Protiviti Assists Global Mining Company
With Risk and Control Framework for SAP
Implementation

IT Consulting – Managing Applications and Data

Client Challenge
A leading international mining organization was challenged by multiple applications and business processes in use by its operations across the globe. In early 2006, a program of work was initiated to align all of its business units progressively to a standard set of business processes, underpinned by a single instance of SAP. This solution is now used as the company’s primary ERP application by more than 70,000 users, from production planners to executive management, in remote locations across geographies such as the Americas, Europe, Asia-Pacific and Africa.

Powerful Insights
Among the challenges the company faced in this effort:

- **Global operating environment** – Business units are dispersed across many remote locations.
- **Dynamic business and economic environment** – The company’s business strategy (focused on mergers, acquisitions and divestments) has a constant impact on the implementation program scale and timelines, as do cost-management pressures resulting from global macroeconomic trends.
- **Business process integration** – A varied user base across many business units has introduced challenges in maintaining the balance of standardized processes versus customized functionality.
- **Compliance requirements** – ERP project leaders struggle to understand the impact of risk management and internal controls on their work, as well as the implications of estimating, planning and delivering a system that will comply with financial reporting and internal controls standards.
- **Controls expertise** – ERP project teams lack perspective on how the software’s functions and features can be tailored to meet risk management and control objectives.

The organization engaged Protiviti to play a key role in the implementation program, with primary responsibility for designing and maintaining the application’s risk and controls framework as well as the governance, risk and compliance model for each progressive release of the client’s SAP environment.

Proven Delivery
Protiviti is partnering with the company’s IT department to assist with the implementation and maintenance of the risk and control framework within its SAP implementation. We have provided, and in several cases continue to provide, the following tools and services:

- **GRC tool implementation** – Protiviti provided initial implementation of SAP Compliance Calibrator for segregation of duties and FireFighter for superuser access monitoring. We also assisted with the development of a segregation of duties rule set by working closely with business owners and internal and external audit to define the company’s key risks.
- **SAP Assure Suite** – Protiviti utilized its Assure product range, which consists of Assure Controls, Assure Security and Assure Integrity. Assure is a proprietary software package built specifically to analyze the configuration of SAP environments. Since Assure can be installed on a local desktop,
there was minimal time to implement and virtually no impact on the SAP production environment. The Assure suite has allowed our client to operate SAP controls and test for security compliance at a level of detail and efficiency not previously possible.

- **Governance consulting** – Protiviti is assisting with the initial development of policies, procedures and frameworks to govern the roles, responsibilities and ownership for risk management within the SAP implementation.
- **Pre/post go live** – Protiviti is reviewing system changes, customized functionality and any changes to existing business processes to understand potential impacts to key process risks. We have recommended SAP-configurable control options to help balance efficiency with risk mitigation.
- **Risk and control framework** – Protiviti is involved in the company’s change management process and consults on proposed system changes to ensure that key business risks are considered and mitigated through configurable controls, access restrictions and manual process controls.
- **Operational controls** – Protiviti continues to design and execute controls in areas such as segregation of duties reviews over the entire 70,000+ SAP user population, continuous transactional monitoring and superuser access reviews (e.g., FireFighter usage).
- **Project risk management** – Protiviti is profiling the pipeline of IT projects to identify those with a heightened risk level and works closely with the project management team to conduct risk management workshops and risk planning sessions to ensure that risk identification, analysis and management activities are performed.
- **Strategic initiatives consulting** – Protiviti provides consulting on strategic and continuous IT improvement initiatives from a risk management perspective, including:
  - **Cloud computing** – Risk management assessments around cloud computing platforms
  - **Core business processes** – Design consulting over core business processes from a risk management and process integrity perspective
  - **Risk management tools** – Consulting on implementation of risk management tools to house groupwide risk and control information

### How We Help Companies Succeed

Protiviti’s IT Consulting practice helps IT leaders design and implement IT governance, security, data management, application and compliance solutions. Our professionals partner with CIOs and other IT and business leaders to ensure their organizations maximize the value of information systems investments while mitigating key risks. Our IT Consulting practice has brought technology and business solutions to more than 1,200 clients worldwide.

### Contacts

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### About Protiviti

Protiviti ([www.protiviti.com](http://www.protiviti.com)) is a global consulting firm that helps companies solve problems in finance, technology, operations, governance, risk and internal audit. Through our network of more than 70 offices in over 20 countries, we have served more than 35 percent of FORTUNE 1000® and FORTUNE Global 500® companies. We also work with smaller, growing companies, including those looking to go public, as well as with government agencies.

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