Oracle® Governance, Risk and Compliance

Release Notes

Release 8.6.4.4000

Part No. E37652-01

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Contents

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

- Oracle Enterprise Governance, Risk and Compliance Controls (EGRCC) comprises two elements, Application Access Controls Governor (AACG) and Enterprise Transaction Controls Governor (ETCG). These enable users to create models and controls and to run them within business applications to uncover and resolve segregation of duties violations and transaction risk.

- 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. In 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 and EGRCC.

These GRC components run as modules in a shared platform. EGRCC runs 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

GRC 8.6.4.4000 introduces these features:

- Users can modify application "branding" — replace the logo and product name displayed on every GRC page. (By default, these are the Oracle logo and the name "Enterprise Governance, Risk and Compliance.")

- A specialized Manage CCM Jobs page focuses on the management of EGRCC model- and control-analysis jobs. A "job" is a request to synchronize data, evaluate models or controls, export results, generate reports, or perform other tasks that run in the background. In earlier versions, a Manage Jobs page listed all jobs, offering the ability to view job status, manage exported and imported data, cancel jobs, or purge job history. This page continues to exist, and continues to display

model- and control-analysis jobs as well as other jobs. The Manage CCM Jobs page provides the same capabilities, but is filtered to display only model- and control-analysis jobs. However, it offers search capability that enables users to refilter the page to display any sort of job.

- Users can save formatting preferences on the page that displays EGRCC "incident results" (records of control violations). These preferences include the selection, width, and order of columns, as well as the sort order of rows, in the grid that displays incidents. The user would save these preferences while saving search parameters that determine which incidents are listed in, or excluded from, the grid.

- Reports generated from the CCM Manage Controls and Manage Incidents pages run as jobs. Users can manage them from the Manage Jobs page.

For detailed information on these features, see the *Governance, Risk and Compliance User Guide.*

Resolved Issues

Version 8.6.4.4000 resolves the following issues:

- Issue 14680371: An Enable Parallel Processing feature (configured from the Properties tab of the Manage Application Configurations page) previously enabled multiple AACG or ETCG controls to run simultaneously. Beginning with version 8.6.4.4000, this feature enables both models and controls to run simultaneously.

- Issue 14472697: Each GRC object may be assigned one or more values from one or more "perspectives" (a perspective being a set of related values). In EGRCC, a "datasource" is a business application subject to models and controls; for each, GRC automatically generates a value in a Datasource perspective. When a user selects a datasource for a model, control, or global condition, GRC associates that object with the appropriate Datasource perspective value. When a control generates incidents, GRC associates them with the control's Datasource perspective values. For a user to see a given model, control, global condition, or incident, her data roles must contain Datasource values that match those assigned to the object.

- Issue 14332919: In EGRCC 8.6.3, controls designated "participants" or "participant groups" — individual users or sets of users who could resolve incidents generated by the controls. Members of participant groups were able to see incidents to which they should not have had access. In EGRCC 8.6.4.4000, the problem is obviated — participants and participant groups no longer exist, and controls and their incidents are secured by means of perspective-value assignments.

- Issue 14275615: In EGRCC, a Manage Results page displays a grid that may be set so that each row presents a record of an incident. When a user adds a comment to an incident, its row in the grid should display a Comments icon. However, when comments were added through a "mass-edit" operation, the Comments icon did not appear.

- Issue 13573190: Users can schedule jobs to perform EGRCC control analysis. As they do, they can select an option to synchronize data before the analysis job runs — to run a process that captures changes made in the source application since the last time controls were run. However, when this option was selected for AACG analysis, the job ran without synchronization first being performed.

- Issue 12946000: In earlier versions, users could assign one or more "tag" values to AACG controls and incidents (a tag being a set of related values). AACG was seeded with a Business Process tag. When a user ran the Access Incident Details Extract Report with a Business Process tag value as a filtering parameter, the report produced no results. In version 8.6.4.4000, the problem is obviated — tags no longer exist, having been replaced by perspectives. Perspective values correctly serve as filtering parameters in reports. (Note: No perspectives are seeded with the application, although users can import Oracle-defined Business Process and Risk perspectives).

- Issue 14197461: A Manage Application Datasources page lists the datasources to which GRC is connected. The record for each datasource displays the dates on which access and transaction synchronization jobs were last performed. However, for transaction synchronization jobs, this date was not maintained correctly; it differed from an equivalent date shown on the Manage Jobs page.

- Issue 14588565: An attempt to edit an EGRCM risk produced an "unauthorized access" error, even though the user had been granted the edit-risk privilege.

- Issue 14246148: Depending on how the risk object is configured in Module Management, EGRCM users may be able to work with "events," each of which is a set of circumstances under which a risk may manifest itself. A Delete icon on the Manage Events page should be active only when an event in the New state is selected. In certain cases when the Delete icon should have been inactive, clicking it produced a Delete Confirmation message. In these cases, clicking the OK button in the confirmation message produced an error.

