



ARIS

ARIS ACCELERATORS FOR GDPR USE CASE

VERSION 10.0 - SERVICE RELEASE 9

July 2019

This document applies to ARIS Version 10.0 and to all subsequent releases.

Specifications contained herein are subject to change and these changes will be reported in subsequent release notes or new editions.

Copyright © 2010 - 2019 Software AG, Darmstadt, Germany and/or Software AG USA Inc., Reston, VA, USA, and/or its subsidiaries and/or its affiliates and/or their licensors.

The name Software AG and all Software AG product names are either trademarks or registered trademarks of Software AG and/or Software AG USA Inc. and/or its subsidiaries and/or its affiliates and/or their licensors. Other company and product names mentioned herein may be trademarks of their respective owners.

Detailed information on trademarks and patents owned by Software AG and/or its subsidiaries is located at <http://softwareag.com/licenses>.

Use of this software is subject to adherence to Software AG's licensing conditions and terms. These terms are part of the product documentation, located at <http://softwareag.com/licenses> and/or in the root installation directory of the licensed product(s).

This software may include portions of third-party products. For third-party copyright notices, license terms, additional rights or restrictions, please refer to "License Texts, Copyright Notices and Disclaimers of Third Party Products". For certain specific third-party license restrictions, please refer to section E of the Legal Notices available under "License Terms and Conditions for Use of Software AG Products / Copyright and Trademark Notices of Software AG Products". These documents are part of the product documentation, located at <http://softwareag.com/licenses> and/or in the root installation directory of the licensed product(s).

Contents

1	Text conventions.....	1
2	Introduction	2
3	Relevant applications and components	3
4	Components of ARIS Accelerators for GDPR	4
5	Relevant licenses.....	5
6	Customizing	5
7	Create inventories and describe assets	6
7.1	Relevant GDPR attributes.....	7
8	Identify processing activities and related assets.....	9
8.1	Specify processing activities in ARIS Architect.....	10
8.2	Specify processing activities in ARIS Connect.....	11
8.3	Assign existing processing activities to Record of processing activities models	12
8.4	Create new processing activities	13
8.5	Assign relevant elements to processing activities.....	14
9	Describe processing activities for the record of processing activities.....	16
9.1	Create a processing activity description survey	17
9.2	Execute a processing activity description survey	19
10	Qualify application systems.....	20
10.1	Create an application system qualification survey	20
10.2	Execute an application system qualification survey	22
11	Qualify processing activities for risk assessment (Pre-DPIA Analysis)	23
11.1	Create a processing activity qualification survey.....	24
11.2	Execute a processing activity qualification survey	26
12	Assess the risk of processing activities	27
12.1	Create a processing activity risk assessment	28
12.2	Execution of a processing activity risk assessment.....	30
13	Assess the data protection impact of processing activities (DPIA)	31
13.1	Create a data protection impact assessment survey.....	32
13.2	Execute a data protection impact assessment survey	34
14	Generate required internal and external reports.....	35
14.1	Output record of processing activities	35
14.2	Output GDPR data protection impact assessment	36
14.3	Output GDPR management report	36
14.4	Output extended GDPR management report	37
14.5	Output survey intelligence report	37
14.6	Output data allocation matrix	38
15	Monitor related indicators in dashboards.....	39
15.1	GDPR - Overview	40
15.2	GDPR – Workflow	43
15.3	DPIA - Answers	45
15.4	DPIA - Issues	47

16 Glossary 49

17 Legal information 52

 17.1 Documentation scope 52

 17.2 Data protection 53

 17.3 Disclaimer 53

1 Text conventions

Menu items, file names, etc. are indicated in texts as follows:

- Menu items, key combinations, dialogs, file names, entries, etc. are displayed in **bold**.
- User-defined entries are shown **<in bold and in angle brackets>**.
- Single-line example texts (for example, a long directory path that covers several lines due to a lack of space) are separated by ↵ at the end of the line.
- File extracts are shown in this font format:
This paragraph contains a file extract.
- Warnings have a colored background:

Warning

This paragraph contains a warning.

2 Introduction

ARIS Accelerators for GDPR is a set of ARIS product enhancements, configurations, databases, reports, dashboards, and best practices to accelerate the realization of compliance regarding General Data Protection Regulation (GDPR) (page 49). The following use cases provide detailed information on how to use the different types of accelerators in the different phases of the GDPR project.

Prerequisite

All relevant components described in the **ARIS Accelerators for GDPR Installation Guide** must be installed.

PHASE 1 - PREPARE YOUR ORGANIZATION

- Create inventories and describe assets (page 6)
- Identify processing activities and related assets (page 9)
- Describe processing activities for the record of processing activities (page 16)
- Generate related reports (page 35)
 - Output data allocation matrix
 - Output record of processing activities

PHASE 2 - EVALUATE PROCESSING ACTIVITIES

- Qualify application systems (page 20)
- Qualify processing activities for risk assessment (Pre-DPIA Analysis) (page 23)
- Assess the risk of processing activities (page 27)
- Assess the data protection impact of processing activities (DPIA) (page 31)
- Generate related reports (page 35)
 - Output GDPR data protection impact assessment
 - Output survey intelligence report
- Monitor related indicators (page 39)
 - GDPR - Workflow dashboard
 - DPIA - Answers dashboard

PHASE 3 - IMPROVE YOUR ORGANIZATION

- Create and monitor improvement issues for processing activities
- Generate related reports (page 35)
 - Output GDPR management report
 - Output extended GDPR management report
- Monitor related indicators (page 39)
 - GDPR Overview dashboard
 - DPIA - Issues dashboard

3 Relevant applications and components

The following ARIS software is required to use ARIS Accelerators for GDPR:

- **ARIS Architect**

Using the ARIS GDPR method enhancement, you identify data, systems, and processes relevant to GDPR, then you describe them according to the GDPR requirements.

Furthermore, you use ARIS Architect to configure ARIS Risk & Compliance Manager for the relevant surveys and risk assessments and you run analysis reports.

- **ARIS Connect**

Using ARIS Connect, business owners capture processing activities, including related data, systems, and legal entities. Compliance managers prepare surveys for the documentation or qualification of processing activities and risk assessments. Additionally, they monitor the entire GDPR implementation process and the issues for improvements by using ARIS Aware dashboards.

- **ARIS Risk & Compliance Manager**

In ARIS Risk & Compliance Manager you manage surveys, risk assessments, and issues requiring improvements. You also capture and monitor incidents. These Governance Risk and Compliance workflows are audit-secure and include segregation of duties. ARIS Risk & Compliance Manager is integrated in ARIS Architect and ARIS Connect.

For detailed information, refer to the corresponding online help and the manuals.

4 Components of ARIS Accelerators for GDPR

ARIS Accelerators for GDPR contains the following components:

- **ARIS method extension** filter
- **ARIS Report templates**
 - Output record of processing activities (page 35)
 - Output GDPR data protection impact assessment (page 36)
 - Output GDPR management report (page 36)
 - Output extended GDPR management report (page 37)
 - Output survey intelligence report (page 37)
 - Output data allocation matrix (page 38)
- **ARIS databases**
 - GDPR regulation model
 - GDPR questionnaire templates for
 - documentation of processing activities
 - qualification of application systems
 - qualification of processing activities
 - the data protection impact assessment
- **ARIS Connect configuration**
 - **Record of processing activity** fact sheet
 - **Processing activity description diagram** fact sheet
 - Enhancements on several other fact sheets like risk, questionnaire template, survey task, etc.
- **ARIS Aware dashboards**
 - GDPR - Overview (page 40)
 - GDPR - Workflow (page 43)
 - DPIA - Answers (page 45)
 - DPIA - Issues (page 47)

5 Relevant licenses

ARIS Accelerators for GDPR is made available by contractual licensing. For detailed information on license privileges and function privileges needed in the different software applications, for example, ARIS Connect, refer to the corresponding online help.

6 Customizing

The components of ARIS Accelerators for GDPR are preconfigured for generic use. You can adapt and enhance them to an individual GDPR solution that meets your company-specific requirements. You can customize all components in accordance with the following technical restrictions:

- Do not change the API names of ARIS Method enhancements.
- Keep to the conventions. The corresponding references can be found in the descriptions. Especially ARIS Risk & Compliance Manager requires extensive knowledge.
- Back up your customized data carefully to make sure it is not overwritten by an update.

If you have any questions about specific installations that you cannot perform yourself, please contact your local Software AG sales organization (https://empower.softwareag.com/public_directory.asp).

7 Create inventories and describe assets

The documentation of processing activities (page 50) and their relationships to processes, data, systems, as well as controller (page 49) and processor (page 51) entities is a key element of any GDPR project.

Prerequisites

- You have the required license privileges and function privileges to use ARIS Architect or ARIS Connect. For detailed information, refer to the ARIS Administration online help and the ARIS Architect online help.
- ARIS GDPR method enhancement filter is imported. For detailed information, refer to the **ARIS Accelerators for GDPR Installation Guide**.

Procedure

1. Prepare the respective data objects, systems, processes, and organizational units. Use objects of the types **Organizational unit**, **Cluster/data model**, **Application system type**, and **Function** to model the elements in ARIS Architect.
2. Create the necessary inventory models for the processing activities by using the **Record of processing activities** model type, for example, for each business segment or country.
3. Specify the relevant GDPR attributes (page 7) for the objects according to your specific requirements. To do so, use the following applications:
 - **ARIS Architect**
Use ARIS Architect if the users are familiar with ARIS Architect. To use ARIS Architect for modeling, you need extensive knowledge of modeling conventions and ARIS Method, as well as the ARIS GDPR method enhancements. Processing activity inventory models (**Record of processing activities** model type) can be created only with ARIS Architect. For more information on modeling and managing ARIS objects and attributes, refer to ARIS online help, ARIS Method Help, and the **GDPR Conventions for ARIS Accelerators** manual.
 - **ARIS Connect**
Use ARIS Connect if the users are unfamiliar with ARIS Architect and prefer simple tables and forms for modeling and information gathering. For detailed information on editing objects in ARIS Connect, refer to ARIS Connect online help (**Which editing options are available?**).

The relevant models, objects, and attributes for GDPR are available.

7.1 Relevant GDPR attributes

The **GDPR method extension filter** enhances the standard ARIS Method with a generic set of new models, objects, and attributes. You can use the following GDPR object attributes in addition to the standard ARIS object attributes. Only rarely are all object attributes used at the same time. Depending on your GDPR approach, method, and configuration, you use an attribute that is available at different objects, for example, Data privacy score, at only one of these objects.

