

A stylized graphic of a pyramid with a white left face and a dark blue right face, positioned above a dark blue horizontal band.

Regulatory Management und Risikomanagement

ARIS Risk & Compliance



We live in challenging times

Changes happen with incredible speed



Crises

The pandemic and the war in Europe have been shaking Europe and the world with significant consequences since 2020.



Inflation

Increasing prices, short resources, as well as more and more regulations force companies to be flexible and adaptive.



Climate change

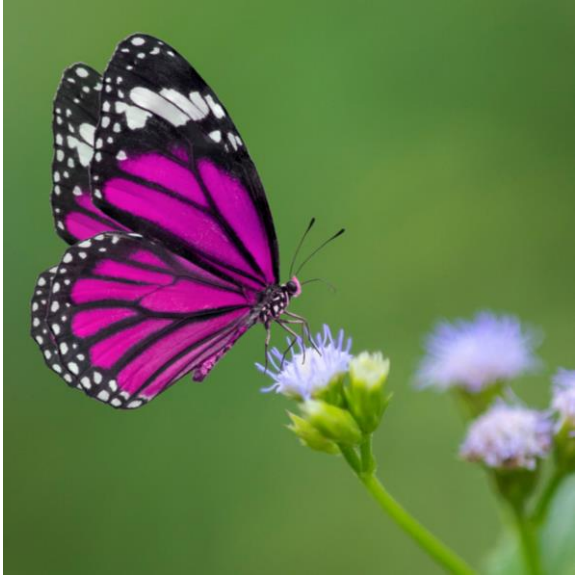
The climate change has increased the awareness and the need for sustainability, but also social responsibility.



War for talents

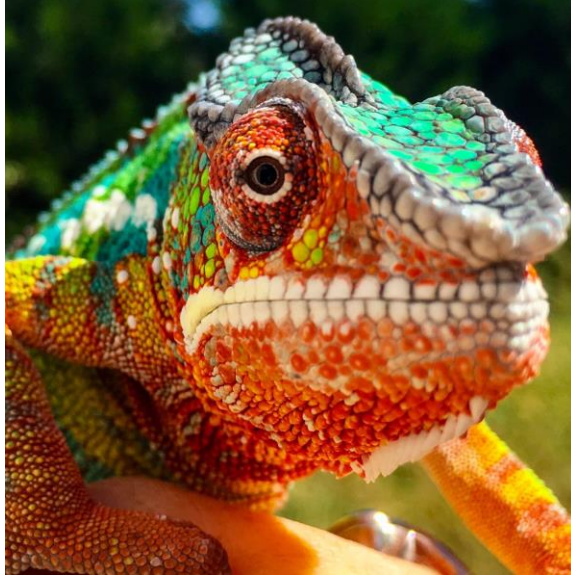
Young talents but also experienced employees can choose where they want to work and for whom they want to work.

What you need to survive



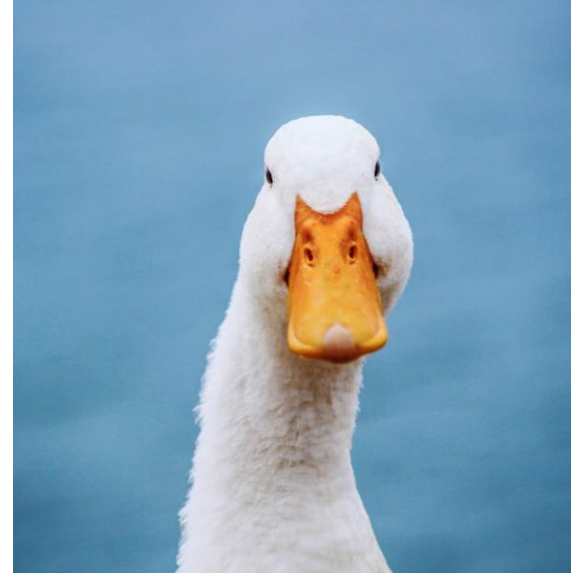
Transformation

Companies need to transform, and they need to be fast and successful.



Adaptability

If you want to be successful with your transformation you need to be able to adapt.



Communication

Communicate, communicate, communicate ...



