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| Test Script  SAP S/4HANA - 21-09-20 | public |
| Privacy Risk Detection with SAP Privacy Governance (3KX) |

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# Purpose

With SAP Privacy Governance data protection and privacy controls, SAP establishes effective means to analyze and detect data protection and privacy anomalies in your connected SAP S/4HANA system.

The use of personal information is strictly regulated by various regulations and privacy risks exist when this type of data is collected and processed. As a supplement to manual governance, this scope item enables the automatic detection of privacy risks for personal information and relevant documents, such as sales order, providing insights on regulatory reporting and proactive auditing.

This document provides a general procedure for testing the scope item after solution activation. Detection of privacy risks in sales order is taken as an example in this test script. Besides, you can also implement other use cases based on your requirements. Please refer to [Use Cases](#unique_2)  [page ] for more details.

Each process step, report, or item is covered in its own section, providing the system interactions (test steps) in a table view. Steps that are not in scope of the process but are needed for testing are marked accordingly. Project-specific steps must be added.

# Use Cases

Baseline content is pre-delivered together with the SAP Privacy Governance (SPG) solution. It is used as a quick start of your business as well as for demo and education purpose.

Currently, the sample use cases provided by baseline content are listed in below table.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| No. | Use Case | Baseline Content | | |
| Control Name | Automated Procedure Name | Entity Set |
| 1 | Check if live ILM policies and viable rules are in place for a specified type of data in S/4, such as Sales Orders. | Retention rules are established for data | Check ILM retention rules for data in S/4 | ILMObjectRetentionSet |
| 2 | Detect list of sales orders that are not destroyed yet under the governing ILM retention rule. | Sales orders get destroyed when their retention period expires | Check sales orders against ILM retention rules | SalesOrderSet |
| 3 | Detect list of HRPA records that are not destroyed correctly. | HR data retention are managed in a compliant way | Check ILM retention rules for S/4 HRPA data | InfoTypeSet  HRPaymentDetailSet  HRBasicPaySet  HRChallengeSet  HRAddressSet |
| Check staff challenges data against ILM retention rules |
| Check staff basic pay data against ILM retention rules |
| Check staff address data against ILM retention rules |
| Check staff payment details data against ILM retention rules |
| 4 | Detect list of objects in Contract Accounting that are not destroyed correctly. | FI-CA posting documents get destroyed when their retention period expires | Check FI-CA documents against ILM retention rules | FICADocumentSet |
| FI-CA payment data from payment runs get destroyed when their retention period expires | Check FI-CA payment data from payment runs against ILM retention rules | FICAPaymentSet |
| FI-CA contract accounts get destroyed when their retention period expires | Check FI-CA contract accounts against ILM retention rules | FICAContractAccountSet |
| 5 | Detect list of blocked business partners that are not destroyed correctly. | Blocked business partners records get destroyed when their retention expires | Check blocked and destructible business partners against ILM retention rules | BlockedBPSet |
| 6 | Detect list of business partners records of former employees that are not blocked correctly. | Business partners records of employees who have left the company should be blocked | Check if the business partners records of employees who have left the company are blocked | EmployeeLeftNotBlockedBPSet |

Proposal actions to remediate risks after the automated procedure run are listed below for reference.

|  |  |  |  |
| --- | --- | --- | --- |
| AP Run Result | Failure Cause | Result Explanation | Proposed Action |
| No failed item | None | No risk | None |
| Failed items exist | Object not assigned to the audit area. | Audit area and ILM object are not maintained properly. | Finish the assignment of ILM object to proper audit area. Refer to scope item 1KA and use the object in the failed item. |
| No live policy for the object in this audit area.  No policy found for audit area {Audit Area Name} of ILM object {Object Name}. | ILM Policy is not maintained or set to live. | Maintain live ILM policy for the relevant object. Refer to scope item 1KA. |
| No rules maintained for policy {POLICY\_NAME}. | Retention rule is not maintained under the ILM policy. | Maintain retention rules for the relevant ILM policy. Refer to scope item 1KA. |
| No retention rules are set. | There is no effective retention rule for the specific sales/purchase order. | Contact the ILM administrator to verify whether the retention rule is set correctly. |
| The minimum retention period has elapsed. Please destroy the data. | Sales/Purchase orders are not destroyed properly before today. | a. Contact the ILM administrator to verify whether the destroy job has been successfully performed.  b. Contact responsible person of the failed document to verify whether there is business reason preventing the retention rules to destroy the document. |
| The minimum retention period ends before the End of Min. Retention date entered. Please destroy the data before that date. | The listed sales/purchase orders should be destroyed properly before the specific date. | Prepare to destroy the listed orders before the end date. |
| Failed items of HR data exist | None | HR data are not destroyed correctly. | a. Contact the ILM administrator to verify whether the destroy job has been successfully performed.  b. Contact HR department to check the details. |

