



Monitor internal controls, detect high-risk issues, improve processes and reduce exposure to fraud, waste and abuse

# Continuous Controls Monitoring (CCM)



For organizations looking to implement and enhance Continuous Controls Monitoring (CCM), Alesia is the solution that enables management to assess the effectiveness of controls and detect any associated risks, improve business processes, provide data to support decision-making and increase the cost-effectiveness of controls.

Alesia screens 100 percent of accounts and transactions and provides visibility into the performance of programs and whether they are meeting the goals of the organization. Using advanced analytics the solution can also detect non-compliant transactions and complex fraud schemes. Configurable workflows and case-management tools ensure that any high-risk activities are properly investigated and all remediation activities are tracked for future audits.

# CCM Examples

## Purchase Cards



Continuously monitoring corporate purchase or credit cards allows organizations to review all transactions and assess the performance of the program, assess liabilities and detect personal purchases, anomalies and instances of non-compliance.

## Accounts Payable



Continuously reviewing accounts payable allows organizations to enforce discounts, block payments that exceed approval limits, detect duplicate invoices or payments, and prevent payments for unapproved or completed projects.

## Payroll



Monitoring payroll controls ensures that the correct people and amounts are paid after every pay cycle. Ensure that overtime, gross and net pays are as expected, there are no ghost employees and vendors are not on your payroll list.

## Retail Monitoring



With tight margins and high loss rate, retail monitoring allows organizations to improve the bottom line. Review all transactions, assess the performance of stores, verify that discounts comply to policies, and reduce losses due to fraud, waste and abuse.

## P2P and Vendor Management



Overpayments, false invoicing and theft of inventory are major sources of fraud. Continuous monitoring allows companies to detect duplicate vendors, suspicious payments, matches between employee and vendor bank accounts and more.

## Tax and Customs Compliance



Complying with customs and tax laws within multiple jurisdictions can be complicated and time-consuming. Continuously monitoring for compliance reduces the risk of delays and substantial fines by authorities.

## Case Study

Despite being one of Mexico's most well-run retailers, razor thin margins, increasing expenses and missing, unsold or transferred merchandise were concerns for Grupo Comercial Control. To control costs and increase profitability, the retailer turned to Alessa to:

- Prevent overpayments of social insurance, overtime and unauthorized expenses
- Reconcile account activities in the general ledger

- Reduce operating expenses by 80% by detecting damaged or missing merchandise and improving inventory process
- Discover potential supplier discounts due to delays and account ageing
- Determine which merchandise and branches pose a risk to profitability by reviewing stock movement in all warehouses, distribution centers, department stores and boutiques

# Capabilities

## Controls Monitoring

Alessa uses rule-based analytics to analyze key activities to ensure they comply with internal processes and controls as well as generate alerts for non-compliant or suspicious entries.

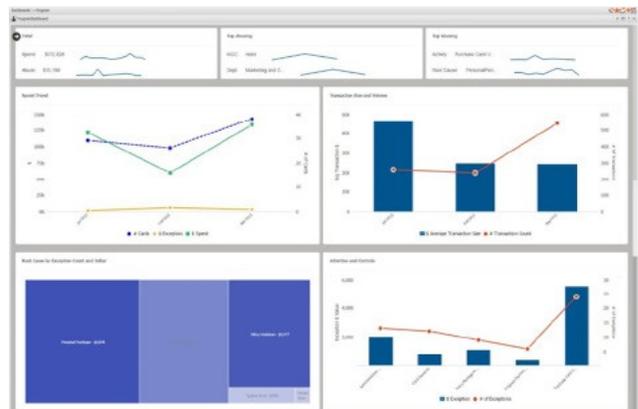
The automated examination and monitoring of business processes and activities provides intelligence on the root causes of anomalies. It also creates visibility for company policies and engages the entire organization in a culture of collaborative compliance with a goal of prevention.

## Metrics & Insights

Alessa can work with almost any data file, allowing organizations to have a holistic view of their data. Configurable dashboards track key metrics and program performance as well as allow staff to drill down into the alerts.

## Configurable

With Alessa, organizations can select the functionality they need. Permission-based functionality allows different users to access only the information they need to perform their responsibilities.



## Investigation Tools

Alessa offers configurable and intuitive workflows to guide processes and investigations. Enterprise search capabilities allow for easy search of data within internal and external sources while case management offers a collaborative approach to investigations, compliance and decision-making.

Alessa also has the option to learn from past decisions and repeat them to reduce the number of false positives and burden on investigators and managers.



*"With continuous controls monitoring, we can analyze an entire list of monthly transactions in a matter of minutes. We were able to find people that were using two purchase cards together to circumvent our procurement process. This is something we could not have seen if we were doing it manually."*



## About Alessa

Alessa, by Tier1 Financial Solutions, is a compliance, controls monitoring and fraud prevention solution for banking, insurance, fintech, gaming, manufacturing, retail and more. With deployments around the world, Alessa allows organizations to quickly detect suspicious transactions, identify high-risk customers and vendors and decrease fraud risks that reduces profitability and increases costs. To learn more about how Alessa can help your organization ensure compliance to regulations, detect complex fraud schemes, and prevent waste, abuse and misuse, visit us at <https://www.alessa.com/>.

## About Sama ( Solution Partner)

Sama was formed in 1998 with an objective to enable business excellence through the use of world class software for Business Leaders, Managers, Risk and Audit Professionals and stronger processes and assurance structures. Sama currently offers some of the most effective solutions globally available in the field of Electronic Work Papers, Continuous Control Monitoring and Data Analysis.

Driven by a passion for this field, we seek to work with business leaders and achieve business excellence through institutionalization of the appropriate solutions that help an organisation to meet its specific needs. Sama work with a wide range of organisations/ institutions and ensuring that they are operational on an ongoing basis. Visit us at <https://www.samaaudit.com>

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