SAP Road Map for Governance, Risk, and Compliance Solutions

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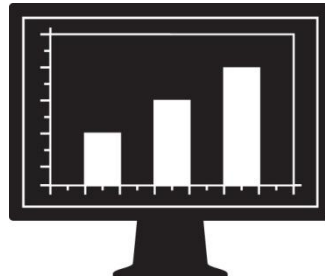
Global trends impacting governance, risk, and compliance (GRC) practices
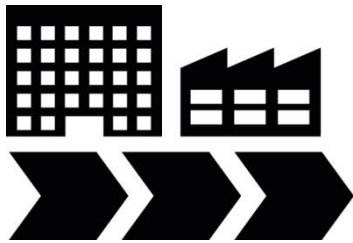
Increasing and changing regulatory requirements

Fact: In fiscal year 2010, 43 major new regulations were imposed – U.S. General Accounting Office data

Added pressure for transparency and accountability

Fact: Investors want auditors to dig deeper into assertions that fall outside of audited financial statements
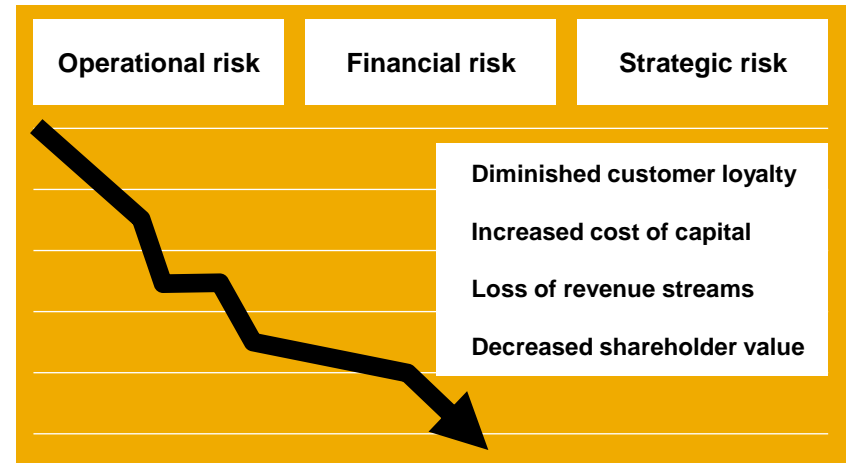
Virtualized IT and business process environments

Fact: Cloud computing is here to stay, but the legal and compliance risks that come with it are daunting

Pervasive challenges facing companies today

Operational risk	Financial risk	Strategic risk

- Diminished customer loyalty
- Increased cost of capital
- Loss of revenue streams
- Decreased shareholder value

GRC programs require manual efforts and are too costly

Impact of risk events and noncompliance is high

Proactively balance risk and opportunity
SAP solutions for governance, risk, and compliance (GRC)

MANAGE BETTER	PROTECT BETTER	PERFORM BETTER
Automate manual tasks	Automate monitoring	Align with strategy and planning
Employ best practices	Real-time analysis	Embed analytics
Reduce effort and cost	Industry-specific solutions	Scenario modeling

Key competencies for success
SAP solutions for GRC

GRC for Industries

Banking	Utilities	Mfg	Oil & Gas	CPG	...

GRC for LoBs

IT	Supply Chain	Sales and Marketing
Finance		...

SAP solutions for GRC

Analyze

Dashboards & Visualization	Interactive Analysis	Exploration	Reports

Manage

Risk	Compliance	Audit	Policy	Access	Exception

Monitor

KRIs	Controls	Transactions	Privileges	Events

Strategize — Plan — Execute — Report

Enterprise Applications

SAP | Greenlight TECHNOLOGIES

Legacy Apps — PeopleSoft — JD EDWARDS — ORACLE

IT Infrastructure

ca technologies — loglogic — Novell — SAP NetWeaver — SenSage — ArcSight

*Lines of business

SAP solutions for GRC
Manage, protect, and perform

Access control	**Process control**	**Risk management**	**Global trade services**

Confidently manage and reduce access risk enterprise-wide

Ensure effective controls and ongoing compliance

Align enterprise risks with business value

Optimize global supply chain and ensure compliance

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Overview of SAP road map for GRC

Risk management

Access control

Process control

Advanced reporting and analytics

Comprehensive GRC initiative management

Integrated monitoring

Industry and LoB risk and compliance content

Continuous innovation

Active GRC

Predictive GRC

Solution today

Planned innovations

Future direction

Overview of SAP road map for GRC

Risk management

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Advanced reporting and analytics

Comprehensive GRC initiative management

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Industry and LoB risk and compliance content

