

Oracle Financial Services  
Regulatory Reporting  
**Administration Guide US SAR**

*Release 2.4*  
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# About This Guide

This guide provides comprehensive instructions to perform administration activities to configure the Oracle Financial Services Regulatory Reporting application (herein referred to as OFSRR).

This chapter focuses on the following topics:

- Who Should Use this Guide
- How this Guide is Organized
- Where to Find More Information
- Conventions Used in this Guide

## Who Should Use this Guide

The *Oracle Financial Services Regulatory Reporting 2.4 Administration Guide US SAR* is designed for use by Oracle Financial Services users. Their roles and responsibilities, as they operate within the OFSRR application, include the following:

- **System Administrator:** This user configures, maintains, and adjusts the system and is usually an employee of a specific Oracle Financial Services client. The System Administrator maintains user accounts and roles, archives data, and loads data feeds.

## How this Guide is Organized

The *Oracle Financial Services Regulatory Reporting 2.4 Administration Guide US SAR*, includes the following topics:

- Chapter 1, *OFSRR User Setup, Uploading Static data, Creating and Managing Security Attributes*, describes the steps involved in creating users and loading static data.
- Chapter 2, *Integrating OFSRR with OFSFCCM or Oracle Mantas 5.x*, explains the steps involved in the integration of RR application with OFSFCCM/Oracle Mantas 5.x application.
- Chapter 3, *Configuring Parameters*, explains the steps to configure the report lock time period.

## Where to Find More Information

For more information on OFSRR, refer to the following documents:

- *Oracle Financial Services Regulatory Reporting Installation Guide, Release 2.4*
- *Oracle Financial Services Regulatory Reporting Data Model Reference Guide, Release 2.4*
- *Oracle Financial Services Regulatory Reporting Bahamas Suspicious Transaction Report User Guide, Release 2.4*
- *Oracle Financial Services Regulatory Reporting Web Services Guide, Release 2.4*
- *Oracle Financial Services Regulatory Reporting Release Notes, Release 2.4*

To find additional information about how Oracle Financial Services solves real business problems, see our website at [www.oracle.com/financialservices](http://www.oracle.com/financialservices).

## Conventions Used in this Guide

Table 1 lists the conventions used in this guide.

**Table 1. Conventions Used in this Guide**

Convention	Meaning
<i>Italics</i>	<ul style="list-style-type: none"><li>● Names of books, chapters, and sections as references</li><li>● Emphasis</li></ul>
<b>Bold</b>	<ul style="list-style-type: none"><li>● Object of an action (menu names, field names, options, button names) in a step-by-step procedure</li><li>● Commands typed at a prompt</li><li>● User input</li></ul>
Monospace	<ul style="list-style-type: none"><li>● Directories and subdirectories</li><li>● File names and extensions</li><li>● Process names</li><li>● Code sample, including keywords and variables within text and as separate paragraphs, and user-defined program elements within text</li></ul>
<Variable>	Substitute input value

# *OFSRR User Setup, Uploading Static data, Creating and Managing Security Attributes*

This chapter describes how to provide access to users in the OFSRR applications, through the predefined user roles.

## ***Creating and Mapping Users***

From the Oracle Financial Services Analytical Applications Infrastructure Security Management menu, you can create users and user groups according to the installation requirements.

**Note:** While creating the user groups manually using SMS AAI interface, use the precedence range/values between 3001 to 4000.

To map the users to the user groups and the user groups to the roles, follow these steps:

1. Map all user groups to the Access to US SAR Report role.
2. Map the Analyst user group to the Reg Report Analyst role.
3. Map the Supervisor user group to the Reg Report Supervisor and to RR Supervisor with Edit roles.
4. Map the Admin user group to the Reg Report Admin role and to RR Admin with Edit roles.
5. Map the Single/Super user's user group to the following roles:
  - a. Reg Report Admin
  - b. RR Admin with Edit
  - c. Reg Report Supervisor
  - d. RR Supervisor with Edit
  - e. Reg Report Analyst

**Note:**

1. For more information on mapping user groups to roles, refer to the *Oracle Financial Services Analytical Applications Infrastructure System Configuration and Administration User Manual*.
2. If you are integrating OFSRR with OFSFCCM, then do not create an OFSRR administration user. The OFSFCCM administration user must be used for OFSRR administration as well.

