ARIS Risk & Compliance Manager

UPGRADE GUIDE

Version 10.0 - Service Release 2

October 2017

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.

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1 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.`

2 ARIS Risk & Compliance Manager

ARIS Risk & Compliance Manager is a Web application. ARIS Risk & Compliance Manager uses Java Servlets and Java Server Pages (JSP) which, in addition to a Java environment (JDK), require a Web, i.e., 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 & Compliance Manager with the **Apache Derby** database for testing purposes. You need the **Oracle** database system or **Microsoft® SQL Server** for full productive operation.

If an updated version of this document is available, you will find it here: http://aris.softwareag.com/ARISDownloadCenter/ADCDocumentationServer (http://aris.softwareag.com/ARISDownloadCenter/ADCDocumentationServer)

3 Upgrade to a new version of ARIS Risk & Compliance Manager

From ARIS Risk & Compliance Manager version 9.5, new versions can be updated via update setup. To update an ARIS Risk & Compliance Manager installation, the following steps must be performed manually. Before running the setup, the ARIS Risk & Compliance Manager and ARIS document storage databases should be backed up.

This description is valid for updates from version 9.x to 9.x and from version 10.0 to 10.x. But you cannot update version 9.x to version 10.0. In this case a new installation of version 10.0 is necessary.

The data migration of ARIS Risk & Compliance Manager can be done as described below. For the data migration of runnables like User Management or ARIS document storage, see the **ARIS Data Migration Guide**.

Warning

The migration cannot be undone.

- Data backup (Page 4)
- Run the update setup (Page 4)
- Data migration (Page 6)
  - Migrate data from ARIS document storage (Page 7)*
  - ARIS Risk & Compliance Manager database migration (Page 10)
- **Import of modeled users into User Management** (**ARIS Risk & Compliance Manager Administration Guide**)
- **Connection to a directory service (LDAP)*** (**ARIS Risk & Compliance Manager Administration Guide**)
- **Configuration of event enabling in ARIS Risk & Compliance Manager** (**ARIS Risk & Compliance Manager Administration Guide**)

The steps marked with ***** are optional depending on the previously used version and the range of functions used.

3.1 Data backup

Perform the recommended steps to back up the data. If you are using ARIS document storage for the first time, there is no need to back up the ARIS document storage data.

Procedure

1. Stop the existing installation.
2. Back up the data in your productive database. If you use Oracle, use **dataPump**.
3. Back up the ARIS document storage CouchDBs.
   a. To back up the ARIS Risk & Compliance Manager CouchDB, copy the directory **<ARCM 4.x installation directory>\couchdb\var\lib\couchdb** to **<backup directory ARCM 4.x CouchDB>**.
   b. To back up the Process Governance CouchDB, copy the directory **<APG installation directory>\ads\adsdata\couchdb** to **<backup directory APG CouchDB>**.

The data backup is complete.

3.2 Run the update setup

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

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

- Modeling approach (risk-based or control-based)
- Mail server configuration (ARIS Risk & Compliance Manager 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.

3.3 Data migration (version 10.0 or newer)

From version 10.0 of ARIS Risk & Compliance Manager, there is a new procedure for the data migration. Use the **back up tenant** and **restore tenant** ARIS Cloud Controller (ACC) commands to migrate all data of the runnables.

Use the **system** user to start the tenant backup. First, check whether the **system** user has the relevant functional privileges in your ARIS 10.0 tenants. By default, the system user has all required privileges. Check if these function privileges are assigned to the system user and assign missing privileges if necessary:

- Analysis administrator
- ARCM administrator
- Collaboration administrator
- Document administrator
- Database administrator
- License administrator
- Process Governance administrator
- Server administrator
- Technical configuration administrator

3.3.1 Back up tenant of the old ARIS Risk & Compliance Manager version

Back up the tenant data of the installed ARIS Risk & Compliance Manager before you migrate the data to the new ARIS Risk & Compliance Manager version.

