

# ARIS RISK AND COMPLIANCE UPGRADE GUIDE

VERSION 10.0 - SERVICE RELEASE 22 AND HIGHER  
APRIL 2023

This document applies to ARIS Risk and Compliance 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 Introduction

ARIS Risk and Compliance is a Web application. ARIS Risk and Compliance uses Java Servlets and Java Server Pages (JSP) which, in addition to a Java environment (JDK), require a Web, that is, Servlet container (Apache Tomcat) as runtime environment. The data is stored in a relational database system and is exchanged with the application via a JDBC interface. You can use ARIS Risk and Compliance with the **PostgreSQL** database for testing purposes or small environments (up to fifty concurrent users). You need the **Oracle** database system or **Microsoft® SQL Server** for full productive operation.

## 2 Upgrade to a new version of ARIS Risk and Compliance

If you want to update an ARIS Risk and Compliance version older than version 10.0.12, please contact the Software AG support team (Page 10). To prepare the old data for migration, various steps can be required, which cannot be comprehensively described here. In the following the update and migration from version 10.0.12 and higher is described.

There are two options to upgrade to a new version. You can either upgrade your existing ARIS installation by running the setup of the new version (Page 3), or you can install the latest version in parallel to your existing ARIS installation on a different server (Page 4) and restore the backup data of the older version into the newly installed version.

### 3 Install new version using the setup

To install the new version, you no longer have to first uninstall the existing version. All settings configured in the setup during the initial installation are automatically transferred. The download folder containing all the created PDF and Excel reports is backed up.

The following parameters can be set in the setup and are automatically transferred during the update setup:

- Mail server configuration (ARIS Risk and Compliance and User Management)
- Event processing (event server, port and EventTypeStore)
- Database configuration

All other changes that you made in the ARIS Cloud Controller console since the setup are transferred as well.

#### **Warning**

The update setup also updates ARIS Risk and Compliance installations with customizing. If the customizing contains unsupported changes or additional files, the warning **Update/patch setup not supported** and a list containing the affected files are output in the log file. To ensure that all customized files are available, the customizing must be enhanced again. For detailed information, refer to **Installation of a customer-specific version (Customizing)** (in the **Technical help** of the ARIS Risk and Compliance online help > **Installation** or in the **ARCM - Installation Guide.pdf**).

Since the update does not only affect ARIS Risk and Compliance, you can follow the instructions in **ARIS server Update Installation** in the **Technical help** of the <\_connect online help > **Installation** > **Update Installation**.

## 4 Install new version in parallel to existing installation

As an alternative to the setup, you can perform the update by installing the latest ARIS version in parallel with your existing ARIS installation on a different server. If you are using an Oracle or Microsoft® SQL Server as database management system (DBMS), you must create the ARIS Risk and Compliance database schema. In addition, you must create the tenant schema of ARIS Risk and Compliance. For detailed information, refer to **Installation of an Oracle or a Microsoft® database** and to **Add tenant schema of ARIS Risk and Compliance** (in the **Technical help** of the ARIS Risk and Compliance online help > **Installation** or in the **ARCM - Installation Guide.pdf**)

### 4.1 Back up tenant of the old ARIS Risk and Compliance version

Back up the tenant data of the installed ARIS Risk and Compliance before you migrate the data to the new ARIS Risk and Compliance version. For detailed information, refer to the ARIS online help (**Manage ARIS server and tenants > Tenant Management tool > Back up tenant**).

### 4.2 Install new version of ARIS Risk and Compliance

Install the new version of ARIS Risk and Compliance. For detailed information, refer to **Installation of ARIS Risk and Compliance** (in the **Technical help** of the ARIS Risk and Compliance online help > **Installation** or in the **ARCM - Installation Guide.pdf**). You are recommended to install and configure ARIS Risk and Compliance on another system.

### 4.3 Restore tenant data

After the installation of the new ARIS Risk and Compliance version, restore the tenant data. For detailed information, refer to the ARIS online help (**Manage ARIS server and tenants > Tenant Management tool > Restore tenants > Restore tenant from backup file**).

