, 2024, 10:00:04 AM		>				
<input type="checkbox"/> Investigate Blocked Sales Orders Released Manually 14	High	<div><div>✗</div><div>✗</div><div>✗</div><div>✗</div><div>✓</div></div>	<div><div></div><div></div><div></div><div></div><div></div></div>	<div><div></div><div></div><div></div><div></div><div></div></div>	Jan 1, 2024, 10:00:11 AM	Jessica Pearson	>				
<input type="checkbox"/> Tailings Management 48	Medium	<div><div></div><div></div><div></div><div></div><div></div></div>	<div><div></div><div></div><div></div><div></div><div></div></div>	<div><div></div><div></div><div></div><div></div><div></div></div>	Dec 15, 2023, 2:36:53 PM		>				

# Automated Procedure to S/4HANA

<

 Manage Controls 

▼

Q

JP

IT Control - User Management

Edit

Copy

Retire

Export

Display Procedure Instances

↗

▼

41

▼

General Information

Description

Additional Information

Procedures

Related Objects

Attachments and Links


Attachments and Links (Deprecated)

Procedures

Automated Procedures (2)

Simulate

Create Ad-Hoc Work Package



<input type="checkbox"/> Name	Reference Period	Destination	Last Run Results	System Type	Source Type	
<input type="checkbox"/> AP Detect users that never logged in 272	No Date	1 of 1 defined <div><div></div></div> <div>Display</div>	<div>Completed with Four</div>	S4 HANA Cloud Edition	ODATA	>
<input type="checkbox"/> AP Detect expired and locked users that should be deleted 273	No Date	1 of 1 defined <div><div></div></div> <div>Display</div>		S4 HANA Cloud Edition	ODATA	>

# Results in RAM

## AP Detect users that never logged in

Work Package: [WP Detect users that never logged in Jan 30,2024](#)  
Automated Procedure: [AP Detect users that never logged in](#)  
System Type: SAP S/4HANA Cloud  
Destination: FCMS4HC

Created On: Jan 30, 2024, 12:00:23 PM  
Completed On: Jan 30, 2024, 12:00:24 PM

Procedure Run Status  
Completed

Result Transfer Status  
Completed

Parameters Found Items

Number of days to be considered:

>=180

### Found Items (500)

User Name	Failure Cause	Solution	Number of days to be considered	Created On
CB9980002245	UserID unused	Lock the UserID	01365	May 5, 2020, 1:00:00 AM
CB9980002022	UserID unused	Lock the UserID	01623	Aug 21, 2019, 1:00:00 AM
CB9980002608	UserID unused	Lock the UserID	00936	Jul 8, 2021, 1:00:00 AM
CB9980000853	UserID unused	Lock the UserID	01982	Aug 27, 2018, 1:00:00 AM
CB9980001798	UserID unused	Lock the UserID	01803	Feb 22, 2019, 12:00:00 AM
CB9980003460	UserID unused	Lock the UserID	00200	Jul 14, 2023, 1:00:00 AM

Tested a  
handful, not  
guaranteed for  
all

# **S/4HANA Control Report - Credit Management (RFDKLI40)**

# S/4HANA Report

Tested a handful,  
not guaranteed  
for all

SAP

Manage Credit Accounts ▾

RFDKLI40

Apps ▾ Search In: "Apps" 🔍

🔊 🗨️ ? 🌐

October 2023

Search 🔍

Editing Status: All ▾

Business Partner: 3 Items 🔗

City: 🔗

Country/Region: 🔗

Risk Class: ▾

Credit Check Rule: ▾

Calculation Rule: ▾

Credit Group: ▾

Go Adapt Filters (1)

Business Partners (3)

Edit 📄 ⚙️ 🗨️ ▾ ⋮

<input type="checkbox"/> Business Partner	Credit Group	Score	Score Valid To	Score Changed ...	Calc. Score	Risk Class	Calc. Risk Class	
<input type="checkbox"/> 1004321 Barr Pipeline Inc.  Credit Check Rule: 02 (Credit Limit Check Only (Statistical)) Calculation Rule: STANDARD (Standard Rule Without Automatic Calculation) First Year of Customer Relationship:	1 (Corporates)	0			0	C (Medium Default Risk)		>
<input type="checkbox"/> 1004451 Monster Inc.  Credit Check Rule: Calculation Rule: First Year of Customer Relationship:		0				C (Medium Default Risk)		>
<input type="checkbox"/> 1004559 Tru Blu Inc.  Credit Check Rule: 02 (Credit Limit Check Only (Statistical)) Calculation Rule: STANDARD (Standard Rule Without Automatic Calculation) First Year of Customer Relationship:	2 (Small / Medium Customers)	90		10/20/2023	0	B (Low Default Risk)	B (Low Default Risk)	>

