

Oracle® Enterprise Governance, Risk and Compliance

Release Notes

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Oracle Enterprise Governance, Risk and Compliance Release Notes

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Release Notes

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.” These uncover segregation of duties (SOD) conflicts and transaction risk within business applications. AACG and ETCG belong to a set of applications 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. Users can define business processes, risks that impact those processes, and controls that address the risks.
- 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.

Business Object Updates

Business objects provide data for analysis by CCM models and controls. A business object is, in effect, a set of related fields from a datasource (instance of a business application), and an attribute is one field within the set.

Release 8.6.6.1000 adds attributes to two business objects:

- Issue 21171085: A Pay On attribute is added to the Supplier Site Location business object.
- Issue 21108565: Two attributes are added to a Purchase Order business object for use with Oracle E-Business Suite. The attributes — Effective Start Date and Effective End Date — are intended for use in the analysis of blanket purchase orders.

Release 8.6.6.1000 also adds new business objects for ETCG analysis in Oracle E-Business Suite R12. However, these objects are considered “beta”: they are available for use, but because they have not been fully tested, their use is not supported. Beta business objects include the following. (The *Enterprise Transaction Controls Governor Implementation Guide* provides a complete list of supported business objects for use with ETCG.)

Business Object Name	Type	Category
Accrual Write Off	Procurement	Transaction
Alternate Name Receipt Matches	Financials	Configuration
Assign Usage Rules Item Category	Financials	Configuration
Attributes and Transformations	Financials	Configuration
Auto Accounting	Financials	Configuration
Auto Invoice Line Ordering Rule	Financials	Configuration
Budgetary Calendar	Human Capital Management	Configuration
Cash Application Owner Assignment Rule	Financials	Configuration
Compensation Element Values	Human Capital Management	Transaction
Define Credit Usage Rules	Financials	Configuration
Define Phone Formats	Financials	Configuration
Dunning Letter Sets	Financials	Configuration
Dunning Letters	Financials	Configuration
InterCompany Receivables Assignments	Financials	Configuration
InterCompany Transaction Types	Financials	Configuration
InterCompany Transactions	Financials	Configuration
Payroll Earnings	Human Capital Management	Configuration
Payroll GL Map	Human Capital Management	Configuration
Payroll Transactions	Human Capital Management	Configuration
Project Agreement	Financials	Operational (Master Data)
Project Basic Information	Financials	Operational (Master Data)
Project Budgets	Financials	Operational (Master Data)
Project Contract Deliverables	Financials	Transaction
Project Contract Funding Pools	Financials	Configuration
Project Contract Programs	Financials	Configuration
Project Cost and Revenue Distribution Details	Financials	Transaction
Project Costing and Billing Information	Financials	Operational (Master Data)
Project Events	Financials	Transaction

Business Object Name	Type	Category
Project Expenditure	Financials	Transaction
Project Financial Information	Financials	Operational (Master Data)
Project Funding	Financials	Operational (Master Data)
Project Invoices	Financials	Transaction
Project Locations	Financials	Configuration (Set Up)
Project Revenue	Financials	Transaction
Project Structure and Workplan Information	Financials	Operational (Master Data)
Project Tasks	Financials	Operational (Master Data)
Project Tasks Details	Financials	Operational (Master Data)
Project Types	Financials	Configuration (Set Up)
Project Work Types	Financials	Configuration (Set Up)
Receivables Distribution Set	Financials	Configuration
Signing Authority	Financials	Configuration
System Parameters	Financials	Configuration
Withholding Tax Details	Financials	Configuration

Resolved Issues

Version 8.6.6.1000 resolves the following issues:

- Issue 22251490: AACG analysis may be “preventive,” meaning that access controls uncover SOD conflicts at the moment a person is assigned new access. Depending on how a control is configured, preventive analysis may allow access, prevent it, or suspend it pending approval. When access assignments are suspended, a reviewer should be able to approve or reject them in a Manage Access Approvals page.

A reviewer was unable to accept the assignment of one Oracle E-Business Suite responsibility in the Manage Access Approvals page (although others could be accepted properly).
- Issue 21986122: When an AACG model defined an SOD conflict involving a responsibility, an attempt to import that model generated an error.
- Issue 21883530: In Oracle E-Business Suite, one can edit a responsibility definition to exclude menus to which users have access. AACG should exclude the same menus from analysis.
- Issue 21850192: For each approval request in the AACG Manage Access Approvals page, a Preview option should show what controls have been violated, and what incidents those controls have generated. For AACG, an incident is one element of a potential SOD violation — a path to user access that a control sets in conflict with another path. The Preview feature did not show all conflicting roles and paths.
- Issue 21821190: Distinct database schemas support GRC and GRCI. The Data Analytics (DA) schema, which supports GRCI, is refreshed by the GRC schema.

