ARIS CONNECT

GRC DASHBOARDS - RUNTIME INSTALLATION

VERSION 10.0 - SERVICE RELEASE 12

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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.

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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 as **<bold text in angle brackets>**.
- Example texts that are too long to fit on a single line, such as a long directory path, are wrapped to the next line by using ↵ at the end of the line.
- File extracts are shown in this font format:

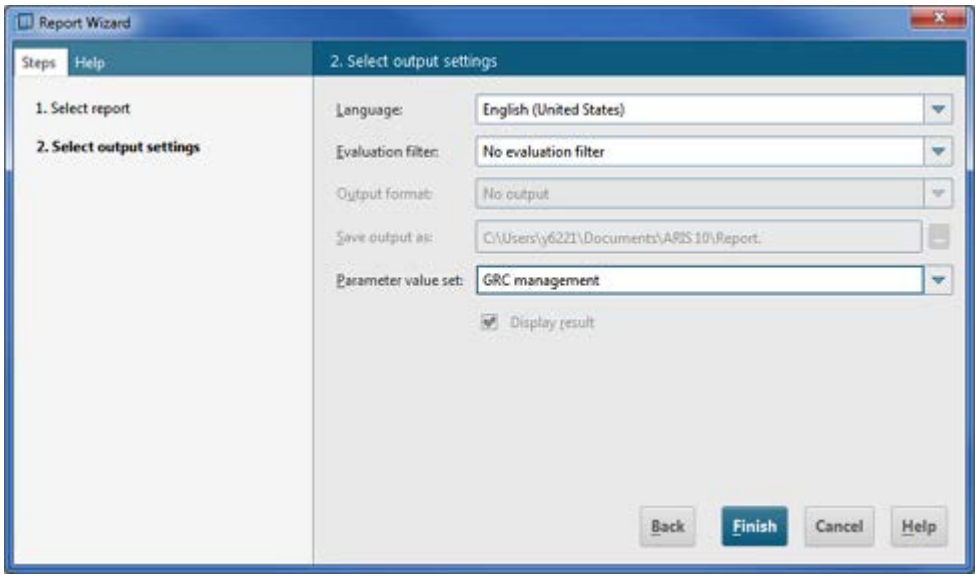
  `This paragraph contains a file extract.`
- Warnings have a colored background:

Warning

This paragraph contains a warning.

2 Introduction

The following GRC dashboards (GRC = Governance, Risk and Compliance) are available: GRC overview, GRC management, and GRC portfolio. The dashboards show an overview of GRC-related objects and workflows, such as risks, controls, or issues. The dashboards use data from ARIS and, if available, from ARIS Risk & Compliance Manager. The dashboards use the **Export item data to tables** ARIS Report in ARIS Architect (**ARIS >** **Administration > Evaluations > Reports > Dashboard data**). To update the data, run this report at the database level, select **Dashboard data** category, **Export item data to tables** report, and **GRC management** parameter value set.



The default installation of the **GRC management** and the **GRC portfolio** dashboards uses static demo data stored in ARIS document storage. The runtime version of these dashboards uses real ARIS Risk & Compliance Manager data. To replace demo dashboards data by runtime data dashboards, refer to Import GRC runtime dashboards and data feeds (page 9). For detailed information on dashboards, refer to the **ARIS Aware online help**, the **ARIS Aware Guide**, or contact Software AG or the sales partner responsible.