# Control Created in RAM

Tested a handful,  
not guaranteed  
for all

<

SAP

My Controls ▾

Standard ▾

Search

Q

Editing Status: All ▾

Significance: ▾

Control Risk Level: ▾

Go

Adapt Filters (2)

Controls (28)

Mass Edit ⚙️ 📄 ▾

<input type="checkbox"/> Name	Significance	Control Risk Level	Control Effectiveness...	Latest Control Perfor...	Latest Control Asses...	Changed On ↓↑	Validity Period	
<input type="checkbox"/> S4HANA Control Report - Credit Management (RFDKLI40) 38	Key Control	High	<div><div>○</div><div>○</div><div>○</div><div>○</div><div>○</div></div>	<div><div>✔</div><div>✖</div><div>✔</div><div>✔</div><div>✔</div></div>	<div><div>○</div><div>○</div><div>○</div><div>○</div><div>○</div></div>	Dec 6, 2023, 3:58:08 PM	Jan 1, 2023 - Dec 31, 9999	>
<input type="checkbox"/> IT Control - User Management 41	Key Control	Medium	<div><div>○</div><div>○</div><div>○</div><div>○</div><div>○</div></div>	<div><div>✖</div><div>✖</div><div>✖</div><div>✖</div><div>○</div></div>	<div><div>○</div><div>○</div><div>○</div><div>○</div><div>○</div></div>	Dec 1, 2023, 2:30:05 PM	Jan 1, 2023 - Dec 31, 9999	>
<input type="checkbox"/> SOD Controls - User Activity 45	Key Control	Medium	<div><div>○</div><div>○</div><div>○</div><div>○</div><div>○</div></div>	<div><div>✖</div><div>✖</div><div>✔</div><div>✖</div><div>✔</div></div>	<div><div>○</div><div>○</div><div>○</div><div>○</div><div>○</div></div>	Dec 1, 2023, 11:02:06 AM	Jan 1, 2023 - Dec 31, 9999	>
<input type="checkbox"/> Period End Cut-Off 5	Key Control	High	<div><div>○</div><div>○</div><div>○</div><div>○</div><div>○</div></div>	<div><div>✔</div><div>✖</div><div>✖</div><div>✔</div><div>✖</div></div>	<div><div>○</div><div>○</div><div>○</div><div>○</div><div>○</div></div>	Dec 1, 2023, 10:00:20 AM	Jan 1, 2021 - Dec 31, 9999	>

# Connect RAM to the Underlying S/4HANA Query

Tested a handful,  
not guaranteed  
for all

## S4HANA Control Report - Credit Management (RFDKLI40)

[Edit](#) [Retire](#) [Display Procedure Instances](#)

38

Created On: Nov 6, 2023, 11:25:52 AM

Created By: jpearson

Changed By: privileged

Changed On: Dec 6, 2023, 3:58:08 PM

Significance

Key Control

Control Risk Level

High

Status

Active

Control Effectiveness Test Results

Latest Control Performance Results

Latest Control Assessment Results

General Information

Description

Additional Information

Procedures

Related Objects

Attachments and Links

Attachments and Links (Deprecated)

Valid From:  
Jan 1, 2023

Valid To:  
Dec 31, 9999

Recommended Monitoring Frequency:  
Monthly

Control Owner:  
Jessica Pearson

Control Group:  
-

### Description

### Additional Information

Business Objective:  
Economic - Remain profitable

Chart of Accounts:  
-

Risk Category:  
-

### Procedures

Automated Procedures (1)

[Simulate](#) [Create Ad-Hoc Work Package](#)

