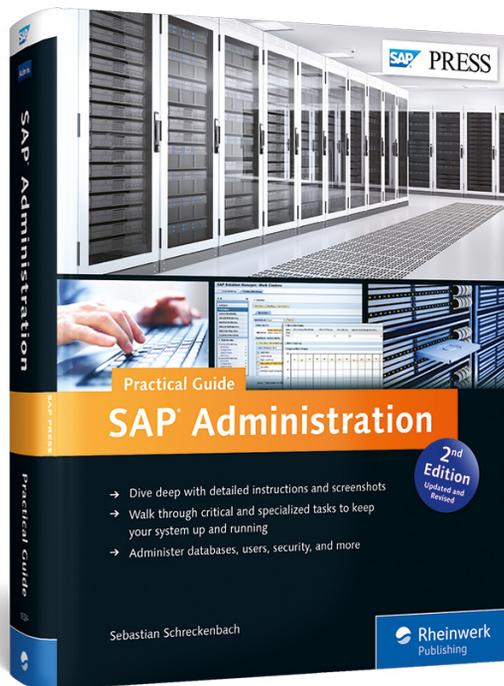


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Checklists for SAP® Administration—Practical Guide

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Checklists for SAP Administration— Practical Guide

When using checklists, you should ensure that you always record the system in which the checks are performed, when they are performed, and the person responsible. We therefore recommend that you enter the following details at the top of each checklist:

- ▶ **System:** _____
- ▶ **Date:** ___/___/___
- ▶ **Administrator:** _____

Possible changes should be recorded immediately at the bottom of the checklist. We recommend that you use a table similar to that shown here for this purpose:

Problems	Action	Solution

General information and documentation of changes should be included in every checklist you use. However, we've omitted these elements from the checklists in this appendix to save space.

Preparing the System Stop

Use the checklist shown in [Table 2.1](#) as preparation for stopping the system (see Chapter 2).

Task	Date	Initials
The following tasks must be completed in sufficient time before the SAP system is stopped:		
Coordinate the system stop with all departments affected (for example, accounting, shipping, distribution, and so on).		

Table 2.1 Checklist for Preparing for a System Stop

Task	Date	Initials
Create a system message to inform all users of the planned system stop (Transaction SM02).		
Send an additional email notification to all users affected.		
Reschedule jobs or cancel the jobs that are either due to run or be started during the planned system stop (SM37).		
The following additional tasks must also be completed shortly before the SAP system is stopped:		
Make sure that no active users are still logged on to the system (SM04 and AL08).		
Make sure that no active background jobs are running (SM37).		
Make sure that no active processes are running (SM50 and SM51).		
Check for active external interfaces (SMGW).		
How to stop the SAP system:		
Stop the application server instances.		
Stop the central instance.		
Stop the database (optional).		

Table 2.1 Checklist for Preparing for a System Stop (Cont.)

Things to Check Before Deleting a Lock

Deleting a lock is critical, and so it should not be done lightly or without due consideration. Before you delete a lock, you should clarify and answer the following questions (see [Table 2.2](#) in Chapter 2):

Task	Transaction Code for This Task
Is the relevant user logged on to a server?	Transaction SM04 (User List) or AL08 (User List—All Instances) If the user is not logged on to the system but is displayed in Transaction SM04 or AL08, delete the user session (see Chapter 13). In some cases, this step is sufficient to remove the lock.
Are any processes running under the user ID?	Transaction SM50 (Process Overview) Even if the user is not logged on to the system, processes may still be active under the user ID. Wait until there are no longer any active processes under the user ID or, in case of an emergency, cancel the process.

Table 2.2 Things to Check Before Deleting a Lock

Task	Transaction Code for This Task
Are any background jobs running under the user ID?	Transaction SM37 (Job Monitor) Check whether any background job is active for the relevant user ID. Wait until the job is finished or, in case of an emergency, cancel it.
Are update records currently being processed for this user ID?	Transaction SM13 (Update Requests) The data records will remain locked until the update has been completed in the database. Wait until all update requests have been processed. In some cases, there may be a problem, which you must eliminate first.