3 Dashboard content

3.1 'GRC overview' dashboard

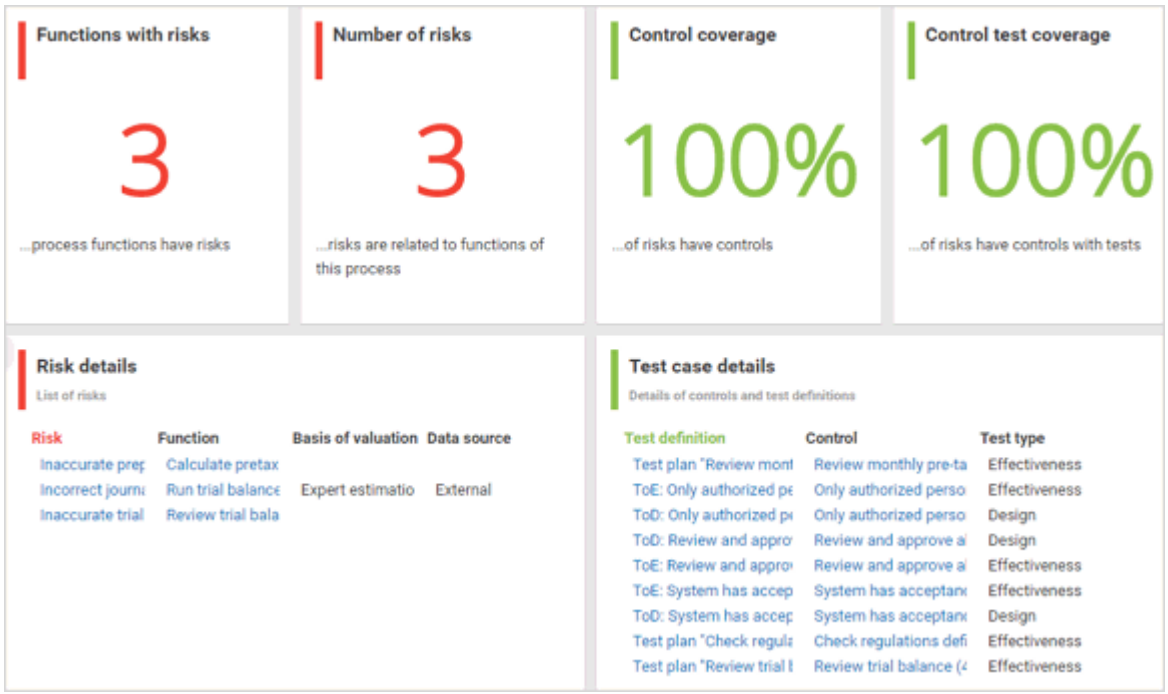
The **GRC overview** dashboard only uses data from the ARIS database that is filtered by the selected process. Data from ARIS Risk & Compliance Manager is not included. This dashboard gives an overview of different GRC indicators and objects regarding a process item. By default, it is available for two processes:

- **Sales order processing (as-is)**, (GUID: 0adfca71-2960-11dc-2729-000bcd0cce4e)
- **Generic monthly closing process** (GUID: a55af59c-19cb-4b78-bc41-07fae048a864)

The **GRC overview** dashboard contains the following charts:

Chart	Content
Functions with risks	Displays the number of functions that have risks assigned.
Number of risks	Displays the number of risks assigned to functions.
Control coverage	Displays the percentage of risks that have at least one control assigned.
Control test coverage	Displays the percentage of risks that have at least one control assigned that is connected to a test definition.
Risk details	Displays details of each risk assigned to a function: ▪ **Risk** name (to open the object, click the name) ▪ **Related function** (to open the object, click the name) ▪ **Basis of valuation** ▪ **Data source**
Test case details	Displays details of each test case assigned to a risk by a control: ▪ **Test definition** name (to open the object, click the name) ▪ **Control** name (to open the object, click the name) ▪ **Test type** (Test of design/Test of effectiveness)