# Prerequisites

This section summarizes all the prerequisites for conducting the test in terms of systems, users, master data, organizational data, other test data and business conditions.

## Additional Manual Configuration

Before you can test this scope item, you must have completed the additional configuration steps that are described in the *Set-Up Instructions* for this scope item. These configuration steps are specific for your implementation and include mandatory settings that are not delivered by SAP and must be created by you. For more information, refer to the Set-Up Instructions for this scope item on [SAP Best Practices Explorer](https://rapid.sap.com/bp) (https://rapid.sap.com/bp/#/browse/scopeitems/<enter the scope item ID>).

## System Access

Before this scope item can be tested, you must have access to SAP Privacy Governance (SPG) system and finish the onboarding process of SPG.

|  |  |
| --- | --- |
| System | Details |
| SAP Privacy Governance | Accessible via SAP Privacy Governance Fiori launchpad. Your system administrator provides you with the URL to access the various apps assigned to your role. |

## Roles

In SAP Privacy Governance:

|  |  |  |
| --- | --- | --- |
| Business Role | Role Collection | Log On |
| Specialist | compliance\_specialist |  |
| Manager | compliance\_manager |  |

For more information, please refer to *User and Role Management* in the [Administration Guide for SAP Privacy Governance](https://help.sap.com/viewer/9f06df5970b84ee18b9aa33c8fb0e4bd/1.0.0.0/en-US).

## Master Data, Organizational Data, and Other Data

The organizational structure and master data of your company have been created in your system during activation. The organizational structure reflects the structure of your company. The master data represent materials, business partners, depending on the operational focus of your company.

## Business Conditions

Before this scope item can be tested, the following business conditions must be met.

|  |  |
| --- | --- |
| Scope Item | Business Condition |
| 1KA - Information Lifecycle Management | Information lifecycle management has been activated and retention rules has been maintained for the relevant objects such as sales order and HR objects.  For example, if you want to detect privacy risk in sales order, you need to assign ILM object SD\_VBAK to the appropriate existing audit area or a new one. Then create ILM policy and maintain retention rules under this combination of audit area and ILM object. |

# Overview Table

The Privacy Risk Detection with SAP Privacy Governance (3KX) scope item consists of several process steps provided in the table below.

|  |  |  |  |
| --- | --- | --- | --- |
| Process Step | System/Business Role | Transaction/App | Expected Results |
| [Create Automated Procedure](#unique_10) [page ] 9 | SPG/Specialist | Manage Automated Procedures | New AP is created and activated successfully. |
| [Create Control](#unique_11) [page ] 12 | SPG/Specialist | Manage Controls | New Control is created successfully. |
| [Create Work Package](#unique_12) [page ] 14 | SPG/Specialist | Manage Work Packages | New Work Package is created successfully. |
| [Display Automated Procedure Run Result](#unique_13) [page ] 17 | SPG/Specialist or Manager | Display Automated Procedure Runs | Results of Automated Procedure runs are listed successfully. |

# Test Procedures

This section describes test procedures for each process step that belongs to this scope item.

## Create Automated Procedure

Test Administration

Customer project: Fill in the project-specific parts.

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Test Case ID | <X.XX> | Tester Name |  | Testing Date | Enter a test date. |
| Business Role(s) |  | | | | |
| Responsibility | <State the Service Provider, Customer or Joint Service Provider and Customer> | | | Duration | Enter a duration. |

Purpose

The compliance specialist creates a new Automated Procedure(AP) to retrieve data in S/4HANA. This new AP is mandatory for the following Control creation.

