GRC330

SAP Process Control 10.1 Implementation and Configuration

SAP Governance, Risk, and Compliance

Course Outline

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Contents

 SAP

vi SAP

Course Overview

This course presents implementation and configuration concepts and procedures for SAP Process Control 10.1.

Target Audience

This course is intended for the following audiences:

- Implementation Consultants
- Key Technical Business Users involved in a Process Control project
- IT Governance Experts
- Consultants for SAP Security and GRC IT Auditors
- Business Project Team Leaders
- Compliance Managers
- Internal Audit Managers

Course Prerequisites

Required Knowledge

- GRC100_96 SAP BusinessObjects Governance, Risk and Compliance 10.1 Principles and Harmonization
- Knowledge of integrated processes in an SAP system
- Knowledge of authorization concepts in an SAP system
- Practical knowledge of common business processes

Recommended Knowledge

- Experience with compliance regulations

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Course Goals

This course will prepare the participant to:

- Discuss the purpose and business use of Process Control
- Describe key features and related harmonization topics
- Describe risk-based internal controls
- Configure Process Control Customizing settings and those shared across GRC
- Create and manage master data
- Discuss security and authorization requirements
- Implement the Process Control solution
- Use risk-managed financial compliance practices
- Plan and process surveys and tests
- Set up and maintain Continuous Monitoring
- Integrate and use Process Control with Policy Management
- Discuss operational compliance
- Aggregate deficiencies
- Use the harmonized reporting framework
- Describe the use of custom-defined fields and document search

Course Objectives

After completing this course, the participant will be able to:

- Prepare for a Process Control 10.1 implementation
- Configure Process Control-specific and shared Customizing settings
- Plan and respond to control effectiveness tests and control risk assessments
- Configure and use Continuous Monitoring
- Educate your project team about Process Control concepts and risk-managed compliance

Unit 1

Enterprise Governance, Risk and Compliance (eGRC)

Unit Overview

This unit introduces eGRC and the role of the multi-compliance framework.

Lesson: Risk-Based Approach to Managing Compliance Initiatives

Lesson Objectives

After completing this lesson, the participant will be able to:

- Explain the eGRC scenario
- Explain how the Process Control solution can support a company's use of eGRC

Lesson: Integrated GRC Approach

Lesson Objectives

After completing this lesson, the participant will be able to:

- Understand the integrated approach of SAP GRC
- Describe the main integration points within SAP GRC
- Describe the main integration points between SAP GRC and other applications

Unit 2

Governance

Unit Overview

This unit describes governance concepts and how Process Control supports related initiatives.

Lesson: Governance Overview

Lesson Objectives

After completing this lesson, the participant will be able to:

- Discuss compliance challenges for operating and regulatory environments for corporations and government
- Describe how Process Control helps strengthen internal controls
- Describe examples of regulations and the role of the Public Company Accounting Oversight Board

Lesson: Governance Using Process Control 10.1

Lesson Objectives

After completing this lesson, the participant will be able to:

- Describe key features of Process Control 10.1
- Describe how Process Control features support compliance management

Lesson: Daily Business Use

Lesson Objectives

After completing this lesson, the participant will be able to:

- Describe a Process Control business use example
- Describe examples of daily business use tasks

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Unit 3

Harmonization Overview

Unit Overview

In this unit you, will see Harmonization concepts, navigate the work centers, identify key elements of the technical landscape, and prepare for upgrading to Process Control 10.1.

Lesson: Harmonization Concepts

Lesson Objectives

After completing this lesson, the participant will be able to:

*   Describe the purpose of the common technical platform
*   Describe streamlined user navigation concepts and benefits
*   Explain how compliance management benefits from the configurable user interface
*   Identify where to perform shared and product-specific Customizing tasks in the IMG

Lesson: Work Centers

Lesson Objectives

After completing this lesson, the participant will be able to:

*   Describe work centers and their functionality
*   Navigate the user interface
*   Assign a delegate
*   Personalize the Work Inbox

Lesson: Setting Up an Entry Page

Lesson Objectives

After completing this lesson, the participant will be able to:

*   Access and adjust the entry page in the front end
*   Know the authorizations to maintain and set up the entry page
*   Explain the access to multiple views on one page

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- Customize your own entry page

Lesson: Technical Landscape

Lesson Objectives

After completing this lesson, the participant will be able to:

- Describe key components of the GRC architecture and landscape
- Describe the Process Control architecture and landscape

Unit 4

Configuration Requirements

Unit Overview
This unit is about configuration requirements.

