Oracle Financial Services FATCA Regulatory Reporting

Administration and Configuration Guide

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OFS FATCA Regulatory Reporting Guide

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Document Control

Table 1: Revision History

Version Number	Revision Date	Changes Done
8.0.8.0.0	October 2019	Created the first version of the Oracle Financial Services FATCA Regulatory Reporting Administration and Configuration Guide for v8.0.8.0.0 Release.

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1 About This Guide

This guide provides comprehensive instructions to perform the administration activities to configure OFS FATCA Regulatory Reporting.

This chapter focuses on the following topics:

- Who Should Use this Guide
- How this Guide is Organized
- Where to Find More Information
- Conventions Used in this Guide

1.1 Who Should Use this Guide

The *OFS FATCA Regulatory Reporting Administration and Configuration Guide* is designed for Oracle Financial Services Installers and System Administrators. Their roles and responsibilities, as they operate within OFS FATCA Regulatory Reporting, include the following:

- **FATCA Administrator:** Configures, maintains, and adjusts the system and is usually an employee of a specific Oracle Financial Services customer. The System Administrator maintains user accounts and roles, monitors data ingestion and case management, archives data, loads data feeds, and performs post-processing tasks.
- **FATCA RR Administrator**: This user is responsible for managing the static data used in the application, creating application users, mapping users to user groups, and configuring the various parameters used in the application.
- **ECM Administrator**: This user is responsible for mapping security attributes to users.

1.2 How this Guide is Organized

The *Oracle Financial Services FATCA Regulatory Reporting Administration and Configuration Guide*, includes the following topics:

- Chapter 2, *Creating Users*, explains how to create users and provide access to OFS FATCA Regulatory Reporting.
- Chapter 3, *Mapping Users to User Group*, discusses mapping users to user groups.
- Chapter 4, *Adding Client-Specific Security Attributes*, explains the steps to add client-specific security attributes to OFS FATCA Regulatory Reporting.
- Chapter 5, *Loading Metadata into OFS FATCA RR*, explains the steps to load client provided data.
- Chapter 6, *Configuring Parameter*, explains the steps to configure report due date, report lock time period, and FATCA reporting year.
- Chapter 7, *FATCA RR Batch Execution*, explains the steps to run batch process periodically.
- Appendix 8, *Appendix - Excel Upload,* explains the steps to perform Excel upload.

1.3 Where to Find More Information

For additional information about OFS FATCA Regulatory Reporting, refer to the following documents:

- OFS FATCA Regulatory Reporting User Guide
- FATCA Administration and Configuration Guide

- Enterprise Case Management User Guide
- FATCA Assessment Guide

> **NOTE** The FATCA Assessment Guide is required only if you are using the FATCA application.

To find additional information about how Oracle Financial Services solves real business problems, see our website at www.oracle.com/financialservices.

1.4 Conventions Used in this Guide

Table 1 lists the conventions used in this guide.

Table 1: Conventions Used in this Guide

Convention	Meaning
Italics	• Names of books, chapters, and sections as references • Emphasis
Bold	• Object of an action (menu names, field names, options, button names) in a step-by-step procedure • Commands typed at a prompt • User input
`Monospace`	• Directories and subdirectories • File names and extensions • Process names • Code sample, including keywords and variables within text and as separate paragraphs, and user-defined program elements within text
<Variable>	Substitute input value

2 Creating Users

This chapter explains the steps to create users. OFS FATCA Regulatory Reporting has predefined user groups to access the application.

2.1 Setting Users

To set a user and provide user access to OFS FATCA Regulatory Reporting, follow these steps:

1. For creating users, refer to the *Oracle Financial Services Analytical Applications Infrastructure User Guide.*
2. Once the users are created, map the users to predefined user groups, which in turn maps the user to a user role.

   For more information on mapping users to user groups, refer to Chapter 3, *Mapping Users to User Group*.

   For more information on setting users, refer to the *Oracle Financial Services Analytical Applications Infrastructure User Guide.*

3 Mapping Users to User Group

This chapter discusses mapping users to user groups.

The following table describes the predefined User Roles and corresponding User Groups present in OFS FATCA Regulatory Reporting.

Table 1: User Roles and User Groups

User Role	Group Name	User Group Code
FATCA Report Analyst	RR FATCA Analyst	RRANAFATCA
FATCA Report Supervisor	RR FATCA Supervisor	RRSUPFATCA
FATCA Report Auditor	RR FATCA Auditor	RRAUDFATCA
FATCA Report Admin	RR FATCA Admin	RRADMINFATCA

NOTE If FATCA RR is installed and implemented with OFSFCCM/OFS-FATCA Assessment, do not create a separate FATCA Report Admin. Instead, map the RR FATCA Admin group to the existing OFSF-CCM/OFSFATCA Assessment Admin users.

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

3.1 Creating Users with Due Date as View-Only

To create users with a Due Date as View Only, un-map the **FATCA Report Edit Due Date** rule and map **FATCA Report View Due Date** role, for the selected group.

By default, all groups are mapped to have editable Due Dates on the UI.