Planned innovations

Continuous innovation

Active GRC

Predictive GRC

Future direction

Recent innovations for SAP solutions for GRC
Overview

Available now

	Key needs	Key innovations	Release
Unified and integrated GRC platform	• Integrated GRC solutions	• Common look and feel; streamlined navigation • Shared compliance master data	• SAP Access Control 10.0, SAP Process Control 10.0, and SAP Risk Management 10.0
GRC reporting and analytics	• Insights into the status and value of risk and compliance programs	• Interactive dashboards • Embedded reporting and dashboards	• SAP Access Control 10.0, SAP Process Control 10.0, and SAP Risk Management 10.0
Comprehensive GRC management	• Increased reliance; reduced effort and cost for risk and compliance activities • Expanded functions	• Closed-loop super-user privilege management • Comprehensive policy management • Visual risk bowtie builder • Integrated audit management	• SAP Access Control 10.0, SAP Process Control 10.0, and SAP Risk Management 10.0
Operational risk management for banking	• Quantitative analysis • Loss event management	• Manual and score-based key risk indicators • Comprehensive analytical dashboards on losses and loss matrix analysis	• SAP Risk Management 10.0
GRC mobile apps	• Extended reach for GRC workflows to mobile workers	• Mobile approval of access requests • Mobile review of policies	• SAP GRC Access Approver and SAP GRC Policy Survey mobile apps
Integrated GRC monitoring	• Monitor business and IT outcomes	• Enhancements to comprehensive and automated GRC monitoring	• SAP Access Control 10.0, SAP Process Control 10.0, and SAP Risk Management 10.0

Solution today

Unified and integrated GRC platform

◀

Available now

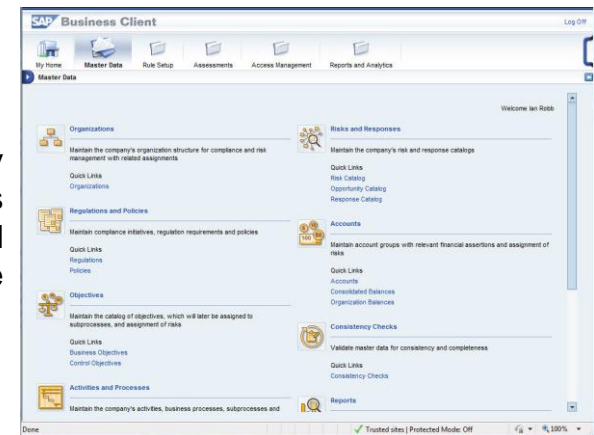## SAP Access Control 10.0, SAP Process Control 10.0, SAP Risk Management 10.0

Solution enhancements

- Unified technology platform based on the ABAP programming language
- Common look and feel; streamlined navigation
- Shared compliance master data
- Configurable user interface
- Content lifecycle management

Key benefits

- Reduced overall cost of ownership
- Reduced cost of training; ability to share staff
- Reduced configuration cost
- Easier adaptation to specific requirements
- Reduced time to value

Common technology
platform enables
a unified
user experience

Solution today

GRC reporting and analytics

◀

Available now

SAP Access Control 10.0, SAP Process Control 10.0, SAP Risk Management 10.0

Solution enhancements

- Enhanced report formats
- Interactive dashboards
- Embedded reporting and dashboards

Key benefits

- Empowered business users
- Expanded visibility for program owners
- Reduced cost of ownership and management

Dashboards provide visibility needed by GRC program owners

Solution today

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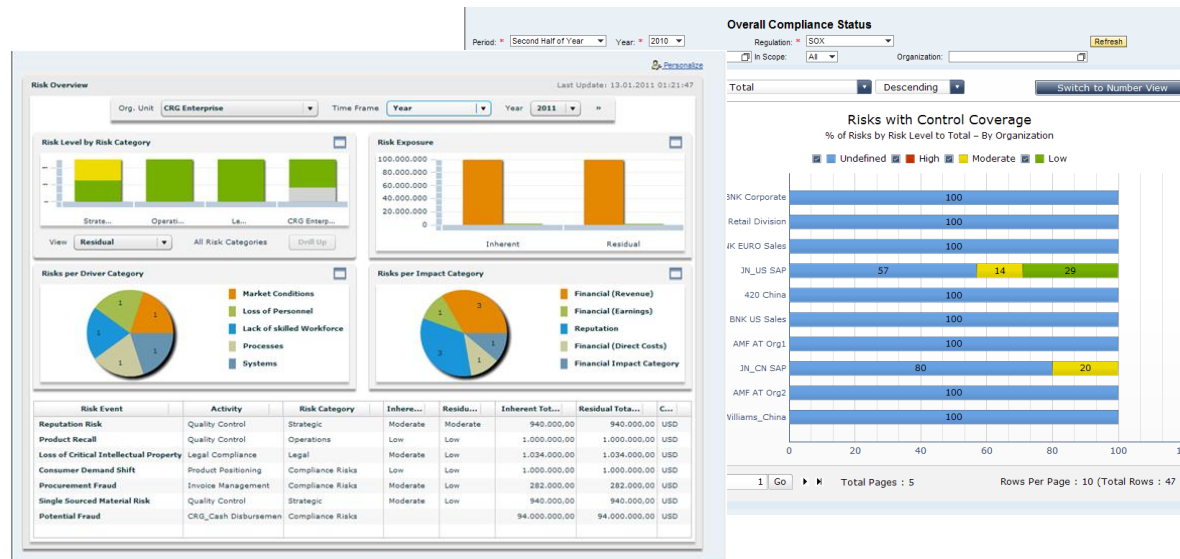
Comprehensive GRC management
Access control

