

Oracle Financial Services  
Alert and Enterprise Case Management :  
**Upgrade Utility Guide**

*Release 6.1*  
*June 2013*





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Document Control Number: 1543101-0001  
Document Number: UUG-13-UG-6.1-03

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Document Number: UUG-13-UG-6.1-03  
First Edition (June 2013)

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# About this Guide

This guide explains the concepts behind the Oracle Financial Services Alert and Enterprise Case Management Upgrade Utility, and provides step-by-step instructions for navigating through the Oracle Financial Services Alert and Enterprise Case Management Upgrade Utility.

This chapter focuses on the following topics:

- Who Should Use this Guide
- Scope of this Guide
- Where to Find More Information
- Conventions Used in This Guide

## Who Should Use this Guide

The *Oracle Financial Services Alert and Enterprise Case Management Upgrade Utility Guide, Release 6.1*, is designed for use by the Application Installers and System Administrators. Their roles and responsibilities include the following:

- **Application Installer:** This user installs and configures the Oracle Financial Services Alert and Enterprise Case Management and the client-specific solution sets at a deployment site. The Application Installer also upgrades, 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 utility 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.

## Scope of this Guide

This guide provides instructions for upgrading and configuring the Oracle Financial Services Alert and Enterprise Case Management system, subsystem components, and the related third-party software needed to operate the system.

## Where to Find More Information

For more information about Oracle Financial Services Enterprise Case Management Upgrade Utility, Release 6.1, refer to the following documents:

- *Oracle Financial Services Behavior Detection Platform Scenario Manager User Guide*
- *Oracle Financial Services Behavior Detection Platform Administration Tools User Guide*
- *Oracle Financial Services Behavior Detection Platform FSDM Reference Guide, Vol.1, Business Data*
- *Oracle Financial Services Behavior Detection Platform FSDM Reference Guide, Vol.2, Oracle Financial Services Data Model*
- *Oracle Financial Services Behavior Detection Platform FSDM Reference Guide, Vol.3, Case Management Data*
- *Oracle Financial Services Behavior Detection Platform Services Guide*

- *Oracle Financial Services Behavior Detection Platform Configuration Guide*
- *Oracle Financial Services Analytical Applications Infrastructure 7.3 User Manual*
- *Oracle Financial Services Behavior Detection Platform Installation Guide: Stage 1*
- *Oracle Financial Services Analytical Applications Installation and Configuration Guide 7.3*
- *Oracle Financial Services Enterprise Case Management Installation Guide: Stage 3*

## 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>	<ul style="list-style-type: none"><li>● Substitute input value</li></ul>

## Acronyms Used in This Guide

Table 2 lists the Acronyms used in this guide.

**Table 2. Acronyms Used in this Guide**

Acronyms	Description
OFSECM	Oracle Financial Services Enterprise Case Management
BC	Brokerage Compliance
TC	Trading Compliance
LDAP	Lightweight Directory Access Protocol
SMS	Security Management System



This chapter explains the overview of the Oracle Financial Services Alert and Enterprise Case Management 6.1 Upgrade Utility and its objectives, recommendations, and limitations.

This chapter covers the following topics:

- Overview
- Upgrade Workflow
- Upgrading Alert Management
- Upgrading Case Management

## **Overview**

Alert and Enterprise Case Management 6.1 Upgrade Utility upgrades the existing Oracle Mantas 5.x to Alert and Enterprise Case Management. The utility migrates all the data with respect to an alert or a case. This document provides steps on the pre-requisites/process of migrating the data from one version to the other without losing the data which is already existing.

Alert Migration Utility migrates all the data with respect to both closed and non-closed alerts. All the actions performed on an alert is also migrated. Attachments related to the closed alerts can be migrated after the non-closed alerts are migrated to enhance the process of non-closed alert migration.

Enterprise Case management utility migrates all the data with respect to both closed and non-closed cases. All the actions performed on a case is also migrated. For closed cases the utility migrates the entity related data from the archive tables. For non-closed cases it migrates the data from the main tables.

Trading Compliance (TC)/Broker Compliance (BC) cases are not supported in OFSECM 6.1

For any deviations or additional features as compared to 5.x., refer to the *OFSECM 6.1 Release Notes*.

The primary objectives of this utility are as follows:

- Upgrading Alert Management System
- Upgrading Case Management System
- Migrating Alert/Case Documents

## Upgrade Workflow

The following workflow diagram depicts the high level flow of the upgrade process:

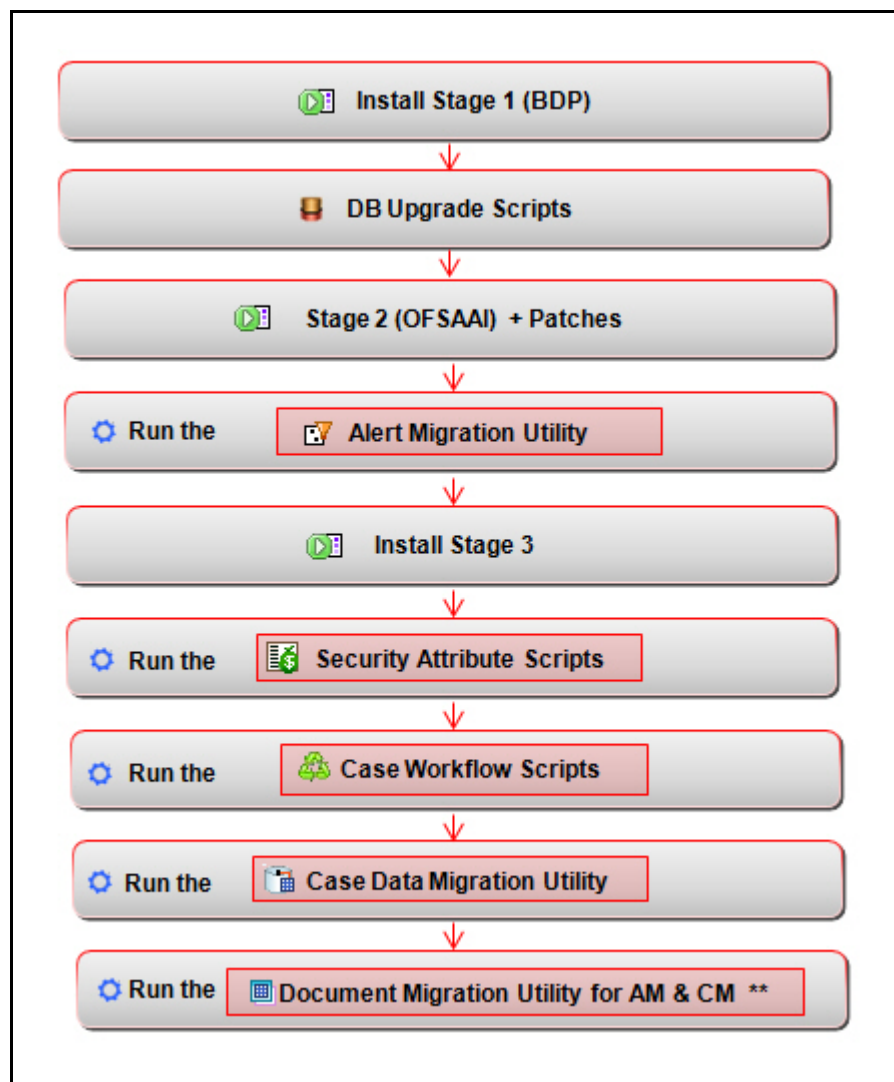


Figure 1. Upgrade Utility Installation Workflow

**Note:** \*\*Document Migration for Alert and Case Management can run parallel with Case Migrations.

## Upgrading Alert Management

The Upgrade Utility gives the user flexibility to migrate alerts.

Table 3 lists the sequence of tasks to be carried out in order to migrate alerts.

**Table 3. Sequence of Tasks to Migrate Alerts**

S.No	Task	Operation Type
1	Apply the database scripts on 5.x system to bring it to Oracle Mantas 5.9.0.1	Scripts
2	Create OFSECM 6.1 Alert Management System Objects	Scripts
3	Upgrade Mantas and Business Schema objects to OFSECM 6.1	Scripts
4	Work Flow upgrades for Alert Management	Scripts
5	Install Oracle Financial Enterprise Case Management (Stage3)	Scripts
6	Setup End Users	Manual
7	Transition of user/role access permissions from LDAP to OFSECM 6.1 System	Macro
8	Transferring Alert Documents	Scripts

## Upgrading Case Management

The Upgrade Utility gives the user flexibility to migrate the cases.

Table 4 lists the sequence of tasks to be carried out in order to migrate case.

**Table 4. Sequence of Tasks to Migrate Case**

S.No	Task	Operation Type
1	Create OFSECM 6.1 Case Management System Objects	Scripts
2	Setup End Users	Manual
3	Transition of user/role access permissions from LDAP to OFSECM 6.1 System	Macro
4	Migrate Case Data	Scripts
5	Transferring Case Documents	Scripts





This chapter explains the following topics:

- Taking System Backup
- Upgrading Infrastructure and Third-Party Software Components
- Copying and Unzipping Upgrade Utility Kit

## ***Taking System Backup***

Before upgrading to OFSECM 6.1, take a backup of the existing database. If you decide to rollback to the existing release part way through or after upgrading, you must restore the system using this database backup.

## ***Upgrading Infrastructure and Third-Party Software Components***

The Upgrade Utility is designed to reuse the existing database and upgrade and transform data and structures in place. For the application and web servers, you can either deploy on the same hardware or on new hardware. When deploying on existing hardware, you may need to upgrade the operating system and other third party software.

The following table identifies the third party software versions supported by OFSECM 6.1. For each potential starting point for the upgrade.

**Table 5. Software Upgrade Requirements by Oracle Mantas Release**

<b>OFSECM 6.1 Supported Software</b>	<b>5.0</b>	<b>5.5</b>	<b>5.7</b>	<b>5.7.1</b>	<b>5.7.2</b>	<b>5.8</b>	<b>5.8.1</b>	<b>5.9</b>	<b>5.9.0.1</b>
<b>Operating System Upgrade Required</b>									
RHEL 5.3	Yes	Yes	Yes	Yes	Yes				
Solaris 10									
<b>Web Application Upgrade Required</b>									
IBM WebSphere 7	Yes	Yes	Yes	Yes	Yes	Yes			
Oracle WebLogic 10.3	Yes	Yes	Yes	Yes	Yes	Yes			
<b>Database Upgrade Required</b>									
Oracle 11gR2	Yes	Yes	Yes	Yes	Yes	**	**		
<b>Informatica Upgrade Required</b>									
PowerCenter 8.6.1	Yes	Yes	Yes	Yes	Yes				
<b>Java Upgrade Required</b>									
Java 1.6	Yes	Yes	Yes	Yes	Yes				

**\*\*Oracle Mantas 5.8** originally supported only Oracle 10g, but was patched to permit use of Oracle 11g. The Oracle Mantas 5.8.1 originally provided the option of Oracle 10g or 11g. Verify which version your system is currently using.

**Note:** If you are planning to upgrade to OFSECM6.2, then upgrading Informatica is not required as it is not being used 6.2 onwards. The Informatica is replaced with Behavior Detection Framework (BDF).

## Oracle 11g Upgrade Notes

Oracle 11gR2 64-bit does not contain the 11b32 directory. For Sun-SPARC 64-bit Solaris server, this can cause issues with the Informatica 8.6.1 PowerCenter server 32-bit installation. Refer to the *Oracle Financial Services Behavior Detection Platform 6.1 Stage 1: Installation Guide* for instructions on how to resolve this.

Contact the Oracle support to get below list of items:

- Oracle Financial Services Behavior Detection Platform 6.1 Stage 1 Installation kit.
- Oracle Financial Services Behavior Detection Platform 6.1 Installation Guide: Stage 1.
- Oracle Financial Services Analytical Applications 7.3 Installation kit.
- Oracle Financial Services Analytical Applications Installation and Configuration Guide 7.3.
- Oracle Financial Services Enterprise Case Management 6.1 Stage 3 installation kit.
- Oracle Financial Services Enterprise Case Management 6.1 Installation Guide: Stage 3.
- All the patches to be applied on Oracle Mantas 5.9.0.1.
- All the patches to be applied on Oracle Financial Services Analytical Applications 7.3.

## Copying and Unzipping Upgrade Utility Kit

To copy and Unzip Upgrade Utility, follow these steps:

1. Copy the `ECM61_Upgrade.zip` to the server.
2. Unzip the package using the following command:

```
unzip -a ECM61_Upgrade.zip
```

The `ECM61_Upgrade` directory is unzipped. This directory contains the Upgrade Utility.

3. Make sure the folder has following permission by giving the following command:

```
chmod -R 755 ECM61_Upgrade
```

**Note:** The `ECM61_Upgrade` folder that is unzipped above will be moved to various locations in the upcoming chapters.

This chapter describes step by step information to perform an upgrade activity.

This chapter explains following topics:

- Performance Recommendations
- Upgrade Sequence and Check List
- Installing OFSBDP 6.1 (Stage 1)
- Preparing to Apply Data Base Scripts to Upgrade 5.x to 5.9.0.1
- Applying Database Upgrade Scripts
- Creating OFSECM 6.1 System and Case Management Schema Objects
- Upgrading Oracle Mantas and Business Schema Objects to OFSECM 6.1
- Installing OFSAAI 7.3 (Stage 2)
- Upgrading Alert Management
- Installing Enterprise Case Management 6.1 (Stage 3)
- Setting Up End Users
- Migrating Case Data
- Transferring Alert /Case Management Documents

## ***Performance Recommendations***

**Note:** Performing this upgrade requires a minimum system downtime of 24 hours.

Following are the performance recommendations:

- Document Migration for alert and case management can be done after successful installation of OFSECM 6.1 Stage 3.
- The upgrade utility provides the flexibility to migrate Closed cases with related documents and Non-Closed cases with related documents separately. If the Closed cases and related documents are low priority, the Non-Closed cases and related documents can be migrated first. Closed cases and related documents can be migrated later in batches as per need.

