Governance, Risk, and Compliance Controls Governor

Preventive Controls Governor Change Control User’s Guide

Software Version 7.2.2.1

Preventive Controls Governor: Change Control User's Guide

Part No. AG004-7221A

Contents

Chapter 1

Introduction

Within Preventive Controls Governor, a Change Control application applies change control to Oracle E-Business Suite form fields. It can apply any of three “control types,” which subject field-value changes to increasing degrees of review:

- Audit: Changes to fields are tracked, and a history of those changes is presented in reports. This control type allows users to make changes freely.
- Reason Code: Field changes are once again tracked, and their history presented in reports. Moreover, a user who changes the value of a field must enter a reason code and may send notification of the change to another person or role (if a recipient of the notification has been specified). Approval is not required for the change to be made.
- Approval: Field changes are once again tracked, and their history presented in reports. When a user changes the value of a field, she must once again give a reason for the change, but her action also sends a request for approval to a specified person or role. The change must be approved or rejected, and the requesting user must acknowledge an approval. A change is implemented only when it is approved and acknowledged.

Rules — one for each field — implement these controls. You can use a form called the Change Control Wizard to view these rules or to create them manually. As an alternative to creating individual rules, you can upload already-created rules from a “content spreadsheet,” and then use the Wizard to confirm that they have been uploaded correctly. The spreadsheet includes more than 1,500 change-control objects that you can tailor to your organization's needs.

Moreover, you can create "subscribers" for each control rule; in other words, you can define circumstances under which a control takes effect. For a given field you can, for example, designate some users who are subject to change control and others who are not. Or you can impose controls selectively for responsibilities, operating units, or other entities. If no subscriber is defined for a rule, its control applies universally.

Change Control and the GRC Controls Suite

Oracle Governance, Risk, and Compliance Controls Suite documents and enforces business controls, enabling users to demonstrate regulatory compliance and to promote operational efficiency. It provides a "control library" in which users describe and catalog controls as well as other items that establish the business context in which controls exist. It also enables users to review of control-library items, and to generate reports on their status.

The Governance, Risk, and Compliance Controls Suite includes modules that automate the enforcement of controls, and Change Control is considered an element of the module called Preventive Controls Governor. (Other elements of Preventive Controls Governor include applications called Form Rules, Flow Rules, and Audit Rules.)

To enforce the controls defined in the Governance, Risk, and Compliance Controls Suite, users can attach "automations" to them. Change-control rules are among the items that can be attached as automations to controls. However, one would attach them only for documentary purposes. Change-control rules run within Oracle E-Business Suite regardless of their association with controls.

Before You Start

Before you set up change control, make sure you have done the following:

- In Audit Rules, create audit groups and include database tables in them. See the *Audit Rules User's Guide*.

  In the Change Control Wizard, you will select fields to be subject to control rules, as well as the form blocks in which those fields reside. Each block corresponds to a database table, and each field in the block corresponds to a column in the table. For each block containing fields you want to control, you must include the corresponding table in an audit group. For each field you want to control, you must enable auditing for the corresponding column.

  If you attempt to use the Change Control Wizard to create a control rule without first having set up auditing, you will encounter error messages and will be unable to finish configuring the rule. If you attempt to load rules from a content spreadsheet, all rules will fail to load if auditing is set up incorrectly for even a single field affected by one of the rules.

- In Flow Rules, define workflow roles to be used for notifications and approvals of field-value changes. See Appendix A.
- In Form Rules, use the Event Tracker to "capture" information about forms, blocks, and fields you want to control. This enables the Change Control Wizard to present the information for selection as you configure control rules. See Appendix B.

Chapter 2

Creating Control Rules Manually

The Change Control Wizard enables you to create new control rules. As an alternative, you can upload already-created rules from a "content spreadsheet" (see Chapter 3). In the Wizard, you can also view existing rules, either to modify them or to confirm that content-spreadsheet rules have been uploaded correctly.

Starting the Change Control Wizard

To start the Change Control Wizard:

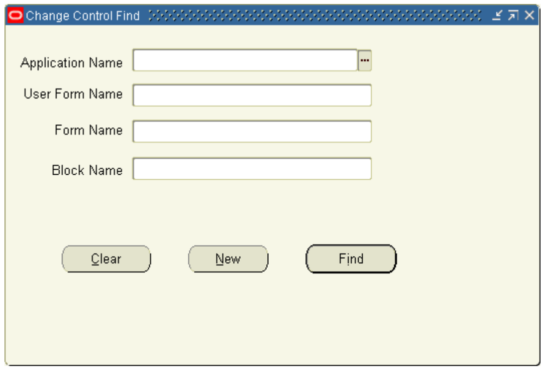
1. Log on to Oracle Applications.
2. Select the GRC Controls responsibility in the Oracle Applications list. (Ensure first that this responsibility is available to you.)
3. A selection of applications appears. Under the Change Control heading, click on Audit and Approval Rules.

Both the Change Control Wizard and a Change Control Find form appear on screen, with the Find form initially active.

If you close the Wizard, you can restart it: In the GRC Controls Navigator, expand the Change Control option (click on its plus sign). Under the expanded Change Control option, click on the Audit and Approval Rules option, and then the Open button. (Or double-click on the Audit and Approval Rules option.)

Finding Control Rules

When you start the Change Control Wizard, a Find form is initially active:



If you intend to create new control rules, you can simply click on its New button. In this case, the Wizard becomes the active form but displays no rule data.

However, you can also use the Find form to load existing control rules into the Change Control Wizard: To search for all rules, simply click on the Find button. Or, to search for a selection of rules, supply values in any combination of the filtering fields:

- Application Name: From the list, select an Oracle Application containing fields for which you want to view control rules. Or, leave the box blank to select all applications.
- User Form Name: This box presents a list of the form names that are visible to the user of an Oracle Application. Choose one containing fields for which you want to view control rules. Or, leave the list box blank to select all forms.
- Form Name: This box presents a list of the form names that are used internally by the system. If you've made a selection in the User Form Name box, the corresponding internal form name automatically fills this box. If you make a selection in this box, it overrides the value in the User Form Name box — the Change Control Wizard will display rules governing fields from the form identified by the internal form name. You can leave this box blank to select all forms.
- Block Name: From the list, select a form block containing fields for which you want to view control rules. Or, leave the box empty to select all blocks in a form (if you selected one in the Form Name or User Form Name box), or all blocks in all forms (if you made no form-name selection), or all blocks in all applications (if you made no application selection).

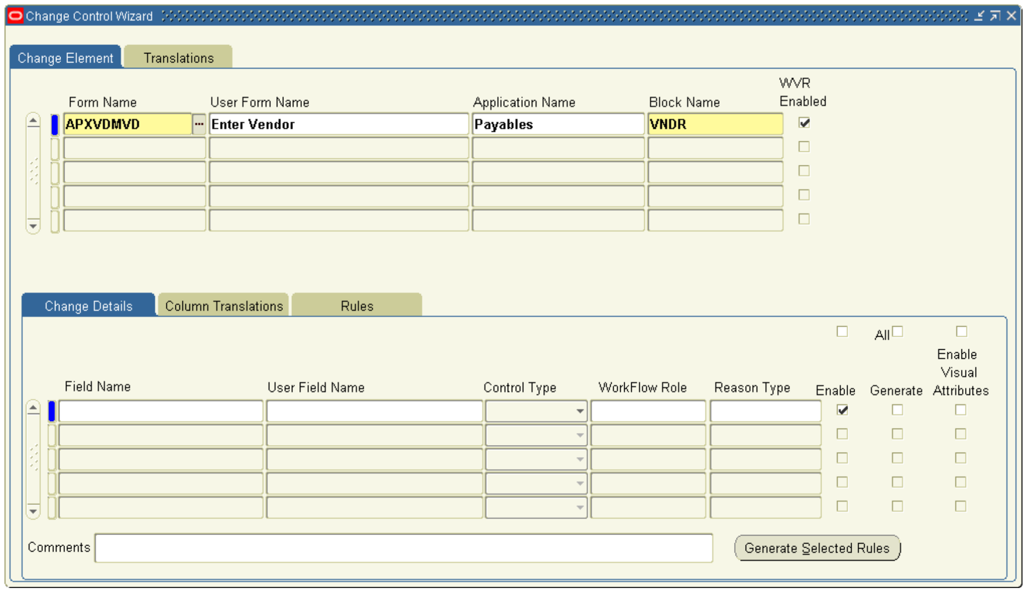
After entering values, click the Find button. Or, to discard the filtering selection you have made and start over, click on the Clear button.