Lesson: Customizing Central Tasks

Lesson Objectives
After completing this lesson, the participant will be able to:

- Configure basic settings
- Configure workflow

Lesson: Shared Master Data and Reports

Lesson Objectives
After completing this lesson, the participant will be able to:

- Configure shared master data settings
- Configure reporting

Lesson: Workflow

Lesson Objectives
After completing this lesson, the participant will be able to:

- Configure workflow in the IMG
- Perform Workflow Administration Tasks

Lesson: Authorization Updates

Lesson Objectives
After completing this lesson, the participant will be able to:

- Identify basic and application roles

- Locate role assignment sections in the IMG

Lesson: Process Control-Specific Customizing

Lesson Objectives

After completing this lesson, the participant will be able to:

- Perform Process Control-specific Customizing tasks in the IMG

Unit 5

Create and Manage Master Data

Unit Overview

This unit includes master data concepts and shows you how to set up hierarchies for organizations, account groups, central processes, and entity-level controls.

Lesson: Master Data Overview

Lesson Objectives

After completing this lesson, the participant will be able to:

- Describe methods for loading master data
- Identify master data configuration process steps
- Describe master data types

Lesson: Setting Up an Organization Hierarchy

Lesson Objectives

After completing this lesson, the participant will be able to:

- Describe organization hierarchies
- Create an organization hierarchy

Lesson: Setting Up the Account Group Hierarchy

Lesson Objectives

After completing this lesson, the participant will be able to:

- Describe the Accounts work set functionality
- Create an Account Group

Lesson: Setting Up the Central Process Hierarchy

Lesson Objectives

After completing this lesson, the participant will be able to:

- Discuss process hierarchy concepts
- Create a process hierarchy

Lesson: Setting Up the Indirect Entity-Level Control Hierarchy

Lesson Objectives

After completing this lesson, the participant will be able to:

- Describe indirect entity-level controls
- Create an indirect entity-level control group

Lesson: Harmonized Risk Model

Lesson Objectives

After completing this lesson, the participant will be able to:

- Explain the difference between the old and the new approach of the risk model in Process Control
- Explain how Risk Management risks can be assigned in PC's control framework
- Understand how the risk-based scoping and monitoring of risks work in this new approach
- Understand basic Customizing activities and additional authorization settings

Lesson: Uploading Master Data with MDUG

Lesson Objectives

After completing this lesson, the participant will be able to:

- Describe the process to upload master data using MDUG
- Create and populate the MDUG template
- Upload data

Lesson: Content Lifecycle Management

Lesson Objectives

After completing this lesson, the participant will be able to:

- Discuss CLM purpose and functionality
- Explain what CLM can support
- Describe the CLM landscape
- Explain how CLM works
- Clean up data in target system

Lesson: Master Data Change Request Workflow

Lesson Objectives

After completing this lesson, the participant will be able to:

- Perform required configuration changes
- Make a change request
- Approve a change request
- Describe how the requestor makes the desired change to a master data object

Unit 6

Surveys and Manual Tests

Unit Overview

This unit shows you how to create a survey and manual test plan.

