Administration Guide

Operational Risk/Governance and Compliance Management

Release 8.0.4.0.0
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Administration Guide
Operational Risk/Governance and Compliance Management:

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Preface

This guide explains the concept of the Oracle Financial Services Governance, Risk, and Compliance (OFSGRC) application, and provides comprehensive instructions for system administration, operations, and maintenance.

- Who Should Use this Guide
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- Related Documents
- Conventions
- Abbreviations

Who Should Use this Guide

The *Oracle Financial Services Governance, Risk and, Compliance Applications Pack Administration and Configuration Guide* is intended for Administrators and implementation Consultants who are responsible for installing and maintaining the application pack components.

Their roles and responsibilities are as follows:

- **OFSGRC Installer** - Installs and configures OFSGRC at a specific deployment site. The OFSGRC Installer installs and upgrades any additional Oracle Financial Services solution sets, and accesses deployment-specific configuration information, for example, machine names and port numbers.
- **System Administrator** - Usually an employee of a specific Oracle customer, the System Administrator configures and maintains the system, all user accounts and roles, and monitors data for the application..

How this Guide is Organized

You can find the latest copy of this document in the OTN library which includes all the recent additions/revisions (if any) done till date.

Before you begin the installation, ensure that you have an access to the Oracle Support Portal with the required login credentials to quickly notify us of any issues at any stage. You can obtain the login credentials by contacting Oracle Support.

The *Oracle Financial Services Governance, Risk, and Compliance Administration Guide* includes the following chapters:

- **Chapter 1,** *About OFS GRC,* - Provides a brief overview of the Oracle Financial Services Governance, Risk, and Compliance Application and its components.
- **Chapter 2,** *Configuring Data Requirements,* - Covers Business Dimensions and Reference Data.
- **Chapter 3,** *Configuring Users,* -Explains how to create a new role.
- **Chapter 4,** *Setting up of User Group,* - Describes the process to set user groups.
- **Chapter 5,** *Setting up User Privileges,* - Provides an overview for setting user privileges including creation of logical groups and mapping groups to KBD and roles.
- **Chapter 4,** *Configuring Map Definitions,* - Describes generic mapping for GRC applications.

- **Chapter 5,** *Configuring Install Preferences,* - Provides information about Install preferences set up.
- **Chapter 6,** *Configuring User Preferences,* - Provides information about User preferences set up.
- **Chapter 7,** *Configuring Reports,* - Provides information about setting up reports, for example User Login, Landing Page, E-mail Configuration, and so on.
- **Chapter 8,** *Configuring Workflow,* - Provides an overview of how to set up a workflow.
- **Chapter 9,** *Configuring Batch Schedules,* - Provides an overview of Batch Processing.
- **Chapter 10,** *Configuring Flexible KBD,* - Provides an overview of Flexible KBD.
- **FAQ** - Lists the frequently asked Questions.

Prerequisites for the Audience

Following are the expected preparations from the Administrator before starting the installation:
The document assumes that you have experience in installing Enterprise components and basic knowledge about the following:

- Oracle Financial Services Governance, Risk and Compliance Applications pack components
- OFSAA Architecture
- UNIX Commands
- Database Concepts
- Web Server/ Web Application Server

Related Documents

For more information on Oracle Financial Services Advanced Analytical Infrastructure, see the following documents in the Oracle Financial Services Advanced Analytical Infrastructure Application Pack 8.0 documentation set:

- *Oracle Financial Services Analytical Applications Infrastructure Administration Guide*
- *Oracle Financial Services Analytical Applications Infrastructure Environment Check Utility Guide*
- *Oracle Financial Services Analytical Applications Infrastructure User Guide*
- *Oracle Financial Services Analytical Applications Infrastructure Security Guide*

These documents can be found in following OTN link:
http://docs.oracle.com/cd/E60058_01/homepage.htm

For more information on the Oracle Financial Services Governance, Risk and Compliance Application, see the following documents in the Oracle Financial Services Governance, Risk and Compliance Application Pack 8.0 documentation set:

- *Oracle Financial Services Governance, Risk and Compliance User Guide*
- *Oracle Financial Services Governance, Risk and Compliance Installation Guide*
- *Oracle Financial Services Enterprise Risk Assessment User Guide*

- *Oracle Financial Services Model Risk Management User Guide*
- *Oracle Financial Services Operational Risk Analytics*

These documents can be found in the following OTN link:
http://docs.oracle.com/cd/E60590_01/homepage.htm

Conventions

The following text conventions are used in this document:

Table 1. Convention

Convention	Meaning
boldface	Boldface type indicates graphical user interface elements associated with an action, or terms defined in text or the glossary.
italic	Italic type indicates book titles, emphasis, or placeholder variables for which you supply particular values.
`monospace`	Monospace type indicates commands within a paragraph, URLs, code in examples, text that appears on the screen, or text that you enter.

Abbreviations

The following table lists the abbreviations used in this document:

Table 2. Abbreviations

Abbreviation	Meaning
AIX	Advanced Interactive eXecutive
DEFQ	Data Entry Forms and Queries
DML	Data Manipulation Language
EAR	Enterprise Archive
EJB	Enterprise JavaBean
ERM	Enterprise Resource Management
FTP	File Transfer Protocol
GUI	Graphical User Interface
HTTPS	Hypertext Transfer Protocol Secure
J2C	J2EE Connector
J2EE	Java 2 Enterprise Edition
JDBC	Java Database Connectivity
JDK	Java Development Kit
JNDI	Java Naming and Directory Interface
JRE	Java Runtime Environment
JVM	Java Virtual Machine
LDAP	Lightweight Directory Access Protocol

Abbreviation	Meaning
LHS	Left Hand Side
MOS	My Oracle Support
OFSAAI	Oracle Financial Services Analytical Application Infrastructure
OLAP	On-Line Analytical Processing
OS	Operating System
RAM	Random Access Memory
RDMS	Relational Database Management System
SFTP	Secure File Transfer Protocol
SID	System Identifier
SSL	Secure Sockets Layer
TNS	Transparent Network Substrate
URL	Uniform Resource Locator
VM	Virtual Machine
WAR	Web Archive
RDM	Reference Data Management
BI	Business Intelligence
OOB	Out Of Box
KBD	Key Business Dimension
XML	Extensible Markup Language

CHAPTER 1 About OFS GRC

This chapter provides comprehensive information on the OFS GRC application and its components.