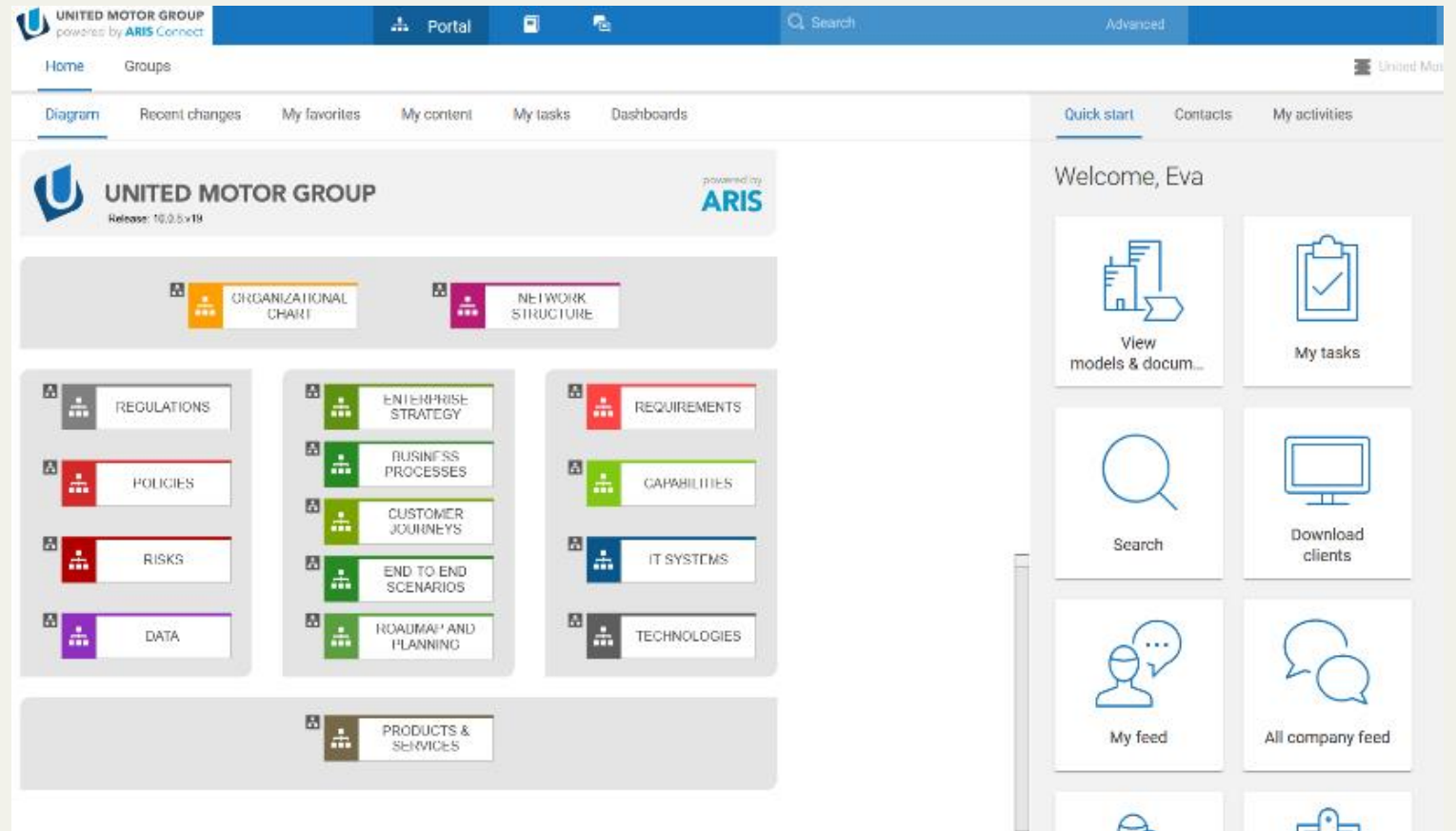
Excellence

Do the right things and do the things right!

Business process management

Is key to business transformation & operational excellence

ARIS translates
Enterprise reality
into a **model**
to level up your
business!



Successful risk & compliance management

Is about maintaining balance



ARIS – understand and improve your organization

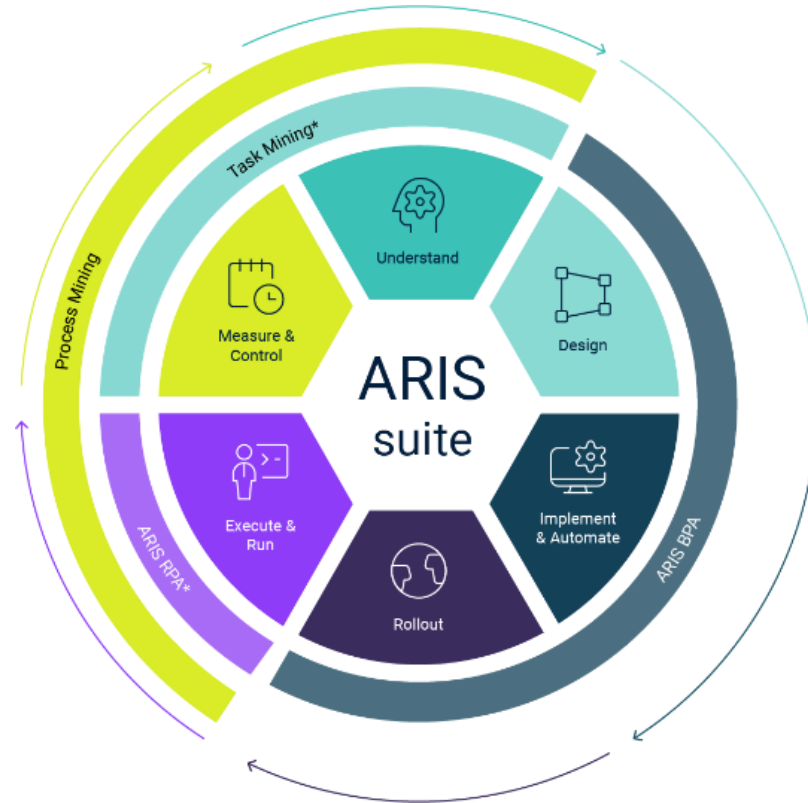
The integrated management system

ARIS Risk and Compliance (ARIS GRC) and **ARIS BPA** are two inter-linked management systems to identify areas of weak spots and improve them.

ARIS GRC helps **finding** the

- Changed regulation
- Missing compliance
- High risk
- Failing control
- Audit findings

=> **Spot the weak point**



ARIS BPA helps **adapting** the

- Services & products
- Organization
- Infrastructure
- Processes
- Internal controls

=> **Solve the weak point**

ARIS does not stop at registering GRC data.
ARIS helps to improve your GRC position.

