Oracle Financial Services
Compliance Regulatory Reporting
Administration Guide Uganda STR

Release 2.5.4
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Oracle Financial Services Software, Inc.
1900 Oracle Way
Reston, VA 20190

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About This Guide

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

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 Compliance Regulatory Reporting Administration Guide Uganda STR* is designed for use by Oracle Financial Services administration users. Their roles and responsibilities, as they operate within the OFS CRR 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 Compliance Regulatory Reporting Administration Guide Uganda STR*, includes the following topics:

- Chapter 1, *OFS CRR User Setup*, describes the steps involved in user creation.
- Chapter 2, *Loading the Static Data and Product Supplied Metadata into OFS CRR*, explains the steps involved in loading static data.
- Chapter 3, *Integrating OFS CRR Application with 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, due date, and currency code parameters.

Where to Find More Information

For more information on OFS CRR, refer to the following documents:

- *Oracle Financial Services Compliance Regulatory Reporting Installation Guide*
- *Oracle Financial Services Compliance Regulatory Reporting Data Model Reference Guide*
- *Oracle Financial Services Compliance Regulatory Reporting Release Notes*
- *Oracle Financial Services Compliance Regulatory Reporting Burundi Suspicious Transaction Report User Guide*
- *Oracle Financial Services Compliance Regulatory Reporting Web Services Guide*
- *Oracle Financial Services Compliance Regulatory Reporting ReadMe*

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

OFS CRR User Setup

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

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

Creating Users and User Groups

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

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

2. Once the users are created, map the users to the predefined user groups, which in turn map to a user role.

   Note: For more information about the above sections, refer to *Oracle Financial Services AnalyticalApplications Infrastructure User Manual Release 7.3.*

   Note: While creating user groups manually using SMS AAI interface, use the precedence range/values between 3001 to 3899.

Table 2. Group Description

Group Code	Group NAME	Group DESCRIPTION
RRUGANALYST	RRUGSTR Analyst	RR Uganda Analyst
RRUGAUDITOR	RRUGSTR Auditor	RR UgandaAuditor
RRUGSUPERVISOR	RRUGSTR Supervisor	RR Uganda Supervisor

Mapping User Group 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

To create Regulatory Report Analyst user for Uganda, map to the RRUGSTR Analyst.
To create Regulatory Report Auditor user for Uganda, map to the RRUGSTR Auditor.
To create Regulatory Report Supervisor user for Uganda, map to the RRUGSTR Supervisor.

CHAPTER 2 — *Loading the Static Data and Product Supplied Metadata into OFS CRR*

Loading Client Specific Data

1. To add client specific security attributes to OFS CRR 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. `DIM_REPORTING_PERSON.xlsx`

   h. `MAP_REPPERSON.xls`

   i. `MAP_REPENTITY_DTLS.xls`

   j. `DIM_FED_REGULATOR.xlsx`

   k. `MAP_FED_REGULATOR_REPTYPE.xls`

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

   a. `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 Data Model Reference Guide.*

   b. `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 Data Model Reference Guide.*

   c. `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 Data Model Reference Guide.*

   d. `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 Data Model Reference Guide.*

   e. `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 Data Model Reference Guide.*

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

     g. `FCT_BRANCH_INFO.xlsx,`for more information, refer section Branch Information in *Oracle Financial Services Data Model Reference Guide.*

     h. `MAP_BRANCH_INFO_REPTYPE.xlsx,`for more information, refer section Branch Information in *Oracle Financial Services Data Model Reference Guide.*

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

     j. `MAP_REPPERSON.xls,`for more information, refer section Mapping Reporting Person Information in *Oracle Financial Services Data Model Reference Guide.*

     k. `MAP_REPENTITY_DTLS.xls,`for more information, refer section Mapping Reporting Entity Details in *Oracle Financial Services Data Model Reference Guide.*

4. Login to OFS CRR as Admin user created in the previous section.

5. 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 OFS CRR application Information Domain is selected from the drop-down list at the left hand corner of the page.

6. Click **Browse** under Excel File to Upload.

7. Select the Excel sheet.

8. Click Arrow button next to Browse.

9. Preview the data created under the Preview section.

10. In the Excel - Entity Mappings section, click Arrow.

11. Select the table name with the same name as that of the Excel sheet.

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

13. 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`.

14. Close the Excel Upload page.

Configuring Security Attributes for Users

1. If OFS CRR 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 OFS CRR users created in the previous section.

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

2. If OFS CRR is installed as a standalone application, click . A new page displays a drop-down list containing the OFS CRR users created in the previous section.

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 OFS CRR application.

6. Login with each created user in the OFS CRR. 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 OFS CRR application login page displays.

   Note: You must log into the application using the new password.

