



# **ARIS Risk & Compliance Manager**

## **DATA PROTECTION MANAGEMENT CONVENTIONS**

Version 10.0 - Service Release 2

December 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 Introduction

To simplify the creation of Data Protection Management information and facilitate reusability you can model objects in ARIS Architect.

This is however only possible if the methodological and functional rules and conventions for modeling in ARIS Architect are adhered to. Only then can all modeled data 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

### 3.2 Prerequisites

To be able to use the following conventions, first import the **GDPR method extension** filter and template into ARIS Architect. This filter is part of the **GDPR Accelerator** package. For more information on installing the GDPR accelerator package, refer to the **ARCM - ARIS accelerators for GDPR Installation Guide**.

## 4 ARIS conventions



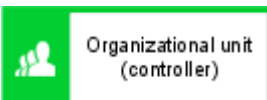


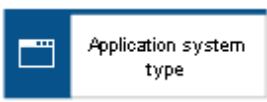
### 4.1 Create processing activities and relations

The core of the ARIS data privacy features relies on the identification of process functions (processing activities (Page 15)), defined by the European General Data Protection regulation (GDPR). Use the **GDPR processing activity** attribute in ARIS to specify whether a process function is a processing activity (**true**) or not (**false**).

Processing activities and associated information are modeled in a **Processing activity description diagram** model (API name: b0205e20-4aa5-11e7-43b7-08002721906d) in ARIS Architect to simplify master data maintenance. This model type is derived from the **Function allocation diagram** model type.

## 4.1.1 Objects and relationships

You can use the following objects in the **Processing activity description diagram** model within the framework of Data Protection Management:

Object type name	API name	Symbol type name	Symbols	ARCM name
Function	OT_FUNC	Processing activity		Process (hierarchy element)
Organizational unit	OT_ORG_UNIT	Organizational unit (processor)		Organization processor (hierarchy element)
Organizational unit	OT_ORG_UNIT	Organizational unit (controller)		Organization controller (hierarchy element)
Cluster/data model	OT_CLST	Cluster		Data (hierarchy element)
Risk	OT_RISK	Risk		Risk
Application system type	OT_APPL_SYS_TYPE	Application system type		Application system type (hierarchy element)



The following connections can be used:

<b>Object</b>	<b>Connection/API name</b>	<b>Object</b>
Organizational unit (controller)	is technically responsible for (CT_IS_TECH_RESP_1)	Processing activity
Organizational unit (processor)	carries out (CT_EXEC_1)	Processing activity
Risk	occurs at (CT_OCCUR)	Processing activity
Application system type	supports (CT_CAN_SUPP_1)	Processing activity
Processing activity	reads (CT_READ_1), has as output (CT_HAS_OUT)	Cluster

## 4.1.2 Attributes

### 4.1.2.1 Processing activities attributes

The following allocations are applicable for the **processing activity**:

ARIS attribute	API name	ARCM attribute	Notes
Name	AT_NAME	name	Mandatory field, limited to 250 characters.
Description	AT_DESC	description	
GDPR processing activity	2b70adc0-4504-11e7-43b7-08002721906d	gdpr_processingActivity	User-defined - Specifies whether or not the function is a processing activity.
Data privacy score	695b1ad0-1df9-11e7-43b7-08002721906d	gdpr_process_privacyScore	User-defined -Specifies an estimated score on a predefined scale, in order to qualify the data privacy of the hierarchy element within Data Protection Management. Example: The score derived from the Processing Activity Qualification questionnaire.

ARIS attribute	API name	ARCM attribute	Notes
Data sensitivity	332790f0-1dfa-11e7-43b7-08002721906d	gdpr_process_dataSensitivity	User-defined - Indicates whether the data requires special care and handling. Options (default values): <ul style="list-style-type: none"> <li>▪ <b>Public data</b></li> <li>▪ <b>Sensitive</b></li> <li>▪ <b>Very sensitive</b></li> <li>▪ <b>Highly sensitive</b></li> <li>▪ <b>Extremely sensitive</b></li> </ul>
Categories of recipients	6a1d7871-407f-11e7-43b7-08002721906d	-	User-defined - Can be maintained and used in GDPR reports, but is not transferred to ARIS Risk & Compliance Manager.
Categories of personal data	59f4d011-407f-11e7-43b7-08002721906d	-	User-defined - Can be maintained and used in GDPR reports, but is not transferred to ARIS Risk & Compliance Manager.
Recipients in international organizations	8959d6c1-407f-11e7-43b7-08002721906d	-	User-defined - Can be maintained and used in GDPR reports, but is not transferred to ARIS Risk & Compliance Manager.
Recipients in third countries	79e69bb1-407f-11e7-43b7-08002721906d	-	User-defined - Can be maintained and used in GDPR reports, but is not transferred to ARIS Risk & Compliance Manager.

ARIS attribute	API name	ARCM attribute	Notes
Categories of data subjects	4893f5d1-407f-11e7-43b7-08002721906d	-	User-defined - Can be maintained and used in GDPR reports, but is not transferred to ARIS Risk & Compliance Manager.
Name and contact details of the processor	a72036e1-407f-11e7-43b7-08002721906d	-	User-defined - Can be maintained and used in GDPR reports, but is not transferred to ARIS Risk & Compliance Manager.
Time limits for erasure	987ea3b1-407f-11e7-43b7-08002721906d	-	User-defined - Can be maintained and used in GDPR reports, but is not transferred to ARIS Risk & Compliance Manager.
Category of processing	b735a561-407f-11e7-43b7-08002721906d	-	User-defined - Can be maintained and used in GDPR reports, but is not transferred to ARIS Risk & Compliance Manager.
Sign-off relevant	AT_AAM_SIGN_OFF_RELEVANT	signoff	Mark the processing activity as sign-off-relevant. If not specified, the default value in ARIS Risk & Compliance Manager is false.

