Oracle Financial Services Regulatory Reporting Administration Guide BS STR

Release 2.4
October 2013

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Regulatory Reporting
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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
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- 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 BS 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 2.4 Administration Guide BS STR*, includes the following topics:

- Chapter 1, *OFSRR User Setup*, describes the steps involved in user creation.
- Chapter 2, *Loading the Static Data into OFSRR Application*, explains the steps involved in loading static data.
- Chapter 3, *Integrating OFSRR Application with OFSFCCM/Oracle Mantas 5.x Application*, 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 2.4*

- *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.

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

OFSRR User Setup

There are some predefined user groups for accessing OFSRR applications. This chapter discusses about the steps to provide access to the users in the application.

This chapter includes the following topics:

- Creating Users
- Mapping Users to User Group

Creating Users

This section explains how to create users and provide access to OFSRR applications. OFSRR application has predefined user groups to access the application.

To set up a user and provide the user access to OFSRR application, follow these steps:

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

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 Analytical Applications Infrastructure User Manual Release 7.3*.

The following table describes the predefined user groups and their roles:

Table 2. User Group Code and Properties

User Group Name	User Group Code	User Group Functions
Analyst1 user	RRANALYST1	Analyst1 user will be able to do the following: ● can work on the Open/ Reopened reports ● can submit the Report to Supervisors for Approval ● Post approval, can mark the report as Submitted and Acknowledged
Analyst2 user	RRANALYST2	Analyst2 user will be able to do the following: ● can do all that Analyst1 can do ● can cancel Report Filling ● can reopen Cancelled Reports
Supervisor1 user	RRSUPERVISOR1	Supervisor1 user will be able to do the following: ● can edit the reports Pending for Approval. ● can Approve or Reject reports
Supervisor2 user	RRSUPERVISOR2	Supervisor2 user will be able to do the following: ● can do all that Supervisor1 can do ● can open reports ● can mark the report as Submitted and Acknowledged

User Group Name	User Group Code	User Group Functions
Administrator user	RRADMINISTRATOR	Administrator user will be able to do the following: ● Security attribute mapping to users ● Uploading client-specific metadata ● User ID/Password setting for Webservices
Access to Bahamas STR user	RRBAHAMASACC	Access to Bahamas STR user is required to provide access to BS STR.

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

Mapping Users to User Group

This section discusses about mapping the users to user groups.

- To create RR Analyst1 user, map to the following groups:

    ■ RR Analyst1 user group

    ■ Access to Bahamas STR user group

- To create RR Analyst2 user, map to the following groups

    ■ RR Analyst2 user group

    ■ Access to Bahamas STR user group

- To create RR Supervisor1 user, map to the following groups

    ■ RR Supervisor1 user group

    ■ Access to Bahamas STR user group

- To create RR Supervisor2 user, map to the following groups

    ■ RR Supervisor2 user group

    ■ Access to Bahamas STR user group

- To create RR Administrator user, map to the following group

    ■ RR Administrator user group

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.

For more information about User to User Group mapping, refer to *Oracle Financial Services Analytical Applications Infrastructure User Manual Release 7.3*

3. 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.*

4. Download the following Excel sheets to 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`

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

    a. `DIM_DOMAIN1.xlsx` is to be filled with Jurisdictions which are all available in OFSFCCM application. For more information refer section, *Security Attribute1 Static Information* in *Data Model Reference Guide.*

    b. `DIM_DOMAIN2.xlsx` is to be filled with Business Domains which are all available in OFSFCCM application. For more information refer section, *Security Attribute2 Static Information* in *Data Model Reference Guide.*

    c. `DIM_DOMAIN3.xlsx` is to be filled with Case Type and Case SubType which are all available in OFSFCCM application. For more information refer section, *Security Attribute3 Static Information* in *Data Model Reference Guide.*

    d. `DIM_DOMAIN4.xlsx` is to be filled with Organizations which are all available in OFSFCCM application. For more information refer section, *Security Attribute4 Static Information* in *Data Model Reference Guide.*

    e. `DIM_DOMAIN5.xlsx` is to be filled with Scenario Classes which are all available in OFSFCCM application. For more information refer section, *Security Attribute5 Static Information* in *Data Model Reference Guide.*

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

7. Navigate to `Unified Metadata Manager > Data Entry Forms and Queries > Excel Upload`, a new screen pops up with an Excel Upload page.

    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.