Example


Functions with risks
3
...process functions have risks
Number of risks
3
...risks are related to functions of this process
Control coverage
100%
...of risks have controls
Control test coverage
100%
...of risks have controls with tests
Risk details
List of risks
Risk
Function
Basis of valuation
Data source
Inaccurate prep
Calculate pretax
Incorrect journa
Run trial balance
Expert estimatio
External
Inaccurate trial
Review trial bala
Test case details
Details of controls and test definitions
Test definition
Control
Test type
Test plan "Review mont
Review monthly pre-ta
Effectiveness
ToE: Only authorized pe
Only authorized perso
Effectiveness
ToD: Only authorized pe
Only authorized perso
Design
ToD: Review and appro
Review and approve a
Design
ToE: Review and appro
Review and approve a
Effectiveness
ToE: System has accep
System has acceptanc
Effectiveness
ToD: System has accep
System has acceptanc
Design
Test plan "Check regula
Check regulations defi
Effectiveness
Test plan "Review trial b
Review trial balance (4
Effectiveness

3.2 'GRC management' dashboard

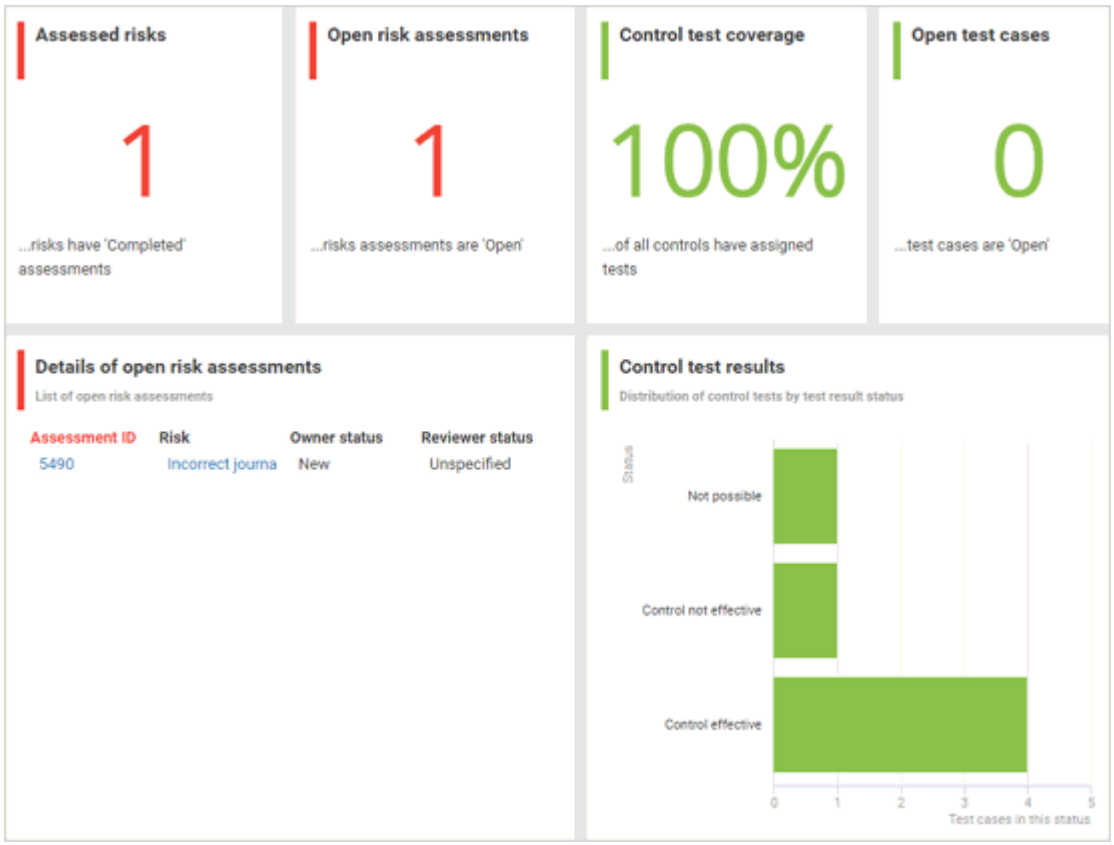
The **GRC management** dashboard uses data from ARIS and ARIS Risk & Compliance Manager database filtered by the selected process. This dashboard gives an overview of different GRC indicators and objects regarding a process item. By default, it is available for two processes:

- **Sales order processing (as-is)**, (GUID: 0adfca71-2960-11dc-2729-000bcd0cce4e)
- **Generic monthly closing process** (GUID: a55af59c-19cb-4b78-bc41-07fae048a864)

The GRC management dashboard contains the following charts:

Chart	Content
Assessed risks	Displays the number of risks assigned to functions that are connected to risk assessments with reviewer status **Completed**.
Open risk assessments	Displays the number of risk assessments with the status **Open** (= owner status **New** or **In progress**, or owner status **Assessed** or **Assessment not possible** and reviewer status **Unspecified**).
Control test coverage	Displays the percentage of controls that have at least one test case assigned.
Open test cases	Displays the number of test cases with the status **Open** (**=** owner status **New** or **In progress**, or owner status **Control effective** and reviewer status **Unspecified**).
Details of open risk assessments	Displays details of each risk assessment with the status **Open**: ▪ **Risk assessment ID** (to open the object in ARIS Risk & Compliance Manager, click the ID) ▪ **Risk** name (click the name) ▪ **Owner status** ▪ **Reviewer status**
Control test results	Displays the owner status of completed test cases that have the reviewer status **Accepted**, or that have the owner status **Not possible** or **Control effective**, or that have the owner status **Not tested** (= closed by system because test was not performed within the testing period). Test cases with owner status **Not possible**, **Control effective**, and **Not tested** are not reviewed.

