Oracle Financial Services Governance, Risk, and Compliance Application Pack

Installation Guide

Version 8.0.2.0.0

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DOCUMENT CONTROL

Version Number	Revision Date	Changes Done
Version 1.0	February 2016	Created document to capture OFSGRC 8.0.2.0.0 Minor Level Release patch upgrade procedure.
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Executive Summary

This document includes the necessary instructions to apply the OFS GRC Applications Pack 8.0.2.0.0 Minor Release and perform the required post install configurations. You can find the latest copy of this document in OTN library which includes all the recent additions/revisions (if any) done till date.

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1   Preface

This document provides step-by-step instructions to install the OFS GRC Applications Pack 8.0.2.0.0 Minor Release.

This chapter discusses the following topics:

- Audience

- How this Guide is organized

- Recommended Environment

- Conventions and Acronyms

1.1 Audience

Oracle Financial Services Governance, Risk, and Compliance Applications Pack Installation Guide is intended for administrators and implementation consultants who are responsible for installing and maintaining the application pack components.

1.1.1 Prerequisites for the Audience

The document assumes that you have experience in installing Enterprise components.

The following are the expected preparations from the users before starting the actual installation:

- Oracle Financial Services Analytical Applications Infrastructure pack components

- OFSAA Architecture

- UNIX Commands

- Database Concepts

- Web Server/ Web Application Server

1.2 How this Guide is Organized

The Oracle Financial Services Governance, Risk, and Compliance Applications Pack Installation Guide include the following topics:

- OFS GRC Application Pack Release 8.0.2.0.0

- Appendix A

1.3 Recommended Environment

Infrastructure application has been tested with Microsoft Internet Explorer™ browser. For best viewing of Infrastructure pages, set the screen resolution to a minimum resolution of 1024 x 768 pixels.

1.4 Conventions and Acronyms

Conventions	Description
Screen actions are indicated in **Bold**	
IR	Interim Release
ML	Maintenance Level Release
OFSAAI	Oracle Financial Services Analytical Applications Infrastructure
AIX	Advanced Interactive eXecutive
RHEL	Red Hat Enterprise Linux
OEL	Oracle Enterprise Linux
OS	Operating System
EAR / WAR	Enterprise Archive / Web Archive
J2EE	Java 2 Enterprise Edition
OTN	Oracle Technology Network
Atomic Schema	Database schema where the application data model is uploaded.
Configuration Schema	Database schema which contains setup related configurations and metadata.

2 OFS GRC Applications Pack Minor Release 8.0.2.0.0

This Minor Release of OFS GRC Applications Pack is cumulative and includes all enhancements and bug fixes done since the OFS GRC Applications Pack v8.0 GA release. For more information, refer to OFS GRC Applications Pack v8.0.2.0.0 Readme.

2.1 Pre Installation Requirements

You should have OFS GRC Applications Pack version **8.0.0.0.0** as the minimum patch set level.

NOTE: You can refer to Technology Matrix, for Hardware and Software Requirements. OFS GRC 8.0.2.0.0 release qualifies on Java 7 and Java 8.

2.1.1 Backup

Take a backup of the following before the application installation process starts. The backup should be kept until the application runs successfully.

- OFSAAI Configuration schema

- OFSAAI Installation directory

- OFSAAI FTPSHARE directory

- OFSAAI Atomic Schema

2.1.2 If OFS AAAI Pack 802 is already applied

1. If OFS AAAI Pack 802 is already applied, then 1-off for **22305774** need to be downloaded from https://support.oracle.com/ and installed mandatorily.
2. In cases direct upgrade of GRC pack from version 8.x or 8.0.1.x to version 8.0.2, then above patch should not be applied.

2.2 How to Apply This Minor Release?

2.2.1 Installing OFS GRC 8.0.2 Minor Release

Refer to the following instructions to download, extract, install, and configure this Minor Release.

1. Login to https://support.oracle.com/ and search for **22509712** under the *Patches & Updates* tab.

2. Download the OFS GRC Applications Pack 8.0.2.0.0 Minor Release archive file and copy it to your OFSAA server in **Binary** mode.

