software AG

ARIS Risk & Compliance Manager

REGULATORY CHANGE MANAGEMENT CONVENTIONS MANUAL

Version 9.8 – Service Release 4

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Contents

1   Introduction

The documentation of business processes and functions 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 can all modeled data be transferred to ARIS Risk & Compliance Manager (ARCM) and reused there.

1   Introduction

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 use 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

4.1   Create users and user groups

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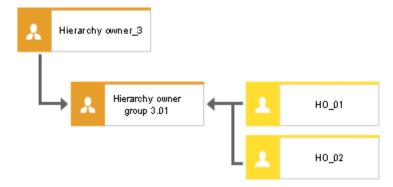

Figure 1: Structure of users/user groups (organizational chart)

The superior role **Hierarchy owner_3** determines the roles held by the subordinate roles in ARIS Risk & Compliance Manager. Both roles are connected to one another with the **is generalization of** connection. **Hierarchy owner group 3.01** is thus a generalization of **Hierarchy owner_3**. The name of the superior role defines the role and level of the group to be created. <Role>_<Level>, i.e., Hierarchy owner_3 > role: Hierarchy owner, level: 3 (or object-specific). A user group is not generated in ARIS Risk & Compliance Manager for the superior role (**Hierarchy owner_3**).

The following applies for the various levels:

- Level 1: cross-client

  Means that the privileges are assigned across clients.

- Level 2: client-specific

  Means that the privileges are assigned for a particular client.

- Level 3: object-specific

  Means that the privileges are assigned for a particular object, e.g. policy, risk or control.

For the above example, the **Hierarchy owner group 3.01** user group is generated in ARIS Risk & Compliance Manager with the Hierarchy owner role and the level 3 (i.e., object-specific privileges). In addition, the users with the user IDs **HO_01** and **HO_02** are generated.

MAPPING ROLE NAME (ARCM) TO ROLE (ABA)

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 conventions manuals.

Role (ARCM)	Role (ABA)	Notes
roles.hierarchyauditor	Hierarchy auditor	Level 1 and 2
roles.hierarchymanager	Hierarchy manager	Level 1 and 2
roles.hierarchyowner	Hierarchy owner	Level 3 only

MAPPING ROLE NAME (ARCM) TO ROLE (ABA)

4.1.1 Role to person allocations

ROLE (ABA) TO USER GROUP (ARCM) ALLOCATIONS

The following allocations are applicable for the **Role** (user group) object:

ABA 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 (ABA) TO USER (ARCM) ALLOCATIONS

The following allocations are applicable for the **Person** (user) object:

ABA 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 **Clients** field is determined by the client into which data is imported.
		substitutes	-	The **Substitutes** field is only maintained manually.

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

4.1.2   Relation between role and technical term

To map the responsibilities between the hierarchy owner group (OT_PERS_TYPE) and the regulations (OT_TECH_TRM), the function allocation diagram (MT_FUNC_ALLOC_DGM) is used with the following connection.

Object	Connection	Object	Remark
Role	is owner of	Technical term	Allocates the user group (with the Hierarchy owner role) to the regulations.

4.2   Create the regulation hierarchy and specify regulatory change management data

The regulation hierarchy is modeled in the technical terms model in ARIS Architect using the **Technical term** object (OT_TECH_TRM). The following allocations are generally applicable for the **Technical term** object:

ABA attribute	API name	ARCM attribute	M*	Notes
Name	AT_NAME	name	X	
		isroot		**True** only for the top hierarchy element.
Short description	AT_SHORT_DESC	hnumber		
		type		Regulation hierarchy (Value = 2)
Description/ Definition	AT_DESC	description		
		status	X	Status is **true** (if active)
Sign-off-relevant	AT_AAM_SIGN_OFF_RELEVANT	signoff	X	Irrelevant for regulatory change management.
Model link	AT_AAM_MOD_LINK	modellink		
		modelguid		GUID of the model containing an occurrence of the technical term. The first available technical term model is selected.
		model_name		Name of the model (see above)
Object link	AT_AAM_OBJ_LINK	objectlink		
GUID of object		objectguid		
		children		Subordinate hierarchy elements

ABA attribute	API name	ARCM attribute	M*	Notes
		so_owner		Associated sign-off owner group
		owner_group		Associated hierarchy owner group
		tester		Not relevant for this hierarchy type.

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

To use regulatory change management the following attributes can be specified in the **Regulatory change management** group, as well:

ABA attribute	API name	ARCM attribute	M*	Notes
Review-relevant	AT_REVIEW_RELEVANT	reviewRelevant	X	Marks regulations as review relevant. Accordingly, the attributes specified here and the assignment of precisely one group with the **Hierarchy owner** role become mandatory.
Review activities	AT_REVIEW_ACTIVITY	activities	(X)	Describes the activities to be executed during the review. Becomes a mandatory field if regulations were marked as review-relevant.
Review frequency	AT_REVIEW_FREQUENCY	frequency	(X)	Indicates the interval at which the review is to be carried out. Available options are: ▪ One-off ▪ Daily ▪ Weekly ▪ Monthly ▪ Quarterly ▪ Semi-annually ▪ Annually ▪ Every second year ▪ Event-driven Becomes a mandatory field if regulations were marked as review-relevant.

ABA attribute	API name	ARCM attribute	M*	Notes
Event-driven review allowed	AT_EVENT_DRIVEN_REVIEW_ALLOWED	event_driven_allowed	(X)	Outputs whether ad hoc reviews are allowed for regulations. Becomes a mandatory field if regulations were marked as review-relevant.
Time limit for the execution of the review in days	AT_REVIEW_EXECUTION_TIME_LIMIT	duration	(X)	Outputs the number of days available to the hierarchy owner to process the review. Becomes a mandatory field if regulations were marked as review-relevant.
Start date of review	AT_REVIEW_START_DATE	startdate	(X)	Outputs the date from which the first review is to be generated. Becomes a mandatory field if regulations were marked as review-relevant.
End date of review	AT_REVIEW_END_DATE	enddate		Outputs the date up to which reviews are to be generated.

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

4.3   Deactivation of objects and relationships

The objects and relationships in ARIS Risk & Compliance Manager are subject to versioning to ensure traceability of changes. Therefore, objects and relationships in ARIS Risk & Compliance Manager are deactivated and not deleted. This means that the corresponding data items are not removed from the database, but rather marked as deactivated.

To deactivate objects/relationships in ARIS Risk & Compliance Manager via an import you must mark them accordingly in ARIS Architect. To do so, you use the attribute **Deactivated** (AT_DEACT). The attribute can be set for both objects and connections. As soon as the attribute is set, the object or connection will be deactivated upon the next import.

Of course, this is only the case if the objects/relationships are included in the ARIS Architect export file. After the successful import into ARIS Risk & Compliance Manager you can delete the objects/connections in ARIS Architect. If objects/relationships were deleted in ARIS Architect before a deactivation import took place you can deactivate them manually in ARIS Risk & Compliance Manager.