



ARIS Risk & Compliance Manager

AUDIT MANAGEMENT CONVENTIONS

Version 9.8 - Service Release 7

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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.

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Contents

| | | |
|-----------|---|----|
| 1 | Introduction | 1 |
| 2 | Text conventions | 2 |
| 3 | Content of document..... | 3 |
| 3.1 | Objectives and scope | 3 |
| 4 | ARIS conventions..... | 4 |
| 4.1 | Create users and user groups..... | 4 |
| 4.1.1 | Role to person allocations..... | 6 |
| 4.2 | Generate audit templates | 8 |
| 4.2.1 | Audits overview | 8 |
| 4.2.1.1 | Model properties | 8 |
| 4.2.1.2 | Objects, relationships and attributes | 8 |
| 4.2.1.2.1 | Task (ABA) to Audit template (ARCM) allocations | 9 |
| 4.2.2 | Audit step overview | 11 |
| 4.2.2.1 | Model properties | 11 |
| 4.2.2.2 | Objects, relationships and attributes | 11 |
| 4.2.2.2.1 | Task (ABA) to Audit step template (ARCM) allocations..... | 12 |
| 4.2.3 | Definition of the scope | 14 |
| 4.3 | Deactivation of objects and connections..... | 16 |

1 Introduction

In order to simplify the creation of audit templates and facilitate reusability you can model objects with an audit template in ARIS Architect (ABA). 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

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.

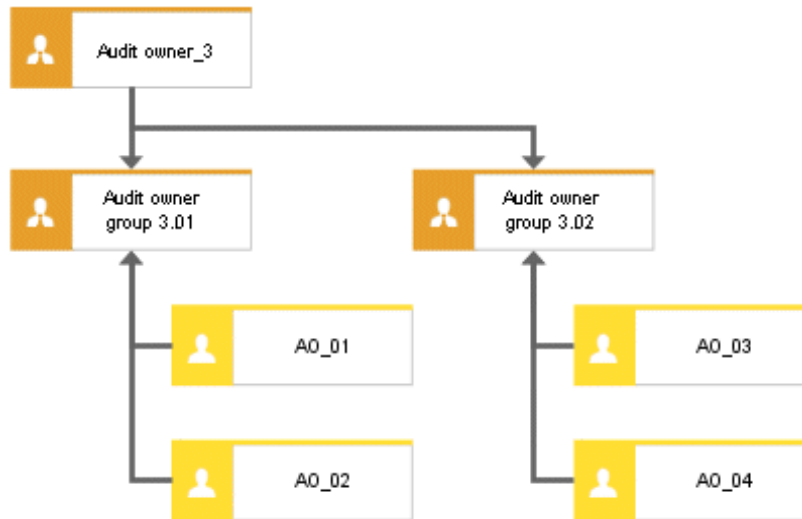


Figure 1: Structure of users/user groups (organizational chart)

The superior role **Audit 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. Thus, **Audit owner group 3.01** is the generalization of **Audit owner_3**. The name of the superior role defines the role and level of the group to be created. <Role>_<Level>, i.e., Audit owner_3 > Role: Audit owner, Level: 3 (or object-specific). A user group is not generated in ARIS Risk & Compliance Manager for the superior role (**Audit 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 **Audit owner group 3.01** user group is generated in ARIS Risk & Compliance Manager with the **Audit owner** role and the level 3 (i.e. with object-specific privileges). In addition, the users with the user IDs **AO_01** and **AO_02** are also 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.auditauditor | Audit auditor | Levels 1, 2, and 3 |
| roles.auditmanager | Audit manager | Levels 1 and 2 |
| roles.auditowner | Audit owner | Level 3 only |
| roles.auditreviewer | Audit reviewer | Level 3 only |
| roles.auditstepowner | Audit step owner | Level 3 only |

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

Existing databases based on old modeling conventions can be migrated using the report ARCM user migration.arx supplied. Since the two attributes for first and last name are derived from the same attribute the result needs to be verified.

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 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 Generate audit templates

4.2.1 Audits overview

You can model audit templates in ARIS Architect to simplify master data maintenance. The **Project schedule** (MT_PROJECT_SCHEDULE) model is intended for this.