<input type="checkbox"/> Name	Reference Period	Destination	Last Run Results	System Type	Source Type
<div>S4HANA Credit Management - RFDKLI40</div>	Calendar Date	1 of 1 defined	<div></div> <div>Completed Without Found Items</div>	S4 HANA Cloud Edition	ODATA

268

Display

# Results in RAM

Tested a handful,  
not guaranteed  
for all

## S4HANA Credit Management - RFDKLI40

Work Package: [WP S4HANA Control Report - Credit Management \(RFDKLI40\) Dec 6,2023](#)  
Automated Procedure: [S4HANA Credit Management - RFDKLI40](#)  
System Type: SAP S/4HANA Cloud  
Destination: FCMS4HC

Created On: Dec 6, 2023, 3:58:03 PM  
Completed On: Dec 6, 2023, 3:58:04 PM

Procedure Run Status  
Completed

Result Transfer Status  
Completed

Parameters Found Items

Changed On:  
October 1, 2023...October 31, 2023

### Found Items (3)

Business Partner	Credit Group	Score	Score Valid To	Score Changed On	Calculated Score	Risk Class	Calc. Risk Class	Changed On	Credit Check Rule	Calculation Rule	First Year of Customer Relationship	
1004321	1	0			0	C		Oct 26, 2023	02	STANDARD	0	
1004451	0	0				C		Oct 10, 2023			0	
1004559	2	90		Oct 20, 2023	0	B	B	Oct 20, 2023	02	STANDARD	0	

**Focus on Risk Management**

# Two New Tiles

SAP

Home

Controls and Procedures

Risks

Issues and Remediation

Regulations

Organizations and Processes

Monitoring

Configuration

Business Content

Manage Controls

My Controls

Manage Work Packages

Manage Automated Procedures

Display Automated Procedure Runs

Design Manual Procedures

33

Perform Manual Procedures

0

Open

Risks

Manage Risks

Configuration

Controls Settings

Org and Processes Settings

Regulations Registry Settings

Process Issues Settings

Process Flexibility Cockpit

Risk Settings

# Risk Settings – Good Details

Risk Settings

Edit

▼

Ctrl+E

Changed By: neil.patrick@sap.com  
Changed On: Jan 11, 2024, 6:54:43 PM



- Risk Categories
- Business Objectives
- Cause Categories
- Impact Categories
- Impact Levels
- Likelihood Levels
- Risk Levels
- Risk Heatmap
- Data Retention

Risk Categories (4)

Name	Description	
Environmental Risk	Environmental Risk	
Compliance Risk	Compliance Risk	
Strategic Risk	Strategic Risk	
Operational Risk	Operational Risk	

Business Objectives

Strategic Objectives (4)

# Risk Documentation & Assessment

## Transition away from water-stressed suppliers and sources not met

13

Created On: Jan 11, 2024, 3:34:24 PM	Last Assessed On: Jan 12, 2024, 3:09:53 PM	Status	Total Loss	Expected Loss	Risk Level
Created By: Neil Patrick	Last Assessed By: Neil Patrick	Assessed	EUR	EUR	
Changed On: Jan 12, 2024, 3:09:53 PM			Inherent Risk 312.00M	Inherent Risk 187.20M	Inherent Risk: High
Changed By: Neil Patrick			Residual Risk 204.50M	Residual Risk 74.13M	Residual Risk: Medium
			Target Residual Risk 92.00M	Target Residual Risk 9.20M	Target Residual Risk: Low



- Header
- General Information
- Description
- Causes
- Impacts
- Inherent Risk
- Treatment
- ▼
- Risk Analysis Summary
- Comments
- Attachments and Links

Name:  
Transition away from water-stressed suppliers and sources not met

### General Information

Org Unit:  
SR Europe

Risk Category:  
Environmental Risk

Business Objective:  
Transition to Sustainable opera...

