Oracle® Enterprise Governance, Risk and Compliance

Release Notes

Release 8.6.5.2000

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Primary Author: David Christie

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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.
- 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 custom 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.

CCM Import and Export

CCM models and controls typically cite "business objects" and "attributes" of those objects, which supply data for analysis. A business object is, in effect, a set of related data fields in a business application; an attribute is one field within the set.

A transaction model or control, however, may use other object types. One of these is a "user-defined object" (UDO) — data returned by a specially configured continuous control.

You can export CCM models or controls from a source instance to a file, or import them from a file to a destination instance. As you do, you may select transaction models or controls that cite one or more UDOs. GRC 8.6.5.2000 is enhanced so that the UDOs, and the controls on which they are based, are automatically imported or exported as well.

When you import transaction models or controls that cite UDOs, carry out the following steps once the import is completed.

1. Run transaction data synchronization. This is a process that transfers data from a datasource (business application subject to GRC analysis) to GRC.
2. Evaluate the controls on which UDOs are based.
3. Only then, evaluate the models or controls that cite the UDOs.

See the *Enterprise Transaction Controls User Guide* (or on-line help) for detailed procedures on importing and exporting items, running synchronization, and evaluating models and controls.

The following rules resolve potential conflicts when imported items have the same names as items in the destination instance. In these descriptions, the term *end model/control* indicates a model or control that cites a UDO, and the term *base control* indicates a control that supplies data to a UDO.

- An import file contains an end model/control and its UDO and base control, none of whose names are duplicated in the destination instance. All are imported.
- An import file contains an end model/control and its UDO and base control. The UDO and base control have the same names as corresponding items in the destination instance. The UDO and base control are not imported.

  However, the end model/control is imported whether or not its name duplicates the name of a model or control in the destination instance. If there is duplication, the imported item is renamed (a number is appended to its name), and it calls the UDO that already existed in the destination instance.
- An import file contains an end model/control, a UDO with the same name as one in the destination instance, and a base control with a unique name. Or, the UDO has a unique name, but the base control has the same name as one in the destination instance. In either case, none of the items is imported.
- An import file contains an end model/control that cites multiple UDOs. At least one of those UDOs is uniquely named, and at least one other has the same name as a UDO in the destination instance. Or, at least one of the related base controls is uniquely named, and at least one other has the same name as a base control in the destination instance. In either case, none of the items is imported.
- Both the import file and destination instance contain end model/controls that cite multiple UDOs. A UDO in one has the same name as a UDO in the other; a base control in one has the same name as a base control in the other. However, there is a mismatch — the UDO and base control may relate to one another in one end model/control, and each may relate to another item in the other end model/control. None of the items is imported.
- An end model/control calls a UDO, which calls a base control, but the end model/control and base control map to different datasources. The UDO and base control must already exist in the destination instance prior to import of the end model/control.
- An import file has an end model/control with nested UDOs (its UDO calls a base control, which calls a second UDO, which calls a second base control). The end model/control has the same name as one in the destination instance, but the desti-

nation item does not have the same nesting structure as the import item. None of the items is imported.

Resolved Issues

Issues resolved by version 8.6.5.2000 include the following:

- Issue 18658576: Jobs are requests to evaluate models or controls, generate reports, or perform other background tasks. Jobs are listed in a Manage Jobs page, from which their progress can be viewed. The act of scrolling through the list of jobs could cause jobs to be dropped from the list, requiring the user to search all jobs to restore the full list.
- Issue 18658550: A CCM control can generate incidents (records of control violations to be reviewed by result investigators). In a Manage Incident Results page, an attempt to navigate among incident records could produce an ADF_FACES error.
- Issue 18648551: After a GRC user assigned status to incidents generated by one control, the Manage Incident Results page displayed records of other controls that had generated incidents, but not of the incidents generated by those controls.
- Issue 18641099: Jobs may be scheduled to run. Intermittently, a set of jobs would run late and out of scheduled order.
- Issue 18640880: A Transaction Incident Detail Extract Report should provide information about incidents generated by a selected transaction control. If the transaction control cited a UDO, the report displayed no incident details.
- Issue 18620638: GRCI uses a Data Analytics (DA) schema, which is distinct from the schema used by GRC itself. Users can establish a schedule on which the DA schema is refreshed with data from the GRC schema. These refreshes failed to populate incident tables in the DA schema.
- Issue 18557420: An Enable Parallel Processing feature should enable GRC to run multiple jobs simultaneously. When this feature was set up, the analysis of controls that cited UDOs generated errors.
- Issue 18553817: A CCM model (or a control developed from it) consists of filters, which define aspects of risk and return records that satisfy the definition. A transaction model may use a function filter, which gathers records into groups and performs a calculation on the records in each group. (For example, a function may group records by supplier and find an average payment amount for each supplier.) An Over Interval advanced option can determine how a function may use dates to separate records into groups. The use of this advanced option caused model analysis to fail.
- Issue 18505641: When a datasource contained records in which a “created on” date was followed by another date, transaction synchronization could incorrectly cause an “add” rather than an “update,” resulting in duplicate records.
- Issue 18230620: After access synchronization was run, control analysis failed at 50 percent completion.

Known Issues

The following issues are known to exist in version 8.6.5.2000 of GRC, and will be addressed in future releases:

Issue 18698187: In the Manage User Defined Objects page, a grid lists the UDOs that have been created. Each listing provides a link to the control on which the UDO is based. Clicking on this link generates an error.

Issue 18648620: In the Manage Incident Results page, GRC responds slowly to an attempt to sort CCM incidents by status.

Issue 18427743: An EGRCM model includes attributes for which the model, when it is run, returns values for each risky transaction it finds. When a user attempts to edit these values, then in the last of the filters that define risk, a business object and attribute are erroneously set to new values.

Issue 18392997: In Manage Incident Results, users may add comments to individual incidents. A Transaction Incident Details Extract report should, but does not, display these comments.

Documentation

Documentation written expressly for release 8.6.5.2000 of GRC include these *Release Notes* and an *Installation Guide* (part number E54526-01). Otherwise, documentation written for GRC release 8.6.5.1000 applies also to release 8.6.5.2000. These documents include user guides for GRC itself as well as AAGC, ETCG, EGRCM, and GRCI; and implementation guides for GRC security, AACG, ETCG, and EGRCM. Documentation for release 8.6.5.1000 is available on Oracle Technology Network at http://www.oracle.com/technetwork.

Installation

You can install GRC 8.6.5.2000 only as an upgrade from version 8.6.5.1000. Be sure to back up your 8.6.5.1000 data before you upgrade to 8.6.5.2000.

If you use CCM, after you upgrade you must complete the following procedures in the order indicated:

- Perform access synchronization on all datasources used for AACG analysis. (Ordinary synchronization is incremental, collecting data only for records that are new or have been updated since the previous synchronization job.)
- Perform a graph rebuild on all datasources used for ETCG analysis. (A graph rebuild is a comprehensive form of synchronization. Available only to ETCG, it discards existing data and imports all records for all business objects used in all existing ETCG models and controls.)
- Run all controls that compile data for user-defined objects (controls for which the result type is “Dataset”).
- Run all models and all controls that generate incidents (controls for which the result type is “Incidents”).

Note: If you are upgrading through several releases (from example, from version 8.6.4.7000 to 8.6.5.1000 to 8.6.5.2000), then synchronize access data, rebuild the graph for transaction data, and run controls and models only once, after the final upgrade is complete.

As you install GRC 8.6.5.2000, 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: `2e091d36bc31df665a045c466eeee953`
- grc.war: `1a98b13c5829ce30e57e7220f1a9ea0e`

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