4.2.1.1 Model properties

To use attribute-based modeling you must specify the row/column properties for attribute-based modeling. Right-click the column header, select **Properties > Format > Attribute-based modeling** and edit the following items:


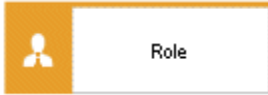
Position attribute: **Start date** (AT_DATE_START)

Dimension attribute: **Max. total time** (AT_MAX_TL_TIME)

Attribute-dependent symbols: Both position and dimension must be allowed for the **Task** object.

4.2.1.2 Objects, relationships and attributes

You can use the following objects in the **Project plan** model:

| Object type name | Symbol type name | API name | Symbols | ARCM name |
|------------------|------------------|------------------|--|---|
| Task | Project | OT_FUNC_INS T |  | Audit template |
| Role | Role | OT_PERS_TYPE |  | Audit owner, Audit reviewer, Audit auditor (depending on the role selected) |

The following connections may be used:

| Object | Connection | Object | Remark |
|----------------|-------------------|--------|--|
| Task (project) | is carried out by | Role | The implicit connection to the task is generated automatically if you model the organizational unit in the first column (organizational elements). |

4.2.1.2.1 Task (ABA) to Audit template (ARCM) allocations

The following allocations are applicable for the **Task** (project) object:

| ABA attribute | API name | ARCM attribute | M* | Notes |
|---------------------------------|------------------------------------|------------------|----|---|
| Name | AT_NAME | name | X | Limited to 250 characters. |
| Description | AT_DESC | description | | |
| Start date | AT_DATE_START | auditstartdate | X | Start date of the audit. Everyone involved is informed about their tasks. |
| | - | auditenddate | | Is calculated using the start date plus the max. total time |
| Maximum total time | AT_MAX_TL_TIME | - | X | |
| Weekend off | AT_WEEKEND_OFF | - | | If the Weekend off option was selected the max. total time is extended by two days when the time period contains a weekend. |
| Audit client | AT_AUDIT_CLIENT | audit_client | X | Organization or person the audit was requested by. |
| Export relevant | AT_AAM_EXPORT_RELEVANT | - | | This attribute specifies whether an audit template should be exported to ARCM. |
| Audit objective | AT_AUDIT_OBJECTIVE | objectives | | Definition of the audit objective. |
| Start date of audit preparation | AT_START_DATE_OF_AUDIT_PREPARATION | plannedstartdate | X | Start of the preparatory phase. The audit is generated. |
| Start date of control period | AT_START_DATE_OF_CONTROL_PERIOD | controlstartdate | X | Start date of the control period to be audited. |

| ABA attribute | API name | ARCM attribute | M* | Notes |
|------------------------------|-------------------------------|----------------|----|---|
| End date of control period | AT_END_DATE_OF_CONTROL_PERIOD | controlenddate | X | End date of the control period to be audited. |
| Title 1/Link 1 | AT_TITL1/AT_EXT_1 | documents | | |
| Title 2/Link 2 | AT_TITL2/AT_EXT_2 | | | |
| Title 3/Link 3 | AT_TITL3/AT_EXT_3 | | | |
| Title 4/Link 4 | AT_TITL4/AT_EXT_4 | | | |
| ARIS Document Storage link 1 | AT_ADS_LINK_1 | documents | | |
| ARIS Document Storage link 2 | AT_ADS_LINK_2 | | | |
| ARIS Document Storage link 3 | AT_ADS_LINK_3 | | | |
| ARIS Document Storage link 4 | AT_ADS_LINK_4 | | | |

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

4.2.2 Audit step overview

You can assign a model of the **Project schedule** type (MT_PROJECT_SCHEDULE) to the audit template (Task (project)) to define the audit step templates of an audit template.

4.2.2.1 Model properties

To use attribute-based modeling you must specify the row/column properties for attribute-based modeling. Right-click the column header, select **Properties > Format > Attribute-based modeling** and edit the following items:

Position attribute: **Start date** (AT_DATE_START)

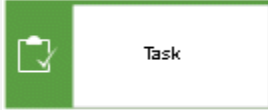
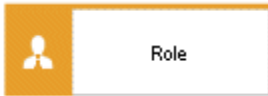
Dimension attribute: **Max. total time** (AT_MAX_TL_TIME)

Attribute-dependent symbols: Both position and dimension must be allowed for the **Task** object.