> **NOTE:** Rename the existing GRC Applications Pack folder from the OFSAA server prior to extracting the contents from the release archive (.zip). For example, for this release when extracted from the archive creates a folder with name OFS_BGRC_PACK, rename if a folder with the same name exists in the path where the release archive is copied.

> **NOTE:** There are different archive files for different operating systems such as AIX, RHEL/OEL, Solaris SPARC, and Solaris X86.

3. Stop all OFSAAI services. For more information, see the *Start/Stop Infrastructure Services* section in [OFS GRC 8.0.0.0.0 Installation and Configuration Guide](#).

4. Assign WRITE and EXECUTE permission to the files/ folders such as commonscripts, EXEWebService, ficapp, ficweb, and ficdb in the **$FIC_HOME** folder by executing the command:

   ```
   chmod -R 775 *
   ```

5. If you have Unzip utility, skip to the next step or download the Unzip utility (OS specific) **unzip_<os>.Z** from the location https://updates.oracle.com/unzips/unzips.html and copy it in **Binary** mode to the directory that is included in your PATH variable, typically **$HOME** path or directory in which you have copied the 8.0.2.0.0 Minor Release.

   ▪ Uncompress the unzip installer file using the command:

   ```
   uncompress unzip_<os>.Z
   ```

   i. If you notice an error message "**uncompress: not found [No such file or directory]**" when the package is not installed, contact your UNIX administrator.

   ▪ Give EXECUTE permission to the utility using the command:

   ```
   chmod 751 unzip_<os>
   ```

   For example, ```chmod 751 unzip_aix```

6. Extract the contents of the 8.0.2.0.0 Minor Release archive file using either of the following commands:

   ```
   unzip_<os> <name of the file to be unzipped>
   ```

   OR

   ```
   unzip <name of the file to be unzipped>
   ```

7. Go to ```/OFS_BGRC_PACK/OFS_BGRC/conf/PatchConfig.xml```

8. Update the `PatchConfig.xml` for the following place holder tags mentioned.

Place Holder Name	Details	Mandatory
`##OFS_OR_UPLOAD_DM##`	This attribute is used by Installer to decide whether to upload Data model or not. Applicable values are: 0 (means no data model upload through Installer) 1 (means do model upload through Installer) By default it should be mentioned as 1 unless data model upload was done outside before starting APP Pack Installations. If data model upload is done outside of installer then `pre Data model` scripts needs to be executed manually before data model upload and `post Data model` scripts needs to be executed manually after data model upload. These scripts are avaialble under `/OFS_BGRC_PACK/OFS_BGRC/pre_scripts` and `/OFS_BGRC_PACK/OFS_BGRC/post_scripts` respectively. <u>Note:</u> Execution of these scripts should be done in the atomic schema.	Yes
`##OFS_ORA_ORA_SOURCE_USER##`	This variable is used for capturing Operational Risk Analytics (ORA) Source User Name. The value to be provided is the User Name of GRC ATOMIC schema created using schema creator utility. <u>Note:</u> Refer OFSGRC 8.0.0.0.0 Installation Kit directory(`/OFS_BGRC_PACK/schema_creator/OFS_BGRC_SCHEMA_OUTPUT.xml` for the ATOMIC schema name.	Yes
`##OFS_ORA_ORA_SOURCE_PW##`	This variable is used for capturing Op erational Risk Analytics (ORA) Source User Password. The value to be provided is password of ATOMIC schema mentioned in the above field. <u>Note:</u> Password needs to be in normal text not encrypted format.	Yes
`##OFS_OR_INDEX_TBS##`	This variable used for capturing Index table space used during OFS GRC 8.0.0.0.0 Installations.	Yes