SAP Access Control 10.0

Solution enhancements

- Streamlined user access management
- Collaborative business role governance
- Centralized super-user privilege management
- Closed-loop super-user privilege management
- Improved identity management Integration

Key benefits

- Improved usability and simplified provisioning
- Centrally managed compliant roles across systems
- Reduced administration cost and improve visibility
- Ability to review, resolve, and track activity online
- Minimized access risk in enterprise provisioning

Automated review for super-user privilege management
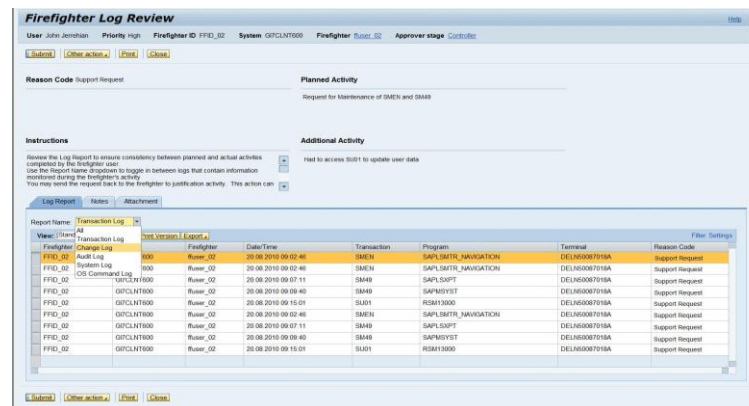
Solution today

Comprehensive GRC management
Compliance, control, and policy management with SAP Process Control ◀

Available now

SAP Process Control 10.0

Solution enhancements

- Management of multiple compliance, control, and process-improvement initiatives
- Expanded issue identification and remediation
- Offline control evaluations and remediation
- Comprehensive policy management

Key benefits

- Reduced cost of compliance and increased scalability
- Incorporation of issues identified outside of system
- Complete support for offline control testers
- Reduced risk via policy compliance

Management of policy definition, review, approval, and rollout
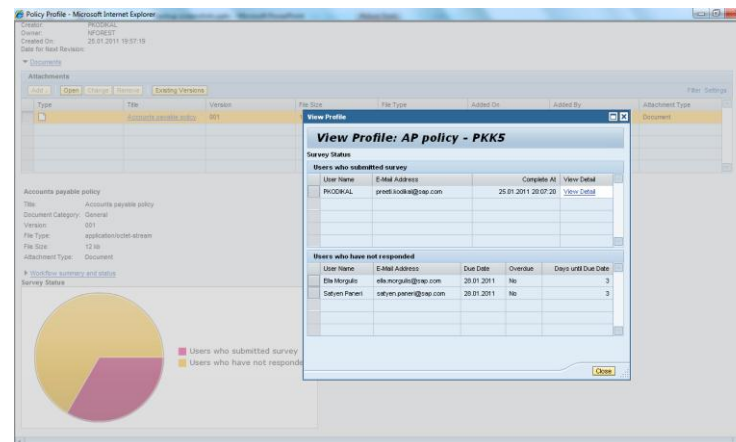
Solution today

Comprehensive GRC management
Audit management integration

◀

Available now

SAP Process Control 10.0, SAP Risk Management 10.0

Solution enhancements

- Facilitate internal audit performance of enterprise risk assessment

- Drive auditable entities by audit from the existing GRC structure

- Risk-rate auditable entities using audit criteria to develop annual plans

- Drive audit steps with GRC business risks

- Share controls with audit management and assign them to audit programs

- Share issues and remediation to enable reporting based on a common repository

Key benefits

- Comprehensive, risk-based audit planning and management

- Creation of synergy between audit and compliance teams
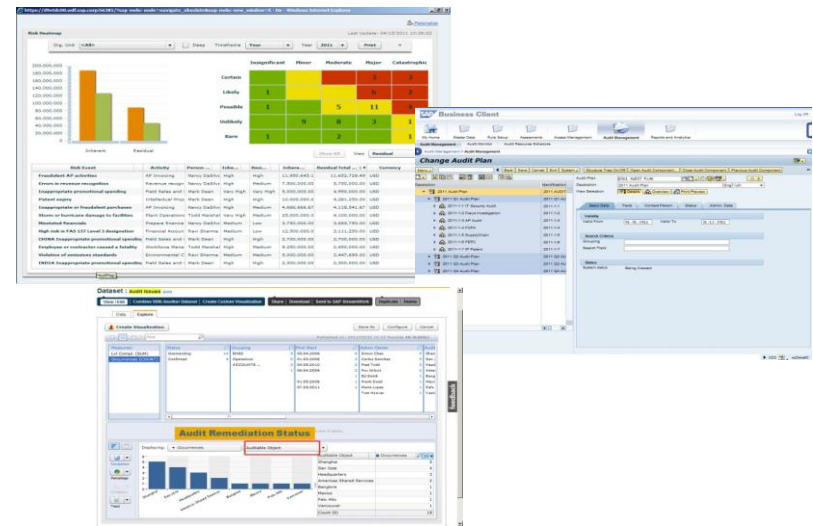
Solution today

Comprehensive GRC management
Risk management (1/2)

