Oracle® Enterprise Governance, Risk and Compliance

Release Notes

Release 8.6.4.7000

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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 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.

Graph Synchronization Date Limit

From time to time, AACG or ETCG users "synchronize" data — capture changes made in business applications in which models or controls evaluate risk. In earlier versions, an Era-Based ETL Optimization feature could cause ETCG synchronization to operate only on records created or modified in business applications on or after a specified date. This was intended to enhance performance by reducing the amount of data to be synchronized.

However, setup and master-data records may have been created before the cutoff date. Because these records change infrequently, the use of the Era-Based ETL Optimization feature could cause them never to be brought into GRC during synchronization runs, thus invalidating models and controls that incorporate such data.

In version 8.6.4.7000, a Graph Synchronization Date Limit feature replaces Era-Base ETL Optimization.

A model or control consists of filters, each of which defines some aspect of risk and returns data records that satisfy their definition. But the model or control also cites "business objects" and "attributes" of those objects, which supply data for analysis. In effect, a business object is a set of related data fields from a "datasource" (business application), and an attribute is one field within the set. Filters incorporate attributes of business objects into their logic.

Beginning with version 8.6.4.7000, ETCG distinguishes among three categories of business object — Transaction (in which records are created or updated frequently), and Operational and Configuration (consisting of master-data or setup records that change infrequently).

When a Graph Synchronization Date Limit is set, the synchronization of Transaction business objects operates only on records created or updated in datasources on or after a specified date. However, the synchronization of Operational and Configuration business objects encompasses all records, no matter when they were created or updated. (Moreover, AACG does not distinguish among business-object categories, and the Graph Synchronization Date Limit has no effect on AACG synchronization.)

In the pages in which transaction models are created and edited, each business object selected for a model appears as a window in which the user can view the attributes of the object. If a Graph Synchronization Date Limit is set, the user can place the mouse cursor over the title bar for a Transaction business object to view the synchronization cutoff date. If no Date Limit is specified, the value *No Date Limit* appears. That value also appears if the user places the mouse cursor over the title bar for an Operational or Configuration business object, regardless of whether a Graph Synchronization Date Limit is specified.

An ordinary synchronization run is incremental — it creates or updates only records that are new or have changed since the previous synchronization. For an ETCG datasource, a "graph rebuild" is also available — all data for a given datasource is deleted and replaced with a complete set of current data. This typically takes longer than an ordinary synchronization, and it potentially has a significant effect on existing control results ("incidents"), model results, and worklists. As a result, a graph rebuild should not be performed frequently.

Resolved Issues

Issues resolved by version 8.6.4.7000 include the following:

- Issue 16757086: EGRCM users periodically assess controls, risks, and "base objects," initially to ensure that they are defined correctly and subsequently to ensure that definitions remain appropriate. Assessments took an excessively long time to open; this performance issue was traced to a GRC_PARENT_CHILD_XREF table in the GRC database.
- Issue 16748586: In AACG, a "condition" specifies items to be excluded from analysis, and consists of one or more filters that select those items. A condition may be specific to a model (and to a control developed from the model). Or, a global condition may apply to all models and controls evaluated on a given data-

source. Like those that define risk, a condition filter cites an attribute of a business object, which supplies data for analysis.

For a global condition, a Menu Name attribute of an EBS Access Condition business object should have enabled users to select Oracle E-Business Suite menus for exclusion, but the list box in which a user would have selected a menu was blank.

- Issue 16424697: For either a model-specific condition or a global condition, the Menu Name attribute of the PeopleSoft Access Condition business object should have enabled users to select PeopleSoft menus for exclusion, but offered no values for selection.
- Issue 16695655: In an Oracle EBS environment, AACG models and controls could return inaccurate results because they did not take EBS menu exclusions into account.
- Issue 16686944: An AACG (or ETCG) control specifies "result investigators" — users who resolve incidents generated by the control. If a Notification feature is configured, result investigators should receive email messages when their controls generate incidents. For new AACG controls, notification worked erratically, sending messages for some but not for others.
- Issue 16630941: When an existing AACG control generated new incidents, notifications were not sent to result investigators.
- Issue 16570934: In ETCG, a function is a type of filter that establishes groups of records, then calculates a value for each group. A Count function should return the number of items in each group and in subgroups.
- Issue 16562187: In ETCG, a sensitive access model (SAM) identifies users who have completed transactions that involve duties which, in combination, are risky for an individual to possess. To support such models, three business objects — Sales Order Payment, Receivables Adjustment, and Receivables Activity Applications — were added for Oracle E-Business Suite 12.1 datasources.
- Issue 16547092: The Analytics tab of the Manage Application Configurations page records values that set up GRCI for use with GRC. After an upgrade, however, an attempt to modify Analytics values resulted in an error.
- Issue 16527587 : The logic for an ETCG model changed if the model was created, saved, and reopened by any user other than the admin user.
- Issue 16523375: An attempt to synchronize ETCG data resulted in an error.
- Issue 16517405: When an access model included the condition filter "Same Set of Books equals Yes," an attempt to convert the model to a control resulted in a duplicate-record error.
- Issue 16440566: AACG may perform "preventive" analysis — analyze controls as a user is assigned duties in a business application, and (in accordance with each control's "enforcement type") deny access to those duties, allow access, or suspend access until the assignment can be reviewed. Assignments that should have been suspended were instead approved automatically.
- Issue 16392662: When run in a PeopleSoft instance, AACG models produced false positives. Incidents defined access paths and associated them with users who did not actually have the access defined by those paths.