Example

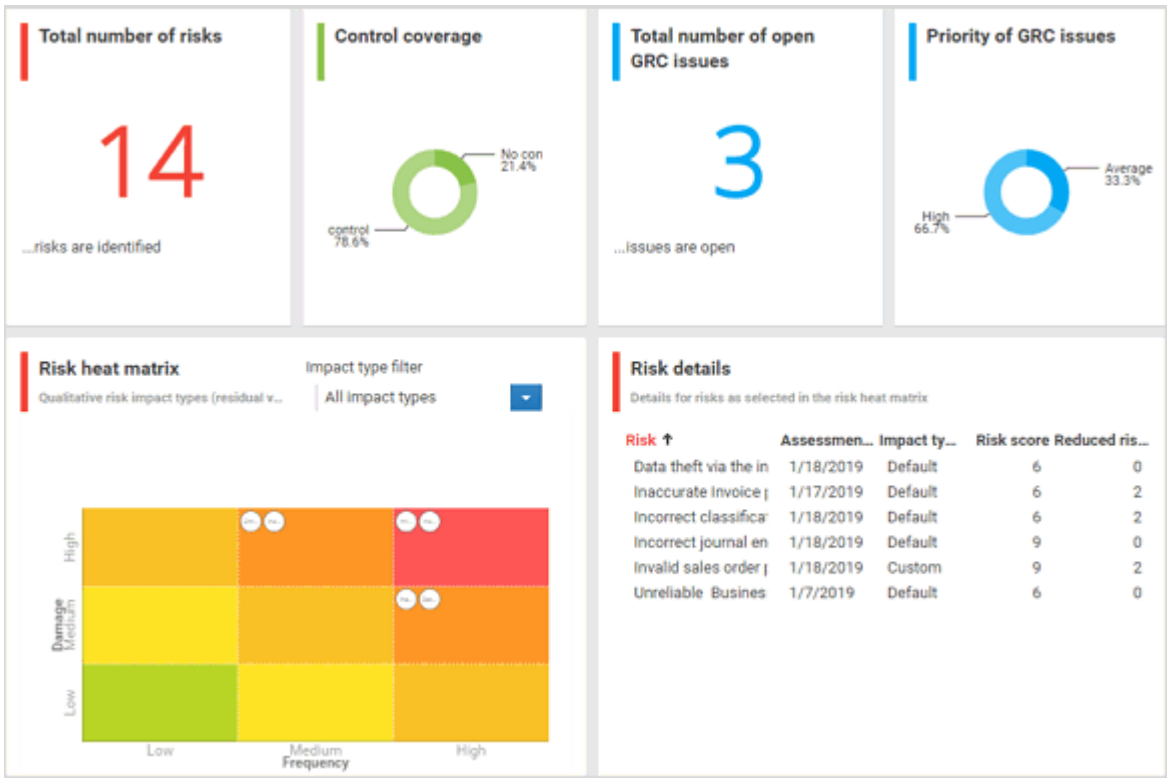

Assessed risks
1
...risks have 'Completed' assessments
Open risk assessments
1
...risks assessments are 'Open'
Control test coverage
100%
...of all controls have assigned tests
Open test cases
0
...test cases are 'Open'
Details of open risk assessments
List of open risk assessments
Assessment ID
Risk
Owner status
Reviewer status
5490
Incorrect journa
New
Unspecified
Control test results
Distribution of control tests by test result status
Status
Not possible
Control not effective
Control effective
0
1
2
3
4
5
Test cases in this status

3.3 'GRC portfolio' dashboard

The **GRC portfolio** dashboard uses data from ARIS and ARIS Risk & Compliance Manager database. This dashboard gives an overview of different GRC indicators and objects regarding a database. By default, it is available for the entire database (**ARIS Connect >** **Portal > Home >** **Dashboards**). The GRC portfolio dashboard contains the following charts:

Chart	Content
Total number of risks	Displays the total number of risks relevant for risk management.
Control coverage	Displays the distribution of risks that have at least one control assigned as well as risks without control.
Total number of open GRC issues	Displays the total number of issues with the status **Open** (= owner status **New**, **In progress** or **On hold**, or reviewer status **Unspecified**.)
Priority of GRC issues	Displays the distribution of issues with the status **Open** according to their priority.
Risk heat matrix	Displays all risks with reviewed risk assessment in a matrix. To open a risk assessment, click a bubble.
Risk details	Displays details of each risk from the **Risk heat matrix** chart: ▪ **Risk** name ▪ **Assessment date** ▪ **Impact type** ▪ **Qualitative risk score** ▪ **Reduced qualitative risk score** ▪ The list is filtered according to the selected element in the **Risk heat matrix** chart.

Example


Total number of risks
14
...risks are identified
Control coverage
No con
21.4%
control
78.6%
Total number of open GRC issues
3
...issues are open
Priority of GRC issues
Average
33.3%
High
66.7%
Risk heat matrix
Qualitative risk impact types (residual v...
Impact type filter
All impact types
High
Damage
Medium
Low
Low
Medium
High
Frequency
Risk details
Details for risks as selected in the risk heat matrix
Risk
Assessmen...
Impact ty...
Risk score
Reduced ris...
Data theft via the in
1/18/2019
Default
6
0
Inaccurate Invoice
1/17/2019
Default
6
2
Incorrect classifica
1/18/2019
Default
6
2
Incorrect journal en
1/18/2019
Default
9
0
Invalid sales order
1/18/2019
Custom
9
2
Unreliable Busines
1/7/2019
Default
6
0

4 Provide 'dashboard_viewers' user group and 'Feed URL' alias

Dashboard availability is based on the standard configuration of ARIS Connect. The following items are required to view the dashboards. For detailed information, refer to **ARIS Connect Administrator User Manual** or contact your ARIS administrator.

DASHBOARD_VIEWERS USER GROUP

The permission to view the dashboards is assigned to the **dashboard_viewers** user group. Therefore, make sure that this user group is available in ARIS Administration. For detailed information on how to manage user groups, refer to **Manage user groups** in the ARIS Connect help. For detailed information on dashboard permissions, refer to **Manage dashboard permissions** in the ARIS Connect help.