For more information on due dates, refer to the *OFS FATCA Regulatory Reporting User Guide.*

For more information on User Group to Role mapping, refer to the *Oracle Financial Services Analytical Applications Infrastructure User Manual.*

4 Adding Client-Specific Security Attributes

To add client-specific security attributes to OFS FATCA Regulatory Reporting, follow these steps:

1. Download the following Excel sheets from `<ftpshare path>/STAGE/Excelupload/Templates` to the Windows machine. The `<ftpshare path>` is the same path given in variable `APP_DRIVE_TM` while installing OFSAAI. For more information, refer to the *Oracle Financial Services Analytical Applications Infrastructure Installation and Configuration Guide*.
   - `DIM_DOMAIN1.xlsx`: `DIM_DOMAIN1.xlsx` should be filled with Jurisdictions which are available in OFSFCCM.
   - `DIM_DOMAIN2`.xlsx: `DIM_DOMAIN2.xlsx` should be filled with Business Domains which are available in OFSFCCM.
   - `DIM_DOMAIN3`.xlsx: `DIM_DOMAIN3.xlsx` should be filled with Legal Entities which are available in OFSFCCM.
2. Upload the Excel data. For more information on steps to perform Excel Upload, refer to Chapter 8, *Appendix - Excel Upload*.
3. Navigate to **Administration menu > User Administration > Regulatory Report User's Attribute Administration**. This will take you to a drop-down list with all the OFS FATCA RR users created. Assign attributes to each user from each drop-down list.
4. Close the Regulatory Report User's Attribute Administration screen.
5. Logout from the OFS FATCA Regulatory Reporting application.

5 Loading Metadata into OFS FATCA RR

OFS FATCA Regulatory Reporting uses the following client-provided data as per their business requirements:

- Reporting Institution Details
- Reporting Institution to Report Type Mapping
- Filing Institution Details
- Filing Institution to Report Type Mapping
- User Information
- Mapping the Filing Institution with the CRS Attributes

Follow these steps to load the data into OFS FATCA RR:

1. Download the following excel sheets from the `<ftpshare path>/STAGE/Excelupload/AMCMLookupfiles/Template` directory to the Windows machine. The `<ftpshare path>` is the same path as given in the variable placeholder `##FTPSHARE_PATH##` in the `OFSAAI_InstallConfig.xml` file.
   - `DIM_REPORTING_INSTITUTION.xlsx`
   - `MAP_REPINST_REPTYPE.xlsx`
   - `DIM_FILING_INSTITUTION.xlsx`
   - `DIM_FATCA_DOMAIN1.xls`
   - `DIM_FATCA_DOMAIN2.xls`
   - `DIM_FATCA_DOMAIN3.xls`
   - `Dim_country.xls`

   NOTE
   - While creating report populate the filer information based on “ACCT.LEGAL_NTITY_ID” from the “DIM_FILING_INSTITUION” table.
   - Filling Institution table has field called DIM_FILING_INSTITUION.V_LEGAL_ENTITY_ID. There should be one to one mapping between DIM_FILING_INSTITUION.V_LEGAL_ENTITY_ID and ACCT.LEGAL_NTITY_ID.
   - “DIM_FILING_INSTITUION” also has “V_FILING_TYPE_CNTRY”, it explains whether the report is for UK, CA or US.

   - `MAP_FILINST_REPTYPE.xlsx`
   - `DIM_USERS.xlsx`
   - `FCT_BRCONTACT_INFO.xlsx`
   - `MAP_DMN2_ACCTNUMTYPE.xlsx`
2. Download the following excel sheets from the `<ftpshare path>/STAGE/Excelupload/TEMPLATE` directory to the Windows machine. The `<ftpshare path>` is the same path as

given in the variable placeholder ##FTPSHARE_PATH## in the OFSAAI_InstallConfig.xml file.

- MAP_FILING_INST_PARAM.xls

3. Add data in each Excel sheet as per your installation requirement.
4. Upload the Excel data. For more information on steps to perform Excel Upload, refer to Chapter 8, *Appendix - Excel Upload*.

> **NOTE** There are some static length check validation done on the specific field while creating reports. The list of those fields are shown below.

Table 1: Length Validation Details

Table Name	Field Name	UK	Canada
DIM_FILING_INSTITUTION	V_USER_ID	The length validation is 10 digit only	NA
DIM_FILING_INSTITUTION	V_REGISTER_ID	The length validation is13 digits only	The length validation is15 digits only
DIM_FILING_INSTITUTION	V_GIIN	NA	The length validation is 19 digits only
FCT_BRCONTACT_INFO	N_CONTACT_AREACD	NA	The length validation is 3 digits only
FCT_BRCONTACT_INFO	N_CONTACT_PHONE	NA	The length validation Requirement is 3 digit numeric with a (-), followed by 4 numeric
DIM_REPORTING_INSTITUTION	V_GIIN	NA	The length validation is19 digits only

6 Configuring Parameter

This chapter covers the following topics:

- Report Lock Period
- Due Date
- FATCA Reporting Year
- Receiving and Country Code

6.1 Report Lock Period

If a user forgets to log off from the OFS FATCA Regulatory Reporting application or if the screen is closed while accessing a report, the report gets locked for a preconfigured duration. By default, the duration is 60 minutes. This duration can be altered as per your requirement.

