Oracle Financial Services Governance, Risk, and Compliance Application Pack

Installation Guide

Version 8.0.1.0.0



DOCUMENT CONTROL

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Executive Summary

This document includes the necessary instructions to apply the OFS GRC Application Pack 8.0.1.0.0 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 Application Pack 8.0.1.0.0 Minor Release.

This chapter discusses the following topics:

- Audience
- · How this Guide is organized
- Related Documents
- Recommended Environment
- Conventions and Acronyms

Audience

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

Prerequisites for the Audience

The document assumes that you have experience in installing Enterprise components and basic knowledge about the following is recommended.

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

- Oracle Financial Services Analytical Applications Infrastructure pack components
- OFSAA Architecture
- UNIX Commands
- Database Concepts
- Web Server/ Web Application Server

How this Guide is Organized

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

- OFS GRC Application Pack Release 8.0.1.0.0
- Appendix A

Related Documents

Following are the related documents and they are available on OTN:

- OFS OR/GCM Readme 8.0.1.0.0
- OFS OR/GCM User Guide 8.0.1.0.0
- OR/GCM Workflow Manager Guide 8.0.1.0.0
- OFS MRM User Guide 8.0.1.0.0

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.

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 Application Pack Minor Release 8.0.1.0.0

This Minor Release of OFS GRC Application Pack is cumulative and includes all enhancements and bug fixes done since the OFS GRC Application Pack v8.0 GA release. For more information, refer to OFS GRC Application Pack v8.0.1.0.0 Readme.

2.1 Pre Installation Requirements

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

NOTE: You can refer to <u>Technology Matrix</u>, for Hardware and Software Requirements.

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

2.2 How to Apply This Minor Release?

2.2.1 Installing OFS GRC

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

- Login to https://support.oracle.com/ and search for 21655952 under the Patches and Updates tab.
- Download the OFS GRC Application Pack 8.0.1.0.0 Minor Release archive file and copy it to your OFSAA server in **Binary** mode.

NOTE: Rename the existing GRC Application 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, Solaris, and RHEL/OEL, Solaris SPARC, and Solaris X86.

- 3. Stop all OFSAAI services. For more information, refer the *Start/Stop Infrastructure Services* section in OFS GRC 8.0.0.0.0 Installation Guide.
- 4. Update memory setting in the user .profile file as following:

```
X_ARGS_APP="-Xms2g -Xmx14g -XX:+UseAdaptiveSizePolicy -
XX:MaxPermSize=1024M-XX:+UseParallelOldGC -
XX:+DisableExplicitGC"
export X ARGS APP
```

Note: X_ARGS_APP parameter is modified in the .profile file to customize Java Memory Settings for Model Upload based on the Data Model size.

5. 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 *
```

- 6. 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 8.0.1.0.0 Minor Release.
 - Uncompress the unzip installer file using the command:

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

NOTE: 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
```

7. Extract the contents of the 8.0.1.0.0 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>

- 8. Go to /OFS_BGRC_PACK/OFS_BGRC/conf/PatchConfig.xml
- 9. Update the PatchConfig.xml for the below 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)	Yes
	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 avaiable under /OFS_BGRC_PACK/OFS_BGRC/pre_scrip ts and /OFS_BGRC_PACK/OFS_BGRC/post_scripts respectively.	
	Note: Execution of these scripts should be done in the atomic schema.	
##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.	Yes
	Note: Refer OFSGRC 8.0 Installation Kit directory (/OFS_BGRC_PACK/schema_cre ator/OFS_BGRC_SCHEMA_OUTPUT.xml for the ATOMIC schema name.	
##OFS_ORA_ORA_SOURCE_PW##	This variable is used for capturing Operational Risk Analytics (ORA) Source User Password. The value to be provided is password of ATOMIC schema mentioned in the above field.	Yes
	Note: Password needs to be in normal text not encrypted format.	

