

Oracle® Governance, Risk and Compliance

Release Notes

Release 8.6.4

Part No. E26596-02

November 2011

Oracle Governance, Risk and Compliance Release Notes

Part No. E26596-02

Copyright © 2011 Oracle Corporation and/or its affiliates. All rights reserved.

Primary Author: David Christie

Oracle is a registered trademark of Oracle Corporation and/or its affiliates. Other names may be trademarks of their respective owners.

The software and related documentation are provided under a license agreement containing restrictions on use and disclosure and are protected by intellectual property laws. Except as expressly permitted in your license agreement or allowed by law, you may not use, copy, reproduce, translate, broadcast, modify, license, transmit, distribute, exhibit, perform, publish or display any part, in any form, or by any means. Reverse engineering, disassembly, or decompilation of this software, unless required by law for interoperability, is prohibited.

The information contained herein is subject to change without notice and is not warranted to be error-free. If you find any errors, please report them to us in writing.

If this software or related documentation is delivered to the U.S. Government or anyone licensing it on behalf of the U.S. Government, the following notice is applicable.

U.S. GOVERNMENT RIGHTS

Programs, software, databases, and related documentation and technical data delivered to U.S. Government customers are “commercial computer software” or “commercial technical data” pursuant to the applicable Federal Acquisition Regulation and agency-specific supplemental regulations. As such, the use, duplication, disclosure, modification, and adaptation shall be subject to the restrictions and license terms set forth in the applicable Government contract, and, to the extent applicable by the terms of the Government contract, the additional rights set forth in FAR 52.227-19, Commercial Computer Software License (December 2007). Oracle USA, Inc., 500 Oracle Parkway, Redwood City, CA 94065.

The software is developed for general use in a variety of information management applications. It is not developed or intended for use in any inherently dangerous applications, including applications which may create a risk of personal injury. If you use this software in dangerous applications, then you shall be responsible to take all appropriate fail-safe, backup, redundancy and other measures to ensure the safe use of this software. Oracle Corporation and its affiliates disclaim any liability for any damages caused by use of this software in dangerous applications.

The software and documentation may provide access to or information on content, products and services from third parties. Oracle Corporation and its affiliates are not responsible for and expressly disclaim all warranties of any kind with respect to third party content, products and services. Oracle Corporation and its affiliates will not be responsible for any loss, costs, or damages incurred due to your access to or use of third party content, products or services.

Contents

Release Notes

Embedded GRCI	1-1
Search Enhancements	1-2
Related Objects	1-2
Removal of Summary Tabs	1-2
Seeded Import Templates	1-3
Resolved Issues	1-3
Known Issues	1-4
Installation	1-5

Release Notes

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

Version 8.6.4 focuses on development of one of those products, Enterprise Governance, Risk and Compliance Manager (EGRCM). The application consists of a set of modules, in each of which users may define risks to a company's business, controls to mitigate the risks, and other objects, such as business processes to which risks and controls apply. New features in version 8.6.4 include:

- Embedded GRC Intelligence.
- Enhanced search capability.
- Enhanced ability to relate objects to one another.
- Removal of summary tabs.
- Seeded import templates.

You cannot use version 8.6.4 to install another GRC product, Enterprise Governance, Risk and Compliance Controls (EGRCC). If you wish to install EGRCC, use GRC release 8.6.3.

Embedded GRCI

Oracle Fusion GRC Intelligence (GRCI) provides dashboards that can present summary views of EGRCM data, highlighting potential trouble areas such as ineffective controls, processes with issues, and unmitigated risks. GRCI also provides a variety of reports on EGRCM activity.

Although GRCI remains a separately licensed product, GRC 8.6.4 permits a GRCI instance to be embedded within an EGRCM instance. For information on installing EGRCM with embedded GRCI, see the *Governance, Risk and Compliance Installation Guide* for version 8.6.4.