Table 1: Report Lock Period

Attribute Name	Value	Default pre-packaged value	Behavior	SQL
FATCA _ Reporting _Lock_Per iod	Number	60 Minutes	Time Limit in minutes till which the report will be locked, until a user logs off from the report or application.	UPDATE FATCA_SETUP_PARAMS SET N_SUB_PARAM_NB_1_VAL= '<DURATION IN MINUTES>' WHERE N_PARAM_KEY= 14; COMMIT;

6.2 Due Date

Table 2: Due Date

Attribute Name	Value	Default pre-packaged value	Behavior	SQL
Due_DATE_Params	Date	-	When an RR report is created manually or via an action from an alert or a case, the application automatically sets the due date to the date mentioned in the column.	UPDATE FATCA_SETUP_PARAMS SET D_SUB_PARAM_DT_1_VAL = '<Date which should be set as default due date for the report >' WHERE N_PARAM_KEY = 12;COMMIT;

NOTE Default due date will be Rep_Yr_End_Dt, if not specified in Due_DATE_Params.

6.3 FATCA Reporting Year

This parameter provides the details of the financial year for FATCA Reporting.

Table 3: FATCA Reporting Year

Attribute Name	Value	Default pre-packaged value	Behavior	SQL
Rep_Yr_Start_Dt	Date	-	Start date of FATCA reporting period.	UPDATE FATCA_SETUP_PARAMS SET D_SUB_PARAM_DT_1_VAL = '<START_DATE>' WHERE N_PARAM_KEY = 13; COMMIT;
Rep_Yr_End_Dt	Date	-	End date of FATCA reporting period.	UPDATE FATCA_SETUP_PARAMS SET D_SUB_PARAM_DT_2_VAL = '<END_DATE>' WHERE N_PARAM_KEY = 13; COMMIT;

6.4 Receiving and Country Code

This parameter represents the values to be populated in the Receiving and Transmitting tags in the Regular and NIL XMLs for the US region.

Table 4: Receiving and Country Code

Attribute Name	Value	Default pre-packaged value	Behavior	SQL
V_SUB_PARAM_TX_1_VAL	CHAR	-	This column represents the Receiving country.	UPDATE FATCA_SETUP_PARAMS SET V_SUB_PARAM_TX_1_VAL= '<Country Code of Receiving country for Regular and NIL XML of US Template>' WHERE N_PARAM_KEY= 15; COMMIT;
DIL_FILING_INSTITUTION.N_TRANSMITTER_CNTRY_KEY	Number	-	This column represents the Transmitting country. Update as per your requirement.	update dim_filing_institution SET N_TRANSMITTER_CNTRY_KEY =<Country Code of Receiving country for Regular and NIL XML of US Template> where n_filing_institution_key= <Filing Institution Key of filer>

7 FATCA RR Batch Execution

FATCA Reports can be generated through a batch process that can be executed periodically such as Daily, Weekly, Monthly, Quarterly, and Half-yearly depending on an organization's requirement.

You can configure the FATCA Reports batches as per the business process requirements of the organization. The OFS FATCA Regulatory Reporting has the following batches that assesses accounts and create Individual and Pooled FATCA RR Reports.

1. FATCA_RR batch (only for stand alone FATCA Reporting)
2. Oracle Case Report Processing FTS
3. Oracle Case Report Processing IRS
4. Oracle Case Pooled Report Processing
   - To file FTS Reporting - Run 2 and 4 batches
   - To file IRS Reporting - Run 3 and 4 batches

NOTE

- Execution of above batches (2, 3, and 4) will update the case status to Closed Report Generated, when ECM and BD are installed in same database.
- You cannot execute batches 2, 3,and 4 in sequence.
- Batch - 2 cannot be executed when batch-3 and 4 are executed. This will result into overwriting the existing report generated.

This chapter details the configuration of Batches and includes steps to do the following:

- Scheduling a Batch
- Running a Batch through Fire Run
- Monitoring a Batch After Execution
- Cancelling a Batch after Execution
- Re-starting a Batch
- Re-running a Batch

7.1 Scheduling a Batch

Ensure all the required servers, that is, ICC, Router, and Message are up and running before executing a batch. For more information on starting servers, refer to the *Oracle Financial Services Analytical Applications Infrastructure Installation and Configuration Guide.*

When an organization wants to run the batches periodically, a FATCA Administrator user can schedule the batches to run either once, daily, weekly, or monthly.

NOTE Before scheduling a batch, ensure that the ICC router and message server are up and running. For more information on starting ICC router and message server, refer to the Oracle Financial Services Analytical Applications Infrastructure User Manual Release.

This section includes the following topics:

- Scheduling a Batch Once

- Scheduling a Daily Batch
- Scheduling a Weekly Batch
- Configuring a Monthly Batch

> **NOTE** Before starting a batch, you must update the TSNNames.ora file and the dbname column of the dsnmater and DB_master tables. Information about these actions can be found in the Installation Guide.

7.1.1 Scheduling a Batch Once

To schedule a batch that you want to run only once, follow these steps:

1. Login to Oracle Financial Services Analytical Applications Infrastructure as a FATCA Administrator user.
2. Click **Common Tasks** and expand **Operations** from the LHS menu.
3. Click **Batch Scheduler**. The Batch Scheduler page is displayed.