This chapter includes the following topics:

- About OFSGRC
- Components of OFS GRC Pack

About OFSGRC

The Oracle Financial Services Governance, Risk, and Compliance Applications pack provides a comprehensive framework to manage governance, risk, and compliance across the organization. The solution is built on Oracle Financial Services Analytical Application Infrastructure, the industry's only integrated business infrastructure designed to serve Enterprise Risk, Performance, Compliance, and Customer Insight requirements.

Oracle Financial Services Analytical Applications use a commonly available analytical infrastructure consisting of a unified financial services data model, analytical computations, and the industry-leading Oracle Business Intelligence platform.

Components of OFS GRC Pack

The Oracle Financial Services Governance, Risk, and Compliance (OFSGRC) Applications Pack includes the following applications:

- **Oracle Financial Services Analytical Applications Infrastructure**: This application streamlines analysis using a set of tools for data management and security administration and creates a single, consistent, enterprise-wide source of all relevant customer, and financial data.
- **Oracle Financial Services Operational Risk**: Financial Services Operational Risk solution provides a comprehensive framework to manage governance, risk, and compliance across the organization. This application provides the ability to conduct Risk and Control Assessment, capture Key Indicators (for Risk and Control), collect Losses and compute Economic Capital, thus providing all the elements required for addressing Regulatory Compliance which can be facilitated by a Central Operational Risk Management Team.
- **Oracle Financial Services Governance and Compliance Management**: Oracle Financial Services Governance and Compliance Management provides an in-depth level of insight across the enterprise to effectively identify, monitor, and manage risks and controls across lines of business and across processes within a comprehensive, Governance, Risk, and Compliance (GRC) framework. This level of insight gives senior management and additional stakeholders the confidence that the business is performing in line with stated business objectives.
- **Oracle Financial Services Model Risk Management**: Financial institutions rely heavily on financial and economic models for a wide range of applications-such as risk management, valuation, and financial/regulatory reporting. The level of sophistication of models used for such applications varies widely

from relatively simple spreadsheet tools to complex statistical models applied to millions of transactions. Regardless of the level of sophistication, model use exposes the financial institutions to model risks which leads to the possibility of a financial loss, incorrect business decisions, misstatement of external financial disclosures, or damage to the company's reputation arising from possible errors in the model design and development process (including the design and development of changes to existing models) - such as errors in the data, theory, statistical analysis, assumptions, or the code of underlying model. The Oracle Financial Services Model Risk Management provides model information vide a single instance thereby breaking silos within an organization and facilitates in better management of model risks through periodic assessments and validations.

- **Oracle Financial Services Operational Risk Analytics**: This application enables institutions to perform business-user driven reporting through historical and predictive analysis of enterprise-wide operational risk with a comprehensive and readily deployable suite of pre-built analytics, thereby allowing institutions to capitalize on their present investments. Through better in-depth analysis of loss, risk, and control data, an institution can see areas of weakness as well as scope for improvements. OFSORA helps in determining trends based on risks by business units, locations, and any other operational risk dimension across time periods, and achieve desired transparency and audit ability in reports and dashboards. OFSORA also helps in alerting senior management to evolving situations to prevent future crises and comply with Bank for International Settlements (BIS) Principles for Effective Risk Data Aggregation and Risk Reporting.
- **Oracle Financial Services Enterprise Risk Assessment**: This application provides a comprehensive framework to define and access risk appetite across the organization. It also provides a framework for defining risk appetite in terms of Strategic Objectives, Specific Statements, and Key Indicators. The application provides a framework for assessing risk appetite by computing the scores of the Strategic Objectives and Specific Statements based on the Key Indicators values and comparing them against the pre-specified limits highlighting deviations from the organizational goals, thereby enabling institutions to take timely corrective action. The solution is built on Oracle Financial Services Analytical Application Infrastructure, the industry's only integrated business infrastructure designed to serve Enterprise Risk, Performance, Compliance, and Customer Insight requirements. Oracle Financial Services Analytical Applications use a commonly available analytical infrastructure consisting of a unified financial services data model, analytical computations and the industry-leading Oracle Business Intelligence platform.

CHAPTER 2 Configuring Data Requirements

This chapter includes the following topics:

- Overview
- Data Requirements – GRC Products
- Loading Data from Staging
- Re-Save Hierarchies

Overview

Master and Reference data settings are the important first step to enable product use.

Master and Reference data can be ingested into the system through Staging, Reference Data Management User Interface or using Excel upload.

- Staging supports bulk data upload and data quality checks.
- Excel upload supports moving of bulk data.
- Reference Data supports single record upload at a time.

Data Requirements – GRC Products

The Dimension Table provide details about Master Data and Reference Data Setup. The first sheet lists all the dimension tables that you can update for business needs. The second sheet lists the dimension tables which are seeded by default out of the box, and should not be modified by the Oracle client.

Reference Data Management Configuration

Data Management for certain tables is enabled using the Reference Data Management (RDM) mode. See Table 2-1 to identify them. This capability can be extended to other dimension tables based on the implementation-specific needs.

Pre-Requisites

- The dimension tables to be added to the RDM list should have the following table structure:

Table 3. Dimension Table Structure

Logical Column Name	Data Type & Length	Description
ID	NUMBER(20)	This is the primary key of the table which uniquely identify each record.
CODE	VARCHAR2(60)	This is the code of the record.
NAME	VARCHAR2(500)	This is the name of the record.

Logical Column Name	Data Type & Length	Description
DESC	VARCHAR2(4000)	This is the description of the record.
STARTDATE	DATE	This is the records effective start date.
ENDDATE	DATE	This is the records effective end date.
LATEST FLAG INDICATOR	CHAR(1)	This indicates whether this record is the latest for the code mentioned.
MAKER ID	VARCHAR2(20)	This is the creator of the record.
CREATED DATE	DATE	This records created date.
PARENT KEY	INTEGER	This indicates the record has a parent or not.

For all the other columns in the dimension table, the columns should be null-able or have a default value set.