##OFS_OR_INDEX_TBS##	This variable used for capturing Index table space used during OFS GRC 8.0 Installations.	Yes
	Note:	
	Refer OFSGRC 8.0.0.0.0 Installation Kit	
	directory(/OFS_BGRC_PACK/schema_cre	
	ator/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.	Yes
	Note:	
	Refer OFSGRC 8.0 Installation Kit	
	directory(/OFS_BGRC_PACK/schema_cre	
	ator/ OFS_BGRC_SCHEMA_OUTPUT.xml	
	for the Data table Space Value	
##OFS_OR_EXECUTE_PRE_AND_POST SCRIPTS##	This attribute would be used by Installer to	Yes
_	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	
	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 scrip	
	ts ans	
	/OFS_BGRC_PACK/OFS_BGRC/post_scri	

pts respectively.	
Note:	
Execution of these scripts should be done in the atomic schema.	

10. Give EXECUTE permission to the Minor Release patch installer script. Navigate to OFS BGRC PACK and execute the command below:

```
chmod 755 OFSAAIUpdate.sh
```

11. Execute the following command to start the installation.

```
./OFSAAIUpdate.sh
```

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.

In case of any errors, contact Oracle Support.

12. Post successful installation of the Minor Release, apply below OFSAAI 1-off patches.

Login to https://support.oracle.com/ and search for bug id 21552188 and 21680171 under the Patches and Updates tab. Download and copy both patches to your OFSAA server in the **Binary** mode.