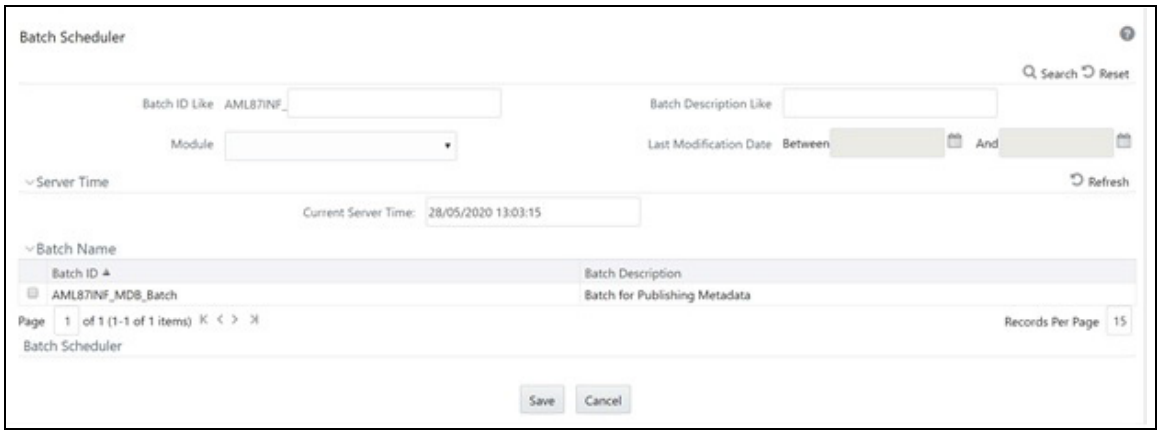

Figure 1: Batch Scheduler Page

4. Select a batch that you want to schedule from the list of available batches. The Batch Scheduler section expands and displays additional options.
5. Select **New Schedule**.
6. Set the frequency of the new schedule as **Once** by selecting the radio button.
7. Enter the schedule time of the batch by specifying the **Start Date** and the **Run Time**.
8. Click **Save**.

7.1.2 Scheduling a Daily Batch

To schedule a batch that you want to run daily, follow these steps:

1. Navigate to the Batch Scheduler page.
2. Select a batch that you want to schedule from the list of available batches. The Batch Scheduler section expands and displays additional options.
3. Click **New Schedule**.

4. Set the frequency of the new schedule as **Daily**.
5. Enter the schedule time of the batch by specifying the **Dates**, **Run Time**, and **Every field** information**.**

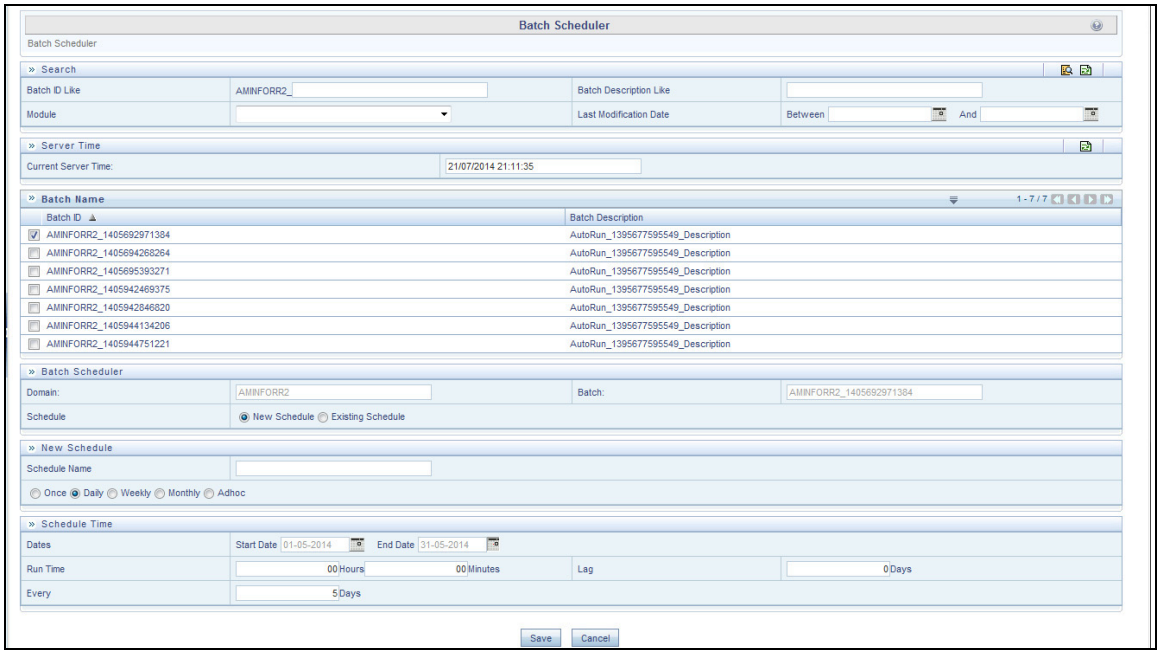

Figure 2: Scheduling a Daily Batch

6. Click **Save**.

7.1.3 Scheduling a Weekly Batch

To schedule a batch that you want to run weekly, follow these steps:

1. Navigate to the Batch Scheduler page.
2. Select a batch that you want to schedule from the list of available batches. The Batch Scheduler section expands and displays additional options.
3. Click **New Schedule**.
4. Set the frequency of the new schedule as **Weekly**.
5. Enter the schedule time of the batch by specifying the **Dates**, and other information such as **Run Time**, **Every,** and **Working days of the Week**.