## Upgrade Sequence and Check List

To upgrade Oracle Mantas 5x to OFSECM 6.1, you need to upgrade many components that comprise the overall OFSECM system.

The following table lists the general order of operations for performing the upgrade.

**Table 6. Upgrade Sequence and Checklist**

S.No	Task	Completed Y/N	Remarks
1	Take the backup of the existing system		
2	Upgrade the infrastructure and third-party software components		
3	Copy and unzip the upgrade utility		
4	Install OFSBDP 6.1 (Stage 1)		
5	Prepare and apply data base scripts to upgrade 5.x to 5.9.0.1		
6	Create OFSECM 6.1 system objects and case management schema objects		
7	Upgrade Oracle Mantas and business schema objects to OFSECM 6.1		
8	Install OFSAAI 7.3 (Stage 2)		
9	Upgrade the Alert Management workflow		
10	Install Enterprise Case Management 6.1 (Stage 3)		
11	Set up End Users		
12	Migrate Case Data		
13	Transfer Alert /Case Management Documents		
14	Apply Hot fixes and Patches		
15	Modify the batch processing schedule		
16	Update Data Interface Specification (DIS)		
17	Complete Post-Upgrade		
18	Transfer the Database tools configuration		
19	Transfer the behavior detection subsystem configuration		
20	Transfer the data ingestion subsystem configuration		
21	Install and configure scenarios		

## ***Installing OFSBDP 6.1 (Stage 1)***

Make sure that you apply all database related patches available at Oracle support till January 10, 2013 on your Oracle Mantas 5.9.0.1 environment.

Follow the steps mentioned in the *Oracle Financial Services Behavior Detection Platform Installation Guide: Stage 1* to install OFSBDP 6.1 Stage 1 into a \$ECM\_HOME directory that is separate from the existing Oracle Mantas installation base directory. During this process, it is important to skip all the steps listed from section 3.4 onwards in the *Oracle Financial Services Behavior Detection Platform 6.1 Installation Guide: Stage 1*.

### **Note:**

- If the user executes the steps listed in section 3.4 *Installing the Data Model*, the upgrade process may encounter errors at a later stage.
- While installing OFSBDP 6.1, provide the same schema names that exist for the Oracle Mantas 5.9 installation. This will ensure that Database subsystem is configured to run the dbbuilder for upgrading the existing schemas.

## ***Preparing to Apply Data Base Scripts to Upgrade 5.x to 5.9.0.1***

All the scripts are executed using the DB Builder Utility.

The Database Builder utility (DB Builder) checks the \$ECM\_HOME/database/db\_tools/mantas\_cfg/install.cfg file for database account information. If the database account required to execute a specific script present in this file, DB Builder uses the information from the file. If a required database account is not present in this file, DB Builder prompts the user to provide the database account as needed.

The file contains following account information:

- db\_util\_user account
- kdd\_mnr user account
- ingest\_user account
- mantas schema account
- business schema account
- market schema account
- kdd\_altio account
- market account
- Case schema account

For example,

- If a database script must be executed by the `kdd_mnr` account, DB Builder obtains the account ID for this user account from the `install.cfg` file. If a database script must be executed by the `mantas` schema account, DB builder obtains the account ID from `install.cfg`, but it prompts the user for the password.
- If a database script must be executed by an Oracle system account, DB Builder prompts the user for the account ID and password because neither of these values appears in `install.cfg`.

The DB Builder also uses `db_variables.cfg` to replace the variables in the scripts with values associated with the variables. *Appendix C* of the *Oracle Financial Services Behavior Detection Platform 6.1 Stage 1 Installation Guide* describes the parameters in this file. It is important that the values are appropriately set for the current system to ensure that the upgrade runs correctly.

To prepare to apply the database upgrade scripts, follow these steps:

1. Copy `ECM61_Upgrade` directory obtained from step 2 of Prerequisites to the `$ECM_HOME` directory of the OFSBDP 6.1 installation.

**Note:** Verify that TNSPING works for the database from the OFSBDP 6.1 installed home directory path `$ECM_HOME`.

2. Change the directory to `$ECM_HOME/database/db_tools/mantas_cfg`.
3. Take a backup of the `db_variables.cfg` file.
4. Update the `db_variables.cfg` file. *Appendix C* of the *Oracle Financial Services Behavior Detection Platform 6.1 Stage 1 Installation Guide* describes the parameters in this file.

**Note:** If you have the `db_variables.cfg` files from your original Oracle Mantas installation, you can use them to help you fill out the file appropriately. Make sure you synchronize the partition dates between the new and existing tables.

Additionally, there are new partitioned tables created during this upgrade. The Oracle Financial Services Software recommends you to synchronize the partitions for the new tables with the partitions for the existing tables. To do this, edit the partition dates in `db_variables.cfg` to match the dates of your existing partitions.

While doing this, remember there are three primary types of partitioned tables:

- *Daily* (which also includes hybrid, or X, partitioned tables)
- *Weekly*
- *Monthly*

For each type of partition table, determine the most recent partition for a representative table.

For example, refer `ACCT_BAL_POSN_SMR` for daily/hybrid, refer `TRADE` for weekly, and refer `CASH` for monthly. Make a note of the most recent partition for each one.

When you edit `db_variables.cfg`, perform the following:

- *For daily/hybrid partitions*, make the `DataDumpDt_minus_0_name` parameter equal to the partition name of the most recent partition for `ACCT_BAL_POSN_SMR`. Then set all the other daily partition-related parameters based on this value.
- *For weekly partitions*, make the `EndThisWeek_minus_00_name` parameter equal to the partition name of the most recent partition for `TRADE`. Then set all the other weekly partition-related values based on this value.
- *For monthly partitions*, make the `StartNextMnth_minus_00_name` parameter equal to the partition name of the most recent partition for `CASH_TRXN`. Then set all the other monthly partition-related values based on this value. It is necessary to set the most recent partition name to `StartNextMnth_minus_00_name` rather than to `StartNextMnth_minus_01_name` because the database DDL scripts create monthly partitions with one future partition. Setting the partition values as described here will account for this fact.

**Note:** If you encounter failures while executing database upgrade scripts with DB Builder, you should correct the issue manually, and re-run the same DB Builder command line you executed originally.

If a script already finished successfully, it is effectively executed again because the DB Builder utility does not pick up execution at the failure point; instead, it re-runs all the scripts from the beginning.

## ***Applying Database Upgrade Scripts***

The upgrade utility requires that Oracle Mantas version be 5.9.0.1. If the working Oracle Mantas version is 5.0 or 5.9 or any version between them, then you must upgrade to 5.9.0.1.

In order to upgrade from the previous Oracle Mantas version to OFSECM 6.1, Database Upgrade scripts must be applied. Refer to *Table 7* to upgrade sequentially from 5.x to 5.9.0.1.

**Note:** Contact Oracle Support to get the following list of Patches:

- `fccm_hotfix_20130416.01`
- `fccm_hotfix_20130422.03`
- `fccm_hotfix_20130508.02`
- `fccm_hotfix_20130515.01`
- `fccm_hotfix_20130607.01`

Make sure these patches are applied successfully over the existing Mantas version before upgrading it to Oracle Mantas version 5.9.0.1.

If you are in Oracle Mantas version 5.0, follow these steps to upgrade the database to Oracle Mantas version 5.9.

1. Change the directory to `$ECM_HOME/database/mantas_schema/delta/oracle/5.5` and execute the following command to upgrade Alert Management Schema to Oracle Mantas version 5.5.

```
../../../../db_tools/bin/run_dbbuilder_utility.sh mantas5.5_delta.cfg
```

2. Change the directory to `$ECM_HOME/database/bus_mkt_schema/delta/oracle/5.5` and execute the following command to upgrade Business and Market Schemas to Oracle Mantas version 5.5.  
`../../../../db_tools/bin/run_dbbuilder_utility.sh delta_plat5.5.cfg`
3. Change the directory to `$ECM_HOME/database/mantas_schema/delta/oracle/5.7` and execute the following command to upgrade Alert Management Schema to Oracle Mantas version 5.7.  
`../../../../db_tools/bin/run_dbbuilder_utility.sh mantas5.7_delta.cfg`
4. Change the directory to `$ECM_HOME/database/bus_mkt_schema/delta/oracle/5.7` and execute the following command to upgrade Business and Market Schemas to Oracle Mantas version 5.7.
5. `../../../../db_tools/bin/run_dbbuilder_utility.sh delta_plat5.7.cfg`
6. Change the directory to `$ECM_HOME/database/mantas_schema/delta/oracle/5.7.1` and execute the following command to upgrade Alert Management Schema to Oracle Mantas version 5.7.1.  
`../../../../db_tools/bin/run_dbbuilder_utility.sh mantas5.7.1_delta.cfg`
7. Change the directory to `$ECM_HOME/database/bus_mkt_schema/delta/oracle/5.7.1` and execute the following command to upgrade Business and Market Schemas to Oracle Mantas version 5.7.1.  
`../../../../db_tools/bin/run_dbbuilder_utility.sh delta_plat5.7.1.cfg`
8. Change the directory to `$ECM_HOME/database/mantas_schema/delta/oracle/5.7.2` and execute the following command to upgrade Alert Management Schema to Oracle Mantas version 5.7.2.  
`../../../../db_tools/bin/run_dbbuilder_utility.sh mantas5.7.2_delta.cfg`
9. Change the directory to `$ECM_HOME/database/bus_mkt_schema/delta/oracle/5.7.2` and execute the following command to upgrade Business and Market Schemas to Oracle Mantas version 5.7.2.  
`../../../../db_tools/bin/run_dbbuilder_utility.sh delta_plat5.7.2.cfg`
10. Change the directory to `$ECM_HOME/database/mantas_schema/delta/oracle/5.8` and execute the following command to upgrade Alert Management Schema to Oracle Mantas version 5.8.  
`../../../../db_tools/bin/run_dbbuilder_utility.sh mantas5.8_delta.cfg`
11. Change the directory to `$ECM_HOME/database/bus_mkt_schema/delta/oracle/5.8` and execute the following command to upgrade Business and Market Schemas to Oracle Mantas version 5.8.  
`../../../../db_tools/bin/run_dbbuilder_utility.sh delta_plat5.8.cfg`
12. Change the directory to `$ECM_HOME/database/mantas_schema/delta/oracle/5.8.1` and execute the following command to upgrade Alert Management Schema to Oracle Mantas version 5.8.1.  
`../../../../db_tools/bin/run_dbbuilder_utility.sh mantas5.8.1_delta.cfg`
13. Change the directory to `$ECM_HOME/database/bus_mkt_schema/delta/oracle/5.8.1` and execute the following command to upgrade Business and Market Schemas to Oracle Mantas version 5.8.1.  
`../../../../db_tools/bin/run_dbbuilder_utility.sh delta_plat5.8.1.cfg`
14. Change the directory to `$ECM_HOME/database/mantas_schema/delta/oracle` and execute the following command to upgrade Alert Management Schema to Oracle Mantas version 5.9.  
`../../../../db_tools/bin/run_dbbuilder_utility.sh mantas5.9_delta.cfg`
15. Change the directory to `$ECM_HOME/database/bus_mkt_schema/delta/oracle` and execute the following command to upgrade Business and Market Schemas to Oracle Mantas version 5.9.  
`../../../../db_tools/bin/run_dbbuilder_utility.sh delta_plat5.9.cfg`



16. Change the directory to \$ECM\_HOME/database/mantas\_schema/delta/oracle and execute the following command to upgrade Alert Management Schema to Oracle Mantas version 5.9.0.1.  

```
../../../../db_tools/bin/run_dbbuilder_utility.sh mantas5.9.0.1_delta.cfg
../../../../db_tools/bin/run_dbbuilder_utility.sh mantas5.9.0.1_b01.01_delta.cfg
../../../../db_tools/bin/run_dbbuilder_utility.sh mantas5.9.0.1_b02_delta.cfg
../../../../db_tools/bin/run_dbbuilder_utility.sh mantas5.9.0.1_b02.01_delta.cfg
../../../../db_tools/bin/run_dbbuilder_utility.sh mantas5.9.0.1_b02.02_delta.cfg
```
17. Change the directory to \$ECM\_HOME/database/bus\_mkt\_schema/delta/oracle and execute the following command to upgrade Business and Market Schemas to Oracle Mantas version 5.9.0.1  

```
../../../../db_tools/bin/run_dbbuilder_utility.sh delta_plat5.9.0.1.cfg
../../../../db_tools/bin/run_dbbuilder_utility.sh delta_plat5.9.0.1_b02.01.cfg
```

For all the above commands enter the appropriate Database schema names and passwords, when prompted by DB Builder.

**Note:** Check for errors in the \$ECM\_HOME/database/db\_tools/logs/db\_builder.log file. If you encounter failures while executing database upgrade scripts with DB Builder, you should correct the issue manually, and re-run the same DB Builder command line you executed originally. If a script already finished successfully, it is effectively executed again because the DB Builder utility does not pick up execution at the failure point; instead, it re-runs all the scripts from the beginning.

The following table lists the directory location and the upgrade scripts, which must be run in order to upgrade from a previous Oracle Mantas release.

**Note:** Run the upgrade scripts based on the earliest release your system uses, and continue until your system has been upgraded through Oracle Mantas 5.9.0.1.