- 13. 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>
```

- 14. Delete the existing EAR/WAR file available in the folder \$FIC HOME/ficweb.
- 15. 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 Guide.
- 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 Guide.
- 17. Deploy the RPD and Catalog OBIEE files present under \$FIC_HOME/OBIEE folder. For detailed steps, refer to *Appendix N* in OFS GRC 8.0.0.0.0 Installation Guide.

2.3 Post Installation Configurations

On successful installation of OFSGRC v8.0.1.1.0, below post installation configurations are to be followed. 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

2.3.1 Test Data Execution

After successful installation, you can create OOB GRC application users through scripts available under \$FIC HOME/ficdb/Test Data folder:

To Execute Sample User Scripts follow these steps:

- 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 application in initial stages. However, Oracle does not restrict on use of GRC application 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 >> Utilities >> Save Metadata
- 3. Select all the hierarchies from the Available Metadata and move it to Selected Metadata.
- 4. Click Save.

2.3.3 KBD-Group-Role Mapping 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 >> Common Tasks >> Unified Metadata Manager >> Business Metadata Management >> Reference Data Mapping.
- 3. In right hand side Map Maintenance screen, select "Org Unit Loc" mapper and click **Mapper Maintenance** button.
- 4. In the new page, click on "Pushdown" button available on Member combinations grid.
- 5. Once successful message comes, click **OK**.

2.3.4 User-Group Mapping Population

Once Push down is completed successfully, to execute the REFRESH_ACCESS_RIGHTS batch, follow these steps:

- 1. Login to the Application as Administrator.
- 2. Navigate to Applications >> Common Tasks >> Operations >> Batch Execution.
- 3. Select ##INFODOM## REFRESH ACCESS RIGHTS batch and execute it.
- 4. Refer Batch monitor for batch status.

2.3.5 Deploying Operational Risk Dashboard

This section explains how to deploy Configuration and Deployment of GRC Analytics on Oracle Business Intelligence Enterprise Edition (OBIEE).

For more information on deploying operational risk dashboard analytics, refer Deploying Operational Risk Dashboards Analytics APPENDIX M in OFS GRC 8.0.0.0.0 Installation Guide.

To configure KBD Security in Operational Risk Dashboard, refer to Appendix A.

Appendix A

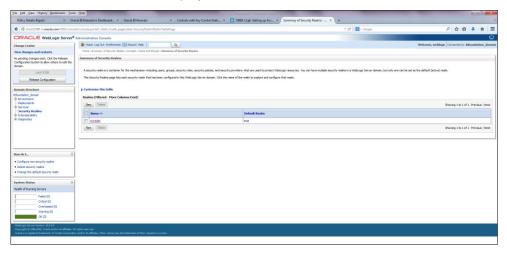
Configuring KBD Security in Operational Risk Dashboard

To configure KBD Security in Operational Risk, follow these steps:

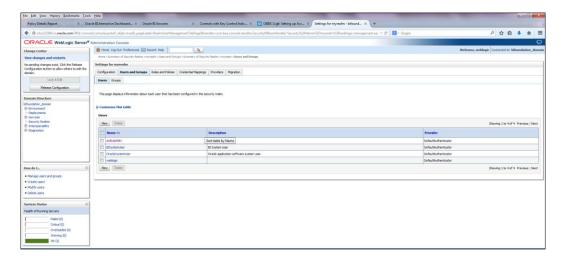
1. Open the console URL (http://localhsot:7001/console). The OBIEE Console page is displayed.



2. Login with admin username *weblogic* and password. The WebLogic Server Administration Console is displayed.