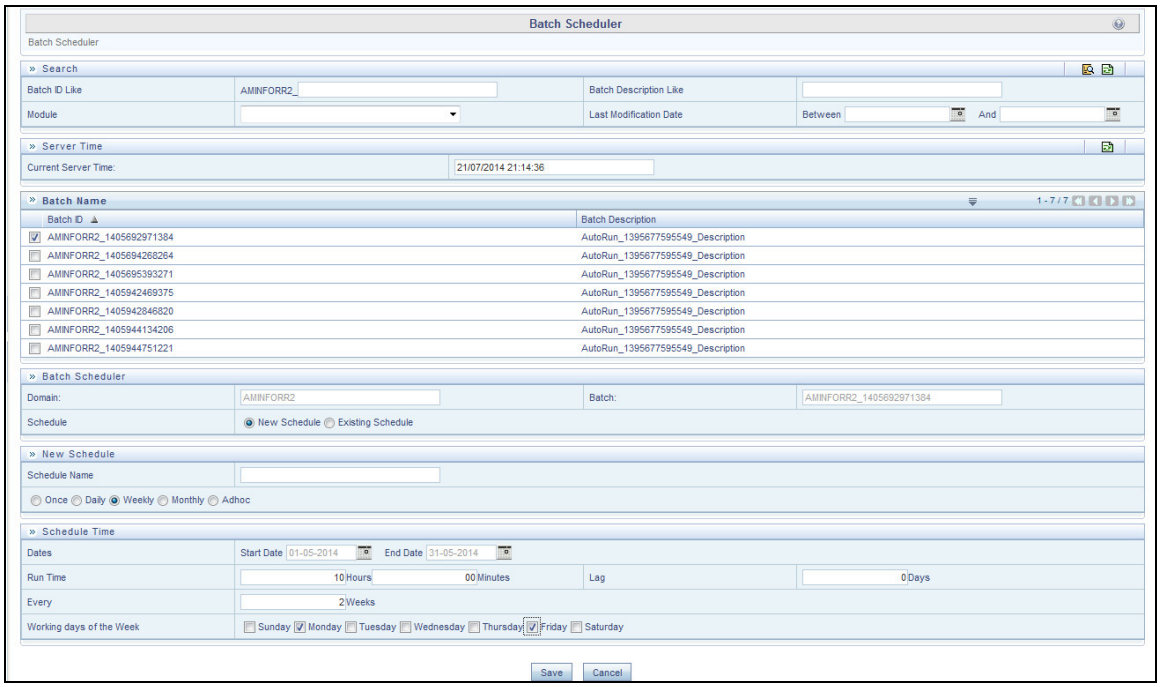

Figure 3: Scheduling a Weekly Batch

6. Click **Save**.

7.1.4 Configuring a Monthly Batch

To schedule a batch that you want to run monthly, follow these steps:

1. Navigate to the Batch Scheduler page.
2. Select a batch that you want to schedule from the list of available batches. The Batch Scheduler section expands and displays additional options.
3. Click **New Schedule**.
4. Set the frequency of the new schedule as **Weekly**.
5. Enter the schedule time of the batch by specifying the **Dates**, and **Run Time** information.

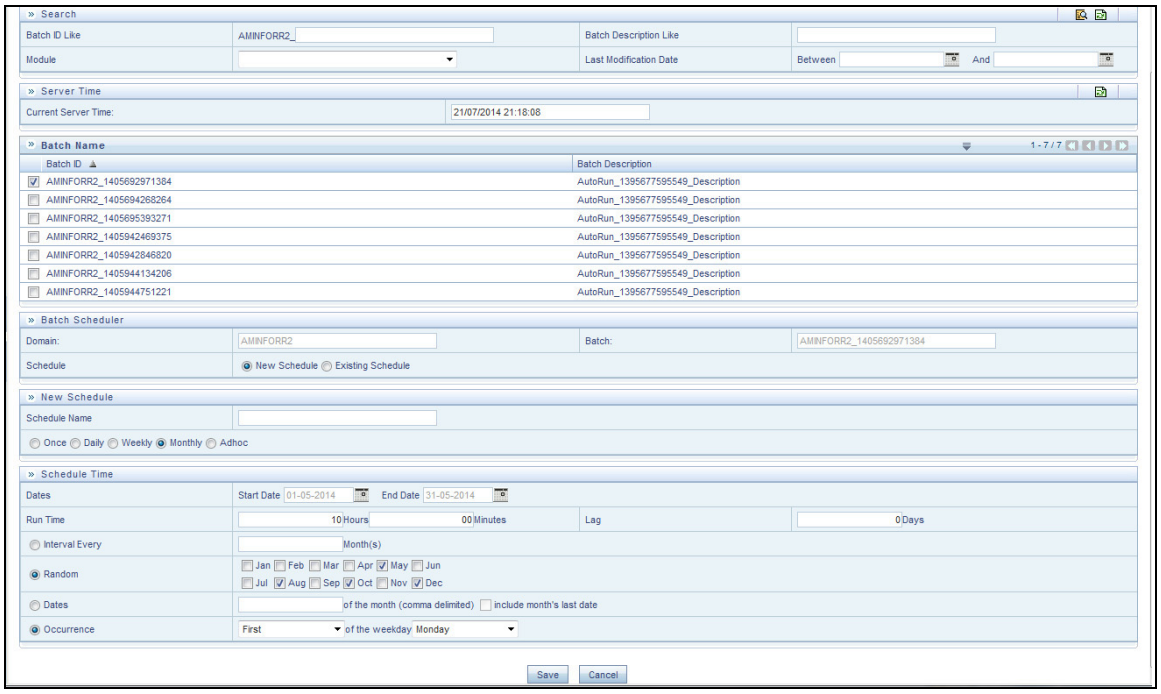

Figure 4: Configuring a Monthly Batch

6. Click **Save**.

7.2 Running a Batch through Fire Run

When you want run a batch once without using the Batch Scheduler option, you can run a batch using Fire Run.