After being used, the Find form remains open in the background. To bring it to the foreground and use it again, click on it (drag any other forms, such as the Wizard, out of the way). If you close it, you can reopen it: Click on View in the menu bar, then on Find in the View menu. Or, click on the Find icon, located second from the left in the tool bar. (It looks like a flashlight.)

Creating Control Rules

To create a control rule in the Change Control Wizard, first create an empty row in the upper grid of the form that appears when the Change Element tab is selected. If you clicked on the New button in the Find form, you've already accomplished this. Otherwise, use any of the following methods:

- If the Change Element grid contains any empty rows, click in the first one.
- Click on the New button, which is first on the left in the tool bar.
- Click on File in the Oracle Applications menu bar, then New in the File menu.



Selecting a Block of Controllable Fields

In the empty row you've created (in the upper grid under the Change Element tab), specify a block of fields in an Oracle Applications form. Enter these values:

- Form Name: This box accepts form names that are used internally by the system. Select one containing fields for which you want to create control rules. When you make a selection in the Form Name box, corresponding entries appear in the User Form Name and Application Name boxes.
- User Form Name: This box accepts display form names (those visible to the user of an Oracle Application). If you selected a Form Name, the User Form Name appeared here automatically. If you select a User Form Name first, a corresponding value appears for Form Name, but not Application Name.
- Application Name: This box accepts the name of the Oracle Application that uses the form you specified in the previous two boxes. If you began by making a selection in the Form Name box, the Application Name appeared here automatically. If you began by making a User Form Name selection, type an application name here. Or, click in the Form Name box, then in any other box in the row to generate the appropriate value.

- Block Name: This box accepts the names of field blocks that appear in the form you have selected. Choose the block that contains fields for which you want to create control rules. You must use the Event Tracker (see page 33) before performing this step. Otherwise, no block values appear in the Block Name box.

  Note
  You can type values into the User Form Name, Application Name, and Block Name boxes. However, use caution; if you enter an incorrect value, change control is not properly enabled.

- WVR Enabled: You must select the check box if you have chosen a form (in the Form Name field) associated with a When Validate Record event. Clear the check box if the form is not. Generally, the Change Control Wizard selects or clears the box appropriately for the chosen form, and you should accept the default setting.

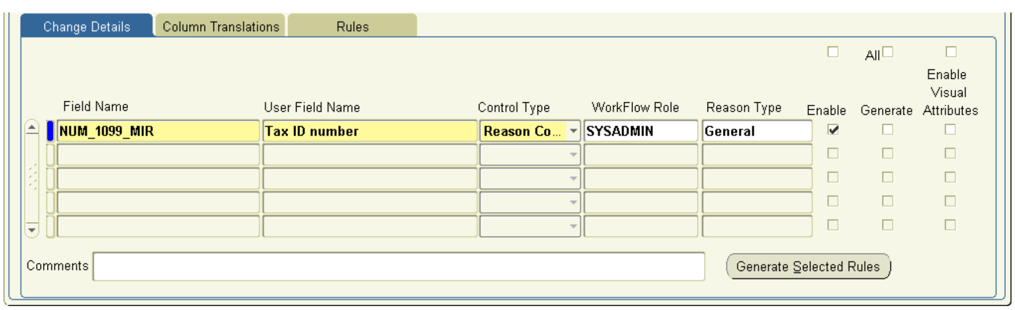
  If a form is associated with a When Validate Record event and the check box is selected, the control rules take effect when a user attempts to save changes to any controlled fields on the form.

  If the form is not associated with a When Validate Record event and the check box is cleared, then the fields for which you create Reason Code or Approval control rules are write-protected. The user can modify each field value in the Oracle Change Control Request form (see page 23).

Creating Control Rules for Fields in the Selected Block

In the lower grid of the Change Control Wizard, select individual fields and enter control-rule values for them. In each row of this grid, you can select values for one of the fields in the block you specified in the upper grid.

1 Ensure that the Change Details tab is selected.



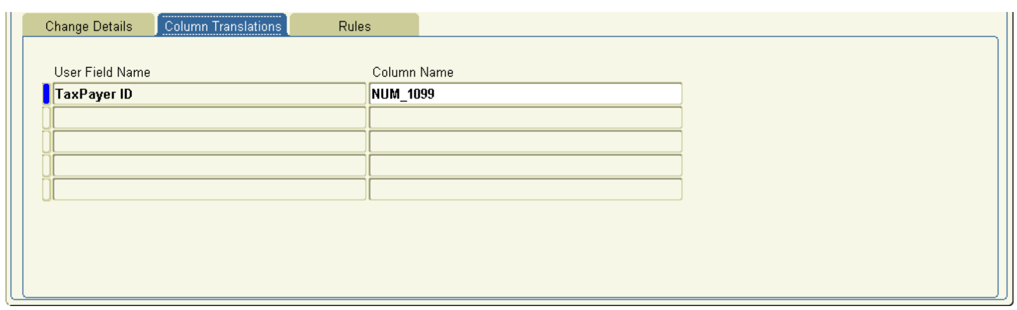
2 Enter these values:

- Field Name: Enter the name by which the underlying code calls the field you want to control. Select from the list (items are available if you have used the Event Tracker to capture them; see page 33), or type a value.

- User Field Name: The Change Control Wizard selects a display field name (the label visible to the user of an Oracle Application) corresponding to the Field Name you selected in the previous box. You can replace it with another value. This name appears in the Change Control Request form and in notifications.

- Control Type: Select the level of control you want to apply to the field — Audit, Reason Code, or Approval. For control-type definitions, see page 1.
- WorkFlow Role: Select the person or role who reviews changes made to the field. For the Approval control type, you must enter a WorkFlow Role value; it designates the person who approves changes. For the Reason Code control type, you may enter a WorkFlow Role value to designate a person notified of the change. WorkFlow Role does not apply for the Audit control type.
- Reason Type: Select the name for a group of reason codes (see "Creating Reason Codes" on page 11). A user who changes the Oracle EBS field can apply any reason code belonging to the group you select here. You must select a reason type if you selected the Approval or Reason Code control type; a Reason Type selection does not apply if you selected the Audit control type.
- Enable: To set a change-control rule to be active once it has been generated, select the Enable check box to the right of its row. Clear the check box (and respond to a confirmation message) to turn off the rule. Or, select or clear the All check box (at the upper right of the Change Details panel, in the Enable column) to enable or disable all rules currently displayed in the panel.
- Enable Visual Attributes: Select the check box to cause the controlled field to appear in yellow on its Oracle Applications form. Clear the check box to allow the field to remain visually undistinguished from other fields. This option applies only to fields controlled by Reason Code or Approval rules.
- Comments: Explain the business risk addressed by the rule you are creating.

