

GRC 10.0 Continuous Monitoring

SoD Monitoring



Applies to:

SAP Process Control 10.0 and later

Summary

This User Guide provides information about SAP Process Control 10.0 Continuous Monitoring Segregation of Duty Integration implementation requirements and configuration instructions.

Author(s): Daniel Chang

Team: Governance, Risk, and Compliance

Created on: 04/01/2011

Last updated: 23 May 2018

Document History

Document Version	Date	Description
1.00	18 November 2011	Initial
1.10	24 October 2012	Added notes emphasizing the significance of the 'valid from' date of data sources and business rules
1.20	23 May 2018	Redacted potentially sensitive data

Typographic Conventions

Type Style	Description
<i>Example Text</i>	Words or characters quoted from the screen. These include field names, screen titles, pushbuttons labels, menu names, menu paths, and menu options. Cross-references to other documentation
Example text	Emphasized words or phrases in body text, graphic titles, and table titles
<code>Example text</code>	File and directory names and their paths, messages, names of variables and parameters, source text, and names of installation, upgrade and database tools.
Example text	User entry texts. These are words or characters that you enter in the system exactly as they appear in the documentation.
<Example text>	Variable user entry. Angle brackets indicate that you replace these words and characters with appropriate entries to make entries in the system.
<code>EXAMPLE TEXT</code>	Keys on the keyboard, for example, F2 or ENTER.

Icons





Icon	Description
	Caution
	Note or Important
	Example
	Recommendation or Tip

Table of Contents

1.	Business Scenario.....	1
2.	Background Information	1
3.	Prerequisites	1
3.1	System Requirements	1
•	SAP GRC Access Control 10 SoD has been configured.....	1
•	SAP GRC Access Control 10.0 (AC) and SAP GRC Process Control (PC) 10.0 have been installed on the same system.....	1
•	The SoD input parameters have been recorded.	1
3.2	Master Data Requirements.....	1
•	Regulation(s) have been created and configured.....	1
•	Corporation and organizational units have been created.	1
•	Central process/subprocess/controls have been created.....	1
•	Corresponding regulation(s) have been assigned to the control.	1
•	Subprocess/controls have been assigned to either the corporation or organizational unit.	1
3.3	Activate AC and PC applications	2
4.	Step-by-Step Procedure.....	4
4.1	Review Master Data	4
4.2	Create Data Source for SOD Integration.....	7
4.3	Create Business Rule for SoD Integration	9
4.4	Relationship between Data Source and Business Rule	18
4.5	Assign Business Rule to Controls	19
4.6	Create a Job in Automated Monitoring.....	22
4.7	View Job Step result for SoD Integration in Job Monitor	26
5.	Comments and Feedback	29
6.	Copyright.....	31

1. Business Scenario

The following sections describe the implementation requirements and configuration instructions for the Segregation of Duty (SoD) monitoring feature of Continuous Monitoring for Process Control (PC)10.0.

SoD Continuous Monitoring enables management to continually review business processes for adherence to, and deviations from, the appropriate level of checks and balances upon the activities of individuals with their intended levels of performance and effectiveness.

2. Background Information

SoD monitoring is a key feature in Continuous Monitoring. It enables you to monitor a specific SoD to address issues as they occur.

3. Prerequisites

Verify that the following prerequisites have been met before implementation and configuration of SoD monitoring.

3.1 System Requirements

- SAP GRC Access Control 10.0 SoD has been configured.
- SAP GRC Access Control 10.0 (AC) and SAP GRC PC 10.0 have been installed on the same system.
AC 10.0 and PC 10.0 are based on the SAP NetWeaver 7.02 SP 6 (or above) ABAP stack .
- SoD input parameters have been recorded.

3.2 Master Data Requirements

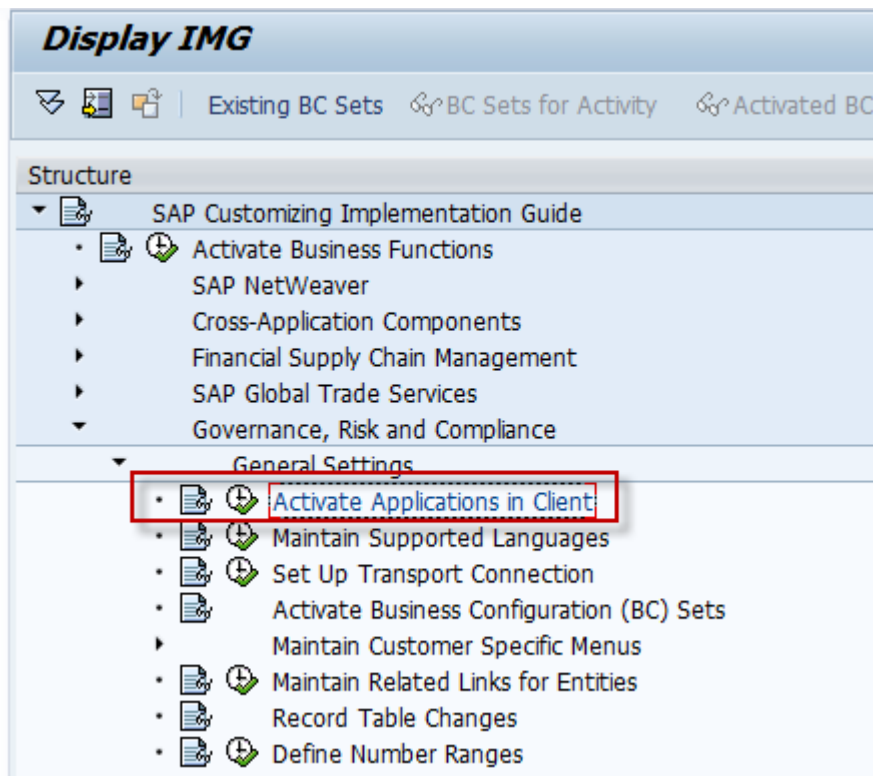
- Regulation(s) have been created and configured
- Corporation and organizational units have been created.
- Central process/subprocess/controls have been created.
- Corresponding regulation(s) have been assigned to the control.
- Subprocess/controls have been assigned to either the corporation or organizational unit.
See the *SAP BusinessObjects Process Control Master Data Guide* for specific master data information.

3.3 Activate AC and PC applications

Complete the following steps to activate AC and PC applications.