	Note: Refer OFSGRC 8.0 Installation Kit directory(`/OFS_BGRC_PACK/schema_creator/OFS_BGRC_SCHEMA_OUTPUT.xml` for the Index table Space Value	
`##OFS_OR_DATA_TBS##`	This variable used for capturing Data table space used during OFS GRC 8.0 Installations. Note: Refer OFSGRC 8.0 Installation Kit directory(`/OFS_BGRC_PACK/schema_creator/  OFS_BGRC_SCHEMA_OUTPUT.xml` for the Data table Space Value	Yes
`##OFS_OR_EXECUTE_PRE_AND_POST _SCRIPTS##`	This attribute is used by Installer to decide whether to execute `pre Data model` scripts and `post Data model` scripts or not. Applicable values are: 0 (means no pre and post data model script execution through Installer) 1 (means execute pre and post data model script through Installer) By default it should be mentioned as 1 unless data model upload was done outside before starting APP Pack Installations. If data model upload is done outside of installer then `pre Data model` scripts needs to be executed manually before data model upload and `post Data model` scripts needs to be executed manually after data model upload. These scripts are avaialble under `/OFS_BGRC_PACK/OFS_BGRC/pre_scripts` ans `/OFS_BGRC_PACK/OFS_BGRC/post_scripts` respectively. Note: Execution of these scripts should be done in the atomic schema.	Yes

9. Give EXECUTE permission to the Minor Release patch installer script. Navigate to `OFS_BGRC_PACK` and execute the following command:

    ```
    chmod 755 OFSAAIUpdate.sh
    ```

10. Execute the following command to start the installation.

    ```
    ./OFSAAIUpdate.sh
    ```

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Verify if the Minor Release is applied successfully by checking the log files generated under `OFS_BGRC_PACK/OFS_BGRC/logs` and `OFS_BGRC_PACK/logs` folder. You can ignore ORA-00001, ORA-00955, ORA-02260, and ORA-01430 errors in the OFS_BGRC_PACK/logs/OFSAAIUpdate.log file.

In case of any errors, contact Oracle Support.

11. Post successful installation of the Minor Release, perform the following steps:

   ▪ Clear the application cache. Navigate to the following path depending on the configured web application server and delete the files.

      ▪ **Tomcat**:
      ```
      <Tomcat installation
      folder>/work/Catalina/localhost/<Application
      name>/org/apache/jsp
      ```

      ▪ **WebLogic**:
      ```
      <Weblogic installation location>/domains/<Domain
      name>/servers/<Server
      name>/tmp/_WL_user/<Application name>
      ```

      ▪ **WebSphere**:
      ```
      <Websphere installation
      directory>/AppServer/profiles/<Profile
      name>/temp/<Node name>/server1/<Application
      name>/<.war file name>
      ```

12. Delete the existing EAR/WAR file available in the folder `$FIC_HOME/ficweb`.

13. Generate the application EAR/WAR file and redeploy the application onto your configured web application server. For more information on generating and deploying the EAR/ WAR file, refer to the *Post Installation Configuration* section in OFS GRC 8.0.0.0.0 Installation and Configuration Guide.

14. After successful installation of the Minor Release, start all the OFSAAI services. For more information, refer to the *Start/Stop Infrastructure Services* section in OFS GRC 8.0.0.0.0 Installation and Configuration Guide.

15. Deploy the RPD and Catalog OBIEE files present under `$FIC_HOME/OBIEE` folder. For detailed steps, refer to *Appendix M* in OFS GRC 8.0.0.0.0 Installation and Configuration Guide.

2.3   Post Installation Configurations

On successful installation of OFSGRC v8.0.2.0.0, follow post installation configurations. These configurations need to be followed again, if you enable an application product license within the GRC application pack at any point of time.

This section covers the following topics:

- [Test Data Execution](#)

- [Hierarchy Resave](#)

- [KBD-Group-Role Mapping Population](#)

- [User-Group Mapping Population](#)

- [Questionnaire Configuration](#)

- [HTML-5 Configuration](#)

- [Population of Calendar data into DIM_DATES](#)

2.3.1   Test Data Execution

After successful installation, you can create Out of Box (OOB) GRC application users through scripts available under `$FIC_HOME/ficdb/Test_Data` folder:

To Execute Sample User Scripts follow these steps:

1. Navigate to `$FIC_HOME/ficdb/Test_Data`
2. Connect to config schema through sqlplus
3. Execute command `@'Execution_order.txt'`
4. Commit the change.

NOTE: OOB users are useful for understanding of GRC applications in initial stages. However, Oracle does not restrict on use of GRC applications only through OOB users. This script needs to be executed each time any of the APP from GRC pack gets enabled post installation.