Search Enhancements

EGRM provides capability for users to search for individual records of objects or other items. In version 8.6.4, this capability is expanded to enable users to search for records associated with specified perspective or user-defined-attribute values.

(A perspective is a hierarchical representation of a context in which processes, risks, controls, and other objects exist. An Organization perspective, for example, might map the structure of a company that implements EGRM, enabling the company to pinpoint exactly where individual risks, controls, or other objects apply. A user-defined attribute, or UDA, is a piece of information added to an object to extend its definition.)

The expanded search capability is used in the following areas of the application: Risk Management, Control Management, Process/Base Object Management, Issue Management, Perspective Management, Assessment Management, and Survey Management.

To use this enhanced search capability, a user would open a search dialog and click an Advanced button. Among the advanced-search features, the user would select an Add Fields button, then select the perspective or UDA values on which to search. These would be combined with any other search parameters selected in the search dialog.

Related Objects

Objects may be related to other objects in parent-child relationships. For example, a control may be related to the risk it is meant to address. Or, controls may be related to one another, each satisfying some aspect of risk mitigation.

An EGRM page displaying a record of an object also displays a grid showing its related objects. (In earlier versions, this grid was titled “Related Components,” but beginning with version 8.6.4 it is titled “Related Objects.”) Information about each related object is displayed in its own tab in the grid.

Beginning with version 8.6.4, the Related Objects grid can display perspective and UDA values associated with objects. Enhanced “View” functionality enables users to add a column to the grid for each perspective or attribute.

Moreover, in the Related Objects grid users can create, add, and remove records for child objects. In version 8.6.4 they can use perspective and UDA values to search for records of child objects to be added.

These enhancements apply to processes, base objects, risk objects (and their events and consequences), control objects, and issue records.

Removal of Summary Tabs

Each object- or issue-management page is divided into distinct tabs, each of which displays a subset of the information being managed. In earlier versions, the pages for processes, base objects, risks, controls, and issues each contained a Summary tab. Much of the information included in the Summary tab for each of these items was included in other tabs as well. To enhance performance and eliminate redun-

dancy, version 8.6.4 removes the Summary tab from each of these pages. In each case, information that had been displayed exclusively on the Summary tab is moved to a Definition tab.

Seeded Import Templates

EGRM users can upload operational data (definitions of objects such as processes, risks, controls, and perspectives) through the use of import templates. A Financial Governance Import Template enables users to load data into the Financial Governance module, and a New Module Import Template enables users to load data into a custom module. In version 8.6.4, these templates (which take the form of .xml files) are included with EGRM.

Resolved Issues

Version 8.6.4 incorporates corrections to issues identified during the use of earlier versions. These include the following:

- Issue 13005602: In Perspective Management, an inactivated perspective value continues to appear in its perspective hierarchy.
- Issue 12997826: When a perspective with more than sixty items was displayed in Perspective Management, and a user employed the keyboard down arrow to scroll through the list, a white page error occurred after the fifty-first item.
- Issue 12982424: The Create Control popup available from Create Risk was missing the Additional Details region that displays UDAs.
- Issue 12978224: A single related object, added erroneously to an issue, could not be deleted. An issue must be related to something (at minimum, the component it is raised against), so a user should relate the issue to an appropriate component, at which point the erroneous relationship can be deleted.
- Issue 12978104: In a new module, the Risk object did not appear in the Navigator for users whose security configuration should have allowed it to be displayed.
- Issue 12973229: When a user created an assessment on a control, a record of who reviewed and approved it, and when, appeared only if the reviewer or approver added a comment.
- Issue 12953884: A user who attempted to remove a remediation plan from an issue (by selecting the × button) was redirected to an error page.
- Issue 12941221: When a perspective was created and its hierarchy was subsequently rearranged, users were unable to see perspective values they had been assigned.
- Issue 12941156: A change to the description of a remediation plan could not be saved. The log cited a “value too large for column” error.
- Issue 12906536: An attempt to run the Issue Listing Extract Report resulted in an error.
- Issue 12903660: An attempt to use the import template to import a base object, two risk objects, and a control object failed.