To run a batch through Fire Run, follow these steps:

1. Login to Oracle Financial Services Analytical Applications Infrastructure as a FATCA Administrator user.
2. Click **Common Tasks** and expand **Rules Framework** from the LHS menu.
3. Click **Run**. The Run Rules Framework page is displayed on the RHS.

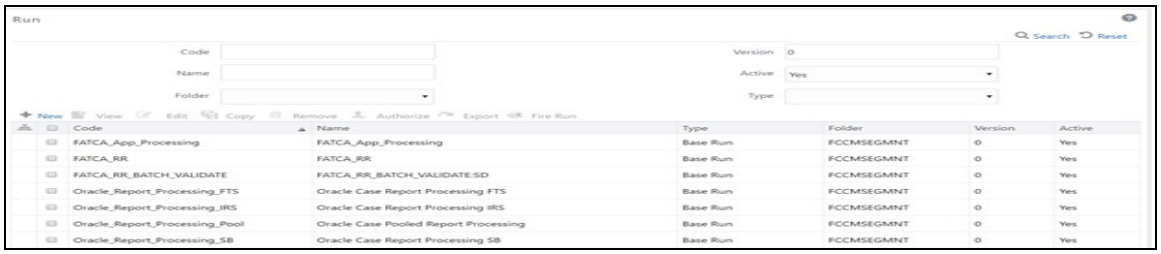

Figure 5: Run Rules Framework Page

4. Select `FATCA_RR` from the Run List using the check box. The action buttons in the List header are enabled.
5. Click **Fire Run**. The Run Rule Framework window is displayed.

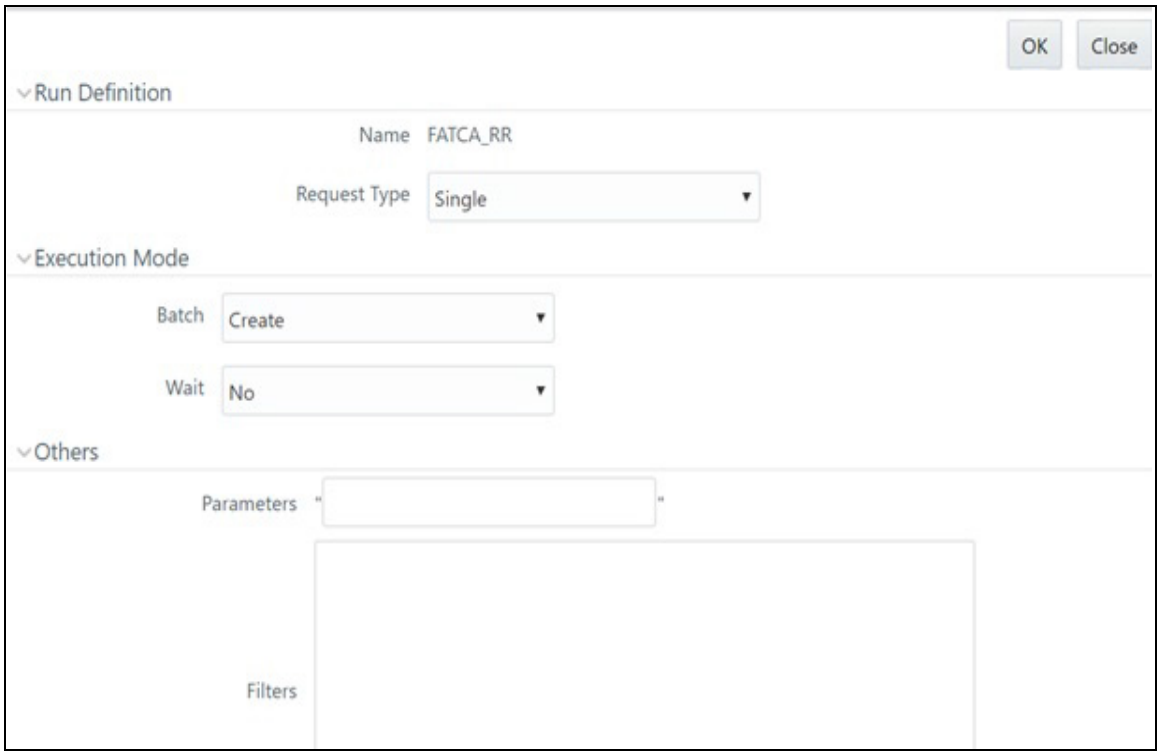

Figure 6: Run Rule Framework Window

6. Select Request Type as **Single**.
7. From the Execution Mode section, select **Create and Execute** from the Batch drop-down list. An MIS Date field is displayed adjacently.
8. Select an MIS Date using the calender icon.
9. Select **No** from the Wait drop-down list.
10. Click **OK**.

7.3 Monitoring a Batch After Execution

Monitoring a batch helps you track the status of execution of an individual task that was included in the batch. Through monitoring, you can also track the batch status, which in turn helps in debugging.

To monitor a batch after it is executed, follow these steps:

1. Login to Oracle Financial Services Analytical Applications Infrastructure as a FATCA Administrator user.
2. Click **Common Tasks** and expand **Operations** from the LHS menu.
3. Click **Batch Monitor**. The Batch Monitor page is displayed.