To configure AC and PC applications:

1. Access IMG and select *Activate Applications in Client*.



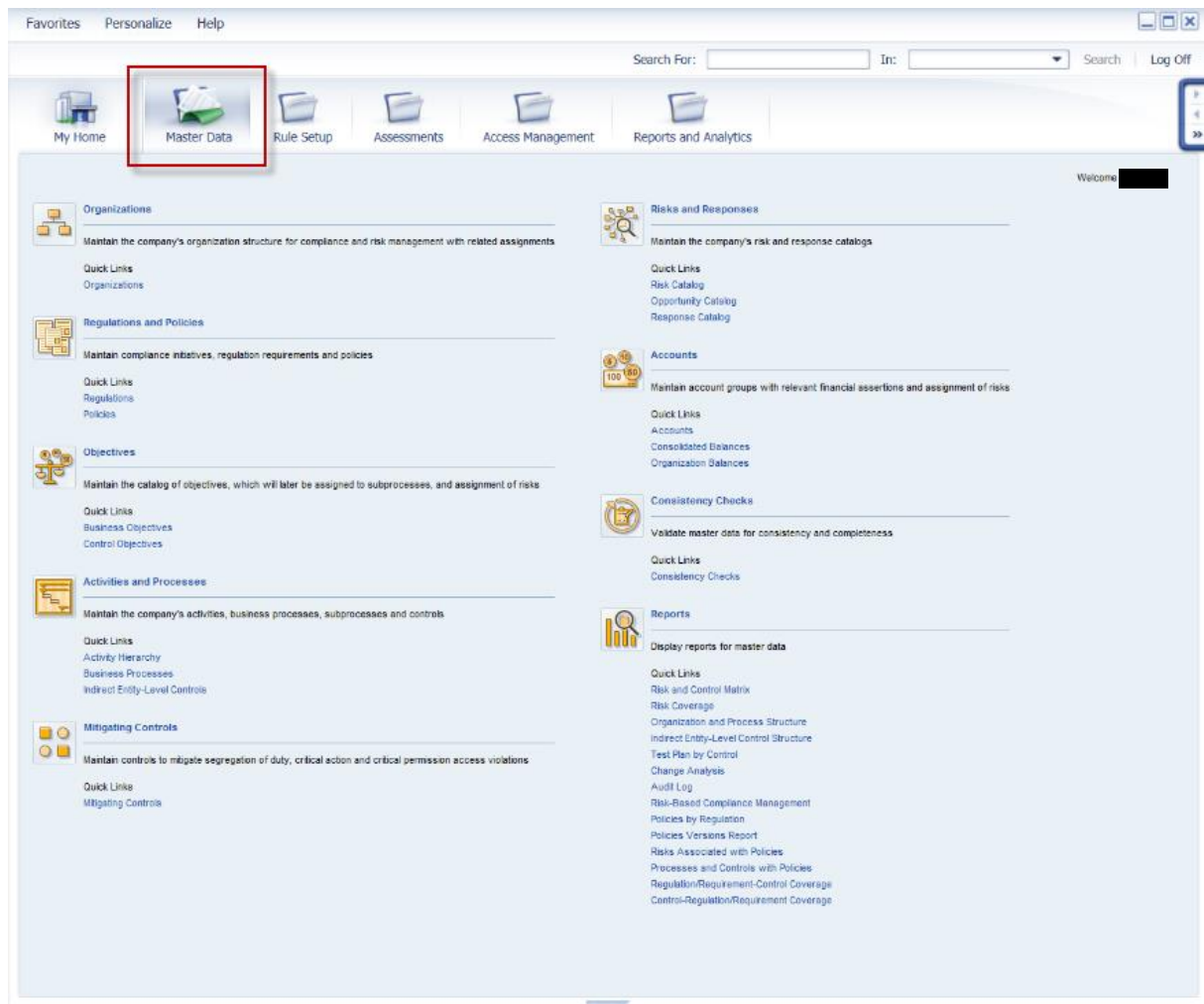
4. Step-by-Step Implementation Procedure

Complete the following sections to implement SoD Continuous Monitoring.

4.1 Review Master Data

This section describes how to review your Master Data.

1. Select *Master Data* from the main *Process Control Work Center* menu.



2. Verify that the supplied default example *Corporate Wind Wagon Corporation* has been created.
3. Verify that *Regulation Foreign Corrupt Practices Act* has been created and assigned to a related control.
4. Verify that the subprocess, *Vendor Selection*, and the control, *Segregation of duties (Automated)*, have been created, and assigned to corporate.

- Review the *Organizations* screen to verify that the organizational hierarchy is displayed correctly.

Select the *Wind Wagon Corporation* example.

The screenshot shows the 'Organizations' screen in SAP. The 'View' is set to 'Standard Hierarchy'. The 'Date' is '01.01.2010'. The 'Details' pane on the right shows the selected organization: 'Wind Wagon Corporation' with a description, valid from '01.01.2010' to '31.12.9999', and zero documents. The 'Organizations' pane on the left shows a tree structure under 'Organization Hierarchy' with 'Wind Wagon Corporation' selected, which includes sub-entities like 'Wind Wagon Energy Ltd (China)', 'Wind Wagon Energy Pte Ltd (Singapore)', and 'Wind Wagon Energy Joint Stock (Russia)'.

- The *Organization: Wind Wagon Corporation* screen appears.

Review the *Vendor Selection* subprocess assignment and verify its configuration.

The screenshot shows the 'Organization: Wind Wagon Corporation' screen. The 'Parent Organization' is '50000000' and the 'Effective Date' is '01.01.2010'. The 'Subprocess Assignment' table is displayed with the following data:

Subprocess/Control	Description	Allow Local Changes	Shared Service
Vendor Selection		No	None
• Segregation of duties (Manual) - Old	Check if any user can create vendors and approve payment.	No	None
• Segregation of duties (Automated)	Segregation of duties (Automated)	No	None
• Segregation of duties for risk P001	Segregation of duties for risk P001	No	None

7. Review the *Control: Segregation of duties (Automated)* screen to verify settings and assignments are correct.

Control: Segregation of duties (Automated)

Parent Organization: Wind Wagon Corporation | Parent Subprocess: Vendor Selection | Allow Local Changes: No | ID: 50000107

Timeframe: 01.01.2010 | Effective Date: 01.01.2010

Save | Cancel

General | Regulations | Business Rules | Evaluation | Monitoring Jobs | Requirement | Access Risks | Risks | Account Groups | Owners

Mitigating Control ID: *
Name: * Segregation of duties (Automated)
Description: Segregation of duties (Automated)
Control or Process Step: ☒ Control ☐ Process Step
Control Category: *
Significance: *
Level of Evidence: *
Control Risk: *
Control Automation: * ☒ Automated ☐ Manual ☐ Semi-Automated
Purpose: * ☐ Detective ☐ Preventive
Nature: *
Allow Referencing: ☐
Control Relevance: ☐ Control Activities ☐ Control Environment ☐ Information and Communication ☐ Monitoring ☐ Fraud Prevention and Detection ☐ Risk Assessment
Control Group: *
Control Subgroup: *
Organization: * Wind Wagon Corporation
Process: *
Subprocess: *

Valid From: * 01.01.2010
Valid To: * 31.12.9999
Trigger: * ☐ Event ☒ Date
Operation Frequency: *
To Be Tested: * ☒ Yes ☐ No
Test Automation: * ☒ Automated ☐ Manual ☐ Semi-Automated
Testing Technique: *
Input: *
Output: *

Notes

8. Review the *Control: Segregation of duties (Automated)* screen to verify that the correct regulations are in place.

Control: Segregation of duties (Automated)

Parent Organization: Wind Wagon Corporation | Parent Subprocess: Vendor Selection | Allow Local Changes: No | ID: 50000107

Timeframe: 01.01.2010 | Effective Date: 01.01.2010

Save | Cancel

General | Regulations | Business Rules | Evaluation | Monitoring Jobs | Requirement | Access Risks | Risks | Account Groups | Owners | Reports | Policies

Regulations

Add | Remove

Name	Description	Valid From	Valid To
Foreign Corrupt Practices Act		01.01.2010	31.12.9999