3 Click on the Column Translations tab.



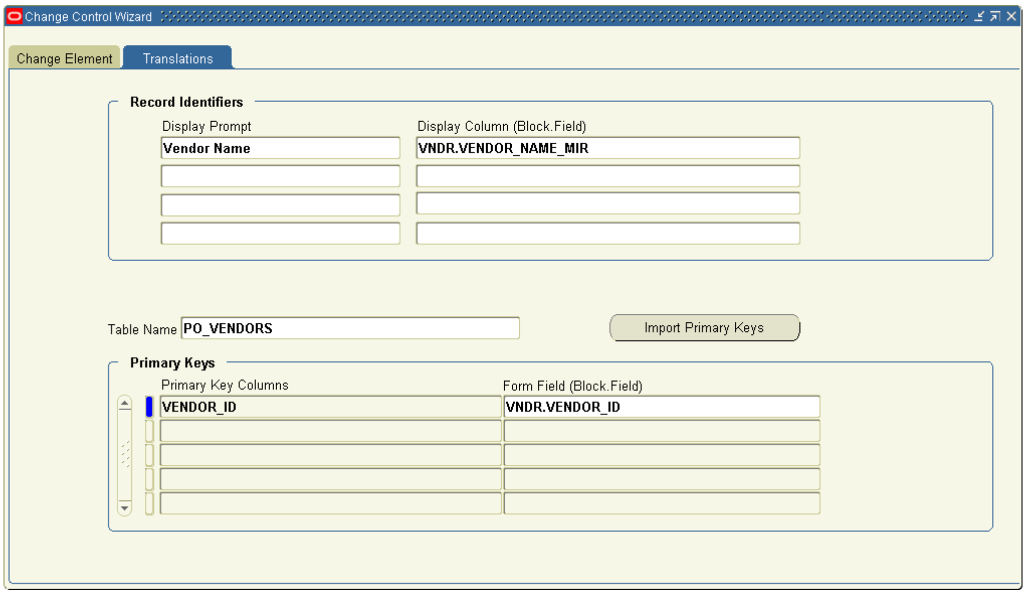
4 Enter these values:

- Under User Field Name, the Change Control Wizard supplies the display name of the field you want to control (it's a copy of the value in the User Field Name box of the Change Details tab). You cannot change this value.
- Under Column Name, select the name of the database column that corresponds to the value entered in User Field Name — the column that stores data entered in the field.

  If you have not enabled auditing for the column in Audit Rules (see page 2), an error message appears, and you cannot complete the rule. You must close the Change Control Wizard, use Audit Rules to enable auditing for the column, and then return to the Wizard to re-create the rule.

Using the Translations Tab to Select Record Identifiers

In the Translations tab, you associate change-controlled fields with other fields that identify the individual record to which changes apply. The values you select here are valid for any fields in the block you selected under the Change Element tab. For example, if you were to apply change control to a field that provides information about vendors, you would use the Translations tab to specify a field or fields that identify a vendor whose record has changed.



Click on the Translations tab and fill in the following values.

- Display Prompt: Type a name for the record-identifying field. When a user changes a controlled field, he may (depending on the control type applied to the field) complete a Change Control Request form (see page 21). The Display Prompt value appears as a label in that form. (In the illustration on page 22, it's the label *Vendor Name* near the top of the Change Control Request form.)

- Display Column (Block.Field): Select the name of the field you want to use for record identification. Use the format *BLOCK.FIELD*, in which *BLOCK* is the name by which underlying code recognizes the form block that contains the field you want to use, and *FIELD* is the name by which underlying code calls the field you want. The block does not have to match the block you specified under the Change Element tab.

- Table Name: Select the name of the database table that corresponds to the block you specified under the Change Element tab. If you have not used Audit Rules to include the table in an audit group (see page 2), an error message appears, and you cannot complete the procedure. You must close the Change Control Wizard, use Audit Rules to enable auditing for the column, and then return the to Wizard to start over.

- Primary Keys: Click on the Import Primary Keys button. Under the label *Primary Key Columns*, the Change Control Wizard lists primary keys for the table you selected in the Table Name box. You cannot change these values.

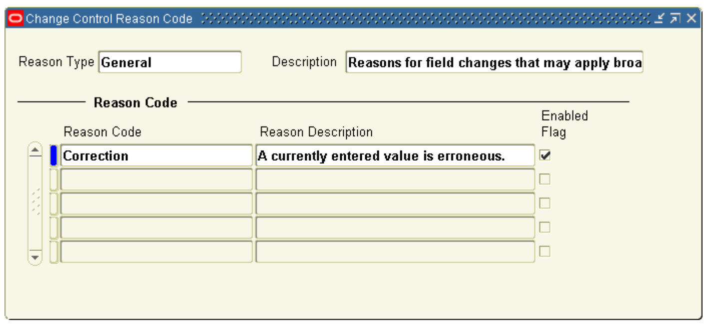
- Form Field: For each database column name entered under the Primary Key Columns label, type the name of the corresponding form field. Once again, use the format *BLOCK.FIELD*, in which *BLOCK* is the name by which underlying code recognizes the form block that contains the field, and *FIELD* is the name by which underlying code calls the field you want.

Creating Reason Codes

When a field is assigned the Reason Code or Approval control type, a user who makes a change to the field must use a Change Control Request form to select a reason for the change. Each reason is one in a group of codes assigned to the field.

To create both reason codes and the groups to which they belong:

1. Click on Tools in the Oracle Applications menu bar, then on Change Control Reason Code in the Tools menu. A Change Control Reason Code form appears:



2. Create the reason-code group. Fill in these boxes:
   - Reason Type: Type a name for the group to which reason codes are to belong. This value is available for selection in the Reason Type box of the Change Details grid (page 9).
   - Description: Type a description for the group of reason codes.
3. Create reason codes that belong to this group of codes. Devote one row of the Reason Code grid to each code. Fill in these boxes:
   - Reason Code: Type a unique name for a reason code. This will appear in the list of values in the Change Control Request form.
   - Reason Description: Type a description of the code you have created.
   - Enabled Flag: Select the checkbox to put the reason code into effect. Clear the checkbox to disable the reason code.
4. Save the reason codes: Select File from the Oracle Applications menu bar, then Save from the File menu.
5. Close the Reason Code form: Click on the × symbol in its upper right corner.

To open an already existing group so that you can modify or add to its reason codes:

1. Open the Reason Code form: Click on Tools in the Oracle Applications menu bar, then on Change Control Reason Code in the Tools menu.

2 Click on View in the menu bar, then on Query by Example in the View menu, and then on Enter in the Query submenu. (Or press the F11 key.)

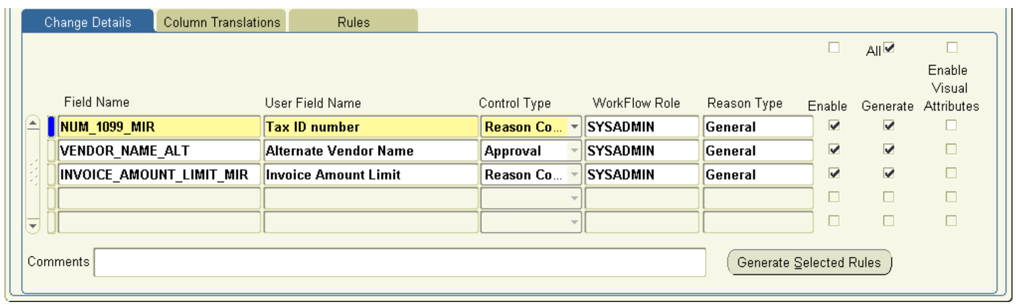
3 The Reason Type and Description boxes in the Reason Code form turn blue. In these boxes, type enough information to identify uniquely the group you want to open. Use % as a wild-card to represent characters you do not enter.

4 Click on View in the menu bar, then on Query by Example in the View menu, and then on Run in the Query submenu. (Or press Ctrl+F11.)