Table 2.2 Things to Check Before Deleting a Lock (Cont.)

Critical Tasks

The sections that follow provide checklists found throughout the book on critical tasks to perform daily, weekly, monthly, quarterly, and yearly. These checklists can be found in Chapter 5.

Daily Tasks

The following sections look at checklists for daily tasks.

Daily Tasks—Overview

An overview of critical tasks is provided in [Table 5.3](#).

Task	Transaction	Chapter	Procedure	Done/Initials
Check whether the SAP system is running.			Log on to the SAP system.	
Check whether the daily backup was executed without errors.	DB12/DB13	8	Test the database backup. Duration of backup:	
			Check the backup at the operating system level. Duration of backup:	

Table 5.3 Critical Tasks – Summary

Daily Tasks—SAP System

An overview of daily tasks in the SAP system is provided in [Table 5.4](#).

Task	Transaction	Chapter	Procedure	Done/Initials
Check whether all application servers are running.	SM51	2	Check whether all servers are running.	
Check the work processes.	SM50	2	Check for all work processes with the status RUNNING or WAITING.	
Check the CCMS Alert Monitor.	RZ20	3	Look for alerts.	
Look for any update records that have terminated. An unusually high number of unprocessed update records indicates a processing problem, for example, a bottleneck for update work processes in a background job.	SM13	2	<ul style="list-style-type: none"> ▶ Set the date to one year ago today. ▶ Enter the placeholder "*" under USER. ▶ Select the status ALL. ▶ Check for any rows with ERR. 	
Check the system log.	SM21	2	<p>Set the time and date to the time and date before the most recent log check.</p> <p>Look for:</p> <ul style="list-style-type: none"> ▶ Errors ▶ Warnings ▶ Security notifications ▶ Terminations ▶ Database problems ▶ Other unusual events 	

Table 5.4 Daily Tasks – SAP System

Task	Transaction	Chapter	Procedure	Done/Initials
Look for any terminated jobs.	SM37	16	Enter the placeholder "*" under USER NAME. Check whether all critical jobs have been executed successfully. Check the log of terminated jobs.	
Look for errors in the import of transport requests.	STMS	17	Check the import queues and import histories of the individual systems for any transports with the return code of 8 or higher.	
Look for "old" locks. An unusually high number of lock entries indicates a processing problem; for example, a background job that wasn't completed correctly.	SM12	2	Enter "*" as the user name. Look for entries for previous days.	
Look for users logged on to the system.	SM04/AL08	13	Look for unknown or unusual users and terminals. This task should be executed several times a day.	
Look for spool problems.	SP01	15	Look for spool requests that have been "in process" for more than an hour.	
Check the batch input log.	SM35		Look for: <ul style="list-style-type: none"> ▶ New jobs ▶ Jobs with errors 	
Check dumps.	ST22	2	Check whether a large number of dumps occurred. Look for any unusual dumps.	

Table 5.4 Daily Tasks – SAP System (Cont.)

Task	Transaction	Chapter	Procedure	Done/Initials
Check the statistics for system load.	ST03N	11	Check whether the response or processing times of the system are unusually high.	
Check the buffer statistics.	ST02	11	Look for swaps.	
If necessary, check the user administration log.	SCUL	13	Look for warning and error messages.	

Table 5.4 Daily Tasks – SAP System (Cont.)

Daily Tasks—Database

The checklist in [Table 5.5](#) provides an overview of the tasks relating to the database.

Task	Transaction	Chapter	Procedure	Done/Initials
Check the error log.	ST04	8	Look for error messages or problems.	
Check tables and memory usage.	DB02	8	Check how much memory is occupied in the database. Check whether inconsistencies in the database are reported.	

Table 5.5 Daily Tasks – Database

Daily Tasks—Operating System

The checklist in [Table 5.6](#) provides an overview of tasks relating to the operating system.

Task	Transaction	Chapter	Procedure	Done/Initials
Check for problems in the system log.	ST06	9	Check the operating system log.	