Foreign Corrupt Prac Details

Maintain Regulation-Specific Attributes: ☐ Yes ☒ No

Significance: *
Nature: *
Level of Evidence: * ☐ Use System Suggested
Control Risk: * ☐ Use System Suggested
Control Relevance: * ☐ Control Activities ☐ Control Environment ☐ Information and Communication ☐ Monitoring ☐ Fraud Prevention and Detection ☐ Risk Assessment

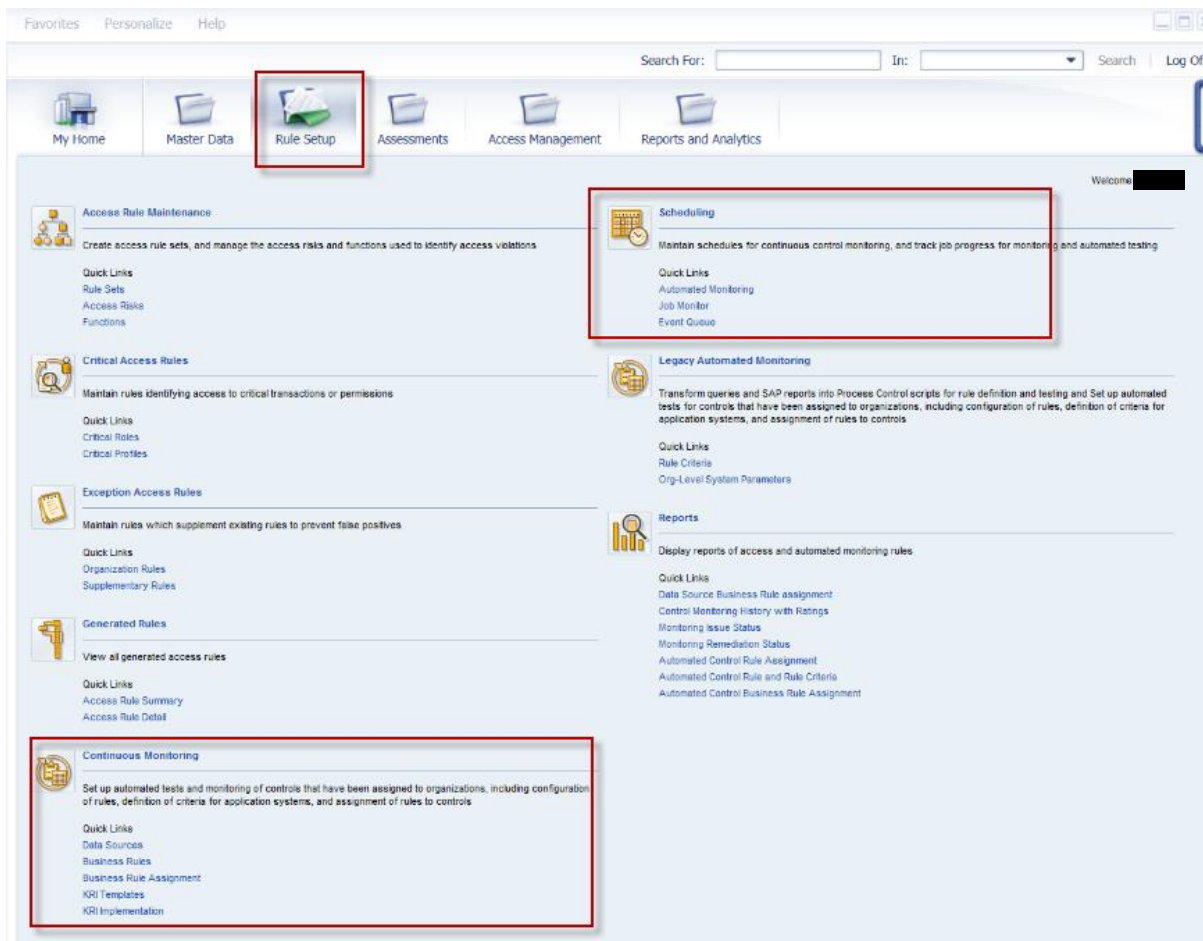
Testing Technique: *

4.2 Create Data Source for SOD Integration

This section describes how to create the data source for SOD integration.

1. Navigate to *Rule Setup* → *Continuous Monitoring* → *Data Source*.

Click **Create**.



2. On the *General* tab input the *Data Source* name and set *In Review* to *Status*.



NOTE: Ensure that the *Valid From* date is correct. We recommend that you set it as the 'valid from' date of the master data.

3. On the *Object Field* tab, select *SoD Integration* for the *Sub-scenario*.

Click **Save**.

4. Set the new data source as *Active*.
 - a) Select the created data source.
 - b) Click *Open*.
 - c) On the *General* tab, set *Active* for the *Status*.
 - d) Click *Save*.

Data Source: SOD - Vendor Maint. & Payment Processing [Help](#)

Timeframe 09.09.2010 ID 50000102 Last Modified On 24.08.2010 21:04:51

General Object Field Business Rule Attachments and Links

General

Data Source: * SOD - Vendor Maint. & Payment Processing
 Description: SOD - Vendor Maint. & Payment Processing

Valid From: * 01.01.2010
 Valid To: * 31.12.9999
 Status: Active

Search Term

Term 1: Term 2: Term 3: Term 4: Term 5:

- e) Select and review the data shown on the *Object Field* tab of the data source.

Data Source: SOD - Vendor Maint. & Payment Processing [Help](#)

Timeframe 09.09.2010 ID 50000102 Last Modified On 24.08.2010 21:04:51

General **Object Field** Business Rule Attachments and Links

Sub Scenario

Sub Scenario: * SoD Integration Connection Type: * Local Data Source

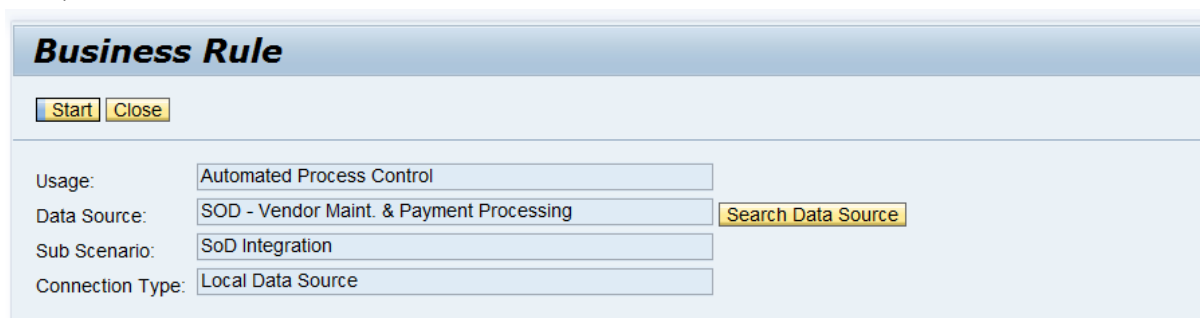
Fields

Field ID	Source Table	Source Field	Field Type	Amount or Quantity	Ref Field ID	Field Description
00000001		IT_BUSPROC_RANGE	C		00000000	Business Process Range
00000002		IT_CUSTGP_RANGE	C		00000000	User Group Range Table
00000003		IT_OBJECT_RANGE	C		00000000	Object Range Table
00000004		IT_ORGRULE_RANGE	C		00000000	Org Rule ID Range
00000005		IT_REPORT_TYPE	N		00000000	Report Type Table
00000006		IT_RISKID_RANGE	C		00000000	Risk ID Range Table
00000007		IT_RISKLEVEL_RANGE	N		00000000	Risk Level Range
00000008		IT_RULESETID_RANGE	C		00000000	Rule Set ID Range
00000009		IT_SYS_RANGE	C		00000000	System Range Table
00000010		IT_USERGP_RANGE	C		00000000	User Group Range Table

4.3 Create Business Rule for SoD Integration

This section describes how to create a business rule for SoD integration.