Finishing the Control-Rule Generation

When you complete the foregoing configuration tasks for any number of fields, you can generate rules that implement your work:

1 Click on the Change Details tab in the bottom grid of the Change Element form.



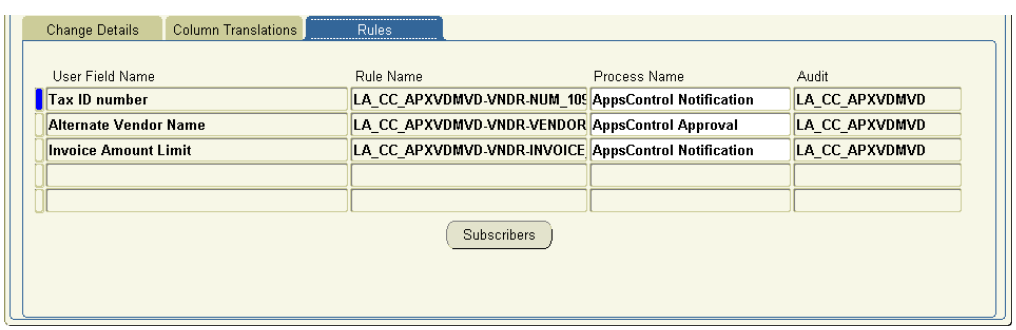
2 Select the Generate check box for each of the rows for which you want to generate rules. Or, select the All check box (at the upper right of the Change Details panel, in the Generate column) to choose all rows displayed in the panel.

3 Click on the Generate Selected Rules button.

4 Click on the Yes button in each of two pop-up messages. (One confirms that you want to create the selected rules, and the other informs you that all existing rules will be deleted and then re-created.)

5 Click on Tools in the Oracle menu bar, then on Create Audit Rules Objects in the Tools menu. Verify that the process has run successfully under View/Requests.

6 Click on the Rules tab to review information about the rules you have generated, which varies according to control type:



- The Rule Name field displays a name for the rule, but is populated only for the Reason Code and Approval control types.

- The Process Name field identifies the workflow process that sends notification of a change to a reviewer. It's always populated for an Approval rule, is populated for a Reason Code rule only if a value for that rule is entered in the WorkFlow Role field of the Change Details tab, and is never populated for an Audit rule.
- The Audit field displays the name of the audit group that applies to the controlled field. (The Audit Rules application performs auditing at the database level. The controlled field corresponds to a database column; the column exists in a database table; and for changes to columns in a table to be tracked, the table is placed in an audit group.) This field is populated for all three control types.

Defining Subscribers for Control Rules

Once a control rule is created, you can create "subscribers" for it. A subscriber is a filter that selects users, responsibilities, or other entities to which a rule applies. Thus, you can enforce change controls selectively — for example specifying that the control defined for a field be implemented for some users, but not for others. (If you choose not to define subscribers for a rule, the rule applies universally.)

As you create subscribers, you can filter on these entities: responsibility, profile, operating unit, inventory organization, user; the value entered in a field; or a subscriber list (itself a selection of users, responsibilities, or other entities).

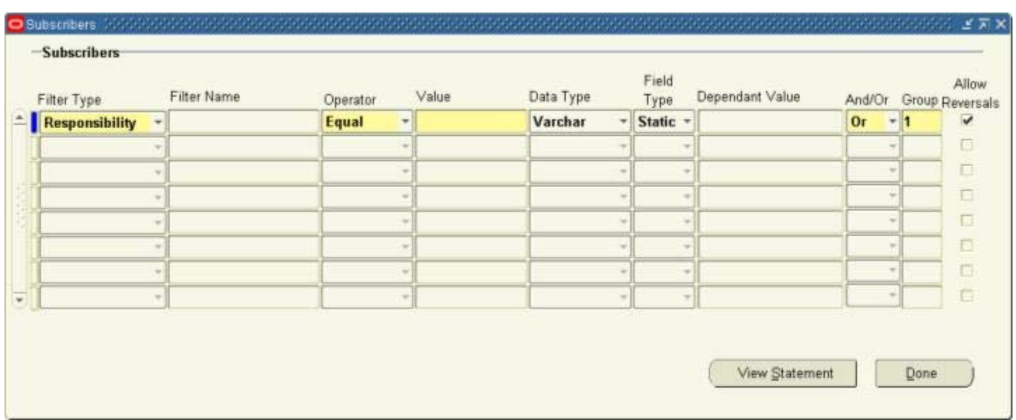
To define a subscriber for a control rule:

1 Select the rule for which you want to define subscribers:

  a In the upper grid of the Change Details form, click on the row corresponding to the block that contains the controlled field.

  b In the bottom grid, click on the Rules tab and then click on the row corresponding to the field itself.

2 Click on the Subscribers button. The following Subscribers form opens:



3 To begin the definition, complete at least one row in the Subscribers form. Select a filter type, an operator, and a value. A rule applies whenever a logical statement defined by those three entities evaluates to true — for example when a user's responsibility (filter type) equals (operator) Purchasing Super User (value). However, the process you follow to complete this step depends on the filter type you select; see "Filter Type Considerations" (below).

4 Optionally, complete additional rows in the Subscribers form to create a subscriber definition that consists of several criteria. If you do, make appropriate selections in the And/Or and Group fields, and in any case, use additional controls to complete the subscriber definition. See "More Subscriber Fields" (page 15).

Filter Type Considerations

If you wish to use the Responsibility, Profile, Operating Unit, Inventory Organization, User, or Subscriber List filter type, make up to three selections:

1 Select the type you want to use from the Filter Type list of values. (If you select Profile, select a specific profile in the Filter Name field. For the other types, the Filter Name field does not accept input).

2 Select an operator from the Operator list of values. Your options are Equal, Not Equal, Is Null, Is Not Null, Greater Than, and Less Than.

3 If you choose the Equal, Not Equal, Greater Than, or Less Than operator, select an appropriate value from the Value LOV. (For the Profile type, this is a setting for the profile you selected in the Filter Name field.)

For example, you might select Responsibility, Equal, and Purchasing Super User to make a rule apply only to users logged on with the Purchasing Super User responsibility. Or you might select User, Not Equal, and BOrr to have a rule apply to all users other than BOrr.

If you wish to use the Data filter type, you need to make a different set of selections.

1 Select the Data type from the Filter Type list of values.

2 Choose a block and field in the Filter Name list of values.

3 Select the operator you want from the Operator list of values. If you select Is Null or Is Not Null, you're finished. If you select Equal, Not Equal, Greater Than, or Less Than, continue.

4 Choose a data type — VarChar, Number, Date, DateTime, or Boolean — in the Data Type list of values. The type should match the type stored in the field you selected in the Filter Name list of values (step 2).

5 In the Field Type list box, select Static if you are constructing a logical statement that compares a constant value to values stored in the field you selected in the Filter Name list of values (step 2). Or select Form Field if you want to compare these values to other values returned by an Oracle Applications field.

6 Depending on the selection you made in step 5, type a constant value in the Dependent Value field, or select a field name.

For example, you might select the Data filter type and an Oracle Application block and field in the Filter Name list of values. You might also select the Is Null operator, in which case the rule would apply whenever the field you selected contains no value. Or, you might select the Equal operator, the Static Field Type, and a constant value as the Dependent Value; if so, the rule would apply whenever the value in the field is the specified constant.

More Subscriber Fields

If you complete multiple rows in the Subscribers form, values in the And/Or and Group fields come into play. (Note, however, that these fields must be completed even if your subscriber definition consists only of a single row; in that case, you would typically accept default values.)

- Group: Enter a number that reflects the sequence in which a row is to be evaluated with respect to other rows. You can enter the same number in more than one row. If you do, the rows are grouped together — enclosed in parentheses in a SQL statement that is generated from the values you enter.
- And/Or: Select a value that determines whether a row has an AND (both must be true) or OR (either may be true) relationship with the next row (or group, or row within a group).

In addition, you may use the following controls:

- Allow Reversals: If this check box is not selected when a rule has been enforced, the rule continues in force even if the next record does not meet the subscriber criteria.
- View Statement: Open a window that displays the SQL statement generated from the selections you make in the Subscribers form. (To close this window, click on its Close button.)
- Done: Click on this button to close the Subscribers form. Save the subscriber before closing the form: Click on File in the menu bar and Save in the File menu.

