Oracle Financial Services
Regulatory Reporting
Administration Guide KE STR

Release 2.5.1
June 2014

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About This Guide

This guide provides comprehensive instructions to perform administration activities to configure the Oracle Financial Services Regulatory Reporting (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 2.5.1 Administration Guide KE STR* is designed for use by Oracle Financial Services administration 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 2.5.1 Administration Guide KE STR*, includes the following topics:

- Chapter 1, *OFSRR User Setup*, describes the steps involved in user creation.
- Chapter 2, *Loading the Static Data and Product Supplied Metadata into OFSRR*, explains the steps involved in loading static data.
- Chapter 3, *Multiple AML Systems*, explains the steps involved in integration of RR application with OFSFCCM / Oracle Mantas 5.x application.
- Chapter 4, *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 2.5*

- *Oracle Financial Services Regulatory Reporting Data Model Reference Guide, Release 2.5.1*

- *Oracle Financial Services Regulatory Reporting Kenya Suspicious Transaction Report User Guide, Release 2.5.1*

- *Oracle Financial Services Regulatory Reporting Web Services Guide, Release 2.5.1*

- *Oracle Financial Services Regulatory Reporting ReadMe, Release 2.5.1*

To find additional information about how Oracle Financial Services solves real business problems, see our website at 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
Italics	• Names of books, chapters, and sections as references • Emphasis
Bold	• Object of an action (menu names, field names, options, button names) in a step-by-step procedure • Commands typed at a prompt • User input
Monospace	• Directories and subdirectories • File names and extensions • Process names • Code sample, including keywords and variables within text and as separate paragraphs, and user-defined program elements within text
<Variable>	Substitute input value

CHAPTER 1 — OFSRR User Setup

This chapter describes how to provide access to users in the OFSRR applications, through the user groups. This chapter includes the following topics:

- Creating Users and User Groups
- Mapping User to Infodom
- Mapping Users To User Groups

Creating Users and User Groups

1. For creating users and user groups, refer to *Oracle Financial Services Analytical Applications Infrastructure User Manual Release 7.3*.

   Note: If you are integrating OFSRR with OFSFCCM, then do not create OFSRR administration user. The OFSFCCM administration user to be used for OFSRR administration as well.

2. Once the users groups are created map the roles to the user groups as per the below list.

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

- For RR Analyst1 group, map the following roles:
    - RR Kenya STR Analyst Role 1
    - Access to Kenya STR role
- For RR Analyst2 group, map the following roles:
    - RR Kenya STR Analyst Role 2
    - Access to Kenya STR role
- For RR Analyst3 group, map the following roles:
    - RR Kenya STR Analyst Role 3
    - Access to Kenya STR role
- For RR Analyst4 group, map the following roles:
    - RR Kenya STR Analyst Role 4
    - Access to Kenya STR role
- For RR Reviewer group1, map the following roles:
    - RR Kenya STR Reviewer Role 1
    - Access to Kenya STR role
- For RR Reviewer group2, map the following roles:
    - RR Kenya STR Reviewer Role 2

- ■ Access to Kenya STR role
- For RR Auditor group1, map the following roles:
    - ■ RR Kenya STR Auditor Role 1
    - ■ Access to Kenya STR role
- For RR Auditor group2, map the following roles:
    - ■ RR Kenya STR Auditor Role 2
    - ■ Access to Kenya STR role
- For RR Supervisor group, map the following roles:
    - ■ RR Kenya STR Supervisor Role
    - ■ Access to Kenya STR role
- For RR Administrator group, map the following role:
    - ■ Reg Report Admin Role

Mapping User to Infodom

Map all RR user groups to RR Infodom. For mapping user groups to infodom, refer to *Oracle Financial Services Analytical Applications Infrastructure User Manual Release 7.3*.

Mapping Users To User Groups

Map all RR users to respective user groups. For information on User to User Group mapping, refer to *Oracle Financial Services Analytical Applications Infrastructure User Manual Release 7.3*.

CHAPTER 2

Loading the Static Data and Product Supplied Metadata into OFSRR

Loading Client Specific Data

1. To add client specific security attributes to OFSRR system, 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 *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`
   f. `DIM_REPORTING_ENTITY_DTLS.xlsx`
   g. `FCT_BRANCH_INFO.xlsx`
   h. `DIM_REPORTING_PERSON.xlsx`

   Note: Before uploading the excel, ensure that the Column "N_REPTYPE_SKEY" in the excel is being replaced with the value of 9.

