ARIS Risk & Compliance Manager

ARIS ACCELERATORS FOR GDPR INSTALLATION GUIDE

Version 10.0 - Service Release 3

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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 Introduction

The ARIS Accelerators for GDPR combine configurations, contents, and method enhancements for ARIS Connect and ARIS Risk & Compliance Manager in order to speed up the GDPR projects.

Prerequisites

- ARIS Connect and ARIS Risk & Compliance Manager are running.
- All relevant runnables are in state **STARTED**.
- The **system** user has all required privileges. (If not revoked by an administrator, the **system** user has all function privileges by default.)
- You have access to the unzipped data of the **GDPR accelerator.zip**.

3 Install ARIS accelerators

Import the GDPR method filter and the GDPR reports into the tenant.

3.1 Import and merge the GDPR method extension filter

Import and merge the **GDPR method extension** filter. The **GDPR method extension** filter adds derived and user-defined method constructs (model types, object types, symbols, connection types, attribute type groups and attribute types) required for GDPR regulation to the ARIS method. All other accelerators are based on this enhanced ARIS method.

Important: The filter created with this procedure must be specified as method filter for your GDPR databases in ARIS Architect (database properties > **Palette and method filter > Method filter**).

Prerequisites

See introduction (Page 2).

Procedure

1. Start **ARIS Architect**.
2. Log in as **system** user.
3. Click **ARIS >** **Administration**. The **Administration** tab opens.
4. Click **Navigation** in the bar panel if the **Navigation** bar is not activated yet.
5. Click **Configuration >** **Conventions**.
6. Right-Click **Filter**, then click **Import filter**. The dialog opens.
7. Click **Browse**. The dialog opens.
8. Navigate to the directory in which the unzipped data of the **GDPR accelerator.zip** is stored.
9. Click **<GDPR accelerator>\Filter**, then select the file **GDPR method extension.filter**.
10. Click **Open**.
11. Click **OK**. The filter is imported to the tenant and added to the list of filters in ARIS Architect.
12. Merge the filter **GDPR method extension** with other filters in use, if necessary.
13. Right-Click **Filter**, then click **New >** **Filter**. The Filter Wizard opens.
14. Enter a name for filter, for example, **My filter (GDPR)**, and optionally a description.
15. Click **Next**.
16. Enable **Merge filters**.
17. Click **Next**.
18. Enable the filters to be merged, for example, **My filter** and **GDPR method extension**.
19. Click **Finish**.

The filter is created. It combines all settings of the merged filters.

Now specify this filter for your GDPR databases in ARIS Architect (database properties > **Palette and method filter > Method filter**.

3.2 Import GDPR reports

The GDPR reports contain ARIS and ARIS Risk & Compliance Manager reports for internal and external use. For example, the **Output record of processing activities**, **Output GDPR management report**, or analyses such as the **Output data allocation matrix report** or the **Output survey intelligence report**.

3.2.1 Import ARIS Risk & Compliance Manager reports

Import the GDPR reports of ARIS Risk & Compliance Manager.

Prerequisites

See introduction (Page 2).

Procedure

20. Start **ARIS Architect**.
21. Log in as **system** user.
22. Click **ARIS >** **Administration**. The **Administration** tab opens.
23. Click **Navigation** in the bar panel if the **Navigation** bar is not activated yet.
24. Click **Evaluations**.
25. Create a new category or import the reports into an existing category.
26. To create a new category, right-click **ARCM reports**, then select **New > Category**.
27. Enter a category name, for example, **GDPR**.
28. Click **OK**.
29. To import the reports, right-click the relevant category, then select **Import script**. The dialog opens.
30. Navigate to the directory in which the unzipped data of the **GDPR accelerator.zip** is stored.
31. Select the path **<GDPR accelerator>\Reports\ARCM reports**.
32. Select the reports **Output extended GDPR Management Report.arx**, **Output GDPR management report.arx**, **Output record of processing activities.arx**, and **Output survey intelligence report.arx**.
33. Click **Open**. The **Import scripts in use** dialog opens and lists the scripts that the imported scripts require when being executed. This dialog is displayed for every report to be imported. Therefore, repeat the next two steps with every report.
34. Enable all scripts in the dialog in order to import them along with the report.
35. Click **OK**.