#### **Warning**

The ARIS installation must contain only one customizing for ARIS Risk and Compliance. A restore of ARIS Risk and Compliance tenants that have a different customizing would fail. All tenant backups that are to be restored must be based on the same customizing that is used in the ARIS installation.

## 5 Switch to ARIS external service of type DB

From version 10.0.12, the connection to the external database management system (DBMS) is standardized for all ARIS products. After migration, ARIS Risk and Compliance still uses the old external service of type **DB\_ARCM**. To simplify future updates and maintenance, it is recommended to switch to the central external service of type **DB**, which is used by all ARIS applications.

### 5.1 Recommended procedure for all DBMS

Provide the database schema on the shared ARIS database instance. The following steps are valid for all supported external database management systems (DBMS).

#### Procedure

1. **Back up tenant of the old ARIS Risk and Compliance version** (Page 4).
2. Open ARIS Cloud Controller (ACC) console (**Start > ARIS Cloud Controller**).
3. Stop the ARIS Risk and Compliance component with **stop arcm\_m**.
4. Create a new tenant schema on the shared ARIS database following the instructions in **ARIS Risk and Compliance installation using an Oracle or a Microsoft® SQL Server database** (in the **Technical help** of the ARIS Risk and Compliance online help > **Installation** or in the **ARCM - Installation Guide.pdf**).
5. Add the tenant schema to the ARIS external service of type **DB** by following the instructions in **Add tenant schema of ARIS Risk and Compliance** (in the **Technical help** of the ARIS Risk and Compliance online help > **Installation** or in the **ARCM - Installation Guide.pdf**).
6. Remove the tenant assignment from the old external service of type **DB\_ARCM**:  
`unassign tenant <tenant name> from service <serviceId>`  
Example:  
`unassign tenant default from service db-arcm0000000000`
7. Start the ARIS Risk and Compliance component with **start arcm\_m** again. The instance is now connected to the shared ARIS database instance.
8. Restore the data to the new schema following the instructions in **Restore tenant data** (Page 4).

To restore the data only in ARIS Risk and Compliance, restrict the command by **for ARCM**:

```
restore tenant <tenantName> for ARCM from <pathToStoredTenantBackup>
username=system password=manager
```



ARIS Risk and Compliance now uses the database schema on the shared ARIS database instance. The old external service of type **DB\_ARCM** and the corresponding database schema are no longer needed and can therefore be deleted.

## 5.2 Special case Oracle - schema on the same instance

In case the ARIS Risk and Compliance database schema is hosted on the same Oracle instance as the schema of other ARIS products, it is possible to reuse the existing ARIS Risk and Compliance database schema by updating the privileges of the corresponding database user. However, to ensure a consistent installation it is recommended to use the ARIS external service of type **DB** (Page 5).

### Procedure

Execute the following SQL statement on the corresponding Oracle instance to assign the connection privilege to the relevant database user. Schema name and user name are identical for Oracle. The connection user is the database user that is configured in the ARIS external service of type **DB**.

```
ALTER USER <tenant user> GRANT CONNECT THROUGH <connection_user>
```

### Example

```
ALTER USER ARCM_DEFAULT_CUSTOM_SCHEMA GRANT CONNECT THROUGH ARIS10
```

The privileges of the database user are updated to authorize the connection by the connection user.

## 6 Migration of event enabling in ARIS Risk and Compliance

If event enabling is activated in ARIS Risk and Compliance, verify that the Universal Messaging server instance of the addressed Software AG installation is also updated to the related version. See the latest version of the webMethods Product Suite documentation **Upgrading Software AG Products**, especially the chapters **Prepare to Migrate Product Assets** and **Migrate Software AG Event Routing**.

The **Upgrading Software AG Products guide** is available at Software AG Documentation (<https://documentation.softwareag.com/>).

