Oracle® Enterprise Governance, Risk and Compliance

Release Notes

Release 8.6.4.6000

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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.

Model Templates Are Discontinued

In AACG and ETCG, a model not only defines logic by which access or transactions are considered to be risky, but also specifies "datasources" — business applications subject to analysis. A typical GRC user is authorized to work only with a subset of datasources, and so models could not be shared freely. In earlier versions, a model could be viewed or edited only by the person who created it.

So that risk logic could be shared, a model could be saved as a template — essentially a model not mapped to any datasource. Templates were available to all users.

More recently, AACG and ETCG adopted the use of "perspective hierarchies," each of which is a set of related values that define a context in which objects may exist. Users may associate individual perspective values with individual objects.

Perspectives play a significant part in GRC security. Users are assigned job roles, which contain duty roles that define access to functionality, and data roles that define access to data. A data role may specify perspective values, and if so would grant access only to data concerning objects associated with those perspective values.

Each model, in particular, is associated automatically with values for system perspectives; one of these, Datasource, identifies the datasources selected for the model. (Users may assign values for configured perspectives to the model as well.) Thus multiple users can have access to a model, as long as their roles specify perspective values that match those associated with the model.

So a model is accessible to any number of users, not only to the user who created it. Because models can be shared, model templates no longer serve any purpose. Therefore, beginning with version 8.6.4.6000, model templates are no longer available.

Access Analysis in PeopleSoft

Version 8.6.4.6000 includes updates to the analysis of Page Name access points in PeopleSoft instances. Because of the updates, additional incidents may be detected and should be properly remediated. If you apply AACG to a PeopleSoft instance, it is recommended that you perform a full access control analysis on that instance as part of the upgrade to version 8.6.4.6000.

Resolved Issues

Issues resolved by version 8.6.4.6000 include the following:

- Issue 16340848: The Risk Control Matrix Extract Report lists EGRCM risks, controls, processes, and related information. Attempts to run this report generated errors.
- Issue 16313801: Perspective values are hierarchical — they have parent/child relationships to one another. In OBIEE (a product that underlies GRCI), users running reports should be able to use perspective values as parameters, but only the first level of values in each perspective hierarchy was available.
- Issue 16296844: A “business object” is a set of related data fields from a datasource. In a Manage Application Libraries page, users can import or export “dictionaries” and “mappings” that define business objects within GRC. However, attempts to create an “export mapping template” generated errors.
- Issue 16293384: An access model was created to detect conflicts involving access to a GL_ACCOUNT page (as well as other access points) in a PeopleSoft instance. Although the model correctly detected conflicts involving other pages, it did not detect existing conflicts involving the GL_ACCOUNT page.
- Issue 16232754: An Access Incident Details Extract lists access “incidents” (violations of controls) and provides details about them. However, the report returned no results when it was run with “GL_Data_Set” or other MOAC filters.

- Issue 16232176: Users may attach documents to AACG or ETCG incidents, or to objects created in EGRCM modules. However, users could not open or view attached documents.
- Issue 16050544: Access models and controls define conflicts among "access points" to business applications, and access points may be gathered into sets called "entitlements." As an entitlement is created, each access point is identified both by a display name and an internal, technical name. When the entitlement was viewed after having been created, however, the internal name was improperly replaced by descriptive text.
- Issue 16005278: An access model or control may include filters defining "conditions," which exempt certain conflicts from analysis. Or, a global condition may contain filters that define exemptions for all models and controls evaluated on a given datasource. A filter may use an "is not blank" operator to specify records in which a date field is populated with any value. A global condition that contains such a filter should be included in a Conditions Report, but was not.
- Issue 15992226: A global condition was created to exclude Oracle EBS users assigned responsibilities with future end dates. Model results included users who should have been excluded by the condition.
- Issue 14739632: A global condition was created to exclude display-only access in a PeopleSoft instance. Incidents were generated for users who should have been excluded by the condition.
- Issue 14571612: A transaction model that used the Supplier and Person business objects returned no results, although existing transaction data should have triggered results.
- Issue 14515256: A "worklist" is a task that requires action by a GRC user. GRC can notify users by email when worklists are generated. For this to happen, a connection to an email server must be configured on the Notifications tab of the Manage Application Configurations page. An attempt to connect to an external email server (rather than the localhost) generated an error.
- Issue 14075834: EGRCM users may create issues, which identify defects in processes, risks, or controls, or in activities such as assessments of those objects. If an issue was associated with an assessment, and a user assigned it a name already used by another issue, EGRCM generated an error, but the error message did not clearly explain why the operation failed.
- Issue 13740447: Comments to continuous controls, when entered as multiple lines, were not displayed as entered.

Known Issues

The following issues are known to exist in version 8.6.4.6000 of GRC, and will be addressed in future releases.

- Issue 16387974: In EGRCM, "test plans" may be created to verify that controls effectively serve their purpose. Moreover, "user-defined attributes" (UDAs) — fields added to a given object to extend its definition — may be created. However, GRCI does not display UDAs created for test plans and test instructions.

- Issue 16303060: A UDA Mapping report does not show UDAs created for assessments of controls, risks, and processes.
- Issue 16244840: In ETCG, when a user makes changes to model logic, then begins entering data before the screen refreshes, model filters disappear and the user must restart the model from scratch.
- Issue 15974152: A user may choose to run an access or transaction model in the background. If so, a message displaying a job ID appears, but its appearance is delayed. In the interval, it's not apparent that the application is working.

Installation and Upgrade

You can install GRC 8.6.4.6000 only as an upgrade from version 8.6.4.5259. As you do, 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: `80083d1758da84e00f35c8b83ebe365e`
- grc.war: `b7b3f3fe98ad6546046ac689d8d6687d`

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