## ***Configuring US SAR Template***

1. Execute the following script in the Oracle Financial Services Analytical Applications Infrastructure configuration schema:

```
update cssms_role_function_map m set m.v_function_code = 'RRSEEDIT' where  
m.v_function_code = 'RRSACC' and m.v_role_code = 'RRANA';
```

## ***Loading the Static Data into OFSRR Application using Excel Upload***

The Excel Upload feature of Oracle Financial Services Analytical Application Infrastructure Platform allows the reference data or static data stored in Microsoft Excel files to be loaded to the data tables in the Oracle Financial Services Analytical Application Infrastructure Atomic Schema. The Solution Installer places the data files under `$ftpsahre/STAGE/Excelupload` in the App Layer. These data files must be uploaded in the following sequence using the Excel Upload feature.

The data files are categorized as Product Supplied and User Updated. The User Updated files are to be updated with correct data for the implementation and Product Supplied data files must be loaded as is.

The Excel-Entity Mappings are already available in the product. Following is the list of tables to be updated.

### **Product Supplied**

1. dim\_amnt\_unknown
2. dim\_branch\_role
3. dim\_casinos
4. dim\_communication\_type
5. dim\_country
6. dim\_fed\_regulator
7. dim\_filing\_type
8. dim\_financial\_inst\_type
9. dim\_fininst\_id\_type
10. dim\_fininst\_role
11. dim\_fraud
12. dim\_gaming\_inst
13. dim\_gender
14. dim\_id\_doc
15. dim\_insider\_reln\_type
16. dim\_instr\_pay
17. dim\_insurance
18. dim\_money\_laundering
19. dim\_mortgage\_fraud
20. dim\_naics\_code
21. dim\_oth\_sus\_actvty
22. dim\_product\_type
23. dim\_reln\_fininst
24. dim\_role
25. dim\_sec\_fut\_inst
26. dim\_sec\_fut\_inst\_fininst
27. dim\_sec\_fut\_opt
28. dim\_states
29. dim\_structuring
30. dim\_suspect\_id\_type
31. dim\_sus\_role

- 32. dim\_terr\_fin
- 33. dim\_tin\_type

#### **User Updated**

- 1. fct\_transmitter\_info
- 2. dim\_filing\_inst
- 3. dim\_users
- 4. fct\_branch\_info
- 5. fct\_fininst\_info

**Note:** For uploading the above static data and tables, you must follow the same steps as followed for security attributes.

### **Adding Client Specific Security Attributes Through Excel Upload**

1. To add static data client specific security attributes to OFSRR, navigate to <ftpshare path>/STAGE/Excelupload/Templates. The <ftpshare path> is the same path given in variable APP\_DRIVE\_TM while installing OFSAAI. For more information, refer to the *Oracle Financial Services Analytical Applications Infrastructure Installation and Configuration Guide*.
2. Download the following Excel sheets to the Windows machine from the path given in the previous step:
  - a. DIM\_DOMAIN1.xlsx
  - b. DIM\_DOMAIN2.xlsx
  - c. DIM\_DOMAIN3.xlsx
  - d. DIM\_DOMAIN4.xlsx
  - e. DIM\_DOMAIN5.xlsx
3. Add data in each Excel sheet as per your report requirement by referring to the *Oracle Financial Services Regulatory Reporting Data Model Reference Guide*.
  - a. DIM\_DOMAIN1.xlsx should be filled with Jurisdictions, which are available in OFSFCCM. For more information refer to section, *Security Attribute1 Static Information* in the *Data Model Reference Guide*.
  - b. DIM\_DOMAIN2.xlsx should be filled with Business Domains, which are available in OFSFCCM. For more information refer to section, *Security Attribute2 Static Information* in the *Data Model Reference Guide*.
  - c. DIM\_DOMAIN3.xlsx should be filled with Case Type and Case SubType, which are available in OFSFCCM. For more information refer to section, *Security Attribute3 Static Information* in the *Data Model Reference Guide*.
  - d. DIM\_DOMAIN4.xlsx should be filled with Organizations which are available in OFSFCCM. For more information refer to section, *Security Attribute4 Static Information* in the *Data Model Reference Guide*.
  - e. DIM\_DOMAIN5.xlsx should be filled with Scenario Classes which are available in OFSFCCM. For more information refer to section, *Security Attribute5 Static Information* in the *Data Model Reference Guide*.
4. Login to OFSRR as the Admin user created in the previous step.
5. Navigate to Unified Metadata Manager > Data Entry Forms and Queries > Excel Upload. The Excel Upload page displays.
6. After logging into the application, ensure the OFSRR application Information Domain is selected from the drop-down list at the left hand corner of the page.