The GDPR reports are imported.

Warning

If you modify the GDPR reports according to your requirements, change the names to make sure they will not be overwritten by an update.

3.2.2 Import ARIS Architect reports

Import the GDPR reports of ARIS.

Prerequisites

See introduction (Page 2).

Procedure

1. Start **ARIS Architect**.
2. Log in as **system** user.
3. Click **ARIS >** **Administration**. The **Administration** tab opens.
4. Click **Navigation** in the bar panel if the **Navigation** bar is not activated yet.
5. Click **Evaluations > Reports**.
6. Right-click **ARIS Risk & Compliance Manager**, then select **Import script**. The dialog opens.
7. Navigate to the directory in which the unzipped data of the **GDPR accelerator.zip** is stored.
8. Select the path **<GDPR accelerator>\Reports\Reports_ARIS Risk & Compliance Manager**.
9. Click the report **Output data allocation matrix.arx**.
10. Click **Open**.

The GDPR reports are imported.

Warning

If you modify the GDPR reports according to your requirements, change the names to make sure they will not be overwritten by an update.

4 Restore GDPR databases

Restore the GDPR databases for ARIS. They contain the complete GDPR regulation as ARIS model as well as the two required GDPR questionnaires for describing (**Processing Activity Documentation**) and assessing (**Processing Activity Qualification**) the identified processing activities.

Prerequisites

See introduction (Page 2).

Procedure

1. Start **ARIS Architect**.
2. Log in as **system** user.
3. Click **ARIS >** **Explorer**. The **Explorer** tab opens.
4. Click **Navigation** in the bar panel if the **Navigation** bar is not activated yet.
5. In the Explorer tree, right-click your connection to the ARIS Server, then select **Restore Database**. The Restore Wizard opens.
6. Click **Select**.
7. Navigate to the directory in which the unzipped data of the **GDPR accelerator.zip** is stored.
8. Select the path **<GDPR accelerator>\Databases**.
9. Click the database file **GDPR questionnaires.adb**.
10. Click **Open**.
11. Click **Finish**.
12. Repeat these steps with the database file **GDPR regulation model.adb**.

The databases are available.

5 Import GDPR queries

Import the GDPR queries required by the data feeds of GDPR dashboards. You can output the interrelationships between database items as graphics and in a table with the help of queries. Queries are defined based on graphics. The GDPR queries are required for the predefined GDPR dashboards.

Prerequisites

See introduction (Page 2).

