ARIS Risk & Compliance Manager

POLICY MANAGEMENT CONVENTIONS

Version 10.0 - Service Release 5

July 2018

Document content not changed since release 10.0.4. It applies to version 10.0.5 without changes.

This document applies to ARIS Risk & Compliance Manager 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 - 2018 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 Introduction 1

2 Text conventions 2

3 Content of document 3
3.1 Objectives and scope 3

4 ARIS conventions 4
4.1 Create users and user groups 4
4.1.1 Role to person allocations 6
4.2 Create policy definitions 8
4.2.1 Objects and relationships 9
4.2.2 Attributes 11
4.2.3 Process models 16
4.2.3.1 Objects, relationships, and attributes 16
4.2.4 Business rule architecture diagram 17

5 Support 18

6 Disclaimer 19

1 Introduction

To simplify the creation of policy definitions and facilitate reusability, you can model objects in ARIS. This is however only possible if the methodological and functional rules and conventions for modeling in ARIS Architect are adhered to. Only then all modeled data can be transferred to ARIS Risk & Compliance Manager and reused there.

2 Text conventions

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

- Menu items, keyboard shortcuts, dialogs, file names, entries, etc. are shown in **bold**.
- Content input that you specify is shown in **<bold and within angle brackets>**.
- Single-line example texts are separated at the end of a line by the character ↵, e.g., a long directory path that comprises multiple lines.
- File extracts are shown in the following font:

  `This paragraph contains a file extract.`

3 Content of document

The sections below explain the standards relating to the usage of descriptive views, model types, object types, relationship and connection types, and attributes.

3.1 Objectives and scope

Objective: Specification of modeling guidelines

Not included in this manual: User documentation

4 ARIS conventions

4.1 Create users and user groups

Users and user groups are modeled in an organizational chart in ARIS Architect using the **Person** (OT_PERS) and **Role** (OT_PERS_TYPE) objects.

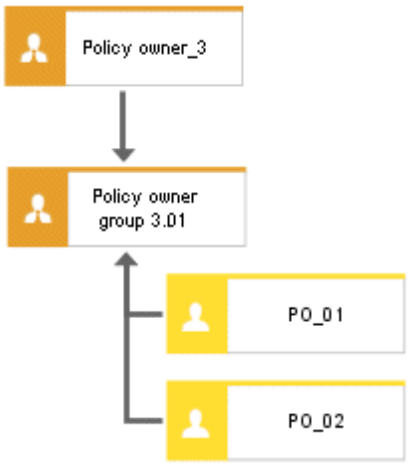

Figure 1: Structure of users/user groups (organizational chart)

The superior role (**Policy owner_3**) determines the role held by the subordinate roles in ARIS Risk & Compliance Manager. Both roles are connected to one another with the **is generalization of** connection. **Policy owner group 3.01** is thus, the generalization of **Policy owner_3**. The name of the superior role defines the role and level of the group to be created. <role>_<level>, that is, Policy owner_3 -> role: policy owner, level: 3 (or object-specific). A user group is not generated in ARIS Risk & Compliance Manager for the superior role (**Policy owner_3**).

The following applies to the various role levels:

- Role level 1: cross-environment

  The privileges assigned to the user group based on its role apply to all environments assigned to the user group.

- Role level 2: environment-specific

  The privileges assigned to the user group based on its role apply to the environment in which the user group was created.

- Role level 3: object-specific

  The privileges assigned to the user group based on its role apply to the relevant objects of the current environment in which the user group was created.

For the above example, the **Policy owner group 3.01** user group is generated in ARIS Risk & Compliance Manager with the **Policy owner** role and level 3 (that is, with object-specific privileges). In addition, the users with the user IDs **PO_01** and **PO_02** are also generated.

MAPPING ROLE NAME (ARCM) TO ROLE (ARIS)

The following allocations are applicable for the user groups in ARIS Risk & Compliance Manager and the naming to be used in ARIS Architect. Further roles are described in the other convention manuals.

Role (ARCM)	Role (ARIS)	Role level
roles.policyauditor	Policy auditor	Levels 1, 2, and 3
roles.policymanager	Policy manager	Levels 1 and 2
roles.policyowner	Policy owner	Level 3 only
roles.policyapprover	Policy approver	Level 3 only
roles.policyaddressee	Policy addressee	Level 3 only

4.1.1 Role to person allocations

ROLE (ARIS) TO USER GROUP (ARCM) ALLOCATIONS

The following allocations are applicable for the **Role** (user group) object:

ARIS attribute	API name	ARCM attribute	M*	Notes
Name	AT_NAME	name	X	The name of a user group is limited to 250 characters.
Description/ Definition	AT_DESC	description	-	
Role	–	role	X	The values for role and role level are determined as described above.
Role level	–	rolelevel	X	
Users	–	groupmembers	-	Users are determined by the **performs** connection between the person and the role.