- Issue 13243937: In EGRCM, users may assess risks, controls, or other objects to determine whether they are defined and implemented correctly, or whether their implementation remains appropriate as time passes. Although a user who creates a control may designate a frequency with which it is to be implemented, a control assessment did not enable users to make selections based on control frequency.

- Issue 12889092: Lists of reports available in the GRC Report Management page could not be sorted.

- Issue 13978904: GRCI uses a DA schema, which is distinct from, but receives data from, the main GRC database schema. In earlier versions, an Issue Validator column was not available in the DA schema.

- Issue 14574840: After GRC installation, certain database objects were at invalid status because they referred to nonexistent tables.

- Issue 14516296: Although a user's roles denied access to a GRC page, the user could open the page by entering its URL in the address bar of his web browser.

- Issue 14516276: By manipulating data received in HTTP responses, a user could gain access to GRC pages other than those his roles permitted him to see.

Known Issues

The following issues are known to exist in version 8.6.4.4000 of GRC, and will be addressed in future releases.

AACG Simulation:

*   Issue 14707818: A Simulation feature enables AACG users to depict graphically the paths by which business users gain access to their applications, to determine how proposed resolutions to segregation-of-duties conflicts would affect the business applications. Each access path consists of nodes representing a business-application user and a set of access points that lead to particular functionality — a role or responsibility assigned to the user, a dependent menu, and so on. Each node is labeled by type — for example, *U* for user or *R* for responsibility. A node representing a menu should be labeled with an *M*, but displays a question mark instead.

EGRCM Surveys:

*   Issue 14701278: In EGRCM, users may be surveyed (often to provide information used in an assessment). When surveys are assigned to a user, he may respond by selecting a Complete Survey link in the Tasks list of his home page. A My Surveys page opens, displaying a row for each survey assigned to the user. In each row, a Component Type field should identify the type of object with which a survey is concerned, but instead displays no value.

*   Issue 14701229: In the My Surveys page, a search panel enables users to search among their surveys. In it, Component Type is not available as a basic search parameter.

*   Issue 14691341: When a survey is created, it appears as a worklist in the home page of each user assigned to respond to it. (A worklist is a notification of a task that a user is required to complete.) When a user works on the survey, he may either save or submit it. If he saves the survey, the worklist disappears from his home page; it should remain until he submits the survey.

*   Issue 14652076: A user may create a survey by selecting a Create option in a Manage Surveys page. In the resulting Initiate Survey page, a Component Type field enables the user to select the type of object with which a survey is concerned. However, "Base Object" is not available for selection in this field. ("Process" is available. Although Process is a base object configured specifically for the Financial Governance module, a user may select this option even if the survey is to concern a base object in a module other than Financial Governance.)

EGRCM Data Migration:

*   Issue 14686860: A Data Migration feature enables users to import operational data into an EGRCM instance. The process involves generating an XML template that reflects the specific configuration of a module, updating the template with operational data, and running an import process. In the template, distinct worksheets contain data for distinct object components.

    Users may also create user-defined attributes (UDAs) — information added to a given object to extend its definition. When a Data Migration template is generated, a UDA created for the assessment of an object is included in the object worksheet rather than the object-assessment worksheet.

- Issue 14680593: EGRCM users may raise "issues" (each a defect or deficiency detected for an object). For each issue, a user may create a "remediation plan" (a set of tasks users complete to investigate and resolve the issue). When a Data Migration template includes a remediation plan at the Approved state, the plan is imported at the Review state.

- Issue 14680547: The Manage page for each object includes an Issues tab. When one or more issues are raised against an object, this tab should display an Open Issues by Severity graph. However, the graph is missing if issues have been imported via Data Migration.

- Issue 14674968: Depending on how the risk object is configured in Module Management, the Manage Risk page may display a Treatments tab. If so, users can create treatments and treatment plans to mitigate risk. However, when UDAs for a treatment or treatment plan are imported, they are not visible from the Treatments tab of the Manage Risk page. (They are visible in the pages from which treatments and treatment plans are created.)

- Issue 14674932: After an EGRCM import, clicking on the Issues tab in the Manage page for any object generates a Java language error.

Logical Grouping in EGRCC Models and Filters:

- Issue 14634829: In EGRCC, models and controls consist of filters, each of which defines some aspect of access or transaction risk, and selects records that match the definition. Filters can be grouped, but once they have been, the grouping cannot be removed.

- Issue 14634581: Filters may be placed in AND or OR relationships to one another. Processing produces results if all filters in an AND relationship evaluate to true, or if any filter in an OR relationship evaluates to true. When filters are grouped, they cannot be placed in an OR relationship.

- Issue 14634464: No more than two AND filters can be grouped.

GRC Branding:

- Issue 14738752: Modifications to GRC branding are configured on an Installation Options page. Having made changes on that page, a user may click a Save button or a Save and Close button. If the user clicks the Save and Close button, the changes are not saved. A recommended procedure is to click the Save button first to save changes, and then to click Save and Close to close the page.

Installation

To install GRC, 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: `37a09d508edf6458d58fb1db0acf5661`

- grc.war: `8d3df49d2cadc5519bf9be8eba5a9076`

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