FUNCTION

Attribute	Use
GDPR processing activity	Specifies whether the function is a (GDPR) processing activity.
Description	Specifies the purpose of the processing activity.
Data privacy score	Specifies a score on a predefined scale in order to qualify the data privacy of the element. Example: The score derived from the Processing Activity Qualification questionnaire.
Data sensitivity	Indicates whether the data used by this object requires special handling. Options (default values): <ul style="list-style-type: none"> ▪ Public ▪ Sensitive ▪ Very sensitive ▪ Highly sensitive ▪ Extremely sensitive

DATA/CLUSTER

Attribute	Use
Restriction level	Specifies the level of legal usage of the data. Options (default values): <ul style="list-style-type: none"> ▪ Unrestricted data ▪ Personal data ▪ Sensitive personal data ▪ Confidential data
Data privacy score	Specifies a score on a predefined scale in order to qualify the data privacy of the element. Example: A score derived from a data qualification questionnaire or from any external enterprise architecture system.

APPLICATION SYSTEM TYPE

Attribute	Use
Data sensitivity	Indicates whether the data used by this object requires special handling. Options (default values): <ul style="list-style-type: none"> ▪ Public ▪ Sensitive ▪ Very sensitive ▪ Highly sensitive ▪ Extremely sensitive
GDPR qualification score	Indicates a score on a predefined scale in order to qualify the GDPR-relevant assessment of the object. Example: A score derived from any external enterprise architecture system.
GDPR risk relevance score	Indicates a score on a predefined scale in order to qualify the GDPR risk relevance of the object. Example: A score derived from any external enterprise architecture system.
Data privacy score	Specifies a score on a predefined scale in order to qualify the data privacy of the element. Example: The score derived from the Application System Qualification questionnaire.

ORGANIZATIONAL UNIT

Attribute	Use
Data protection officer	Displays the name and address of the data protection officer. Must be included in the record of processing activities.
Data protection representative	Displays the name and address of the data protection representative. Must be included in the record of processing activities.

Connection	Use
is technically responsible for	Organizational unit acting as controller (page 49). (Connection between organizational unit and function.)
carries out	Organizational unit acting as processor (page 51). (Connection between organizational unit and function.)

For detailed information on GDPR modeling conventions, refer to the **GDPR Conventions for ARIS Accelerators** guide.

8 Identify processing activities and related assets

GDPR processing activities can be identified and assigned to their related assets based on the inventories of processes, data, systems, controller entities, and processor entities.

- Use **Processing activity description diagram** models and objects of the types **Organizational unit**, **Cluster/data model**, **Application system type**, and **Function** to model processing activities and associated elements.
- Use the **GDPR processing activity** attribute (page 7) of a function to specify the function as a GDPR processing activity.
- Use the **Record of processing activities** fact sheet in ARIS Connect to specify processing activities and the related data, systems, controller entities, and processor entities. The respective **Processing activity description diagram** is created automatically.





8.1 Specify processing activities in ARIS Architect

Use ARIS Architect to specify existing functions as processing activities if you are familiar with the modeling of objects and models in ARIS Architect. Use ARIS Connect (page 11) if you are unfamiliar with ARIS Architect.

Prerequisites

- You have the required license privileges and function privileges to use ARIS Architect or ARIS Connect. For detailed information, refer to the ARIS Administration online help and the ARIS Architect online help.
- ARIS GDPR method enhancement filter is imported. For detailed information, refer to the **ARIS Accelerators for GDPR Installation Guide**.
- The required processing activities are available in ARIS Architect.

Procedure

1. Start ARIS Architect.
2. Click **ARIS >  Explorer**. The **Explorer** tab opens.
3. Click  **Navigation** in the bar panel if the **Navigation** bar is not activated yet.
4. Open the relevant model.
5. Click  **Properties** in the bar panel if the **Properties** bar is not activated yet.
6. Select the function you want to specify as a processing activity.
7. Click **More attributes** in the **Properties** bar. The **Insert attributes** dialog opens.
8. Select the **GDPR processing activity** attribute in the attribute group **Governance, Risk & Compliance > Compliance Management > Data protection regulation**.
9. Click **OK**. From now on, the **GDPR processing activity** attribute is displayed in the attribute list of functions in the **Properties** bar.
10. Enable () the **GDPR processing activity** attribute.
11. Click **Close**.

Your settings are saved. The activity is specified as processing activity.

Now you can use the **Properties** bar to easily activate the **GDPR processing activity** attribute for other functions.





8.2 Specify processing activities in ARIS Connect

Use ARIS Connect to specify existing functions as processing activities (page 50) if you are unfamiliar with ARIS Architect. For detailed information on editing in ARIS Connect, refer to the online help of ARIS Connect (**Which editing options are available?**).

Prerequisites

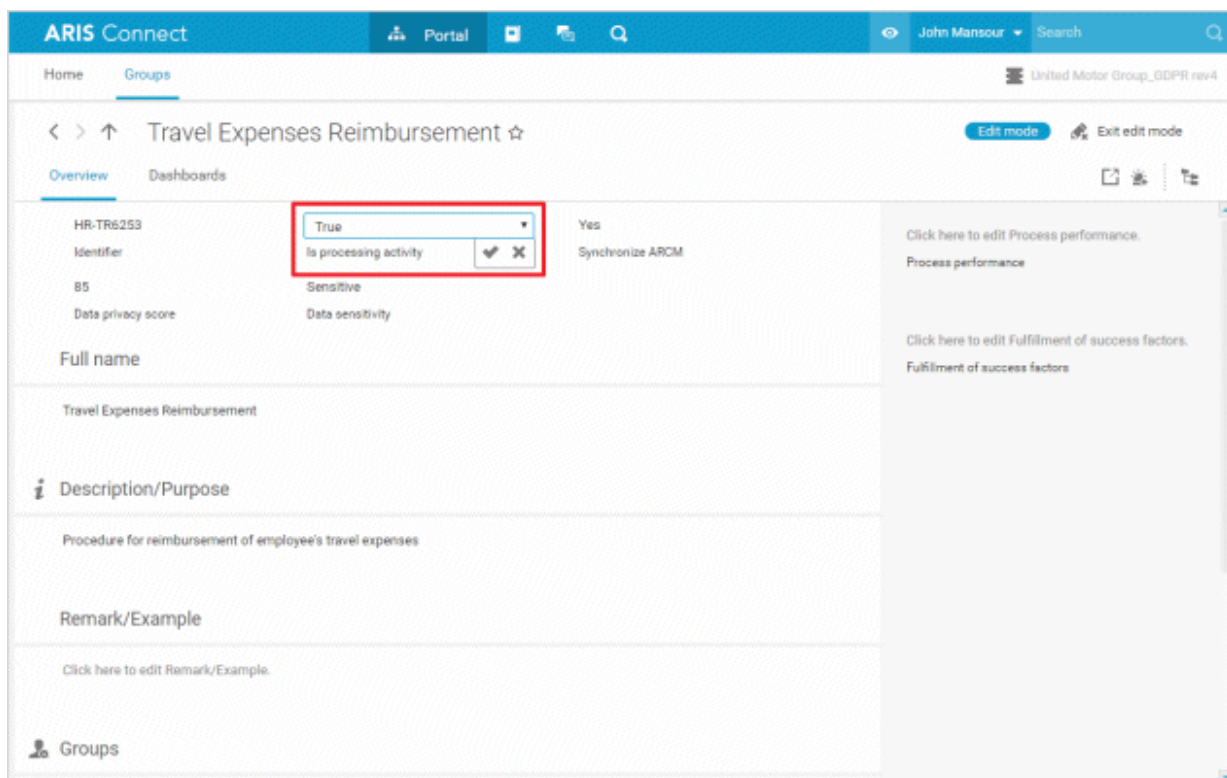
- You have the **ARIS Connect Viewer > Contribution** license privilege.
- The relevant objects are available in the ARIS database.
- The ARIS GDPR method enhancement filter is imported. For detailed information, refer to the **ARIS Accelerators for GDPR Installation Guide**.

Procedure

1. Start ARIS Connect.
2. Search for the **Activity** object (function) that you want to specify as a processing activity. To do so, enter the object name to the  **Search** field.
3. Click the relevant object in the list of results. The fact sheet is displayed.
4. Click  **Edit** >  **Contribute** if the edit mode is not activated yet.
5. Click the edit box of the **Is processing activity** attribute.
6. Select **True** and click  to transfer your input.

The activity is specified as processing activity.

Example



The screenshot displays the ARIS Connect web application interface. At the top, the header shows 'ARIS Connect' and user information 'John Mansour'. The main content area is titled 'Travel Expenses Reimbursement' and is in 'Edit mode'. A red rectangle highlights the 'Is processing activity' attribute, which has a dropdown menu open showing 'True'. Other attributes visible include 'Identifier' (HR-TR6253), 'Sensitive' (85), 'Data privacy score', 'Full name' (Travel Expenses Reimbursement), 'Description/Purpose' (Procedure for reimbursement of employee's travel expenses), and 'Remark/Example'. The right sidebar contains links to 'Process performance' and 'Fulfillment of success factors'.






8.3 Assign existing processing activities to Record of processing activities models

Use ARIS Connect to assign existing processing activities to **Record of processing activities** models.

Prerequisites

- You have the **ARIS Connect Viewer > Contribution** license privilege.
- The relevant objects are available in the ARIS database.
- ARIS GDPR method enhancement filter is imported. For detailed information, refer to the **ARIS Accelerators for GDPR Installation Guide**.
- At least one **Record of processing activities** model is available in the ARIS database.

Procedure

1. Start ARIS Connect.
2. Enter the name of the relevant **Record of processing activity** model to the  **Search** field.
3. Click the relevant model in the list of results. The fact sheet is displayed.
4. Click  **Edit** >  **Contribute** if the edit mode is not activated yet.
5. Click  **Add** above the **Processing activities** table.
6. Enter the name of the processing activity, select it from the search result, and click  to transfer your input.

The processing activity is assigned to the **Record of processing activities** model.







8.4 Create new processing activities

Use ARIS Connect to create new processing activities.

Prerequisites

- You have the **ARIS Connect Viewer > Contribution** license privilege.
- The relevant objects are available in the ARIS database.
- ARIS GDPR method enhancement filter is imported. For detailed information, refer to the **ARIS Accelerators for GDPR Installation Guide**.
- At least one **Record of processing activities** model is available in the ARIS database.