**Table 7. Upgrade Scripts and Directories by Release**

Oracle Mantas Version	Directory Location	Upgrade Script
5.5	\$ECM_HOME/database/mantas_schema/delta/oracle/5.5	mantas5.5_delta.cfg
5.5	\$ECM_HOME/database/bus_mkt_schema/delta/oracle/5.5	delta_plat5.5.cfg
5.7	\$ECM_HOME/database/mantas_schema/delta/oracle/5.7	mantas5.7_delta.cfg
5.7	\$ECM_HOME/database/bus_mkt_schema/delta/oracle/5.7	delta_plat5.7.cfg
5.7.1	\$ECM_HOME/database/mantas_schema/delta/oracle/5.7.1	mantas5.7.1_delta.cfg
5.7.1	\$ECM_HOME/database/bus_mkt_schema/delta/oracle/5.7.1	delta_plat5.7.1.cfg
5.7.2	\$ECM_HOME/database/mantas_schema/delta/oracle/5.7.2	mantas5.7.2_delta.cfg
5.7.2	\$ECM_HOME/database/bus_mkt_schema/delta/oracle/5.7.2	delta_plat5.7.2.cfg
5.8	\$ECM_HOME/database/mantas_schema/delta/oracle/5.8.	mantas5.8_delta.cfg
5.8	\$ECM_HOME/database/bus_mkt_schema/delta/oracle/5.8	delta_plat5.8.cfg
5.8.1	\$ECM_HOME/database/mantas_schema/delta/oracle/5.8.1	mantas5.8.1_delta.cfg
5.8.1	\$ECM_HOME/database/bus_mkt_schema/delta/oracle/5.8.1	delta_plat5.8.1.cfg
5.9	\$ECM_HOME/database/mantas_schema/delta/oracle	mantas5.9_delta.cfg
5.9	\$ECM_HOME/database/bus_mkt_schema/delta/oracle	delta_plat5.9.cfg
5.9.0.1	\$ECM_HOME/database/mantas_schema/delta/oracle	mantas5.9.0.1_delta.cfg

**Table 7. Upgrade Scripts and Directories by Release**

<b>Oracle Mantas Version</b>	<b>Directory Location</b>	<b>Upgrade Script</b>
5.9.0.1	\$ECM_HOME/database/mantas_schema/delta/oracle	mantas5.9.0.1_b01.01_delta.cfg
5.9.0.1	\$ECM_HOME/database/mantas_schema/delta/oracle	mantas5.9.0.1_b02_delta.cfg
5.9.0.1	\$ECM_HOME/database/mantas_schema/delta/oracle	mantas5.9.0.1_b02.01_delta.cfg
5.9.0.1	\$ECM_HOME/database/mantas_schema/delta/oracle	mantas5.9.0.1_b02.02_delta.cfg
5.9.0.1	\$ECM_HOME/database/bus_mkt_schema/delta/oracle	delta_plat5.9.0.1.cfg
5.9.0.1	\$ECM_HOME/database/bus_mkt_schema/delta/oracle	delta_plat5.9.0.1_b02.01.cfg

## Creating OFSECM 6.1 System and Case Management Schema Objects

To create OFSECM 6.1 System Objects and Case Management Schema Objects, follow these steps:

1. Verify the following files that have been configured for your environment (based on information provided in the *Oracle Financial Services Behavior Detection Platform 6.1 Stage 1 Installation Guide*):
  - \$ECM\_HOME/database/db\_tools/mantas\_cfg/install.cfg
  - \$ECM\_HOME/database/db\_tools/mantas\_cfg/db\_variables.cfg

2. Modify install.cfg in \$ECM\_HOME/database/db\_tools/mantas\_cfg as shown following line:

Change line: Oracle.ObjectExists=955,2260,2275,1430,1442,1451,957,1408,2261

to:

Oracle.ObjectExists=955,2260,2275,1430,1442,1451,957,1408,2261,1543

(adding error code 1543)

3. Copy the following SQL scripts files from the directory \$ECM\_HOME/ECM61\_Upgrade/db\_scripts to the directory \$ECM\_HOME/database/mantas\_schema/delta/oracle.
  - migrate\_59\_to\_61.system.sql
  - create\_case\_objects.case.sql

4. Copy the following .cfg files from the directory \$ECM\_HOME/ECM61\_Upgrade/conf/ to the directory \$ECM\_HOME/database/mantas\_schema/delta/oracle :
  - create\_61\_new\_system\_objects.cfg
  - create\_61\_case\_user\_objects.cfg

5. Change the directory to \$ECM\_HOME/database/mantas\_schema/delta/oracle.

6. To create the new system objects, run the following command:

```
../../../../db_tools/bin/run_dbbuilder_utility.sh create_61_new_system_objects.cfg
```

**Note:** This calls the migrate\_59\_to\_61.system.sql script. This script creates the new case management tablespaces and the USERS tablespace. It also creates the case management schema and the new configuration schema.

7. When prompted, enter the appropriate database schema username and password.
8. Check for errors in the \$ECM\_HOME/database/db\_tools/logs/db\_builder.log file.
9. Navigate to the following location:

\$ECM\_HOME/database/mantas\_schema/delta/oracle

10. To create the Case Management Schema objects, run the following command:

```
../../../../db_tools/bin/run_dbbuilder_utility.sh create_61_case_user_objects.cfg
```

**Note:** This calls the create\_case\_objects.case.sql, which creates the case management schema objects.

11. When prompted, enter the appropriate database schema username and password.
12. Check for errors in the \$ECM\_HOME/database/db\_tools/logs/db\_builder.log file.

## ***Upgrading Oracle Mantas and Business Schema Objects to OFSECM 6.1***

To upgrade Oracle Mantas and Business Schema Objects to OFSECM 6.1, follow these steps:

1. Copy the following SQL scripts files from directory `$ECM_HOME/ECM61_Upgrade/db_scripts/` to the directory `$ECM_HOME/database/mantas_schema/delta/oracle`.
  - `migrate_59_to_61.business.sql`
  - `migrate_59_to_61.mantas.sql`
2. Copy the following `.cfg` file from the directory `$ECM_HOME/ECM61_Upgrade/conf/` to the directory `$ECM_HOME/database/mantas_schema/delta/oracle`
  - `create_61_bus_am_objects.cfg`
3. Navigate to the following directory:  
`$ECM_HOME/database/mantas_schema/delta/oracle`
4. Run the following command:  
`../../../../db_tools/bin/run_dbbuilder_utility.sh create_61_bus_am_objects.cfg`  
  
**Note:** This calls the `migrate_59_to_61.business.sql` and `migrate_59_to_61.mantas.sql` scripts.
5. When prompted, enter the appropriate database schema username and password.
6. Check for errors in the `$ECM_HOME/database/db_tools/logs/db_builder.log` file.

## Installing OFSAAI 7.3 (Stage 2)

Install the Oracle Financial Services Analytical Applications Infrastructure (OFSAAI) 7.3 base software using the product installer and an appropriate silent installation properties file.

Refer to the *Oracle Financial Services Analytical Applications Installation and Configuration Guide 7.3* for more information on installation and configuration.

**Note:** Contact Oracle Support to get latest patches for OFSAAI 7.3.

## Upgrading Alert Management

Compared to previous Oracle Mantas 5.x versions, in OFSECM 6.1 new activities and new categories for activities have been added. Hence, as part of Alert Management Upgrades the activities including customized activities should be mapped to these new categories by using Alert Management work flow utility/process as explained in the below sections.

### Alert Management Workflow for OFSECM 6.1

To create the required temporary lookup and log tables used during the upgrade process and to upgrade the Alert Management workflow, follow these steps:

1. Copy the ECM61\_Upgrade directory obtained from step 2 of Prerequisites to the \$FIC\_HOME directory of the OFSAAI 7.3 installation.
2. Log in to Alert Management schema and take a backup of the KDD\_ACTIVITY\_TYPE\_CD table as KDD\_ACTIVITY\_TYPE\_CD\_BKP.

**Note:** The backup name of this table should be the same as in step number 2.

3. Change the directory to \$FIC\_HOME/ECM61\_Upgrade/bin.
4. Run the following script to create the required temporary lookup and log tables used during the upgrade process:  
`./upgrade_utility.sh DB_UPGRADE`
5. Enter the appropriate database schema username and password when prompted.  
Check for any errors in DB\_UPGRADE\_timestamp.log file under \$FIC\_HOME/ECM61\_Upgrade/logs.
6. Run the following script for the Alert Management workflow upgrade:  
`./upgrade_utility.sh WORKFLOW_UPGRADE_AM`
7. Enter the appropriate database schema username and password when prompted.
8. Check for any errors in WORKFLOW\_UPGRADE\_AM\_timestamp.log file under \$FIC\_HOME/ECM61\_Upgrade/logs
9. Log into Alert Management schema and check following tables for any errors.

- UPGRADE\_STATS table, which displays the UPGRADE\_STATS.STATUS column as Successful (N) or Unsuccessful (Y).
- UPGRADE\_AUDIT\_LOG table, which provides error information when the UPGRADE\_STATS.STATUS column displays as Unsuccessful (Y).

**Note:**

- If you want to restore the original category codes, execute the following script in Alert Management schema:

```
update KDD_ACTIVITY_TYPE_CD c
set ACTVY_CAT_CD=(select ACTVY_CAT_CD from KDD_ACTIVITY_TYPE_CD_BKP t where
t.actvy_type_cd=c.actvy_type_cd);
commit;
```

Run the Alert Management workflow upgrade.

- Any actions that were disabled in prior versions of Oracle Mantas should also be manually disabled in OFSECM 6.1. If you want to disable activity codes 'CST001', 'CST002' then perform the following steps:
  - i. Login to Alert Management Schema.
  - ii. Execute the following commands.

```
delete from KDD_ROLE_ACTIVITY_TYPE where ACTVY_TYPE_CD in ('CST001',
'CST002');
Commit;
```

## **Categorize Activity Codes in OFSECM 6.1**

Perform the following steps if the existing Oracle Mantas installation has customized activity codes for alerts.

In OFSECM 6.1, all the activity codes must be mapped to product defined activity categories. Execute one of the following options to update activity categories for any customized activity codes.

### **Option 1**

This option maps all legacy action categories to product default categories of OFSECM 6.1.

Activity codes must be configured in the category\_list.txt file available at \$FIC\_HOME/ ECM61\_Upgrade /conf folder. The file contains two columns separated by '~'. The first column is for the old category code and the second column is for the new one. Clear the contents of the file category\_list.txt and map old category codes to one of the following new categories:

- Actions
- Disposition
- E-mail
- Export
- Reassign
- Reg Reporting
- Review

After modifying the file, follow these steps:

1. Navigate to the following directory: `$FIC_HOME/ ECM61_Upgrade /bin`
2. Execute the following command:  
`./upgrade_actvty_cat.sh c category_list.txt`
3. Enter the appropriate database schema username and password when prompted.
4. Check for any errors in `WORKFLOW_UPGRADE_AM_timestamp.log` file under `$FIC_HOME/ECM61_Upgrade/logs`
5. Log into Alert Management schema and check following tables for any errors.
  - `UPGRADE_STATS` table, which displays the `UPGRADE_STATS.STATUS` column as Successful (N) or Unsuccessful (Y).
  - `UPGRADE_AUDIT_LOG` table, which provides error information when the `UPGRADE_STATS.STATUS` column displays as Unsuccessful (Y).

If there are any errors, re-run the `./upgrade_actvty_cat.sh c category_list.txt` command after correcting the error.

## Option 2

This option requires selecting a new action category for individual actions, by modifying the `entity_list.txt` file available at `$FIC_HOME/ ECM61_Upgrade /conf` folder. In this file, the first column contains the activity codes and the second column contains the new category code. Both the fields are separated by '~'. Clear the contents of the file `entity_list.txt` and map activity codes to one of the new category codes.

Modify the file, and follow these steps:

1. Change the directory to `$FIC_HOME/ ECM61_Upgrade /bin`.
2. Run the following command:  
`./upgrade_actvty_cat.sh i entity_list.txt`
3. Enter the appropriate database schema username and password when prompted.
4. Check for any errors in `WORKFLOW_UPGRADE_AM_timestamp.log` file available at the following location:  
`$FIC_HOME/ECM61_Upgrade/logs`
5. Log into Alert Management schema and check following tables for any errors:
  - `UPGRADE_STATS` table, which displays the `UPGRADE_STATS.STATUS` column as Successful (N) or Unsuccessful (Y).
  - `UPGRADE_AUDIT_LOG` table, which provides error information when the `UPGRADE_STATS.STATUS` column displays as Unsuccessful (Y).
  - If there are any errors, re-run the `./upgrade_actvty_cat.sh i entity_list.txt` command after correcting the error.

## ***Installing Enterprise Case Management 6.1 (Stage 3)***

This section explains how to install Enterprise Case Management 6.1 (Stage 3). For more information, refer to *Oracle Financial Services Enterprise Case Management 6.1 Installation Guide: Stage 3*.

### ***Setting Up End Users***

The following sections describe the updates related to the end users of Oracle Financial Services Behavior Detection Platform 6.1.

#### **Configuring User Access Permission**

User configuration data stored in the LDAP has to be manually created in Security Management System (SMS). To do this, create users and map user roles in SMS. For providing the access permission to the user(s), refer to *Oracle Financial Services Behavior Detection Platform Administration Guide 6.1* for loading client specific organizations, creating users, and defining user access.

In OFSECM 6.1, a new table (KDD\_ORG) has been added to maintain the organization details. The entries of the table should be entered after verifying the entries in LDAP. Refer to the section Oracle Financial Services Data in *Oracle Financial Services Behavior Detection Platform Release 6.1 FSDM Volume 2*, for more information.

#### **Migrating Role Action Mapping**

To assist in migration of user information like mapping of user roles to activity codes, OFSECM 6.1 provides a Microsoft Excel template to extract the required information from the Oracle Mantas Security XML. This XML is written to the log when starting the Oracle Mantas 5.x instance with trace logging enabled. The template generates the SQLs that should be executed in the alert management schema. In general, the Excel template gathers user role-related configuration information from the Oracle Mantas Security XML that is generated from the LDAP server and translates into the SQL insert scripts in accordance with the OFSECM 6.1 user role-related configuration requirements. The tool does not fully automate the user migration process, but it does simplify much of the effort.

