Oracle® Enterprise Governance, Risk and Compliance

Release Notes

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Oracle Enterprise Governance, Risk and Compliance (GRC) is a set of components that regulate activity in business-management applications:

- Oracle Application Access Controls Governor (AACG) and Oracle Enterprise Transaction Controls Governor (ETCG) enable users to create models and "continuous controls," and to run them within business applications to uncover and resolve segregation of duties violations and transaction risk. These applications are two in a set known collectively as "Oracle Advanced Controls."
- Oracle Enterprise Governance, Risk and Compliance Manager (EGRCM) forms a documentary record of a company's strategy for addressing risk and complying with regulatory requirements. It enables users to define risks to the company's business, controls to mitigate those risks, and other objects, such as business processes in which risks and controls apply.
- Fusion GRC Intelligence (GRCI) provides dashboards and reports that present summary and detailed views of data generated in EGRCM, AACG, and ETCG.

These GRC components run as modules in a shared platform. AACG and ETCG run as a Continuous Control Monitoring (CCM) module. EGRCM provides a Financial Governance module by default, and users may create other EGRCM modules to address other areas of the company's business. A customer may license only EGRCM, only AACG, or only ETCG; any combination of them; or all of them.

New Features

The following features apply specifically to Enterprise Transaction Controls Governor:

- An Enforce Allocated Analysis Time Per Filter feature may limit the time that transaction models and controls can run.

  A model or control consists of filters, each of which defines some aspect of a risk and selects transactions that meet its definition. When the Analysis Time feature is enabled, each filter runs no longer than a specified number of minutes. If time expires, the filter passes records it has selected to the next filter for analysis, but ignores records it has not yet examined. So a filter may not capture every

record that meets its definition, and the model or control results are labeled "partial" in GRC job-management pages.

Although the Analysis Time feature is enabled generally for transaction analysis in the Properties tab of the Manage Application Configurations page, it may be disabled for individual transaction models as they are created. When the Analysis Time feature is disabled, each filter evaluates all appropriate records, no matter how long that takes. A control inherits Analysis Time settings from the model from which it is developed.

- To specify a set of data for analysis, a model or control typically cites a "business object" (set of related data points) of a "datasource" (instance of a business application subject to GRC analysis). In place of a business object, a transaction model may use a "custom object" — any set of data (that meets certain formatting requirements). In past versions, a custom object could be imported to GRC as an xml file. In version 8.6.4.5000, a custom object may be imported either as an xml file or as a zip compression of an xml file.
- An individual data point within a business object is known as an "attribute." Users may create custom attributes, each of which uses a "modifier" to alter an existing attribute in some way. In version 8.6.4.5000, an ampersand (&) modifier creates a comma-delimited text string of combined values.
- Filters may be gathered into a group. In past versions, filters could not be removed from a group to which they belonged. In version 8.6.4.5000, a user can dissolve a group by selecting an Ungroup Filter option. (This feature applies to AACG as well as to ETCG.)
- A transaction-model filter consists of an attribute, a value (or one or more other attributes) to be compared in some way with the values of the original attribute, and a "condition" that determines how this comparison is made. The filter defines some aspect of a risk — for example, purchase order amount (attribute) is greater than (condition) a threshold amount (value).

  In version 8.6.4.5000, two new conditions are available: Starts with and Ends with. The filter selects records in which the value of an attribute begins or concludes with a specified string of alphabetic or numeric characters.
- "Advanced options" may refine a filter's basic selection criteria. (Such options are available only when appropriate to the attributes and condition selected for a filter.) A new advanced option, "Ignore after floating point," causes a filter to dismiss digits that appear after a decimal point in a numeric value. (A second new option, "Partial match," is discussed below.)
- Filters that use certain conditions — Equals, Similar, or Similar to — may return sets of values. When a filter states that an attribute equals itself, one set contains all records in which the attribute equals a specific value, another set contains records in which the attribute equals another value, and so on. When a filter states that an attribute is similar to itself, one set of return values contains records that satisfy the filter's definition of similarity in one way, another set consists of records that satisfy the definition in another way, and so on.