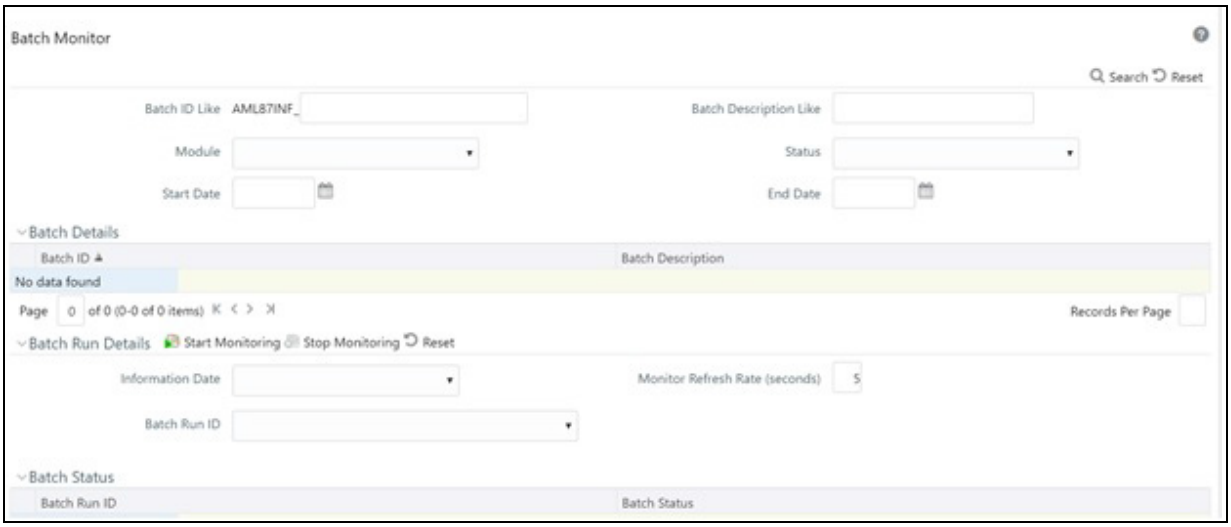

Figure 7: Batch Monitor Page

4. Select a batch from the Batch Details lists that you want to monitor.
5. From the Batch Run Details section, select an Information Date and the Batch Run ID from the drop-down list.
6. Click to start the monitoring.

The execution details namely, Batch Status, Task Details, and Event Log details are displayed.

7.4 Cancelling a Batch after Execution

Cancellation of a batch cancels a current batch execution.

> **NOTE** This is not recommended and should be done only when the batch was fired accidentally or when a particular batch is taking too long time to execute.

To cancel a batch after it is executed, follow these steps:

1. Login to Oracle Financial Services Analytical Applications Infrastructure as a FATCA Administrator user.
2. Click **Common Tasks** an expand **Operations** from the LHS menu.
3. Click **Batch Cancellation**. The Batch Cancellation page is displayed.

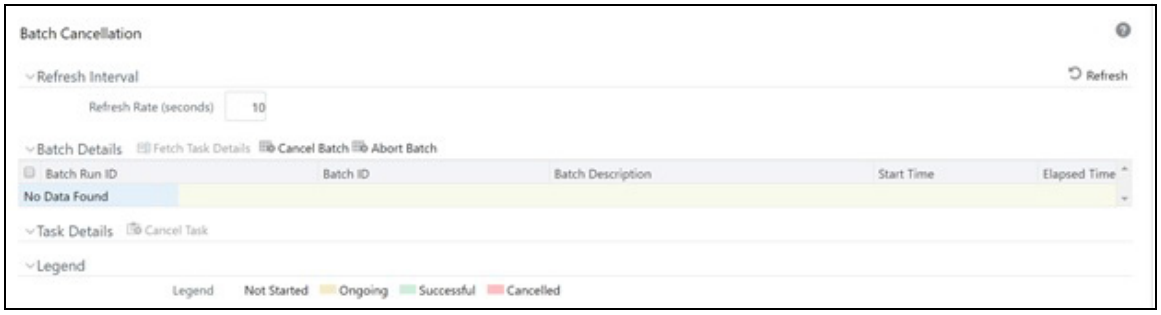

Figure 8: Batch Cancellation Page

4. Under the Batch Details section, select the batch whose execution you want to cancel.
5. Click **Cancel Batch**.

7.5 Re-starting a Batch

You can restart a batch execution when a batch has failed in execution. When you restart a batch, it starts from the task at which it had failed. This happens when the failed task issue is debugged and resolved.

> **NOTE** It is recommended that you debug and resolve a failed task before restarting the batch execution.

To restart a batch execution, follow these steps:

1. Login to Oracle Financial Services Analytical Applications Infrastructure as a FATCA Administrator user.
2. Click **Common Tasks** and expand **Operations** from the LHS menu.
3. Click **Batch Execution**. The Batch Execution page is displayed.
4. Select the **Restart** radio button option from the Batch Mode section.