Lesson: Survey and Test Overview

Lesson Objectives

After completing this lesson, the participant will be able to:

- Describe the purpose of the surveys and tests in Process Control
- Describe the evaluation process
- Describe the work centers that manage the evaluation process

Lesson: Planner Overview

Lesson Objectives

After completing this lesson, the participant will be able to:

- Describe Planner features
- Navigate Planner
- Use Planner Monitor
- Configure Planner

Lesson: Assessment Survey

Lesson Objectives

After completing this lesson, the participant will be able to:

- Describe the assessment surveys
- Create entries in the survey question library
- Create, plan, and complete a survey

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Lesson: Manual Test

Lesson Objectives

After completing this lesson, the participant will be able to:

- Describe manual control test plans
- Create a manual test plan
- Plan and complete a manual test of effectiveness

Lesson: Manual Test – Offline Forms and Data Sheets

Lesson Objectives

After completing this lesson, the participant will be able to:

- Download the offline testing forms
- Describe how to complete the form and submit
- Execute and review the data sheet report

Lesson: Disclosure Survey

Lesson Objectives

After completing this lesson, the participant will be able to:

- Explain two business use cases supported by disclosure surveys
- Identify key prerequisites for using disclosure surveys
- Plan and distribute disclosure surveys
- Perform and review disclosure surveys online or offline
- Report survey status and responses

Lesson: Issue Remediation

Lesson Objectives

After completing this lesson, the participant will be able to:

- Describe the issue and remediation process
- Create an issue and remediation plan
- Discuss retesting options

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Unit 7

Risk-Managed Financial Compliance

Unit Overview

This unit is about scoping features in SAP Process Control for financial compliance.

Lesson: Risk-Based Financial Compliance

Lesson Objectives

After completing this lesson, the participant will be able to:

- Explain the business needs for the new functionality
- Describe risk-based financial compliance
- Explain the master data structured needed
- Explain the three steps for scoping

Lesson: Materiality Analysis

Lesson Objectives

After completing this lesson, the participant will be able to:

- Describe the background for materiality analysis and how it relates to top-down, risk-based scoping
- Execute the materiality-related data collection in SAP BusinessObjects Process Control
- Identify the necessary master data object attributes relating to the materiality analysis in Process Control

Lesson: Risk Assessment

Lesson Objectives

After completing this lesson, the participant will be able to:

- Identify the process and associated tasks pertaining to risk assessment
- Complete the risk assessment configuration
- Perform the risk assessment

Lesson: Control Risk Rating

Lesson Objectives

After completing this lesson, the participant will be able to:

- Describe and configure the control risk rating
- Describe and configure the calculation and weighting logic
- Describe and configure the derivation of the level of evidence and testing strategy
- Perform the control risk rating
- Describe the impact of the control risk rating on the effectiveness testing of a given control

Lesson: Test Strategy

Lesson Objectives

After completing this lesson, the participant will be able to:

- Identify the tasks necessary to complete the IMG Customizing activities
- Discuss the level of evidence and test strategy
- Execute the control risk rating functionality

Lesson: Risk Coverage Analysis

Lesson Objectives

After completing this lesson, the participant will be able to:

- Identify the available analytic options

Lesson: Integration with SAP Audit Management

Lesson Objectives

After completing this lesson, the participant will be able to:

- Have a general insight into SAP Audit Management solutions
- Understand main integration points
- Know how the connection is established

Unit 8

Ad Hoc Issues

Unit Overview

This unit shows you how to create and configure ad hoc issues.

Lesson: Ad Hoc Issues

Lesson Objectives

After completing this lesson, the participant will be able to:

- Describe Issue Management concepts
- Create Ad Hoc Issues
- Discuss remediation and monitoring
- Configure Ad Hoc Issues

Lesson: Integration with SAP Fraud Management

Lesson Objectives

After completing this lesson, the participant will be able to:

- Have a general insight into SAP Fraud Management solutions
- Understand main integration points
- Know how the connection is established

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Unit 9

Policy Management

Unit Overview

This unit describes Policy Management and Policy Lifecycle Management concepts and shows you how to configure Policy Management in Process Control.

Lesson: Policy Management – Overview

Lesson Objectives

After completing this lesson, the participant will be able to:

- Describe the Policy Management features
- Discuss a relevant business scenario
- Create, review, and process a policy

Lesson: Configuring Policy Management

Lesson Objectives

After completing this lesson, the participant will be able to:

- Configure Policy Management in the IMG

Lesson: Policy Lifecycle Management

Lesson Objectives

After completing this lesson, the participant will be able to:

- Describe key capabilities and benefits of policy lifecycle management
- Identify the policy lifecycle management process

Unit 10

Continuous Monitoring

Unit Overview

This unit shows you how to set up automated controls for Continuous Monitoring.