*The **M** column specifies whether the attribute is a mandatory field.

PERSON (ARIS) TO USER (ARCM) ALLOCATIONS

The following allocations are applicable for the **Person** (user) object:

ARIS attribute	API name	ARCM attribute	M*	Notes
Login	AT_LOGIN	Userid	X	The user ID of a user is limited to 250 characters.
First name	AT_FIRST_NAME	firstname	X	
Last name	AT_LAST_NAME	lastname	X	
		name	-	Is a combination of the last and first name.
Description/ Definition	AT_DESC	description	-	
E-mail address	AT_EMAIL_ADDR	email	X	
Telephone number	AT_PHONE_NUM	phone	-	
		clients	-	The **Environments** field is identified by the environment into which data is imported.
		substitutes	-	The **Substitutes** field is only maintained manually.

*The **M** column specifies whether the attribute is a mandatory field.

4.2 Create policy definitions

You can model policy definitions in ARIS to simplify master data maintenance. The model **Business controls diagram** (MT_BUSY_CONTR_DGM) is intended for this.

4.2.1 Objects and relationships

You can use the following the following objects in the **Business controls diagram** model within the framework of Policy Management:

Object type name	Symbol type name	API name	Symbol	ARCM name
Policy	Business policy	OT_POLICY		Policy definition
Role	Role	OT_PERS_TYPE		Policy owner, Policy approver, Policy addressee, Policy auditor (depending on the role selected)
Risk	Risk	OT_RISK		Risk
Application system type	Application system type	OT_APPL_SYS_TYPE		Application system type
Organizational unit	Organizational unit	OT_ORG_UNIT		Organization
Technical term	Technical term	OT_TECH_TRM		Regulations

You can use the following the following connections:

Object	Connection	Object	Remark
Role	is technically responsible for	Policy	Assigns the user group to the policy definition.
Risk	is reduced by	Policy	Creates the connection between the policy and the risk.
Policy	affects	Organizational unit	Creates the connection between the policy and the affected organizational hierarchy element.
Policy	affects	Technical term	Creates the connection between the policy and the affected regulation hierarchy element.
Policy	affects	Application system type	Creates the connection between the policy and the affected application system type hierarchy element.

4.2.2 Attributes

The following allocations are applicable for the **Policy** object:

ARIS attribute	API name	ARCM attribute	M*	Notes
Name	AT_NAME	name	X	Limited to 250 characters.
Description	AT_DESC	description		
Policy type	AT_POLICY_TYPE	policy_type	X	Two selection options: ▪ **Confirmation required** (the confirmation process is started after the policy is published) ▪ **Publish only** (the process ends after the policy is published)
Confirmation text	AT_CONFIRMATION_TEXT	confirmation_text	(X)	Only mandatory if **Confirmation required** was selected at policy type.
Confirmation duration in days	AT_CONFIRMATION_DURATION	duration	(X)	Outputs the time span in which the users in the policy addressee group can read and confirm the policy. The confirmation duration is relevant only for policies of the type **Confirmation required**.
Start date of approval period (owner)	AT_START_DATE_APPROVAL_PERIOD_OWNER	startdate		Start of the approval period for the policy owner.
End date of approval period (owner)	AT_END_DATE_APPROVAL_PERIOD_OWNER	enddate	X	End of the approval period for the policy owner.

ARIS attribute	API name	ARCM attribute	M*	Notes
Start date of approval period (approver)	AT_START_DATE_APPROVAL_PERIOD_APPROVER	approverstartdate	X	Start of the approval period for the policy approver. The approvals are generated for the approver.
End date of approval period (approver)	AT_END_DATE_APPROVAL_PERIOD_APPROVER	approverenddate	X	End of the approval period for the policy approver.
Start date of publishing period	AT_START_DATE_PUBLISHING_PERIOD	publishingstartdate		Start of the publishing period. If no start date is set the publishing period starts directly after approval by the policy owner.
End date of publishing period	AT_END_DATE_PUBLISHING_PERIOD	publishingenddate	X	End of the publishing period.
Synchronize ARCM	AT_AAM_EXPORT_RELEVANT	-		This attribute specifies whether a policy definition should be synchronized with ARIS Risk & Compliance Manager.
Title 1/Link 1 Title 2/Link 2 Title 3/Link 3 Title 4/Link 4	AT_TITL1/AT_EXT_1 AT_TITL2/AT_EXT_2 AT_TITL3/AT_EXT_3 AT_TITL4/AT_EXT_4	documents		

ARIS attribute	API name	ARCM attribute	M*	Notes
ARIS Document Storage link 1 ARIS Document Storage link 2 ARIS Document Storage link 3 ARIS Document Storage link 4	AT_ADS_LINK_1 AT_ADS_LINK_2 AT_ADS_LINK_3 AT_ADS_LINK_4	documents		

*The **M** column specifies whether the attribute is a mandatory field.