Directions on the proper use of the template are included with the template itself. Additionally, here are some helpful pointers on using the template and migrating the information into the OFSECM 6.1.

- The Oracle Mantas Security XML should be transferred to the Windows desktop.
- If there are multiple web deployments and the Oracle Mantas Security XML is different for all the deployments, then all the Oracle Mantas Security XMLs should be transferred to the Windows desktop.

#### **Transition of Data from LDAP in 6.1**

To migrate data from LDAP, follow these steps:

1. Copy the Excel template (Mantas\_Security.xlsx) from \$FIC\_HOME/ECM61\_Upgrade/conf to your workstation.
2. Copy the Mantas\_security.xml file from the deployment location.



3. Follow the instructions listed on the Excel template.
4. Copy and execute the scripts generated from the `Mantas_Security.xlsx` in Alert Management Schema

**Note:**

- You may ignore any unique constraints errors which may occur while running the queries generated from LDAP when transitioning data using the Excel macro to the `kdd_role_activity_type` table.
- In case, you are planning to re-run the above process related to Case, execute following script in Alert Management schema.  
`delete from temp_map where map_link='ROLE_ACTION'`

## Alert Management Users

All users must be authorized after creation.

Refer to the following table to see the mapping for existing Oracle Mantas 5.x role mappings to the OFSECM 6.1 equivalent role mapping using OFSAAT's SMS interface.

**Table 8. Role Mapping**

V_ROLE_CODE (5.x)	V_ROLE_NAME (6.1)
AMANALYST1	AM Analyst I
AMANALYST2	AM Analyst II
AMANALYST3	AM Analyst III
AMSUPVISR	AM Supervisor
AMEXCUTIVE	AM Executive
AMINAUDITR	AM Internal Auditor
AMEXAUDITR	AM External Auditor
AMDATAMNR	AM Data Miner
AMMANADMN	Mantas Administrator

The following are the security management attributes and the rules according to which the users are migrated to SMS:

## Organizations

- Must have at least one assigned unique Member.
- Must be a unique Member of one or more business domains.
- Must be a unique Member of one or more scenario groups.
- Must be a unique Member of one or more jurisdictions.

## Scenario Groups

- Must have at least one assigned unique Member.
- Must have at least one scenario assigned.
- The scenarios referenced must exist in the `KDD_SCNRO` table.

- The scenarios referenced must exist in only one scenario group in the KDD\_SCNR0\_GRP\_MEMBERSHIP table.
- The scenario group name must be exactly the same as the scenario class name in the KDD\_SCNR0\_GRP.SCNRO\_GRP\_NM table.

## **Business Domains**

- Must have at least one assigned unique Member.
- The business domain code must be in the KDD\_BUS\_DMN table.

## **Jurisdictions**

- Must have at least one assigned unique Member.
- The Jurisdiction code must exist in the KDD\_JRSDCN table.

## ***Migrating Case Data***

Follow these steps to migrate case and related data from Oracle Mantas 5.x to OFSECM 6.1:

### **Note:**

- Case Data Migration supports only AML and FR casetypes, which are a part of OFSECM 6.1.
- The utility provides the option to migrate cases which are in status Non-closed, Closed, or both Non-closed and Closed simultaneously. In order to reduce the downtime of system it is recommended to migrate Non-closed cases first and perform the Post Installation steps to get the system up and running. The Closed cases can be migrated based on the business need.

1. Execute the following scripts in Case Management Schema.

```
grant select, update, insert on KDD_STATUS_ACTION_MAP to <Alert Management
_Schema_Owner>;

grant select, update, insert on KDD_CASETYPE_ACTION_MAP to <Alert Management
_Schema_Owner>;

grant select, update, insert on KDD_ROLE_ACTION_MAP to <Alert Management
_Schema_Owner>;

alter index IDX_CUST_JRSDCN unusable;
alter index ACCT_TYPE1_CD_IDX unusable;
alter index ACCT_BUS_TYPE_IDX unusable;
alter index ACCT_HOLDRTYP_IDX unusable;
alter index ACCT_JRDCN_IDX unusable;
```

2. Execute the following script in Alert Management Schema:

- a. Create synonym KDD\_STATUS\_ACTION\_MAP on <CASE\_SCHEMA OWNER>.KDD\_STATUS\_ACTION\_MAP;
- b. Run the table and package creation script in the Alert Management schema, which is available at \$FIC\_HOME/ECM61\_Upgrade /db\_scripts/CaseMigrationObject.sql

To execute the script, follow these steps.

- i. Login to Alert Management Schema via linux console.
  - ii. Set Scan Off.
  - iii. Execute `CaseMigrationObject.sql`
3. Load the environment variables by executing the following command:
 

```
. ./profile
```
4. Navigate to following Oracle Mantas 5.x Deployed location and copy `Caseworkflowmodel.xml` to `$FIC_HOME/ECM61_Upgrade/lib`

```
<alert_mgmt_web_app_deployed_area>/WEB-INF/classes/conf/ui_config/ui
```
5. Copy `log4j.xml` from `$FIC_HOME/ECM61_Upgrade/conf` to the `$FIC_HOME/ECM61_Upgrade/lib`. Configure the `log4j.xml` by providing the absolute path for the logs by changing the following parameter value `<param name="file" value=" /home/miguser/log.log"/>`
6. Go to `$FIC_HOME/ECM61_Upgrade /lib` and provide 750 permission by executing `chmod -R 750 *`.
7. To start the CaseWorkflow migration, go to `$FIC_HOME/ECM61_Upgrade /lib` directory and execute the following command.
 

```
java -jar Case_Workflow.jar READ
```

After executing this command, the utility will prompt for the following inputs:

- a. Enter the JDBC URL: `<enter JDBC CONNECTION STRING>`.  
For example, `jdbc:oracle:thin:@10.184.134.134:1522:ecmorcl`
- b. Enter ALERT MANAGEMENT SCHEMA USER: `<Enter the Username of the Alert Management Schema>`
- c. Enter ALERT MANAGEMENT SCHEMA PWD: `<Enter the Password of the Alert Management Schema>`

**Note:** Read Parameter implies that the mapping excels (`METADATA_POPULATION.xls` and `MAPPING_EXCEL.xls`) required for migrations would be generated at `$FIC_HOME/ECM61_Upgrade /lib` directory

8. Save both these excels files generated above in 1997-2003 excel format on your windows desktop.
9. `MAPPING_EXCEL.xls` contains the following three sheets:
  - a. `ACTION_MAPPING` sheet: It contains the actions which are to be migrated from Oracle Mantas 5.9 to OFSECM 6.1(basically it retrieves the actions which are part of `Caseworkflowmodel.xml`).

Map the corresponding actions of Oracle Mantas 5.9 in this sheet to the respective OFSECM 6.1 actions. Column `OLD_ACTION` contains Oracle Mantas 5.9 actions and Column `NEW_ACTION` should be filled with respective OFSECM 6.1 actions. If any action of Oracle Mantas 5.9 does not have its equivalent action in OFSECM 6.1, then this action of Oracle Mantas 5.9 has to be inserted in OFSECM 6.1 as a new action. For these actions, `OLD_ACTION` and `NEW_ACTION` values should be same. Refer to *Table 9* for the recommended mappings.

**Table 9. Oracle Mantas 5.9 - ECM 6.1 Actions Mapping**

Oracle Mantas 5.9 Action	ECM 6.1 Action
CA0010	CA64
CA0100	CA208
CA0110	CA203S
CA0140	CA220
CA0200	CA4
CA0210	CA61
CA0230	CA75S
CA0280	CA72S
CA0300	CA75S
CA0310	CA96S
CA0350	CA73S
CA0380	CA68S
CA0390	CA69S
CA0400	CA74S
CA0410	CA5
CA0420	CA2
CA0430	CA96S
CA0450	CA87A
CA0460	CA48
CA0480	CA98S
CA0495	CA99A
CA0497	CA234A
CA0498	CA222S
CA0700	CA35
CA0710	CA101S
CA0720	CA102S
CA0800	CA220
CA1000	CA88S
CA1020	CA87S
CA1100	CA91S
CA1600	CA103S
CA1700	CA207S
CA1800	CA8
CA1810	CA6
CA1830	CA101A
CA1844	CA94S
CA1848	CA95S
CA1850	CA114
CA1870	CA102A

**Table 9. Oracle Mantas 5.9 - ECM 6.1 Actions Mapping**

Oracle Mantas 5.9 Action	ECM 6.1 Action
CA1880	CA16
CA1881	CA18
CA1890	CA27
CA1891	CA27
CA1892	CA27
CA1893	CA204S
CA1894	CA42
CA1895	CA210
CA1896	CA7
CA1897	CA27
CA1898	CA27
CA1900	CA211SE
CA1901	CA213C
CA1902	CA211C
CA1903	CA213C
CA1904	CA214C
CA1905	CA17
CA2045	CA254

**Note:** If the action CA0010 doesn't come from `Caseworkflowmodel.xml`, add the entry CA0010 in column `OLD_ACTION` and their respective mapped action in `NEW_ACTION` column of `ACTION_MAPPING.xls`.

- b. `STATUS_MAPPING` sheet: It contains the statuses which are to be migrated from Oracle Mantas 5.9 to OFSECM 6.1. (basically it retrieves the statuses which are part of `Caseworkflowmodel.xml`)

Map the corresponding status of Oracle Mantas 5.9 in this sheet to respective OFSECM 6.1 status. Column `OLD_STATUS` contains Oracle Mantas 5.9 status and Column `NEW_STATUS` should be populated with respective OFSECM 6.1 status. If any status of Oracle Mantas 5.9 does not have its equivalent status in ECM 6.1 then this status of Oracle Mantas 5.9 has to be inserted in OFSECM 6.1. For these statuses `OLD_ STATUS` and `NEW_ STATUS` values should be same. Refer to Table 10 for the recommended mapping.

**Table 10. Status mapping table**

Oracle Mantas 5.9 Action	ECM 6.1 Action
AC	CCAC
CCLM	CCM
REA	CCEXA
AR	AR
ET	CCET
CRO	RO
NVST	INV

Table 10. Status mapping table

Oracle Mantas 5.9 Action	ECM 6.1 Action
SARF	FSAR
CNW	NW
CCLD	CCLD

- c. **CASETYPE\_SUBTYPE\_MAPPING** sheet: contains the casetype and subtype of Oracle Mantas 5.9 which are to be migrated to OFSECM 6.1.(basically it retrieves the casetype and subtype which are part of Caseworkflowmodel.xml).

Map the corresponding old case type code of Oracle Mantas 5.9 in this sheet to respective OFSECM 6.1. case type code, subclass1 code, and subclass2 code. Column OLD\_CASETYPE\_CD, OLD\_CASE\_SUBCLASS\_TAG\_CD contains Oracle Mantas 5.9 case type code and subclass tag.

Column NEW\_CASETYPE\_CD, NEW\_CASE\_SUBCLASS1, NEW\_CASE\_SUBCLASS2 contains OFSECM 6.1. case type code and subclass tags.

10. **METADATA\_POPULATION.xls**: contains the metadata information of specifications like actions, status, case types, and case-sub types that needs to be newly inserted (which is not a factory default of OFSECM 6.1) into OFSECM 6.1.

It contains the following five sheets:

**Note:** All the sheets in METADATA\_POPULATION.xls will have the values which needs to be inserted into the database. Make sure to have only the values which needs to be inserted and delete all the values which are already mapped according to mapping excel.

- a. **KDD\_ACTION\_DATA** sheet: contains metadata Information about the actions to be inserted which do not have their equivalent OFSECM6.1 mapped actions.

The values under ACTION\_CATEGORY\_CODE column of above sheet can be updated with corresponding mapped values of OFSECM6.1.

Refer to the values present in the kdd\_action\_cat\_cd table of the Case Management Schema of OFSECM 6.1 for information about the Category codes.

**Note:** Refer the OFSECM6.1 User Guide for detailed description about the OFSECM6.1 Action Category Codes

The values under NEXT\_REVIEW\_STATUS\_CD column in the above sheet has to be modified by referring to STATUS\_MAPPING sheet of MAPPING\_EXCEL.xls or the statuses available in OFSBDP Administration Guide.

**Note:**

- ◆ To perform a custom action which is not available in OFSECM 6.1, refer to the *OFSBDP Configuration Guide*.
- ◆ The E-mail Action category code (EML) is programmed to take values from the kdd\_Code\_set\_trnln table. Make sure that no custom action is having its category code as EML.