Profiles and Data Subscribers

Within the system administrator responsibility, a System Profile Values form enables users to configure profiles, each at several levels: site, application, responsibility, user, server, or organization. Each of these levels constitutes a “field” (and the value entered for an individual profile is a “field instance”), so that an rule to control profile-value changes at any of these levels affects all profiles at that level.

If you need to control changes to the values of individual profiles (while leaving others uncontrolled), create an control rule for the appropriate field (for example, PROFILE_VALUES.SITES_VISIBLE_VALUE for site-level profiles). Then create a subscriber; add a row to the Subscriber form for each individual profile you want to control. In each row:

- For Filter Type, select Data.
- For Filter Name, select the name of the field that holds profile names — PROFILE_VALUES.USER_PROFILE_OPTION_NAME.

- For the Operator, select Equal.
- For the Dependent Value, select the name of the profile you want to control.

Chapter 3

Uploading or Migrating Control Rules

A "content spreadsheet" contains more than 1,500 fully configured change-control rules. It is located in the content directory on the Governance, Risk, and Compliance Controls Suite Disk 1 of your Oracle media pack.

Whether you upload rules from a content spreadsheet or create them individually in the Change Control Wizard, you can "migrate" them — copy them from one Oracle Applications instance to another.

In either case, you make use of concurrent requests:

1. Log on to the GRC Controls responsibility in the Oracle E-Business Suite.
2. Click on View in the menu bar, then on Requests in the View menu.
3. A Find Requests form opens. Click on its Submit a New Request button. In the Submit a New Request dialog, click on Single Request and then on the OK button.
4. A Submit Request form opens. In its Name list of values, select the concurrent request you want.
5. A Parameters form appears. Supply parameter values and click on the OK button. (Parameters vary by request; some are required and others optional. See the description of each request for a discussion of its parameters.)
6. In the Submit Request form, click on the Submit button. At the next prompt, note the request number, and then click on No to return to the Find Requests form.

7 If you choose to view a request log, click on the Specific Requests button. Type the ID number for your request in the Request ID field, and click on the Find button. A Requests form opens; click on its View Log button.

Uploading Rules from a Content Spreadsheet

To upload rules from a content spreadsheet, first review and prepare them:

1 Review the spreadsheet. Select the rules that target fields for which you want to implement controls. Type the letter *Y* in the Upload column for each of these rules.

2 Create a flat file containing the rules you've selected: From the Tools menu in Excel, select the Create CSV for Change Control option. Specify the destination for the CSV file and select the Save button.

Note
The Create CSV for Change Control option appears in the Excel Tools menu only if the macro security level for Excel is set to low. To effect this setting, click on Tools in the Excel menu bar, then on Options in the Tools menu. In the Options window, click on the Security tab. In the Security panel, click on the Macro Security button. A Security window opens; in its Security Level panel, click on the Low radio button. Then close the Security and Options windows — click on the OK button in each.

3 A control total message displays the number of rules written. To verify the completeness of your upload file, compare this with the number of rows you selected.

Each of the rules you selected applies control to a form field, and each field corresponds to a database column. Each field resides on a form block, and each block corresponds to a database table. Before you upload rules from the CSV file you've prepared, you must use Audit Rules to create audit groups that include all database tables affected by your rules, and to enable auditing for all columns affected by your rules. If auditing is not set up for a column or table used by even one rule, then all rules in your CSV file will fail to load.

To upload the file you've prepared:

1 FTP the CSV file to the /usr/tmp directory of the instance in which the rules are to be used.

2 Run the Data Governor Content Load concurrent request. Supply the following parameters:

- File Name: Type in the name of the CSV file. This parameter is mandatory.
- File Location: Type in the path to the CSV file. This parameter is mandatory.
- Debug Mode: Select Yes to enable debug functionality for the load, or No to disable the functionality.
- Load Data: Select Yes if the data is to be loaded into the Preventive Controls Governor rule repository. Select No if this is a data validation run only.

3 Open the Change Control Wizard (page 5). Click on Tools in the menu bar, then on Create Audit Rules Objects in the Tools menu. A pop-up note informs you of a concurrent request ID number. Click on the OK button to clear the message.

Migrating Control Rules

The method you use to copy control rules from one instance to another depends upon whether you have modified them in the source instance:

- If you have uploaded rules from a content spreadsheet to a source instance and have neither changed them nor added rules to them, simply upload the same rules from the content spreadsheet to the destination instance.
- If you have used the Change Control Wizard either to create rules or to modify rules uploaded from a content spreadsheet, run a concurrent request called Data Governor Content Export. This request takes the following parameters:
  - File Location: Type in the path to the export file you are creating. This parameter is mandatory.
  - File Name: Type a name for the export file you are creating. This parameter is mandatory.
  - Application: Select one Oracle Application to export rules associated with that application, or leave the parameter blank to export rules associated with all applications.
  - Form: This parameter is available only if you have made a selection for the Application parameter. Select a form used by the application to export only control rules associated with that form, or leave the parameter blank to export rules associated with all forms.
  - Block: This parameter is available only if you have made a selection for the Form parameter. Choose a block that belongs to the selected form to export only control rules associated with that block, or leave the parameter blank to export rules associated with all blocks.
  - Table: This parameter becomes available only if you have made a selection for the Block parameter. Choose the database table that corresponds to the selected block, or leave the parameter blank.
  - Field: This parameter becomes available only if you have made a selection for the Table parameter. Choose a form field that belongs to the selected block (and for which data is stored in the selected table) to export only the single control rule for that field, or leave the parameter blank to export control rules for all fields on the block.
  - Control Type: Select one of the three control types to export only rules that implement that control type, or leave the parameter blank to export all types of rules.
  - Enabled Flag: Select Yes to export only those rules for which the Enabled Flag check box (page 9) is checked; Select No to export only those rules for

which the Enabled Flag check box is cleared; or leave the parameter blank to export rules configured in both ways.

Then, use the file you create to run the Data Governor Content Load concurrent request on the destination instance. (Follow the procedure described in “Uploading Rules from a Content Spreadsheet,” page 18.)

Chapter 4

Applying Changes to Controlled Fields

When you enter or modify data in an Oracle Applications field that is subject to change control, your process depends on the control type assigned to the field.

Audit

If a field is under Audit change control, any change you make is captured and available for reporting. However, you need not select a reason code or obtain an approval, so there is no change to your ordinary procedure. Fields under Audit change control are not distinguished visually from fields that are not subject to change control.

Reason Code or Approval

Depending on your visual-attributes selections (see page 9), a field subject to Reason Code or Approval change control may appear in bright yellow on its Oracle Applications form.

Users may change the values of these fields in either of two ways, depending on whether the fields exist on a form associated with a When Validate Record event, and therefore whether the WVR Enabled check box in the Change Control Wizard is selected for each block of the form (see page 8).

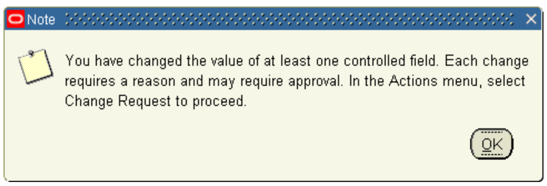
- If so, the user makes changes to the fields, but controls are imposed when the user attempts to save the changes. The user would open a Change Control Request form to offer reasons, and if appropriate to begin the approval process, for all the changed fields at once.

- If not, the controlled fields are write-protected, and a user cannot make changes to them directly. For each field, the user would instead open the Change Control Request form and enter the new field value there — as well as offer a reason for the change and, if appropriate, initiate the approval process. In this case, the user can modify only one field at a time in the Change Control Request form.