ADDITIONAL ATTRIBUTES (REVIEW ATTRIBUTE GROUP) FOR THE POLICY OBJECT FROM ARIS ARCHITECT 9.5

ARIS attribute	API name	ARCM attribute	M*	Notes
Review-relevant	AT_REVIEW_RELEVANT	reviewRelevant	X	Marks the policy as review-relevant.
Review activities	AT_REVIEW_ACTIVITY	activities	(X)	Describes the activities to be executed during the review. If the policy was marked as review-relevant, this field becomes mandatory.
Review frequency	AT_REVIEW_FREQUENCY	frequency	(X)	Outputs the interval at which the policy review is to be carried out. Available options are: ▪ One-off ▪ Daily ▪ Weekly ▪ Monthly ▪ Quarterly ▪ Semi-annually ▪ Annually ▪ Every second year ▪ Event-driven If the policy was marked as review-relevant, this field becomes mandatory.

ARIS attribute	API name	ARCM attribute	M*	Notes
Event-driven review allowed	AT_EVENT_DRIVEN_REVIEW_ALLOWED	event_driven_ allowed	(X)	Outputs whether ad hoc reviews are allowed for policies. If the policy was marked as review-relevant, this field becomes mandatory.
Time limit for the execution of the review in days	AT_REVIEW_EXECUTION_TIME_LIMIT	duration	(X)	Outputs the number of days that are available to the policy owner to process the review. The review duration is specified by the end date at which the review must be completed. If the policy was marked as review-relevant, this field becomes mandatory.
Start date of policy review	AT_START_DATE_OF_POLICY_REVIEWS	startdate	(X)	Outputs the date from which the first policy review is to be generated. If the policy was marked as review-relevant, this field becomes mandatory.
End date of policy review	AT_END_DATE_OF_POLICY_REVIEWS	enddate		Outputs the date up to which policy reviews are to be generated.
Length of control period	AT_AAM_TESTDEF_CTRL_PERIOD	control_period	(X)	Outputs the period to which the policy review relates. If the policy was marked as review-relevant, this field becomes mandatory.

*The **M** column specifies whether the attribute is a mandatory field.

4.2.3 Process models

To create a connection to the process hierarchy policies can be modeled in the following process models.

Model type number	Model name
12	Value-added chain diagram
13	EPC
14	Function allocation diagram
18	PCD
50	EPC (material flow)
51	PCD (material flow)
134	EPC (column display)
140	EPC (row display)
154	EPC (table display)
173	EPC (horizontal table display)

4.2.3.1 Objects, relationships, and attributes

You can use the following objects in process models:

Object type name	Symbol type name	API name	Symbols	ARCM name
Function	(Depending on the process model)	OT_FUNC		Process
Policy	Business policy	OT_POLICY		Policy definition

You can use the following the following connections:

Object	Connection	Object	Remark
Policy	affects	Function	Creates the connection between the policy and the affected process hierarchy element.

4.2.4 Business rule architecture diagram

To model a hierarchy between policies, you can use the following connection from ARIS Architect 9.5 in the **Business rule architecture diagram** model.

Object	Connection	Object	Remark
Policy	encompasses	Policy	Represents a hierarchy between policies

5 Support

ON THE WEB

Open **Empower (https://empower.softwareag.com/)** to get support.

With a valid support contract you can access the solution database.

For questions about special installations that you cannot carry out yourself, please contact your local Software AG sales organization.

BY PHONE

With a valid support contract you can reach Global Support ARIS at:

+800 ARISHELP

The "+" stands for the respective prefix for making an international connection in this land.

An example of the number to be dialed within Germany using a land line: 00 800 2747 4357

If this number is not supported by your telephone provider, please refer to Empower https://empower.softwareag.com/public_directory.asp.

6 Disclaimer

ARIS products are intended and developed for use by people. Automatic processes such as generation of content and import of objects/artefacts using interfaces can lead to a huge data volume, processing of which may exceed the available processing capacity and physical limits. Physical limits can be exceeded if the available memory is not sufficient for execution of the operations or storage of the data.

Effective operation of ARIS Risk & Compliance Manager requires a reliable and fast network connection. A network with an insufficient response time reduces system performance and can lead to timeouts.

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

The system has been tested in the **Internal control system** scenario with 400 users logged in simultaneously. It contains 2,000,000 objects. To guarantee adequate performance, we recommend operating with not more than 500 users logged in simultaneously. Customer-specific adaptations, particularly in lists and filters, have a negative impact on performance.