2.3.2   Hierarchy Resave

Business hierarchies are to be re-saved mandatorily post successful installation. To resave the same, follow these steps:

1. Login to the Application as Administrator.
2. Navigate to Object Administration, select Utilities, and click **Save Metadata**.
3. Select all hierarchies from the Available Metadata and move it to Selected Metadata.
4. Click **Save**.

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2.3.3 KBD-Group-Role & Masking View Map Population

Once metadata resave is completed successfully, to populate OOB KBD-Group-Role Mapping, follow these steps:

1. Login to the Application as Administrator.
2. Navigate to Applications and select **Common Tasks**.
3. Click Unified Metadata Manager and select Business Metadata Management. Click **Reference Data Mapping**.
4. On right hand side Map Maintenance screen, select **Org Unit Loc** mapper and click **Mapper Maintenance** button.
5. In the new page, click **Pushdown** button available on Member combinations grid.
6. The successful message is displayed. Click **OK**.
7. Navigate to Mapper list, select **Masking View** mapper and click **Mapper Maintenance** button.
8. In the new page, click on **Pushdown** button available on Member combinations grid.
9. The successful message is displayed. Click **OK.**

2.3.4 User-Group Mapping Population

Once Push down is completed successfully, need to execute the REFRESH_ACCESS_RIGHTS batch. Follow below steps:

Creation of Batch from Manage Run:

1. Login to the Application as Administrator.
   Navigate to Common Tasks >> Rules Administration >> Manage Run Execution. Click **New**.
2. Select Run as **Refresh Access Rights of Users based on User Group Map**. Provide execution code & name. Select Request Status as "Closed". Click **Save**.
   A new batch would be avaialble for execution
3. Now Navigate to Common Tasks >> Operations >> Batch Execution.
4. Select the batch name created above and execute it.
5. Refer Batch monitor for batch status.

2.3.5 Questionnaire Configuration

2.3.5.1 Assign of Approver to existing OOB questionnaires

As part this release, Approver concept has been introduced in Questionnaire. Questionnaire getting created newly will capture Approver by default. Follow below steps to assign Approver to existing OOB questionnaires.

1. Navigate to $FIC_HOME/ficdb/Test_Data/Questionnaire_Migration folder
2. Open   Questionnaire_migration_to_80200.sql   and   replace ##QTNR_APPROVER_ID## placeholder with the approver user ID.

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Note: For OOB, Questionnaire user ID is QLA. Hence `'##QTNR_APPROVER_ID##'` placeholder needs to be replaced with `'QLA'`.

3. Save the changes & execute the .sql file in Atomic Schema.

2.3.5.2   Data Population of People's hierarchy

As part this release, People's hierarchy concept has been added in Questionnaire for operations like Reassign, Delegation and Escalation. DIM_EMPLOYEE table holds employee data for this.

1. If customer wants to populate this table with OOB user then `Execution_order_802_atomic_schema.txt` file needs to be executed post installation.
   Follow the below steps:
   i.   Navigate to `$FIC_HOME/ficdb/Test_Data`
   ii.   Connect to config schema through sqlplus
   iii. Execute command `@'Execution_order.txt'`
   iv.   Commit the change.
2. If customer wants to populate with their own data, then it can be done through stage table. We have a provision available for same. A batch can be created using Run Code `POPULATE_EMP_DETAILS`. Execute the batch which will populate DIM_EMPLOYEE

2.3.6 HTML-5 Configuration

As part of this release, applications can be configured with HTML5. So that it starts working in multi browsers, that is, IE & Chrome.

Follow below steps to configure application on HTML5:

1. Navigate to `$FIC_HOME/ficdb/Test_Data/HTML5` folder
2. Connect to config schema through sqlplus
3. Execute command `@'enable_HTML5.sql'`
4. Commit the change

Follow below steps to disable above configuration:

1. Navigate to `$FIC_HOME/ficdb/Test_Data/HTML5` folder
2. Connect to config schema through sqlplus
3. Execute command `@'disable_HTML5.sql'`
4. Commit the change

2.3.7 Population of Calendar data into DIM_DATES

This helps to populate calendar dates data into DIM_DATES table.