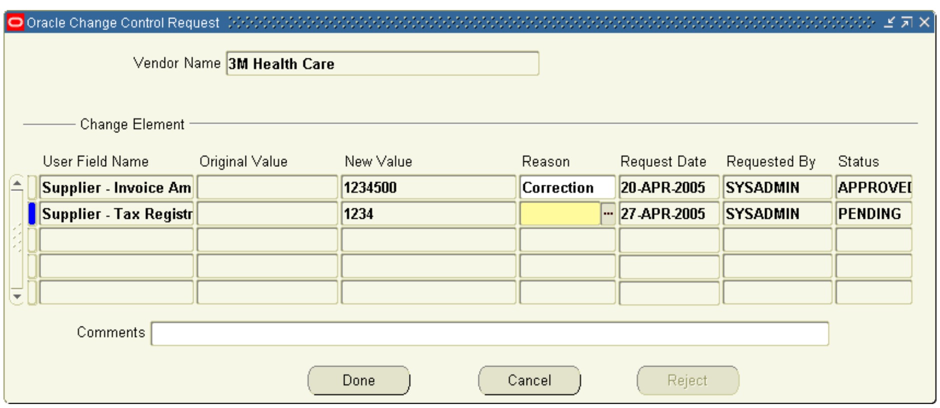
Change Control with WVR Enabled

To change the values of controlled fields on a form associated with the When Validate Record event:

1. Enter new values in any number of controlled fields as you ordinarily would.
2. Save the changes: Click on file in the menu bar, and then Save in the File menu. Or, click on the Save button.
3. The following message appears. Click on the OK button to clear it.



4. Click on Actions in the Oracle Applications menu bar, then on Oracle Change Control Request in the Actions menu. The following form appears:



The form devotes a row to each of the changes you are making (and, in other rows, displays information on changes made in prior sessions). In each row that applies to a new change, most of the fields provide information but do not accept input. These include User Field Name, Original Value, New Value, Request Date, Requested By, and Status.

5. In each row that applies to a new change, click in the Reason field to select a reason from a list of those configured for the field.
6. In the Comments text box, you may add any comments you deem appropriate. These comments appear on the Change History Report (see page 27). The Com-

ments text box displays information specific to whatever row you've selected in the grid — it presents an already-recorded comment for an old change or, for a new change, it clears so that a new comment may be entered.

7. Click on the Done button.

Change Control with WVR Disabled

To change the values of controlled fields on a form that is not associated with the When Validate Record event:

1. Select (click on) a controlled field whose value you want to change. Note that if you try to enter a value in the field, the status bar near the bottom of the screen displays the message "Field is protected against update."
2. With the field selected, click on Actions in the menu bar, and then on Oracle Change Control Request in the Actions menu.
   - If you are attempting to modify a list of values, its Find form opens, presenting a selection of entries appropriate for the field. Click on one and on the OK button. The Change Control Request form then opens and displays your selection in the New Value field.
   - If you are attempting to modify a data-entry field, the Change Control Request form opens immediately, and the New Value field is blank. Type the value you want in the New Value field.

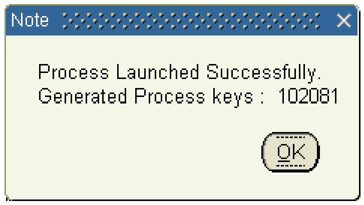
   In either case, some fields provide information but do not accept input. These include User Field Name, Original Value, Request Date, Requested By, and Status.
3. Click in the Reason field to select a reason from a list of those configured for the field.
4. In the Comments text box, you may add any comment you deem appropriate.
5. Click on the Done button.
6. Repeat this process for each controlled field you want to change. When you finish making changes, save your work: Click on file in the menu bar, and then Save in the File menu. Or, click on the Save button, located fourth from the left in the tool bar (it looks like a disk).

Completing the Approval Process

If you are working with a field assigned the Reason Code control type, the process of changing the field value is complete. (You can still undo such a change: reopen the Change Request form, select the row that represents the change, and click on the Reject button.)

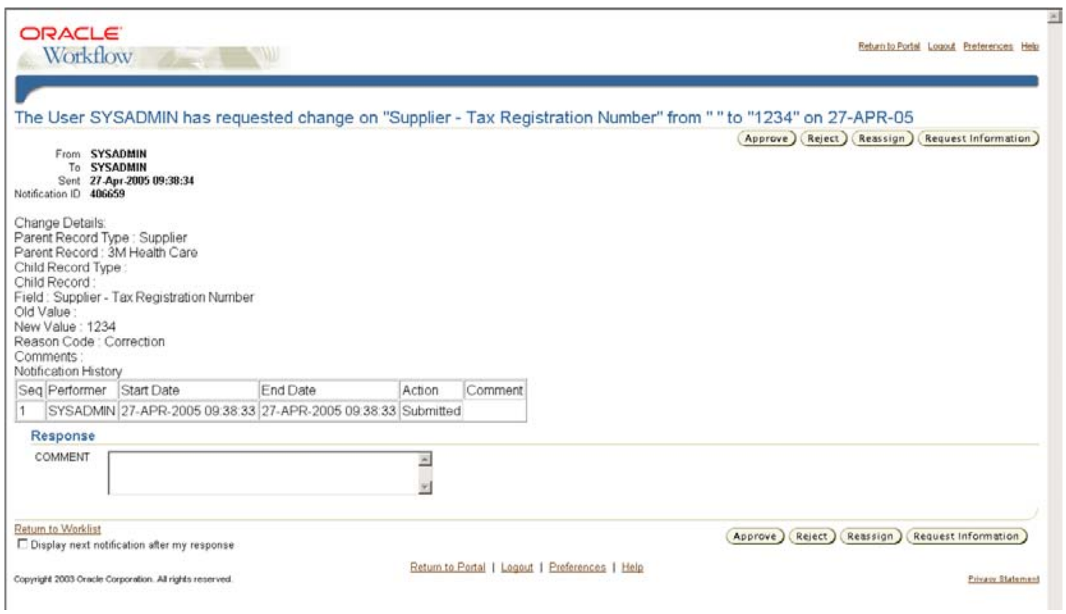
If, however, the field was assigned the Approval control type, the status of the change remains pending (as shown in the Status column of the Change Control Request form), and you cannot make further changes to the field until the pending change is approved or rejected. An approval decision involves the following additional steps:

1 When you close the Change Control Request form, the following message appears, informing you that the approval workflow process has begun. Click the OK button to clear it.



2 The individual (or workflow role) assigned to approve the change receives a notification that the change is pending.

3 The user clicks on the notification to open it. He reviews the information and optionally adds a comment:



4 The user also clicks one of the following buttons:

- Approve: A notification of the approval is sent to the original requester, who must acknowledge the acceptance.
- Reject: The change cannot be made.
- Reassign: The decision to approve or reject is reassigned to another user.

In the case of approval, the field-value change is not made until the original requester acknowledges the approval. This user opens the form on which the field appears, selects the field, and receives a dialog box offering the option to update the field. If the requester clicks on the Yes button, the field is updated. If the user selects the No button, the change is postponed, but not cancelled. Eventually the requester must select the Yes button because the change has been approved.