8. Click **Browse** button under Excel File to Upload section.

9. Select any one of the excel sheet.

10. Click on Arrow button next to Browse button.

11. Preview the data created under Preview section.

12. In Excel - Entity Mappings section, click **Arrow** button.

13. Select the table name same as name of the excel sheet.

14. Click **Upload**.

15. Click **OK** on the popup window displaying the message *Successfully uploaded data*.

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

16. Close the Excel upload page.

17. Click **FCCM** (Incase OFSRR is installed on top of OFSFCCM) or **Regulatory Reporting** (In case of Stand alone). If it is stand alone installation then a new page with a drop-down list displays having all the OFSRR users created in the previous steps. If OFSRR is installed on top of FCCM then on the new page navigate to `Administration menu > User Administration > Regulatory Report User's Attribute Administration`. This will take you to a drop-down list with all the OFSRR users created. Assign attributes to each user from each drop-down.

18. Close the **Regulatory Report User's Attribute Administration** screen.

19. Logout from the OFSRR application.

20. Login with each created user in the OFSRR application, the application will open password reset page when the user login for the first time immediate after creation or every time SYSADMN user reset the password for various reasons , Example: forgot password, Password locked etc.

21. Reset the password. The OFSRR application Login page displays. You must log into the application using the new password.

22. Click **Regulatory Reporting** link in case of standalone installation. The OFSRR application page displays. Click **FCCM** link in case OFSRR is installed on top of OFSFCCM, the Regulatory Reporting tab will be available in one of the tabs in the new page.

   Note: Follow the steps mentioned above 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.

CHAPTER 2

Loading the Static Data into OFSRR Application

OFSRR application uses the following client provided data as per their business requirements:

- Reporting Entity Details
- Reporting Person Information
- User Information

Follow these steps to load the above data into OFSRR application:

1. Download following excel sheets to Windows machine for the templates from `<ftpshare path>/STAGE/Excelupload/Templates`. The path for `<ftpshare path>` is the same path as given in variable placeholder `##FTPSHARE_PATH##` in `GRC_InstallConfig.xml`.

    a. `DIM_REPORTING_ENTITY_DTLS.xlsx`

    b. `DIM_REPORTING_PERSON.xlsx`

    c. `DIM_USERS.xlsx`

2. Add data in each excel sheet as per your installation requirement by referring to the *Oracle Financial Services Regulatory Reporting Data Model Reference Guide.*

    a. `DIM_REPORTING_ENTITY_DTLS.xlsx` For more information, refer section *Reporting Entity Details* in *Datamodel Reference Guide.*

    b. `DIM_REPORTING_PERSON.xlsx`: For more information, refer section *Reporting Person Information* in *Datamodel Reference Guide.*

    c. `DIM_USERS.xlsx`: For more information, refer section *User information* in *Datamodel Reference Guide.*

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

    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.

4. Navigate to `Unified Metadata Manager > Data Entry Forms and Queries > Excel Upload,` a new screen pops up with an Excel Upload page.

5. Click **Browse** button under **Excel File to Upload** section, upload all excel sheets created in the previous step.

    Note: The data must be loaded in the same order as given in step 1.

    Note: Scan the Webapplicaiton Server logs for any errors after uploading each excel sheet. For example, for Oracle Weblogic , it is `wls.out`, and for Websphere, it is `Systemout.log` and `Systemerr.log`.

6. Close the Excel upload page.

CHAPTER 3

Integrating OFSRR Application with OFSFCCM/Oracle Mantas 5.x Application

OFSFCCM / Oracle Mantas 5.x applications can be integrated with OFSRR to post alerts/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, perform the following 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 any desired password.

      v. Click **Save**.

   b. By default, OFSRR Web Service is configured to capture the 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';
      COMMIT;
      ```

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 Report Web Service" text box and click **Encrypt**.

      j. Logout from the application.

3. 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 below

```
#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=2.3
```

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

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 sixty 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 3. Due Date

Attribute Name	Value	Default pre-pack aged value	Behavior	SQL

Number of Days	N	3 (Days)	When a 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= 19;`
				
				`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= 19; 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= 19; COMMIT;
			If No, then on Reopen action the due date is optional.	

Multiple Values Literal

This literal replaces the actual value when any of the following mentioned fields are reported with more than one value.

1. Debit/ Credit
2. Transaction Date
3. Source
4. Currency

The default value is 'VARIOUS'. This can be altered as per your requirement.

Execute the following SQL using OFSRR atomic schema user:

```
UPDATE APPLN_PARAMETERS SET V_ATTRIBUTE_VALUE1= '<MULTIPLE_VALUES_LITERAL>'


WHERE N_PARAM_IDENTIFIER= 20;


COMMIT;
```

Default Currency

This field holds the default (ISO) Currency code used in the application. The default pre-packaged value is 'BSD'. This can be altered as per your requirement.

Execute the following SQL using OFSRR atomic schema user:

```
UPDATE APPLN_PARAMETERS SET V_ATTRIBUTE_VALUE2= '<DEFAULT_CURRENCY>'

WHERE N_PARAM_IDENTIFIER= 20;

COMMIT;
```