1. Navigate to *Rule Setup* → *Continuous Monitoring* → *Business Rules*.
Click *Create*.
2. In the start window, select *Search Data Source* and complete the following:
 - a) Set *SoD Integration* in the *Sub-scenario* field.
 - b) Search for and select the data source you just created (see [Section 4.2, “Create Data Source for SOD Integration”](#)).
 - c) Click *Start*.



Business Rule


Start Close

Usage: Automated Process Control

Data Source: SOD - Vendor Maint. & Payment Processing Search Data Source

Sub Scenario: SoD Integration

Connection Type: Local Data Source

3. Input information into the following fields:
 - *Name*: the name of the business rule.
 - *Description*: a brief description of the business rule.
 - *Valid from*: the start date for use of the business rule.
 NOTE: Ensure that the *Valid From* date is correct. We recommend that you set it as the 'valid from' date of the master data.
 - *Valid to*: the end date for use of the business rule.
 - *Analysis Type*: categorize the business rule analysis type using the field drop-down menu.
 - *Deficiency Type*: categorize the business rule deficiency type using the field drop-down menu.

4. Set to *In Review* in the *Status* field.

Business Rule [Help](#)

Timeframe 09.09.2010

1 Basic Information 2 Filter Criteria 3 Technical Settings 4 Attachments and Links 5 Confirmation

Previous Next Close

General

Name: * SOD - Vendor Maint. & Payment Processing Valid from: 01.01.2010

Description: * SOD - Vendor Maint. & Payment Processing Valid to: 31.12.9999

Usage: Automated Process Control

Category: * Exception Data Source: SOD - Vendor Maint. & Payment Processing

Analysis Type: * Set Deficiency Indicator Sub Scenario: SoD Integration

Deficiency Type: * Medium Connection Type: Local Data Source

Status: * In Review Data Source Status: Active

Search Term

Term 1: Term 2: Term 3: Term 4: Term 5:

- a) For the business rule Filter Criteria, set the *Filter Value* for each *Filter Field*.



NOTE

The filter values are the input parameters for the SoD Engine.

- b) Select the *Report Type Table*.

The required values for *Object Range Table*, *Report Type Table*, *System Range Table*, and *Object Type* are selected and indicated by the green check arrows.

Business Rule [Help](#)

Business Rule: SOD - Vendor Maint. & Payment Processing

Timeframe Year 2010 ID 50000104 Last Modified On 24.08.2010 22:50:20

Save Close

Basic Information **Filter Criteria** Technical Settings Controls Attachments and Links

Filter Fields

Select/Unselect Filters

Field Description	Value Required	Field Analysis Type	Currency	Unit of Measure
Object Range Table	✓	Filter		
Report Type Table	✓	Filter		
System Range Table	✓	Filter		
Object Type	✓	Filter		

Value Determination: ☒ Value Range ☐ Runtime Value Determination

Filter Value

Add Delete

Sign	Option	Low	High
Range limit included	Equal to	1	0
Range limit included	Equal to	2	0

- c) Other optional values for Filter Fields include :
- Business Process Range
 - User Group Range Table
 - Org Rule ID Range
 - Risk ID Range Table
 - Risk Level Range
 - Rule Set ID Range
 - User Group Range Table
 - User Type
 - Analysis Mode
 - Language
 - Offline Analysis
 - Report Format
 - Role Type for Risk Analysis
 - Simulation Risk Only
 - Use Simulation Risk Only
- d) Valid values for the Report Type Table include the following:
- 01 = Action Level
 - 02 = Permission Level
 - 03 = Critical Action
 - 04 = Critical Permission
 - 05 = Critical Role/Profile
 - 06 = Analytical Report
 - 07 = Mitigating Controls
 - 08 = Invalid Mitigating Controls
 - 09 = Alerts
 - 10 = Access Risk Assessment
 - 21 = SoD Reports
 - 22 = ERM Role
 - 30 = Role
 - 31 = User
 - 32 = Profile
 - 33 = User Org
 - 34 = Role Org
 - 35 = HR Object

e) Select the *Sample Filter Values* on the *Object Range Table*.

Business Rule: SOD - Vendor Maint. & Payment Processing [Help](#)

Timeframe 09.09.2010

1 Basic Information 2 **Filter Criteria** 3 Technical Settings 4 Attachments and Links 5 Confirmation

Previous Next Close

Filter Fields

Select/Unselect Filters

Field Description	Value Required	Field Analysis Type	Currency	Unit of Measure
Object Range Table	✓	Filter		
Report Type Table	✓	Filter		
System Range Table	✓	Filter		
Object Type	✓	Filter		

Value Determination: ☒ Value Range ☐ Runtime Value Determination

Filter Value

Add Delete

Sign	Option	Low	High
Range limit includ...	Not Equal to	BJONES	

f) Select the *System Range Table*.

Business Rule

Business Rule: SOD - Vendor Maint. & Payment Processing [Help](#)

Timeframe Year 2010 ID 50000104 Last Modified On 24.08.2010 22:50:20

[Save](#) [Close](#)

Basic Information **Filter Criteria** Technical Settings Controls Attachments and Links

Filter Fields

[Select/Unselect Filters](#)

Field Description	Value Required	Field Analysis Type	Currency	Unit of Measure
Object Range Table	✓	Filter		
Report Type Table	✓	Filter		
System Range Table	✓	Filter		
Object Type	✓	Filter		

Value Determination: ☒ Value Range ☐ Runtime Value Determination

Filter Value

[Add](#) [Delete](#)

Sign	Option	Low	High
Range limit included	EQual to	GI7CLNT600	

[Save](#) [Close](#)

SAP

Enter valid input values for the *System Range Table* selection.

The system name and range values are defined in the customizing task (IMG) Integration Framework.

g) Select the *Object Type* on the filter field.

Business Rule: SOD - Vendor Maint. & Payment Processing

Timeframe Year 2010 ID 50000104 Last Modified On 24.08.2010 22:50:20

Save Close

Basic Information **Filter Criteria** Technical Settings Controls Attachments and Links

Filter Fields

Select/Unselect Filters

Field Description	Value Required	Field Analysis Type	Currency	Unit of Measure
Object Range Table	✓	Filter		
Report Type Table	✓	Filter		
System Range Table	✓	Filter		
Object Type	✓	Filter		

Value Determination: ☒ Value Range ☐ Runtime Value Determination

Filter Value

Add Delete

Sign	Option	Low	High
Range limit included	Equal to	1	0

Save Close

The following lists indicate valid values for select filter fields.