Procedure

1. Start ARIS Connect.
2. Enter the name of the relevant **Record of processing activity** model to the  **Search** field.
3. Click the relevant model in the list of results. The fact sheet is displayed.
4. Click  **Edit** >  **Contribute** if the edit mode is not activated yet.
5. Click  **Add** above the **Processing activities** table.
6. Enter a name for the new processing activity, press **Enter**, and click  to transfer your input. The processing activity is added to the **Processing activities** table.
7. Click the edit box of the **Is processing activity** attribute of the newly created processing activity.
8. Select **True** and click  to transfer your input.
9. Click the edit box of the **Description** attribute of the newly created processing activity and enter a purpose. The other attributes are specified later (page 14).

The processing activity is created and the relevant attributes are specified.





8.5 Assign relevant elements to processing activities

Use ARIS Connect to assign relevant assets to processing activities, for example, data and application systems.

Prerequisites

- You have the **ARIS Connect Viewer > Contribution** license privilege.
- The relevant objects are available in the ARIS database.
- ARIS GDPR method enhancement filter is imported. For detailed information, refer to the **ARIS Accelerators for GDPR Installation Guide**.
- At least one **Record of processing activities** model is available in the ARIS database.

Procedure

1. Start ARIS Connect.
2. Enter the name of the relevant **Record of processing activity** model to the  **Search** field.
3. Click the relevant model in the list of results. The fact sheet is displayed.
4. Click  **Edit** >  **Contribute** if the edit mode is not activated yet.
5. Assign the relevant processing activity (page 12) if it is not assigned yet.
6. In the **Processing activities** table, click the **Processing activity details** attribute of the relevant processing activity. The fact sheet is displayed.
7. Select the assets for the following attributes. To do so, click the edit box of the respective attribute, select the relevant name, click  to transfer your input, then click **OK** to confirm your input.
 - a. **Reads**: Data that is read by the processing activity, for example, the customer address.
 - b. **Outputs**: Data that is created by the processing activity, for example, the sales quotation.
 - c. **Controllers**: (Legal) entity that is controller (page 49) of the processing activity, for example, the sales department.
 - d. **Processors**: (Legal) entity that is processor (page 51) of the processing activity, for example, the IT department.
 - e. **IT systems**: Application system on which the processing activity is executed, for example, SAP HR.

The assets are assigned to the processing activity.

For detailed information on contribution, refer to the ARIS Connect online help.

Example

The screenshot displays the ARIS Connect web application interface. The top navigation bar includes the ARIS Connect logo, a 'Portal' button, and a search bar with the user 'John Mansour' and a search icon. Below the navigation bar, the 'Groups' tab is selected, showing the 'United Motor Group' logo. The main content area is titled 'Record of processing activities' with a star icon and an 'Edit' button. The 'Overview' tab is active, showing a description of the model and a table of processing activities. The description states: 'This model shows the record of processing activities according GDPR requirements.' The table, titled 'Processing activities', has columns for Name, Description, Is processing activity, Reads, Outputs, Controllers, Processors, IT systems, and Processing activity details. The table lists three activities: Goal setting, Recruitment, and Promotion.

ARIS Connect

Portal

John Mansour

Search

Home Groups

United Motor Group

Record of processing activities ★

Edit

Overview Diagram Tasks Documents

Feb 1, 2018
Last change

Description

This model shows the record of processing activities according GDPR requirements.

Processing activities

Name	Description	Is processing activity	Reads	Outputs	Controllers	Processors	IT systems	Processing activity details
Goal setting		True	Employee data Sales order		UMG Inc.	IT and Organization Ltd.	MMRT	Goal setting
Recruitment		True	Person data	Employee data	UMG Inc.		MMRT	Recruitment
Promotion		True	Employee data		UMG Inc.	IT and Organization Ltd.		Promotion

9 Describe processing activities for the record of processing activities

The GDPR (page 49) requires a record of processing activities that includes all processing activities (page 50) of a legal entity as well as a minimum set of details. The requirements for the record of processing activities can vary from country to country.

For this purpose ARIS Accelerators for GDPR offers the **Record of processing activities** (page 35) report. This report uses information from ARIS object attributes. Additionally, the Survey Management of ARIS Risk & Compliance Manager is used to gather report-specific information for each processing activity. ARIS Risk & Compliance Manager ensures the segregation of duties principle and offers an audit trail of any changes. For detailed information on this report, refer to **Generate required internal and external reports** (page 35).

Use the **Processing Activity Documentation** questionnaire to describe identified processing activities. This questionnaire template is a generic questionnaire template that can be customized.

The regulatory description is created with Survey Management of ARIS Risk & Compliance Manager. For each processing activity, you must perform two steps:

- Create a processing activity description survey (page 17)
- Execute a processing activity description survey (page 19)




9.1 Create a processing activity description survey



Use ARIS Connect to prepare a processing activity description survey.

Prerequisites

- You have the **ARIS Connect Viewer > Contribution** license privilege.
- The relevant objects are available in a **Record of processing activities** model and assigned to the respective legal entity.
- The ARIS GDPR method enhancement filter is imported. For detailed information, refer to the **ARIS Accelerators for GDPR Installation Guide**.
- The questionnaire for describing processing activities (**GDPR Processing Activity Documentation**) is installed and adapted to your specific requirements. The value of the **ARCM Synchronization** attribute at the **Questionnaire template** object must be **true** (default value). For detailed information, refer to the **ARIS Accelerators for GDPR Installation Guide**.

Procedure

1. Start ARIS Connect.
2. Enter the name of the relevant **Record of processing activity** model to the  **Search** field.
3. Click the model containing the relevant processing activity in the list of results. The fact sheet is displayed.
4. Click  **Edit** >  **Contribute** if the edit mode is not activated yet.
5. In the **Processing activities** table, click the **Processing activity details** attribute of the relevant processing activity. The fact sheet is displayed.

The link is only available if the elements are already assigned (page 14) to the processing activity.
6. Click the edit box of the **Questionnaires** attribute to add a new element.
7. Enter a name according to the respective processing activity and the description survey, for example, **Salary payment GDPR description**.
8. Click  to transfer your input, then click **OK** to confirm your input. The **Questionnaires** attribute is created.
9. Click the **Questionnaires** attribute. The fact sheet is displayed.
10. Specify the relevant survey details. To do so, click the edit box of the respective attribute, enter the relevant information, click  to transfer your input, and click **OK** to confirm your input (only for some attributes).
 - a. **Responsible**: Any user responsible for this survey.
 - b. **Description**: Short description of the survey.
 - c. **Questionnaire templates***): The questionnaire template to be used in the survey. Use the **GDPR Processing Activity Documentation (Controller)** or the **GDPR Processing Activity Documentation (Processor)** questionnaire template.

Important: If a different template is used for the **Record of processing activities** report, you must set the attribute value **GDPR-PAD-C** for the **Identifier of the questionnaire template** object for controller entities and the attribute value **GDPR-PAD-P** for processor entities.

- d. **Assigned roles***): The interviewee groups and the survey reviewer group in charge. You can assign multiple interviewee groups, but only one survey reviewer group. Each interviewee group receives one questionnaire.
- e. **Start date***): The date the first survey and the assigned questionnaires are to be generated.
- f. **End date**: The date when the survey task must be completed and no further survey is created.
- g. **Frequency***): The interval at which the survey and the assigned questionnaires are generated.
- h. **Time limit for execution in days***): The number of days available to the interviewee for the completion of the questionnaire. It defines the completion date by which the survey must be completed.

*) = Mandatory for technical reasons

The processing activity description survey task for ARIS Risk & Compliance Manager is created. For detailed information, refer to the **ARCM - Survey Management Conventions** manual and the ARIS Risk & Compliance Manager online help.

Example

The screenshot displays the ARIS Connect interface for configuring a survey task. The main title is 'GDPR documentation Travel Expenses Reimbursement'. The interface includes a navigation bar with 'Home' and 'Groups' tabs. The 'Overview' tab is active, showing various configuration fields and sections.

Configuration Fields:

- Last change:** Jul 16, 2018
- Responsible:** Click here to edit Responsible
- Start date *:** Jul 1, 2017
- End date:** Click here to edit End date
- Frequency *:** Annually
- Time limit for execution in days *:** 360

Questionnaire templates: A red box highlights this section, which contains two options: 'Questionnaire templates' and 'GDPR processing activity documentation (Controller)'. The latter is selected.

Groups: This section lists two groups: 'Interviewee group 3.01' and 'Survey reviewer group 3.01'.

Activities concerned: A table lists activities related to the survey task.

Name	Description/Purpose	is processing activity
Travel Expenses Reimbursement	Procedure for reimbursement of employee's travel expenses	True

9.2 Execute a processing activity description survey

Once the preparation of a processing activity description survey task is complete, the data can be synchronized to ARIS Risk & Compliance Manager. For detailed information on synchronization, contact your ARIS Risk & Compliance Manager administrator.

As soon as the data is available in ARIS Risk & Compliance Manager and the start date is reached, the survey with its questionnaires is automatically generated in ARIS Risk & Compliance Manager. The interviewees are informed that new questionnaires are available for editing in ARIS Risk & Compliance Manager. For detailed information on survey management and questionnaires, refer to the ARIS Risk & Compliance Manager online help.

10 Qualify application systems

To best meet GDPR requirements, qualification of application systems for data protection can be a viable option, especially if you have no access to a detailed inventory of corporate data objects. The requirements for this qualification can vary from country to country.

ARIS Accelerators for GDPR uses the Survey Management of ARIS Risk & Compliance Manager to qualify application systems. ARIS Risk & Compliance Manager ensures the segregation of duties principle and offers an audit trail of any changes. ARIS Accelerators for GDPR contains a scoring questionnaire (**Application System Qualification**) for qualifying application systems. Each question of this qualification questionnaire adds a score to the total score of the relevant application system. This score can be interpreted as a risk score. This template is meant to be an initial questionnaire template that can be customized.

The creation of the application system qualification survey with the Survey Management of ARIS Risk & Compliance Manager is performed in two steps for each application system:

- Create an application system qualification survey (page 20)
- Execute an application system qualification survey (page 22)




10.1 Create an application system qualification survey



Use ARIS Connect to prepare an application system qualification survey.

