

Case Study – SOD and Controls Monitoring

Customer **Manufacturing Company**
Industry **Manufacturing**

About Customer

A major player in the Aluminum manufacturing, company is a manufacturer of aluminum. Head-quartered in California, it has multiple manufacturing plants in US, Iceland and more. There are more than 2000 employees in US.

Business Challenge

Faced with a fast approaching Sarbanes-Oxley compliance audit, the client's corporate office mandated a Segregation of Duties (SOD) review and SAP role redesign. Considering the complexity associated with cross-departmental and cross-organizational work-force, the task of managing security authorizations at the same time maintaining segregation of duties was much more complex than it appeared.

QS&S Solution

One of the most common practices adopted by many consulting firms is to build large number of security authorizations to meet the specific security requirements. The solution seemingly appears to meet the business requirements – but, very soon, one realizes that managing such large number of unique security authorizations is almost impossible.

QS&S's approach was first to build the frame-work to form the foundation of overall security architecture – covering the simplified organization structure, design of roles and corresponding authorizations.

A third-party monitoring software package, 'Virsa' was chosen for implementation.

Based on the simplified roles, the first step was to review the standard SOD rules delivered within the tool. The rules were reviewed for: 1) Applicability to the company's business and 2) Priority rating for ongoing monitoring activities (i.e. High, Medium, Low, Informational and more).

Next, custom rules were developed for the company's custom business processes. These were created for various custom transactions and authorization objects.

Rule review workshops were conducted for all the key business process areas. The workshops provided information and assistance to the business teams regarding understanding of SAP security for their particular business process. The discussions provided the input to modify the Virsa rules to suit the company's operations.

Once the SOD rules were finalized, they were used to analyze the SAP roles and users for violations. The violations were then reviewed by the business teams for their severity. If a violation was a result of the company's standard operating procedures, a compensating control

and documentation was created and entered into AI. Otherwise, the resulting role or user assignment changes were given to the SAP Security team.

Benefits

- ? Streamlined and simplified security and roles structure
- ? Standardized foundation on which to begin the Sarbanes-Oxley review.
- ? Additional information provided by the audit would then be input to the Virsa system and used for on-going preventative monitoring.
- ? Significant savings across the company in terms of reduced time, reduced costs and increased productivity
- ? Small consulting team with broader skills is preferable to a large number of resources from consulting giants

Technology

- ? SAP ECC 5.0
- ? SAP Application Modules – FI, CO, SD, MM, PP

Methodology

- ? Accelerated SAP (ASAP) project methodology
- ? Understand, analyze and gather business requirements
- ? Base-line configuration of the system to demonstrate the functionality
- ? Unit Testing and User Acceptance Tests
- ? Go-live Cut-over planning
- ? Post go-live Support

Why QS&S?

- ? Acknowledged SAP Experts in the industry
- ? Deep knowledge and understanding of business processes, procedures and functions
- ? Most qualified team with audit and security skills

About QS&S

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