  The records returned by such a filter constitute a "system-generated object," which means they may be used in subsequent filters as if they were a business object. For example, a filter may use Similar, Similar to, or Equals to establish

sets of records. A subsequent filter may cite the sets as a system-generated object, so that it can apply a function to each set of records.

A single model may contain one or more filters that produce "parent" sets of records, and other filters that produce "child" sets of records that have an attribute in common with the parent sets. The model matches common values in the parent and child "sets of sets" to determine which sets are included among model results and which are discarded. A new advanced option, "Partial match," determines how completely parent values need to match values in child sets.

- A filter that uses the "Does not equal" condition cannot cite the same business object and attribute to the left and right of the condition. However, such a filter *can* cite the same system-generated object and attribute to the left and right of the condition (if that object is created by an Equals filter).

  Similarly, a filter that uses the "Different than" condition cannot cite the same business object and attribute to the left and right of the condition. However, it *can* cite the same system-generated object and attribute to the left and right of the condition (if that object is created by a Similar or Similar to filter).

- Results returned by models (or controls) that produce sets of values are reported differently than in past versions, essentially to reduce duplication.

  In past versions, one cell in a row of results would identify an entity that is the focus of that result. Another cell (its column header labeled with a tilde) would identify an entity that is related (equal or similar to) that focus entity. Then a second row would invert the first one: What had been the related entity became the focus, and what had been the focus entity became the related one.

  If, for example, a filter stated that the Taxpayer ID attribute of the Supplier business object equaled itself, one row in its results would focus on a given supplier and name a second supplier whose ID was equal. Another row would focus on that second supplier, naming the first as the supplier whose ID was equal.

  Version 8.6.4.5000 devotes only one row to each of these entities (no matter how many relationships it may be involved in). That row continues to display the matching value (in the example, the taxpayer ID). However, it no longer displays the "related" entity; the column labeled with a tilde is discarded. (In the example, this is the name of the supplier with a matching taxpayer ID).

  Moreover, a Group column reports the business object and attribute cited in the model (or control), and a Grouping Value column reports the common value of this attribute.

- From time to time, users "synchronize" transaction data — capture changes made in business applications (datasources) in which models or controls evaluate risk. For ETCG, a user may synchronize the data for a single model (from a Manage Models page) or may synchronize all the data available from a datasource (from a Manage Datasources page).

  In earlier versions, the act of saving or running a transaction model would cause synchronization to be run automatically for the data used by that model. In version 8.6.4.5000, this automatic synchronization run no longer occurs; you must synchronize data manually instead. Moreover, a synchronization run for an individual model from the Manage Models page can synchronize data only for business objects that have not previously been synchronized.

An upgrade to version 8.6.4.5000 affects the transaction models, controls, and incidents generated in the earlier version. See "Installation and Upgrade" (page 1-6).

The following features apply specifically to Enterprise Governance, Risk and Compliance Manager:

- Application pages and reports now identify users who have completed tasks, and when they did so. These tasks include work with risks and controls; issue management and remediation plans; assessment management, assessment templates, and assessment plans; survey management; perspective management; issue management and remediation plans; and events and consequences.
- EGRCM users may assess risks, controls, and other objects, initially to determine that they are defined correctly, and afterwards to ensure that they remain appropriate. A user who initiates an assessment may select any number of objects to be assessed. Beginning in version 8.6.4.5000, a user may cancel the assessment of any one of these objects, without requiring that assessments of the entire batch be canceled.

Concerning Fusion GRC Intelligence: Users may employ Relationship Assignment features to relate "incidents" (records of AACG or ETCG control violations) to objects created in EGRCM. So that GRCI reports can correctly capture these relationships, the Data Analytics (DA) schema used by GRCI has been updated. (The DA schema mirrors, but is distinct from, the GRC schema used by GRC itself.)