Prerequisites

- You have the **ARIS Connect Viewer > Contribution** license privilege.
- The relevant objects are available in a **Record of processing activities** model and assigned to the respective legal entity.
- The ARIS GDPR method enhancement filter is imported. For detailed information, refer to the **ARIS Accelerators for GDPR Installation Guide**.
- For detailed information, refer to the **ARIS Accelerators for GDPR Installation Guide**.
- The questionnaire for qualifying application systems (**Application System Qualification**) is installed and adapted to your specific requirements. The value of the **ARCM Synchronization** attribute at the **Questionnaire template** object must be **true** (default value). For detailed information, refer to the **ARIS Accelerators for GDPR Installation Guide**.

Procedure

1. Start ARIS Connect.
2. Enter the name of the relevant **Record of processing activity** model to the  **Search** field.
3. Click the model containing the relevant processing activity in the list of results. The fact sheet is displayed.
4. Click  **Edit** >  **Contribute** if the edit mode is not activated yet.

5. In the **Processing activities** table, click the **Processing activity details** attribute of the relevant processing activity. The fact sheet is displayed.
The link is only available if the elements are already assigned (page 14) to the processing activity.
6. Click the edit box of the **Questionnaires** attribute to add a new element.
7. Enter a name according to the respective processing activity and the description survey, for example, **Salary payment GDPR description**.
8. Click  to transfer your input, then click **OK** to confirm your input. The **Questionnaires** attribute is created.
9. Click the **Questionnaires** attribute. The fact sheet is displayed.
10. Specify the relevant survey details. To do so, click the edit box of the respective attribute, enter the relevant information, click  to transfer your input, and click **OK** to confirm your input (only for some attributes).
 - a. **Responsible**: Any user responsible for this survey.
 - b. **Description**: Short description of the survey.
 - c. **Questionnaire templates***): The questionnaire template to be used in the survey. Use the **Application System Qualification** questionnaire template.
 - d. **Assigned roles***): The interviewee groups and the survey reviewer group in charge. You can assign multiple interviewee groups, but only one survey reviewer group. Each interviewee group receives one questionnaire.
 - e. **Start date***): The date the first survey and the assigned questionnaires are to be generated.
 - f. **End date**: The date when the survey task must be completed and no further survey is created.
 - g. **Frequency***): The interval at which the survey and the assigned questionnaires are generated.
 - h. **Time limit for execution in days***): The number of days available to the interviewee for the completion of the questionnaire. It defines the completion date by which the survey must be completed.

*) = Mandatory for technical reasons

The processing activity qualification survey task for ARIS Risk & Compliance Manager is created. For detailed information, refer to the **ARCM - Survey Management Conventions** manual and the ARIS Risk & Compliance Manager online help.

10.2 Execute an application system qualification survey

Once the preparation of an application system qualification survey task is complete, the data can be synchronized to ARIS Risk & Compliance Manager. For detailed information on synchronization, contact your ARIS Risk & Compliance Manager administrator.

As soon as the data is available in ARIS Risk & Compliance Manager and the start date is reached, the survey with its questionnaires is automatically generated in ARIS Risk & Compliance Manager. The interviewees are informed that new questionnaires are available for editing in ARIS Risk & Compliance Manager. For detailed information on survey management and questionnaires, refer to the ARIS Risk & Compliance Manager online help.

11 Qualify processing activities for risk assessment (Pre-DPIA Analysis)

The GDPR regulation requires a risk assessment for all processing activities in order to decide if a Data Protection Impact Analysis (DPIA) is necessary. In order to perform a risk assessment, a detailed qualification of the processing activity is necessary. The requirements for this qualification can vary from country to country.

ARIS Accelerators for GDPR uses the Survey Management of ARIS Risk & Compliance Manager to qualify each processing activity. ARIS Risk & Compliance Manager ensures the segregation of duties principle and offers an audit trail of any changes. ARIS Accelerators for GDPR contains a questionnaire (**GDPR Processing Activity Qualification**) for qualifying the processing activities. The template is based on the recommendations of the ARTICLE 29 DATA PROTECTION WORKING PARTY (Guidelines on Data Protection Impact Assessment (DPIA) and determining whether processing is likely to result in a high risk for the purposes of Regulation 2016/679). For each processing activity, the actual score is calculated by adding up the answer values of the selected answers. If the actual score exceeds the target score (default set to 10, which equals two risk aspects), the processing activity concerned can involve a high risk to the data subjects under GDPR. This template is meant to be an initial questionnaire template that can be customized.

The creation of the qualification with the Survey Management of ARIS Risk & Compliance Manager is performed in two steps for each processing activity:

- Create a processing activity qualification survey (page 24)
- Execute a processing activity qualification survey (page 26)






11.1 Create a processing activity qualification survey

Use ARIS Connect to prepare a processing activity qualification survey

Prerequisites

- You have the **ARIS Connect Viewer > Contribution** license privilege.
- The relevant objects are available in a **Record of processing activities** model and assigned to the respective legal entity.
- The ARIS GDPR method enhancement filter is imported. For detailed information, refer to the **ARIS Accelerators for GDPR Installation Guide**.
- The questionnaire for qualifying processing activities (**GDPR Processing Activity Qualification**) is installed and adapted to your specific requirements. The value of the **ARCM Synchronization** attribute at the **Questionnaire template** object must be **true** (default value). For detailed information, refer to the **ARIS Accelerators for GDPR Installation Guide**.

Procedure

1. Start ARIS Connect.
2. Enter the name of the relevant **Record of processing activity** model to the  **Search** field.
3. Click the model containing the relevant processing activity in the list of results. The fact sheet is displayed.
4. Click  **Edit** >  **Contribute** if the edit mode is not activated yet.
5. In the **Processing activities** table, click the **Processing activity details** attribute of the relevant processing activity. The fact sheet is displayed.
The link is only available if the elements are already assigned (page 14) to the processing activity.
6. Click the edit box of the **Questionnaires** attribute to add a new element.
7. Enter a name according to the respective processing activity and the description survey, for example, **Salary payment GDPR qualification**.
8. Click  to transfer your input, then click **OK** to confirm your input. The **Questionnaires** attribute is created.
9. Click the **Questionnaires** attribute. The fact sheet is displayed.
10. Specify the relevant survey details. To do so, click the edit box of the respective attribute, enter the relevant information, click  to transfer your input, and click **OK** to confirm your input (only for some attributes).
 - a. **Responsible**: Any user responsible for this survey.
 - b. **Description**: Short description of the survey.
 - c. **Questionnaire templates***): The questionnaire template to be used in the survey. Use the **GDPR Processing Activity Qualification** questionnaire template.

- d. **Assigned roles***): The interviewee groups and the survey reviewer group in charge. You can assign multiple interviewee groups, but only one survey reviewer group. Each interviewee group receives one questionnaire.
- e. **Start date***): The date the first survey and the assigned questionnaires are to be generated.
- f. **End date**: The date when the survey task must be completed and no further survey is created.
- g. **Frequency***): The interval at which the survey and the assigned questionnaires are generated.
- h. **Time limit for execution in days***): The number of days available to the interviewee for the completion of the questionnaire. It defines the completion date by which the survey must be completed.

*) = Mandatory for technical reasons

The processing activity qualification survey for ARIS Risk & Compliance Manager is created.

For detailed information, refer to the **ARCM - Survey Management Conventions** manual and the ARIS Risk & Compliance Manager online help.

Example

The screenshot displays the ARIS Connect interface for configuring a survey. The main title is 'GDPR qualification Travel Expenses Reimbursement'. The 'Questionnaire templates' section is highlighted with a red box, showing 'GDPR processing activity qualification' selected. Other fields include 'Start date' (Jul 1, 2017), 'End date', 'Frequency' (Quarterly), and 'Time limit for execution in days' (360). The 'Groups' section shows 'Interviewee group 3.01' and 'Survey reviewer group 3.01'. The 'Activities concerned' table lists 'Travel Expenses Reimbursement' with a description 'Procedure for reimbursement of employee's travel expenses' and 'Is processing activity' set to 'True'.

Name	Description/Purpose	Is processing activity
Travel Expenses Reimbursement	Procedure for reimbursement of employee's travel expenses	True

11.2 Execute a processing activity qualification survey

Once the preparation of a processing activity qualification survey task is complete, the data can be synchronized to ARIS Risk & Compliance Manager. For detailed information on synchronization, contact your ARIS Risk & Compliance Manager administrator.

As soon as the data is available in ARIS Risk & Compliance Manager and the start date is reached, the survey with its questionnaires is automatically generated in ARIS Risk & Compliance Manager. The interviewees are informed that new questionnaires are available for editing in ARIS Risk & Compliance Manager. For detailed information on survey management and questionnaires, refer to the ARIS Risk & Compliance Manager online help.

12 Assess the risk of processing activities

The GDPR regulation requires a risk assessment for all processing activities in order to decide if a Data Protection Impact Analysis (DPIA) is necessary. This risk assessment is potentially based, among other things, on the score of the detailed qualification of the processing activity (page 23). Requirements for this qualification can vary from country to country. ARIS Accelerators for GDPR uses the Risk Management of ARIS Risk & Compliance Manager to assess the risk of each processing activity. ARIS Risk & Compliance Manager ensures the segregation of duties principle and offers an audit trail of any changes. It is a good advice to create a GDPR impact type (risk impact type) for such assessments in ARIS Risk & Compliance Manager. The impact type can be customized. For detailed information, refer to the **ARIS Accelerators for GDPR Installation Guide**.

The assessment of risks with the Risk Management of ARIS Risk & Compliance Manager is performed in two steps for each processing activity:

- Create a processing activity risk assessment (page 28)
- Execute a processing activity risk assessment (page 30)






12.1 Create a processing activity risk assessment

Use ARIS Connect to create a processing activity risk assessment.

Prerequisites

- You have the **ARIS Connect Viewer > Contribution** license privilege.
- The relevant objects are available in a **Record of processing activities** model and assigned to the respective legal entity.
- The ARIS GDPR method enhancement filter is imported. For detailed information, refer to the **ARIS Accelerators for GDPR Installation Guide**.
- The GDPR impact type is created in ARIS Risk & Compliance Manager. For detailed information, refer to **ARIS Accelerators for GDPR Installations Guide > Create a GDPR impact type in ARIS Risk & Compliance Manager**.