Procedure

1. Start ARIS Cloud Controller.
   a. To start ARIS Cloud Controller in a Windows operating system, click **Start > All Programs > ARIS > Administration > ARIS Cloud Controller**. If you changed the agent user credentials, enter the password.
   b. To start ARIS Cloud Controller in a Linux operating system, run the **acc.sh** shell script instead. If **aris-acc-<number> deb** or **rpm** file (depending on the Linux operating system) is installed, ARIS Cloud Controller is available.
2. Make sure that all runnables are running. If any of them is not running, enter the command **startall** and wait until all runnables are in the status **STARTED**.
3. Back up the data with the command **backup tenant <tenantName> to <pathToStoreTheBackup username=system password=manager**. Example **backup tenant default to "C:/tenantBackup" username=system password=manager**.

The backup of the tenant data is performed.

3.3.2 Install new version of ARIS Risk & Compliance Manager

Install the new version of ARIS Risk & Compliance Manager. For detailed information, see the chapter **Installation of ARIS Risk & Compliance Manager** of ARIS Risk & Compliance Manager Installation Guide. It is recommended that you install and configure ARIS Risk & Compliance Manager on a second machine.

3.3.3 Restore tenant data in new version

After the installation of the new version, restore the tenant data in the new version.

Procedure

1. Start ARIS Cloud Controller.
2. Make sure all runnables are running. If any of them is not running, enter the command **startall** and wait until all runnables are in the **STARTED** status.
3. Create all additional tenants before you restore them.
4. If you use an external database management system, create schemes and assign them to these tenants. For detailed information, see the ARIS Server Installation Guide.
5. Restore the data using the command **restore tenant <tenantName> from <pathToStoredTenantBackup username=system password=manager**.

   Example **restore tenant default from "C:/tenantBackup/Backup_Tenant_default.acb" username=system password=manager**.

The tenant data is restored in the new version.

3.4 Data migration (version 9.x or older)

You must migrate your existing data in order to use it in a newer version of ARIS Risk & Compliance Manager. This also applies when upgrading within a main release, e.g., from version 9.7 to 9.8.

The data migration consists of two parts:

- Migration of ARIS document storage (relevant only when updating from version 4).
- Migration of the ARIS Risk & Compliance Manager database. Databases from versions older than 3.1 SR4 are no longer supported. If you want to migrate an older version, contact the Software AG support team (Page 15).

To perform the migration, commands in the Windows prompt (CMD) and commands in ARIS Cloud Controller (ACC) must be run. The running environment (CMD or ACC) appears before the respective command to be run. ARIS Cloud Controller (ACC) is available in the Windows Start menu once the installation procedure is complete (**Start > ARIS > Administration > ARIS Cloud Controller**). The Windows prompt is part of the operating system (**Start > Accessories > Command Prompt**).