Table 5.6 Daily Tasks – Operating System

Daily Tasks—Other

The checklist in [Table 5.7](#) provides an overview of all other tasks not listed above.

Task	Transaction	Chapter	Procedure	Done/Initials
Check the uninterrupted power supply (UPS).	UPS program log	9	Check the following: <ul style="list-style-type: none"> ▶ Events ▶ UPS self-test ▶ Errors 	

Table 5.7 Daily Tasks – Other

Weekly Tasks

The following sections provide checklists for weekly tasks.

Weekly Tasks—SAP System

The checklist in [Table 5.8](#) provides an overview of tasks relating to the SAP system.

Task	Transaction	Chapter	Procedure	Done/Initials
Check the spool for problems and error-free processing.	SP01	16	Check and remove old spool requests.	
Perform TemSe consistency check.	SP12	16	Check and remove any inconsistencies.	
Check the Security Audit Log.	SM20	10	Analyze the Security Audit Log.	
Check the EarlyWatch Alert.	SOLUTION_MANAGER	4	Check the EarlyWatch report for instructions on system optimization.	

Table 5.8 Weekly Tasks – SAP System

Weekly Tasks—Database

The checklist in [Table 5.9](#) provides an overview of tasks relating to the database.

Task	Transaction	Chapter	Procedure	Done/Initials
Check the database for available memory.	DB02	8	Record the available memory.	
Monitor the growth of the database and estimate its future growth.	DB02	8	Record the database's memory history.	
Check database consistency (DBCC).		8	Check the output of the DBCC job for errors (Microsoft SQL Server).	
Refresh the Microsoft SQL Server statistics.		8	Check whether the statistics were refreshed successfully.	

Table 5.9 Weekly Tasks – Database

Weekly Tasks—Operating System

The checklist in [Table 5.10](#) provides an overview of tasks relating to the operating system.

Task	Transaction	Chapter	Procedure	Done/Initials
Check that the file system has sufficient memory.	RZ20	9	Check memory usage and whether a sufficient amount of memory is available in the file system.	

Table 5.10 Weekly Tasks – Operating System

Weekly Tasks—Other

The checklist in [Table 5.11](#) provides an overview of all other tasks not listed above.

Task	Transaction	Chapter	Procedure	Done/Initials
Check the system monitor for updates.	System monitor	3	Search for events that need to be added or deleted.	

Table 5.11 Weekly Tasks – Other

Task	Transaction	Chapter	Procedure	Done/Initials
Check the alert mechanism of the system monitor.	System monitor	3	Send test email and test paging.	
Clean the tape drive.	Tape drive	6	Clean the tape drive with a cleaning cartridge.	

Table 5.11 Weekly Tasks – Other (Cont.)

Monthly Tasks—SAP System, Database, Operating System, Other

The checklist in [Table 5.13](#) provides an overview of all tasks relating to the SAP system, database, and operating system, as well as other tasks.

Task	Transaction	Chapter	Procedure	Done/Initials
SAP System				
Defragment the memory.		2	Restart the system.	
Databases				
Monitor the growth of the database.	DB02	8	Record and monitor database usage.	
Operating System				
Back up your file server.		9	Perform a full backup of the server.	
Check file system usage.		9	Record file system usage; monitor usage. <ul style="list-style-type: none"> ▶ Do you need the additional memory? ▶ Do you need to run cleanup programs? 	
Other				
Check consumable items.		6	Do you have a replacement cleaning cartridge for all tape drives/drive cards? <ul style="list-style-type: none"> ▶ DAT (digital audio tape) ▶ DLT (digital linear tape) 	

Table 5.13 Monthly Tasks – SAP System, Database, Operating System, Other

Task	Transaction	Chapter	Procedure	Done/Initials
			Do you have replacement media for swappable data carriers? <ul style="list-style-type: none"> ▶ ZIP ▶ MO (magneto-optical) ▶ DVD/CD blanks Do you have preprinted forms? <ul style="list-style-type: none"> ▶ Shipping documents ▶ Invoices ▶ Checks Do you have supplies of special materials, such as toner cartridges? Do you have office supplies in stock? <ul style="list-style-type: none"> ▶ Toner for laser printers ▶ Paper (for printers) ▶ Batteries ▶ Pens, etc. 	