Chapter 5

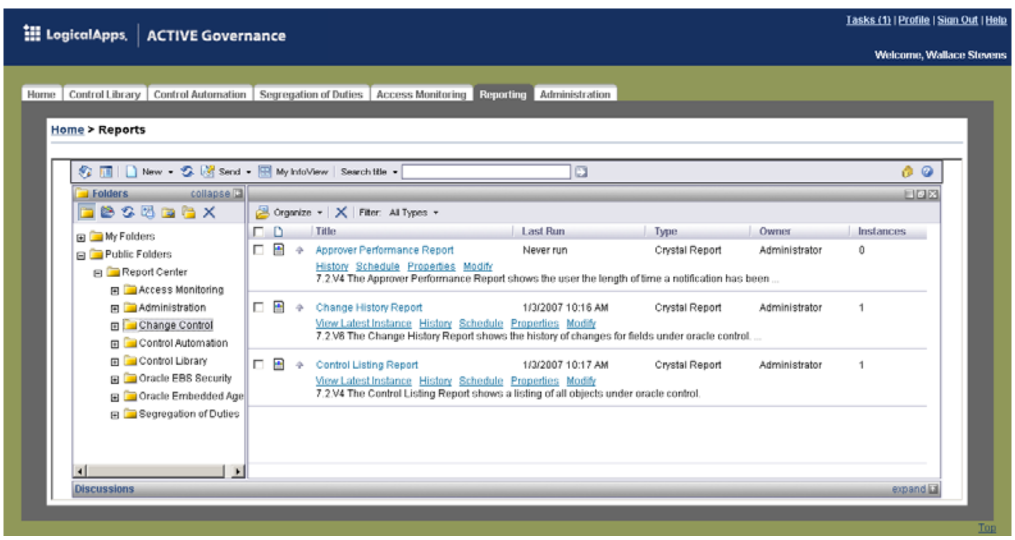
Reports

Reports offer information about control-rule configuration, the changes made to the fields those rules control, and the resolution of changes that require approval. Open reports in the Oracle Governance, Risk, and Compliance Controls Suite:

1 Open your web browser. In its Address field, type the URL for your Governance, Risk, and Compliance Controls Suite instance. Press the Enter key.

2 A Sign In dialog box appears. Type your user name and password in the appropriate fields, and click on the Sign In button.

3 The GRC Controls Suite opens. Click on its Reporting tab.



4 A Folders area to the left of the Reports panel presents a hierarchical display of available reports and the folders that contain them. In it, click on Public Folders, then Report Center, and then Change Control.

5 In the larger panel on the right, click on the link for the report you want. You will be prompted to enter parameter values. Because parameters vary by report, appropriate values for them are discussed in the report descriptions that follow.

Note
An AGSuper User, or a user assigned the Manager reporting role, can view all three of these reports. A user assigned the Auditor reporting role can view all but the Approver Performance Report. Users assigned other reporting roles cannot view any of these reports. Reporting roles are assigned to users in the GRC Controls Suite.

Exporting a Report

When you generate a report, it appears in the larger panel on the right of the Reports browser. For ease of viewing, however, you may want to export it to another format, such as Adobe Acrobat. To do so:

1 Click on the Export icon in the Reports browser. (It looks like two juxtaposed rectangles, representing a disc and a sheet of paper. It appears only when a report has been generated, and is located at the upper left corner of the larger panel in the Reports browser.)

2 An Export Report dialog appears. In it, select a destination program in the File Format field (for example, Adobe Acrobat). Then click on the OK button.

3 A dialog presents you with options appropriate to the program to which you've elected to export the file — for example, save or open in Adobe Acrobat. If you select the open option, the report opens in a new window. If you select the save option, you can specify a file path and name to which to save it.

Other Report Features

Reports are presented through use of a "third-party" component, which offers features in addition to the presentation or exporting of reports. For documentation of these features, open the Help file available from the Reports browser. You can do this by clicking on a Help icon, which looks like a question mark enclosed in a circle, and is located at the very right of the tool bar, just above the upper right corner of the larger panel in the Reports browser.

The Data Source Parameter

One report parameter — called Oracle ERP Agent Source Data — is used by every change-control report. Select the instance about which you want to generate reports. For a given instance, the parameter prompt lists two data sources; one holds Oracle

Applications data and the other holds Preventive Controls Governance data. Choose the latter. If your site accepted default names, its name contains the value *XXLAAPPS*. If not, consult your database administrator to distinguish the two data sources. You supply this value twice for each report, first to generate a list of parameters and then, within that list, to generate the report itself.

Approver Performance Report

The Approver Performance Report provides statistics about the numbers of field-value change requests that have been approved, rejected, and left pending by individual approvers, as well as the amount of time that requests have spent in the system. As you generate the report, you can select the following parameters:

- Application Name: Select any number of, or all, application names for the report to list changes to fields accessible from the applications you choose.
- Approved By: Select any number of, or all, workflow roles, and the report lists controlled fields subject to those approvers' judgment. You can select only approvers named in rules that apply to the fields accessible from the application you chose in the previous parameter.
- Date Range: Select beginning and ending dates to view approval statistics for changes within the range you specify. You may enter dates in the Start and End fields; in that case, clear the No Lower Value and No Upper Value check boxes. Or you may omit the start date and select the No Lower Value check box to start with the earliest existing approval decision, or omit the end date and select the No Upper Value check box to finish with the latest existing approval decision.

  If you do enter actual dates, select an Include This Value check box (for either or both dates) to include the value you specify in the period, or clear the check box to exclude the value (thus selecting approval decisions that begin after but not on the start date, or end before but not on the end date). You can click on the calendar icons to select dates.
- Include Graph: The report can display data not only textually, but also graphically. Select *Y* to include, or *N* to exclude, graphs in a report.

Change History Report

The Change History Report displays the old and new values for changes made to fields that are subject to change control. For each change, it also shows the user who made the change and, if applicable, the user who approved it; the dates of the change and the approval; the control type and, if applicable, reason code of the change-control rule; the change status; and any comments. As you generate the report, you can select the following parameters:

- Record Identifier: Select any number of record identifiers (see page 10) to see changes associated with the identified records. You can select only identifiers appropriate to the fields you selected in the previous parameter.

- Application: Select any number of, or all, application names for the report to list changes to fields accessible from the applications you choose.
- User Form Name: Select any number of, or all, form names to have the report list changes to fields that appear in the forms you choose. You can select only forms available in the applications you selected in the previous parameter.
- User Field Name: Select any number of, or all, field names to have the report list changes to the fields you choose. You can select only fields available in the forms you selected in the previous parameter.
- Control Type: Select any combination of Audit, Reason Code, and Approval to view changes to fields that are subject to rules of the control types you select. Or, select All to list fields subject to rules of any control type.
- Request Date: In the Start of Range and End of Range fields, select beginning and ending dates to view changes within the range you specify. You may enter dates in the Start and End fields; in that case, clear the No Lower Value and No Upper Value check boxes. Or you may omit the start date and select the No Lower Value check box to start with the earliest existing field-value change, or omit the end date and select the No Upper Value check box to finish with the latest existing field-value change.

  If you do enter actual dates, select an Include This Value check box (for either or both dates) to include the value you specify in the period, or clear the check box to exclude the value (thus selecting field-value changes that begin after but not on the start date, or end before but not on the end date). You can click on the calendar icons to select dates.
- Notification to/Approved By: Select one or more user names to view changes for which those users are the approvers (for fields subject to Approval rules) or the recipients of notifications (for fields subject to Reason Code rules). Or select All to view changes for which anyone (or no one) may be an approver or notification recipient.
- Requested By: Select one or more user names to view changes made by those users, or select All to view changes made be all users.

Control Listing Report

The Control Listing Report displays data about Oracle form fields for which change-control rules have been written. It contains an entry for each controlled field from a specified set of forms, organizing the entries by form. Each entry identifies the name of a field, the control type and status of the change-control rule, and (if applicable) the workflow role designated to review changes to the field. As you generate the report, you can select the following parameters:

- Application Name: Select any number of, or all, application names for the report to list controlled fields that apply to the applications you choose.
- User Form Name: Select any number of, or all, form names to have the report list controlled fields that appear in those forms.

- Workflow Role: Select any number of workflow roles to have the report list fields subject to Approval or Reason Code rules that name the selected workflow roles as reviewers.
- Control Type: Select any combination of Audit, Reason Code, and Approval to focus the report on fields that are subject to rules of the control type you select. Or, select All to list fields subject to rules of any control type.
- Control Status: Select Active or Inactive to have the report list fields whose controls are either enabled or disabled, or select All to have the report list both types.
- Print Comments: Select *Y* to have the report include, for each field it lists, the comment configured for the control rule to which the field is subject. Or, select *N* to exclude comments.
- Include Graph: The report can display data not only textually, but also graphically. Select *Y* to include, or *N* to exclude, graphs in a report.
- Report Output: Select *Print* to produce report output in a document format, or *Export* to produces report output in a tabular format.