4.2.2.2 Objects, relationships and attributes

OBJECTS AND NAMES (AUDIT STEPS)

You can use the following objects in the **Project plan** model:

| Object type name | Symbol type name | API name | Symbols | ARCM name |
|------------------|------------------|--------------|--|---------------------|
| Task | Task | OT_FUNC_INST |  | Audit step template |
| Role | Role | OT_PERS_TYPE |  | Audit step owner |

CONNECTIONS (AUDIT STEPS)

The following connections may be used:

| Object | Connection | Object | Remark |
|-------------|-------------------|-------------|--|
| Task (task) | is carried out by | Role | The implicit connection to the task is generated automatically if you model the organizational unit in the first column (organizational elements). |
| Task (task) | belongs to | Task (task) | Defines which task is superior. |

4.2.2.2.1 Task (ABA) to Audit step template (ARCM) allocations

The following allocations are applicable for the **Task** (task) object:

| ABA attribute | API name | ARCM attribute | M* | Notes |
|--------------------------|--------------------|------------------|----|--|
| Name | AT_NAME | name | X | Limited to 250 characters. |
| Description | AT_DESC | description | | |
| Start date | AT_DATE_START | plannedstartdate | X | Planned start date of the audit step. |
| | - | plannedenddate | | Is calculated using the start date plus the max. total time |
| Maximum total time | AT_MAX_TL_TIME | - | X | |
| Weekend off | AT_WEEKEND_OFF | - | | If the Weekend off option was selected the max. total time is extended by two days when the time period contains a weekend. |
| Required processing time | AT_DES_PROC_TIME | processingtime | X | Duration planned for the execution of the audit step |
| Audit step type | AT_AUDIT_STEP_TYPE | Audit step type | | Determines the task type of an audit step: <ul style="list-style-type: none"> ▪ Preparation ▪ Auditing |

| ABA attribute | API name | ARCM attribute | M* | Notes |
|---------------------------------|---------------|----------------|----|-------|
| ARIS Document Storage link 1 | AT_ADS_LINK_1 | documents | | |
| ARIS Document Storage link 2 | AT_ADS_LINK_2 | | | |
| ARIS Document Storage link 3 | AT_ADS_LINK_3 | | | |
| ARIS Document Storage link 4 | AT_ADS_LINK_4 | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |

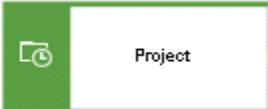
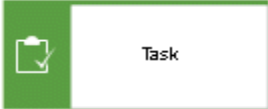

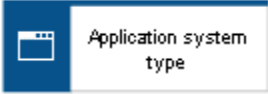

*The **M** column specifies whether the attribute is a mandatory field.



4.2.3 Definition of the scope

To define the scope of an audit or an audit step, you can use the **Task allocation diagram** (MT_FUNC_ALLOC_DGM_INST). Depending on the selected scope, associated elements such as test cases, risk assessments etc. (filtered according to the defined control period) are displayed for the assigned audit/audit step in ARCM.

OBJECTS AND NAMES (SCOPE)

The following objects can be used in a **task allocation diagram**:

| Object type name | Symbol type name | API name | Symbols | ARCM name |
|-------------------------|-------------------------|------------------|--|--------------------------|
| Task | Project/Task | OT_FUNC_INST |   | Audit/Audit step |
| Risk category | Risk category | OT_RISK_CATEGORY |  | Risk category |
| Application system type | Application system type | OT_APPL_SYS_TYPE |  | Application system types |
| Function | Function | OT_FUNC |  | Process |

| Object type name | Symbol type name | API name | Symbols | ARCM name |
|---------------------|---------------------|-------------|---|--------------|
| Organizational unit | Organizational unit | OT_ORG_UNIT |  Organizational unit | Organization |
| Technical term | Technical term | OT_TECH_TRM |  Technical term | Regulations |

The following connections may be used:

| Object | Connection | Object |
|-------------------------|------------------------|--------|
| Risk category | is within the scope of | Task |
| Application system type | is within the scope of | Task |
| Function | is within the scope of | Task |
| Organizational unit | is within the scope of | Task |
| Technical term | is within the scope of | Task |

No more than one connection of the **is within the scope of** type is allowed per audit/audit step.

4.3 Deactivation of objects and connections

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.

To deactivate an audit step, the connection to the superior object, as well as the audit step itself must be marked as deactivated.

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.