

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

*Release 2.4*  
*October 2013*





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# Contents

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<b>List of Figures .....</b>	<b>v</b>
<b>List of Tables .....</b>	<b>vii</b>
<b>About This Guide .....</b>	<b>ix</b>
Who Should Use this Guide .....	ix
Scope of this Guide .....	ix
How this Guide is Organized .....	x
Where to Find More Information .....	x
Conventions Used in this Guide .....	xi
<b>CHAPTER 1            <i>Introduction to Oracle Financial Services Regulatory Reporting</i></b>	<b>1</b>
<b>CHAPTER 2            <i>Administration</i> .....</b>	<b>3</b>
User Creation .....	3
Excel Upload .....	4
Save Metadata .....	5
Application Parameters .....	6
User Attributes .....	6
Viewing Security Attribute Mapping .....	8
Adding Security Attribute Mapping .....	8
Deleting Security Attribute Mapping .....	8
User Administration .....	9
Changing the Password in Oracle Financial Services Analytical Applications Infrastructure .....	9
<b>APPENDIX A            <i>Web Service User ID and Password Reset</i> .....</b>	<b>11</b>
Changing the User ID .....	11
Changing the Password .....	11



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# *List of Figures*

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Figure 1. User Attributes Tab.....	7
------------------------------------	---



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# *List of Tables*

---

Table 1. Conventions Used in this Guide .....	xii
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# About This Guide

**US SAR** - United States Suspicious Activity Report.

This guide describes comprehensive activities of the Oracle Financial Services Analytical Applications Infrastructure Administrator in the Oracle Financial Services Regulatory Reporting (herein referred to as RR) and associated solution set.

This chapter focuses on the following topics:

- Who Should Use this Guide
- Scope of 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 Administration Guide US SAR* is designed for use by OFSAA Installers and System Administrators. Their roles and responsibilities, as they operate within the RR application, include the following:

- **Oracle Financial Services Solution Installer:** This user installs and configures the Oracle Financial Services Analytical Applications Infrastructure Analytical Framework Platform and the client-specific solution sets at a deployment site. The Installer also installs upgrades and additional solution sets, and requires access to deployment-specific configuration information (for example, machine names and port numbers).
- **System Administrator:** This user configures, maintains, and adjusts the system and is usually an employee of a specific OFSAA client. The System Administrator maintains user accounts and roles, archives data, and loads data feeds.

## Scope of this Guide

This guide details the roles of an administrator in RR. The roles include User Creation, Excel Upload, Save Meta Data, and Application Parameters.

## How this Guide is Organized

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

- Chapter 1, *Introduction to Oracle Financial Services Regulatory Reporting*, details the necessity of filing the RR documents to Regulations and Compliances.
- Chapter 2, *Administration*, details the activities of the Oracle Financial Services Analytical Applications Infrastructure Administrator user to configure and maintain the RR.
- Appendix A, *Web Service User ID and Password Reset*, describes the process of changing the user ID and password.

## Where to Find More Information

For additional information about the RR application, refer to the following documents:

- *Oracle Financial Services Regulatory Reporting 2.4 Release Notes*: This guide details the highlights of the current release.
- *Oracle Financial Services Regulatory Reporting 2.4 Data Model Reference Guide (Volume 1)*: This guide explains how data in the RR solution is organized and how RR uses the data.
- *Oracle Financial Services Regulatory Reporting 2.4 User Guide*: This guide defines how users can view, edit, and generate report data and file the regulatory reports to the Regulatory Authorities. It also helps users to adjust the application parameters.
- *Oracle Financial Services Analytical Applications Infrastructure System Configuration and Administration User Manual*: This manual deals with the System Configuration and Administration components of the OFSAA Infrastructure and assists the administrator in configuring the system, managing users, and performing administrative tasks.
- *Oracle Financial Services Analytical Applications Infrastructure Unified Metadata Manager Manual*: This manual deals with the Mart Builder component of the OFSAA Infrastructure and assists you in operating the mart builder to your advantage. It encompasses all the activities involved in using the Mart Builder.
- *Oracle Financial Services Analytical Applications Infrastructure User Manual*: This manual deals with the Data Entry and Forms Designer Component and is aimed at assisting you to create user-friendly Data Entry Screens with a choice of layouts. It also explains how to load the Look-up tables using the Excel Upload feature.
- *Oracle Financial Services Behavior Detection Platform Administration Guide*: This manual defines how to configure and manage the Oracle Financial Services Behavior Detection Platform.

