



ARIS Risk & Compliance Manager

CONTROL MANAGEMENT CONVENTIONS

Version 10.0 - Service Release 4

April 2018

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 for Control Management.....	4
4.1	Create users and user groups.....	4
4.1.1	Objects and relationships	4
4.1.2	Attributes of roles and persons	6
4.2	Create a control execution task and its relationships.....	8
4.2.1	Objects and relationships	8
4.2.2	Attributes of a control execution task.....	9
5	Support	13
6	Disclaimer	14

1 Introduction

The documentation of business processes and controls, risks, etc. using models in ARIS brings a variety of advantages (consistency, reduction of complexity, reusability, potential for evaluation, integrity, etc.).

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 for Control Management

4.1 Create users and user groups

4.1.1 Objects and relationships

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

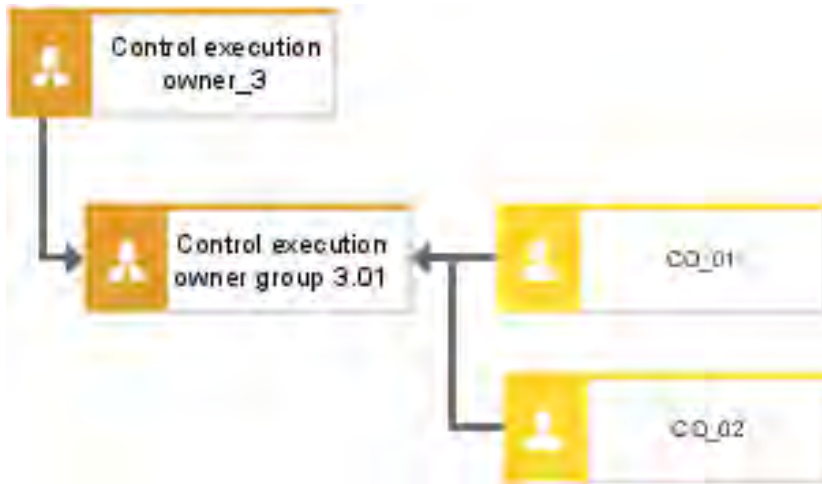


Figure 1: Structure of users/user groups

The superior role **Control execution owner_3** determines the roles held by the subordinate roles in ARIS Risk & Compliance Manager. The two roles are connected to one another with the **is generalization of** connection. **Control execution owner group 3.01** is thus a generalization of **Control execution owner_3**. The name of the superior role defines the role and level of the group to be created. <role>_<level>, that is, Control execution owner_3 > role: control execution owner, level: 3 (or object-specific). A user group is not generated in ARIS Risk & Compliance Manager for the superior role (**Control execution 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 **Control execution owner group 3.01** user group is generated in ARIS Risk & Compliance Manager with the **Control execution owner** role and level 3 (that is, object-specific privileges). In addition, the users with the user IDs **CO_01** and **CO_02** are 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.controlmanager	Control manager	1, 2, and 3
roles.controlexecutionowner	Control execution owner	3 only

4.1.2 Attributes of roles and persons

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 a control execution task and its relationships

4.2.1 Objects and relationships

The objects and relationships for Control Management can be modeled in ARIS to make master data maintenance easier. The model **Business controls diagram** (MT_BUSY_CONTR_DGM) is intended for this. The following objects and relationships between those objects are used:

Object	Connection	Object	Remark
Control	is initiated by	Control execution task	A control execution task is used to describe the documentation of control executions. For example, it specifies documentation activities, frequencies, and result formats.
Control execution task	affects	Organizational unit	Assigns the organizational unit affected by the documentation.
Role	is assigned to	Control execution task	Assigns the user group (with the Control execution owner role) to the control execution task as the responsible group.

4.2.2 Attributes of a control execution task

The following general allocations are applicable for the Control execution task object (OT_CTRL_EXECUTION_TASK):

ARIS attribute	API name	ARCM attribute	M*	Notes
Name	AT_NAME	name	X	
GUID of object		guid	X	
Control documentation activities	AT_CTRL_EXECUTION_TASK_DOC	activities	X	Describes the activities necessary for documentation of the control execution.
Selection	AT_CTRL_EXECUTION_TASK_SELECTIVITY	selectivity	X	Indicates the scope of the documentation to be performed: Complete documentation, sample, sample %, number of samples.
Result format	AT_CTRL_EXECUTION_TASK_RESULT_FORMAT	result_format	X	Indicates the format for result calculation.

ARIS attribute	API name	ARCM attribute	M*	Notes
Control documentation frequency	AT_CTRL_EXECUTION_TASK_FREQUEN CY	frequency	X	Indicates the interval at which control execution is to be documented. Available options are: <ul style="list-style-type: none"> ▪ One-off ▪ Daily ▪ Weekly ▪ Monthly ▪ Quarterly ▪ Semi-annually ▪ Annually ▪ Every second year ▪ Event-driven
Event-driven control documentation allowed	AT_EVENT_DRIVEN_CTRL_EXECUTION_ ALLOWED	event_driven_all owed	X	Indicates whether generation of ad-hoc documentation of control execution is allowed.
Time limit for documentation of control execution in days	AT_CTRL_EXECUTION_TASK_DURATIO N	duration	X	Indicates the number of days available to the control execution owner for documentation of the control execution. This period determines the date by which documentation of control execution must be completed.
Start date	AT_CTRL_EXECUTION_TASK_START_D ATE	startdate	X	Indicates the date from which control execution is to be documented.

ARIS attribute	API name	ARCM attribute	M*	Notes
End date	AT_CTRL_EXECUTION_TASK_END_DATE	enddate		Indicates the date up to which control execution is to be documented.
Length of documented period	AT_CTRL_EXECUTION_TASK_CTRL_PERIOD	control_period	X	Specifies the period for which control executions are to be documented. Available options are: <ul style="list-style-type: none"> ▪ Day ▪ Week ▪ Month ▪ Quarter ▪ Half-year ▪ Year
Offset in days	AT_CTRL_EXECUTION_TASK_OFFSET	offset	X	Indicates the number of days by which the documented period precedes the documentation period.
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		Indicates the linked documents.

ARIS attribute	API name	ARCM attribute	M*	Notes
ARIS document storage Link 1	AT_ADS_TITL1/AT_ADS_LINK_1	documents		Indicates the linked documents.
ARIS document storage Link 2	AT_ADS_TITL2/AT_ADS_LINK_2			
ARIS document storage Link 3	AT_ADS_TITL3/AT_ADS_LINK_3			
ARIS document storage Link 4	AT_ADS_TITL4/AT_ADS_LINK_4			
		affected_orgunit	X	Is identified via the connection to the organizational unit. A corresponding link to the relevant organizational unit in ARIS Risk & Compliance Manager is saved.
		owner_group	X	Is identified via the connection to the role and specifies the assigned control execution owner group.

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

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.