Procedure

1. Start ARIS Connect.
2. Enter the name of the relevant **Record of processing activity** model to the  **Search** field.
3. Click the relevant model in the list of results. The fact sheet is displayed.
4. Click  **Edit** >  **Contribute** if the edit mode is not activated yet.
5. In the **Processing activities** table, click the **Processing activity details** attribute of the relevant processing activity. The fact sheet is displayed.
The link is only available if the elements are already assigned (page 14) to the processing activity.
6. Click the edit box of the **Risks** attribute to add a new element.
7. Enter a name according to the respective processing activity and the risk type, for example, **Salary payment GDPR risk**, click  to transfer your input, then click **OK** to confirm your input.
8. Click the **Risks** attribute. The fact sheet is displayed.
9. Specify the relevant risk details. To do so, click the edit box of the respective attribute, enter the relevant information, click  to transfer your input, and click **OK** to confirm your input (only for some attributes).
 - a. **Responsible**: Any user responsible for this risk.
 - b. **Description**: Short description of the risk assessment.
 - c. **Compliance**: Enable **true for GDPR risks**
 - d. **Assessment activities**: Description of the activities to be performed during risk assessment.
 - e. **Groups***): The risk owner group and the risk reviewer group in charge.
 - f. **Synchronize ARCM***): Enable **Yes**.
 - g. **Risk management-relevant***): Enable **Yes**.

- h. **Assessment frequency*)**: The interval at which risk assessments are automatically generated.
 - i. **Event-driven assessment allowed**: Indicates whether risk assessments can be generated not only automatically, but also manually.
 - j. **Execution time in days*)**: The number of days available to the risk owner to assess the risk.
 - k. **Start date of risk assessment*)**: The date the first risk assessment is generated.
 - l. **End date of risk assessment**: The date when the risk assessment is completed.
- *) = Mandatory

The risk assessment schedule is created.

For detailed information, refer to the **ARCM - Operational Risk Management Conventions** manual and the ARIS Risk & Compliance Manager online help.

Example

ARIS Connect

Portal

John Mansour

Search

Home

Groups

United Motor Group_GDPR rev4

<

>

↑

GDPR Risk Travel Expenses Reimbursement ☆

Edit

Overview

Risk assessments

DE-4711

GDPR risks

False

Yes

Risk ID

Risk catalog 1

Financial reporting

Synchronize ARCM

True

True

False

Yes

Compliance 1

Operations

Strategic

Risk management-relevant

John Mansour

tom owen

tom owen

Annually

Responsible

Creator

Last user

Assessment frequency

Jul 24, 2017

Jul 24, 2017

Yes

Time of generation

Last change

Event-driven assessment allowed

Full name

GDPR Risk Travel Expenses Reimbursement

Description

GDPR Risk Travel Expenses Reimbursement

Assessment activities

Check for data privacy breaches at travel expenses reimbursement procedure

30

Execution in days

Jul 1, 2017

Start date of risk assessment

12.2 Execution of a processing activity risk assessment

Once the preparation of a processing activity risk assessment is complete, the data can be synchronized to ARIS Risk & Compliance Manager. For detailed information on synchronization, contact your ARIS Risk & Compliance Manager administrator.

As soon as the data is available in ARIS Risk & Compliance Manager and the start date is reached, the risk assessment is automatically generated in ARIS Risk & Compliance Manager. The risk owners are informed that new risk assessments are available for editing in ARIS Risk & Compliance Manager. For detailed information on risk assessment, refer to the ARIS Risk & Compliance Manager online help.

13 Assess the data protection impact of processing activities (DPIA)

The GDPR regulation requires a Data Protection Impact Assessment (DPIA) for all processing activities representing a high risk to data subjects. In order to support and guide the respective assessment workshop, a detailed DPIA workshop guidance questionnaire is recommended. The requirements for this assessment can vary from country to country.

ARIS Accelerators for GDPR uses the Survey Management of ARIS Risk & Compliance Manager to assess the data protection impact of each processing activity. ARIS Risk & Compliance Manager ensures the segregation of duties principle and offers an audit trail of any changes.

ARIS Accelerators for GDPR contains a questionnaire (**GDPR Data Protection Impact Assessment**) for assessing the processing activities. This template is based on the recommendations of Germany's Bitkom association. For each processing activity, the results of the assessments are commented on and a degree of fulfillment is selected. By default, there are four degrees of fulfillment: not fulfilled, partly fulfilled, widely fulfilled, and completely fulfilled. If necessary, you can enhance the degrees of fulfillment. This template is meant to be an initial questionnaire template that can be customized.

Each degree of fulfillment represents a fulfillment score. This score serves to first focus on the less fulfilled aspects of the processing activity. The questionnaire serves to describe and evaluate each of the recommended assessment areas, and, if appropriate, to create mitigation measures (issues in ARIS Risk & Compliance Manager).

The creation of the data protection impact assessment survey with the Survey Management of ARIS Risk & Compliance Manager is performed in two steps for each processing activity:

- Create a data protection impact assessment survey (page 32)
- Execute a data protection impact assessment survey (page 34)






13.1 Create a data protection impact assessment survey

Use ARIS Connect to prepare a data protection impact assessment survey.

Prerequisites

- You have the **ARIS Connect Viewer > Contribution** license privilege.
- The relevant objects are available in a **Record of processing activities** model and assigned to the respective legal entity.
- The ARIS GDPR method enhancement filter is imported. For detailed information, refer to the **ARIS Accelerators for GDPR Installation Guide**.
- The questionnaire for data protection impact assessment (**GDPR Data Protection Impact Assessment**) is installed and adapted to your specific requirements. The value of the **ARCM Synchronization** attribute at the **Questionnaire template** object must be **true** (default value).

Procedure

1. Start ARIS Connect.
2. Enter the name of the relevant **Record of processing activity** model to the  **Search** field.
3. Click the relevant model in the list of results. The fact sheet is displayed.
4. Click  **Edit** >  **Contribute** if the edit mode is not activated yet.
5. In the **Processing activities** table, click the **Processing activity details** attribute of the relevant processing activity. The fact sheet is displayed.
The link is only available if the elements are already assigned (page 14) to the processing activity.
6. Click the edit box of the **Questionnaires** attribute to add a new element.
7. Enter a name according to the respective processing activity and the description survey, for example, **Salary payment GDPR DPIA**.
8. Click  to transfer your input, then click **OK** to confirm your input. The **Questionnaires** attribute is created.
9. Click the **Questionnaires** attribute. The fact sheet is displayed.
10. Specify the relevant survey details. To do so, click the edit box of the respective attribute, enter the relevant information, click  to transfer your input, and click **OK** to confirm your input (only for some attributes).
 - a. **Responsible**: Any user responsible for this survey.
 - b. **Description**: Short description of the survey.
 - c. **Questionnaire templates***): The questionnaire template to be used in the survey. Use the **GDPR Data Protection Impact Assessment** questionnaire template.
 - d. **Assigned roles***): The interviewee groups and the survey reviewer group in charge. You can assign multiple interviewee groups, but only one survey reviewer group. Each interviewee group receives one questionnaire.

- e. **Start date***): The date the first survey and the assigned questionnaires are to be generated.
- f. **End date**: The date when the survey task must be completed and no further survey is created.
- g. **Frequency***): The interval at which the survey and the assigned questionnaires are generated.
- h. **Time limit for execution in days***): The number of days available to the interviewee for the completion of the questionnaire. It defines the completion date by which the survey must be completed.
- i. *) = Mandatory for technical reasons

The data protection impact assessment survey task for ARIS Risk & Compliance Manager is created.

For detailed information, refer to the **ARCM - Survey Management Conventions** manual and the ARIS Risk & Compliance Manager online help.

Example

The screenshot shows the ARIS Connect interface for configuring a survey task. The top navigation bar includes 'ARIS Connect', 'Portal', and a search bar. The main content area is titled 'DPIA travel expenses reimbursement' and includes an 'Overview' tab. The configuration details are as follows:

Field	Value						
Last change	Jul 13, 2018						
Start date *	Jul 1, 2018						
Frequency *	One-off						
Time limit for execution in days *	30						
Description	DPIA for processing activity travel expenses reimbursement						
Questionnaire templates	GDPR Data Protection Impact Assessment						
Groups	Interviewee group 3.01, Survey reviewer group 3.01						
Activities concerned	<table border="1"> <thead> <tr> <th>Name</th> <th>Description/Purpose</th> <th>Is processing activity</th> </tr> </thead> <tbody> <tr> <td>Travel Expenses Reimbursement</td> <td>Procedure for reimbursement of employee's travel expenses</td> <td>True</td> </tr> </tbody> </table>	Name	Description/Purpose	Is processing activity	Travel Expenses Reimbursement	Procedure for reimbursement of employee's travel expenses	True
Name	Description/Purpose	Is processing activity					
Travel Expenses Reimbursement	Procedure for reimbursement of employee's travel expenses	True					

13.2 Execute a data protection impact assessment survey



Once the preparation of a data protection impact assessment survey task is complete, the data can be synchronized to ARIS Risk & Compliance Manager. For detailed information on synchronization, contact your ARIS Risk & Compliance Manager administrator.

As soon as the data is available in ARIS Risk & Compliance Manager and the start date is reached, the survey with its questionnaires is automatically generated in ARIS Risk & Compliance Manager. The interviewees are informed that new questionnaires are available for editing in ARIS Risk & Compliance Manager. For detailed information on survey management and questionnaires, refer to the ARIS Risk & Compliance Manager online help.

14 Generate required internal and external reports

In the context of GDPR and the related internal analysis and reporting tasks, several reports are required. ARIS Accelerators for GDPR contains the following reports:

- Output record of processing activities (page 35)
- Output GDPR data protection impact assessment (page 36)
- Output GDPR management report (page 36)
- Output extended GDPR management report (page 37)
- Output survey intelligence report (page 37)
- Output data allocation matrix (page 38)

To run reports in ARIS Risk & Compliance Manager, open the relevant form or list and click  **Generate report**. To run reports in ARIS Architect, click  **Start report** on the **Evaluate** tab bar. For detailed information on generating reports, refer to the ARIS and the ARIS Risk & Compliance Manager online help.

14.1 Output record of processing activities

This report creates regulatory documentation of processing activities for one legal entity (organizational unit). The report is based on the recommendations of Germany's Bitkom association. The report differentiates between Controller role and Processor role and includes the respective data from the Processing Activity Documentation questionnaire (page 16).