Procedure

1. Start ARIS Connect.
2. Log in as **system** user.
3. Open ARIS Administration.
4. Click **User management** and select **User groups**. The list of user groups opens.
5. Check if the **dashboard_viewers** user group is displayed in the list. If not, create the **dashboard_viewers** user group. You must use exactly this name, to make sure the dashboards are displayed to the assigned users. If a user group that already exists in the LDAP system is created, the user group names must match. This is the only way to assign an existing ARIS user group with the LDAP user group.
6. Assign all users which should able to display the dashboard.

The **dashboard_viewers** user group is available.

The users who should be able to view the dashboard must have at least the **ARIS Connect Viewer** and **ARIS Aware** license privilege. The privilege can be assigned directly to the user or via the user group. For detailed information on privileges and roles regarding dashboards, refer to **Who can use or manage dashboards?** in the ARIS Connect help.

FEED URL ALIAS

If you use an alias, you do not have to enter the entire URL, but only the path to the location where the data is stored. The **Feed URL** alias is required by the dashboards to retrieve the dashboard data.

Procedure

7. Start ARIS Connect.
8. Log in as **system** user.
9. Open ARIS Administration.
10. Click **Configuration**.
11. Click **Dashboards**.
12. Check if the **Feed URL** alias is displayed in the list.
13. If not, create the **Feed URL** alias. You must use exactly this name, to make sure the dashboards are displayed to the assigned users. For detailed information, refer to **Add an alias URL for dashboards** in the **ARIS Connect Administrator User Manual** or the ARIS Connect help.

The **Feed URL** alias is available.

5 Import GRC runtime dashboards and data feeds

The default installation of the **GRC management** and the **GRC portfolio** dashboards uses static demo data stored in ARIS document storage. The runtime version of these dashboards uses real ARIS Risk & Compliance Manager data. To replace the demo data by runtime data, perform the following steps.

Prerequisites

- ARIS Architect, ARIS Connect, and ARIS Risk & Compliance Manager are available.
- The **system** user has all required privileges. (The **system** user has all required privileges by default, unless an administrator revoked the privileges.) Make sure you have the **Dashboard administrator** function privilege.
- You have access to the dashboard files of **GRC_Runtime_Dashboards_Feeds.zip** (**Content\ARIS Aware** folder of the ARIS installation medium).
- The GRC dashboards are available in ARIS Connect. If not, refer to **Make default dashboards available** in the ARIS Aware online help or the ARIS Aware Guide.

Procedure

14. Start ARIS Connect.
15. Log in as **system** user.
16. Click **Repository**.
17. Click **Dashboards & Data feeds**.
18. Click **Import.** The corresponding dialog opens.
19. Click **Select import file.**
20. Navigate to the directory in which the dashboard files are stored.
21. Click the **GRC_Runtime_Dashboards_Feeds.zip** file. The file is in **ZIP** format and contains the dashboards and the relevant data feeds. The file also includes the dashboard permissions.
22. Click **Open**. The **File upload** dialog is closed.
23. To replace the dashboards available in the repository, enable **Overwrite if already exists**.
24. To import the dashboard permissions contained in the dashboard file, enable **Import privileges**. This option is activated by default.
25. Click **Import**.

The runtime version of the **GRC management** and the **GRC portfolio** dashboards and the related data feeds are imported. The dashboards are displayed in **Dashboards** (**Repository > Dashboards & Data feeds**). The data feeds are displayed in **Data Feeds** (**Repository > Dashboards & Data feeds**).

6 Legal information

6.1 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 using the consulting services provided by Software AG, 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 describe only 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 Client	Refers to all programs that access shared databases by using ARIS Server.
ARIS Download Client	Refers to an ARIS Client that can be accessed using a browser.

6.2 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.

6.3 Restrictions

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.

If your product contains ARIS document storage, the following applies:

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 regarding the use of process administration, ARIS Administration, ARIS document storage, and ARIS Process Board, and the generation of 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.