- b. **KDD\_STATUS\_DATA SHEET:** This sheet contains metadata information about the new statuses to be inserted which do not have their OFSECM6.1 equivalent mapped statuses. User has to modify the information in the column VIEWD\_BY\_OWNER\_ACTVY\_TYPE\_CD of this excel with OFSECM 6.1 action code by referring to ACTION\_MAPPING sheet of MAPPING\_EXCEL.xls
- c. **KDD\_CASE\_TYPE\_SUBTYPE\_DATA** sheet: Make sure that this sheet has custom case types and sub types which are not obsolete in OFSECM6.1 Delete rest of the case types from the sheet.
- d. **KDD\_TYPE\_CLASS\_MAP\_SHEET:** This sheet contains the mapping between the custom casetype subtype and sub classes. Refer to the CASETYPE\_SUBTYPE\_MAPPING sheet of MAPPING\_EXCEL.xls for populating data in this sheet. Columns contained in this excel are:
  - i. CASE\_TYPE\_CLASS\_SEQ\_ID(this should be unique ID in KDD\_TYPE\_CLASS\_MAP table)
  - ii. CASE\_TYPE\_SUBTYPE\_CD
  - iii. CASE\_SUBCLASS1\_CD
  - iv. CASE\_SUBCLASS2\_CD
- e. **KDD\_SUBCLASS1\_SHEET:** User has to enter the information of the subclass1 to be newly inserted in OFSECM 6.1 by referring the information corresponding to casesubtypes entered in KDD\_CASE\_TYPE\_SUBTYPE\_DATA\_SHEET and KDD\_TYPE\_CLASS\_MAP\_SHEET.
- f. **KDD\_SUBCLASS2\_SHEET:** User has to enter the information of the subclass2 to be newly inserted in OFSECM 6.1 by referring the information corresponding to case subtypes entered in KDD\_CASE\_TYPE\_SUBTYPE\_DATA\_SHEET and KDD\_TYPE\_CLASS\_MAP\_SHEET

**Note:** Save both METADATA\_POPULATION.xls and MAPPING\_EXCEL.xls in 1997-2003 excel format.

11. Copy the updated excels to \$FIC\_HOME/ECM61\_Upgrade/lib.
12. Go to \$FIC\_HOME/ECM61\_Upgrade/lib and execute the following command to populate case management schema with metadata and corresponding mappings:

```
java -jar Case_Workflow.jar INSERT
```

After executing the command, user is prompted for the following inputs:

- a. Enter the JDBC URL: <enter JDBC CONNECTION STRING>  
For example, jdbc:oracle:thin:@10.184.134.134:1522:ecmorcl
- b. Enter Case SCHEMA USER: <Enter the Username of the Case management Schema>.
- c. Enter Case SCHEMA PWD: <Enter the Password of the Case management Schema>.
- d. Enter Alert Management SCHEMA USER: <Enter the Username of the alert management Schema>.
- e. Enter Alert Management SCHEMA PWD: <Enter the Password of the alert management Schema>.

13. Check upgrade\_stats and upgrade\_audit\_log table of Alert Management schema for any errors.
14. The following steps should be executed for successfully migrating different case-related informations (Account, House Hold, Investment Advisor, and so on.) from Oracle Mantas 5.9 to OFSECM 6.1.

Follow the following steps to insert the records related to custom CASE SUBTYPES which are newly inserted in this upgrade.

For example, you have Case Subtype as AML\_SURV, then the actions you have to perform are listed below.

- a. Get the max sequence ID for the column CASE\_CASETYPE\_ACTION\_MAP\_SEQ using Query:

```
Select max (CASE_CASETYPE_ACTION_MAP_SEQ) from KDD_CASETYPE_ACTION_MAP.
```

Suppose you get the result 330 by executing the above query, follow the steps.

- b. Insert the following records into the table KDD\_CASETYPE\_ACTION\_MAP

```
Insert into KDD_CASETYPE_ACTION_MAP (case_casetype_action_map_seq, action_cd, case_type_subtype_cd) values (331, 'MTSPTCAC', 'AML_SURV');
```

```
Insert into KDD_CASETYPE_ACTION_MAP (case_casetype_action_map_seq, action_cd, case_type_subtype_cd) values (332, 'MTSPTCCB', 'AML_SURV');
```

```
Insert into KDD_CASETYPE_ACTION_MAP (case_casetype_action_map_seq, action_cd, case_type_subtype_cd) values (333, 'MTSPTCCU', 'AML_SURV');
```

```
Insert into KDD_CASETYPE_ACTION_MAP (case_casetype_action_map_seq, action_cd, case_type_subtype_cd) values (334, 'MTSPTCEN', 'AML_SURV');
```

```
Insert into KDD_CASETYPE_ACTION_MAP (case_casetype_action_map_seq, action_cd, case_type_subtype_cd) values (335, 'MTSPTCHH', 'AML_SURV');
```

```
Insert into KDD_CASETYPE_ACTION_MAP (case_casetype_action_map_seq, action_cd, case_type_subtype_cd) values (336, 'MTSPTCIA', 'AML_SURV');
```

```
Insert into KDD_CASETYPE_ACTION_MAP (case_casetype_action_map_seq, action_cd, case_type_subtype_cd) values (337, 'MTSPTCTN', 'AML_SURV');
```

```
Insert into KDD_CASETYPE_ACTION_MAP (case_casetype_action_map_seq, action_cd, case_type_subtype_cd) values (338, 'MTSPTCEE', 'AML_SURV');
```

```
Insert into KDD_CASETYPE_ACTION_MAP (case_casetype_action_map_seq, action_cd, case_type_subtype_cd) values (339, 'MTSPTCNAR', 'AML_SURV');
```

**Note:** If any other Case Subtype is also there such as XXX, then you have to insert the above records for the type XXX.

15. The case data migration process uses the following parameters which can be used to obtain the optimized migration time by employing parallel and batch execution. Default values of these parameters are given in file `upgrade_cm_schema.sh` which is available under the path `$FIC_HOME/ECM61_Upgrade /bin`:
  - ◆ `max_process=5` (Number of parallel process for Case Data Migration)
  - ◆ `max_rec_limit=100` (Max number of cases to be process which can be less or equal to 'Total Cases').
  - ◆ `max_rec_in_batch=10` (Number of cases in per batch which can be less or equal to `max_rec_limit`)

**Note:** For optimal performance of case data migration, you can increase the value of `max_process` and their respective `max_rec_in_batch` on the basis of the hardware configuration and the workload on the server.



After the above parameters are configured, navigate to `$FIC_HOME/ECM61_Upgrade/bin` and execute the following shell script to commence the Case data migration:

```
./Upgrade_utility.sh CASEDATA_MIGRATION
```

Enter the following details when prompted:

- a. Enter UserID for Alert Management User: <Enter the name of the Alert Management Schema.>
- b. Enter Password for Alert Management User: <Enter the Password for Alert Management Schema.>
- c. Enter the value to migrate Open(O)/Close(C)/Both(B) Cases: <Specify appropriate value>

Parameter for the above prompt:

O - Open Cases

C - Closed Cases

B - Both open and closed cases

16. Check the log `CASEDATA_MIGRATION_<timestamp>.log` created under `$FIC_HOME/ECM61_Upgrade/logs` for any errors.
17. Check `upgrade_stats` and `upgrade_audit_log` table of Alert Management schema for any errors.

## Transferring Alert /Case Management Documents

Prior to Oracle Mantas 6.0, the documents related to Alert Management and Case Management were stored in the database as BLOB objects. As part of OFSECM 6.1, the documents are stored in the file system and the metadata entries for the documents are maintained in the database.

### Pre-requisite

Prior to transferring the documents, verify that enough space is available in the file system of the Application layer (where the OFSAAI APP Layer is installed). To determine the required disk space, execute the following SQL Query in the alert management schema

```
select ceil(sum(FILE_SIZE)/(1024*1024))|| ' MB' from KDD_DOC;
```

#### Note:

- Ensure that the OFSAAI Application Server is running before starting the Document Migration.
- Login to the configuration schema and make sure that `DOCUMENT_UPLOAD_SAVE`, `DOCUMENT_UPLOAD_TEMP_WS` and `DOCUMENT_UPLOAD_TEMP` parameters present in configuration table have valid values.

1. Check the `$FIC_HOME/ECM61_Upgrade/lib` directory for the availability of following jar files:

- `AESCryptor.jar`
- `FICClient.jar`

- FICServer.jar
- j2ssh-core-0.2.5.jar
- log4j-1.2.12.jar
- ojdbc14.jar
- Upgrade.jar

2. Login to the alert management schema and run the following update statement:

```
update KDD_ACTIVITY_DOC set delete_fl = 'N' where delete_fl != 'N'
```

3. Commit the changes.

4. In order to fine tune the Document Migration process for optimal performance, open the run.sh file available at \$FIC\_HOME/ECM61\_Upgrade/bin and modify the values of the following parameters.

- a. **BATCH\_SIZE:** This will determine the number of documents that the utility will load in memory at a time for migration. Modify this variable as per your server configuration.
- b. **BATCH\_TOTAL:** This will determine the number of documents that has to be migrated in a single run.

**Note:** Consider the Hardware Configuration and server workload to derive the optimal values for the above mentioned parameters.

5. Navigate to \$FIC\_HOME/ECM61\_Upgrade /bin and execute the following command:

```
./upgrade_utility.sh DOC_UPGRADE
```

The user needs to enter the following details when prompted:

- a. Enter Module Name[AM/CM]: <Enter AM for Alert Management documents or CM for Case Management documents.>
- b. Enter Alert Management Infodom Name: <Enter the Alert Management Infodom Name.>
- c. Enter the types of Alerts/Cases to be migrated [OPEN(O)/CLOSE(C)/BOTH(B)]:<Specify appropriate value>

Parameter for the above prompt:

O - Non-closed

C - Closed

B - Both Non-closed and closed

- ◆ Check the log Document\_migration\_<timestamp>.log created under \$FIC\_HOME/ECM61\_Upgrade/logs for any errors.
- ◆ Check upgrade\_stats and upgrade\_audit\_log table of Alert Management schema for any errors

**Note:** If there are errors, correct those errors and re-run the utility to migrate the remaining documents.

This chapter describes the post upgrade configuration steps to complete the upgrade from Oracle Mantas 5x release to OFSECM 6.1.

This chapter explains following topics:

- Post-Migration Steps
- Installing Scenario Manager
- Applying Hotfixes and Patches
- Completing Post-Upgrade

## ***Post-Migration Steps***

1. Login to OFSECM UI as ECM Administrator. Navigate to Administration then select User Administration and select **Security Management Attribute** to map the OFSECM 6.1 users to casetypes.
2. For the actions which are available for audit purpose, the reference should be removed from `kdd_role_action_map`.
3. When migration of case data is performed, the sequencing of case related data needs to be modified.
4. Login to the Case Schema and alter the mentioned sequences as described below:
  - a. For Cases Sequences, follow the following steps:
    - i. Execute the following on case Schema to get `max_note_id` (for example, result is 4000):

```
select max(review_id) from kdd_review; to get max_review_id(for example, result is 4000).
```
    - ii. Drop the sequence by executing the following query.

```
drop sequence cm_cases_seq;
```
    - iii. Create Sequence by executing the following query:

```
create sequence cm_cases_seq start with (max_review_id+1) increment by 1 cache 20;
```

For example,

```
create sequence cm_cases_seq start with 4001 increment by 1 cache 20;
```
    - iv. Grant the privileges by executing the following command.

```
grant select on cm_cases_seq to <Alert ManagementSchema>;
```
  - b. For case action sequence, follow the following steps.
    - i. Execute following query.

```
SELECT MAX (actvy_id) FROM kdd_activity;
```

on case schema to get max\_action\_id (for example, result is 3000).

- ii. Drop the sequence by executing the following query:

```
drop sequence cm_case_action_seq;
```

- iii. Create Sequence by executing the following query:

```
create sequence cm_case_action_seq start with (max_action_id+1) increment by 1 cache 20;
```

For example,

```
create sequence cm_case_action_seq start with 3001 increment by 1 cache 20;
```

- iv. Grant the privileges by executing the following command:

```
grant select on cm_case_action_seq to <Alert ManagementSchema>;
```

- c. For Case Note History sequence, follow these steps.

- i. Execute following query:

```
SELECT MAX(note_id) FROM KDD_NOTE_HIST;
```

on case schema to get max\_note\_id (for example, result is 4000).

- ii. Drop the sequence by executing the following query.

```
drop sequence cm_note_id_seq;
```

- iii. Create Sequence by executing the following query.

```
create sequence cm_note_id_seq start with (max_note_id+1)increment by 1 cache 20;
```

For example,

```
create sequence cm_note_id_seq start with 4001 increment by 1 cache 20;
```

- iv. Grant the privileges by executing the following command.

```
grant select on cm_note_id_seq to <Alert ManagementSchema>;
```

- d. For case link sequence, follow these steps:

- i. Execute following query:

```
SELECT MAX(link_seq_id)FROM kdd_case_links;
```

on case schema to get max\_link\_id

For example,

result is 4000.

- ii. Drop the sequence by executing the following query:

```
drop sequence cm_case_link_seq;
```

- iii. Create Sequence by executing the following query:

```
create sequence cm_case_link_seq start with (max_link_id+1) increment by 1 cache 20;
```

For example, create sequence cm\_case\_link\_seq start with 4001 increment by 1 cache 20;

- iv. Grant the privileges by executing the following command.

```
grant select on cm_case_link_seq to <Alert ManagementSchema>;
```

**Note:** If the sequences have been altered after migrating the Open cases, then there is no need to modify after migrating Closed Cases.

5. Login to Case Management schema. Recompile all the invalid objects and check that they compile successfully.
6. After successful migration, drop the tables temp\_map\_role, temp\_map\_status, temp\_map\_action, temp\_map\_casetype\_subtype and temp\_map.
7. Perform the below steps after migration of Case data:

Run the following scripts in Case Management schema when all the cases (Open and Closed) have been migrated:

```
alter index IDX_CUST_JRSDCN rebuild online;  
alter index ACCT_TYPE1_CD_IDX rebuild online;  
alter index ACCT_BUS_TYPE_IDX rebuild online;  
alter index ACCT_HOLDTR_TYP_IDX rebuild online;  
alter index ACCT_JRDCN_IDX rebuild online;
```

## ***Installing Scenario Manager***

OFSECM 6.1 includes a rebranded version of the Developer's Toolkit called Scenario Manager. As you will see noted in the infrastructure sections for each Oracle Mantas 5.x product, it requires a new version of the Sun JRE and the Oracle 11g database client. Other than that, upgrading this component only requires installing the new version into a new directory on the appropriate Windows workstations.

## ***Applying Hotfixes and Patches***

Pay close attention to Oracle Financial Services software updates, also known as hotfixes. Some software updates may be best applied when working with that component of the software, rather than waiting for installation to be complete. For example, a software update that contains an Informatica Repository replacement could be applied and used in lieu of the repository provided by the installer. If in doubt, wait until you have finished upgrading the various components to apply the software updates.