Transparency on requirements and operations & assets

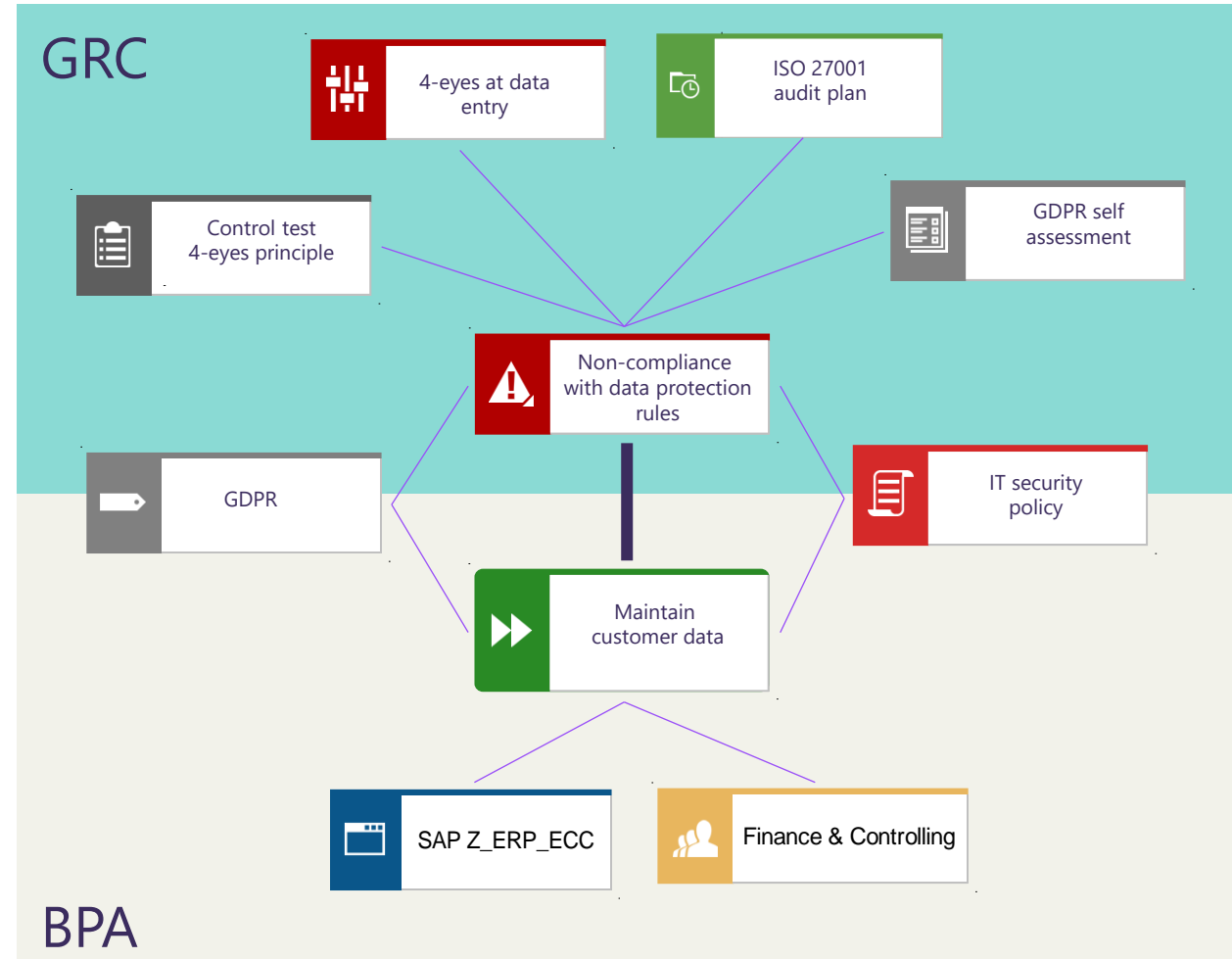
Central ARIS repository for operational and risk & compliance information

ARIS GRC identifies the

- Regulations
- Regulatory requirements
- Policies
- Risks and incidents
- Controls ...

ARIS BPA improves the

- Organization
- Infrastructure
- Services & products
- Processes ...



ARIS Risk & Compliance

Use cases and capabilities

CONTROL MANAGEMENT

supports control testing and the documentation of control execution. Control weaknesses can be identified and solved.

POLICY MANAGEMENT

Helps to agree on policies, publish them and request confirmation from employees that they have read and understand them.

INCIDENT MANAGEMENT

is used to document incidents and resulting loss or damage. The created values can be analyzed for risk management improvements.

ISSUE MANAGEMENT

Helps solving identified problems and initiates improvements, e. g., related to the ICS, risk assessments or audit results.



REGULATORY MANAGEMENT

ensures compliance with any kind of regulatory requirements, such as ESG or GDPR. It helps to establish a sustainable Internal Control System (ICS).

OPERATIONAL RISK MANAGEMENT

provides measures to identify, document and assess operational risks. You can evaluate different impact types and probabilities.

AUDIT MANAGEMENT

helps to plan, execute and manage audit-related tasks from end to end. Documented results can be reported easily.