To add a new table to RDM to manage data, follow these steps:

1. Make entries in the Atomic Schema in the following two tables:

- DIM_HIER_MAINTANANCE
- DIM_CONFIG_TBS

Table 4 describes how entries are expected in the DIM_HIER_MAINTANANCE table:

Table 4. DIM_HIER_MAINTANANCE table

Column Name	Sample Value	Remark
N_MAP_KEY	2	This is the primary key for the table and should be unique.
V_HIER_CODE	HREF001	Code of the hierarchy to be added to RDM. If there is no hierarchy defined on this dimension table, dummy values can be given. The value entered here will be displayed in the list page of RDM.
V_HIER_DESC	Business Line	Name of the hierarchy to be added to RDM If there is no hierarchy defined on this dimension table, Business values can be given. The value entered here will be displayed in the list page of RDM.
V_FORM_CODE	FormName (default | custom) - FrmRefdata_OPR | MrmBusLineRDMP	The Form to be loaded to handle data modification. The default page is FrmRefdata_OPR For additional configuration/customization, you can create a new form and map the form code in this column.
N_OR_STATUS_CD	3	Status Code 3 is used for displaying this entry in the RDM list page. Any other value will not display this entry in the RDM list page.
V_CREATED_BY	MRMUSER	User who created the RDM entry – named AAI / GRC user.

Column Name	Sample Value	Remark
D_CREATED_DATE	3/19/2013	Date which the RDM entry is created – MM/DD/YYYY
V_MODIFIED_BY		User who modified the RDM entry – Named AAI/GRC user.
D_MODIFIED_DATE		Date which the RDM entry is modified – MM/DD/YYYY
V_HIER_TYPE	2	1 - List type hierarchy 2 - Parent-child hierarchy.
V_HIER_MODULE	Generic | RCSA | Incident | etc.,	Specifies which module uses the hierarchy.
V_TABLE_NAME	DIM_KBD_1 | DIM_BUSINESS_LINE | DIM_RISK_CATEGORY	The table on which the hierarchy is defined.
V_IS_SCD_TYPE	Y	This information is used while editing a data record in the DIM table. ● Null – Updates the changes ● Y – It duplicates the existing record and makes the F_LATEST_RECORD_ INDICATOR of new entry as Y and Old record as N.
N_APP_KEY	1 – OR 2 – GCM 3 – MRM 4- ERA	Application ID to which the hierarchy is defined. This column is not in use at this time.

Table 5 describes how entries are expected in the DIM_CONFIG_TBS table.

For example, DIM_KBD_1 table added in the DIM_HIER_MAINTANANCE table, the logical name for each of the attributes is defined as a sample. Similarly, entries should be added for any new table added for RDM.

This information is used to process the data entry made to the table using RDM.

Table 5. DIM_CONFIG_TBS Table Information

Logical Column Name	Data Type & Length	Attribute Name
DIM_KBD_1	CODE	V_STD_KBD_1_CODE
DIM_KBD_1	DESC	V_KBD_1_DESC
DIM_KBD_1	ENDDATE	D_RECORD_END_DATE
DIM_KBD_1	ID	N_KBD_1_KEY
DIM_KBD_1	IND	F_LATEST_RECORD_INDICATOR
DIM_KBD_1	MAKERDATE	D_MAKER_DATE
DIM_KBD_1	NAME	V_STD_KBD_1_NAME
DIM_KBD_1	PARENTKEY	N_PARENT_KEY
DIM_KBD_1	STARTDATE	D_RECORD_START_DATE
DIM_KBD_1	USERID	V_MAKER_ID

Using generic forms to enter values for most of the dimension tables/hierarchies, you must pass the hierarchy name dynamically to display it in the RDM Details page by following these steps.

2. Add a new message in the messages_en_us table with display name of the dim table/hierarchy as the message description.

Table 6. Details to Add a New Message

MSG_PACKAGE	MSG_IDENTIFIER	MSG_CODE	MSG_DESCRIPTION	MSG_TYPE
RENDERER	MRM_RDM_HREF001	3047	Business Line	L

3. Make an entry in the `rorMessageConstants.jsp` file with the newly added message.
4. Verify that the variable name is exactly the hierarchy code specified in the DIM_HIER_MAINTANANCE table. For example:

   Var HREF001 = "<%=MessageFramework.getMessageFromLocaleSpeficCache ("RENDERER.MRM_RDM_HREF001", currentMsgLocale.toString()) %>";

Loading Data from Staging

For all the dimensions where staging is available, execute the OR_STG_LOAD_DATA_CSA Batch to populate data into the respective dimensions.

Re-Save Hierarchies

Data modifications to the Master/Reference/Setup tables should reflect in the Hierarchy values. To enable this, Hierarchy re-save is required after data load into those Master/Reference/Setup table on which the hierarchy is defined.

Hierarchy Re-Save is required after any of the following activities.

Install

If the Resave Hierarchy option is not selected at the time of installation, you must resave hierarchies. See the *OFS GRC Installation Guide* for more details.

Initial

Once the initial set of values are seeded/uploaded in the application as a part of setting up the product, this activity is required.

Periodic / Ad-Hoc

When making changes to Hierarchy data periodically/on ad-hoc requirements, you must also trigger the Hierarchy Re-Save Process.

Hierarchy Resave can be done manually using the following steps:

- Navigate to the following AAI menu to re-save the hierarchies.

Financial Services Analytical Applications Infrastructure>Object Administration>Utilities>Save Metadata (See the *OFS AAI Guide* for more details)

- Post Excel Upload
- Script based insertion

CHAPTER 3 Configuring Users

This chapter explains the concept of User Configuration. This chapter includes the following sections:

- Creating New Roles
- Configuring User Groups
- Setting up User Privileges

Creating New Roles

This section explains the concept of roles and tells how to create new roles. This section includes the following:

- Overview
- Custom Roles

Overview

A role is a collection of functions to define privileges to execute a specific task(s). GRC roles are pre-defined based on the group of functions required to accomplish specific task(s).

OFS Advanced Analytical Infrastructure application allows you to create and modify Roles. To create a role in the Role maintenance window, refer to the System Administrator section in the *OFS Analytical Applications Infrastructure User Guide*.

Custom Roles

Custom roles can be created to manage implementation specific needs.