7. Click **Browse** under Excel File to Upload.
8. Select any Excel sheet.
9. Click Arrow button next to Browse.
10. Preview the data created under the Preview section.
11. In the Excel - Entity Mappings section, click **Arrow**.
12. Select the table name with the same name as the Excel sheet.
13. Click **Upload**. The following message is displayed: *Successfully uploaded data.*
14. Click **OK**.

**Note:** Scan the Webapplication Server logs for any errors after uploading each Excel sheet. For example, for Oracle Weblogic, the webapplication server log is `wls.out`, and for Websphere, the webapplication server log is `Systemout.log` and `Systemerr.log`.

15. Close the Excel upload page.

## ***Mapping User Attributes***

1. If OFSRR is installed on top of OFSFCCM, click **FCCM**. Navigate to **Administration** menu > **User Administration** > **Regulatory Report User's Attribute Administration**. A new page displays a drop-down list containing all the OFSRR users created in the previous step

**OR**

2. If OFSRR is installed as a standalone application, click **Regulatory Reporting**. A new page displays a drop-down list containing all the OFSRR users created in the previous step.
3. Assign attributes to each user from the drop-down list.
4. Close the **Regulatory Report User's Attribute Administration** screen.
5. Logout from OFSRR application.
6. Login with each created user in the OFSRR application. the password reset page open when the user logs in for the first time immediately after the creation or every time the SYSADMN user resets the password for various reasons such as the user forgets the password or if the password is locked, etc.
7. Reset the password. The OFSRR application Login page displays. You must log into the application using the new password.
8. If OFSRR is installed on top of OFSFCCM, click **FCCM** then select the Regulatory Reporting tab. The OFSRR application page displays.

**OR**

9. If OFSRR is installed as a standalone application, click **Regulatory Reporting**. The OFSRR application page displays.
10. Follow these steps whenever a new user is added or modified (for User Details, User Group mapping, Roles mapping, Security Attribute mapping, and Password Change) in the OFSRR application.



# *Integrating OFSRR with OFSFCCM or Oracle Mantas 5.x*

OFSFCCM or Oracle Mantas 5.x can be integrated with OFSRR to post alerts and cases to generate reports with Webservice Calls. To know more about Webservices, refer to the *Oracle Financial Services Regulatory Reporting Webservices Guide*. Both OFSFCCM/Oracle Mantas 5.x and OFSRR must be configured to use this webservice. This is an optional configuration and is required only when you want to integrate OFSRR with OFSFCCM or Oracle Mantas 5.x.

## **For OFSRR**

The OFSRR application's Webservice is already configured with a default user name and password. This default password must be reset before performing the OFSRR and OFSFCCM/Oracle Mantas 5.x integration. This step is mandatory from security aspect.

To update the password, follow these steps:

1. Log in as the Administrator user.
2. Navigate to **Administration > Web Service Configuration > Regulatory Report Web Service**.
3. Enter the User ID as rruser.
4. Do not add any other user name.
5. Enter the desired password.
6. Click **Save**.