Table 5.13 Monthly Tasks – SAP System, Database, Operating System, Other (Cont.)

Quarterly Tasks

The following sections provide checklists for quarterly tasks.

Quarterly Tasks – SAP System

The checklist in [Table 5.14](#) provides an overview of tasks relating to the SAP system.

Task	Transaction	Chapter	Procedure	Done/Initials
Archive quarterly backup.			Send the tapes with your quarterly backup to external long-term storage locations.	

Table 5.14 Quarterly Tasks – SAP System

Task	Transaction	Chapter	Procedure	Done/Initials
Perform security check.	SU01/SUIM	13	Check the user IDs and search for users that are no longer current and which need to be locked or deleted.	
	SM30	13	Check the list of "prohibited" passwords (table USR40).	
	RZ10	13	Check the profile parameters for password standards.	
Check scheduled jobs.	SM37	15	Check all scheduled jobs and determine whether they are still relevant.	

Table 5.14 Quarterly Tasks – SAP System (Cont.)

Quarterly Tasks—Database

The checklist in [Table 5.15](#) provides an overview of tasks relating to the database.

Task	Transaction	Chapter	Procedure	Done/Initials
Archive quarterly backup.		7	Send the tapes with your quarterly backup to external long-term storage locations.	
Check scheduled jobs.	DB13	8	Check all jobs scheduled with the DBA Planning Calendar, and determine whether they are still relevant.	
Test the database restore process.		7	Restore the database on a test server. Test the restored database.	
Clean up the BR*TOOLS logs (Oracle)	Clean up BR*TOOLS.		Check/maintain <i>init<SID>.dba</i> .	

Table 5.15 Quarterly Tasks – Database

Quarterly Tasks—Operating System

The checklist in [Table 5.16](#) provides an overview of tasks relating to the operating system.

Task	Transaction	Chapter	Procedure	Done/Initials
Archive quarterly backup.		7	Send the tapes with your quarterly backup to external long-term storage locations.	
Archive old transport files.		6	Archive old transport files and logs.	

Table 5.16 Quarterly Tasks – Operating System

Quarterly Tasks—Other

The checklist in [Table 5.17](#) provides an overview of all other tasks not listed above.

Task	Transaction	Procedure	Done/Initials
Check service contracts.		<ul style="list-style-type: none"> ▶ Check whether any contracts have expired. ▶ Check whether any changes in use have occurred. 	

Table 5.17 Quarterly Tasks – Other

Yearly Tasks

The following sections provide checklists for annual tasks.

Yearly Tasks—SAP System

The checklist in [Table 5.18](#) provides an overview of tasks relating to the SAP system.

Task	Transaction	Chapter	Procedure	Done/Initials
Archive end-of-year backup.		7	Send the tapes with your end-of-year backup to external long-term storage locations.	

Table 5.18 Yearly Tasks – SAP System

Task	Transaction	Chapter	Procedure	Done/Initials
Check user security.		13	Check the user security authorization forms using the assigned profiles. You can also use report RSUSR100 for this purpose.	
Check profiles and authorizations.	SU02	14	Execute with report RSUSR101.	
	SU03	14	Executed with report RSUSR102.	
	PFCG	14	Check authorization roles.	
Check the separation of duties (SOD).	PFCG	14	Check the authorization concept for critical overlapping.	
Check user IDs SAP* and DDIC.	SU01/SUIM	13, 14	Check whether the users are locks, or change the password if necessary.	
Start SAP programs to track user activity.	SUIM, SA38 (or SE38)	14	Start SAP programs to track user activities: RSUSR003, RSUSR006, RSUSR007, RSUSR008_009_NEW, RSUSR100, RSUSR101, and RSUSR102.	
Check whether the system status has been set to NOT MODIFIABLE.	SE03	10	Check whether the system status has been set to NOT MODIFIABLE.	
	SCC4	10	Check whether the relevant clients have a modifiable status.	
Check locked transactions.	SM01	10	Check transactions against the list of locked transactions.	