- Refer to the list of roles pre-packed in the product to avoid duplication.
- Split roles and assign them to different user groups/users.
- Custom extensions to User Interface/Product may also require additional roles to be defined. Use forms manager documentation for more information about using roles to extend the product user interface/Menu.
- Custom Roles should be defined with the specific naming convention (prefix/suffix) to differentiate and prevent conflicts from product specific roles during upgrade.

Configuring User Groups

This section explains about the User Group management.

Overview

A user group is a collection of roles to perform certain functional activities.

Users are mapped to one or more user groups and will inherit all roles that are mapped to the user groups. This user group defines what the user can do in the application. Additional user groups can be created based on the category of actions the user can do with in the application.

Oracle Client can customize and create your own user roles, user groups and group-role mapping as per your business requirements.

For example:

- The business requirement could be to split one or more user group related privileges.
- Merging does not require new user groups as more than one user group can be mapped to a user.
- You must create a new user if data security is required based on Key Business Dimensions (such as, business line or location, and so on).
- Custom configurations can result in new roles/user groups.
- Custom user groups should be defined with the specific range to prevent conflict on upgrade. It also will help to differentiate custom changes for reference easily.

The following attachment gives the details of the Groups that are pre-seeded by the Application.

- User, User Group, Role and Function

For more information about creation of roles and groups refer to the *OFS Analytical Applications Infrastructure User Guide Security Management* section.

Setting up User Privileges

This section describes user privilege management. This section includes:

- Access Privileges Setting

Access Privileges Setting

Below mentioned are the Access Privileges Setting:

Creating KBD Combination

Valid KBD combinations for newly added business lines and locations can be done from the Reference Data Mapping Screen. For more information see *Reference Data Mapping.*

User Creation

- **Role Required**: Identity MGMT access (IDMGMTACC), Identity MGMT write(IDMGMTWRIT)
- **Access Path**: Security Management -> System Administrator -> Role Maintenance
- To know more about creation of roles and groups refer to the *OFS Analytical Applications Infrastructure User Guide Security Management* section.

User to User Group Mapping

- **Role Required**: Identity MGMT access (IDMGMTACC), Identity MGMT write(IDMGMTWRIT)
- **Access Path**: Security Management -> User Administrator -> User - User Group Map
- To know more about creation of roles and groups refer to the *OFS Analytical Applications Infrastructure User Guide Security Management* section.

User to Segment Mapping

- **Role Required**: Identity MGMT access (IDMGMTACC), Identity MGMT write(IDMGMTWRIT)
- **Access Path**: Security Management -> User Administrator -> User Group Domain Map

  To know more about creation of roles and groups refer to the *OFS Analytical Applications Infrastructure User Guide Security Management* section.

User Authorization

- **Role Required**: Identity MGMT authorize (IDMGMTAUTH)
- **Access Path**: Security Management -> Enable User

  To know more about creation of roles and groups refer to the *OFS Analytical Applications Infrastructure User Guide Security Management* section.

App User Access

- **Purpose**: Here you can view access privileges the user has for the product.

- **Role Required**: MRM Admin Role (MRMADMIN), Ops Risk Admin(RORADM), Administrator (RAADMN), User Profile Mapping (UPM)
- **Access path**: Admin –> Access Rights –> User Profile Mapping

  For more details please refer *GRC User Guide*

App User Access

- **Purpose** –
  - Is to map the user group-role to a particular KBD combination to provide data security.
  - This provides ability to have different roles have different data security within the user group based on the KBDs mapped,
  - However, it requires multiple user group creation for providing KBD specific access privileges.
- **Role Required**: MRM Admin Role (MRMADMIN), Ops Risk Admin (RORADM), Administrator (RAADMN), User Profile Mapping (UPM)
- Admin –> Access Rights –> User Profile Maintenance

  For more details, refer the *GRC User Guide*.

CHAPTER 4 Configuring Map Definitions

This chapter provides complete information on setting up of Map definitions required for GRC products. This chapter includes the following topics:

- Overview
- GRC Map Definition

Overview

Maps are defined to create valid combinations of nodes across different dimension data elements (hierarchies). The maps are usually used to filter valid and applicable values in a given context.

GRC Map Definition

The Map definitions used in the GRC Applications pack are listed and explained in the following table:

Table 7. Combinations of GRC Application

Map Name	Hierarchies	Generic	OR	Usage
Location and Legal Entity	• Business Line • Legal Entity		Yes	This map is used to populate the Legal entity value by default when a Location is selected. This is used in Risk and Control modules
Location CCY Mapping	• Location • Currency		Yes	This map is used to populate the Currency by default based on the Location selected. This is used across Modules.
Masking View	• Entity Type • Masking Rights • Parent Mode • Parent Status • Roles General, Roles and Parent Status used to do grid masking.	Yes		This map is used to enable/disable the controls in the grid when a record is selected. This should happen based on the roles available for the user and the status of the record. This is used in the GRC application for UI grid masking configuration purposes.
Overall Control Assessment	• Control Rating • Design Effectiveness • Operating Effectiveness		Yes	This map is used in control module to calculate the overall assessment rating based on the values selected for DE and OE rating.

Map Name	Hierarchies	Generic	OR	Usage
Impact Likelihood Calculation	• Severity • Inherent Risk • Likelihood		Yes	This map is used to calculate the impact of the risk based on the severity and the likelihood values selected.
Org Unit Loc	• Business Line • Location • Category • Reserved KBD • User Groups • Roles	Yes		This is also referred as a security Map. Following Hierarchies are a part of this Map definition. KB1 – Its mapped to Business Line KB2 – Its mapped to Location KBD3 – Mapped to Model Category KBD4 – Placeholder Role – All available roles in the system User Group – All available user groups available in the system OR|GCM |ERA uses KBD1-KBD2 – Role – User Group combination as a security Map MRM uses KBD1-KBD3 – Role – User Group combination as a security map. ORA does not use this Map Defn. Security Map also can be done using the Menu Path and that's the recommended approach. Security map defines the data access privileges for user.

As a part of Implementation, once customer-specific values are populated into the dimension tables and hierarchies are refreshed, you must define valid mapping between the hierarchy nodes using these map definitions.