In general, Oracle Financial Services recommends you install OFSECM 6.1 and OFSAAI 7.3 software updates that are applicable to your installation. The possible exception is related to the approach used for scenarios. Make sure you have an up to date list of OFSECM 6.1 software updates. Contact Oracle Financial Services if necessary. OFSECM 6.1 includes a new Patch Update Utility, Refer to the *Oracle Financial Services Behavior Detection Platform 6.1 Administration Guide* for more details.

## ***Completing Post-Upgrade***

After verifying that the upgrade to OFSECM6.1 is successful, follow these steps:

1. Drop the following log tables used during upgrade activity from the alert management schema:

- KDD\_REVIEW\_STATUS\$
- KDD\_REG\_REPORT\_STATUS\$
- KDD\_ACTVY\_CAT\_CD\$
- KDD\_ACTIVITY\_TYPE\_CD\$
- KDD\_ACTVY\_TYPE\_REVIEW\_STATUS\$
- KDD\_SCNRO\_CLASS\_ACTVY\_TYPE\$
- UPGRADE\_AUDIT\_LOG
- UPGRADE\_STATS

This chapter describes the steps to customize subsystems to upgrade the Oracle Mantas 5x release to Oracle Financial Services Enterprise Case Management (OFSECM) 6.1.

This chapter explains following topics:

- Transferring Database Tools Configuration
- Transferring Behavior Detection Subsystem Configuration
- Transferring Data Ingestion Subsystem Configuration
- Installing and Configuring Scenarios
- Modifying Batch Processing Schedule
- Updating Data Interface Specification (DIS)

## ***Transferring Database Tools Configuration***

In your prior installation, review the `install.cfg` file for any changes to be replicated into the new installation.

For example, the value for the `calendar.lookBack` parameter in

`$ECM_HOME/database/db_tools/mantas_cfg/install.cfg` has a default value of 365 days. If you are running any scenarios with lookbacks that may be greater than a year, (for example, Change in Behavior Scenarios), it is recommended that you increase the value to accommodate 13 months, that is, increase it to at least 396 days.

## ***Transferring Behavior Detection Subsystem Configuration***

In your prior installation, review the `install.cfg` file for any changes to be replicated into the new installation.

For example, if you have edited the

`$MANTAS_HOME/behavior_detection/algorithms/MTS/mantas_cfg/install.cfg` file to decrease the number of simultaneous jobs the dispatch process will execute, then you must reapply this change in the new installation.

Additionally, if you are using the dataset override feature, the `kdd.custom.dataset.dir` parameter in the `$ECM_HOME/behavior_detection/algorithms/MTS/mantas_cfg/install.cfg` must be set to the directory that contains the dataset override text files.

The dataset override files must be copied to that directory unless it is the same directory in which the files already exist. It may be unnecessary to continue to use the dataset override functionality. Refer to the *Oracle Financial Services Enterprise Case Management 6.1 Release Notes* for any known 6.1 issues that may require manual workarounds.

## Transferring Data Ingestion Subsystem Configuration

Installing the Data Ingestion Subsystem component upgrades ingestion-related files in two main areas: Java-based ingestion and Informatica-based ingestion.

The following sections describe these upgrades:

- Java-based Ingestion
- Informatica-based Ingestion

### Java-based Ingestion

Java-based ingestion components are used for processes such as fuzzy name matching, pre-processing, loading, trade processing, and market data processing. These components are located in the `$ECM_HOME/ingestion_manager` file and are upgraded by installing the OFSECM 6.1 Data Ingestion component. However, if the configuration information for these processes were changed in the existing installation to meet your specific requirements, then these changes may have to be implemented in the new installation. It is possible that OFSECM 6.1 already contains a change that was a customization for an earlier version of Oracle Mantas.

The following describes examples of customizations:

- Changes to the match thresholds for fuzzy name matching.
- Changes in `DataIngest.xml`, such as specifying full updates or refreshes for specific types of data or using direct loads for certain data.

The following lists specific files to consider:

- `$MANTAS_HOME/ingestion_manager/fuzzy_match/mantas_cfg/install.cfg`
- `$MANTAS_HOME/ingestion_manager/config/DataIngest.xml` - Customizations for this file should be implemented in `DataIngestCustom.xml` in the same directory.
- `$MANTAS_HOME/ingestion_manager/config/DataIngest.properties`
- `$MANTAS_HOME/ingestion_manager/config/install.cfg`
- `$MANTAS_HOME/ingestion_manager/scripts/env.sh`

If you have trade-related data and run FDT processing, you must copy `$MANTAS_HOME/ingestion_manager/data/firm/transform/FDT.cp` to `$ECM_HOME/ingestion_manager/data/firm/transform/FDT.cp`.

When calculating the firm reference price, OFSECM includes trades that do not have a trader identifier. In previous Oracle Mantas versions, the firm reference price calculation did not include these trades. Trades will not have a trader identifier if they do not have a firm type, such as FP, FE, or FA, as the seller type or the buyer type and they do not have an agent identifier. Having a trade that does not have a trader identifier should be a rare occurrence because if the buyer or seller is not a firm type, then the customer will most likely supply the trader identifier.

Changes that were applied manually to correct a problem report may not have to be reapplied if the fix is contained in the OFSECM 6.1 baseline. When in doubt, refer to the *Resolved Issues* section in the *Oracle Financial Services Enterprise Case Management 6.1 Release Notes*. Refer to the *Known Issues* section in the *Oracle Financial Services Enterprise Case Management 6.1 Release Notes* for any known 6.1 issues that may require manual workarounds.



## Informatica-based Ingestion

As part of this upgrade, you must install Informatica 8.6.1 in accordance with the Informatica installation documentation. If you intend to reuse or overwrite the Informatica schema of your existing installation, Oracle Financial Services recommends you to make a separate backup of it. You should perform Step 1 given below, before you no longer have access to your existing Informatica schema.

In general, Informatica 8.6.1 has a service-oriented architecture. Services belong to domains. The primary services in a domain are the license, repository, and integration services. You must configure each of these services for Informatica 8.6.1. Additionally, when installing the base Informatica 8.6.1 software, set your locale to UTF8 by setting the LANG environment variable appropriately.

In the United States, a typical UTF8 setting is `en_US.UTF-8` or `en_US.utf8`. The `locale -a` Unix command outputs a list of the available locales on your server. Consult your system administrator for the UTF8 setting that should be used for your deployment if it is not clear.

After installing the Informatica software, you must configure the environment. Refer to the Informatica installation documentation for information on setting up a domain service and a licensing service. Refer *Oracle Financial Services Enterprise Case Management 6.1 Stage 1 Installation Guide*, for more information on the following topics:

- Configuring a repository service for OFSECM 6.1.
- Configuring an integration service for OFSECM 6.1.
- Loading the OFSECM 6.1 Informatica 8.6.1 repository.
- Copying Informatica files to the Informatica 8.6.1 `$PMRootDir`

If you have made any changes to the Informatica files in your existing installation to meet customer-specific requirements, you must implement these changes in the new installation. For examples:

- Changing the `MIN_GEO_RISK` value or the `PARALLEL_NUM` value in the `$PMRootDir/ParamFiles/prod_orion.parm` file.
- Changing the same day trade win-loss difference percentage (`PERCENTDIFF`) in the `$PMRootDir/ParamFiles/prod_bsm.parm` file.

Update `env.sh` with the encrypted version of the password for the user that runs the Informatica processes. For information about making this change, refer to *Oracle Financial Services Enterprise Case Management 6.1 Stage 1 Installation Guide*.

After you setup the Informatica environment, follow these steps:

1. Load the OFSECM 6.1 Informatica repository.
2. Verify the current values of the Informatica sequences in your new environment and match the values in your existing environment.

New environment refers to the Informatica 8.6.1 environment and existing environment refers to the Informatica 7.1.x/8.1.1 environment for a given deployment environment, that is, for the production environment.

**Note:** If you do not synchronize the values, Informatica will reject records when you start ingesting data in the new environment.

## Synchronizing the Sequence Values

To synchronize the sequence values between the new and existing Informatica environments, follow these steps:

1. As the Informatica schema owner login to your existing Informatica schema and run one of the following queries.

If your existing Informatica installation is 7.1.x or 8.1.1, execute the following query:

```
select seq_name||':'||cur_value from (
select max(to_number(a.attr_value)) as cur_value, b.widget_name as seq_name
from rep_widget_attr a, rep_all_transforms b
where upper(b.widget_name) like 'SEQ%'
and a.attr_id=4
and a.widget_type=7
and a.widget_id in (
select widget_id from rep_all_transforms
where widget_type_name like 'Sequence')
and a.widget_id=b.widget_id
group by b.widget_name)
order by 1
```

The queries return a colon (:) delimited list of all the existing Informatica sequences and their current values. The output is similar to the following:

```
SEQ_NAME||':'||CUR_VALUE
Seq_ACCT_DAY_TRD_DLY_ACTVY:10001
Seq_ACCT_SMRY_MNTH:193001
Seq_ACCT_TRXN_SMRY_DAILY:1001
Seq_CHG_LOG:1
Seq_CHG_LOG_SMRY:3001
Seq_CLIENT_BANK:1
```

2. Login to the Unix server where you installed Informatica 8.6.1 as the Informatica Unix account.
3. Copy the list of sequences and values to a text file. This file is the \$TRANSFORMATION\_INPUT\_FILE referenced in Step 6.
4. Make sure the Informatica processes are running by executing the \$INFA\_HOME/server/tomcat/bin/infaservice.sh startup command as the Informatica Unix user. For more information on starting Informatica, refer to the Informatica documentation.
5. Create a script similar to the following:

```
#!/bin/sh
export INFA_HOME=<Informatica 8.6.1.0.0.3 installation directory>
export INFABIN=$INFA_HOME/server/bin
export INFA_REPCNX_INFO=$INFABIN/pmrep.cnx
export INFA_DOM=<Informatica 8.6.1.0.0.3 domain name>
export INFA_REPO=<Informatica 8.6.1.0.0.3 repository service name>
```

```
export REPO_ADMIN=<Informatica 8.6.1.0.3 repository administrator account>
export REPO_ADMIN_PASS='<Informatica 8.6.1.0.3 repository administrator encrypted
password>'
export TRANSFORMATION_FOLDER=ORION_Common
export TRANSFORMATION_INPUT_FILE=<file with list of sequences and values created previ-
ously>

$INFABIN/pmrep connect -r $INFA_REPO -d $INFA_DOM -n $REPO_ADMIN -X REPO_ADMIN_PASS

while read line
do
    TRANSFORMATION_NAME=`echo $line | cut -d: -f1`
    CURRENT_VALUE=`echo $line | cut -d: -f2`
    echo "Updating sequence $TRANSFORMATION_NAME with current value $CURRENT_VALUE."
    $INFABIN/pmrep UpdateSeqGenVals -f $TRANSFORMATION_FOLDER -t $TRANSFORMATION_NAME
    -c $CURRENT_VALUE
done < $TRANSFORMATION_INPUT_FILE
```

**Note:** The `$INFABIN/pmrep UpdateSeqGenVals` command line ends with `$CURRENT_VALUE`, and the entire command line should be on one line in your script.

6. Specify values specific to your Informatica 8.6.1 environment for the following parameters:

- `INFA_HOME` is the Informatica 8.6.1 installation directory.
- `INFA_DOM` is the Informatica 8.6.1 domain name.
- `INFA_REPO` is the Informatica 8.6.1 repository service name.
- `REPO_ADMIN` is the Informatica 8.6.1 repository administrator account.
- `REPO_ADMIN_PASS` is the Informatica 8.6.1 repository administrator encrypted password. You must use the `$INFA_BIN/pmpasswd` command to obtain the encrypted version of the password. Make sure to keep the single quotes around the string. If you do not want to use an encrypted password, then set `REPO_ADMIN_PASS` to the unencrypted password with single quotes. Also change the following line:
  - `$INFABIN/pmrep connect -r $INFA_REPO -d $INFA_DOM -n $REPO_ADMIN -X REPO_ADMIN_PASS`
  - To:
  - `$INFABIN/pmrep connect -r $INFA_REPO -d $INFA_DOM -n $REPO_ADMIN -x $REPO_ADMIN_PASS`
- `TRANSFORMATION_INPUT_FILE` is the file with the list of sequences and values you created in Step 3. This can be a full path name if the file is not located in the same directory as the script.

This script reads through the `$TRANSFORMATION_INPUT_FILE` one line at a time and extracts each Oracle Mantas sequence name and current value. The script then uses the Informatica `UpdateSeqGenVals pmrep` command to update the current value for each sequence in the OFSECM 6.1 Informatica 8.6.1 repository.

**Note:** When you use the `pmrep connect` command, the Informatica connection information is stored in the `$INFA_REPCNX_INFO` file. This file is owned by the Informatica Unix account and has Unix permissions of 600, meaning it can only be used by the Informatica Unix account. However, if you prefer, you can remove this file after you update the sequences.

7. After the script is finished, login to the new Informatica 8.6.1 repository as the Informatica schema owner and run the following query:

```
select seq_name||':'||cur_value from (
select max(to_number(a.attr_value)) as cur_value, b.widget_name as seq_name
from rep_widget_attr a, rep_all_transforms b
where upper(b.widget_name) like 'SEQ%'
and a.attr_id=4
and a.widget_type=7
and a.widget_id in (
select widget_id from rep_all_transforms
where widget_type_name like 'Sequence')
and a.widget_id=b.widget_id
group by b.widget_name)
order by 1
```

Verify that the current value for each sequence matches up with the current value for each sequence from your existing Informatica repository.