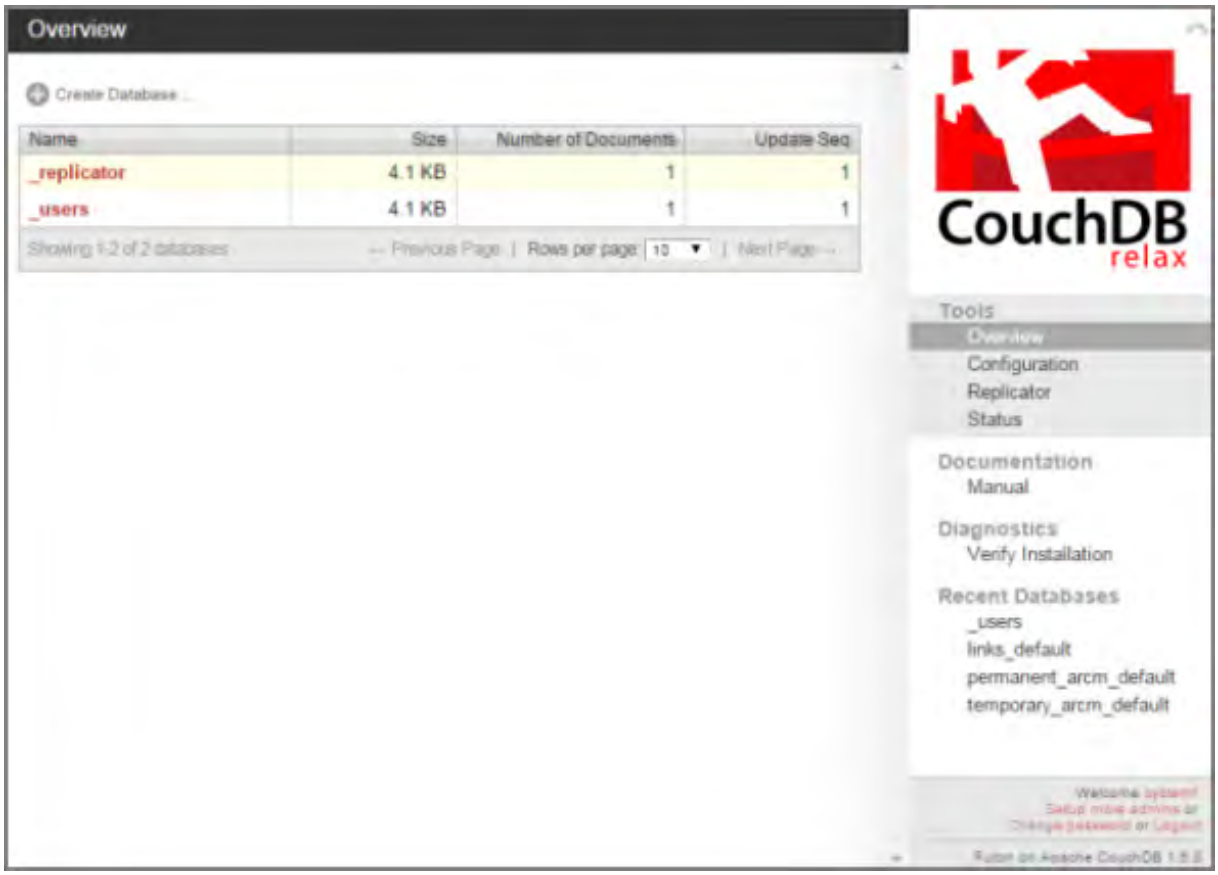
3.4.1 Migrate data from ARIS document storage (version 9.x or older)

Migrate the data from ARIS document storage in order to use it in a newer ARIS Risk & Compliance Manager version. If you are using ARIS document storage for the first time or are updating it based on a 9.x version, you do not need to perform the migration. If you are switching from version 4.x to the latest version, you must migrate the data from ARIS document storage. In the 4.x versions, there were separate installations of ARIS document storage for ARIS Server with a connection to Process Governance and ARIS Risk & Compliance Manager. As of version 9, there is only one common ARIS document storage.

The next section describes the steps for merging and migrating the two document repositories.

Procedure

1. Stop the ARIS Risk & Compliance Manager ACC runnable: **stop <arcm-runnable>**. All other runnables must be running.
2. Check the CouchDB content (**http://<your host>:19975/_utils/ -** basic authentication, login data of a user who has the **Document administrator** function privilege).
3. The CouchDB content should now appear as follows:



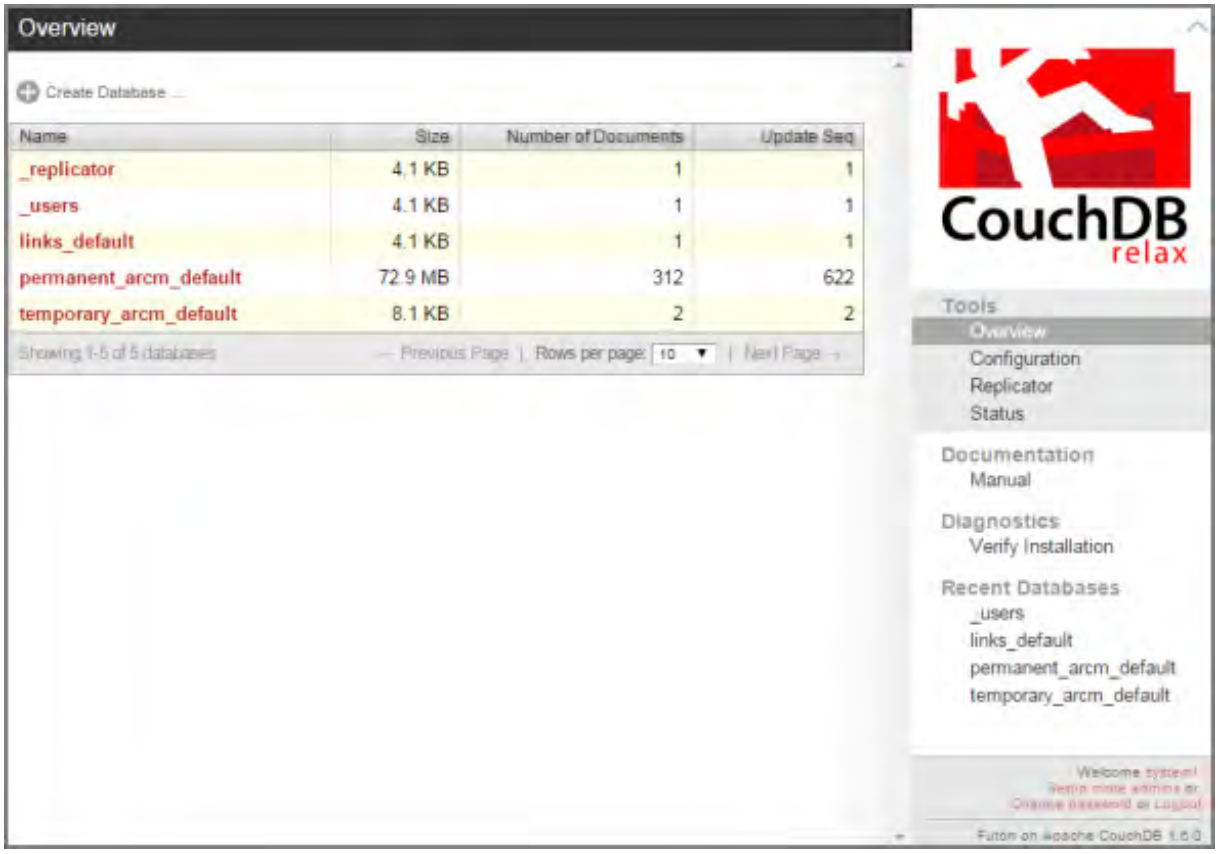
4. Start the Windows prompt (CMD) and switch to the directory **<ARCM installation directory>\server\bin\work\work_adsadmin_m\tools\bin**.
   a. Start the ARIS Risk & Compliance Manager CouchDB migration:

CMD: **y-admintool.bat migrate -r arcm -s "<backup directory ARCM 4.x CouchDB>" -t "<ARCM installation directory>\server\bin\work\work_couchdb_m\data**

b. Start the Process Governance CouchDB migration:

CMD: **y-admintool.bat migrate -s "<backup directory Governance CouchDB>" -t "<ARCM installation directory>\server\bin\work\work_couchdb_m\data"**

In the CouchDB overview, new databases should now be displayed with documents:

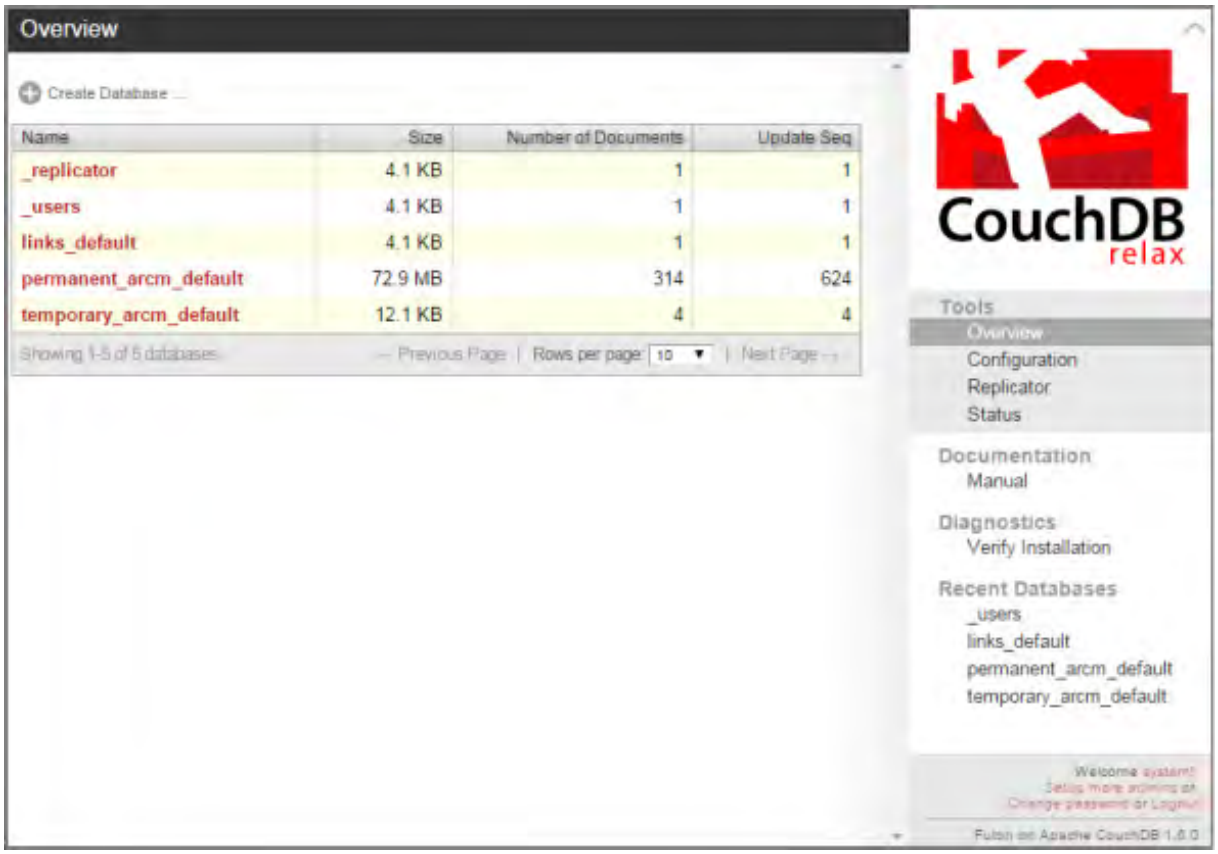


5. Start the CouchDB reindexing process:

CMD: **y-admintool.bat -t default reindex -u <USER> -p <PASSWORD>**

Replace **<USER>** and **<PASSWORD>** with the login data of a user who has the **Document administrator** function privilege.

6. After reindexing, the number of documents has increased:



The migration of data from ARIS document storage is complete.

3.4.2 ARIS Risk & Compliance Manager database migration (version 9.x or older)

Migrate your existing database in order to use it in a newer version of ARIS Risk & Compliance Manager.

Prerequisite

The **system** user has the **Document administrator** function privilege. The migration of the document link cannot be performed without this function privilege. If required, assign this function privilege before carrying out the migration and remove it again later.