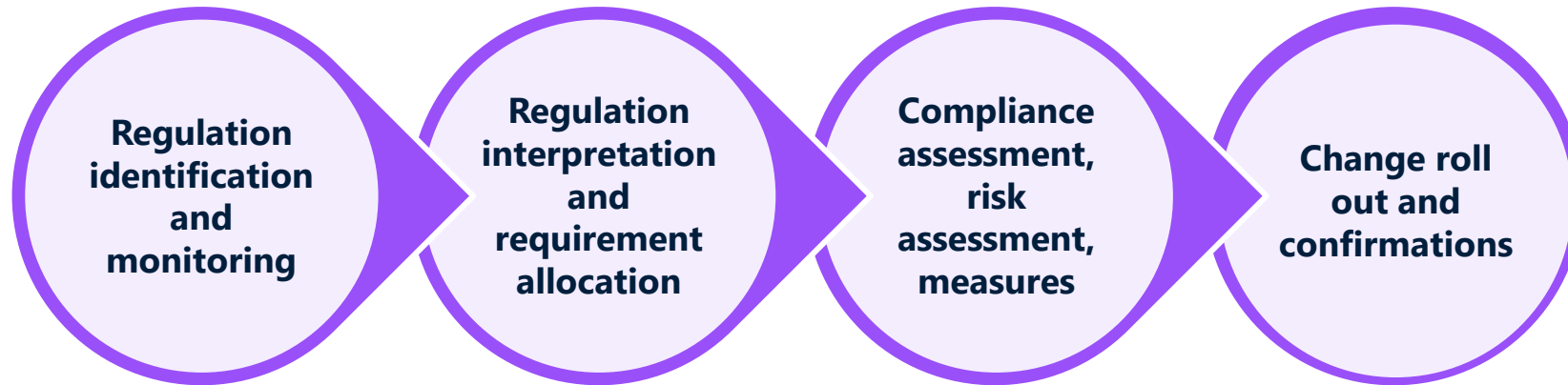
SURVEY MANAGEMENT

is used to create questionnaires and conduct surveys. The evaluated results can be used for process improvements, compliance or risk management.

Integrated regulatory management

High-level regulatory management process

Regulatory management requires a **common process** to deliver real-time **accountability** and **transparency** across regulatory areas with a common system of record to **monitor** regulatory change, **measure** impact, and **implements** appropriate risk, policy, training, and control updates.



Regulation identification and monitoring

Regulation model

Document relevant laws and regulations

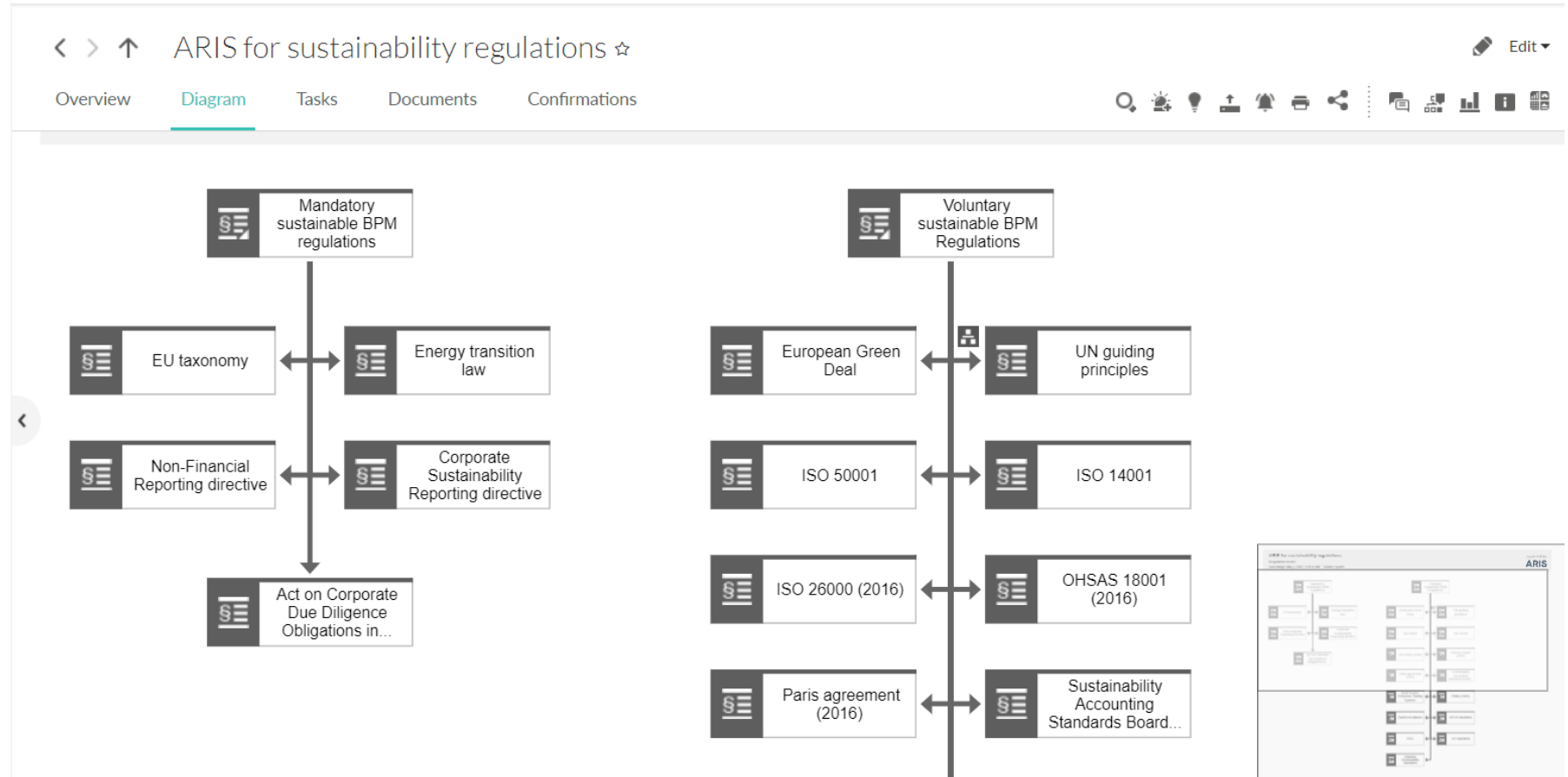
Structure regulations:
Categories, Regulations,
Chapters, and Clauses