Table 5.18 Yearly Tasks – SAP System (Cont.)

Yearly Tasks—Database

The checklist in [Table 5.19](#) provides an overview of tasks relating to the database.

Task	Transaction	Chapter	Procedure	Done/Initials
Archive end-of-year backup.		7	Send the tapes with your end-of-year backup to external long-term storage locations.	

Table 5.19 Yearly Tasks – Database

Yearly Tasks—Operating System

The checklist in [Table 5.20](#) provides an overview of tasks relating to the operating system.

Task	Transaction	Chapter	Procedure	Done/Initials
Archive end-of-year backup.		7	Send the tapes with your end-of-year backup to external long-term storage locations.	

Table 5.20 Yearly Tasks – Operating System

Yearly Tasks—Other

The checklist in [Table 5.21](#) provides an overview of all other tasks not listed above.

Task	Transaction	Chapter	Procedure	Done/Initials
Perform a disaster recovery.		7	<ul style="list-style-type: none"> ▶ Restore the entire system on a disaster recovery test system. ▶ Test whether normal business can be resumed. 	

Table 5.21 Yearly Tasks – Other

Yearly Tasks—Overview of Transactions

The checklist in [Table 5.22](#) provides an overview of important transactions.

Transaction	Transaction code	Action	Explanation
User administration.	SU01	All users who leave your enterprise should be refused access to the SAP system as soon as they leave. By locking or deleting these user IDs, you ensure that the SAP system can only be accessed by users with the required authorization. Check that this task has been completed on a regular basis.	User maintenance also involves blocking user access to the SAP system for users who are no longer employees of your enterprise. This also prevents other users from logging on with this ID.

Table 5.22 Yearly Tasks – Transactions

Transaction	Transaction code	Action	Explanation
Change the object catalog entry of objects.	SE03/SCC4	Test and apply changes correctly.	Users should be unable to make changes to objects in the QA or production system. This prevents changes to objects and the configuration in the production system before testing is performed. You can protect the integrity of the pipeline by setting the status of the production system to NOT MODIFIABLE.
Lock transaction codes.	SM01	Lock transactions.	This prevents users from causing damage to the system by running transactions.

Table 5.22 Yearly Tasks – Transactions (Cont.)

Backup Strategy

You need to develop an appropriate system for backing up valuable system data. You should define a suitable strategy as soon as possible in order to avoid a possible loss of data. You should have worked through a checklist covering all backup-relevant topics before your system goes live (see [Table 6.2](#) in Chapter 6).

Question, Task, or Decision	Done
Decide how frequently you want to perform a full database backup.	
Decide whether partial or differential backups are required.	
Decide whether to use automatic backups. If you want to use automatic backups, decide where to do this (in the DBA Planning Calendar or elsewhere).	
Decide how frequently the transaction logs are to be backed up.	

Table 6.2 Backup Strategy Checklist

Question, Task, or Decision	Done
Define which backup media (hard disks, tapes, etc.) you want to use.	
Ensure that you can store a day's volume of logs on the server.	
Ensure that you have sufficient memory in the directory for transaction logs.	
Set up the authorizations required for the SAP system, the operating system, and the database.	
Consider whether you want to use the DBA Planning Calendar to schedule the backup of transaction logs.	
Work out guidelines for labeling data carriers to ensure a smooth workflow.	
Decide on the period for which your backups are to be stored.	
Acquire the required hardware (hard disks) or define the size of the tape pool required (tapes required per day × retention period + 20%).	
Take account of future growth and special requirements.	
Initialize the tapes.	
Define a storage strategy for the tapes.	
Document the backup procedures in an instruction manual.	
Train users in the backup procedures.	
Implement a backup strategy.	
Perform a backup and restore for testing purposes.	
Define a contingency plan for emergencies, and decide which users are to be contacted in the event of an emergency.	

Table 6.2 Backup Strategy Checklist (Cont.)