Lesson: Continuous Monitoring – Overview

Lesson Objectives

After completing this lesson, the participant will be able to:

- Describe Continuous Monitoring features and its functionality
- Explain the business benefits of these features

Lesson: Continuous Monitoring – Preconfiguration

Lesson Objectives

After completing this lesson, the participant will be able to:

- Define CM-relevant connectors for the Integration Framework
- Maintain connection settings

Lesson: Creating a Data Source

Lesson Objectives

After completing this lesson, the participant will be able to:

- Describe the purpose and function of data sources
- Create a data source

Lesson: Creating a Business Rule

Lesson Objectives

After completing this lesson, the participant will be able to:

- Describe business rule purpose and functionality

- Create a business rule

Lesson: Assigning Business Rules to a Control

Lesson Objectives

After completing this lesson, the participant will be able to:

- Describe business rule assignment
- Assign a business rule to a control

Lesson: Scheduling a Continuous Monitoring Job

Lesson Objectives

After completing this lesson, the participant will be able to:

- Create a Continuous Monitoring job
- View a Continuous Monitoring job

Lesson: Monitoring a Continuous Monitoring Job

Lesson Objectives

After completing this lesson, the participant will be able to:

- Search for jobs and job steps
- View job step results and events
- View organizational level system parameters (OLSP) snapshot
- Navigate to related objects

Lesson: SAP Queries

Lesson Objectives

After completing this lesson, the participant will be able to:

- Describe SAP Query purpose and use
- Define a connection for sub scenario SAP Query
- Create a data source for sub scenario SAP Query
- Create and assign a business rule
- Schedule and monitor the job

Lesson: SAP BW Query

Lesson Objectives

After completing this lesson, the participant will be able to:

- Describe BW Query purpose and use
- View the SAP BW Query connector
- Create and enable search terms for data source and business rule
- Create SAP BW Query data source
- Create SAP BW Query business rule

Lesson: Setting Up a Configurable Rule Subscenario

Lesson Objectives

After completing this lesson, the participant will be able to:

- Create a data source for the Configurable Rule subscenario
- Create a business rule for the Configurable Rule subscenario

Lesson: Create a Programmed Rule

Lesson Objectives

After completing this lesson, the participant will be able to:

- Create a data source for subscenario Programmed Rule
- Create a business rule for subscenario Programmed Rule

Lesson: ABAP Reports

Lesson Objectives

After completing this lesson, the participant will be able to:

- Validate an ABAP report
- Create a data source with subscenario ABAP Report
- Create a business rule for subscenario ABAP Report

Lesson: Process Integration Subscenario

Lesson Objectives

After completing this lesson, the participant will be able to:

- Create a data source with subscenario Process Integration
- Create a business rule for subscenario Process Integration

Lesson: SoD Integration

Lesson Objectives

After completing this lesson, the participant will be able to:

- Identify prerequisites
- Create a data source for subscenario SoD Integration
- Create and assign a business rule for subscenario SoD Integration

Lesson: Web Service for Continuous Monitoring

Lesson Objectives

After completing this lesson, the participant will be able to:

- Create a Web Service data source
- Create a Web Service business rule

Lesson: Event-Based Monitoring

Lesson Objectives

After completing this lesson, the participant will be able to:

- Define an Event Type
- Create a data source for the Event sub scenario
- Create and assign a business rule for the Event sub scenario

Lesson: SAP HANA Views

Lesson Objectives

After completing this lesson, the participant will be able to:

- Describe the SAP HANA subscenario features
- Maintain the SAP HANA subscenario data source

•   Maintain the SAP HANA subscenario Business Rule

Lesson: New CCM Content Upload Capabilities

Lesson Objectives

After completing this lesson, the participant will be able to:

•   Explain the business benefits of using the import and export functionality
•   Describe the import and export features
•   Perform the import and export in the GRC system

Unit 11

Operational Compliance Overview

Unit Overview

This unit introduces operational compliance concepts.