SAP Risk Management 10.0

Solution enhancements

- Visual risk bowtie builder
- Risk and response catalogs
- Enhanced risk assessment capabilities
- Alignment of risks with policies and issues
- Enhanced risk consolidation and aggregation across risk categories and organizations

Key benefits

- Engagement with business leaders
- Ability to leverage established and proven best practices
- Improved user productivity
- Drive toward effective risk mitigation
- Reduced time to aggregate risk information from multiple sources

Risk bowtie builder enables communication between risk practitioners and risk owners in the business
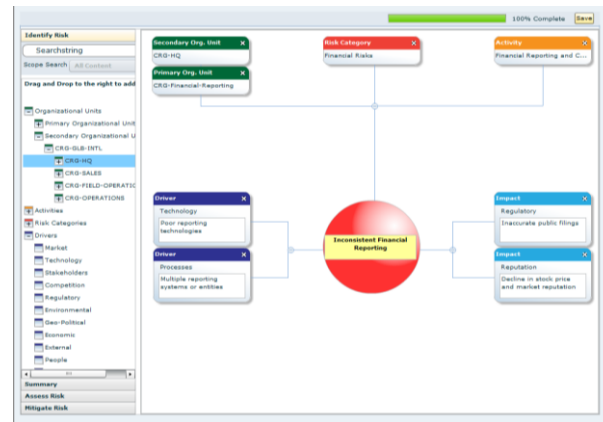
Solution today

Comprehensive GRC management
Operational risk management for banking (2/2)

◀

Available now

SAP Risk Management 10.0

Solution enhancements

- Manage static data (organizations, risk categories, and assets)
- Manage loss events across complex and dynamic business units
- Aggregate key risk indicators (KRI) across organizations and risk categories
- Perform comprehensive risk and control self-assessments
- Use manual and score-based key risk indicators
- Use comprehensive analytical dashboards on losses and loss matrix analysis

Key benefits

- Management of operational risk and compliance for banking industry

Solution today

Comprehensive GRC management
SAP GRC Access Approver and SAP GRC Policy Survey mobile apps

◄

Available now

SAP GRC Access Approver and SAP GRC Policy Survey mobile apps

Solution enhancements

- Mobile approval of access and super-user requests for iPhone users
- Distribution of policy surveys and acknowledgements to BlackBerry PlayBook users
- User-friendly UI with understandable task flow

Key benefits

- Mobile-enabled approval, ensuring timely response for access requests
- Timely policy certification
- Extension of value for customers of version 10.0 of SAP solutions for GRC
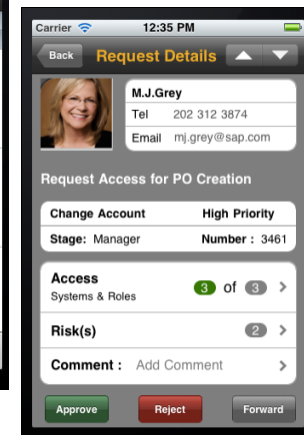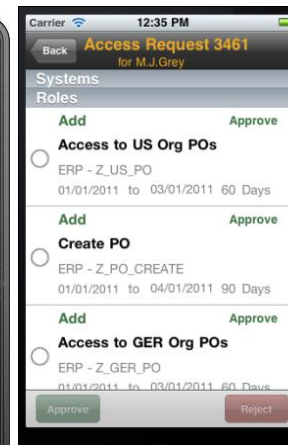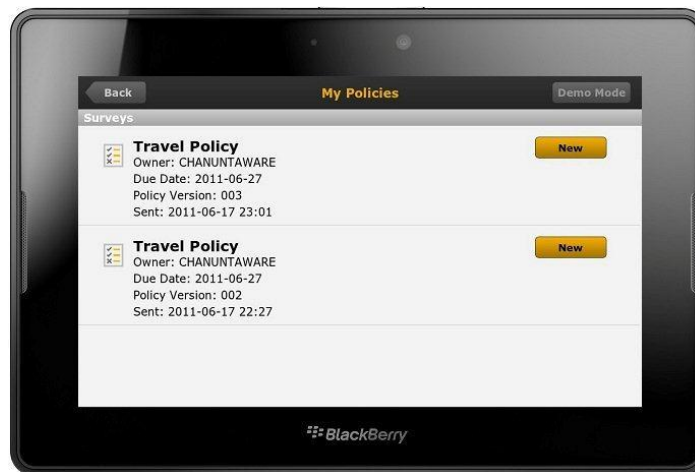
Solution today

Integrated GRC monitoring

Available now

SAP Access Control 10.0, SAP Process Control 10.0, SAP Risk Management 10.0

Solution enhancements

- Best-in-class user access privilege monitoring for SAP and non-SAP software systems
- Enhanced automated control monitoring
- Flexible and configurable surveys
- Monitoring for policy effectiveness
- Enhanced risk assessment
- Automated key risk indicator monitoring

Key benefits

- Reduced cost and ensured compliance
- Reduced overall effort via broader use of surveys
- Increased policy compliance
- Higher productivity and reduced effort

Solution today

Key links for more information
For customers and partners

- Road maps on SAP Service Marketplace

- SAP's release strategy for large enterprises on SAP Service Marketplace

- SAP.com Web site

- SAP Business Process Expert (BPX) community

- SAP help portal

- Idea place

Solution today

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Overview of SAP road map for GRC