This activity should be managed by the customer every time new values are ingested into the dim tables on which the hierarchies are defined and after hierarchy re-save is completed. Re-Save of the required hierarchies can be added to the batch post ingestion / data load from staging. You will be able to access the list of all these map defines using the menu in the AAI landing page.

(Governance, Risk and Compliance> Common Tasks>Business Metadata Management>Reference Data Mapping)

You can create mapping definitions as per your business requirements and use them as required in the UI for displaying valid and accessible values.

Ensure to use customization indication to enable overwrite during product upgrades. For more information regarding Mapping, refer to the *System Configuration* section in *OFS Analytical Applications Infrastructure User Guide.*

CHAPTER 5 Configuring User Preferences

This chapter explains about preferences and privilege management. This chapter includes the following topics:

- Overview
- User Login
- Configuring the Landing Page
- Configuring Home Page Flavors
- Landing Page Report Preference
- Configuring Email
- Configuring Issues and Action
- Uploading Document
- Setting up Default View

Overview

You can set preferences for the GRC Applications that is applicable to all components or users which is a part of the application. These preferences can be set after Post installation is completed.

User Login

System Configuration section facilitates you (System Administrator) to define and maintain the user accessibility details within the Infrastructure system. For details regarding User Login, refer to *System Configuration Section* in *OFS Analytical Applications Infrastructure User Guide* .

Configuring the Landing Page

AAI Preference

On logging into the application, the user will land to the AAI landing page by default. You can select to land on an application-specific page. This can be done from the preferences setting available in the AAI landing page.

For more information refer *OFS Analytical Applications Infrastructure Guide.*

Product Preference

On logging in the product, the user business user will land into the home page of the product.

You can configure the Landing Page from the product functions (Risk Summary or Incidents / Inbox / etc.,) based on the user role.

For more information, refer UI Configurations section *Forms Manager* in *OFS AAI Guide.*

Configuring Home Page Flavors

The product supports two flavors of home page mapped to the prepackaged roles in the product.

- **Flavor 1 –**
  - This has Announcements
  - Also two sections for reports.
  - These are mapped to Senior Management who oversees the Business Processes and may not have many actionable tasks.
- **Flavor 2 –**
  - This has Announcements section and a section for Reports, Tasks and Notifications.
  - The business users, who are involved in Risk Management process and have actionable tasks can be mapped to this version.
  - All tasks and notifications are available in the Inbox Tab in addition to Home page.

Additional flavors can be created using AAI FFW/Forms Manger and be used.

Landing Page Report Preference

The Home Page displays the different types of embedded OBIEE reports based on the Roles mapped. Based on the implementation needs following can be configured.

1. Choose a different report from the pre-packaged reports for landing page display.
2. Choose a Custom defined report for landing page display.

The reports can be configured by the system * DB Administrator as there is no UI for this configuration. Login to Atomic Schema to perform the following configurations.

Configure the following tables:

1. DIM_OBIEE_REPORTS

   This table stores the details of all the embedded reports available in the Application. It has a corresponding MLS table to support Multi Locale. The following is the list of columns of the table.

Table 8. DIM_OBIEE_REPORTS Table

Column Name	Data Type	Sample Value	Description
N_REPORT_KEY	NUMBER(20)	1500	This is the primary key and the unique identifier for each embedded report.
V_REPORT_NAME	VARCHAR2(300)	Overdue & Open Actions by Business Lines	This is the logical name of the embedded report. This name is displayed in the Application.

Column Name	Data Type	Sample Value	Description
V_RELATIVE_PATH	VARCHAR2(3000)	/analytics/saw.dll?Go&Action=Navigate&path=/shared/ORD Issue and Actions Embededd/Actions/Embedded/Overdue Actions by Business Lines&hideMainbar=true	This is the OBIEE report path for each embedded report. Based on the OBIEE configuration, this path is used to open the specific report from the server.
N_APP_KEY	NUMBER(20)	1	This is the Application ID for which the report group belongs.

2. DIM_OBIEE_GROUP

   This table stores the logical grouping of reports that is displayed in the Home or the Landing Page. This table has a corresponding MLS table to support Multi Locale.

   The following are the columns for the table.

Table 9. DIM_OBIEE_GROUP table

Column Name	Data Type	Sample Value	Description
N_GROUP_KEY	NUMBER(20)	1001	This is the primary key of the table and the unique identifier for each report group.
V_GROUP_NAME	VARCHAR2(300)	Actions	This is the logical name for each report group. This name is displayed in the drop-down available in the Home screen to select different reports.
N_APP_KEY	NUMBER(20)	1	This is the Application ID for which the report group belongs.

3. FCT_OBIEE_GROUP_MAP

   This table stores the mapping between the Reports and the Groups. Following is the list of the columns for the table:

Table 10. FCT_OBIEE_GROUP_MAP Table

Column Name	Data Type	Sample Value	Description
N_GROUP_KEY	NUMBER(20)	1001	This is the Group key for which the mapping is to be done.
N_REPORT_KEY	NUMBER(20)	1500	This is the report Key that belongs to this Group.
N_ORDER	NUMBER(20)	1	This is the order in which the reports are displayed in the Home Screen. Valid values are 1 or 2.
N_APP_KEY	NUMBER(20)	1	This is the Application ID to which the report group belongs.

   There are other filler columns available in the table which is used for future functional extensions

4. FCT_OBIEE_GRP_ROLE_MAP

This table stores the mapping between the Report Group and the User Roles. Following is the list of columns for the table:

Table 11. FCT_OBIEE_GRP_ROLE_MAP

Column Name	Data Type	Sample value	Description
N_GROUP_KEY	NUMBER(20)	1001	This is the Group key for which the mapping is to be done.
V_ROLE_CODE	VARCHAR2(20)	ISSASR	This is the role for which the Report Group is displayed in the Home Screen
N_APP_KEY	NUMBER(20)	1	This is the Application ID for which the report group belongs to

There are other filler columns available in the table which can be used for future functional extensions.

As per the mapped roles, you are able to see the corresponding reports.

Configuring Email

In the GRC Applications, Alerts and Notifications are pre-configured and the Tasks and Notifications are sent to the stakeholders. In addition to the tasks and notifications, you can send email alerts on generating any task or notification.