Lesson: Operational Compliance Overview and Key Trends

Lesson Objectives

After completing this lesson, the participant will be able to:

- Identify key industry trends in operational compliance
- Identify the five elements of the SAP Operational Compliance solution

Lesson: CAPA

Lesson Objectives

After completing this lesson, the participant will be able to:

- Identify the phases of CAPA remediation
- Understand the difference between CAPA remediation and standard remediation

Lesson: Operational Compliance-Specific Focus in CCM

Lesson Objectives

After completing this lesson, the participant will be able to:

- Describe the operational compliance-specific focus in CCM

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Unit 12

Closing Activities in an ICS Management Cycle

Unit Overview

In this unit, you will learn how to use the aggregation of deficiencies functionality.

Lesson: Sign-Off

Lesson Objectives

After completing this lesson, the participant will be able to:

- Understand the meaning of sign-off in the context of ICS management
- Describe how the sign-off functionality works
- Prepare and trigger the sign-off process in the planner
- Make the necessary configuration in IMG to enable sign-off

Lesson: Aggregation of Deficiencies

Lesson Objectives

After completing this lesson, the participant will be able to:

- Explain Aggregation of Deficiencies (AoD) in Process Control
- Identify the benefits of AoD in Process Control
- Describe the options for analysis in the AoD process
- Distinguish between the Bottom-Up approach and aggregation at the top

Unit 13

Reporting

Unit Overview

This unit provides an overview of reporting options.

Lesson: Reports Overview

Lesson Objectives

After completing this lesson, the participant will be able to:

- Navigate reports
- Describe Crystal Integration
- Discuss the multi-compliance framework in reporting
- Identify delivered reports

Lesson: Report Framework Harmonization

Lesson Objectives

After completing this lesson, the participant will be able to:

- Configure reports
- Integrate Crystal reports

Lesson: Dashboard Overview

Lesson Objectives

After completing this lesson, the participant will be able to:

- Describe dashboard features and navigation
- Configure dashboards

Unit 14

Security and Authorization

Unit Overview

This unit will provide an overview of the Process Control security model and authorization assignment.

Lesson: Security and Authorization – Overview

Lesson Objectives

After completing this lesson, the participant will be able to:

- Describe the Process Control authorization model
- Identify the roles delivered as business content based on their descriptions
- Describe the ticket-based authorizations
- Identify authorization configuration and setup tasks

Lesson: Authorization Configuration and Setup

Lesson Objectives

After completing this lesson, the participant will be able to:

- Perform the configuration and setup associated with authorizations
- Customize business events
- Customize ticket-based authorization

Unit 15

Implementation Scope and Approach

Unit Overview

This unit shows you how to approach a functional implementation.

Lesson: Implementation Scope and Approach

Lesson Objectives

After completing this lesson, the participant will be able to:

- Prepare for an SAP BusinessObjects Process Control implementation
- Discuss an implementation approach designed to build upon success
- Explain the importance of a well-designed pilot phase
- Recognize the required skills and experience for the technical consultant, functional consultant, and customer resources for an SAP BusinessObjects Process Control implementation

Unit 16

Establishing a Compliance Framework

Unit Overview

This unit describes the multi-compliance framework.

Lesson: Configuring a Multi-Compliance Framework (MCF)

Lesson Objectives

After completing this lesson, the participant will be able to:

- Discuss multi-compliance frameworks
- Configure a multi-compliance framework

Unit 17

Other Process Control Features

Unit Overview

This unit presents custom-defined fields and document search features.

Lesson: Custom-Defined Fields

Lesson Objectives

After completing this lesson, the participant will be able to:

- Describe custom-defined fields
- Discuss the impact on reporting

Lesson: Document Search

Lesson Objectives

After completing this lesson, the participant will be able to:

- Perform a freestyle document search in Process Control
- Perform an attribute-based document search in Process Control