APPLICATION/ROLE

ARIS Risk & Compliance Manager/Risk manager and Survey manager (both roles must be assigned to the user)

CONTEXT (DEFAULT)

Organization hierarchy elements in ARIS Risk & Compliance Manager.

OUTPUT FORMAT

PDF

14.2 Output GDPR data protection impact assessment

This report is an overview of the information gathered for a single processing activity that has been subject to a data protection impact assessment. The report includes the assessment results and questionnaire data of the processing activity, and it shows the issues and a list of the detail models assigned to the processing activity.

APPLICATION/ROLE

ARIS Risk & Compliance Manager/Risk manager and Survey manager (both roles must be assigned to the user)

CONTEXT (DEFAULT)

Process hierarchy elements in ARIS Risk & Compliance Manager.

OUTPUT FORMAT

PDF

14.3 Output GDPR management report

This report serves as an internal management report at the business management level. The report shows major information of concerned processing activities, but no sensitive information, such as incidents or risk assessments.

APPLICATION/ROLE

ARIS Risk & Compliance Manager/Risk manager

CONTEXT (DEFAULT)

Organization, Process, or Application system type hierarchy elements in ARIS Risk & Compliance Manager.

OUTPUT FORMAT

PDF

14.4 Output extended GDPR management report

This report serves as an internal management report at the compliance management level. The report includes important information of concerned processing activities and, additionally to the GDPR management report, sensitive information, such as incidents or risk assessments.

APPLICATION/ROLE

ARIS Risk & Compliance Manager/Risk manager

CONTEXT (DEFAULT)

Organization, Process, or Application system type hierarchy elements in ARIS Risk & Compliance Manager.

OUTPUT FORMAT

PDF

14.5 Output survey intelligence report

This report serves as an improved analysis of survey results. The report exports all survey answers into Microsoft Excel tables to use the enhanced filter, search, and aggregation capabilities of Excel.

APPLICATION/ROLE

ARIS Risk & Compliance Manager/Risk manager and Survey manager (both roles must be assigned to the user)

CONTEXT (DEFAULT)

Survey lists and objects as well as **Questionnaire template** lists and objects in ARIS Risk & Compliance Manager.

OUTPUT FORMAT

XLS

14.6 Output data allocation matrix

This report serves as an enhanced analysis tool for GDPR-relevant data and the relations of the data to processes or organizational units. The report creates a matrix of both object types including relevant GDPR information to check whether or not this assessment matches for both object types. Thereby, 'white spots' in the GDPR assessment can be identified.

APPLICATION

ARIS Architect

CONTEXT

Group

CATEGORY

ARIS Risk & Compliance Manager

OUTPUT FORMAT

XLS

15 Monitor related indicators in dashboards

In the context of GDPR and the related internal project several indicators are of particular interest for the respective business managers or compliance managers. The ARIS Accelerators for GDPR includes four ARIS Aware dashboards:

- GDPR - Overview (page 40)
- GDPR - Workflow (page 43)
- DPIA - Answers (page 45)
- DPIA - Issues (page 47)


Prerequisites

- You have the required ARIS Aware license privileges.
- You have the required access privileges to each dashboard as well as to the data of the dashboard.

For further information on access privileges for dashboards, refer to the ARIS Accelerators for GDPR Installation Guide as well as to the online help and documentation of ARIS Aware. For further information on roles and privileges in ARIS Risk & Compliance Manager, refer to the online help of ARIS Risk & Compliance Manager.

You have a role in ARIS Risk & Compliance Manager that allows you to open risks and/or hierarchy elements.

Procedure

1. Start ARIS Connect.
2. Search for the relevant **Organizational element**, **Function**, or **Processing activity** fact sheets. To do so, enter the name in the  **Search** field.
3. Click the relevant element in the list of results. The fact sheet is displayed.
4. Click **Dashboards**. The relevant dashboard is displayed.
5. Use the filter to obtain a particular view.

The dashboards are displayed for monitoring. For detailed information on ARIS Aware dashboards, refer to the ARIS Connect online help.

15.1 GDPR - Overview

This dashboard serves as an overview of GDPR-relevant information about a single organizational unit. The respective manager of the organization unit can see the number of processing activities he is responsible for and how many of them were added recently. Additionally, the role of this organizational unit for each processing activity (Controller (page 49) role or Processor (page 51) role) is displayed as well as an overview of the incidents that related to the processing activities of this organizational unit.

AVAILABILITY

The **GDPR - Overview** dashboard is displayed (page 39) in fact sheets of organizational units in ARIS Connect.

CHARTS

ACTIVITIES RELATED TO THE UNIT

Shows the number of processing activities connected to the selected organizational unit.

Calculation

Counts in the ARIS database the number of processing activities. Only the processing activities connected to the selected organizational unit are included in the calculation.

NEW ACTIVITIES RELATED TO THE UNIT

Shows the number of new processing activities, connected to the selected organizational unit, that were created during the period specified in **Period in days**.

Calculation

Counts in the ARIS database the number of processing activities with creation date during the specified period. Only the processing activities connected to the selected organizational unit are included in the calculation.

ACTIVITIES WITH NEW INCIDENTS

Shows the number of processing activities that are connected to the selected organizational unit, and that are connected to incidents with occurrence date during the period specified in **Period in days**.

Calculation

Counts in the ARIS Risk & Compliance Manager database the number of processing activities that are connected to incidents with occurrence date during the specified period. Only the processing activities connected to the selected organizational unit are included in the calculation.

TOTAL GDPR INCIDENTS FOR THE UNIT

Shows the total number of incidents that were created in the context of processing activities connected to the selected organizational unit.

Calculation

Counts in the ARIS Risk & Compliance Manager database the number of incidents that are connected to processing activities. Only the processing activities connected to the selected organizational unit are included in the calculation.

NEW ACTIVITIES OVER TIME

Shows the development of the number of processing activities created during the last six months, that are connected to the selected organizational unit.

Calculation

Counts in the ARIS database the number of processing activities with creation date during the last six months. Only the processing activities connected to the selected organizational unit are included in the calculation.

NEW INCIDENTS OVER TIME

Shows the number of incidents of the last six month in the context of processing activities connected to the selected organizational unit.

Calculation

Counts in the ARIS Risk & Compliance Manager database the number of incidents with occurrence date during the last six months that are connected to processing activities. Only the processing activities connected to the selected organizational unit are included in the calculation.

ACTIVITY OVERVIEW

Shows a list of processing activities that are connected to the selected organizational unit, and the GDPR (page 49) role connected to each processing activity.

Calculation

Collects in the ARIS database the processing activities of each connection type. Only the processing activities connected to the selected organizational unit are included in the calculation.

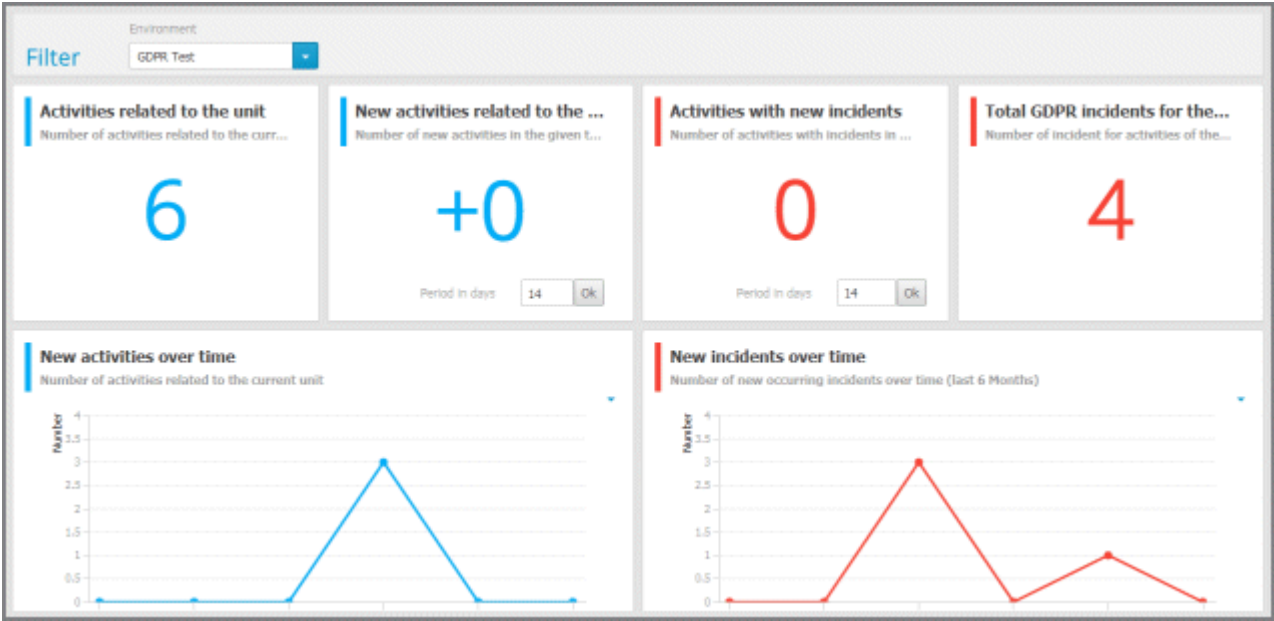
ACTIVITIES WITH NEW INCIDENTS OVER TIME

Shows the number of processing activities that are connected to the selected organizational unit, and that are connected to new incidents occurred during the last six months.

Calculation

Counts in the ARIS Risk & Compliance Manager database the number of processing activities that are connected to incidents with occurrence date during the last six months. Only the processing activities connected to the selected organizational unit are included in the calculation.

EXAMPLE



15.2 GDPR – Workflow

This dashboard shows the main phases of the GDPR workflows of surveys and risk assessments. The dashboard gives an overview of the status of the different GDPR project steps.

AVAILABILITY

The **GDPR - Workflow** dashboard is displayed (page 39) in fact sheets of organizational units in ARIS Connect. For detailed information on data sources and calculation of ARIS Aware dashboards, refer to the ARIS Connect online help.

CHARTS

QUESTIONNAIRE ASSIGNMENT PROGRESS

Shows the distribution of processing activities with and without connection to survey tasks that are connected to the selected questionnaire template.

Calculation

Counts in the ARIS database the number of processing activities that are connected to a survey task that is connected to the selected questionnaire template. Only the processing activities connected to the selected organizational unit are included in the calculation.

SURVEY TASK EXECUTION PROGRESS

Shows the distribution of survey tasks (based on the data of the **Questionnaire assignment progress** chart) with and without generated surveys.