### 4.1.2.2 Cluster attributes

The following allocations are applicable for the **cluster**:

ARIS attribute	API name	ARCM attribute	Notes
Name	AT_NAME	name	Mandatory field, limited to 250 characters.
Description	AT_DESC	description	
Restriction level	15eaceb1-096b-11e7-2959-d4bed9888991	gdpr_restrictionLevel	User-defined -Specifies the level of legal usage of the data. Options (default values): <ul style="list-style-type: none"> <li>▪ <b>Unrestricted</b></li> <li>▪ <b>Personal data</b></li> <li>▪ <b>Sensitive personal data</b></li> <li>▪ <b>Confidential data</b></li> </ul>
Data privacy score	695b1ad0-1df9-11e7-43b7-08002721906d	gdpr_privacyScore	User-defined - Specifies an estimated score on a predefined scale, in order to qualify the data privacy of the hierarchy element within Data Protection Management. Example: The score derived from any data element qualification questionnaire.

### 4.1.2.3 Organizational unit attributes

The following attribute allocations apply to the **Organizational unit** object:

ARIS attribute	API name	ARCM attribute	Notes
Name	AT_NAME	name	Mandatory field, limited to 250 characters.
Description	AT_DESC	description	
Data protection officer	1c2537a1-4072-11e7-43b7-08002721906d	gdpr_protOfficer	User-defined - Displays the name and address of the data protection officer. Must be displayed in the report.
Data protection representative	8f055dc1-407e-11e7-43b7-08002721906d	gdpr_protRepresentative	User-defined - Displays the name and address of the data protection representative. Must be displayed in the report.
Sign-off relevant	AT_AAM_SIGN_OFF_RELEVANT	signoff	Marks the organizational unit as sign-off-relevant. If not specified, the default value in ARIS Risk & Compliance Manager is false.

#### 4.1.2.4 Application system types attributes

The following attribute allocations apply to the **application system type**:

ARIS attribute	API name	ARCM attribute	Notes
Name	AT_NAME	name	Mandatory field, limited to 250 characters.
Description	AT_DESC	description	
Data sensitivity	332790f0-1dfa-11e7-43b7-08002721906d	gdpr_dataSensitivity	User-defined - Indicates whether the data requires special care and handling. Options (default values): <ul style="list-style-type: none"> <li>▪ <b>Public data</b></li> <li>▪ <b>Sensitive</b></li> <li>▪ <b>Very sensitive</b></li> <li>▪ <b>Highly sensitive</b></li> <li>▪ <b>Extremely sensitive</b></li> </ul>
GDPR qualification score	badc1630-2014-11e7-43b7-08002721906d	gdpr_qualificationScore	User-defined - Indicates an estimated score on a predefined scale, in order to qualify the hierarchy element within Data Protection Management. Example: A score derived from any application system qualification questionnaire.

ARIS attribute	API name	ARCM attribute	Notes
GDPR risk relevance score	da6e5cb1-2014-11e7-43b7-08002721906d	gdpr_riskRelevanceScore	User-defined - Indicates an estimated score on a predefined scale, in order to qualify the risk relevance of the hierarchy element within Data ProtectionManagement. Example: The score derived from the GDPR risk assessment.
Data privacy score	695b1ad0-1df9-11e7-43b7-08002721906d	gdpr_privacyScore	User-defined - Specifies an estimated score on a predefined scale, in order to qualify the data privacy of the hierarchy element within Data Protection Management. Example: The score derived from any application system qualification questionnaire.



## 4.2 Create processing activity/process hierarchy

To model a business cluster of processing activities, for example, departments or countries in which an organization is represented, use the **Record of processing activities** model (API name: c45962f1-4b87-11e7-43b7-08002721906d), derived model from the **Value-added chain diagram**. Any hierarchy between the processing activities can be represented by the **is process-oriented superior/is process-oriented subordinate** (CT\_IS\_PRCES\_ORNT\_SUPER) connection.

In ARIS Risk & Compliance Manager, only a tree structure for hierarchies is allowed. Therefore, each processing activity can only have one superior processing activity/function.

## 4.3 Create cluster/data hierarchy

To model a hierarchy between clusters, use the **IE Data model** or the **eERM** model. The hierarchy between clusters is represented by the **consists of/is part of** (CT\_CONS\_OF\_2) connection as a direct connection between two clusters in the IE Data model or as an implicit connection built via the assignment of an eERM model to the cluster.

In ARIS Risk & Compliance Manager, only a tree structure for hierarchies is allowed. Therefore, each cluster can only have one superior cluster.

## 4.4 Glossary

### GDPR

The General Data Protection Regulation (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.

### Processing activity

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

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.

### Single sign-on (SSO)

With Single sign-on (SSO) users only need to authenticate themselves once with their 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.

## 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 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](https://empower.softwareag.com/public_directory.asp).