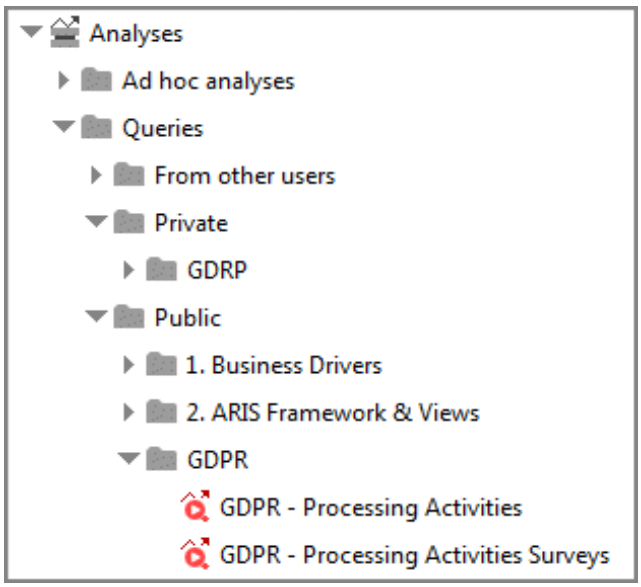
Procedure

1. Start **ARIS Architect**.
2. Log in as **system** user.
3. Click **ARIS >** **Administration**. The **Administration** tab opens.
4. Click **Analysis >** **Queries**.
5. Right-click the **Private** folder.
6. Select **New >** **Folder**.
7. Enter a name, for example, **GDPR**.
8. Right-click the **GDPR** folder, then select **Import query**. The dialog opens.
9. Navigate to the directory in which the unzipped data of the **GDPR accelerator.zip** is stored.
10. Select the path **<GDPR accelerator>\Dashboards\Octopus queries backup**.
11. Click the file **GDPR - Processing Activities Surveys.eqi**.
12. Click **Import query**.
13. Click **Next**.
14. Select the **GDPR** folder, then click **Finish**.
15. Click **OK**. The query **GDPR - Processing Activities Surveys** is imported.
16. Repeat the steps 8 - 20 with the query file **GDPR - Processing Activities.eqi**.
17. In the Explorer tree, click the **GDPR** folder.
18. Select **Processing Activities Surveys** and **GDPR - Processing Activities**.
19. Right-click the selected queries, then click **Publish**. The **Publish query** dialog opens.
20. Click **New group**.
21. Enter the name **GDPR**.
22. Click **OK**.

The GDPR queries are imported and published. There is a **GDPR** folder with the queries **GDPR - Processing Activities** and **GDPR - Processing Activities Surveys**.

Example

The structure should now appear as follows.



6 Create a GDPR impact type in ARIS Risk & Compliance Manager

You can evaluate and assess a risk based on various impact types. The GDPR impact type is used for risks related to processing activities. The data protection officer uses the GDPR impact type to decide whether or not a processing activity involves a risk for a data subject.

Prerequisites

- See introduction (Page 2).
- You have the **System administrator** role.

Procedure

1. Start ARIS Risk & Compliance Manager.
2. Click **Administration**.
3. Under **System management**, click **System**.
4. Click **Risk Management**. The form is displayed.
5. Click **New** in the **Impact types** row. The **Create impact type** dialog opens.
6. Select **No template (create new impact type)**.
7. Click **OK**. The **Impact type** form opens.
8. Enter a name for the impact type.
9. Assign impact count and frequencies for the qualitative assessment ( ) or create new ones ( ).
10. Specify the colors in which the impact type is to be displayed in the risk matrix (qualitative).
11. Edit the optional fields. Enter a description, for example.
12. Click **Save**.

The impact type is created.

Example

The GDPR impact type could look like this:

7 Install ARIS Connect accelerators

GDPR accelerators for ARIS Connect enhance the **classic** configuration set for easy and standardized gathering of processing activities. By using the enhanced ARIS Connect factsheets for GDPR, many people of a company can contribute to the GDPR project. ARIS Aware dashboards for GDPR provide a transparent overview of the processing activities of each organizational unit and the status of GDPR surveys and GDPR risk assessments.

7.1 Import dashboards into ARIS Connect

Import dashboards into the ARIS Connect Repository.

Prerequisites

See introduction (Page 2).

Procedure

1. Start ARIS Connect.
2. Log in as **system** user.
3. Click **Repository**.
4. Click **Dashboards & Data feeds**.
5. Click **Import. The dialog opens.** The dialog opens.
6. Click **Select import file.**
7. Navigate to the directory in which the unzipped data of the **GDPR accelerator.zip** is stored.
8. Select the path **<GDPR accelerator>\Dashboards\AWARE export**.
9. Click the file **GDPR+-+Overview.zip**. The file is in **ZIP** format and contains one dashboard and the relevant data feeds. The file also includes the dashboard permissions.
10. Click **Open**. The **File upload** dialog is closed.
11. If the dashboards available in the repository should be replaced, activate the option **Overwrite if already exists**.
12. If the dashboard permissions contained in the dashboard file should also be imported, activate the option **Import privileges**. This option is activated by default.
13. Click **Import**.
14. Repeat the steps 9 - 13 for the **GDPR+-+Workflow.zip**.