- If you see sequence names in the existing repository that do not appear in the new repository, then it means those sequences are no longer used. The `UpdateSeqGenVals pmrep` command fails when trying to set the current value for a sequence that does not exist in the new repository, but the script will continue to execute and thus update the current values for subsequent sequences.
- If you see sequence names in the new repository that are not in the existing repository, then it means those sequences were added in a later Oracle Mantas release, and you do not need to change their current values. To summarize, only compare the current values for sequences that exist in both repositories.
- If values do not match, they must be fixed before you can ingest any data.

You can also review and update the current values for sequences manually using the Informatica Designer tool. To do this, follow these steps:

1. Launch the Designer.
2. Connect to the Informatica repository.
3. Open the `ORION_Common` folder and drag individual sequences under the Transformations folder into the Transformation Developer tool.

You can then edit the sequence and view or change the current value on the properties tab.

For more information on using the Designer and Transformation Developer Tool, refer to *Informatica documentation*.

You may choose to upgrade your Informatica repository using another approach, but Oracle Financial Services recommends the approach described here.

**Note:** If you follow the approach described here, you do not have to perform the folder migration steps described in the *Upgrading the Informatica Repository* section in the *Oracle Financial Services Enterprise Case Management 6.1 Stage 1 Installation Guide*.

Changes that were applied manually to correct a Oracle Mantas problem report do not have to be reapplied because the fix should be contained in the OFSECM 6.1 baseline.

Refer to the *Resolved Issues* section in the *Oracle Financial Services Enterprise Case Management 6.1 Release Notes*. Refer to the *Known Issues* section in the *Oracle Financial Services Enterprise Case Management 6.1 Release Notes* for any known 6.1 issues that may require manual workarounds.

## ***Installing and Configuring Scenarios***

Upgrading scenarios tends to be the greatest concern for clients. This concern is heightened for scenarios that have been modified either to handle specific situations in the client's data or to implement a fix that OFSECM later resolved in the product. Before deciding on the appropriate upgrade approach, it is important to understand what occurs when OFSECM loads an updated scenario into an environment where the scenario exists.

When a scenario is loaded, the following actions take place:

- The scenario logic is replaced by the incoming scenario.
- Dataset definitions are replaced by the incoming scenario.
- Product thresholds are loaded, and threshold sets are checked and modified for the following conditions:
  - If the scenario contains new thresholds, they are added to any threshold sets and assigned the default value for the base threshold.
  - If the existing threshold sets contain thresholds that the new scenario does not, the thresholds are deactivated in the existing threshold sets.
  - Thresholds in existing threshold sets with *Use Base Value* set (meaning they inherit the value of the base threshold) are updated to the value of the base threshold in the incoming scenario. This can be turned off by setting a flag in the scenario migration configuration files to NOT update values when loading the scenario.
  - For thresholds in the existing threshold sets, if the display name does not match the display name of the corresponding base threshold, then the name is updated.
- Jobs that run the scenario with custom threshold sets are updated to reference any changed datasets or patterns.

After loading the updated scenarios, your scenarios with threshold settings will run as expected. Review your threshold settings after the load to see if any of the new thresholds should be modified to meet your business requirements.

For scenarios that have not been customized, Oracle Financial Services recommends upgrading to the 6.1 product baseline. Upgrading has the following advantages:

- Most scenarios are enhanced between releases to incorporate feedback from OFSECM customers. Upgrading gives you access to these enhancements.

- Any OFSECM scenario updates, or hotfixes, will be released against the latest baseline of the scenario. So, if you are running an older version of a scenario in a OFSECM 6.1 environment, you will not be able to apply product updates to the scenario (or if you do, the update will end up upgrading your scenario as described above).

The primary disadvantage to upgrading the scenarios with the product is that the testing and validation component of the upgrade project can be lengthened. The degree to which it is lengthened depends on how many scenarios and threshold sets you are using and your internal test practices.

For scenarios that have been customized for your deployment, there are more considerations. You need to determine the type of customization. There are generally three types:

- **Functional Changes** (scenario improvements): If your customized scenario was functionally changed to improve the way it works in general (not specific to your data), then you need to review the release notes for all Oracle Mantas products released since you installed the scenario to determine if your functional changes were added to the product baseline. For example, if you are on Oracle Mantas 5.0, the enhancements you want may have been added in 5.5, and consequently, they are not described in the 5.8.1 release notes. If you entered a change request with Oracle Mantas for the functional change, then Oracle Financial Services Professional Services or Customer Support should be able to verify whether the change was made in the product baseline.
- **Functional Changes** (specifics of your business): If you modified the scenario due to specifics of your business (such as, added filters on custom fields), then you can be certain those changes will not be in the new version of the scenario. It is possible that another functional change will have been introduced that is a good substitute for the change you made, but it is not likely.
- **Performance Tuning**: If the scenario has been modified to perform better in your environment, then the correct approach can vary. In some cases, performance enhancements will no longer be necessary with the new scenario because it may take a different approach, or the enhancements implemented in your environment may have been rolled into the product version. In other cases, the new scenario may not perform well out of the box, and the enhancements you applied (or different enhancements) may need to be implemented again.

If you do not load the new scenarios with OFSECM 6.1, then you must consider the appropriate approach to take on a scenario-by-scenario basis. There are two basic approaches:

- **Continue to Use Customized Scenario**: After upgrading the database, you may extract the existing scenarios using the OFSECM 6.1 Scenario Migration Tool. This step provides a backup of the original scenarios in 6.1 format with the original customizations. Note that it is not possible to load pre-6.0 scenario files into the OFSECM 6.1 data model due to the addition of metadata structures related to deactivating thresholds and scoring by threshold. At this time, if dataset override files are used in the existing installation, they should be integrated into the new OFSECM 6.1 installation.

With this approach, the scenario customizations made for the existing deployment are retained. However, you do not get the benefit of scenario improvements made in OFSECM 6.1, and you are unable to accept any scenario hotfixes. Also, if you eventually plan to use the OFSECM 6.1 baseline scenarios, then you can upgrade the scenarios to the 6.1 baseline scenarios gradually over a period of time after the infrastructure and software upgrades.

- **Reapply Customizations**: You can choose to load the OFSECM 6.1 baseline scenarios, execute them and analyze the results. It may be that the 6.1 baseline scenarios satisfy your requirements with no (or minimal) modifications. If they do not, then the scenarios may have to be customized manually as they were for the existing installation. This approach enables you to benefit from improvements in the OFSECM 6.1 baseline scenarios.

You will need to select an approach for scenario upgrades that best fits your business and timeline requirements. It is common for the order of scenario highlight fields to change from release to release, and this change may not be documented. Additionally, this change may impact the manner in which compliance analysts perform their work within the User Interface, and therefore, it is recommended to identify any such changes as early as possible during the upgrade to enable the analysts to assess the impact of the changes on their investigative procedures.

## **Modifying Batch Processing Schedule**

The syntax for executing batch processes has not changed in any way.

To modify the batch processing schedule, follow these steps:

1. Install OFSECM 6.1 software to a different directory than your current installation. This difference alone may impact your batch schedule, as the directory in which scripts and logs reside will change unless you have setup a symbolic link that you can point to the new directory.
2. If another approach was used, such as a global path variable in a scheduling tool, then you will need to modify the value of the global path.

Changes for pre-processing and loading data, Informatica processing and post-processing are outlined in the following sections. Additionally, the *Oracle Financial Services Behavior Detection Platform 6.1 Administration Guide* contains detailed information on data ingestion, scenario-related post-processing and various batch processing utilities.

If you add new data feeds or scenarios as part of upgrading, your batch will change as a result.

For example:

- OFSECM has added several new workflows to accommodate the processing of insurance-related data.
- There is also a new utility for ingesting portfolio manager-related data.

If you decide to ingest new data, you must add the appropriate ingestion processes. Make sure to allocate enough time to make and test these changes. You can start making changes in parallel with other upgrade activities, but you should not start executing the batch with the new changes until you have finished all the upgrade activities.

Clients with newer versions of Oracle Mantas may already have many of the batch-related changes mentioned in the following sections.

## **Pre-processing and Loading Data**

Changes in this area include the following:

- It is no longer necessary to execute an explicit truncate command to truncate reference data tables when loading reference data with full refreshes. The reference table being loaded is automatically truncated as part of the load process (`runDL.sh <datatype>`). Therefore, you can remove the following type of job from your batch schedule for all reference data that is being loaded as a full refresh:  
`$MANTAS_HOME/ingestion_manager/scripts/truncate_table.sh <table name>`
- It is no longer necessary to execute an explicit truncate command to truncate the staging tables for front office transaction-related data. Therefore, you can remove the following jobs from your batch:  
`$MANTAS_HOME/ingestion_manager/scripts/truncate_table.sh FRONT_OFFICE_STAGE`

```
$MANTAS_HOME/ingestion_manager/scripts/truncate_table.sh FRONT_OFFICE_PARTY_STAGE
```

- Do not continue to truncate the table for WatchList data, which is the WATCH\_LIST\_SOURCE table, if you are currently truncating it. Therefore, remove any truncate job you have for this table. Additionally, if you do a full refresh for this data, you must override the ingestion default behavior which truncates this table. To override this behavior, add the following entry to `$MANTAS_HOME/ingestion_manager/DataIngestCustom.xml`.

```
<?xml version="1.0" standalone='yes'?>
<DataIngest>
  <XDL>
    <WatchList FullRefresh="false" />
  </XDL>
</DataIngest>
```

- Truncate the table for WatchListEntry data, which is the WATCH\_LIST table, if you are not currently truncating it. OFSECM has changed the WatchList processing, and as a result, Oracle Financial Services Software recommends truncating the WATCH\_LIST table each day. If full refreshes are used, then the WATCH\_LIST table will be automatically truncated when loading the WatchListEntry data.
- Oracle Financial Services recommends providing watch list data each day. The previous day's watch list is compared to the current day's watch list, and therefore, it is important to provide watch list data each day. If the watch list data is not provided, then the system will think there should not be any entries on the watch list. If you want the previous day's watch list to be used again without having to provide the data again, you can provide a zero-byte WatchListEntry file.
- Do not specify a log path for the Data Retention Manager (DRM) on the command line. The DRM log location is now specified in the `$MANTAS_HOME/database/db_tools/mantas_cfg/install.cfg`. By default, the DRM writes to a log file under `$DB_TOOLS_HOME/logs`. As part of this change, it is also no longer necessary to set the `UTL_FILE_DIR` database parameter to match this location.
- Account profit and loss data should be loaded as a DIS file with `runDP.sh AccountProfitAndLoss` and `runDL.sh AccountProfitAndLoss`. This data is no longer loaded using Informatica.
- OFSECM no longer uses Informatica workflows for change log processing. There is a new `runUtility.sh` process that should be used for change log processing. This utility includes new capabilities to calculate changes in support of KYC integration. Also, you can still load the ChangeLog DIS file. Refer to the *Oracle Financial Services Behavior Detection Platform 6.1 Administration Guide* for more information on change log processing in OFSECM 6.1.
- OFSECM data pre-processing (`runDP.sh`) is now multi-threaded. The `NumberOfThreads` parameter in the XDP section of the `$ECM_HOME/ingestion_manager/config/DataIngest.xml` file controls the number of threads. By default, `runDP.sh` is configured for two threads. You can override the default setting by specifying a new value in the `DataIngestCustom.xml` file.
- In pre-Oracle Mantas 5.7 releases, FDT automatically stores lost trade execution and order events in files in anticipation that a New, Cancel or Replace event will occur in a subsequent batch, which is more likely to occur for customers with intraday batch processing than for customers with single end-of-day batch processing. In Oracle Mantas 5.7, FDT is configurable with respect to treating lost trade execution and order events as errors or storing lost events in files as in pre-Oracle Mantas 5.7 releases. The `TreatLostEventsAsErrors` parameter in the `$ECM_HOME/ingestion_manager/config/DataIngest.xml` file controls this behavior, and by default it is



set to true, which means lost trade execution and order events are treated as errors. If you want lost events to be processed as they are in pre-Oracle Mantas 5.7 releases, then you must override the default behavior by setting this parameter to false in the `$ECM_HOME/ingestion_manager/config/DataIngestCustom.xml` file.

## Informatica Processing

Over time, Oracle Financial Services has changed several Informatica workflow dependencies, added several new workflows and renamed several workflows.

- If you use institutional money laundering (IML) scenarios or just want to calculate institutional account daily summaries, you should add workflow `w_p0650_build_IASD_from_ASMS` to your batch. This workflow is dependent on workflow `w_p0290_join_instl_acct_activity_to_iasms`, and it is contained in the `ORION_Production` folder.
- The `w_p0320_update_asm_for_previous_month_activity` workflow is no longer used, and you should remove it from your batch. The functionality provided by this workflow has been incorporated into `w_p0310_update_asm_for_daily_activity`.
- The `w_p0470_update_asm_for_net_worth` workflow is no longer dependent on `w_p0310_update_asm_for_daily_activity` and `w_p0320_update_asm_for_previous_month_activity`. Now it is only dependent on `w_p0310_update_asm_for_daily_activity`.
- The `w_p0371_aggregate_day_trades_to_file` workflow is dependent on `w_ph2120_load_ATPS_from_trade`.
- The `w_p0410_aggregate_nm_net_worth_to_fil` workflow had no dependencies. Now it is dependent on workflow `w_p2010_update_nm_from_ma`.
- The `w_ph1060_aggregate_abps_to_hhbbs` workflow was dependent on workflow `w_ph1005_truncate_hhbbs`. Now it is dependent on workflow `w_ph1005_truncate_hhbbs` and workflow `w_ph1040_update_abps_option_mktval_long_from_app`.
- The `w_ph1040_update_abps_option_mktval_long_from_app` workflow was dependent on workflow `w_ph1010_update_abps_asgmt_risk_from_app`. Now it is dependent on workflow `w_ph1010_update_abps_asgmt_risk_from_app` and workflow `w_ph1050_aggregate_ap_to_abps`.
- The `w_ph1000_aggregate_abps_collateral_to_cbps` workflow is no longer used. Remove it from your batch.
- The `w_ph2120_calculate_trade_open_close` workflow was dependent on workflow `w_ph2050_update_bot_reversals` and workflow `w_ph2100_truncate_atps`. Now it is only dependent on workflow `w_ph2100_truncate_atps`.
- The `w_ph3080_update_inst_instn_seq_id` workflow was renamed to `w_ph2192_update_inst_instn_seq_id`.
- The `w_p0301_write_daily_day_trades_to_adtda` workflow is no longer used, and you should remove it from your batch. The table it populated is not used by OFSECM in any way.
- Added workflow `w_p0330_build_ATxSD_from_ASM` and then later changed the name to `w_p0630_build_ATxSD_from_ASM`. This workflow is dependent

w\_p0310\_update\_asm\_for\_daily\_activity, and it is contained in the ORION\_Production folder. Clients with transactions should execute this workflow.