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



# *Introduction to Oracle Financial Services Regulatory Reporting*

As a part of regulations and compliances, organizations are required to perform appropriate analysis and report suspicious activities that lead to fraud and money laundering to the Regulatory Authorities. These regulatory bodies are responsible for safeguarding the financial institutions and consumers from abuse, providing transparency in the country's financial system, enhancing that country's security, and deterring and detecting criminal activity in the financial system.

As part of this goal, these regulatory bodies require the Financial Crimes Unit (FCU), also referred to as Financial Intelligence Units (FIUs), in financial institutions to provide data regarding suspicious activities. These reports, depending on the regulatory geographic region, can be delivered in a printed or electronic format.

RR supports the management, delivery and resolution of these regulatory reports across multiple geographic regions and financial lines of business. Since there are several differences in requirements for printed formats versus electronic formats, between different geographic regions, and data elements that are required on these reports, the approach to satisfying the end goal is to provide a Regulatory Reporting framework that is configured to support printed and electronic formats for different geographic regions and to generate and file different types of reports.

RR is integrated with the Oracle Financial Services Behavior Detection Platform to allow users to generate reports that are automatically populated with information relevant to the investigation which triggered the need for the report to be filed.



This chapter lists the activities done by the Oracle Financial Services Analytical Applications Infrastructure Administrator.

- User Creation
- Excel Upload
- Save Metadata
- Application Parameters
- User Attributes
- User Administration

## ***User Creation***

From the Oracle Financial Services Analytical Applications Infrastructure Security Management menu option, 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:
  - Reg Report Admin
  - RR Admin with Edit
  - Reg Report Supervisor
  - RR Supervisor with Edit
  - Reg Report Analyst