- Issue 12899958: When a user followed the navigation path Navigator > Setup and Administration > Module Management > Manage Module Perspective, and then selected the Financial Governance module, a Java error occurred.
- Issues 12896172 and 12896136: A tab to define an association between one FLEX_BASE_OBJECT and another was missing.
- Issue 12770389: A custom module was created; data, duty, and job roles were created for it; and a control was created within it. A “Required Perspective Missing” error occurred, although no perspective was associated with the module or control.
- Issue 12766508: In earlier versions, a user needed to complete a risk analysis before creating and completing a risk evaluation. In 8.6.4, a user can perform a risk evaluation when a risk is created, even if a risk analysis has not taken place.
- Issue 12765213: An assessment with no reviewer, rejected by the approver and resubmitted by the tester, went into In Review state, even though there was no reviewer to complete the review.
- Issue 12666328: The Related Components region of the Create Risk page in a custom module was missing the Create icon for adding related objects.
- Issue 12642915: Performance was slow for the following: Manage Assessment screen loads, Submit Assessment, sorting on Manage Assessment page, Accept/Reject/RFI, My Assessments page load.
- Issue 12574185: When a tester completed an assessment of a control, an approver or reviewer returned it for additional information, and the tester then withdrew it (selected it in the worklist and chose Actions > Withdraw), the Manage Control screen opened; the tester should have been returned to the worklist.

Known Issues

The following issues are known to exist in version 8.6.4 of GRC, and will be addressed in future releases:

- Issue 13404619: The attribute changes listed on the Compare Revisions page do not include status.
- Issue 13404225: A process is created, a risk is associated with it, and a control is associated with the risk. When an ad hoc assessment of the risk is created, the control is not displayed.
- Issue 13401132: The Certification Detail Report should include results for all objects for which Certification assessments are pending. However, it lists only those objects that also have at least one issue assigned.
- Issue 13398995: The Assessment Management > Complete Assessment page takes more than five minutes to load.
- Issue 13356745: In a custom module, when remediation plans are created for an issue, a Remediation Plan Progress bar available from the Issue Definition page reports an incorrect number of plans. It should take into account only remediation plans for the current issue.

- Issue 13350905: When a user selects Assessment Management > Manage Templates, then clicks on a template name, the View Template page opens with its Revision grid displaying vertical and horizontal scroll bars. The scroll bars should not appear.
- Issue 13346732: In the Notification tab of the Setup and Administration > Manage Application Configurations page, a user may schedule notifications to be run. If the user selects a start time between noon and midnight, however, the Manage Application Configurations page displays the time as a.m. rather than p.m.
- Issue 13337112: When a user attempts to run the Issue Detail Report from Report Management, parameters appropriate for the report are not available.
- Issue 13336545: References to tags should be removed on the Initiate Survey page.
- Issue 13323591: When a job role is defined so that it contains a composite data role associated with a perspective value, a user assigned the role is unable to see an object associated with the perspective value.
- Issue 13255031: When a user saves a search on any object, the “System Generated” search is no longer available on the Saved Search dropdown.
- Issue 13114653: When a template is created in a new module, is assessed, and is accepted in Assessment Management, it remains listed as in review.
- Issue 13103361: When, in Survey Management, a user adds a question to a survey template, then submits the template for review, the question is missing from the template.
- Issue 13050764: An error occurs when a user attempts to inactivate a perspective value associated to an object.
- Issue 13040591: A copied consequence should go to In Review state upon submission, but goes to Awaiting Approval instead.
- Issue 12746275: Regardless of their job duty roles, assessors are able to view details of all assessments in the complete assessment train (review prior results page).

Installation

To install GRC, you will use a file called `grc.ear`. 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 the following:

63f6509a506caf697863b45577c82d63

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