3. Add data in each Excel sheet as per your report requirement by referring to *Oracle Financial Services Regulatory Reporting Data Model Reference Guide.*

4. `DIM_DOMAIN1.xlsx` must be filled with Jurisdictions which are available in OFSFCCM. For more information refer section, *Security Attribute1 Static Information* in the *Oracle Financial Services Regulatory Reporting Data Model Reference Guide.*

   a. `DIM_DOMAIN2.xlsx` must be filled with Business Domains which are available in OFSFCCM. For more information refer section, *Security Attribute2 Static Information* in the O*racle Financial Services Regulatory Reporting Data Model Reference Guide.*

   b. `DIM_DOMAIN3.xlsx` must be filled with Case Type and Case SubType which are available in OFSFCCM. For more information refer section, Security Attribute3 Static Information in the *Oracle Financial Services Regulatory Reporting Data Model Reference Guide.*

   c. `DIM_DOMAIN4.xlsx` must be filled with Organizations which are available in OFSFCCM. For more information refer section, Security Attribute4 Static Information in the *Oracle Financial Services Regulatory Reporting Data Model Reference Guide.*

   d. `DIM_DOMAIN5.xlsx` must be filled with Scenario Classes which are available in OFSFCCM. For more information refer section, Security Attribute5 Static Information in the *Oracle Financial Services Regulatory Reporting Data Model Reference Guide.*

    e. `DIM_REPORTING_ENTITY_DTLS.xlsx`, For more information, refer section Reporting Entity Details in *Oracle Financial Services Regulatory Reporting Data Model Reference Guide.*

    f. `FCT_BRANCH_INFO.xlsx`, For more information, refer section Branch Information in *Oracle Financial Services Regulatory Reporting Data Model Reference Guide.*

    g. `DIM_REPORTING_PERSON.xlsx`, For more information, refer section Reporting Person Information in *Oracle Financial Services Regulatory Reporting Data Model Reference Guide.*

5. Login to OFSRR as Admin user created in the previous step.

6. Navigate to `Unified Metadata Manager > Data Entry Forms and Queries > Excel Upload`. The Excel Upload page is displayed.

   Note: After logging into the application, make sure 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 the 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 that of the Excel sheet.

13. Click **Upload**. The following message is displayed: Successfully uploaded data

14. Click **OK**.

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

15. Close the Excel Upload page.

Configuring Security Attributes for Users

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 the OFSRR users created in the previous step.

<div align="center">OR</div>

2. If OFSRR is installed as a standalone application, click **Regulatory Reporting**. A new page displays a drop-down list containing 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 the OFSRR application.

6. Login with each created user in the OFSRR. The Password Reset page opens when the user logs in for the first time immediately after the creation, or every time SYSADMN user resets the password for various reasons, such as when the user forgets the password or when the password is locked.

7. Reset the password. The OFSRR application login page displays.

   Note: 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.

<div align="center">OR</div>

9. If OFSRR is installed as a standalone application, click **Regulatory Reporting**. The OFSRR application page displays.

   Note: 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.

Loading Product Supplied Metadata

Follow these steps to configure database:

   Note: The following steps are not required if you already have the OFSFCCM application.

1. Execute the following SQL after updating <RR Admin User Group> with the User Group name created for the RR admin user.

   ```
   UPDATE CONFIGURATION SET PARAMVALUE= '<RR Admin User Group>' WHERE PARAM-
   NAME='UCM_GROUP_NAME';
   COMMIT;
   ```

2. Create a directory 'TempDocument' in parallel to where UPLOAD_AREA_CM directory is created while installing OFSAAI. Refer to the *Oracle Financial Services Analytical Applications Infrastructure Installation and Configuration Guide* for more details.

3. Add the meta data in database by following these steps:

   Note: The following steps can be followed if OFSBDF is installed. If OFSBDF is not installed or OFSRR is installed as a standalone then run these sql's manually in RR Atomic schema.

4. Copy following files from ProductSuppliedMetadata folder under Installer Kit to
   `<OFSBDF_HOME>/database/db_tools/bin`

   For Egypt STR

   `AtomicEgyptSTR.sql and AtomicEgyptSTR.cfg`

   For Bahamas STR

   `AtomicBahamasSTR.sql and AtomicBahamasSTR.cfg`

   For Pakistan STR

   `AtomicPakistanSTR.sql and AtomicPakistanSTR.cfg`

   For New Zealand STR

   `AtomicNewZealandSTR.sql and AtomicNewZealandSTR.cfg`

   For Kenyan STR

   Copy the below files from the ProductSuppliedMetadata folder under patch 2.5.1.0.0

   `AtomicKenyaSTR.sql and AtomicKenyaSTR.cfg`

   a. Add rrs to variable `dbscript.execution.users` available in
      `<OFSBDF_HOME>/database/db_tools/mantas_cfg/install.cfg`

   For example:

```
dbscript.execution.users=(system|business|mantas|market|miner|ingest|report|kdd_alt
io|kdd|algorithms|case|rrs)
```

b. Add the following variables in <OFSBDF_HOME>/database/db_tools/mantas_cfg/db_variables.cfg

rrs=<OFSRR Atomic Schema User Name>, Refer place holder ##RRS_ATOMIC_USER## in
`GRC_InstallConfig.xml`

RRSINFODOM=<OFSRR Information Domain Name> , Refer place holder ##INFODOM_1##in

`GRC_InstallConfig.xml`

RRSEGMENT=<OFSRR Segment Name>, Refer place holder ##SEGMENT_1## in
`GRC_InstallConfig.xml`

c. Execute the following command

```
<OFSBDF_HOME>/database/db_tools/bin/run_dbbuilder_utility.sh <the appropriate *.cfg
file from step a>
```

d. Enter the password of OFSRR atomic schema user password when it prompts.

e. Check the `<OFSBDF_HOME>/database/db_tools/logs/db_builder.log` for any error in execution.