- Valid values for Object Type include the following:
 - 1 = User
 - 2 = Role
 - 3 = Profile
 - 4 = HR Object – Job
 - 5 = HR Object - Org Unit
 - 6 = HR Object – Position
 - 7 = Action
 - 8 = User Org
 - 9 = Role Org
 - 10 = User Group
 - 11 = Org Unit
- Risk Level Range: because risk level can be customized, verify that you are using the correct value for *grcrisklevel*.
- Valid values for User Type include the following:
 - 0 = All
 - A = Dialog
 - B = System
 - C = Communication
 - L = Reference
 - S = Service

- Valid values for Analysis Mode include the following:
 - 1 = Ad Hoc Foreground
 - 2 = Ad Hoc Background
 - 3 = Batch
- Valid values for Offline analysis include the following:
 - X True (selected)
 - False
- Valid values for Report Format include the following:
 - 1 = Summary
 - 2 = Detail
 - 3 = Management Summary
 - 4 = Executive Summary
- Valid values for Role Type include the following:
 - 1 = Technical Role
 - 2 = Business Role
 - 3 = CUA Role
- Valid values for Simulation Risk Only include the following:
 - X True (selected)
 - False
- Valid values for Use simulation authorization only include the following:
 - X True (selected)
 - False

Dyanmic query data values are available for the following:

- Business Process Range
- Org Rule ID Range
- User Group Range
- Object Range
- Risk ID Range
- Rule Set ID Range
- System Range Table
- User Group Range Table

 NOTE

For the query data values, check the *Access Risk Analysis User/Role/Profile/HR Object* analysis search screen to find the value.

- h) For the *Technical Settings* selection, the *Max. No of Records to Analyze* field can be modified by selecting the field and entering the number of records to analyze.

Business Rule: SOD - Vendor Maint. & Payment Processing

Timeframe 09.09.2010

1 Basic Information 2 Filter Criteria 3 **Technical Settings** 4 Attachments and Links 5 Confirmation

Previous Next Close

Communication Mode: ☒ Asynchronization

Max. No. of Records to Analyze:

Previous Next Close

- i) You can attach files or add pertinent hyperlink URLs to the business rule object by clicking *Add*.
Select *Save* to save the Business Rule.

Business Rule: SOD - Vendor Maint. & Payment Processing [Help](#)

Timeframe 09.09.2010

1 Basic Information 2 Filter Criteria 3 Technical Settings 4 **Attachments and Links** 5 Confirmation

Previous Save Close

Attachments [Filter Settings](#)

Add

Type	Title	Version	File Size	File Type	Added On	Added By	Attachment Type

Previous Save Close

- j) Open the created business rule for further editing by clicking *Change This Business Rule*.
Set the new business rule status to *Active*.

1 Basic Information 2 Filter Criteria 3 Technical Settings 4 Attachments and Links 5 Confirmation

◀ Previous Next ▶

Your Business Rule has been saved successfully. You can also launch the following applications to proceed.

[Change This Business Rule](#)

- k) Select the newly created business rule.
- Click *Open*.
 - On the *Basic Information* tab, select *Active* for the *Status* field.
 - Click *Save*.

Business Rule

Business Rule: SOD - Vendor Maint. & Payment Processing [Help](#)

Timeframe Year 2010 ID 50000104 Last Modified On 24.08.2010 22:50:20

[Save](#) [Close](#)

Basic Information Filter Criteria Technical Settings Controls Attachments and Links

General

Name: * SOD - Vendor Maint. & Payment Processing Valid from: 01.01.2010

Description: * SOD - Vendor Maint. & Payment Processing Valid to: 31.12.9999

Usage: Automated Process Control

Data Source: SOD - Vendor Maint. & Payment Processing

Category: * Exception Sub Scenario: SoD Integration

Analysis Type: * Set Deficiency Indicator Connection Type: Local Data Source

Deficiency Type: * Medium Data Source Status: Active

Status: * **Active**

Search Term

Term 1: Term 2: Term 3: Term 4: Term 5:

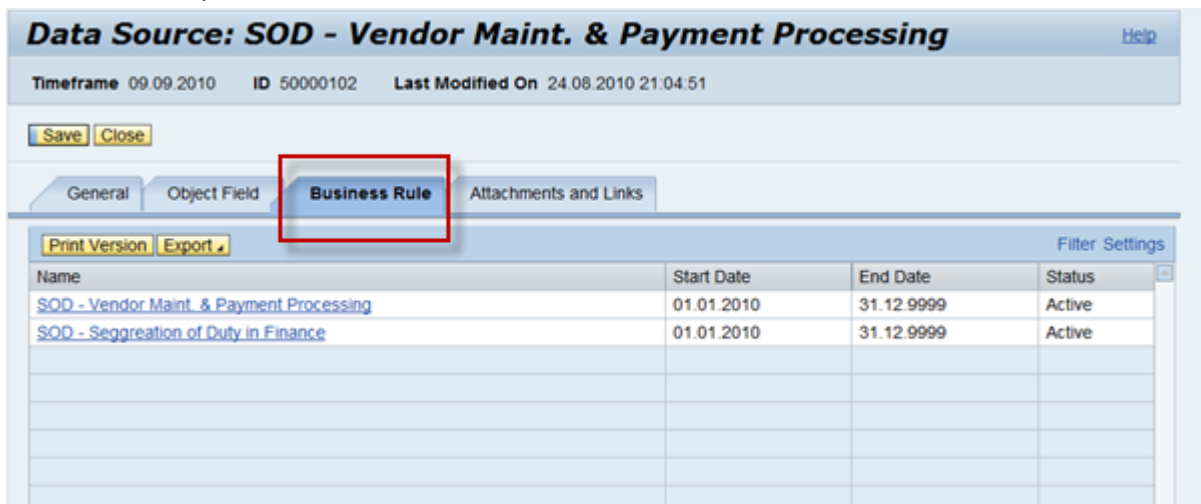
4.4 Relationship between Data Source and Business Rule

The following section describes the relationship between the data source and the business rule.

The data source is only of significance if a business rule is defined for it.

To verify the relationship between the data source and business rule:

1. Open the data source you have created (see [Section 4.2, “Create Data Source for SOD Integration”](#)).
2. Select the *Business Rule* tab.
3. Verify that all the business rules based on the data source are listed.



The screenshot shows the SAP GRC interface for a data source titled "Data Source: SOD - Vendor Maint. & Payment Processing". The interface includes a header with the title, a "Help" link, and metadata: "Timeframe 09.09.2010", "ID 50000102", and "Last Modified On 24.08.2010 21:04:51". Below the header are "Save" and "Close" buttons. A tabbed interface shows four tabs: "General", "Object Field", "Business Rule" (which is selected and highlighted with a red box), and "Attachments and Links". Below the tabs are "Print Version" and "Export" buttons, and a "Filter Settings" link. The main area contains a table with the following data:

Name	Start Date	End Date	Status
SOD - Vendor Maint. & Payment Processing	01.01.2010	31.12.9999	Active
SOD - Segregation of Duty in Finance	01.01.2010	31.12.9999	Active

4.5 Assign Business Rule to Controls

This section describes how to assign a Business Rule to Control.

1. Navigate to *Rule Setup* → *Continuous Monitoring* → *Business Rule Assignment*.
2. Select the *Organization Via Value* help.
Click *Search*.
3. Select the Control, *Segregation of duties (Automated)*.
Click *Modify*.

The *Business Rules* section is now in the edit mode.