Appendix A

Creating Workflow Roles

You must assign workflow role to each Approval control rule you configure, and you may assign one to each Reason Code rule; the role specifies one or more people who may, depending on the control type, by notified of a field-value change or be required to approve or reject it.

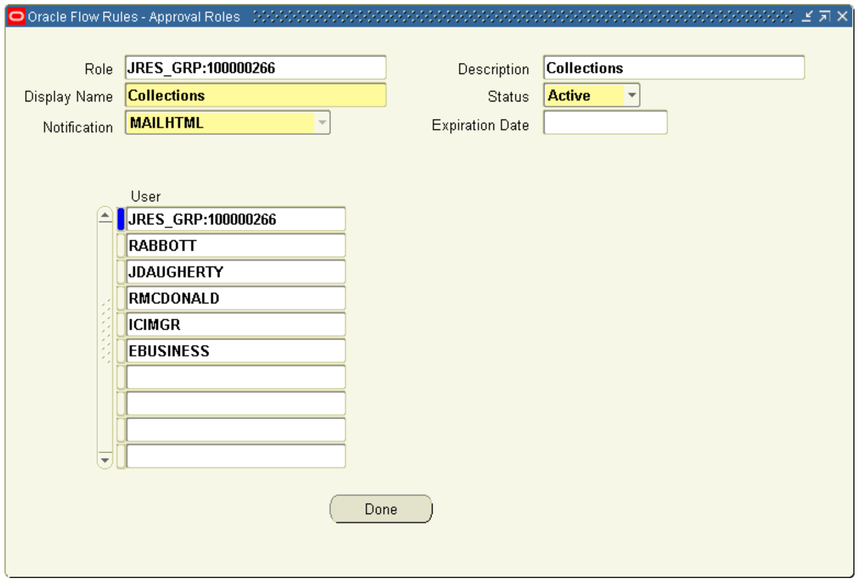
To create a workflow role, log on to Flow Rules:

1. Log on to Oracle Applications.
2. Select the GRC Controls responsibility in the Oracle Applications list. (Ensure first that this responsibility is available to you.)
3. Under the Oracle Embedded Agent heading, click on the Flow Rules link.
4. An Oracle Rules form appears. It provides access to all three of the embedded agents; make sure that the Flow Rules tab is selected.

For the purposes of creating change-control rules, your only interest in the Flow Rules agent is to create workflow roles. To do so, you use one option available from the menu bar; you can ignore the Flow Rules form.

To create a workflow role:

1. Click on Flow Rules in the menu bar, and then on Define Roles in the Flow Rules menu. An Approval Roles form opens (as shown at the top of the next page).



2. In the Role field, type a unique name for the role.
3. In the Description field, type a brief explanation for the purpose of the role.
4. In the Display Name field, create an easily recognizable name for the role. This is the name you will be able to select in the Change Control Wizard.
5. In the Status list box, select Active to place the role into use or Inactive to remove it from use. Note that once you inactivate a role, you cannot reactivate it.
6. In the Notification list of values, select the format in which members of the role will receive notifications.
7. In the Expiration Date field, enter a date on which the role expires, or leave the field blank to allow the role to exist indefinitely. Select a date in the pop-up calendar that appears when you click on the list-of-values icon. Or type a date in the format configured for your instance of Oracle Applications.
8. In the User list, select users, responsibilities, or other roles to be included in this role.

When you finish configuring a workflow role, save it: click on File in the menu bar and Save in the File menu. When you finish working in the Approval Roles form, click the Done button to close it.

Appendix B

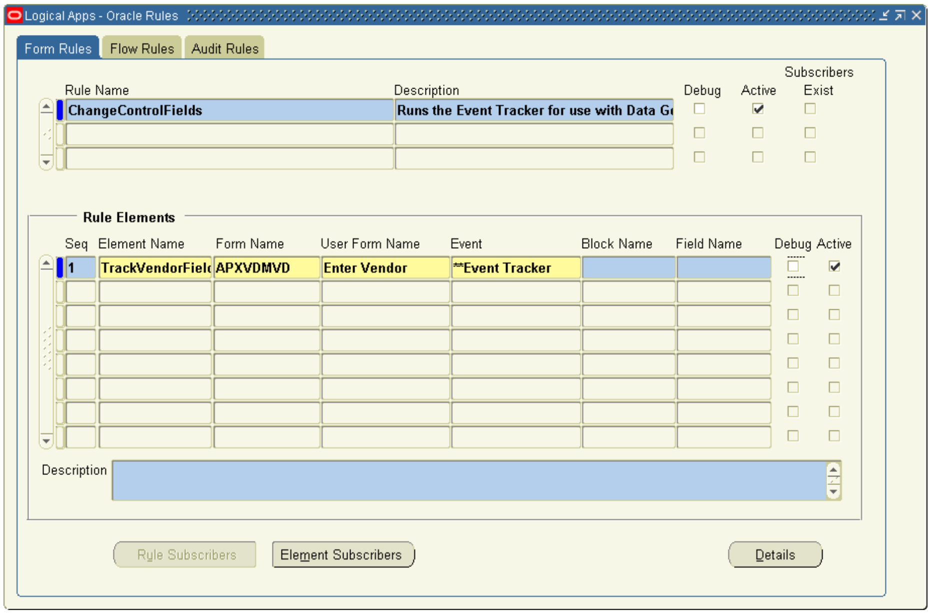
Using the Event Tracker

The Event Tracker, a feature available in Form Rules, gathers information about forms, blocks, and fields in Oracle Applications. Once the Event Tracker has been run in forms containing fields you want to control, the Change Control Wizard can present appropriate information for selection as you create control rules.

To use the Event Tracker, create a rule in Form Rules. A typical Form rule consists of "elements," each of which targets a form, block, or field and specifies an event that triggers processing. Each element then defines customizations to the target form, block, or field. In this case, however, the rule exists only to enable you to run the Event Tracker, which is one of the events an element can specify. So the rule will consist of one element for each Oracle Applications form that contains fields you want to place under change control, but it won't define any customizations.

To run the Event Tracker:

1. Log on to Oracle Applications.
2. Select the GRC Controls responsibility in the Oracle Applications list. (Ensure first that this responsibility is available to you.)
3. Under the Oracle Embedded Agent heading, click on the Form Rules link.
4. An Oracle Rules form appears (as shown at the top of the next page). It provides access to all three of the embedded agents; make sure that the Form Rules tab is selected:



5. Type a name for the rule in the Rule Name field.
6. In the Description field, briefly explain the purpose of the rule.
7. Ensure that the Active check box is selected.

Once the rule itself is named and described, you can create rule elements, one per row in the Rule Elements grid:

1. In the Seq field, type a number.
2. In the Element Name field, type a name for the element.
3. Specify the form that is the target of the element. Do either of the following:
   - In the Form Name field, select the internal name for the form. Form Rules then supplies a corresponding value in the User Form Name field.
   - In the User Form Name field, select the display name for the form. Form Rules then supplies a corresponding value in the Form Name field.
4. In the Event list of values, select the value *Event Tracker*.
5. Ensure that the Active check box is selected.
6. Repeat steps 1–5 for all forms containing fields for which you expect create change-control rules in the Change Control Wizard.
7. Save the rule: click on File in the menu bar, then on Save in the file menu.
8. Refresh a cache of rule-evaluation data. One way is to close Form Rules. Another is to click on Tools in the menu bar, and then Oracle Rules Configurations in the Tools menu. An Oracle Rules Configurations window opens; in it, click on the Refresh Cache button.

Once the elements are configured, the rule is saved, and the cache is refreshed, open each Oracle Application containing forms you chose. Navigate to each form and, in it, navigate to each field you want to control. Create or update a record and save your work. By doing so, you capture a reference to each item you touch, and these items become available in the Change Control Wizard.