Risk management

Access control　　**Process control**

Advanced reporting and analytics
Comprehensive GRC initiative management
Integrated monitoring
Industry and LoB risk and compliance content

Continuous innovation

Active GRC

Predictive GRC

Solution today

Planned innovations

Future direction

Advanced reporting and analytics
Overview

Key need	Innovation highlight	
• Tailor GRC analytics to company needs by enabling self-service reporting, analysis, and instant exploration for business users	• Common GRC reporting services to allow selected reporting and analytic tools to access GRC data • Critical GRC management dashboards and reports • Data structures of SAP Access Control 10 in the SAP NetWeaver Business Warehouse component	🛈
• Enable business users to identify the root cause of access risk violation and take action	• Root cause analysis of access risk	🛈
• Use a high-performance reporting solution for enterprise-wide GRC analytics	• GRC analytics powered by SAP HANA	🛈

Planned innovations

Comprehensive GRC reporting

Solution enhancements

- Comprehensive GRC reporting services

- Critical GRC management dashboards

Key benefits

- Creation of custom reports and dashboards with cross-GRC data
- Data visualization and advanced interactive analysis using powerful SAP software
- Executive dashboard to support enterprise-wide view of risk, compliance, and access risk status
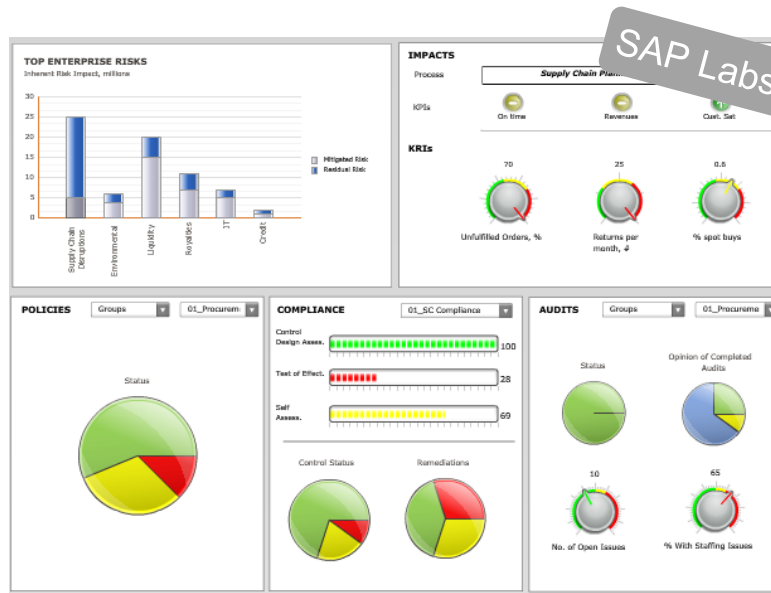
Planned innovations

Access risk root cause analysis

Solution enhancements

- Graphically identify the root cause of access risk violations and take action
- Make informed decisions utilizing what-if simulations

Key benefits

- Comprehensive identification and remediation of access risk violations

Access Risk Analysis and Remediation

```
Access risk identification
            |
            v
Access risk elimination
            |
            v
       Reporting
            |
            v
       Prevention
```

Planned innovations

GRC analytics powered by SAP HANA

Solution enhancements

- Additional reports and dashboards that enable high-speed collection and review of key issues related to access control, policy control, and risk management
- Device-agnostic report presentation
- Use of reporting tools in SAP software to construct comprehensive and flexible GRC reports

Key benefits

- High-volume processing of GRC data
- Accelerated reporting for faster review and action
- Review analytics information on **any** device – desktop or mobile

BI analysis	Native Excel	SAP Crytal Reports
WI*	Dashboard	EXPL**

EXPL**

SAP HANA: modeler

SAP HANA: content
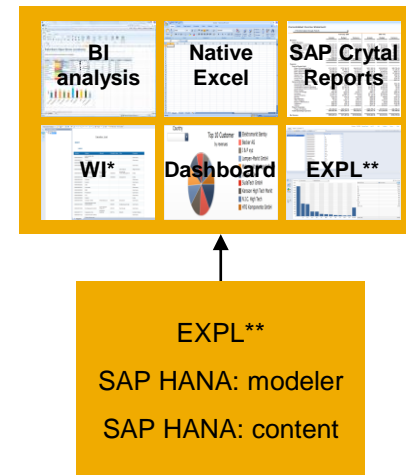
*SAP BusinessObjects Web Intelligence
**SAP BusinessObjects Explorer

Planned innovations

Comprehensive GRC initiative management
Overview

Key need	Innovation highlight	
• Customize end-user access requests for individual company requirements	• Customization improvements for end users of access request	🛈
• Initiate key remediation processes from risk analysis results	• Workflows for access-risk remediation	🛈
• Discover, analyze, and tag user authorizations to understand and optimize role usage	• Role discovery and optimization	🛈
• Enhance the enterprise risk management process by automating key activities for risk managers	• Ad hoc risk escalations based on configurable thresholds	🛈
• Support recurring performance of manual control activities	• Performance of manual controls	🛈
• Integrate policy management functionality with third-party document management systems	• Enterprise service to link policies with external document management system (DMS)	🛈
• Continue to enable GRC on mobile devices	• Access approver and policy survey on additional devices	🛈