- a) Click *Add* and select the Business Rule you have created (see [Section 4.3, “Create Business Rule for SoD Integration”](#)).
- b) Click *Maintain Frequencies*.
- c) Select *Monitoring and Compliance* for *Any Frequency*.
- d) Click *Save*.

The *Common Business Rules* tab indicates that the displayed data can be shared by the regulations of this control.

Entity: Control Date: 01.01.2010 Apply

Organization: Wind Wagon Corporation Process: Subprocess: Control: Business Rule: Search

Control	Description	Organization	Process	Subprocess	Test Automation	Trigger
Segregation of duties for risk P001	Segregation of duties for risk P001	Wind Wagon Corporation	Procure to Pay	Vendor Selection	Automated	Date
Segregation of duties (Automated)	Segregation of duties (Automated)	Wind Wagon Corporation	Procure to Pay	Vendor Selection	Automated	Date

Details of Assigned Business Rules

Modify

Common Business Rules Regulation-Specific Business Rules

Add Remove Maintain Frequencies Professional View

Business Rule	Description	Frequency	Monitoring	Compliance
SOD - Vendor Maint. & Payment Processing	SOD - Vendor Maint. & Payment Processing			
SOD - Vendor Maint. & Payment Processing	SOD - Vendor Maint. & Payment Processing	Any Frequency	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

4. The *Regulation-Specific Business Rules* tab indicates whether you can set one regulation to use either its own specific business rules or commonly used business rules.

Entity: Control Date: 01.01.2010 Apply

Organization: Wind Wagon Corporation Process: Subprocess: Control:

Business Rule: Search

Control	Description	Organization	Process	Subprocess	Test Automation	Trigger
Segregation of duties for risk P001	Segregation of duties for risk P001	Wind Wagon Corporation	Procure to Pay	Vendor Selection	Automated	Date
Segregation of duties (Automated)	Segregation of duties (Automated)	Wind Wagon Corporation	Procure to Pay	Vendor Selection	Automated	Date

Details of Assigned Business Rules

Modify

Common Business Rules Regulation-Specific Business Rules

Regulation: * Foreign Corrupt Practices Act

Business Rule: ☒ Use Common Business Rules ☐ Maintain Regulation-Specific Business Rules

Professional View

Business Rule	Description	Frequency	Monitoring	Compliance
SOD - Vendor Maint. & Payment Processing	SOD - Vendor Maint. & Payment Processing			
SOD - Vendor Maint. & Payment Processing	SOD - Vendor Maint. & Payment Processing	Any Frequency	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

5. Verify the relationship between the control and the business rule, *Control Object View* by completing the following steps:
- Open the *Control Object*.
 - Go to the *Business Rules* tab of the control.
 - Verify that all of the business rules have been assigned to this control.

Control: Segregation of duties (Automated)

Parent Organization: Wind Wagon Corporation Parent Subprocess: Vendor Selection Allow Local Changes: No ID: 50000107

Timeframe: 01.01.2010 Effective Date: 01.01.2010

Save Cancel

General Regulations Business Rules Evaluation Monitoring Jobs Requirement Access Risks Risks Account Groups Owners

Business Rules

Regulation Config.	Business Rule	Business Rule Description	Trigger	Frequency	Compliance	Monitoring
FCPA	SOD - Vendor Maint. & Payment Processing	SOD - Vendor Maint. & Payment Processing	Date-based Control	Any Frequency	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

5. Verify the relationship between Control and Business Rule, Business Rule Object View by performing the following steps:
 - a) Open the Business Rule Object.
 - b) Go to the *Controls* tab of the Business Rule Object.
 - c) Verify and view all of assigned controls with the selected Business Rule.

[illegible]

4.6 Create a Job in Automated Monitoring

This section describes how to create a job in Automated Monitoring.

1. Navigate to *Rule Setup* → *Scheduling* → *Automated Monitoring*.
 - a) Select *Create Job*.
 - b) Select *Automated Monitoring Job* for *Job Type*.
 - c) Click *Start*.

Create a Job

Continuous Monitoring Scheduler

Start Close

Timeframe: * Year

Year: * 2010

Job Type: * Automated Monitoring Job

2. Enter the following required information into the displayed fields:
 - *Job Type*: type of job
 - *Job name*: the name of your job
 - *Execution Type*: select from the drop down list of types
 - *Frequency*: select from the drop down list of frequency
 - *Test Period From*: the start of the test period
 - *Test Period To*: the end of the test period

Create a Job

Continuous Monitoring Scheduler

Help

1 Header 2 Share Regulation 3 Select Controls 4 Control Details 5 Confirmation

Previous Next Close

Job Type: * Automated Monitoring Job

Job name: * SOD - VENDOR & PAYMENT TEST

Execution Type: * Immediate

Frequency: * Yearly

Test Period From: * 01.01.2010

Test Period To: * 31.12.2010

Target Connector: (empty)

Comment: (empty)

3. Select the type of *Regulation* from the drop down list.

Create a Job

Continuous Monitoring Scheduler

1 Header 2 **Share Regulation** 3 Select Controls 4 Control Details 5 Confirmation

Previous Next Close

Regulation: * Foreign Corrupt Practices Act

Monitoring Results Sharing: * ☒ Do not share ☐ Share with some regulations ☐ Share with all regulations

4. Search and select the control *Segregation of duties (Automated)*.
Click Save.

Create a Job

Continuous Monitoring Scheduler

1 Header 2 Share Regulation 3 **Select Controls** 4 Control Details 5 Confirmation

Previous Next Close

Control Search

Organization: Wind Wagon Corporation Process: Subprocess: Control:

Business Rule: Search

Control	Description	Organization	Process	Subprocess	Test Automation	Trigger
Segregation of duties for risk P001	Segregation of duties for risk P001	Wind Wagon Corporation	Procure to Pay	Vendor Selection	Automated	Date
Segregation of duties (Automated)	Segregation of duties (Automated)	Wind Wagon Corporation	Procure to Pay	Vendor Selection	Automated	Date

5. Verify the Selected Controls details.

Create a Job

Continuous Monitoring Scheduler

1 Header 2 Share Regulation 3 Select Controls 4 **Control Details** 5 Confirmation

Previous Save Close

Control	Description	Organization	Process	Subprocess	Test Automation	Trigger
Segregation of duties (Automated)	Segregation of duties (Automated)	Wind Wagon Corporation	Procure to Pay	Vendor Selection	Automated	Date

Business Rule	Description	Target Connector
SOD - Vendor Maint. & Payment Processing	SOD - Vendor Maint. & Payment Processing	

9. After you have clicked the Save button, you can review the created *Job Steps* in the Automated Monitoring Jobs list as shown in the following screen shot.