Procedure

1. Stop the ARIS Risk & Compliance Manager runnable

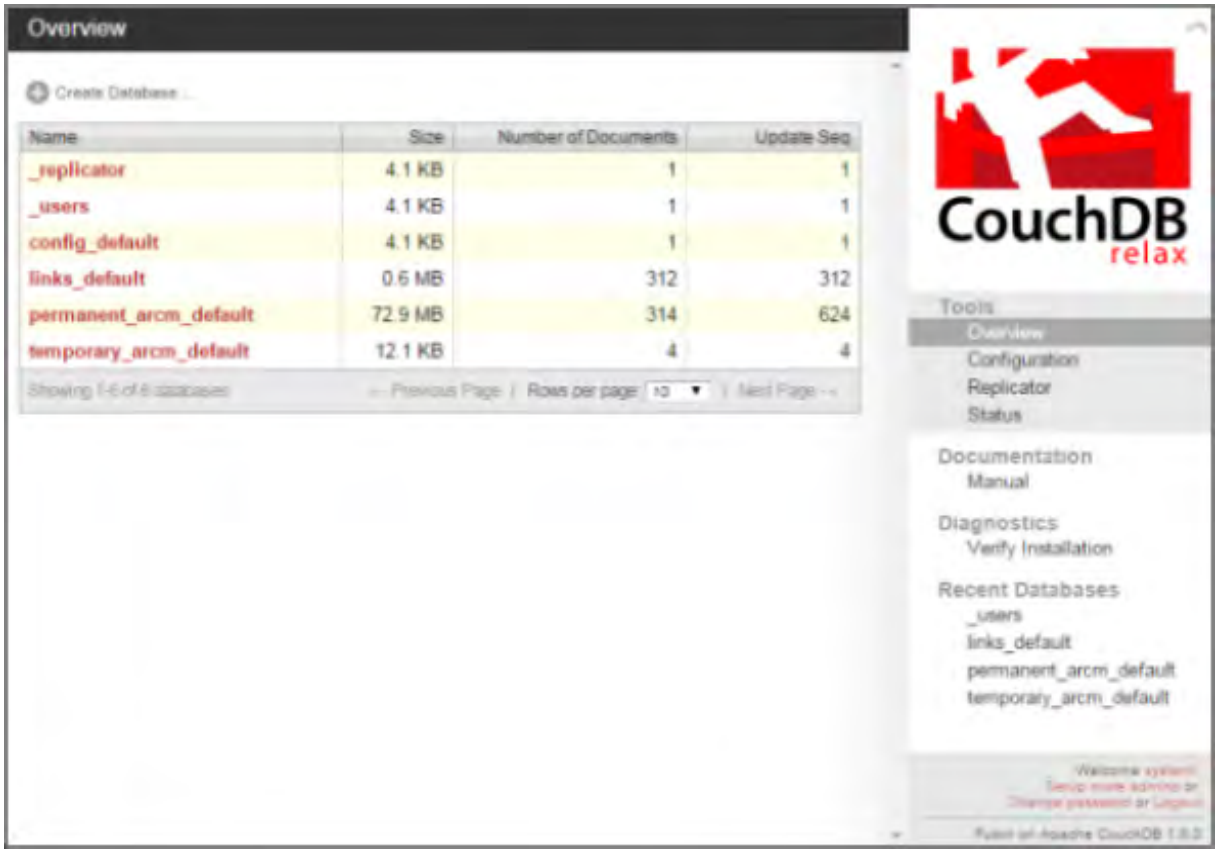
   ACC: **stop <arcm-runnable>**. All other runnables must be running.

2. Activate the data migration using the ARCM runnable via ARIS Cloud Controller (ACC):

   ACC: **reconfigure <arcm-runnable> dbms.autoStartMigration=true**

3. Start the data migration by starting the ARIS Risk & Compliance Manager runnable:

   ACC: **start <arcm-runnable>**. Starting the runnable can take some time, depending, on the data volume. The CouchDB content should now appear as follows:



4. Deactivate the automatic migration via ARIS Cloud Controller (ACC):

   ACC: **stop <arcm-runnable>**.

   ACC: **reconfigure <arcm-runnable> dbms.autoStartMigration=false**

5. Start ARIS Risk & Compliance Manager for productive operation.

   ACC: **start <arcm-runnable>**.

This completes the data migration.

3.5 Migration of event enabling in ARIS Risk & Compliance Manager

If event enabling is activated in ARIS Risk & Compliance Manager, 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 **techcommunity.softwareag.com** (**https://techcommunity.softwareag.com/pwiki/-/wiki/Main/Upgrade**) and **empower.softwareag.com (https://empower.softwareag.com/Products/Documentation/techcommunitydoc.asp).**

If ARIS Risk & Compliance Manager is not installed on the same host as the Software AG installation, follow the steps described in **The configuration of event enabling in ARIS Risk & Compliance Manager** in the **ARIS Risk & Compliance Manager Administration Guide**.

4 Glossary

Global Unique Identifier (GUID)

Unique, cross-database identifier for ARIS elements.

Java Database Connectivity (JDBC)

Interface facilitating communication between a Java application and a database.

Multi-purpose Internet Mail Extension mapping (MIME mapping)

Links a file name extension with the data file type, e.g., text, audio, image.

Oracle service ID (SID)

Unique identifier required by Oracle to identify the database instance.

Simple Mail Transfer Protocol (SMTP)

Transfer protocol specifically designed for exchanging mails. It specifies, for example, how two mail systems interact and what control messages are used for this purpose.

5 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.

6 Software AG support

ON THE WEB

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

Click https://empower.softwareag.com/

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

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