The dashboards and data feeds used by these dashboards are imported. The dashboards **GDPR – Overview** and **GDPR – Workflow** are displayed in the dashboards list. The data feeds under **Data Feeds**.

7.2 Provide the GDPR configuration for ARIS Connect and ARIS Server

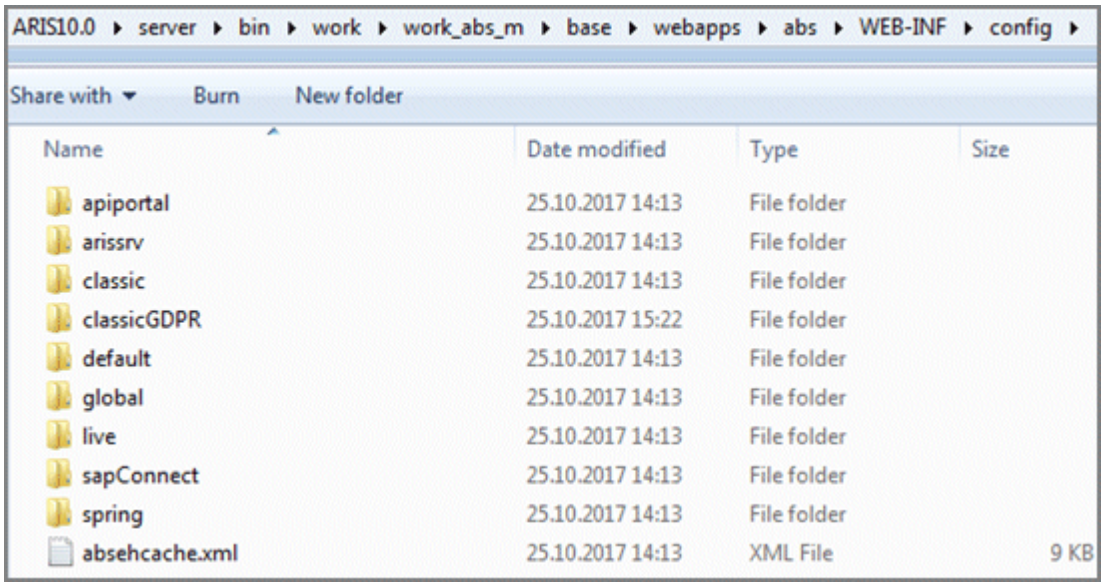
Provide the configuration for ARIS Connect and ARIS Server.

Prerequisites

See introduction (Page 2).

Procedure

1. Start ARIS Cloud Controller on your ARIS Server. For detailed information on ARIS Cloud Controller, refer to the **ARIS Cloud Controller (ACC) Command-Line Tool** manual.
2. Stop the runnable **copernicus_m** using the command **Stop copernicus_m**.
3. Stop the runnable **abs_m** using the command **Stop abs_m**.
4. Use the command **list** to make sure the runnables have the status **STOPPED**.
5. Start the **Windows Explorer**.
6. Navigate to the directory in which the unzipped data of the **GDPR accelerator.zip** is stored.
7. Select the path **<GDPR accelerator>\Configuration sets\cop_complete_classicGDPR**, then copy the folder **classicGDPR**.
8. Paste the folder from the clipboard to the directory **<ARIS installation folder>\ARIS10.0\server\bin\work\work_copernicus_m\base\webapps\ROOT\WEB-INF\config**.
9. Select the path **<GDPR accelerator>\ Configuration sets\abs_complete_classicGDPR**, then copy the folder **classicGDPR**.
10. Paste the folder from the clipboard to the directory **<ARIS installation folder>\ ARIS10.0\server\bin\work\work_abs_m\base\webapps\abs\WEB-INF\config**. The folder **config** should now appear as follows. If you have additional ARIS Connect data, the content of this folder may differ.