## **For OFSFCCM**

To update the password, follow these steps:

1. Login to the OFSFCCM application as Administration User.
2. Navigate to **FCCM > Administration > Manage Parameters > Manage Common Parameters**.
3. Select **Deployment Based** in the Parameter Category drop-down list.
4. Select **Regulatory Report Solution Web Service** from the Parameter Name drop-down list.
5. Set the value for Parameter Value text box as Y.
6. Update the OFSRR web service URL by setting Attribute 3 Value: = <OFSRR URL>/services/InitiateRequest.
7. Click **Save**.

To update the OFSRR Webservice password in OFSFCCM, follow these steps:

1. Navigate to FCCM > Administration > Web Service Configuration > Common Web Service.
2. Enter the same password set in OFSRR side into the *Enter Password for Regulatory Report Web Service* text box and click **Encrypt**.
3. Logout from the application.

## **For Oracle Mantas 5.x**

To update the password, follow these steps:

1. Update the variables in <Oracle Mantas Home>/alert\_management/alert\_mgmt/WEB-INF/classes/conf/mantas\_cfg/install.cfg as follows

```
#RRS Web Service parameters
rrs.userid=rruser

rrs.password= <Encrypt the same password given in step 1.a.iv using Change
Password Utility of Oracle Mantas 5.x>

rrs.service.url=<OFSRR URL>/services/InitiateRequest

rrs.version=2.3
```

2. Recreate the war file and deploy in the web application server.

- f. By default, OFSRR Web Service is configured to capture data coming from OFSFCCM. If OFSRR is to be configured to accept data from Oracle Mantas 5.x, then execute the following SQL using OFSRR atomic schema user:

```
UPDATE APPLN_PARAMETERS SET V_ATTRIBUTE_VALUE1='N' WHERE V_ATTRIBUTE_NAME1='ECM
FLAG';

UPDATE APPLN_PARAMETERS SET V_ATTRIBUTE_VALUE2='Y' WHERE V_ATTRIBUTE_NAME1= 'WEB
SERVICE URL';

UPDATE APPLN_PARAMETERS SET V_ATTRIBUTE_VALUE1='<Mantas 5.x URL>/
services/RRSUpdateService' WHERE V_ATTRIBUTE_NAME1= 'WEB SERVICE URL';

COMMIT;
```

**Note:** The above highlighted placeholder needs to be updated with the mantas URL.

## **Report Lock Period**

If any user forgets to logoff from the OFSRR application or if the OFSRR screen is closed while accessing a report, the report gets locked for a pre-configured duration. By default, the duration is 60 minutes. To alter the duration as per your requirement., execute the following SQL using OFSRR atomic schema user:

```
UPDATE APPLN_PARAMETERS SET V_ATTRIBUTE_VALUE1= '<DURATION IN MINUTES>'
WHERE V_ATTRIBUTE_NAME1= 'LOCK PERIOD IN MINUTES';
COMMIT;
```

## **Activity Information**

This parameter is set to Y if activity dates/amount needs to be imported from AML. Else the parameter is set to N.

```
UPDATE APPLN_PARAMETERS SET V_ATTRIBUTE_VALUE1 = '<Y or N>' WHERE V_ATTRIBUTE_NAME1 =
'ACTIVITY AMOUNT AND DATES FLAG'COMMIT;
```

## **Default Domain 1**

This parameter identifies the default jurisdiction assignment while creating a report manually in OFSRR.

Execute the following query in OFSRR atomic schema as required

```
UPDATE APPLN_PARAMETERS SET V_ATTRIBUTE_VALUE2 = '<VALUE OF DEFAULT DOMAIN 1>' WHERE
V_ATTRIBUTE_NAME1 = 'ENABLE DEFAULT DOMAIN1';COMMIT;
```

By default the flag to enable default domain 1 on UI is set to Y. OFSRR can be configured not to display any default value for domain 1 in UI while creating new report by setting the flag to N.

Execute the following query in OFSRR atomic schema as required.

```
UPDATE APPLN_PARAMETERS SET V_ATTRIBUTE_VALUE1 = '<Y or N>' WHERE V_ATTRIBUTE_NAME1 =
'ENABLE DEFAULT DOMAIN1';COMMIT;
```