If ARIS Risk and Compliance is not installed on the same host as the Software AG installation, follow the steps described in the online help of ARIS Risk and Compliance (**Administrate ARIS Risk and Compliance > Integrate external events**).

## 7 Prepare system shutdown

Before you stop ARIS Risk and Compliance for updates or maintenance, we recommend preparing the system for shutdown.

### Procedure

1. Open ARIS Cloud Controller (ACC) console (**Start > ARIS Cloud Controller**).
2. Enter the command **drain arcm\_m** to make ARIS Risk and Compliance inaccessible to all users. Note that running server tasks are still completed, but tasks in the queue are no longer started.
3. Use the **list** command to check the **Extended state** of the ARIS Risk and Compliance runnable. As soon as all running server tasks are completed, ARIS Risk and Compliance is in **drained** state.
4. Stop the ARIS Risk and Compliance component with **stop arcm\_m**.

The system is shut down.

Now perform the tasks that caused you to shut down the system. Start the ARIS Risk and Compliance component with **start arcm\_m** again.

## 8 Technical help

### USER MANUALS OF ARIS RISK AND COMPLIANCE

- The following manuals are now available in the **Technical Help of ARIS Risk and Compliance**:

- **ARCM - Installation Guide**
- **ARCM - Upgrade Guide**
- **ARCM - Customizing Guide**
- **ARCM - Data Migration Guide for Customized Versions**

You can also find them as PDF in the documents folder on your installation media.

- The contents of the following manuals are now available in the online help of ARIS Risk and Compliance:

- **Modeling Conventions**
- **Semantics verifications**
- **Administration**

- The content of **Confirmation Management Dashboard Installation** manual can now be found in the online help of ARIS under **Work with content > Confirmations > 'Confirmation management' dashboard**.

### ADDITIONAL INFORMATION

For more information about ARIS, such as manuals, technical help, and compendiums, see **Additional information** in the online help of ARIS.

## 9 Legal information

### 9.1 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.

### 9.2 Support

If you have any questions on specific installations that you cannot perform yourself, contact your local Software AG sales organization (<https://empower.softwareag.com/Products/default.aspx>). To get detailed information and support, use our Web sites.

If you have a valid support contract, you can contact **Global Support ARIS** at: **+800 ARISHELP**. If this number is not supported by your telephone provider, please refer to our Global Support Contact Directory.

For issues regarding the product documentation, you can also send a mail to [documentation@softwareag.com](mailto:documentation@softwareag.com) (<mailto:documentation@softwareag.com>).

### ARIS COMMUNITY

Find information, expert articles, issue resolution, videos, and communication with other ARIS users. If you do not yet have an account, register at ARIS Community.

### PRODUCT DOCUMENTATION

You can find the product documentation on our documentation Web site (<https://documentation.softwareag.com>).

You can use numerous links on the TECHcommunity Web site. For any questions, you can find a local or toll-free number for your country in our Global Support Contact Directory and give us a call.

### TECHCOMMUNITY

On the **TECHcommunity** Web site, you can find documentation and other technical information:

- Use the online discussion forums, moderated by Software AG professionals, to ask questions, discuss best practices, and learn how other customers are using Software AG technology.
- Access articles, code samples, demos, and tutorials.
- Find links to external Web sites that discuss open standards and web technology.
- Access product documentation, if you have **TECHcommunity** credentials. If you do not, you will need to register and specify **Documentation** as an area of interest.

### EMPOWER (LOGIN REQUIRED)

If you have an account for **Empower**, use the following sites to find detailed information or get support:

- You can find product information on the Software AG Empower Product Support Web site.
- To get information about fixes and to read early warnings, technical papers, and knowledge base articles, go to the Knowledge Center.
- Once you have an account, you can open Support Incidents online via the eService section of Empower.
- To submit feature/enhancement requests, get information about product availability, and download products, go to Products.

### FURTHER INFORMATION AND TRAININGS

Learn from your laptop computer, tablet or smartphone.