How to Setup the Email Content:

The Default content of the E-mail is defined in FCT_EMAIL_MAINTENANCE table in Atomic Schema in the column V_MSG_BODY based on the entity type.

If required, you can change the content by changing the v_msg_body based on the entity type.

To configure an Email, follow these details:

Note: The web application server should have access to the SMTP (Simple Mail Transfer Protocol) server at the designated port.:

- Update the following entries in the configuration table in Configuration Schema:
  - REV_SMTP_HOST - 'internal-mail-router.oracle.com'
  - REV_SMTP_PORT - 25
  - MAILUTILITY_SLEEPINTERVAL - 40000 (in Micro Seconds)
  - MAILUTILITY_STATUS - 'Yes'
  - REV_MAIL_FROM - GRCdmin@oracle.com

Note: This is a one-time configuration and is recommended not to change the values as it might lead to inconsistency.

Configuring Issues and Action

An Organization may have a robust Issue Identification and Action tracking system to ensure that the Issues are tracked to closure.

In some cases, the organization may prefer to create actions directly, rather than creating an issue and an action. For example, if an Incident leads to a loss, the Incident itself is considered as an Issue and directly Action Plans can be created to ensure occurrence of such Incidents are minimized.

In other cases, during the Audit process, creating Issues is a standard norm. GRC Applications allow organizations to enable Issue Creation for taking action plan or Action Creation directly for every component in the application. It is recommended to set this up as a one-time activity. If needed this can be modified at anytime.

You can enable or disable the Issues and Action for selected module. For details regarding Issues and Actions configuration, refer to *Oracle Financial Services Operational Risk, Governance and Compliance Management User Guide Managing Application Preferences, Managing the Issues and Action Configuration* section.

Uploading Document

The GRC Applications allows to attach or upload a document to any entity in the application as information, evidences, policy documents, annexure, and so on. Documents of different formats can be uploaded. For more information, refer to *Oracle Financial Services Operational Risk, Governance and Compliance Management User Guide*. Once a document is uploaded, it is available to all the stakeholders associated with the entity.

Note: The default user who is uploading the document has to be a valid user.

To upload a document, verify the following details:

1. The Directory path to upload the documents must be valid and accessible in the environment. This value is obtained from the query, to be executed in the Configuration Schema.

- `SELECT PARAMVALUE FROM CONFIGURATION WHERE PARAMNAME='DOCUMENT_UPLOAD_SAVE'`

2. The temporary directory in the server in which the documents is loaded before uploading to the permanent directory must be valid and accessible in the environment. This value is obtained from the query to be executed in the Config Schema.

- `SELECT PARAMVALUE FROM CONFIGURATION WHERE PARAMNAME='DOCUMENT_UPLOAD_TEMP'`

3. The documents are uploaded permanently in the actual directory in the server. This path must be valid and accessible in the environment. This value is obtained from the query in the Config Schema.

- `SELECT PARAMVALUE FROM CONFIGURATION WHERE PARAMNAME='DOCUMENT_UPLOAD_TEMP_WS'`

4. The document download folder path is valid and accessible in the environment. This value is obtained from the query to execute in the Config Schema.

- `SELECT PARAMVALUE FROM CONFIGURATION WHERE PARAMNAME='DOCUMENT_DOWNLOAD'`

5. The Web Server IP address provided has to be valid and accessible. This value is obtained from the query to execute in the Config Schema.

- `SELECT WEBIPADDRESS IP ADDRESS, SERVLETPORT PORT NUMBER FROM WEB_SERVER_INFO WHERE PARAMNAME='DOCUMENT_DOWNLOAD'`

6. The path of application directory is valid and accessible.>echo $FIC_HOME - when executed in Putty, this command provides the desired value.
7. Documents with the specified extensions are allowed to be uploaded. This value is obtained from the query to execute in the Config Schema.

- `SELECT PARAMVALUE FROM CONFIGURATION WHERE PARAMNAME='DOCUMENT_ALLOWED_EXTENSION'`

For more information about Document Upload, refer to *OFS Analytical Applications Infrastructure User Guide*.

Setting up Default View

In GRC Applications, Search and List pages have the pre-packaged View functionality. A view is a predefined set of search criteria based on which the list of entities are filtered on selection. An Administrator can set the view status as default for each of the component like Risks, Controls, and so on. These default views can be modified by Business user.

When you access a summary page, an option called "Views" to filter the records based on the view configurations is displayed. There are list of predefined views available in the system. You can add new View definition to this list.

Note: Currently there is no UI available for Default View Setup.

To add a new View definition in the system, follow these steps:

1. Add the data in the Table VIEW_MASTER.
2. Login to the Atomic Schema.

The columns available in the table are described below:

- N_VIEW_KEY – This is the primary key in the table. This uniquely identifies each view definition.
- V_VIEW_NAME – This is the logical name given for the view definition and the same is displayed in the view drop-down in the UI.
- N_ENTITY_TYPE – This is the component for the Entity Type Key.
- V_FILTER- This is the sql query (where condition) which is executed to fetch the entities on selection of view in UI.
- V_VIEW_DESCRIPTION – This is the description given to the View definition.
- F_SYSTEM_GENERATED – This value should be Yes to come as the predefined View in the drop-down. If the value is given as No, then the view is displayed only for the user where the name is mentioned in the USER_ID column.

- USER_ID – This column stores the User ID of the view creator. It is populated with value when you do a self search. If you want to create a generic view for all, then this column should be left blank.
- F_DEFAULT – This column should be left blank for creating a view as administrator. This value is populated when you are doing a self search.

CHAPTER 6 Configuring Install Preferences

This chapter defines how to set up install preferences. It covers the following topics:

- Setting Profile Report (Header or Trailer)
- Financial Impacts/Thresholds

Setting Profile Report (Header or Trailer)

All GRC Applications have Profile reports for each entity which are built using Business Intelligence Publisher. The report is generated in PDF format. This provides the details of the entity. For example, Risk Profile report, which displays the primary details of the Risk with additional details of the Causes, Impacts, Controls, Incidents, and so on which is associated with the Risk.