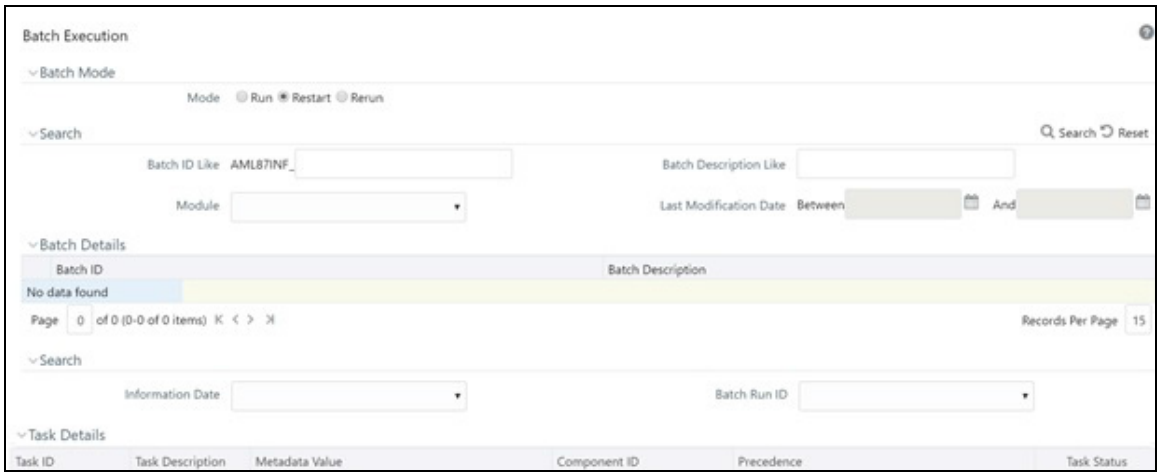

Figure 9: Re-starting a Batch

5. Select the batch you want to restart from the Batch Details section.
6. Select the Information Date and Batch Run ID for the selected batch from the drop-down list.
7. Click **Execute Batch**.

7.6 Re-running a Batch

You can rerun a batch execution when you want all the tasks from a successful batch execution to be executed again from the beginning. When a successfully executed batch is rerun, a different Batch Run ID is created for each instance for the same Information Date.

> **NOTE** Creating different Batch Run ID for each rerun of a batch is optional depending upon your firm's requirement.

To rerun a batch, follow these steps:

1. Login to Oracle Financial Services Analytical Applications Infrastructure as a FATCA Administrator user.
2. Click **Common Tasks** and expand **Operations** from the LHS menu.
3. Click **Batch Execution**. The Batch Execution page is displayed.
4. Select the **Rerun** radio button from the Batch Mode section.

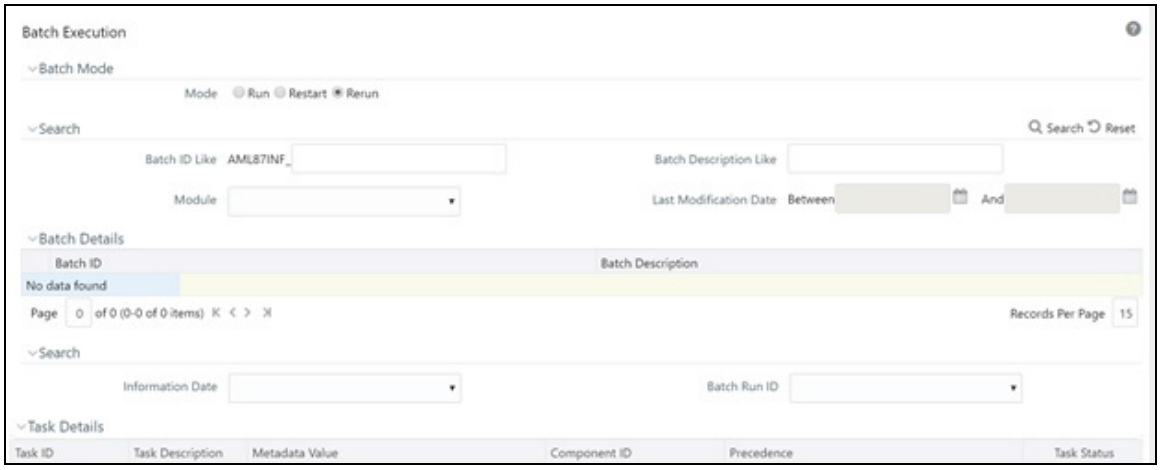

Figure 10: Re-running a Batch

5. Select the batch you want to rerun from the Batch Details section.
6. Select the Information Date and Batch Run ID for the selected batch from the drop-down list.
7. Click **Execute Batch**.

8 Appendix - Excel Upload

For Excel Upload, follow these steps:

1. Login to OFS FATCA Regulatory Reporting as Admin user.
2. Navigate to `Unified Metadata Manager > Data Entry Forms and Queries > Excel Upload`. The Excel Upload page is displayed.

> **NOTE** After logging, make sure the OFS FATCA Regulatory Reporting application Information Domain is selected from the drop-down list at the left hand corner of the page.

3. .Click **Browse** under the Excel File to Upload section.
4. Select any one of the Excel sheets.
5. Click on the **Arrow** next to Browse.
6. Preview the data created under the Preview section.
7. In the Excel - Entity Mappings section, click the Arrow.
8. Select the table name that is the same as the name of the Excel sheet.
9. Click **Upload**. The following message is displayed: *Successfully Uploaded Data.*
10. Click **OK**.

> **NOTE** If the upload fails, click on view logs button to check the logs.

11. Close the Excel Upload page.

OFSAA Support Contact Details

Raise a Service Request (SR) in My Oracle Support (MOS) for queries related to OFSAA applications.

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