Resolved Issues

Other issues resolved by version 8.6.4.5000 include the following:

- Issue 16051673: Synchronization of access data failed after an upgrade to version 8.6.4.3000 of GRC.
- Issue 15942518: EGRCM users may create user-defined attributes (UDAs) — fields added to an object to extend its definition. Although a UDA cannot be deleted once it is used (once it has been assigned a value for an instance of an object), a user should be able to delete it when it is new (when no value has yet been assigned to it for any instance of an object). In earlier versions, even a new UDA could not be deleted.
- Issue 15909990: AACG may perform "preventive" analysis — analyze controls as a user is assigned duties in a business application, and (in accordance with each control's "enforcement type") deny, suspend, or allow access to those duties. For this to happen, a preventive enforcement agent (PEA) must be installed on each instance of the business application that is to be subject to AACG analysis. For earlier versions, PEAs could not be installed because a necessary file — grcc-encryption-8.6.4.*x*-SNAPSHOT.jar — was missing from the product download.
- Issue 15874186: AACG users should be able to import "seeded content" — controls created by Oracle and supplied with the product. For version 8.6.4.3000, an attempt to import content failed. The import process presents a Select Items to Import field; it should list controls available for import, but it was blank.
- Issue 15833429: An EGRCM user may create "issues," each of which documents a defect or deficiency for an object or for an activity being performed against an object (such as an assessment, risk analysis, or risk evaluation). When an issue

was raised against the assessment of a control in version 8.6.4.4000, the Issue Listing Extract report was missing information about the issue.

- Issue 14660922: In AACG, a global condition sets limits on the conflicts identified by all access models or controls evaluated on a given datasource. When a global condition exempted menu functions that were set up in Oracle E-Business Suite without a prompt, AZN menus were excluded from model or control results.
- Issue 14557408: As parameters were specified for the Access Incident Details Extract Report, a Control list of values returned no more that 50 controls if the control status was set to Inactive.
- Issue 14503757: A Manage Results page displays either a list of controls that have generated access or transaction incidents, or a list of incidents generated by those controls. When set to display incidents, the page did not display records for all incidents that had been generated.
- Issue 14481241: In version 8.6.3, "user roles" and "group roles" could be configured and assigned to AACG and ETCG users. These determined what rights each user had within the applications. Under certain circumstances, the Manage Roles page would not open, instead returning a "role query error" message. This security system has been entirely replaced by one in which security is determined by combinations of duty, data, and job roles, and so the problem has been obviated.
- Issue 14044927: A "perspective" is a set of related values that define a context in which GRC objects may exist. The values are hierarchical — they have parent/child relationships to one another. Users associate individual perspective values with individual objects, in effect cataloging them. While running GRC reports, a user may select a perspective value as a parameter, thus focusing a report on objects associated with that value. While selecting parameters for certain EGRCM reports, the user may now select an Include Perspective Children option to focus a report on objects associated not only with a specified value, but also with all its children.
- Issue 13863349: The Manage Results page should present results according to search and sort values that users have defined and saved. However, it did not correctly display results when a sort on multiple columns was configured.
- Issue 13583695: A seeded transaction model, Duplicate Supplier, could not be used efficiently when the number of suppliers was large. A Pay Group Type in the Supplier business object may be incorporated into the model to filter suppliers.
- Issue 13471546: GRC reports may be scheduled to run regularly, in which case a Report History grid on the Report Management page displays records of report runs. A user may select a record in this grid to view the report that has run. In earlier versions, sorting did not work on the columns in this grid.
- Issue 13415357: GRC can be integrated with an OID LDAP server that manages GRC users. If the user account for an LDAP user was copied as a template for a new user account, and that account was saved, its user could not log on.
- Issue 13082962: First Name and Last Name fields are included in AACG and ETCG model and control results, but were not included results returned by extract reports.

Known Issues

The following issues are known to exist in version 8.6.4.5000 of GRC, and will be addressed in future releases.