6. 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';
```

For more information on mapping user groups to roles, refer to *Oracle Financial Services Analytical Applications Infrastructure System Configuration and Administration User Manual*.

## ***Excel Upload***

The Excel Upload is a feature of Oracle Financial Services Analytical Application Infrastructure Platform which allows the reference 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 will place the data files under `$ftpsare/STAGE/Excelupload` in the App Layer. These data files should be uploaded in the following sequence using the Excel Upload feature of OFSAAI. 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 should be loaded as is.

**Note:** The Excel-Entity Mappings are already available in the product.

### **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\_security\_param

26. dim\_sec\_fut\_inst
27. dim\_sec\_fut\_inst\_fininst
28. dim\_sec\_fut\_opt
29. dim\_states
30. dim\_structuring
31. dim\_suspect\_id\_type
32. dim\_sus\_role
33. dim\_terr\_fin
34. dim\_tin\_type

#### **User Updated**

1. dim\_domain1
2. dim\_domain2
3. dim\_domain3
4. dim\_domain4
5. dim\_domain5
6. fct\_transmitter\_info
7. dim\_filing\_inst
8. dim\_users
9. fct\_branch\_info
10. fct\_fininst\_info

For more information on Uploading Data Excel Files, refer to the *Oracle Financial Services Analytical Application Infrastructure User Manual*.

## **Save Metadata**

To save metadata, follow these steps:

1. Navigate to the Administration menu and select **Save Metadata**.
2. Choose **Save Derived Entities and Hierarchies**.

For more information on saving metadata, refer to the *Oracle Financial Services Analytical Applications Infrastructure Unified Metadata Manager User Manual*.

**Note:** Any subsequent changes made to the Dimensions tables or the Hierarchies and Derived Entities should be saved.

## ***Application Parameters***

The Application Parameters list the various parameters used in the RR and should be configured for the installation. The attribute description states the values each attribute can hold. For more information, refer to the *Oracle Financial Services Regulatory Reporting 2.4 Data Model Reference Guide (Volume 1)*.

To configure the different parameters, do a manual update on the table `AppIn_Parameters` in the Oracle Financial Services Analytical Applications Infrastructure Atomic Schema. The list of parameters are as follows:

- **AML Web Service** - This parameter defines attributes such as, the URL, User ID, and Password associated with the source AML systems Web service. This is needed to work with AML systems (like FCCM). Also, ensure that the following information is updated in the Configuration file of source AML system:
  - RR Web service User ID
  - RR Web service Password
  - RR Web service URL
- **Lock Period** - This parameter specifies the time after which the system will release the lock on the case. This is calculated from the time the last action was taken on the case by the User. The time specified is in minutes.
- **Web Service Parameters** - This parameter identifies all the attributes associated with the web service request for the report like the user ID and password.
- **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`.
- **DEFAULT DOMAIN1** - This parameter identifies the default jurisdiction assigned while creating a report manually in RR.
- **ECM Flag** - This flag is set to `Y` if RR is installed with ECM (Enterprise Case Management) and `N` for others.

## ***User Attributes***

This section shows how to map and maintain the security attributes for each user role (Figure 1). The security Attributes are configured for an installation by the System Administrator. These security attribute can then be mapped to users.

Attributes of generated reports are based on the Alert or Case for which the report is generated. Users can access reports based on the Security Attributes mapped to each user and report.

This is available for the Admin and Super user roles only.

This section covers the following topics:

- Viewing Security Attribute Mapping
- Adding Security Attribute Mapping
- Deleting Security Attribute Mapping

The screenshot displays the Oracle Financial Services Regulatory Reporting interface. At the top, the Oracle logo and 'Financial Services Regulatory Reporting' are visible. The user is logged in as 'rfsuper' on Thursday, June 21, 2012. The navigation menu shows 'Regulatory Reporting' and 'User Attributes'. The main content area is titled 'User Attributes' and contains a form for configuring user attributes for the user 'rfsup'. The form includes five attribute fields, each with a dropdown menu. The attributes are:

- Attribute 1: CA, SA, US, INDA, AMEA, SGI, SGO
- Attribute 2: RB/PC, RET, INST, GEN, C/W/S, EMP, C, D, E, F
- Attribute 3: CST1, CST2, CST3, AML, TC, FR, FR, FR
- Attribute 4: ACP\_FR, NVST, TC, NVST, AML\_SURV, AML\_TER, FR\_AC, FR\_EE, FR\_ON, BROKER\_COMP, BROKER
- Attribute 5: MockOrgA, MockOrgB, MockOrgC, ORG1, TestOrgC, TestOrgA, TestOrgB

At the bottom of the form, there are 'Save' and 'Clear' buttons.

Figure 1. User Attributes Tab

## Viewing Security Attribute Mapping

To view the security mapping for a user, follow these steps:

1. Select the user whose security attribute mapping is to be viewed.
2. Click **Go**. The page is refreshed with the security attributes and values mapped for the user. These values are separated by commas.

## Adding Security Attribute Mapping

To add a security attribute value to a security attribute, follow these steps:

1. Select the required Security Attribute from the drop-down list.
2. Click **Save**.

## Deleting Security Attribute Mapping

To delete the security attribute value mapping, follow these steps:

1. De-select the Security Attribute you wish to delete from the drop-down list.
2. Click **Save**. The new security mappings to the user are saved.

## ***User Administration***

This section explains the steps to change OFSAAI password.

### **Changing the Password in Oracle Financial Services Analytical Applications Infrastructure**

To change the password in Oracle Financial Services Analytical Applications Infrastructure, follow these steps.

1. Login to the RR with your User ID and Password.
2. Click **Change Password**.

The Change Password screen opens, prompts you to enter both the old password and new password.

3. Enter the old password.
4. Enter the new password. The password should be alphanumeric.
5. Confirm the new password.
6. Click **OK**.

The following message appears:

*Password Changed Successfully. Please login to proceed.*

7. Click **OK**.

The Login page opens.

8. Login with the new password.

For more information, refer to the *Oracle Financial Services Analytical Applications Infrastructure Overview User Manual*.



# *Web Service User ID and Password Reset*

The default user ID and password supplied for the secured web service call must be changed. This user ID and the encrypted password are saved in the database table `APPLN_PARAMETERS`. This chapter discusses the following topics:

- Changing the User ID
- Changing the Password

## ***Changing the User ID***

To change the user ID, follow these steps:

1. Open the `APPLN_PARAMETERS` table of the atomic schema for edit.
2. For the parameter name `WEB SERVICE PARAMETERS` or parameter identifier numbered 2, enter the new Webservice **User ID** in the `V_ATTRIBUTE_VALUE1` column.
3. Update the database.

## ***Changing the Password***

The password is saved in an encrypted format.

To change the Password, follow these steps:

1. Open the web page with the following URL after updating the same:  
`http://< WebServer IP >:<Port Number>/<Context>/solution/RRS/RRSEncryptDecrypt.jsp`
2. Enter the desired password in the Enter Value text box.
3. Click **Encrypt**.
4. The newly encrypted password displays in the encrypted/decrypted value text area.
5. Open the `APPLN_PARAMETERS` table of the atomic schema for edit.
6. For the parameter name `WEB SERVICE PARAMETERS` or parameter identifier numbered 2, enter the new Webservice **encrypted password** in the `V_ATTRIBUTE_VALUE2` column.
7. Update the database.





