ARIS Risk & Compliance Manager

CONTROL MANAGEMENT CONVENTIONS MANUAL

Version 9.8 – Service Release 5

June 2016

This document applies to ARIS Risk & Compliance Manager Version 9.8 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.

Contents

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 can all modeled data be transferred to ARIS Risk & Compliance Manager (ARCM) 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 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 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.

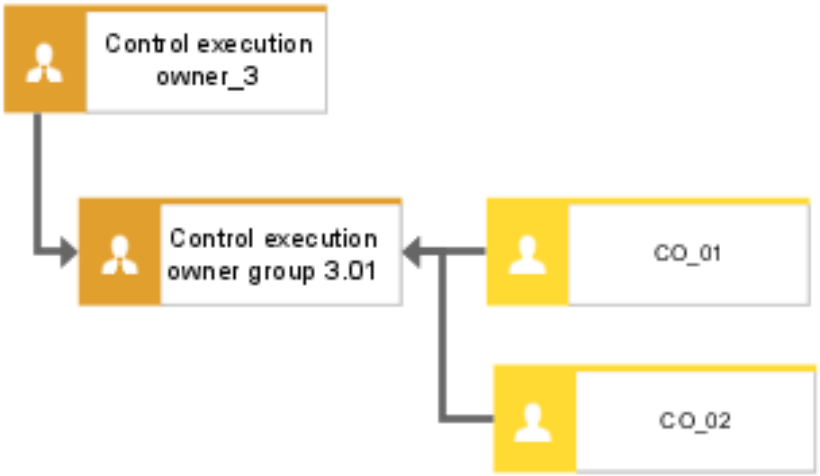

Figure 1: Structure of users/user groups

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>, i.e., 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 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 **Control execution owner group 3.01** user group is generated in ARIS Risk & Compliance Manager with the Control execution owner role and the level 3 (i.e., object-specific privileges). In addition, the users with the user IDs **CO_01** and **CO_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.controlmanager	Control manager	Level 1, 2, and 3
roles.controlexecutionowner	Control execution owner	Level 3 only

4.1.2 Attributes of roles and people

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.

4.2 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):

ABA 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.

ABA attribute	API name	ARCM attribute	M*	Notes
Control documentation frequency	AT_CTRL_EXECUTION_TASK_FREQUENCY	frequency	X	Indicates the interval at which control execution is to be documented. Available options are: ▪ 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_allowed	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_DURATION	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_DATE	startdate	X	Indicates the date from which control execution is to be documented.
End date	AT_CTRL_EXECUTION_TASK_END_DATE	enddate		Indicates the date up to which control execution is to be documented.

ABA attribute	API name	ARCM attribute	M*	Notes
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: ▪ 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 document storage link 1 ARIS document storage link 2 ARIS document storage link 3 ARIS document storage link 4	AT_ADS_TITL1/AT_ADS_LINK_1 AT_ADS_TITL2/AT_ADS_LINK_2 AT_ADS_TITL3/AT_ADS_LINK_3 AT_ADS_TITL4/AT_ADS_LINK_4	documents		Indicates the linked documents.

ABA attribute	API name	ARCM attribute	M*	Notes
		affected_orgunit	X	Determined by the connection to the organizational unit and saves a corresponding link to the affected organizational unit in ARCM.
		owner_group	X	Determined by the connection to the role and specifies the assigned Control execution owner group.

*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.