- Issue 16105787: After an upgrade, the order of columns changed in the results returned by ETCG models.
- Issue 16080874: To evaluate risk, EGRCM users run a "context model." The Create and Edit pages for this model are not validating for a duplicate name when a user selects Save or Save and Close.
- Issue 16073554: An EGRCM assessment may incorporate surveys — sets of questions configured in Survey Management. An assessment template would identify assessment activities. From the template, users would develop an assessment plan, in which each of the activities can be associated with a survey. However, when an assessment is ultimately generated from the plan, survey templates are not associated with the correct assessment activities.
- Issue 16068685: ETCG filters may use an "Is blank" condition, for which the filter should return records for which a specified attribute has no value. The application failed to return such records in a PeopleSoft instance.
- Issue 16067376: Although a datasource may be selected as a parameter for the Result Summary Extract Report, there is no capability to select more than one datasource. Moreover, even the one datasource that is selected is not identified in the header information of the report itself.
- Issue 16043706: In an EGRCM custom module, existing base objects are going into In Review state after operational data is imported, even though no updates to these objects are included in the import template.
- Issue 16037995: "Jobs" are requests to synchronize data, evaluate models or continuous controls, export results, generate reports, or perform other background tasks. When jobs are run from the Manage Models page, messages report that the jobs have been initiated. In these messages, job ID numbers inappropriately contain commas.
- Issue 16104791: An Inaccessible Records Report should list data records that cannot be accessed by any user, owing to how GRC security is defined. The report erroneously displays records that are accessible to users.
- Issue 16037653: When an ETCG model is created or edited, and validation by the application uncovers errors, the error message displays repetitive lines.
- Issue 16037558: When EGRCM assessments with surveys are submitted, worklists routing the surveys to respondents are not associated with the correct objects.
- Issue 16017146: AACG users may create "path conditions," each of which identifies a specific path to an access point that should be excluded from analysis by access controls. As part of creating a path condition, a user must select the datasource where the condition applies. A datasource cannot be selected, however, if its name contains a dash.

- Issue 15983219: GRC users may download the GRC database schema (so that it may be uploaded for use with another GRC instance). Although a download is initiated from the Properties tag of the Manage Application Configurations page, it should be completed (like any export operation) in the Manage Jobs page. However, a Job Details screen for a schema-download job does not provide an option to download the schema.
- Issue 15979093: Performance is slow during an attempt to create an ETCG model with multiple business objects.
- Issue 15974152: A user has the option to run an AACG or ETCG model in the background. If so, a message reporting a job ID takes about 30 seconds to appear.
- Issue 15936820: In EGRCM Survey Management, the page in which users create survey templates lists Risk twice in a Component Type list of values.

Installation and Upgrade

You can perform a fresh installation of GRC 8.6.4.5000, or upgrade to it from version 8.6.4.4240. An upgrade affects ETCG models, controls, and incidents generated in the earlier instance:

- ETCG no longer supports a filter that uses the "Does not equal" condition and cites the same business object and attribute to the left and right of the condition. A model that contains such a filter is updated at an Invalid state. You can remove the offending filter and save the model; its state then changes to Approved. A control that contains such a filter is also updated at an Invalid state. You cannot modify the control; instead, you need to develop a new control from an Approved model.
- Some business objects have been modified significantly for version 8.6.4.5000. A model that uses such a business object is updated to an Invalid state. (In dialog boxes that define filters, the modified business objects and their attributes appear in red.) You must re-create the model. (You can do so by deleting all objects from the existing model, which also deletes all logic and selected attributes, and retains only the model name and description. You would then use current versions of business objects to reconstruct the model.)

  A control that uses such a business object is also updated at the Invalid state. You cannot revise the control, but must instead build and test a new model, and use that model as the basis of a new control.
- All transaction model results are purged, regardless of the state of the model after the upgrade.
- All transaction control incidents are purged, regardless of the state of the control after the upgrade. Prior to the upgrade, all incident artifacts — such as attachments to incidents or reports concerning them — should be extracted.

Before implementing preventive analysis, evaluate upgraded AACG controls of the Prevent and Approval Required enforcement types. (See "Running Controls" in the *Application Access Controls Governor User Guide*.) Also evaluate any newly created AACG controls.

Regardless of whether you perform a fresh installation or an upgrade, you will use a file called grc.ear (if you run GRC with WebLogic) or grc.war (if you run GRC with

Tomcat Application Server). You will be directed to validate the file by generating a checksum value, and comparing it with a value published in these *Release Notes*. Your checksum value should match one of the following:

- grc.ear: `57997b9b4caa16e22d5d93ccbe6ce0e9`
- grc.war: `10ebe171f5abf91fa487d0bdaae21ade`

For more information, see the *Governance, Risk and Compliance Installation Guide*.