Prerequisite

Before you start creating a new Automated Procedure, make sure the setup guide of this scope item has been followed through to ensure connectivity between SAP Privacy Governance and S/4HANA Cloud. What’s more, make sure the baseline content packages are imported successfully during your onboarding for SPG.

Procedure

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Test Step # | Test Step Name | Instruction | Expected Result | Pass / Fail / Comment |
| 1 | Log on | Log on to SAP Privacy Governance as Specialist. |  |  |
| 2 | Create Standard Automated Procedure | Open Manage Automated Procedures tile.  Select a pre-delivered Automated Procedure, eg. Check sales orders against ILM retention rules, and drill down to the detail page.  Choose Edit at the right top of the page.  In the Description section, enter as appropriate.  In the Destination section, choose Add to add the appropriate destination.  In the Parameters section, keep as they are or remove what should not be parameters.  Choose Save. | Standard Automated Procedure is created successfully. |  |
| 3 | Activate New Procedure | Choose Activate to activate the newly created procedure. | Status of the new procedure is Active. |  |
| 2 | Create Your Own Automated Procedure (Optional) | Open Manage Automated Procedures tile.  At the right top of the Procedures List, choose Create.  In the HEADER section, make the following entries:  Procedure Name: <enter as appropriate, eg. ZAP\_SO>  System Type: <select from dropdown>  Destination: <select from value help>  Source Type: <select from dropdown>  OData service Name: <enter as appropriate, eg. /sap/opu/odata/sap/GRCSPG\_BASELINE\_CONTENT\_SRV>  Entity Name: <enter as appropriate, eg. SalesOrderSet>  The other entity names could be found in [Use Cases](#unique_2)  [page ] 3 section.  In the DESCRIPTION section, enter as appropriate.  Choose Save. Then choose Edit at the right top of the page and navigate to the Run Settings section to add Parameters.  Add the suggested parameters shown in the message and add your own ones, eg. Sales Org..  Choose Save and Activate to activate the newly created procedure.  If the button could not be clicked, you have to wait for the Result Definition is generated, or you could click Save first and activate the procedure later. | New Automated Procedure is created and activated successfully. |  |

## Create Control

Test Administration

Customer project: Fill in the project-specific parts.

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Test Case ID | <X.XX> | Tester Name |  | Testing Date | Enter a test date. |
| Business Role(s) |  | | | | |
| Responsibility | <State the Service Provider, Customer or Joint Service Provider and Customer> | | | Duration | Enter a duration. |

Purpose

The compliance specialist creates a new Control or use the pre-delivered standard Control to include Automated Procedure. It is mandatory for the following Work Package creation.

Prerequisite

Before you start creating a new Control, make sure the newly created Automated Procedure in the above steps is activated successfully.

Procedure

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Test Step # | Test Step Name | Instruction | Expected Result | Pass / Fail / Comment |
| 1 | Log on | Log on to SAP Privacy Governance as Specialist. |  |  |
| 2 | Create Control | You can either directly edit the existing sample controls, eg. Sales orders get destroyed when their retention period expires, or create a new one.  Open Manage Controls tile.  At the right top of the Controls List, choose Create. | New Control page is displayed at the right of the screen. |  |
| 3 | Enter Information for New Control | In the General Information section, make the following entries:  Name: <enter as appropriate, eg. ZControl\_SO>  Valid From: <select as appropriate, eg. today>  Valid To: <select as appropriate, eg. the end of current month>  Significance: <select from dropdown, eg. Standard>  Control Risk Level: <select from dropdown, eg. Medium>  Operation Frequency: <select from dropdown, eg. Any Frequency>  In the Description section, enter as appropriate.  Choose Create. | New Control is created. |  |
| 4 | Assign Automated Procedure to Control | Choose the newly created Control and drill down to the detailed page.  Navigate to Related Objects section. Under Procedures tile, click Add button and choose Automated Procedures.  Search for the new Automated Procedure created above, click to select it and choose Select. | The automated procedure is assigned to the Control successfully. |  |

## Create Work Package

Test Administration

Customer project: Fill in the project-specific parts.

