



# **ARIS Risk & Compliance Manager**

## **DPG PATHFINDER®**

### **INSTALLATION GUIDE**

Version 10.0 - Service Release 3

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 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 DPG Pathfinder® data set, created by DP Governance Ltd., is a comprehensive risk assessment framework to assess an organization's ability to meet regulatory data protection requirements and to protect their data throughout all business operations. It consists of two sets of questions:

- The GDPR questionnaire, structured according to the articles of GDPR.
- The data security questionnaire in general, structured in six data protection risk categories like data governance or information security.

### 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 **DPG GDPR.zip** and/or the **DPG Pathfinder.zip**.

## 3 Install DPG GDPR questionnaires

The DPG GDPR questionnaires can be used to assess if an organization is prepared for GDPR. The questionnaire models can be used with ARIS Risk & Compliance Manager Survey management. 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. For example, the organizations to be assessed and the interviewees must be correctly modeled. For detailed information, refer to the Survey Management Conventions manual and the online help of ARIS Risk & Compliance Manager.




### 3.1 Restore DPG GDPR questionnaire database

Import the DPG GDPR questionnaire database for ARIS. It contains the DPG GDPR questionnaires as ARIS model.

#### Prerequisites

See introduction.

#### 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 **DPG GDPR.zip** is stored.
8. Select the path **<DPG GDPR>\Databases**.
9. Click the database file **SAG DPG GDPR Data Set v1.1 082017.adb**.
10. Click **Open**.
11. Click **Finish**.

The database is available.

### 3.2 Apply questionnaire models for survey management

In order to synchronize the DPG GDPR questionnaires with ARIS Risk & Compliance Manager, add the required objects and models in ARIS Architect, like organizations to be assessed and interviewees, then execute **Synchronize ARCM**. For detailed information on this procedure and the modeling conventions, refer to the online help of ARIS Risk & Compliance Manager and the **Survey Management Conventions** manual.

## 4 Install DPG Pathfinder® questionnaires and dashboards

The DPG Pathfinder® questionnaires can be used to assess the data protection capabilities of an organization. They are structured in a variety of risk categories, so-called wedges and their shards. The results are displayed in ARIS Aware dashboards (**DPG Survey Overview** and **DPG Survey Issues**).

The questionnaire models are prepared to be used with the ARIS Risk & Compliance Manager Survey Management. 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. For example, the organizations to be assessed and the interviewees must be correctly modeled. For detailed information, refer to the Survey Management Conventions manual and the online help of ARIS Risk & Compliance Manager.




### 4.1 Restore the DPG Pathfinder® questionnaires database

Import the DPG Pathfinder® database for ARIS. It contains the DPG Pathfinder® questionnaires as ARIS model.

#### Prerequisites

See introduction.

#### 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 **DPG Pathfinder.zip** is stored.
8. Select the path < **DPG Pathfinder** > \Databases.
9. Click the database file **SAG DPG Pathfinder Data Set v1.1 082017.adb**.
10. Click **Open**.
11. Click **Finish**.

The database is available.

## 4.2 Apply questionnaire models for survey management

In order to synchronize the DPG GDPR questionnaires with ARIS Risk & Compliance Manager, add the required objects and models in ARIS Architect, like organizations to be assessed and interviewees, then execute **Synchronize ARCM**. For detailed information on this procedure and the modeling conventions, refer to the online help of ARIS Risk & Compliance Manager and the **Survey Management Conventions** manual.



## 4.3 Import dashboards into ARIS Connect

Import dashboards into the ARIS Connect Repository.

### Prerequisites

See introduction.

### 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.
6. Click **Select import file**.
7. Navigate to the directory in which the unzipped data of the **DPG Pathfinder.zip** is stored.
8. Select the path < **DPG Pathfinder** > \Dashboards\AWARE export.
9. Click the file **ARCM+-+DPG+Survey+Issues.zip**. The file is in **ZIP** format and can contain one or more dashboards. 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 31 to 35 with the file **ARCM+-+DPG+Survey+Overview.zip**

The dashboards and data feeds used by these dashboards are imported. The dashboards **ARCM - DPG Survey Issues** and **ARCM - DPG Survey Overview** are displayed in the dashboards list. The data feeds under **Data Feeds**.






## 4.4 Create modification set and provide dashboards

Create the DPG modification set.

### Prerequisites

- See introduction.
- 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 ARIS 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 **Manage configuration sets**. The current configuration set is marked as (active). You can edit custom modification sets only.
5. Select the **classic (System)** configuration set or the configuration that is usually used.
6. Click **Create** in the **Configuration and modification sets** area. The **Create modification set** dialog opens.
7. Enter the name for the modification set, for example, **classicDPG\_dashboards**.
8. Select the **classic** template.
9. Click **Create**. The modification set is created. It contains all elements from the selected template.
10. Move the mouse pointer over the **classicDPG\_dashboards** modification set and click  **Edit**. The **Define modification set** page opens.
11. Click **Fact sheets**. All items available for fact sheets are displayed.
12. Navigate to the **riskCategory** item.
13. Move the mouse pointer over the **riskCategory** item and click  **Edit**. The **Subordinate sheets (content)** page opens. The items in the different areas are displayed.
14. Click **Add**. The **Add subordinate sheet** dialog opens.
15. Select **Dashboards**.
16. Click **Add**.
17. Move the mouse pointer over **Dashboards** and click  **Edit**. The **Dashboards** page opens.
18. Click **Add**. The **Add Dashboard** dialog opens. Two GDPR dashboards are displayed.
19. Copy the name of **ARCM - DPG Survey Issues**.
20. Paste **ARCM - DPG Survey Issues** from the clipboard to the **Name** field of the relevant languages.

21. Click **Add**.
22. Repeat the steps 17 - 20 with the dashboard **ARCM - DPG Survey Overview**.

The DPG configuration is activated and the DPG 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.



## 4.5 Create DPG dashboards user group in ARIS Connect

Create a new user group for DPG 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.


### Procedure

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

Enter the name **DPG 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.

5. Enter an optional description.
6. Click **Save**. The user group is created.
7. Click **Associated users**.

Click  **Edit assignment**. The **Associate users** dialog opens.

8. Add all users you want to assign to the **DPG 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 **DPG Dashboard** group is created with the relevant users. The associated users can now use the DPG dashboards.

## 4.6 Define a URL alias for the DPG Pathfinder® dashboards

Defining a URL alias for the DPG Pathfinder® 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

See **introduction**.

- 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: leave this field empty
  - f. Password: leave this field empty
  - g. Click **Save**.

The URL alias **ARCM** for the DPG Pathfinder® dashboard is defined.

## 4.7 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="acb19ed5-aafe-47af-9e99-3bb1e77f2a7e, 2218c152-b69c-43e0-b452-a051b3b6ad6e"**
  - 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 **ARIS Accelerators for GDPR** 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="acb19ed5-aafe-47af-9e99-3bb1e77f2a7e,  
2218c152-b69c-43e0-b452-a051b3b6ad6e,fe8c0c27-49ed-4a41-b3bd-04237096b6a  
6, 6618fefe-8777-451b-b988-bf1dc372ee43fe8c0c27"
```

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

## 5 Glossary

### DPG

DP Governance Ltd. (DPG) is a London-based company with comprehensive expertise in the field of data protection.

### 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.

## 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.

## 7 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).