Open a Job

Continuous Monitoring - Job: SOD - VENDOR & PAYMENT TEST

Timeframe Year 2010

Close

Header Share Regulation **Job Step**

Job Step List

Print Version Export Cancel Job Step Cancel All Job Steps Reschedule Job Step Obsolete Job Step Job Step Log Refresh Filter Settings

Job Step	Organization	Process	Subprocess	Control	Business Rule	Year	Period	Job Step Status	Target Connector
1	Wind Wagon Corporation	Procure to Pay	Vendor Selection	Segregation of duties (Automated)	SOD - Vendor Maint. & Payment Processing	2010	Year	Completed	

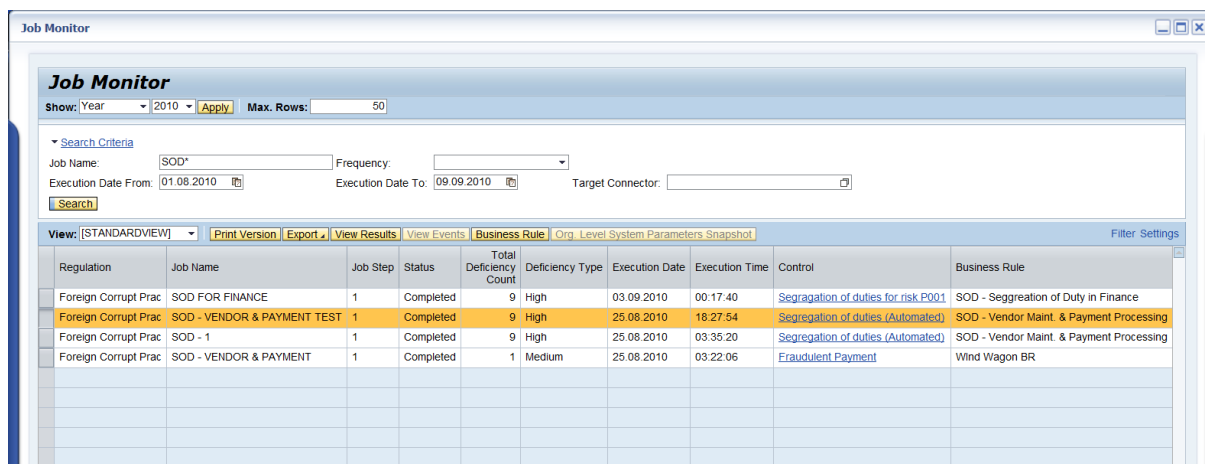
10. You can also review the job step execution detail by selecting the *Job Step Log*.

[illegible]

4.7 View a Job Step result for SoD Integration in the Job Monitor

This section describes how to view a job step result for SoD Integration in the job monitor.

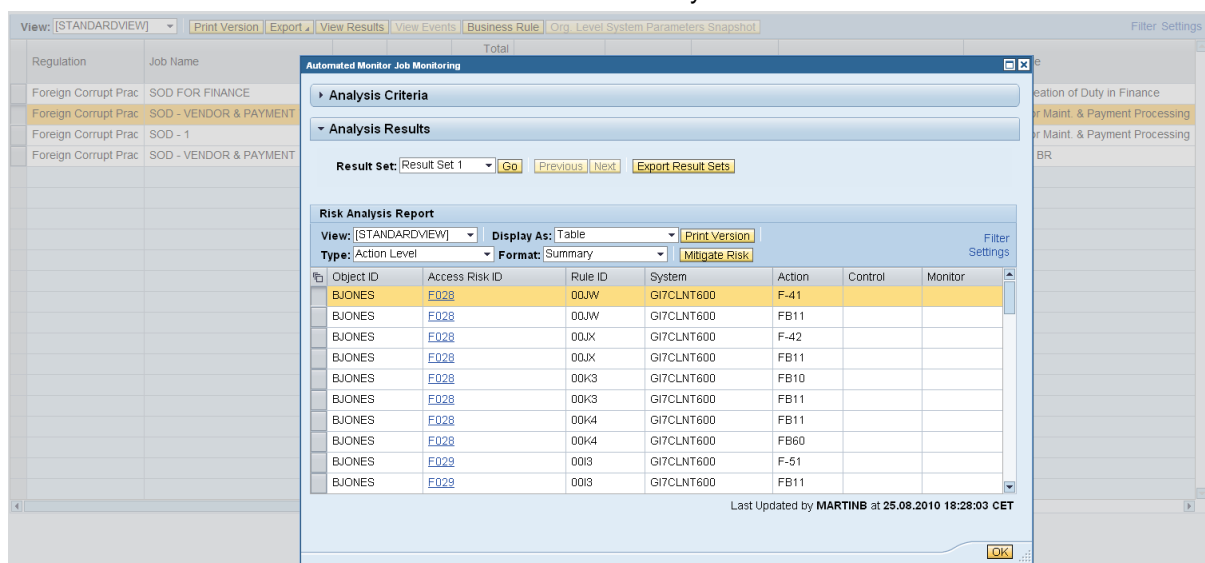
1. Navigate to *Rule Setup* → *Scheduling* → *Job Monitor*.
 - a. Input the Search Criteria data.
 - b. Set the SOD* for *Job Name*, *Set Execution Date From*, and *Set Execution Date To*.
 - c. Click *Search*.



The screenshot shows the 'Job Monitor' window with a search criteria section and a table of results. The search criteria include Job Name (SOD*), Execution Date From (01.08.2010), Execution Date To (09.09.2010), and Target Connector. The table displays job steps with columns for Regulation, Job Name, Job Step, Status, Total Deficiency Count, Deficiency Type, Execution Date, Execution Time, Control, and Business Rule.

Regulation	Job Name	Job Step	Status	Total Deficiency Count	Deficiency Type	Execution Date	Execution Time	Control	Business Rule
Foreign Corrupt Prac	SOD FOR FINANCE	1	Completed	9	High	03.09.2010	00:17:40	Segregation of duties for risk P001	SOD - Segregation of Duty in Finance
Foreign Corrupt Prac	SOD - VENDOR & PAYMENT TEST	1	Completed	9	High	25.08.2010	18:27:54	Segregation of duties (Automated)	SOD - Vendor Maint. & Payment Processing
Foreign Corrupt Prac	SOD - 1	1	Completed	9	High	25.08.2010	03:35:20	Segregation of duties (Automated)	SOD - Vendor Maint. & Payment Processing
Foreign Corrupt Prac	SOD - VENDOR & PAYMENT	1	Completed	1	Medium	25.08.2010	03:22:06	Fraudulent Payment	Wind Wagon BR

2. Select the *Job Step* created for SoD Integration.
3. Select the *View Results* button to review the SoD analysis result.



The screenshot shows the 'Automated Monitor Job Monitoring' window with a 'Risk Analysis Report' section. The report displays a table of risk analysis results with columns for Object ID, Access Risk ID, Rule ID, System, Action, Control, and Monitor. The report is filtered by 'View: [STANDARDVIEW]', 'Display As: Table', and 'Type: Action Level'.