But after a refresh, for some controls, the status was Active in the GRC schema, but Inactive in the DA schema.

- Issue 21812938: In an EGRCM Manage Risk search page, searches that incorporated a wild card character (%) did not return some records that should have satisfied search parameters.
- Issue 21388236: Transaction models did not produce results if they used both the Person business object and the Document Actions History business object. (A model that used either object individually did produce results correctly.)
- Issue 21274575: GRC is certified to run with Internet Explorer 11 and with Firefox 38.5 and 43.04.
- Issue 21107113: In an EGRCM Manage Control search page, searches based on control description did not return correct results.
- Issue 20982521: If preventive analysis was initiated while a control-analysis job was running, both processes failed to reach conclusion.
- Issue 20722156: In EGRCM, users can assess processes, risks, or controls to determine they are implemented correctly when created or remain valid over time. An attempt to attach multiple documents to an assessment resulted in an error.
- Issue 20673473: In EGRCM, a user may save an object (typically to work on it further before making it available to others) or submit it (place it in a state appropriate for others to work with it). An attempt to submit a saved assessment resulted in an error.
- Issue 20633018: An incident-closed-date value was not being populated in the DA schema.
- Issue 20618121: After a job to synchronize the DA schema with the GRC schema, the incident count in the DA schema did not match the count in the GRC schema.
- Issue 20618023: For each EGRCM control, you can create test plans. Each documents steps taken during an assessment to determine whether the control addresses a risk effectively. A user working with a control could not navigate to test plans created for it.
- Issue 20373948: After a DA schema refresh, control-last-run dates were out of sync between the DA schema and the GRC schema.
- Issue 19222751: A job is a request to run background tasks, such as evaluating models or continuous controls, or exporting results. You can schedule a job to run. The scheduling feature failed to accept dates from the eleventh to the twentieth of any month.
- Issue 18763856: In AACG, a simulation feature enables you to preview how a business application would be affected if you were to change its configuration to resolve conflicts identified by access controls. An attempt to generate simulation statistics resulted in an error.

Known Issues

The following issues are known to exist in version 8.6.6.1000 of GRC, and will be addressed in a future release.

- Issue 22720655: If your GRC database uses Real Application Clusters (RAC) to implement two nodes, the GRC Manage Jobs page does not display submitted jobs. As a workaround, you can review jobs in log files.
- Issue 22674534: A Risk Control Matrix Extract Report lists risks, controls, or processes defined in EGRCM in a format that facilitates analysis in Excel. It requires a Module parameter, but a value for that parameter cannot be selected.
- Issue 21874035: In AACG, a global condition is a set of filters that select records to exempted from SOD analysis by all access models or controls on a given datasource. When a global condition includes a filter that uses a Between operator to define a time period, it does not accept dates that should define the beginning and end of the period.
- Issue 21045593: An attempt to run inactive CCM controls should, but does not, generate an error message.
- Issue 20984952: A Manage Controls page lists existing continuous controls, providing summary information about each. That information includes a pending results count. That count is set incorrectly to 0 under these circumstances: An access control of the Monitor type correctly grants access requests during preventive analysis. The control is run subsequently from the Manage Controls page; the count should, but does not, reflect the preventive-analysis grants. The count becomes correct after another preventive analysis involving a different user and a subsequent run in the Manage Controls page.
- Issue 20821735: A perspective is a set of related, hierarchically organized values. Users assign individual values to individual objects. Values play an important role in security, but also serve as filtering parameters for reports and object-management pages. However, when multiple perspective values are available for selection as report parameters, report header and data sections may repeat selections or otherwise display incorrect values.
- Issue 19699225: A transaction model consists of filters, each of which defines some aspect of a risk and selects transaction records that meet its definition. You can organize filters into groups. Each filter cites at least one business object, which provides the data that the filter analyzes. This can be a user-defined object (a set of data returned by a specially configured continuous control). When a model incorporates both user-defined objects and grouping, an error occurs.

Installation and Upgrade

You can install GRC 8.6.6.1000 independently of past releases, or you can upgrade to it from version 8.6.5.9500. If you upgrade, be sure to back up the transaction ETL repository and GRC schema from version 8.6.5.9500 first.

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

- Perform access synchronization on all datasources used for AACG analysis. (Ordinary synchronization updates GRC with data for records that are new or have been changed 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 “Incident”).

Note: You may upgrade through several releases (for example, from version 8.6.5.8000 to 8.6.5.9500 to 8.6.6.1000). If so, 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 8.6.6.1000, 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`: 8c1c1ec26be767593ec3daf57d886f3b
- `grc.war`: 42902dd1d58dad7251c9fb1d88953b14

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