If required, you can customize the Profile report with your logo or other details in the header or the footer of the report. This is done manually as no UI is currently available in the Application. The Profile report related files are available in the FTP SHARE folder in the App Layer. (/ftpshare/<INFODOM>/ORREPORTS)

To modify the Header and Footer follow these steps:

1. Navigate to the/ftpshare/<INFODOM>/ORREPORTS path.
2. Copy all RTF files to the Desktop.
3. Open each file using Microsoft Word.
4. Modify the Header/Footer according to the requirement.
5. Copy the files back to the server.
6. Restart the Servers for the changes to reflect.

Financial Impacts/Thresholds

Financial Impact Scales are required to define Business Unit Impacts for Risk Assessment, Lower and Upper Threshold for Incidents, set the financial year, and Base Currency for general use. This Admin setting must be defined at the start of implementation so that Risk Assessment and Incident workflows can be handled smoothly.

For more details, refer *Oracle Financial Services Operational Risk, Governance and Compliance Management User Guide.*

CHAPTER 7 Configuring Reports

This chapter discusses the procedures for setting up of reports. This chapter includes the following topics:

- Overview
- Configuring Operational Reports

Overview

The GRC Applications provides an organization the ability to identify and maintain the relevant information with respect to Risks, Controls, Incidents, Models, and so on. The information available is huge which on its own cannot be utilized to make strategic decisions. The information can be represented in various reports which allows the organization to take informed decisions on the Risk Profile of the organizations, Causes and Impact analysis, Thresholds breaches, and so on. This helps the organization to decide on the capital allocation required and set aside provisions to mitigate the Risks arising out of Operations or Business Models. The reports provide different views of the information for further analysis. This helps to gain insight and enable to take informed decision, as corrective and preventive actions to ensure continuity.

Configuring Operational Reports

To configure Operational Reports, follow these steps:

1. Update the following entries in the configuration table in the Config schema.
2. Execute the following query in the Config Schema and update.

   ```
   Query -- SELECT * FROM CONFIGURATION T WHERE T.PARAMNAME LIKE '%OBI%'
   ```

   - OBI_URL_<<INFODOM>> - http://<ip address or hostname>:<port>/analytics/saw.dll
   - <<INFODOM_SEGMENT>>_OBI_URL - http://<ip address or hostname>:<port>

CHAPTER 8 Configuring Workflow

This chapter discusses how to configure the Processing Modelling Framework. This chapter includes the following topic:

- Overview

Overview

This module facilitates built-in tooling for orchestration of human and automatic workflow interfaces as well as various OFSAA Processes. This enables process developers to create process-based applications. It also enables process analysts and developers to model business processes.

For more information, refer to

Processing Modelling Framework section of *Oracle Financial Services Analytical Applications Infrastructure User Guide Release 8.0.4.0.0* .

CHAPTER 9 Configuring Batch Schedules

This chapter discusses the configurations related to Batch Processing. This chapter includes the following topics:

- Overview
- Available Batches

Overview

Any tasks or activity which is scheduled over a certain time period, where the system has to inform or perform some activity based on a predefined rule can be done using Batch Maintenance.

For example, reminders for completion of Task, closure of an Issue or Insurance when the end date is reached, and so on.

The business rules for such tasks are executed for the system to identify and perform the said action. Batch scheduling allows you to set the reminders at specific time intervals depending on the type of process to be initiated. Reminders are set end of day, whereas Loading Data into staging for currency rate are set weekly.

Batch Scheduler in the Infrastructure system facilitates you to schedule a Batch for processing at a later time. You can define a new Batch schedule or update a previously defined Batch schedule for processing.

Scheduling a batch is based on the decision of the organization. You can schedule as per your convenience like daily, weekly, monthly, and so on.

For details regarding Batch Schedule, refer to *OFS Analytical Applications Infrastructure User Guide, Operation section.*

Available Batches

This release of OFS GRC Application Pack can be downloaded from the Oracle Software Delivery Cloud (https://edelivery.oracle.com). You must have a valid Oracle account in order to download the software.

The following table lists the available batches in OFS GRC 8.0.1.0.0 Release:

Table 12. Available Batches

S.No	Batch Name	Batch Description	APP	Module	Functionality
1	ACTION_REMINDER	Action Reminder Batch	OR	Issues and Actions	To send reminder for action closure.
2	ORX_GOLD_DATA_LOAD	ORX GOLD Data Loading	OR	External Incident	To load data from Staging table to Fact table.
3	PC_TABLE_LOAD	Parent Child Table data load for OBIEE	OR	ORD	To populate Process to ORD.

S.No	Batch Name	Batch Description	APP	Module	Functionality
4	BATCH_EOD_MAILS	to send mails at EOD to Users	All	Generic	To send consolidated mails at end of the day.
5	KI_CALCULATE_MEASURE	Batch for calculating measures	OR	KI	To calculate KI metrics.
6	KI_STG_LOADEXTDATA	INSERT DATA IN STAGING TABLE TO FACT TABLE	OR	KI	To load staging table with data for external measures.
7	BATCH_RISK_APPETITE	It generates assessments for Risk Appetite based on the schedule captured in the application.	ERA	Risk appetite assessment	To perform scheduled operations in Risk Appetite Solution.
8	BATCH_USAGE_VAL	Batch to Schedule Validation for Usages	MRM	Usage	To move usage assessment to Active status.
9	BATCH_USAGE_ATTESTATION	Usage Attestation due reminder	MRM	Usage	To remind for Usage Attestation.
10	FULLREVIEW	FULLREVIEW	MRM	Gen	To move the module into in review status, if approval date is a past date.
11	BATCH_MODEL_VAL	Batch to Schedule Validation for Models	MRM	Model	To move model assessment to Active status.
12	BATCH_CHANGE_LOG	Change Log Reminder	MRM	Change Log	To remind for open change log.
13	ATTEST_OWNER_BATCH	ATTEST_OWNER_ BATCH	MRM	Model	To remind for Model Attestation.
14	INSURANCE_REMINDER	Insurance Reminder	OR	Insurance	To remind for Insurance Policy renewal.
15	BATCH_PIRR	PIRR BATCH	OR	Change Management	To send notification for post implementation risk review.
16	INCIDENT_REMINDER	INCIDENT REMINDER BATCH	OR		