Calculation

Counts in the ARIS Risk & Compliance Manager database the number of surveys that were generated with the survey tasks from the **Questionnaire assignment progress** chart. Only the processing activities connected to the selected organizational unit are included in the calculation.

SURVEY STATUS PROGRESS

Shows the distribution of generated surveys with their status based on the data of the **Survey task execution progress** chart.

Calculation

Counts in the ARIS Risk & Compliance Manager database the number of surveys in each survey status that were generated with the survey tasks from the **Questionnaire assignment progress** chart. Only the survey tasks connected to processing activities that are connected to the selected organizational unit are included in the calculation.

RISK ASSIGNMENT PROGRESS

Shows the distribution of processing activities with and without connected risks.

Calculation

Counts in ARIS database the number of processing activities that are connected to a risk. Only the processing activities connected to the selected organizational unit are included in the calculation.

RISK ASSESSMENT CREATION PROGRESS

Shows the distribution of risk assessments (generated or not yet generated) based on the data of the **Risk assignment progress** chart.

Calculation

Counts in the ARIS Risk & Compliance Manager database the number of processing activities that are connected to risks that are at least connected to one generated risk assessment. Only the processing activities connected to the selected organizational unit are included in the calculation.

RISK ASSESSMENT WORKFLOW PROGRESS

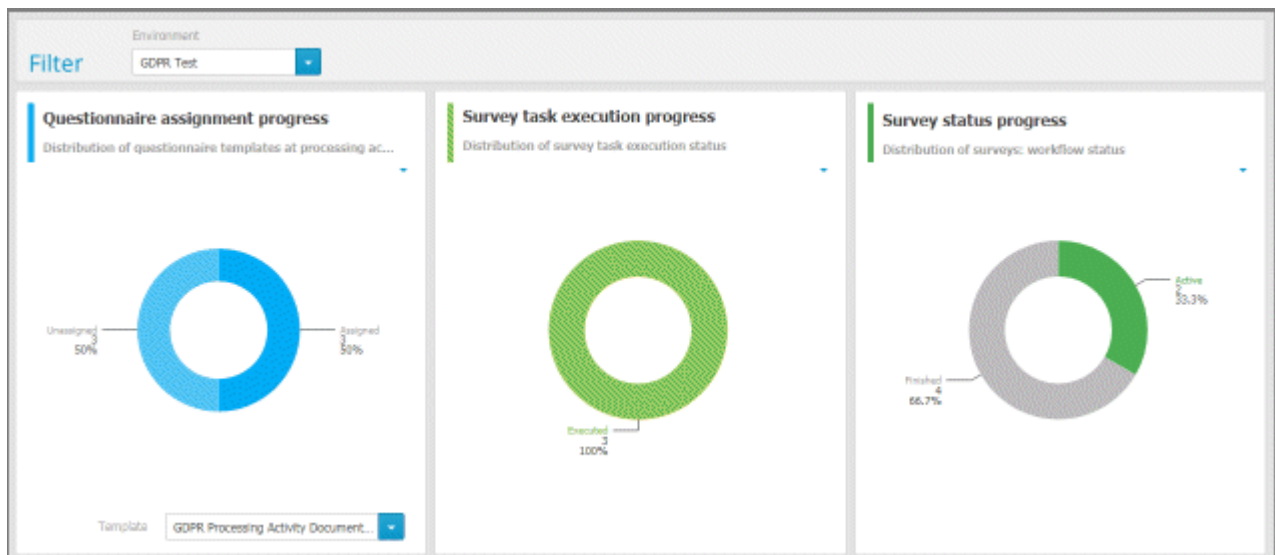
Shows the distribution of risk assessments with their risk owner status based on the data of the **Risk assessment creation progress** chart.

Calculation

Counts in the ARIS Risk & Compliance Manager database the number of processing activities that are connected to a risk object. From this quantity, the number of risk assessments with their risk owner status are taken into account. Only the processing activities connected to the selected organizational unit are included in the calculation.

For detailed information on Survey Management and Risk Management refer to the ARIS Risk & Compliance Manager online help. For detailed information on dashboards, refer to the ARIS Aware online help.

EXAMPLE



15.3 DPIA - Answers

This dashboard provides analysis capabilities regarding the results of data protection impact assessment workshops. The various areas of such an assessment are shown with their resulting degree of fulfillment. You can display GDPR weaknesses and assessments (with a degree of fulfillment less than 100 %) for further analysis or creation of mitigation measures (issues).

AVAILABILITY

The **DPIA - Answers** dashboard is displayed in **Processing activity** fact sheets in ARIS Connect. For detailed information on data sources and calculation of ARIS Aware dashboards, refer to the ARIS Aware online help.

CHARTS

DPIA PROGRESS

Shows the distribution of DPIA elements according to their answer status (answered, not answered). The user can monitor the completion of the data protection impact assessment.

Calculation

Counts in the ARIS Risk & Compliance Manager database the number of questions to be evaluated with their degree of fulfillment. Then, they are grouped according to the answer status.

DPIA SUBJECTS BY RESULT

Shows the distribution of DPIA elements to be assessed by the degree of fulfillment. The user can monitor the proportion of aspects with more or less weaknesses.

Calculation

Counts in the ARIS Risk & Compliance Manager database the number of answered questions and groups them according to the degree of fulfillment.

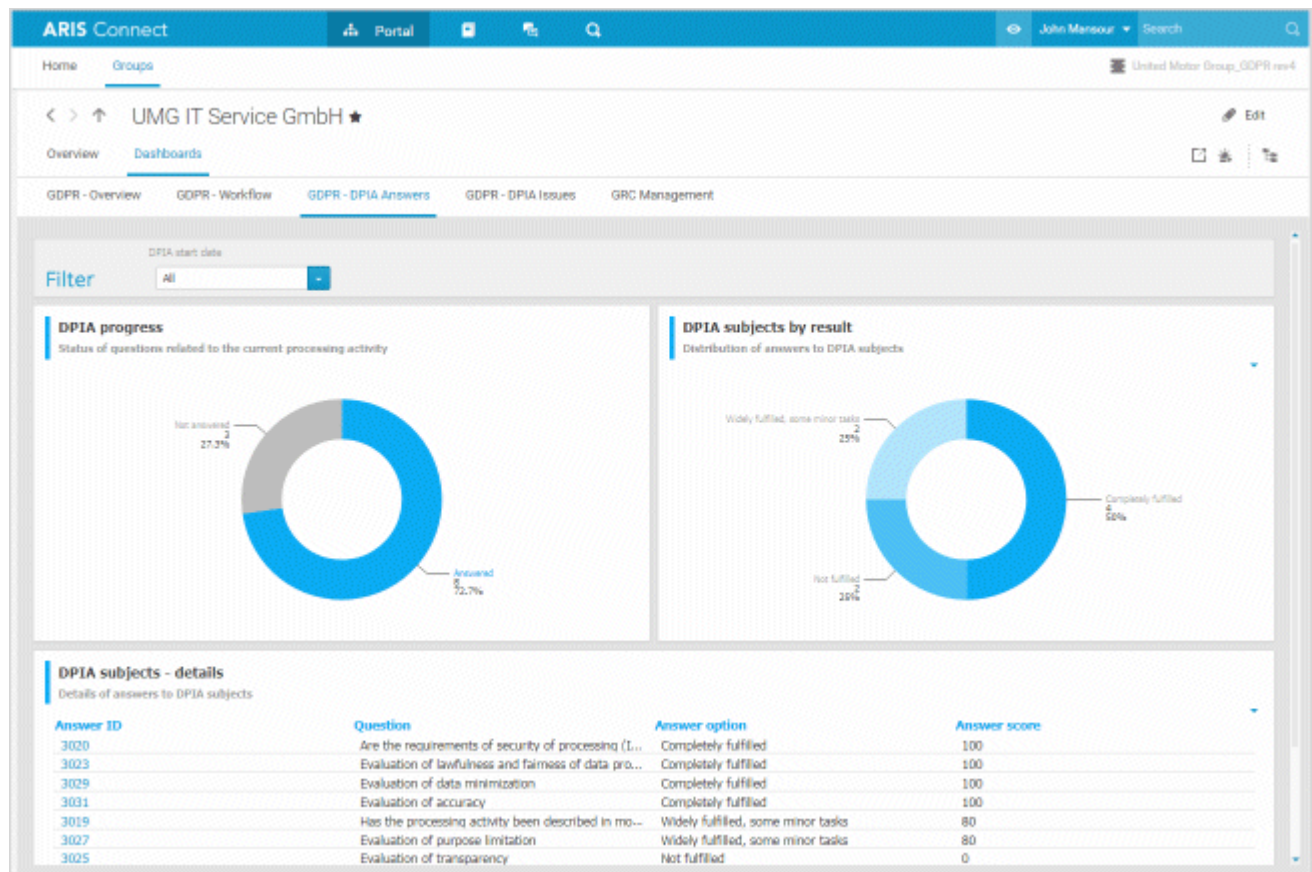
DPIA SUBJECTS - DETAILS

Shows the details of DPIA elements including their degree of fulfillment score. The user can rank the DPIA aspects according to the significance of their weaknesses. A link to the answered question in ARIS Risk & Compliance Manager is available.

Calculation

Lists the answered questions in the ARIS Risk & Compliance Manager database and sorts them along the degree of fulfillment.

EXAMPLE



15.4 DPIA - Issues

This dashboard serves as an overview of mitigation measures (issues) regarding the weaknesses found during the data protection impact assessment of a processing activity. You can display each issue for further analysis and management.

AVAILABILITY

The **DPIA - Issues** dashboard is displayed in processing activity detail fact sheets in ARIS Connect. For detailed information on data sources and calculation of ARIS Aware dashboards, refer to the ARIS Connect online help.

CHARTS

NUMBER OF ISSUES

Shows the number of issues related to the current data protection impact assessment.

Calculation

Counts the number of issues in the ARIS Risk & Compliance Manager database that are connected to answered questions of the DPIA questionnaire of the concerned processing activity.

ISSUES PRIORITY DISTRIBUTION

Shows the distribution of issues concerning the DPIA questions according to the issue priority. The user can monitor the proportion of issues with more or less priority.

Calculation

Counts the number of issues in the ARIS Risk & Compliance Manager database that are connected to answered questions of the DPIA questionnaire of the concerned processing activity. Then, they are grouped according to the issue priority.