Object ID	Access Risk ID	Rule ID	System	Action	Control	Monitor
BJONES	F028	00JW	GI7CLNT600	F-41		
BJONES	F028	00JW	GI7CLNT600	FB11		
BJONES	F028	00JX	GI7CLNT600	F-42		
BJONES	F028	00JX	GI7CLNT600	FB11		
BJONES	F028	00K3	GI7CLNT600	FB10		
BJONES	F028	00K3	GI7CLNT600	FB11		
BJONES	F028	00K4	GI7CLNT600	FB11		
BJONES	F028	00K4	GI7CLNT600	FB60		
BJONES	F029	00I3	GI7CLNT600	F-51		
BJONES	F029	00I3	GI7CLNT600	FB11		

Last Updated by MARTINB at 25.08.2010 18:28:03 CET

4. Select *Business Rule*.
The business rule detailed information window is displayed.

5. Select the hyperlink in the *Control* and *Issue Priority* column to review the control and issue details.

Job Monitor

Job Monitor

Show: Year 2010 Apply Max. Rows: 50

Search Criteria

Job Name: SOD* Frequency:

Execution Date From: 01.08.2010 Execution Date To: 09.09.2010 Target Connector:

Search

View: [STANDARDVIEW] Print Version Export View Results View Events Business Rule Org. Level System Parameters Snapshot Filter Settings

Deficiency Type	Execution Date	Execution Time	Control	Business Rule	Organization	Frequency	Target Connector	Issue Status	Issue Priority
High	03.09.2010	00:17:40	Segregation of duties for risk P001	SOD - Segregation of Duty in Finance	Wind Wagon Corporation	Year		Submitted	High
High	25.08.2010	18:27:54	Segregation of duties (Automated)	SOD - Vendor Maint. & Payment Processing	Wind Wagon Corporation	Year		Submitted	High
High	25.08.2010	03:35:20	Segregation of duties (Automated)	SOD - Vendor Maint. & Payment Processing	Wind Wagon Corporation	Year		Submitted	High
Medium	25.08.2010	03:22:06	Fraudulent Payment	Wind Wagon BR	Wind Wagon Energy Ltd (China)	Year	G7CLNT600	Submitted	Medium

6. The details of the control are shown on the next screen.

Object Information

Control: Segregation of duties (Automated)

Parent Organization Wind Wagon Corporation Parent Subprocess Vendor Selection Allow Local Changes No ID 50000107

Timeframe Year 2010 Effective Date 01.01.2010

Save Cancel

General Regulations Business Rules Evaluation Monitoring Jobs Requirement Risks Account Groups Policies Issues Roles

Business Rules

Regulation Config	Business Rule	Business Rule Description	Trigger	Frequency	Compliance	Monitoring
FCPA	SOD - Vendor Maint. & Payment Processing	SOD - Vendor Maint. & Payment Processing	Date-based Control	Any Frequency	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

7. The *Issues* detail is shown as in the following screen:

Assessment

Personalize Help

Test Period: Year 2010 Status: Submitted Organization: Wind Wagon Corporation Process: Procure to Pay Subprocess: Vendor Selection

Evaluation **Issues** Regulation Control Details Requirement Risks Attachments and Links

Issues

Assign Remediation Plan Close Without Plan Reassign the issue

Name	Priority	Status	Reported Date	Owner	Audit Trail
SOD - Vendor Maint. & Payment Processing	High	Submitted	25.08.2010		Audit Trail

SOD - Vendor Maint. & Payment Processing

Owner: * Amos Shi

Carryforward: No Carryforward

Description: Job Step: Monitoring / Automated
Test 9 High 9 Medium 0 Low 0

8. Click the *Business Rules* button.

The following screen shows the details for the business rule.

Business Rule Help

Timeframe: 09.09.2010

1 Basic Information 2 Filter Criteria 3 Technical Settings 4 Attachments and Links 5 Confirmation

Previous Next Close

General

Name: * SOD - Vendor Maint. & Payment Processing Valid from: 01.01.2010

Description: * SOD - Vendor Maint. & Payment Processing Valid to: 31.12.9999

Usage: Automated Process Control

Category: * Exception Data Source: SOD - Vendor Maint. & Payment Processing

Analysis Type: * Set Deficiency Indicator Sub Scenario: SoD Integration

Deficiency Type: * Medium Connection Type: Local Data Source

Status: * In Review Data Source Status: Active

Search Term

Term 1: Term 2: Term 3: Term 4: Term 5:

5. Comments and Feedback

Your feedback is very valuable and will enable us to improve our documents. Please take a few moments to complete our feedback form. Any information you submit will be kept confidential.

You can access the feedback form at:

http://www.surveymonkey.com/s.aspx?sm=stdoYUlaABrbKUBpE95Y9g_3d_3d

6. Copyright

© 2011 SAP AG. All rights reserved.

No part of this publication may be reproduced or transmitted in any form or for any purpose without the express permission of SAP AG. The information contained herein may be changed without prior notice.

Some software products marketed by SAP AG and its distributors contain proprietary software components of other software vendors.

Microsoft, Windows, Outlook, and PowerPoint are registered trademarks of Microsoft Corporation.

IBM, DB2, DB2 Universal Database, OS/2, Parallel Sysplex, MVS/ESA, AIX, S/390, AS/400, OS/390, OS/400, iSeries, pSeries, xSeries, zSeries, System i, System i5, System p, System p5, System x, System z, System z9, z/OS, AFP, Intelligent Miner, WebSphere, Netfinity, Tivoli, Informix, i5/OS, POWER, POWER5, POWER5+, OpenPower and PowerPC are trademarks or registered trademarks of IBM Corporation.

Adobe, the Adobe logo, Acrobat, PostScript, and Reader are either trademarks or registered trademarks of Adobe Systems Incorporated in the United States and/or other countries.

Oracle is a registered trademark of Oracle Corporation.

UNIX, X/Open, OSF/1, and Motif are registered trademarks of the Open Group.

Citrix, ICA, Program Neighborhood, MetaFrame, WinFrame, VideoFrame, and MultiWin are trademarks or registered trademarks of Citrix Systems, Inc.

HTML, XML, XHTML and W3C are trademarks or registered trademarks of W3C®, World Wide Web Consortium, Massachusetts Institute of Technology.

Java is a registered trademark of Sun Microsystems, Inc.

JavaScript is a registered trademark of Sun Microsystems, Inc., used under license for technology invented and implemented by Netscape.

MaxDB is a trademark of MySQL AB, Sweden.

SAP, R/3, mySAP, mySAP.com, xApps, xApp, SAP NetWeaver, and other SAP products and services mentioned herein as well as their respective logos are trademarks or registered trademarks of SAP AG in Germany and in several other countries all over the world. All other product and service names mentioned are the trademarks of their respective companies. Data contained in this document serves informational purposes only. National product specifications may vary.

These materials are subject to change without notice. These materials are provided by SAP AG and its affiliated companies ("SAP Group") for informational purposes only, without representation or warranty of any kind, and SAP Group shall not be liable for errors or omissions with respect to the materials. The only warranties for SAP Group products and services are those that are set forth in the express warranty statements accompanying such products and services, if any. Nothing herein should be construed as constituting an additional warranty.

These materials are provided "as is" without a warranty of any kind, either express or implied, including but not limited to, the implied warranties of merchantability, fitness for a particular purpose, or non-infringement.

SAP shall not be liable for damages of any kind including without limitation direct, special, indirect, or consequential damages that may result from the use of these materials.

SAP does not warrant the accuracy or completeness of the information, text, graphics, links or other items contained within these materials. SAP has no control over the information that you may access through the use of hot links contained in these materials and does not endorse your use of third party web pages nor provide any warranty whatsoever relating to third party web pages.

Any software coding and/or code lines/strings ("Code") included in this documentation are only examples and are not intended to be used in a productive system environment. The Code is only intended better explain and visualize the syntax and phrasing rules of certain coding. SAP does not warrant the correctness and completeness of the Code given herein, and SAP shall not be liable for errors or damages caused by the usage of the Code, except if such damages were caused by SAP intentionally or grossly negligent.