8. If OFS CRR is installed on top of OFSFCCM, click **FCCM.** The OFS CRR application page displays.
                                    OR

9. If OFS CRR is installed as a standalone application, click . The OFS CRR 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 OFS CRR 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. 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 OFS CRR is installed as a standalone then run these sql's manually in RR Atomic schema.

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

   For UG STR

   `AtomicUGSTR.sql and AtomicUGSTR.cfg`

   For KCB STR

   `AtomicKCBSTR.sql and AtomicKCBSTR.cfg`

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

```
RRSINFODOM=<OFS CRR Information Domain Name> , Refer place holder ##INFODOM_1##in
```

`GRC_InstallConfig.xml`

```
RRSEGMENT=<OFS CRR 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 OFS CRR 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 — *Integrating OFS CRR Application with Multiple AML Systems*

Prerequisites

This section explains about the prerequisites to be added in the web.xml if its a standalone application

The following screenshot shows the web.xml files before entering axis servelet:

Add the following entries:

```
<servlet>
<servlet-name>AdminServlet</servlet-name>
<!-- <display-name>Axis Admin Servlet</display-name> -->
<servlet-class>org.apache.axis.transport.http.AdminServlet</servlet-class>
</servlet>
<servlet>
<servlet-name>AxisServlet</servlet-name>
<!-- <display-name>Apache-Axis Servlet</display-name> -->
<servlet-class>org.apache.axis.transport.http.AxisServlet</servlet-class>
</servlet>
```

```
</servlet>
<servlet>
<servlet-name>AdminServlet</servlet-name>
<!-- <display-name>Axis Admin Servlet</display-name> -->
<servlet-class>org.apache.axis.transport.http.AdminServlet</servlet-class>
</servlet>
<servlet>
<servlet-name>AxisServlet</servlet-name>
<!-- <display-name>Apache-Axis Servlet</display-name> -->
<servlet-class>org.apache.axis.transport.http.AxisServlet</servlet-class>
</servlet>
```

```
<servlet-mapping>
<servlet-name>AxisServlet</servlet-name>
<url-pattern>/servlet/AxisServlet</url-pattern>
</servlet-mapping>
<servlet-mapping>
<servlet-name>AxisServlet</servlet-name>
<url-pattern>*.jws</url-pattern>
</servlet-mapping>
<servlet-mapping>
<servlet-name>AxisServlet</servlet-name>
<url-pattern>/services/*</url-pattern>
</servlet-mapping>
```

```
</servlet-mapping>
<servlet-mapping>
<servlet-name>AxisServlet</servlet-name>
<url-pattern>/servlet/AxisServlet</url-pattern>
</servlet-mapping>
<servlet-mapping>
<servlet-name>AxisServlet</servlet-name>
<url-pattern>*.jws</url-pattern>
</servlet-mapping>
<servlet-mapping>
<servlet-name>AxisServlet</servlet-name>
<url-pattern>/services/*</url-pattern>
</servlet-mapping>
```

The following screenshots shows the web.xml files after entering the axis servelet entries:

The entries need to be made in the following locations:

- `<>FIC_WEB_HOME)/webroot/WEB-INF/web.xml`
- `<Deployed Area>/profile.ear/profile.war/WEB-INF/web.xml`

If the server is Websphere, then the same entries need to be added in the following location:

- `<>FIC_WEB_HOME)/webroot/WEB-INF/web.xml`
- `<Deployed Area>/profile.ear/profile.war/WEB-INF/web.xml`
- `/<Deployed Area>/profiles/Profile_name/config/cells/<server>Node2Cell/applications/Profile_name.ear/deployments/Profile_name/Profile_name.war/WEB-INF/web.xml`

Integrating OFS CRR Application with OFSFCCM

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

1. For OFS CRR:

   The OFS CRR application's Webservice is already configured with a default user name and password. This default password must be reset before performing the OFS CRR 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 OFS CRR web service URL by setting Attribute 3 Value: = `<OFS CRR URL>/services/InitiateRequest`.

    g. Click **Save**.

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

    i. Enter the same password set in OFS CRR side in *Enter Password for Web Service* text box and click **Encrypt**.

    j. Logout from the application.

Integrating OFS CRR 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=<OFS CRR URL>/services/InitiateRequest
   rrs.version=2.5
   ```

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

   b. By default, OFS CRR Web Service is configured to capture data coming from OFSFCCM. If OFS CRR is to be configured to accept data from Oracle Mantas 5.x, then execute the following SQL using OFS CRR 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 OFS CRR 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 OFS CRR application or if the OFS CRR 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 OFS CRR 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 3. Due Date

Attribute Name	Value	Default pre-pack aged value	Behavior	SQL
Number of Days	N	7 (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= 28; COMMIT;

Currency Code Configuration

This field is used to set a currency code for the template.

```
UPDATE APPLN_PARAMETERS SET V_ATTRIBUTE_VALUE1= '<CURRENCY_CODE>'WHERE N_PARAM_IDENTIFIER=
31;COMMIT;
```