Planned innovations

Access request form customization

Solution enhancements

- Enhanced customization of forms with dynamically rendered layout
- Ability to customize request forms for specific business processes, organizations, and systems

Key benefits

- Simplified and streamlined access request and approvals
- Reduced requests with errors and canceled requests

Planned innovations

Access risk remediation workflows

Solution enhancements

- Take remediation action from the results of any access risk analysis
- Initiate a workflow to update user or role authorization assignments and validity dates

Key benefits

- Delivery of a single, comprehensive access risk analysis and remediation process

SAP Labs preview
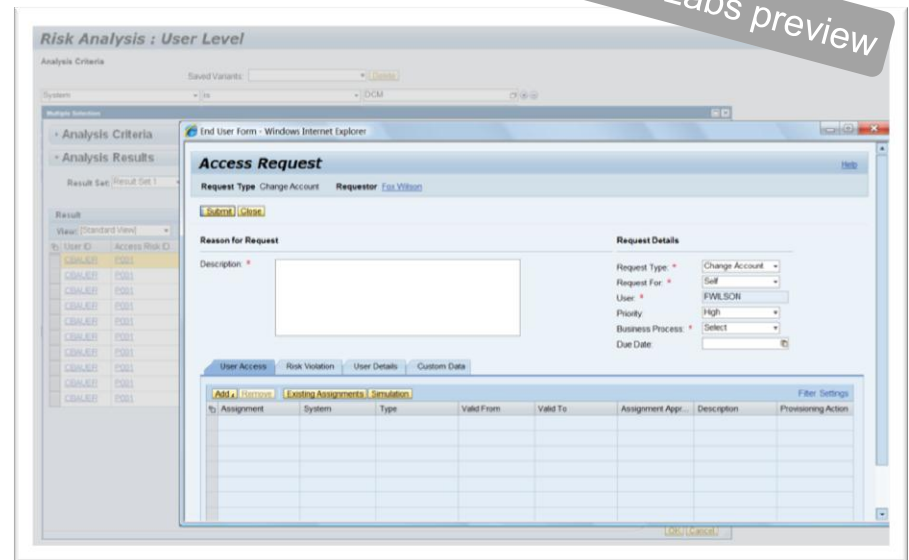
Role discovery and optimization

Solution enhancements

- Discover user authorizations across enterprise landscapes
- Report on and analyze roles and user assignments for internal and external auditing
- Ensure that business functions are correctly represented in business role design.
- Simplify user assignment and review processes

Key benefits

- Visibility into system access for business process efficiency and risk reduction
- Reduced cost and redundancies with authorization management, including period role reviews
- Optimized authorization and security across platforms
- Streamlined role request and approval process

Discover

Analyze

Optimize

Automate
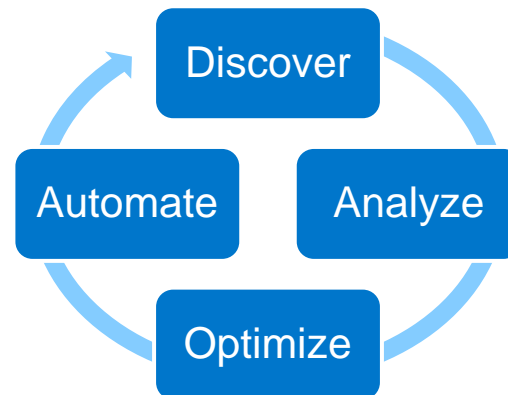
Planned innovations

Enterprise risk management process enhancements

Solution enhancements

- Ad hoc risk escalations based on configurable thresholds

Key benefits

- Enablement of management to take immediate action to prevent large losses
- Provision of management flexibility in identifying the critical limit for risk escalations
- Support for a whistle-blowing approach within a risk management framework
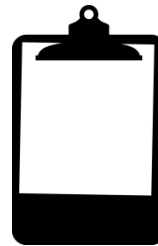
Planned innovations

Performance of manual controls

Solution enhancements

- Document steps to perform a control separately from test plan or survey
- Plan recurring performance and review of control
- Attach evidence to support control

Key benefits

- Timely performance and optional review of controls
- Improved reliability and consistency of controls via documented steps and attached evidence
- Faster evaluations of controls, with evidence available in a central location
- Establishment of clear accountability

Planned innovations

Enterprise service to link policies with external document management systems

◀

Solution enhancements

- Provide a standard enterprise service to allow users to link policies to policy documents stored in external document management systems (DMS)
- Allow GRC users to view and retrieve documents from the external DMS from policy acknowledgments, surveys, and quizzes

Key benefits

- Ability of customers to leverage their investments by using documents stored in an existing third-party DMS
- Ability to leverage the strengths of third-party document management capabilities, such as full text search, version control, change tracking, document retention, and archiving