11. Start the runnable **copernicus_m** using the command **Start copernicus_m**.
12. Start the runnable **abs_m** using the command **Start abs_m**.
13. Use the command **list** to check the correct status of the runnables (**STARTED**).

The **classicGDPR** modification set is available. Now you can activate the GDPR configuration and provide the GDPR dashboards.

7.3 Activate the GDPR configuration and provide the GDPR dashboards

Activate the **classicGDPR** modification set.

Prerequisites

- See introduction (Page 2).
- Your ARIS Server is enabled for ARIS Aware that is, the **dashboarding** runnable is activated and running (see **ARIS Server Installation Guide** or **ARIS Cloud Controller (ACC) Command-Line Tool**).
- A valid server license for **Aware (YCSAW) ARIS Connect Server** extension pack is available in ARIS Administration.
- The **classicGDPR** modification set and the **classicGDPR** template are available (Page 11).

Procedure

1. Start ARIS Connect.
2. Log in as **system** user.
3. Click **<user name> > Administration**. The **ARIS Administration** opens.
4. Click **Manage configuration sets**. The current configuration set is marked as (active). You can edit custom modification sets only.
5. Move the mouse pointer over the **classicGDPR** modification set.
6. Click **Activate**. The **classicGDPR** modification set is marked as (active).
7. Click **Manage configuration sets** and select the **classicGDPR** modification set.
8. Click **Create** in the **Configuration and modification sets** area. The **Create modification set** dialog opens.
9. Enter the name for the modification set, for example, **classicGDPR_dashboards**.
10. Select the **classicGDPR** template.
11. Click **Create**. The modification set is created. It contains all elements from the selected template.
12. Move the mouse pointer over the **classicGDPR_dashboards** modification set and click **Edit**. The **Define modification set** page opens.
13. Click **Fact sheets**. All items available for fact sheets are displayed.
14. Navigate to the **orgUnit** item.
15. Move the mouse pointer over the **orgUnit** item and click **Edit**. The **Subordinate sheets (content)** page opens. The items in the different areas are displayed.
16. Move the mouse pointer over **Dashboards** and click **Edit**. The **Dashboards** page opens.
17. Click **Add**. The **Add Dashboard** dialog opens. Two GDPR dashboards are displayed.
18. Copy the name of **GDPR – Overview**.
19. Paste **GDPR – Overview** from the clipboard to the **Name** field of the relevant languages.

20. Click **Add**.
21. Repeat the steps 17 - 20 with the dashboard **GDPR – Workflow**.

The GDPR configuration is activated and the GDPR dashboards are available. For detailed information on the administration of dashboards, refer to the chapter **Administrate dashboards ARIS Aware** in the online help for ARIS Connect.

7.4 Create GDRP Dashboards user group in ARIS Connect

Create a new user group for GDPR Dashboard users. License privileges can be assigned through the group or directly to the user. The type of assignment is displayed in the user management.

Prerequisites

See introduction (Page 2).

Procedure

1. Start ARIS Connect.
2. Log in as **system** user.
3. Click **<user name> > Administration**. The **ARIS Administration** opens.
4. Click **User management**, then select **User groups**. The list of user groups opens.
5. Click **Add user group**.

   Enter the name **GDPR Dashboard**. It is important to use exactly this group 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. Enter an optional description.
7. Click **Save**. The user group is created.
8. Click **Associated users**.

   Click **Edit assignment.** The **Associate users** dialog opens.
9. Add all users you want to assign to the **GDPR Dashboard** group. Use the filter ( ) to limit the list of users based on specific search criteria.

   Enable the check boxes of the relevant users in the box of the available users, and click **Add**. The users are transferred to the box of the associated users. To remove items from the **Associated users** box, enable the check boxes of the relevant items in this box, and click **Remove**.

   To associate all available items, click **Add all**, and click **Remove all** to remove all associations.

The **GDPR Dashboard** group is created with the relevant users. The associated users can now use the GDPR dashboards.

7.5 Define a URL alias for the GDPR dashboards

Defining a URL alias for the GDPR dashboards enables you to shorten the link used in dashboards and data feeds. 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.