Assign accountability

Define and schedule review
activities and responsibilities

Execute (change) reviews,
document results

Initiate actions and measures, if
needed, document results



Regulation identification and monitoring

Regulation model

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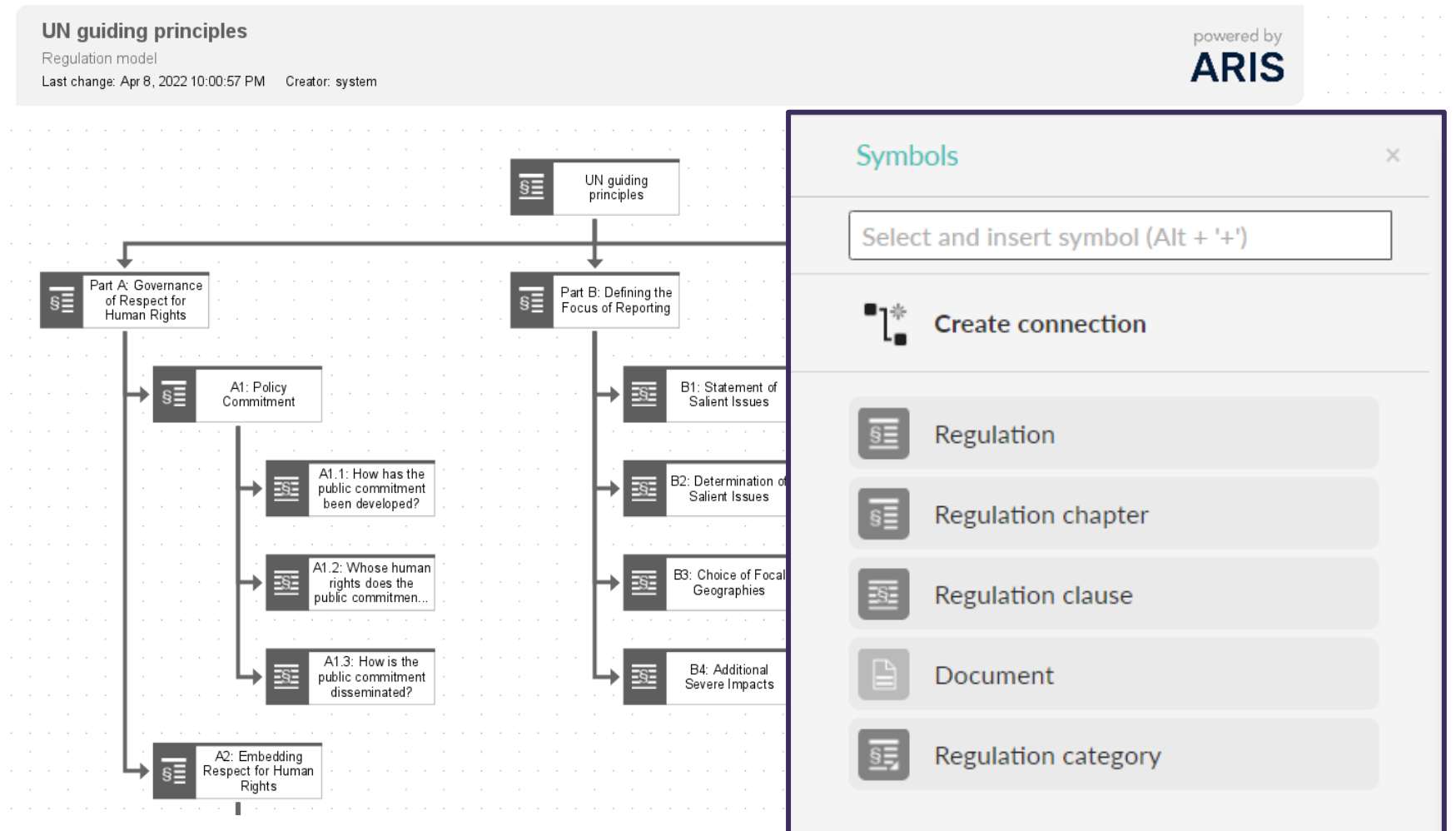
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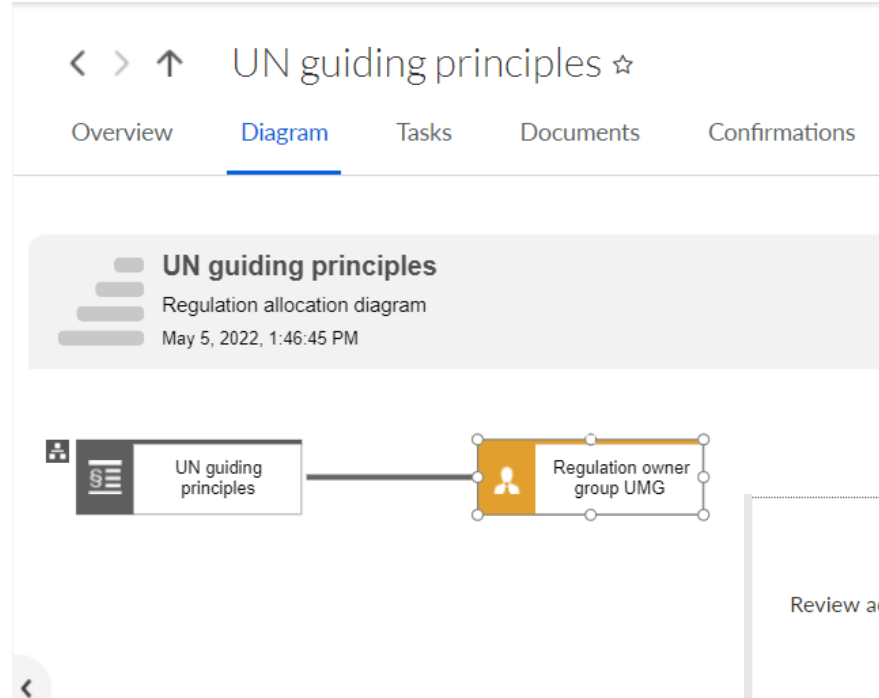
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Edit ▼

⋮

Attributes ▼

Attribute	Attribute value
Name	Regulation owner group UMG
Type	Role
Time of generation	Dec 9, 2021, 1:13:14 PM
Creator	system
Last change	Dec 9, 2021, 1:13:46 PM
Last user	system
ARCM role	Regulation owner
ARCM role level	Object-specific

Check under
www.ungpreorting.org for new regulation version or enhancements and if found, create requirement analysis and allocation task

Semi-annually

☒ Event-driven review allowed

90

Jan 1, 2022

Regulation identification and monitoring

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Information

Message

Subject Regulatory change review generated

Content Hello Owen Tom,

New regulatory change reviews were generated for your group(s) of environment 'kark'.
Please edit them at: <https://sbrarcmrsv03.eur.ad.sag/arcM/goToMyGrTasks.action?tenant=default>

If you have any questions, please contact an ARIS Risk & Compliance Manager administrator.