- Added workflow w\_p0340\_build\_ATdSD\_from\_ASMS and then later changed the name to w\_p0640\_build\_ATdSD\_from\_ASMS. This workflow is dependent w\_p0310\_update\_asm\_for\_daily\_activity, and it is contained in the ORION\_Production folder. Clients with trades should execute this workflow.
- Added workflow w\_p0350\_build\_IASD\_from\_ASMS and then later changed the name to w\_p0650\_build\_IASD\_from\_ASMS. This workflow is dependent on workflow w\_p0290\_join\_instl\_acct\_activity\_to\_iasms, and it is contained in the ORION\_Production folder. Clients with IML scenarios or who use institutional summaries should execute this workflow.
- The w\_p0280\_create\_clog\_activity\_records workflow is no longer dependent on workflow w\_p0270\_join\_retail\_acct\_activity\_to\_asms. It is now dependent on w\_p0470\_update\_asm\_for\_net\_worth.
- Several new workflows were added to process insurance-related data. If you intend to start ingesting this type of data, contact Oracle Financial Services for more information.
- The w\_ph3051\_create\_addresses\_from\_fotps workflow is no longer dependent on workflow w\_ph2190\_fotps\_instn\_processing. Now it is not dependent on any other workflows.
- The w\_p2060\_truncate\_nuam and w\_p2080\_load\_nuam workflows are no longer used, and you should remove them from your batch. If you have employee-focused scenarios and want to relate employees to accounts and customers, you should use \$MANTAS\_HOME/ingestion\_manager/scripts/runNUAM.sh instead. You should execute this process after you have finished preprocessing and loading all account-, customer- and employee-related data.
- Oracle Financial Services Software, Inc. has plans for peer profiling. If you intend to use peer profiling in the future, then it is a good idea to start collecting peer profile data now. Consequently, you should start using workflows w\_ph0760\_ASM\_to\_APGTxSM (accounts) and w\_ph0780\_CSM\_to\_CPGTxSM (customers). Each of these workflows is dependent on workflows w\_p0470\_update\_asm\_for\_net\_worth and w\_p0471\_update\_asm\_for\_profit\_and\_loss, and they are contained in the ORION\_Production and the MLM\_Brokerage\_Production folders respectively. Contact Oracle Financial Services to learn more about plans for peer profiling.
- The populate pairs workflow is no longer used, and you should remove it from your batch. This workflow only provided value for specific alternate pattern versions of the Patterns of Recurring Originators/Beneficiaries scenarios. These alternate versions were designated with (S) and described as high EFT volume versions in the *Oracle Financial Services Technical Scenario Description* document. These alternate versions are no longer supported by Oracle Financial Services Software, Inc. At one time, this workflow was named w\_ph3220\_populate\_pair\_stage\_tables. Later this workflow was renamed to w\_ph2210\_populate\_pair\_stage\_tables.
- Add new watch list-related processing workflow w\_ph3000\_Adjust\_WL\_WLS to your batch. This workflow is dependent on workflow w\_ph2180\_instn\_identification, and it is contained in the ORION\_Common folder.
- Add new workflow w\_ph2130\_update\_fot\_unrelated\_party\_code to your batch if you want OFSECM to determine if the internal accounts on a front office transaction are related (unrelated party indicator in the DIS).

**Note:** OFSECM only attempts to determine if the accounts are related if you have indicated they are not related in the transaction record. If you indicate the accounts are related, OFSECM accepts that value without further processing or verification. This workflow is dependent upon workflow `w_ph2110_update_bot_unrelated_party_code`, and it is contained in the `ORION_Common` folder.

- The `w_ph3070_load_watch_list_staging_table` workflow was dependent on workflows `w_ph2180_instn_identification` and `w_ph3030_truncate_wls`. Now it is dependent on workflows `w_ph3000_Adjust_WL_WLS` and `w_ph3030_truncate_wls`.
- The `w_ph3140_write_fotps_associations_to_ls` workflow was dependent on workflow `w_ph3010_truncate_ls` and workflow `w_ph3090_create_external_entities_from_fotps`. Now it is dependent on workflow `w_ph3010_truncate_ls`, workflow `w_ph3051_create_addresses_from_fotps` and workflow `w_ph3090_create_external_entities_from_fotps`.
- Add new workflow `w_ph2220_update_fot_reversals` to your batch. It enables OFSECM to handle transactions that are adjustments to or reversals of previous front office transactions. This workflow is dependent on workflow `w_ph2200_build_trxn_tables_from_fotps`, and it is contained in the `ORION_Common` folder.
- The `w_ph0490_truncate_hhsm` workflow was dependent on `w_p0320_update_asm_for_previous_month_activity`, `w_p0470_update_asm_for_net_worth` and `w_p0471_update_asm_for_profit_and_loss`. Now it is dependent on `w_p0310_update_asm_for_daily_activity` only.
- The `w_ph0500_aggregate_asm_to_hhsm` workflow was dependent on workflow `w_ph0490_truncate_hhsm`. Now it is dependent on `w_p0470_update_asm_for_net_worth`, `w_p0471_update_asm_for_profit_and_loss` and `w_ph0490_truncate_hhsm`.
- If you use managed account summary information, you should add workflow `w_p0431_build_MASD_from_MASMS` to your batch. Additionally, this workflow is dependent on workflow `w_p0430_join_daily_activity_to_masms`, and it is contained in the `BSM_Production` folder.
- If you use account service teams, you should add new workflow `w_ph2450_populate_ACCT_SRVC_TEAM` to your batch. This workflow is not dependent on any other workflows, and it is contained in the `ORION_Common` folder.
- If you load loan-related data, you should add new workflow `w_ph2600_loan_smry_mnth` to your batch. This workflow is not dependent on any other workflows, and it is contained in the `ORION_Common` folder.
- The `w_ph3005_apply_cust_KYC_risk` workflow was added to modify the process for determining account effective risk, customer effective risk and front office transaction party risk. Changes were implemented to support Know Your Customer (KYC) requirement, but regardless of whether or not the Oracle Financial Services KYC product is used, all clients should add this workflow to their batch. This workflow is not dependent on any other workflows, and it is contained in the `ORION_Common` folder.
- The `w_ph3160_write_inst_associations_to_ls` workflow was dependent on workflow `w_ph3010_truncate_ls` and workflow `w_ph3120_create_external_entities_from_inst`. Now it is dependent on workflow `w_ph3010_truncate_ls`, workflow `w_ph3041_create_addresses_from_inst` and workflow `w_ph3120_create_external_entities_from_inst`.
- The `w_ph3190_apply_risk_to_nonacct_entities` workflow was dependent on workflow `w_ph3170_update_staging_list_risk`. Now it is dependent on workflows `w_ph3005_apply_cust_KYC_risk` and `w_ph3170_update_staging_list_risk`.

- The `w_p0280_create_clog_activity_records` workflow is no longer a predecessor for workflow `w_p0310_update_asm_for_daily_activity`. In fact, given that workflow `w_p0280_create_clog_activity_records` is now dependent on workflow `w_p0470_update_asm_for_net_worth`, workflow `w_p0280_create_clog_activity_records` must be executed later than workflow `w_p0310_update_asm_for_daily_activity`. Additionally, workflow `w_p0310_update_asm_for_daily_activity` is only dependent on workflow `w_p0270_join_retail_acct_activity_to_asms`.
- The `w_ph2030_load_cls_from_cl` workflow is no longer used, and you should remove it from your batch. If you load change log data, refer to “Pre-processing and Loading Data,” on page 43 for more information on this change.
- Added workflow `w_ph3091_create_PartyNmEE_from_fotps`. This workflow is not dependent on any other workflows, and it is contained in the `ORION_Common` folder. If you run workflow `w_ph3051_create_addresses_from_fotps`, then you should run workflow 3091 because it replaces some of the functionality in workflow 3051. In general, if you have front office transactions, you should run workflow 3091.
- In addition to its existing dependencies, workflow `w_ph3150_load_staging_and_validate_watch_list` is now also dependent on workflow `w_ph3091_create_PartyNmEE_from_fotps`.
- The `w_ph3501_Exp_and_Risk_Review_TP` and `w_ph3502_Flag_Trusted_Trxn` workflows were added to the Post-Watch List Workflows for AML Banking, AML Brokerage and Fraud Detection.
- The `w_ph0150_truncate_CBPTxSM` workflow was renamed to `w_ph0145_truncate_CBPTxSM` in AML Banking.
- The `w_ph0160_CBSM_to_CBPTxSM` workflow was renamed to `w_ph0146_CBSM_to_CBPTxSM` in AML Banking.
- Several new workflows were added for processing insurance-related data. If you intend to add insurance data to your deployment, you should add these workflows. Refer to the *Oracle Financial Services Behavior Detection Platform 6.1 Administration Guide* or consult Oracle Financial Services for more information on these workflows.
- If you use the Oracle Financial Services Software, Inc. recommended workflow groupings for executing Informatica workflows concurrently, then refer to the *Oracle Financial Services Behavior Detection Platform 6.1 Administration Guide* to get the sequence number for new workflows and to make sure your existing workflows have the same sequence numbers they previously had. The sequence values for workflows `w_ph2450_populate_ACCT_SRVC_TEAM`, `w_ph3005_apply_cust_KYC_risk` and `w_ph3091_create_PartyNmEE_from_fotps` are not mentioned in the *Oracle Financial Services Behavior Detection Platform 6.1 Administration Guide*. Workflow `w_ph2450_populate_ACCT_SRVC_TEAM` has a sequence number of 2. Workflow `w_ph3005_apply_cust_KYC_risk` has a sequence number of 3. Workflow `w_ph3091_create_PartyNmEE_from_fotps` has a sequence number of 2.
- In 5.8.1, Summary Workflows-AML Banking: workflows 0146 and 0760 moved from sequence 20 to sequence 21.
- In 5.8.1, Summary Workflows-Broker Compliance: workflow 0471 moved from sequence 19 to sequence 20.
- In 5.8.1, Summary Workflows-Fraud Detection: workflow 0760 moved from sequence 20 to sequence 21.

For more information on Informatica workflows, refer to *OFSECM 6.1 Informatica Workflows*, on page 39, which illustrates the Informatica dependencies, and to the *Oracle Financial Services Behavior Detection Platform 6.1 Administration Guide*.

## Post-match Generation Processing

For post-match generation processing, use the following order:

1. Match Scoring
2. Multi-match Alert Creation (optional)
3. Single-match Alert Creation
4. Alert Correlation
5. Update Alert Financial Data
6. Alert Scoring
7. Alert Assignment
8. Alert Highlight Creation
9. Auto Close (optional)
10. Alert Suppression
11. Flag Duplicate Alerts (optional)
12. Pre-Historical Data Copy (HDC) statistics generation
13. HDC
14. Post-HDC statistics generation

**Note:** Some post-processing jobs may be new for you. Oracle Financial Services Software, Inc. recommends comparing this set of post-processing tasks to your existing set of post-processing jobs to determine if you need to or want to add any new jobs.

## Updating Data Interface Specification (DIS)

Over time, Oracle Financial Services has added new DIS fields for various reasons. If you want to take advantage of these changes then you must make the appropriate changes to your DIS files. Making these changes may be time consuming; therefore, make sure to allocate enough time for implementing them. You can start working on these changes in parallel with the other upgrade activities, but you cannot start ingesting modified files until the upgrade is complete. Additionally, if you incorporate any DIS-related changes introduced between your existing installation and OFSECM 6.1, you cannot ingest the changed DIS files using your existing installation.

**Note:** DIS changes are not mandatory as the 6.1 DIS is backwards compatible with previous Oracle Mantas versions. With one exception, when new fields have been added, they have been added to the end of the record, and it is not necessary to pad the records with empty fields if they are not being used. The Ingestion Manager assumes any fields not included at the end of the file are nulls.

The one exception is the Service Team Member DIS file. Oracle Financial Services added the Employee Identifier as the fourth field in the data record, meaning the commission split percentage and the source system fields were each

moved over one in the record and thus became the fifth and sixth fields respectively. Oracle Financial Services also added the service team type field to the end of the record, which is consistent with the approach used for adding other fields.

Oracle Financial Services added two fields to the end of the `AccountCustomerRole` record:

- `OwnershipIndicator`
- `GuardianshipIndicator`

The *Oracle Financial Services Behavior Detection Platform 6.1 DIS* states that a value must be provided for these fields. While it is true that OFSECM requires values for these fields, you do not have to provide a value in the DIS file because each field will use a default value if one is not explicitly provided.

The default value for each field is `N`. If you have any doubt about whether or not you have to provide a value for a field, refer to the datamaps in `$ECM_HOME/ingestion_manager/config/datamaps`. Each DIS file has a corresponding datamap that defines its format and allowable values. You can also contact Oracle Financial Services as needed.

Refer to the Revision History section of the *Oracle Financial Services Behavior Detection Platform 6.1 DIS* to review a history of changes. Note the revision history for the Service Team Member DIS file is updated.