# Risk Documentation & Assessment

Causes

Causes (1)

Search

Cause	Category	Description	
Drought or floods lead to crop failures	Environmental Performance	Liabilities or hazards from environmental events, exposures or situations	

Impacts

Impacts (2)

Search

Impact	Category	Impact Value		Impact Level	
Loss of revenue due to reduced goods	Revenue	250,000,000.00	EUR	Major	
We are seen as unreliable providers of goods	Reputation	62,000,000.00	EUR	Moderate	

Inherent Risk

Total Loss		Total Impact Level	Likelihood Value		Likelihood Level	Risk Level	
312,000,000.00	EUR	Major	60.00	%	Highly Likely	High	

# Risk Documentation & Assessment

## Treatment

### Treatments

Search

Type	Name	Status	
Response	Source others suppliers where possible	Active	
Likelihood Reduction: 35.00 %			
Impact Reduction: 150,000,000.00	EUR		
Control	Reduction of suppliers in high risk water supply regions	Active	
Likelihood Reduction: 15.00 %			
Impact Reduction: 70,000,000.00	EUR		

### Risk Reduction

Total Likelihood Reduction: 50.00 %

Total Impact Reduction: 220,000,000.00 EUR

# Risk Documentation & Assessment

Treatments		
Type	Name	Status
Response	Source others suppliers where possible	Active
Likelihood Reduction: 35.00 %		
Impact Reduction: 150,000,000.00 EUR		
Control	Reduction of suppliers in high risk water supply regions	Active
Likelihood Reduction: 15.00 %		
Impact Reduction: 70,000,000.00 EUR		

## Procedures

Automated Procedures (5)

Name	Reference Period	Destination	Last Run Results	System Type	Source Type	
------	------------------	-------------	------------------	-------------	-------------	--

Environmental, Social and Governance detections for suppliers in high-risk countries	Calendar Date	1 of 1 defined	Completed with Found I	S4 HANA Cloud Edition	ODATA	>
Display						

# Risk Documentation & Assessment

Type	Name	Status
Response	Source others suppliers where possible	Active
Likelihood Reduction: 35.00 % Impact Reduction: 150,000,000.00 EUR		
Control	Reduce water suppliers in high risk regions	Active
Likelihood Reduction: 15.00 % Impact Reduction: 70,000,000.00 EUR		

< SAP Treatment

Transition away from water-stressed suppliers and sources

Source others suppliers where possible

Status: Active

General Information Description

Basic

Name: Source others suppliers where possible

Response Type: Mitigate

Owner: Neil Patrick

Other

Likelihood Reduction: 35.00 %

Impact Reduction: 150,000,000.00 EUR

Completeness: 50 %

Effectiveness: 50 %

# Wrap-Up

---

Where to Find More Information

Key Points to Take Home

Thank you! Any Questions?

# Where to Find More Information

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- List of [out the box controls](#) on help.sap.com
- SAP [FCM Administration Guide](#)
- SAP [FCM Setup Guide](#)
- Videos for [setup, subscription and user authorization](#)
- Short YouTube [intro to solution](#) video
- [Partner Edge](#) Test and Demo license: [search here](#) for Financial Compliance Management (material code 8013502)

## FCM how-to YouTube Videos:

- [Create & Maintain Organizations, Processes and Regulations](#)
- [Create & Maintain Controls and Procedures](#)
- [Schedule Controls and Procedure Runs](#)
- [Review Control Results](#)

## Partner Content

- Winterhawk [brochure on their website, industry and ESG packs](#),
- Winterhawk [ESG capability, includes RAM](#)
- Turnkey brochures in [English](#) and [German](#)
- Turnkey RAM [starter pack on SAP Store](#)
- SAP Learning Hub [RAM overview and onboarding](#) course
- SAP Consulting [RAM starter pack](#) one-pager
- EY, PwC, Deloitte, KPMG, SI's

## Key Points to Take Home

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- You can provide assurance with a single public cloud risk and control solution from SAP
- It is integrated with S/4HANA, and fully aligned with SAP's strategic vision
- The solution has ready to run content from SAP, and partners are creating content packs as well
- This single solution covers financial and non-financial risk, including fraud cases, ESG (and HRDD) and more
- It integrates with SAP's process modelling/mining solution Signavio. More integrations will follow.
- It is not a replacement to our existing and powerful three lines solutions, but another option.

# Thank you! Any Questions?

---

**Dr Neil Patrick**

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+44 7833480248

<https://www.linkedin.com/in/neil-patrick/>

Please remember to complete  
your session evaluation.

# SAPinsider



## SAPinsider.org

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comprises the  
largest and fastest  
growing SAP  
membership group  
with more than  
800,000 members  
worldwide.**

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