- Issue 16243466: Along with GRC, users can implement "content" — sets of AACG or ETCG models and controls created by Oracle for use with specific versions of business applications. AACG content for PeopleSoft has been upgraded to address issues with entitlements (sets of access points) and associations between entitlements and controls.
- Issue 16050756: If data synchronization failed for one datasource, AACG preventive analysis failed in an unrelated datasource.

Known Issues

The following issues are known to exist in version 8.6.4.7000 of GRC, and will be addressed in future releases.

- Issue 16726393: A GRC model may use not only seeded attributes of business objects, but also custom attributes created by users as they build models. However, when GRC is upgraded from version 8.6.4.6000 to 8.6.4.7000, models and controls fail if they include custom attributes of business objects. They need to be re-created in the 8.6.4.7000 instance.
- Issue 16726374: ETCG models (and the controls built from those models) may include a type of filter called a pattern, which employs a statistical function that establishes baselines and identifies outliers to those baselines. When GRC is upgraded from version 8.6.4.6000 to 8.6.4.7000, models and controls fail if they include patterns. They need to be re-created in the 8.6.4.7000 instance.
- Issue 16721716: When a saved model is edited so that a new datasource replaces the original one, and the two datasources are instances of the same business application, filters are deleted if they cite attributes specific to that type of business application. Only filters citing generic attributes are retained.
- Issue 16551227: The Transaction Incident Details Extract Report lists, and provides information about, incidents generated by a selected transaction control. If datasource is one of the parameters used to select a control, the datasource name should be, but is not, displayed in the report itself.
- Issue 16514661: Model filters may be gathered into a group to be analyzed as a logical unit. An "ungroup" feature should dissolve a group, restoring its members' individuality. In access models, however, grouped filters cannot be edited or ungrouped.
- Issue 16247224: In EGRCM, a "base object" is primarily (but not always) the focus of a module; other objects typically refer to it directly or indirectly. (In the Financial Governance module, for example, a base object configured as "Process" represents business processes for which users identify risks and create controls to mitigate those risks.) In custom modules, base objects could not be copied through use of a copyprocess api.
- Issue 16244840: AACG and ETCG model filters may be arranged in AND or OR relationships, and that arrangement determines how records returned by individual filters are combined into overall model results. While creating or editing a model, a user may change this arrangement, and if so, GRC requires a moment to refresh. If a user inadvertently enters data before the refresh has occurred, all the filters in the model disappear, and the user must start from scratch.

- Issue 16074386: A model filter that cites a date attribute may specify either a fixed value (an actual date) or a relative value (a number of days, weeks, or months from the system date). When a transaction model is copied, a filter that specifies a relative date is converted to a filter that specifies a fixed date.
- Issue 16068685: A transaction model filter may use an "Is blank" condition to specify records for which an attribute has no value. In a PeopleSoft instance, however, a filter specifying "Purchase Order Header ID is blank" failed to return records, even though invoices without purchase orders were known to exist.

Installation and Upgrade

You can install GRC 8.6.4.7000 only as an upgrade from version 8.6.4.6169.

If you run GRC with WebLogic, your installation may incorporate Application Development Runtime (ADR), Repository Creation Utility (RCU), or Service Oriented Architecture (SOA). You must upgrade from version 11.1.1.6 to 11.1.1.7 for any of these components that you use.

As you install GRC 8.6.4.7000, 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: `d711cce8d32600d047fbf14ed39b3c3a`
- grc.war: `d3bdb5cc720b1f72d3311499faad130f`

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