Policies available to GRC   ⟵   Policies stored in external DMS

Planned innovations

SAP GRC Access Approver and SAP GRC Policy Survey

Solution enhancements

- Extension of mobile approval of access and super-user requests for Android users
- Distribution of policy surveys and acknowledgements to iOS users
- Intuitive UI with understandable task flow

Key benefits

- Further enablement of the enterprise for mobile approval
- Timely policy certification on popular corporate devices
- Extension of value for customers of version 10.0 of SAP solutions for GRC
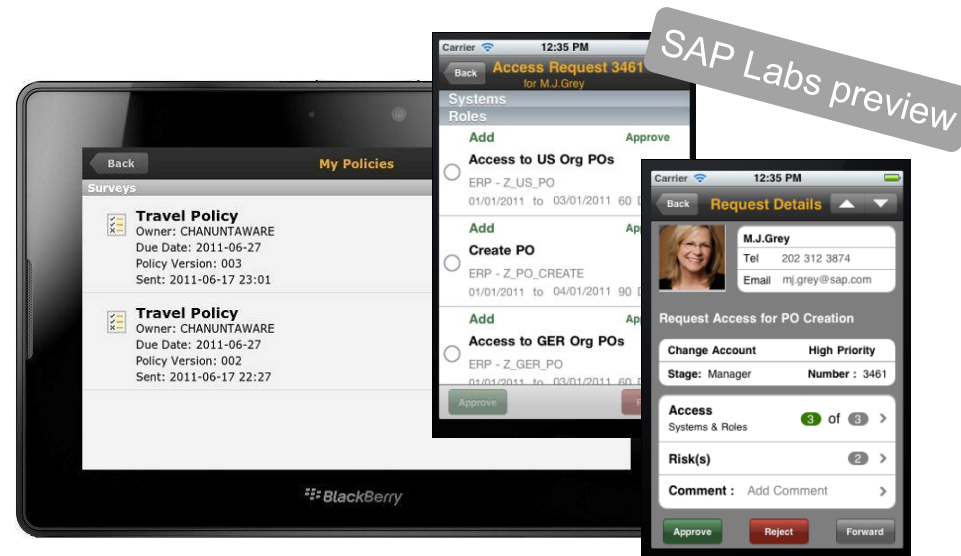
Planned innovations

Integrated monitoring
Overview

Key need	Innovation highlight
• Ability to tie transaction monitoring to key controls	• Continuous transaction monitoring integration for controls and compliance management
• Cross-system monitoring – when business processes span multiple systems	• Use of SAP HANA to consolidate data for multiple systems, and monitor against SAP HANA
• Large-volume transactions – when multiple years of data needs to be analyzed, for example	• Use of SAP HANA for large-volume monitoring
• Improved monitoring technique reuse	• Use new reporting standard (ODP) of SAP NetWeaver to facilitate reuse of content across SAP HANA, SAP ERP, SAP CRM, SAP NetWeaver BW, and so on

Planned innovations

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Integrated continuous transaction monitoring
for compliance and control management

◀

Solution enhancements

- Certified integration with SAP Process Control

Key benefits

- Extension of continuous transaction monitoring to support continuous control monitoring
- Proactive identification of control exceptions and potential fraud, error, and abuse
- Insight to control weaknesses and effectiveness
- Identification of business process quality and efficiency problems

SAP Labs preview

Planned innovations

Cross-system and large-volume monitoring

Solution enhancements

- Monitor business data powered by SAP HANA
- Monitor reports and queries based on operational data provisioning (ODP)

Key benefits

- Ability to analyze large volumes of data and monitor results quickly (through SAP HANA)
- Consolidation of operational and financial data from multiple systems (through SAP NetWeaver BW on SAP HANA)
- Ability to leverage ODP-based reports and queries for automated monitoring to save time and money by reusing valuable content in multiple ways

Planned innovations

Industry and LoB risk and compliance content
Overview

Key need	Innovation highlight
• Enable IT risk management for ISO 2700X standard • Support risk management based on ISO 31000 standard, framework, and terminology	• Enhanced support for best-practice and industry-standard risk-management methodologies
• Enable and package GRC content for business processes, lines of business, and industries • Drive additional revenues and improve competitive position	• Line of business and industry best-practice content

Planned innovations

Enhanced support for best-practice and industry-standard risk management methodologies

◀

Solution enhancements

- Enable ISO 2700X standards, terminology, and risk assessment methodology for IT risk management
- Enable ISO 31000 standard, terminology, and risk management framework

Key benefits

- Support for CIOs with IT risk and information security management as per industry standards in alignment with the enterprise risk-management program
- Increased global adoption with support for best-practice risk-management standards and framework

- ISO 27001
- ISO 27002
- ISO 27003
- ISO 27004
- ISO 27005
- ISO 27006
- ISO 27007 +

International Organization for Standardization

Establish the context
Identify risks
Analyse risks
Evaluate risks
Treat risks

Monitor and review

Communicate and consult
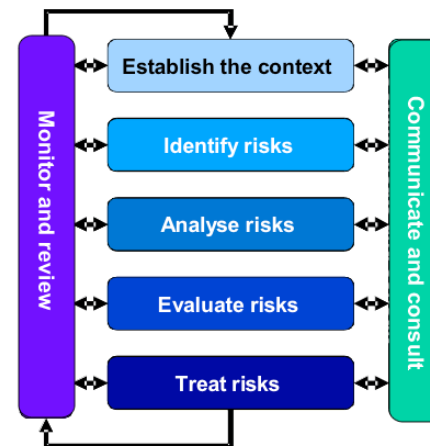
Planned innovations