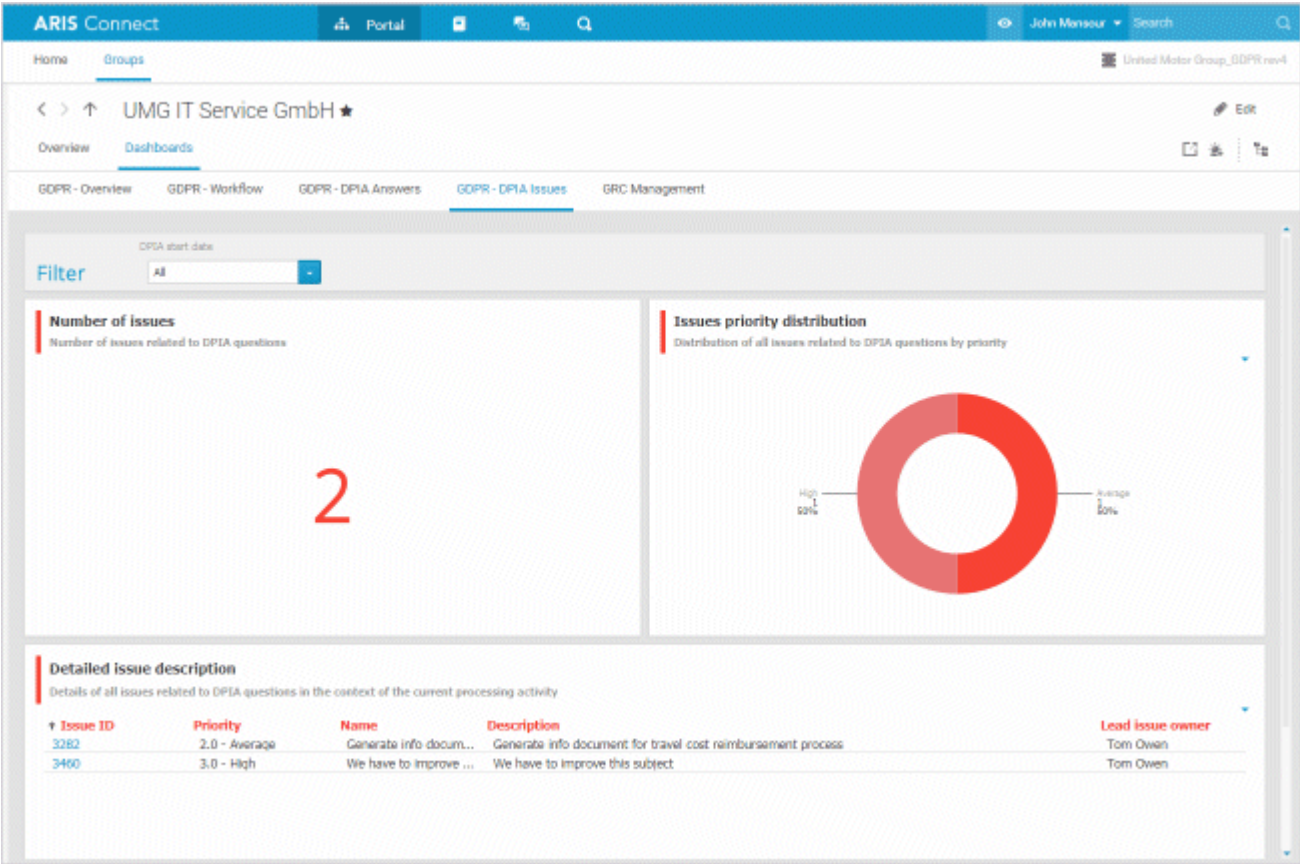
DETAILED ISSUE DESCRIPTION

Shows the details of DPIA issues. The user can rank the DPIA issues according to their priority. A link to the issue object in ARIS Risk & Compliance Manager is available.

Calculation

Lists the issues assigned to answers of the DPIA questionnaire of the current processing activity in the ARIS Risk & Compliance Manager database and sorts them according to their priority.

EXAMPLE



16 Glossary

C

CONTROLLER

Determines the purpose and means of processing personal data. (Role according to article 4 of the GDPR (page 50).)

D

DASHBOARD

A dashboard is an interactive application that merges, combines, and clearly visualizes data from different data sources. The data can come from different sources and is combined together. Possible data sources include Excel or CSV files, reports from ERP or CRM systems, requests from data warehouses, or freely available machine-readable data from the Internet. Dashboards are made up of individual graphic components (for example, business graphics, tables, maps, etc.), which obtain their data from data feeds and display it. The individual display components can be linked to one another so that the results displayed can be interactively filtered and therefore intuitively analyzed.

DATA PROTECTION OFFICER

Informs and advises the controller (page 49)/processor (page 51) of their obligations, monitors compliance, provides advice, and acts as the contact for the supervisory authority.

DATA PROTECTION REPRESENTATIVE

Represents the controller (page 49)/processor (page 51) with regard to their respective obligations under GDPR.

G

GDPR

The **G**eneral **D**ata **P**rotection **R**egulation (GDPR) protects the rights of individuals' personal data within the European Union. It also regulates the export of personal data outside the EU. GDPR is a regulation by the European Parliament, the Council of the European Union, and the European Commission.

GDPR ROLES

ROLES ACCORDING TO ARTICLE 4 OF THE EU GDPR (PAGE 49)

- **Controller**
Determines the purpose and means of processing personal data.
- **Processor**
Processes personal data on behalf of the controller.

ROLES IN COMPANIES

- **Data protection officer**
Informs and advises the controller/processor of their obligations, monitors compliance, provides advice and acts as the contact for the supervisory authority.
- **Data protection representative**
Represents the controller/processor with regard to their respective obligations under GDPR.

I

INCIDENT

In the Governance, Risk & Compliance environment an incident is the trigger for a loss.

ISSUE MANAGEMENT

The Issue Management of ARIS Risk & Compliance Manager enables processes and objects, for example, risks, controls, and policies, to be combined in an issue across different contexts, so that it can refer to different situations or assign tasks.

Unlike deficiencies, issues are one-off problems that occur in the business environment. Issue Management allows you to document, analyze, and monitor identified issues for the purpose of crisis prevention. The goal is to make problematic issues known in time and resolve them.

P

PROCESSING ACTIVITY

A processing activity is any operation which is performed on individuals' personal data, such as collection, recording, disclosure by transmission, and therefore is subject to the General Data Protection Regulation (GDPR (page 49)).

Processing activities and associated information are modeled in **Processing activity description diagram** models and **Record of processing activities** models in ARIS Architect. For detailed information, refer to the **ARIS Risk & Compliance Manager - Data Protection Management** guide.

PROCESSOR

Processes personal data on behalf of the controller (page 49). (Role according to article 4 of the GDPR (page 50).)

S

SINGLE SIGN-ON (SSO)

With **SSO** or **single sign-on** the user only needs to authenticate himself once with his user name and password to access all services, programs and computers without logging in again.

If services, programs, and computers request a new authentication when accessed by the user the authentication is carried out by the underlying SSO mechanism.

T

TENANT

A tenant is a container providing its own ARIS Administration and ARIS data set, such as configuration, ARIS method, databases, scripts, etc.

Each tenant provides users with a particular set of functionalities and specific data depending on their licenses and privileges.

17 Legal information

17.1 Documentation scope

The information provided describes the settings and features as they were at the time of publishing. Since documentation and software are subject to different production cycles, the description of settings and features may differ from actual settings and features. Information about discrepancies is provided in the Release Notes that accompany the product. Please read the Release Notes and take the information into account when installing, setting up, and using the product.

If you want to install technical and/or business system functions without Software AG's consulting services, you require extensive knowledge of the system to be installed, its intended purpose, the target systems, and their various dependencies. Due to the number of platforms and interdependent hardware and software configurations, we can only describe specific installations. It is not possible to document all settings and dependencies.

When you combine various technologies, please observe the manufacturers' instructions, particularly announcements concerning releases on their Internet pages. We cannot guarantee proper functioning and installation of approved third-party systems and do not support them. Always follow the instructions provided in the installation manuals of the relevant manufacturers. If you experience difficulties, please contact the relevant manufacturer.

If you need help installing third-party systems, contact your local Software AG sales organization. Please note that this type of manufacturer-specific or customer-specific customization is not covered by the standard Software AG software maintenance agreement and can be performed only on special request and agreement.

If a description refers to a specific ARIS product, the product is named. If this is not the case, names for ARIS products are used as follows:

Name	Includes
ARIS products	Refers to all products to which the license regulations of Software AG standard software apply.
ARIS Clients	Refers to all programs that access shared databases via ARIS Server.
ARIS Download clients	Refers to ARIS clients that can be accessed using a browser.

17.2 Data protection

Software AG products provide functionality with respect to processing of personal data according to the EU General Data Protection Regulation (GDPR).

Where applicable, appropriate steps are documented in the respective administration documentation.

17.3 Disclaimer

ARIS products are intended and developed for use by persons. Automated processes, such as the generation of content and the import of objects/artifacts via interfaces, can lead to an outsized amount of data, and their execution may exceed processing capacities and physical limits. For example, processing capacities are exceeded if models and diagrams transcend the size of the modeling area or an extremely high number of processing operations is started simultaneously. Physical limits may be exceeded if the memory available is not sufficient for the execution of operations or the storage of data.

Proper operation of ARIS products requires the availability of a reliable and fast network connection. Networks with insufficient response time will reduce system performance and may cause timeouts.

ARIS document storage was tested with 40.000 document items. This includes documents, document versions or folders. We recommend monitoring the number and overall size of stored document items and archiving some document items if needed.

If ARIS products are used in a virtual environment, sufficient resources must be available there in order to avoid the risk of overbooking.

The system was tested using scenarios that included 100,000 groups (folders), 100,000 users, and 1,000,000 modeling artifacts. It supports a modeling area of 25 square meters.

If projects or repositories are larger than the maximum size allowed, a powerful functionality is available to break them down into smaller, more manageable parts.

Some restrictions may apply when working with process administration, ARIS Administration, ARIS document storage, and ARIS Process Board, and when generating executable processes. Process Governance has been tested and approved for 1000 parallel process instances. However, the number may vary depending on process complexity, for example, if custom reports are integrated.

ARIS document storage was tested with 40.000 document items. This includes documents, document versions or folders. We recommend monitoring the number and overall size of stored document items and archiving some document items if needed.