Best regards,
ARIS Risk & Compliance Manager

Link [Act on anti-money laundering and coun](#)

Details

Sent date Feb 11, 2022, 2:40:23 PM

From ARIS Risk & Compliance Manager

Generate issue

Task Information

Regulatory change review

Owner conclusion

Status* In progress

Remark

Review date

Performed by

Documents

Evidence documents link

Drop files here to attach them.

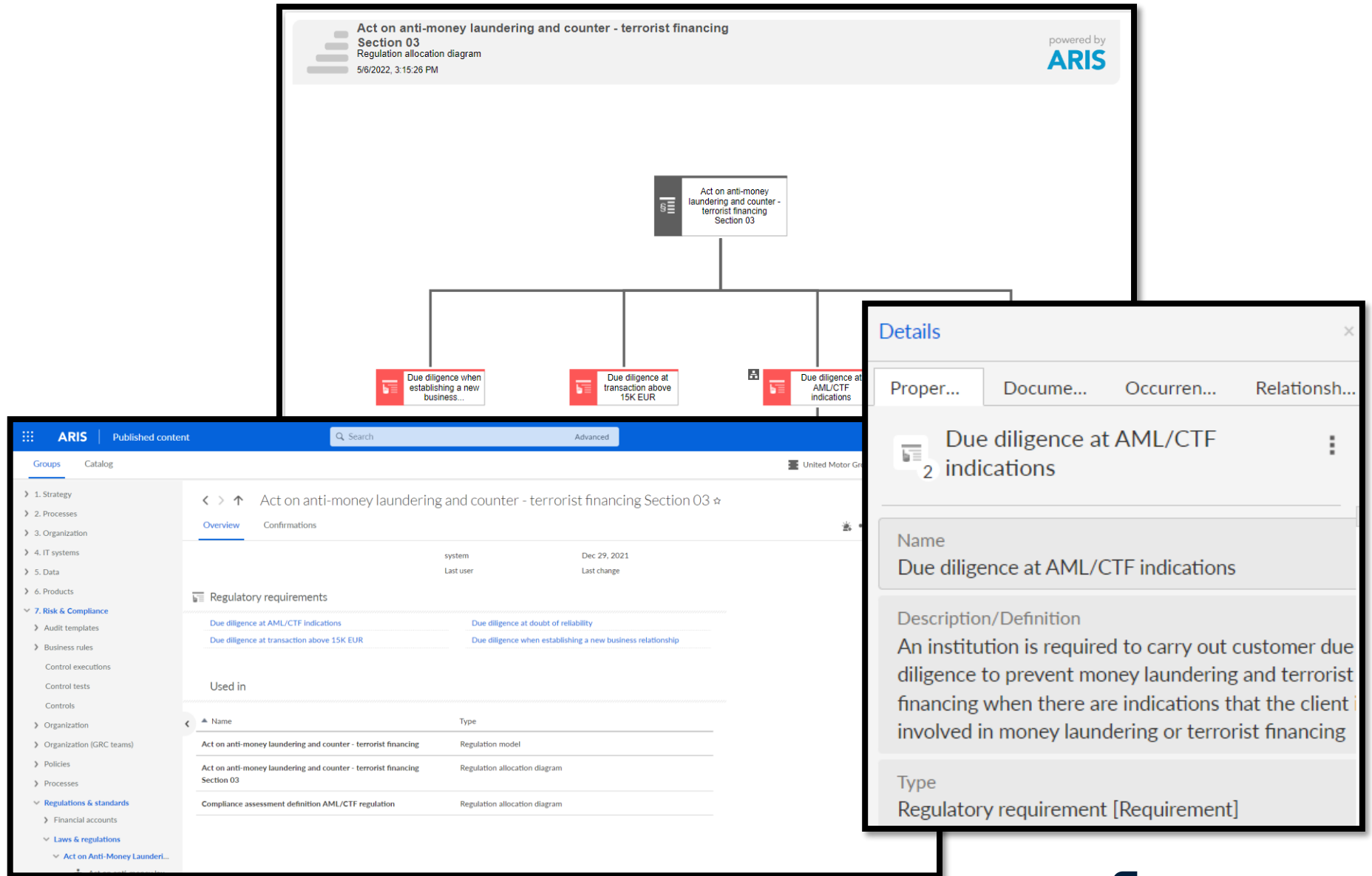
Regulation interpretation and requirement allocation

Regulatory Requirement

Regulation interpretation
(translate legal phrases into
"business speech")

Assign relevant business assets
(appropriate level) to
requirements (processes, IT
systems, policies, data, risks, ...)