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Test Case ID | <X.XX> | Tester Name |  | Testing Date | Enter a test date. |
| Business Role(s) |  | | | | |
| Responsibility | <State the Service Provider, Customer or Joint Service Provider and Customer> | | | Duration | Enter a duration. |

Purpose

The compliance specialist creates a new Work Package to include Control and schedule regular automatic job for the privacy risk detection.

Prerequisite

Before you start creating a new Work Package, make sure the newly created Control in the above steps is created successfully and assigned the right target destination system.

Procedure

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Test Step # | Test Step Name | Instruction | Expected Result | Pass / Fail / Comment |
| 1 | Log on | Log on to SAP Privacy Governance as Specialist. |  |  |
| 2 | Create Work Package | Open Manage Work Packages tile.  At the right top of the Packages List, choose Create. | New Work Package page is displayed at the right of the screen. |  |
| 3 | Enter Information for New Work Package | In the General Information section, make the following entries:  Name: <enter as appropriate, eg. ZWP\_SO>  Start Date: <select as appropriate, eg. today>  End Date: <select as appropriate, eg. the end of current month>  Run Frequency: <select from dropdown, eg. Immediately after activation>  Checking Period: <select as appropriate, e.g. Data range of last year>  In the Description section, enter as appropriate.  Choose Create. | New Work Package is created. |  |
| 4 | Assign Control to Work Package | Choose the newly created Work Package under Open tab and drill down to the detailed page.  Navigate to tab Controls and Procedures.  Choose Add Control. Select the Control created in the previous steps and choose Select.  Choose the number 0 in Enabled Destinations column. In the pop up, choose Edit. In the next pop up dialog, maintain the appropriate value for the input parameters, eg. Sales Org. contains <1010>. Then choose Save.  After the parameters are defined, select the destination. Then choose Enable Selected Destinations button. | The Control is assigned to the Work Package and destination as well as parameters are set. |  |
| 5 | Activate the Work Package | Click Activate in the detailed page of the newly created Work Package. | The work package is active and work package run will be triggered as planned. |  |

## Display Automated Procedure Run Result

Test Administration

Customer project: Fill in the project-specific parts.

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Test Case ID | <X.XX> | Tester Name |  | Testing Date | Enter a test date. |
| Business Role(s) |  | | | | |
| Responsibility | <State the Service Provider, Customer or Joint Service Provider and Customer> | | | Duration | Enter a duration. |

Purpose

The work package created above will run as schedule after activation. The compliance specialist or the compliance manager log on to the SAP Privacy Governance system to view the result of automated procedure run and take actions for the risk.

Prerequisite

Before you start the test procedures, make sure the work package is scheduled successfully and the first run is finished.

Procedure

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Test Step # | Test Step Name | Instruction | Expected Result | Pass / Fail / Comment |
| 1 | Log On | Log on to SAP Privacy Governance as Specialist or Manager. |  |  |
| 2 | Display the Procedure Runs Results | Open Display Automated Procedure Runs.  In the Procedure Runs list, select the completed Procedure Runs scheduled by the work package which was created in the previous steps. | The detailed run results report will be displayed. |  |
| 3 | Remediate the Risks (Optional) | Please refer to [Use Cases](#unique_2)  [page ] 3 for more details. |  |  |

Typographic Conventions

|  |  |
| --- | --- |
| Type Style | Description |
| Example | Words or characters quoted from the screen. These include field names, screen titles, pushbuttons labels, menu names, menu paths, and menu options.  Textual cross-references to other documents. |
| Example | Emphasized words or expressions. |
| EXAMPLE | Technical names of system objects. These include report names, program names, transaction codes, table names, and key concepts of a programming language when they are surrounded by body text, for example, SELECT and INCLUDE. |
| Example | Output on the screen. This includes file and directory names and their paths, messages, names of variables and parameters, source text, and names of installation, upgrade and database tools. |
| Example | Exact user entry. These are words or characters that you enter in the system exactly as they appear in the documentation. |
| <Example> | Variable user entry. Angle brackets indicate that you replace these words and characters with appropriate entries to make entries in the system. |
| EXAMPLE | Keys on the keyboard, for example, F2 or ENTER. |

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