S.No	Batch Name	Batch Description	APP	Module	Functionality
17	DELEGATION_BATCH	DELEGATION BATCH	OR	Administrator	To activate and deactivate the delegation.
18	OR_STG_LOAD_DATA	This batch is used to load data from the staging table into the respective dimension table.	OR	Key Indicator	To move external measure data from stage table to dimension table.
19	OR_STG_LOAD_DATA _CSA	This batch is used to move data from staging table to main tables for CSA	OR	Generic	To move data from staging table to main tables for CSA.
20	WORKFLOW_BATCH	Work flow Batch	All	Workflow Manager	To move status of workflow from inactive to active.
21	AUDIT_PLAN_PAPER	BATCH FOR AUDIT WORK APPERS			
22	AUDIT_TASKS	Tasks for Auditors	GCM	Audit	To generate Task for the Task Auditor.
23	GRC_MDB_PUBLISH	Metadata Browser Publishing batch for GRC	All		To publish meta data into Meta data browser, when a new meta data is created.
24	RISKRESPONSE	RISK RESPONSE REVIEW BATCH	OR	Risk	To be used for Risk response review.
25	PS_SCH_REM	Batch for Planning Scoping and Reminder	OR	Planning and Scoping	To be used for Planning and Scoping module to generate task.
26	BULK_UPLOAD	Data Quality and Data Load Batch for Bulk Upload			

CHAPTER 10 Configuring Flexible KBD

This chapter discusses Flexible KBD and how to configure Flexible KBD. This chapter includes the following topic

- Overview
- Configuration Steps

Overview

Flexible KBD enable the Oracle client to configure multiple Key Business dimensions based on their needs. The system gives the flexibility to configure from 0-5 KBDs in the system. By default, the Out of Box application has two KBD configurations. Below is the list of dimensions for each application.

- Oracle Financial Services Operational Risk
  - Business Line
  - Location
- Oracle Financial Services Governance and Compliance Management
  - Business Line
  - Location
- Oracle Financial Services Model Risk Management
  - Business Line
  - Category
- Oracle Financial Services Enterprise Risk Assessment
  - Business Line
  - Location

  To know more about Flexible KBD configuration, please refer *OFS AAI Guide*.

Configuration Steps

GRC applications use placeholder tables to handle Flexible KBD. Every application has five placeholder tables for handling flexible KBDs. you must configure the mapping before using the applications. It is not recommended to modify the flexible KBD configurations for the applications once an Oracle client is using the application. This may lead to data inconsistency.

Oracle has created five placeholder dimension tables for each application. Following are the list of tables for each application.

- Oracle Financial Services Operational Risk / Governance and Compliance Management
  - DIM_KBD_1

  - DIM_KBD_2
  - DIM_KBD_3
  - DIM_KBD_4
  - DIM_KBD_5

- Oracle Financial Services Model Risk Management
  - DIM_MRM_KBD_1
  - DIM_ MRM_KBD_2
  - DIM_ MRM_KBD_3
  - DIM_ MRM_KBD_4
  - DIM_ MRM_KBD_5
- Oracle Financial Services Enterprise Risk Assessment
  - DIM_ERA_KBD_1
  - DIM_ ERA _KBD_2
  - DIM_ ERA _KBD_3
  - DIM_ ERA _KBD_4
  - DIM_ ERA _KBD_5

Oracle has created a security mapper for every application and this mapper must be used for the flexible KBD configuration.

- Oracle Financial Services Operational Risk
  - OR Security Mapper
- Oracle Financial Services Governance and Compliance Management
  - OR Security Mapper
- Oracle Financial Services Model Risk Management
  - MRM Security Mapper
- Oracle Financial Services Enterprise Risk Assessment
  - ERA Security Mapper

Before beginning to use the application, each Oracle client must decide how many KBDs are required for the application and which all dimensions will act as KBDs. The mapping of Actual Dimensions to Placeholder Dimensions will be based on this decision. This table should be populated for only the dimensions which must be configured as KBD in the following table:

- FSI_FLEX_KBD_CONFIG

Following are the list of columns and the sample data populated by the Out of Box Application.

Table 13. Out of Box Application Data

Column Name	Sample Value	Description
APP_ID	OFS_OR	This is the App ID for which we are configuring Flexible KBD
PLACE_HOLDER_TABLE	DIM_KBD_1	This is the placeholder dim table for the application
ACTUAL_DIM_TABLE	DIM_BUSINESS_LINE	This is the actual dimension which will act as KBD
PLACE_HOLDER_KEY	N_KBD_1_KEY	This is the primary key column in the placeholder table
ACTUAL_DIM_KEY	N_BUSINESS_LINE_KEY	This is the primary key column in the actual dimension table
PLACE_HOLDER_NAME	V_STD_KBD_1_NAME	This is the name column in the placeholder table
ACTUAL_DIM_NAME	V_STD_BUSINESS_LINE_NAME	This is the name column in the actual dimension table
LOGICAL_TABLE_NAME	Business Line	This is the logical name of the actual dimension.
N_DEFAULT_VALUE	-1	This is the default value for the dimension
N_ALL_VALUE	1	This is the key which indicates the “All” node in the dimension

For all the placeholder dimensions which are not configuring as KBD, verify that the “Default”(key is -1) has been populated.

Flexible KBD configuration for ORD reports

If you want to add more dimensions or change existing dimensions for flexible KBD configuration, then you will have to manually give entries in FSI_FLEX_KBD_CONFIG table in atomic schema.

For example,

APP_ID	PLACE_HOLDER_TABLE	ACTUAL_DIM_TABLE	PLACE_HOLDER_KEY	ACTUAL_DIM_KEY	PLACE_HOLDER_NAME	ACTUAL_DIM_NAME	LOGICAL_TABLE_NAME	N_DEFAULT_VALUE	N_ALL_VALUE
OFS_OR	DIM_KBD_1	DIM_BUSINESS_LINE	N_KBD_1_KEY	N_BUSINESS_LINE	V_STD_KBD_1_NAME	V_STD_BUSINESS_LIN	Business Line	-1	1

Once this configuration is done, then run below procedure in atomic schema. This activity has to be done in DB level. It is a onetime activity.

proc_fsi_flex_fct_attr_mapping: this procedure will insert data into fsi_flex_fct_attr_mapping table.

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