To execute the batch, follow these steps:

1. Login to application as GRC admin user.

2. Access Common tasks. Select Rules Administration, and click Run screen.
3. Select **Run Name** as **Load Calendar Dates**.
4. Click on **Fire Run** icon in the grid.
5. Now select execution mode as **Create & Execute**. Select MIS date as SYSDATE.
6. In parameters, give the duration of date for which you want to populate DIM_DATES. Date format should be as YYYYMMDD
    Example: **20160201**","**20160229**
7. Click **OK.** Dates should be populated into DIM_DATES table.

Appendix A

Frequently Asked Questions

What checks does the 8.0.2.0.0 Release patch perform?

- Environment Check- As part of environment check, it performs Java validation, Environment Variables validation, OS specific validation, DB specific validation, and it shuts down all OFSAAI Services (Infrastructure Server, ICC Server, and back-end services).

- Post Install check- As part of Post installs check, it checks if OFSAAI services can be successfully started.

Which version of ERwin Data Modeler does OFSAAI support?

OFSAAI now supports ERwin version 9.2 and 9.5 generated xmls in addition to ERwin 4.1, ERwin 7.1, ERwin 7.3 and ERwin 9.0 formats.

What should I do for viewing the log files in Debug level for troubleshooting?

By default, the log level is set as INFO. You need to manually change it to Debug to view the log files in debug level. Based on your requirement, you can change the log level to Warn, Error, or Fatal as well.

1. Navigate to *$FIC_HOME/conf* in the APP layer of your OFSAAI installation.

    - Change the **priority value** to **Debug** in the *RevLog4jConfig.xml* file.

        For example:

        ```
        <root>
          <priority value ="debug" />
          <appender-ref ref="ConsoleAppender1"/>
        </root>
        ```

    - Change the value of **LOGGERLEVEL** in the *DynamicServices.xml* file from **20** to **0**. (**20** is the value for Info and **0** for Debug.)

    NOTE: For multi-tier installation, you need to change the log level to Debug in the *DynamicServices.xml* and *RevLog4jConfig.xml* files, which are present in *$FIC_APP_HOME/conf*, *$FIC_DB_HOME/conf*, and *$FIC_WEB_HOME/conf* as well.

2. Navigate to *$FIC_WEB_HOME/webroot/conf* and change the **priority value** to **Debug** in the *ExportLog4jConfig.xml* , *MDBLogger.xml*, and *PR2Logger.xml* files for viewing log

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files in Debug level for the modules Archive/Restore, Metadata Browser and RRF respectively.

3. Generate the application EAR/WAR file and redeploy the application onto your configured web application server. For more information on generating and deploying EAR / WAR file, refer to the *Post Installation Configuration* section in OFS Advanced Analytical Applications Infrastructure Application Pack Installation and Configuration Guide – Release 8.0.

4. Restart the OFSAAI Services (APP and WEB). For more information, refer to the *Start/Stop Infrastructure Services* section in OFS Advanced Analytical Applications Infrastructure Application Pack Installation and Configuration Guide – Release 8.0.

Can I install OFSAA 8.0.0.0.0 release Application Pack on an OFSAA instance which is already upgraded to a higher version say 8.0.2.0.0?

Yes. You can install an OFSAA 8.0.0.0.0 release Application Pack on an OFSAA instance which is already upgraded to a higher version. Refer table Installer and Installation Prerequisites (section Installer and Installation Prerequisites >> Category Others >> Sub-Category OFSAA) in the OFS Advanced Analytical Applications Infrastructure Application Pack Installation and Configuration Guide for more details prior to proceeding with the installation.

How can I re-trigger GRC 8.0.2 if installation fails while uploading data model or prior to that?

Once GRC 8.0.2 installation is triggered, it clears the OR_APPLICATION_PASSWORD value set in OFS_BGRC_PACK/OFS_BGRC/conf/PatchConfig.xml. So in order to re-trigger GRC 8.0.2 installer, follow below instructions:

1. Extract the contents of the 8.0.2.0.0 Minor Release archive file.
2. Fill all details in PatchConfig.xml under OFS_BGRC_PACK/OFS_BGRC/conf.
3. Execute OFSAAIUpdate.sh.

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