Reuse requirements, where
appropriate (generalize,
standardize)



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The screenshot displays the ARIS Risk & Compliance Manager interface. The top navigation bar includes the title 'ARIS Risk & Compliance Manager' and a breadcrumb trail: 'Explorer > Regulatory requirements > Due diligence at AML/CTF indications (Regulat...'. The main content area is titled 'Due diligence at AML/CTF indications' and features tabs for 'Overview', 'Information' (selected), 'Assigned objects', 'Issues', and 'Log'. Below the tabs, there are sections for 'Attachments' (empty) and 'Hierarchy assignments'. The 'Hierarchy assignments' section lists four categories with their respective objects:

- Regulation**: ☐ [Act on anti-money laundering and counter - terrorist financing Section 03](#)
- Application system types**: ☐ [BELEG](#)
- Organizational units**: ☐ [UMG](#)
- Process**: ☐ [Check customer data](#)

On the right side, a sidebar shows the user 'Mansour John' and a list of roles: 'stex', 'STEX test environment', 'Regulation manager' (with a 'Change role' link), and 'ARIS Repository' (with an 'Origin' link). The date and time 'Feb 15, 2022, 9:55:19 AM' are also displayed.

Compliance assessment, risk assessment, measures

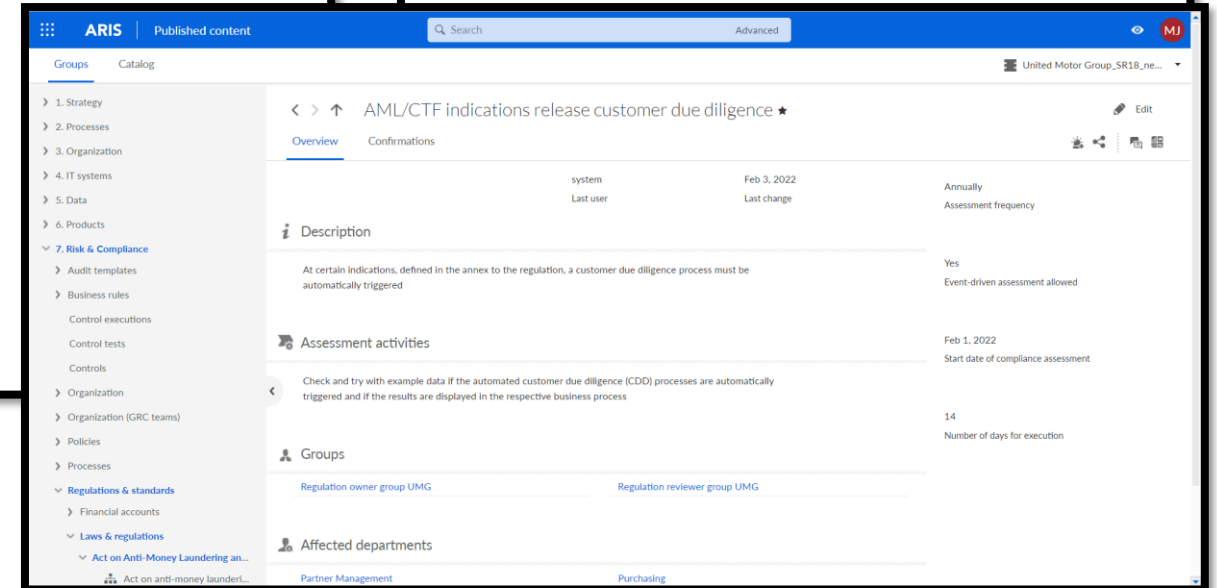
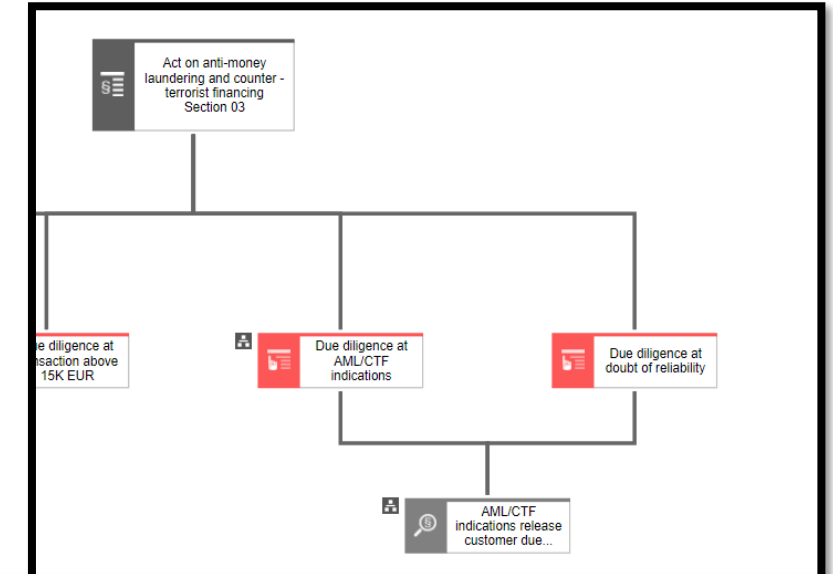
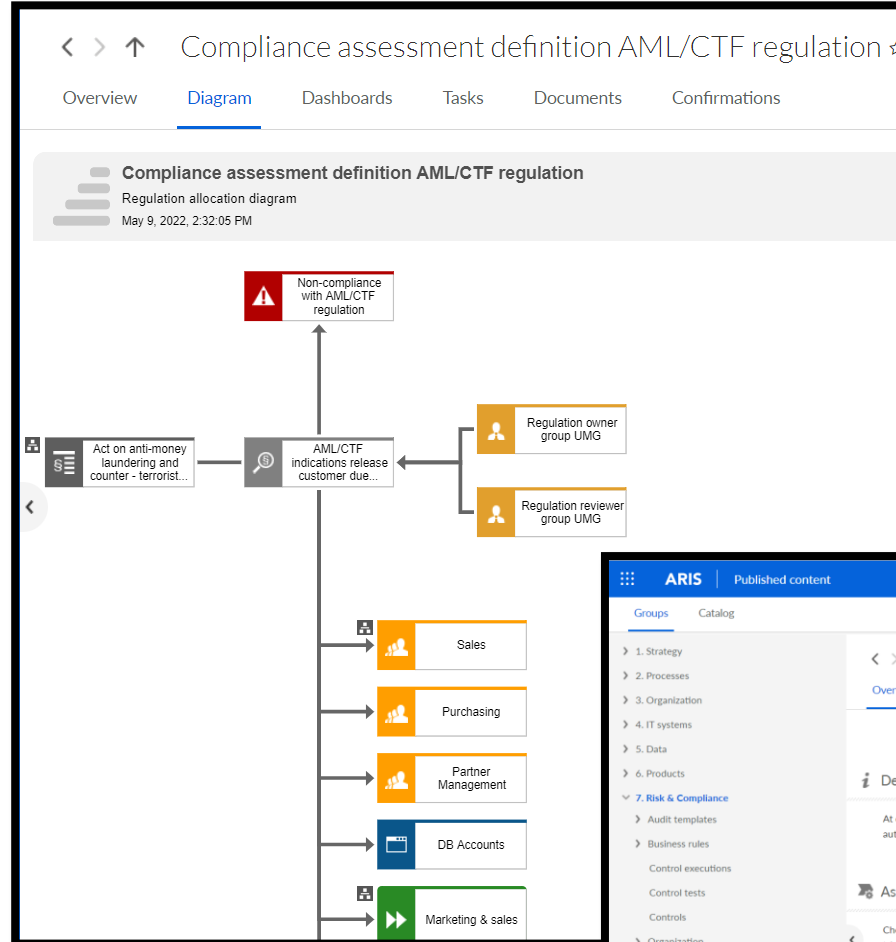
Regulation allocation diagram