Prerequisites

- Your ARIS Server is enabled for ARIS Aware that is, the **dashboarding** runnable is activated and running (see **ARIS Server Installation Guide** or **ARIS Cloud Controller (ACC) Command-Line Tool**).
- A valid server license for **Aware (YCSAW) ARIS Connect Server** extension pack is available in ARIS Administration.

Procedure

1. Start ARIS Connect.
2. Log in as **system** user.
3. Click **<user name> > Administration**. The **ARIS Administration** opens.
4. Click **Dashboards**.
5. Click ✚ **Add configuration**. The **Add property** dialog opens.
6. Enter the following properties:
   a. Name: **ARIS**

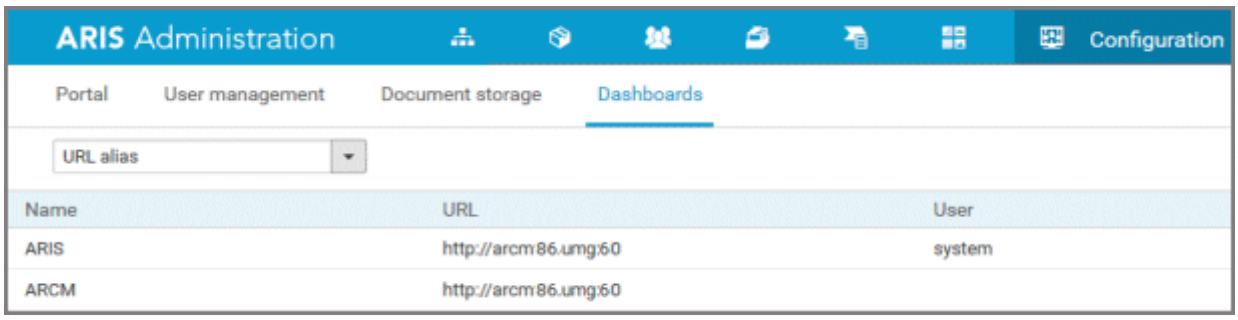
      It is important to use exactly this name, to make sure the GDPR dashboards are displayed.

   b. Protocol: **http**
   c. Host: <name of your server>
   d. Port: <load balancer port>
   e. User: system
   f. Password: <password of the **system** user >
7. Click **Save**.
8. Repeat these steps for the URL alias **ARCM**. Use the same properties except for the **User** and **Password** fields that remain empty.

The URL aliases for the GDPR dashboards **ARIS** and **ARCM** are defined.

Example

The URL alias page should now appear as follows.



7.6 Enable single sign-on (SSO)

Reconfigure the **dashboarding** runnable to enable single sign-on (SSO) to allow users to work with all ARIS components as soon as they are logged in to the domain.

Procedure

1. Start ARIS Cloud Controller on your ARIS Server.
2. Stop the runnable **dashboarding** using the command **stop dashboarding_m**.
3. Enter the following commands:
   a. **reconfigure dashboarding_m grc.sso.guids="fe8c0c27-49ed-4a41-b3bd-04237096b6a6, 6618fefe-8777-451b-b988-bf1dc372ee43"**
   b. **reconfigure dashboarding_m grc.sso.active=true**
4. Start the runnable **dashboarding** using the command **start dashboarding_m**.

The runnable is reconfigured and single sign-on (SSO) is enabled.

Warning

If you also use the **DPG Pathfinder®** package, you must combine the two soo.guids in one single reconfigure command. The combined command must look like this:

reconfigure dashboarding_m grc.sso.guids="fe8c0c27-49ed-4a41-b3bd-04237096b6a6, 6618fefe-8777-451b-b988-bf1dc372ee43, acb19ed5-aafe-47af-9e99-3bb1e77f2a7e, 2218c152-b69c-43e0-b452-a051b3b6ad6e"

If the commands are executed successively the command that was executed first is overwritten.

7.7 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.

8 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.

9 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.