CHAPTER 3   *Multiple AML Systems*

Integrating OFSRR Application with OFSFCCM

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

1. 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.

   a. To update password, follow these steps:

      i. Log in as Administrator user.

      ii. Navigate to **Administration > Web Service Configuration > Regulatory Report Web Service**.

      iii. Enter the User ID as rruser. Do not add any other user name.

      iv. Enter the desired password.

      v. Click **Save**.

2. For OFSFCCM:

   a. Login to the OFSFCCM application as Administration User.

   b. Navigate to `FCCM` > `Administration` > `Manage Parameters` > `Manage Common Parameters`.

   c. Select **Deployment Based** in the Parameter Category drop-down list.

   d. Select **Regulatory Report Solution Web Service** from the Parameter Name drop-down list.

   e. Set Parameter Value text box = Y.

   f. Update the OFSRR web service URL by setting Attribute 3 Value: = `<OFSRR URL>/services/InitiateRequest`.

   g. Click **Save**.

   h. To update OFSRR Webservice password in OFSFCCM, Navigate to `FCCM > Administration > Web Service Configuration > Common Web Service`

   i. Enter the same password set in OFSRR side in *Enter Password for Regulatory Reporting Web Service* text box and click **Encrypt**.

   j. Logout from the application.

Integrating OFSRR Application with Oracle Manatas 5.x

1. For Oracle Mantas 5.x

   a. 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 using Change Password
      Utility of Oracle Mantas 5.x>
      rrs.service.url=<OFSRR URL>/services/InitiateRequest
      rrs.version=2.5
      ```

      then recreate the war file and deploy in the web application server.

   b. 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 SETUP_WEBSERVICE_CONFIG SET V_WEB_SERIVICE_URL ='<Mantas 5.x
      URL>/services/RRSUpdateService ' WHERE V_SOURCE_NAME = 'MANTAS'COMMIT;
      ```

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

   c. For disabling or enabling the feedback to Mantas, execute the following SQL using OFSRR atomic schema user:

      ```
      UPDATE SETUP_WEBSERVICE_CONFIG T SET T.F_ENABLE_FLAG ='<N or Y>' WHERE
      T.V_SOURCE_NAME = 'MANTAS'COMMIT;
      ```

      To enable feedback, value must be 'Y' and for disabling feedback, it should be 'N'.

CHAPTER 4 — *Configuring Parameters*

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. This duration can be altered 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;
```

Due Date

The due date is set to N days from the date the request is sent from Alert Management/Case Management to RR, where N is a configurable number of days. The N days filing time should exclude both holidays and weekends, that is, it refers specifically to business days. Due date can be modified by any user, based on the configurability as mentioned in the following table.

Table 2. Due Date

Attribute Name	Value	Default pre-pack aged value	Behavior	SQL

Number of Days	N	3 (Days)	When an RR report is created manually or via action from alert/ case, automatically sets due date to action date + N calendar days. If parameter is blank then no date is set.	`UPDATE APPLN_PARAMETERS SET V_ATTRIBUTE_VALUE1= '<NUMBER OF DAYS>'`
				
				`WHERE N_PARAM_IDENTIFIER= 23;`
				
				`COMMIT;`

Edit Due Date Flag	Y or N	Y	If Yes, Due Date can be edited and check for roles to allow to edit. Set Due Date Action to be available.	`UPDATE APPLN_PARAMETERS SET V_ATTRIBUTE_VALUE2= '< Y_OR_N>'`
				
				`WHERE N_PARAM_IDENTIFIER= 23;`
				
				`COMMIT;`

			If No, the Due Date once added by any means, cannot be edited. No Set Due Date Action.	

| Due Date Required Flag | Y or N | Y | If Yes, then on Reopen action the due date is mandatory. | UPDATE APPLN_PARAMETERS SET V_ATTRIBUTE_VALUE3= '< Y_OR_N>'

WHERE N_PARAM_IDENTIFIER= 23; |
| | | | If No, then on Reopen action the due date is optional. | COMMIT; |

Sequence Number Configuration

This field is used to set a sequential number which is appended with the final report name. This number begins with 001 and can be configured by the user as per their need basis.

```
UPDATE APPLN_PARAMETERS SET V_ATTRIBUTE_VALUE1= '<Sequence Number>'WHERE
N_PARAM_IDENTIFIER= 25;COMMIT;
```