Define assessments activities, schedules and responsibilities (adapted to corresponding business assets)

Execute compliance assessments, document results

If needed, execute risk assessments, document results

Initiate actions and measures, if needed, document results



Compliance assessment, risk assessment, measures

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The screenshot displays the ARIS Risk & Compliance Manager web application. The top navigation bar is blue with the title 'ARIS Risk & Compliance Manager' and a user profile 'Owen Tom'. The breadcrumb trail shows 'Home > My tasks > AML/CTF indications release customer due dili...'. The main content area is titled '< AML/CTF indications release customer due diligence' and has tabs for 'Task', 'Information', 'Issues', and 'Log'. The 'Task' tab is active, showing a 'Compliance assessment' section with a table of regulatory requirements. The table has columns for 'Regulation' and 'Regulatory requirement'. The first row lists 'Act on anti-money laundering and counter - terrorist financing Section 03' as the regulation and 'Due diligence at AML/CTF indications' as the requirement. Below the table, there is a 'Description' field with the text 'At certain indications, defined in the annex to the regulation, a customer due diligence process must be automatically triggered' and an 'Activities' field with the text 'Check and try with example data if the automated customer due diligence (CDD) processes are automatically triggered and if the results are displayed in the respective business process'. The 'Owner conclusion' section is partially visible, showing a 'Status' dropdown menu set to 'New' and a 'Remark' text area. On the right side, there is a sidebar with a 'Save' button and a list of items: 'stex', 'STEX test environment', 'Regulation owner', 'Role', 'New', 'Owner status', 'Unspecified', 'Reviewer status', 'Mar 4, 2022, 1:57:44 PM', 'Mansour John', 'ARIS Risk & Compliance Manager', and 'Origin'.

Regulation	Regulatory requirement
Act on anti-money laundering and counter - terrorist financing Section 03	Due diligence at AML/CTF indications

Description: At certain indications, defined in the annex to the regulation, a customer due diligence process must be automatically triggered

Activities: Check and try with example data if the automated customer due diligence (CDD) processes are automatically triggered and if the results are displayed in the respective business process

Owner conclusion

Status *

Remark

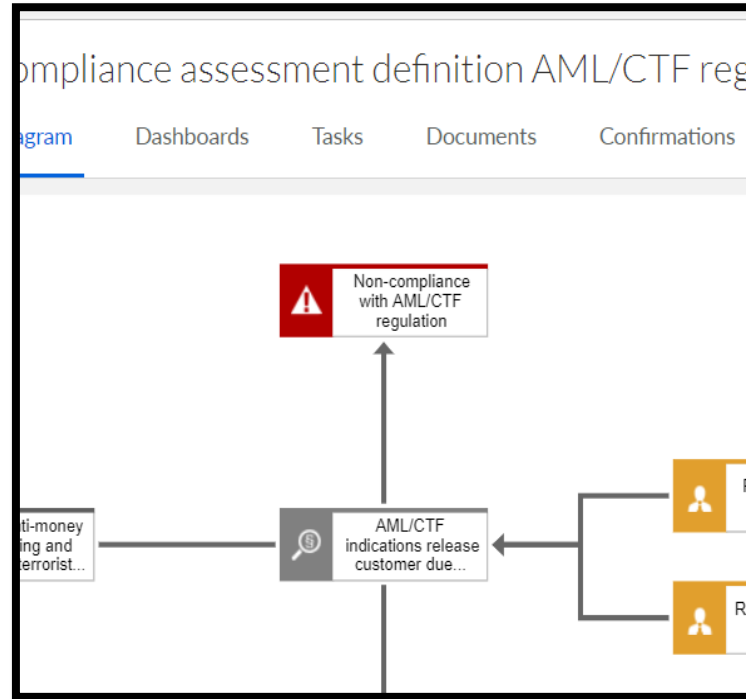
Compliance assessment, risk assessment, measures

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Compliance assessments, Compliance assessment definitions and Regulatory requirements are also shown as assigned objects at risks.

Generate issue