Line of business and industry best-practice content

Solution enhancements

- Library of automated controls for common business processes and lines of business
- Risk, controls, and KRIs content from standard sources such as COSO, Audit Standard 5, S&P, Basel, and providers such as UCF and RiskBusiness (Taxonomy and KRI Library)

Key benefits

- Lower total cost of ownership and higher ROI for customers from automated monitoring of key controls
- Ability to leverage best-practice frameworks and content to jump-start compliance with regulatory requirements that vary by industries, lines of business, and geographies

SAP Partner

SAP EcoHub

SAP Partner Edge

Planned innovations

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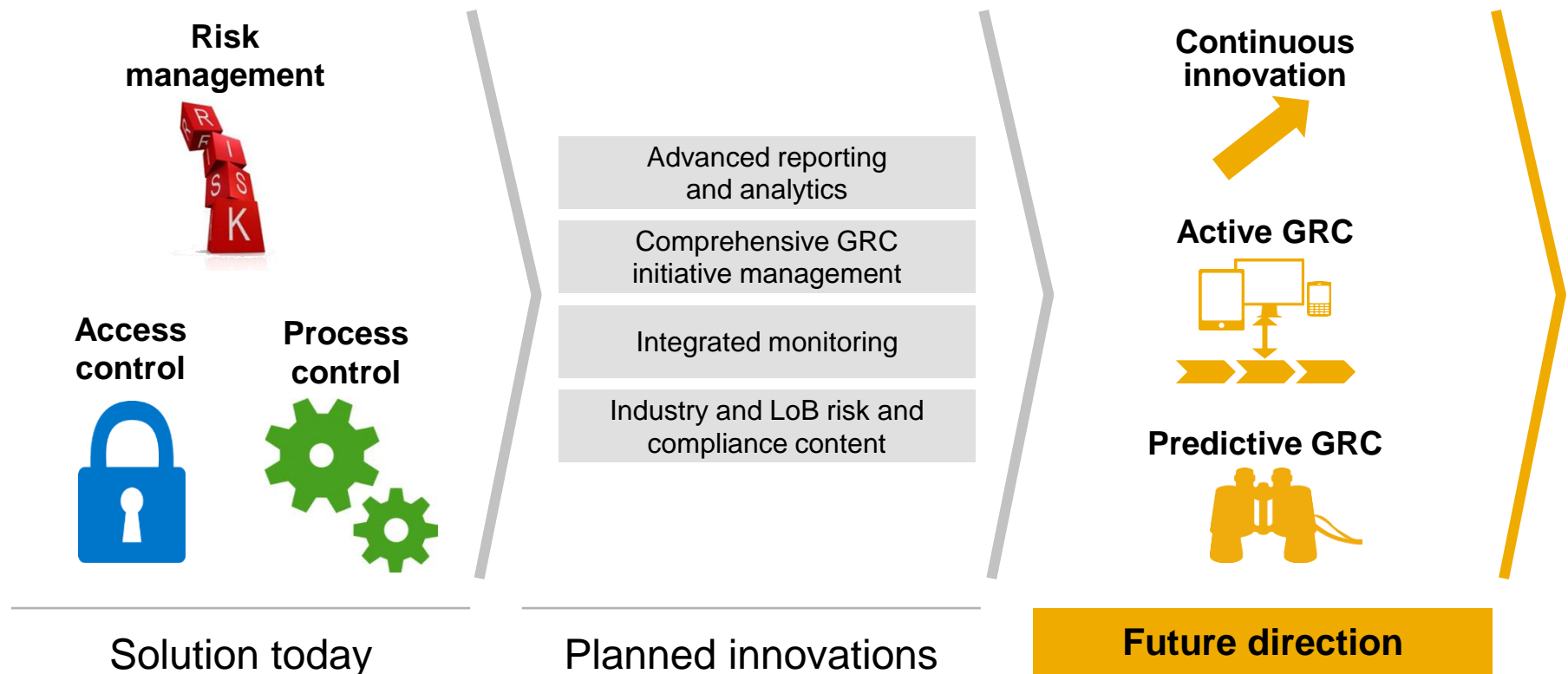
Future innovation areas for GRC
Drive optimal decisions by proactively balancing risks and opportunities

Continuous innovation

- Unify compliance processes across organizations
- Drive GRC optimization though analytics
- Simplify and tailor the user experience

Active GRC

- Aim specialized applications at appropriate devices and users
- Embed risk and compliance into business process
- Provide actionable insight and automation

Real-time, predictive GRC

- Minimize business impact of risks, control, and transaction exceptions by identifying them in timely manner
- Embrace real-time, predictive monitoring capabilities
- Extend monitoring to include unstructured data and social media

Continuous innovation
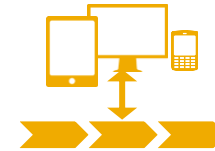
Active GRC

Predictive GRC

Future direction

Thank you

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