- 3. In the Domain Structure section, select Security Realms.
- 4. In the Realms section, select **myrealm**. The Security for myrealm displays the information about each user that has been configured in the security realms.

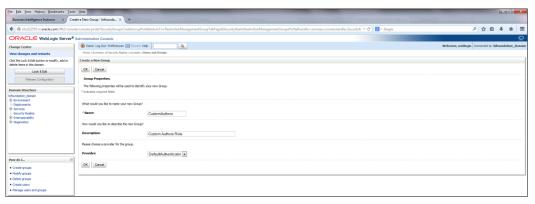


Creating a New group

This section explains how to create new group in OBIEE.

To create a new group, follow these steps:

1. In the Security for myrealms section, click on the **Groups** tab, click on the **New** button. The Create New Group page is displayed.



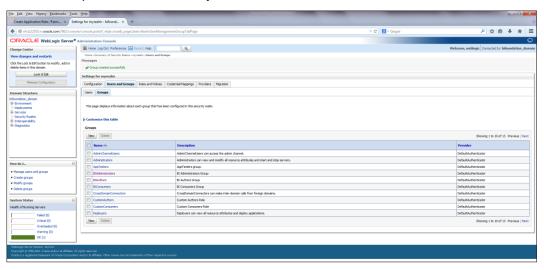
2. Enter following information for creating *CustomAuthors Group*.

Fields	Description
Name	Enter CustomAuthors.
Description	Enter Custom Author Group
Provider	Select DefaultAuthenticator from the Provider drop-down list.

3. Enter following information to create *CustomConsumers Group*.

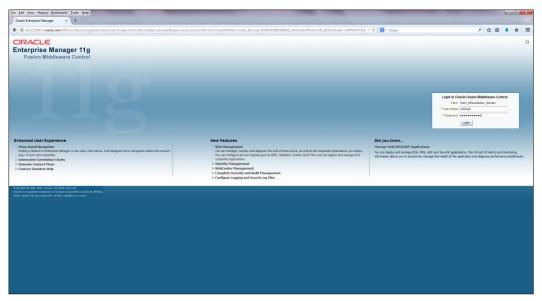
Fields	Description
Name	Enter CustomConsumers.
Description	Enter Custom Consumer Group
Provider	Select DefaultAuthenticator from the Provider drop-down list.

4. Click **OK**. After successful creation of group, following message is displayed: *Group created successfully*.

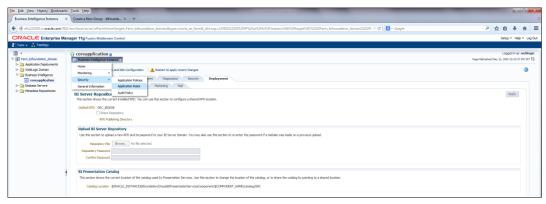


Creating Application Roles

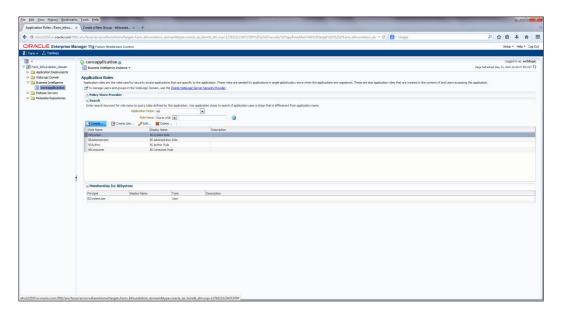
Open the OBIEE Enterprise Manager URL (http://localhost:7001/em). The Enterprise Manager Login page is displayed.



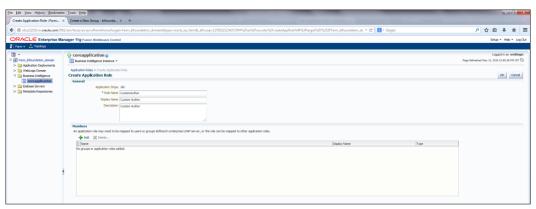
2. Login with admin username *weblogic* and password. The WebLogic Server Administration Console is displayed.



- 3. In the left pane, click the **Farm_bifoundation_domain** and select Weblogic Domain.
- 4. Right click on **bifoundation_domain** and select **Security**, select **Application Roles**. The Application Role page is displayed.



5. Click **Create**. The Application Role fields are enabled.



6. Enter following information to create CustomAuthor role.

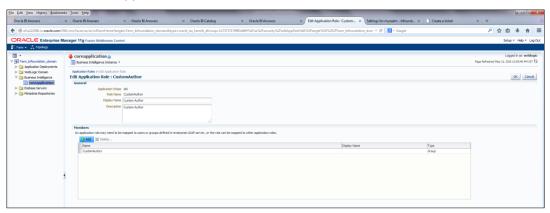
Fields	Description
Role Name	Enter role name as CustomAuthor.
Display Name	Enter display name as CustomAuthor
Description	Enter CustomAuthor

7. Enter following information to create *CustomConsumer role*.

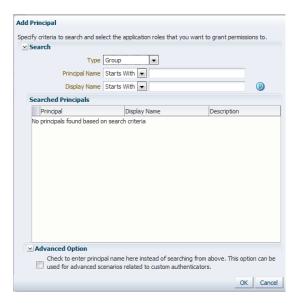
Fields	Description
Name	Enter role name as CustomConsumer.
Display Name	Enter display name as CustomConsumer.
Description	Enter Custom Consumer.

Mapping Group to Application Role

1. Go to Edit Application Role section.



2. In the Members section, click **Add** to map the group to the application role. The Add Principal window is displayed.



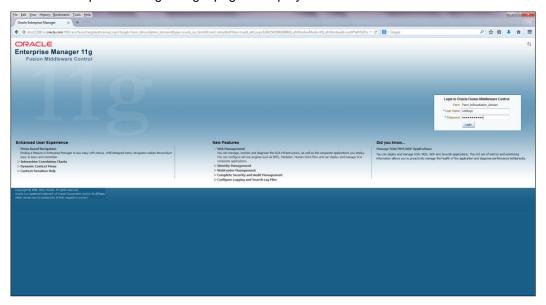
3. Select Type as Group and click blue button to list all the groups. The Searched Principals list is displayed.



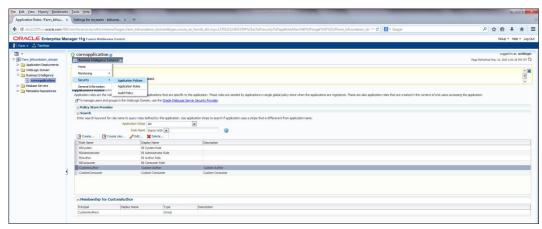
4. Select CustomAuthors/CustomConsumer. Click OK.

Creating Application Policies

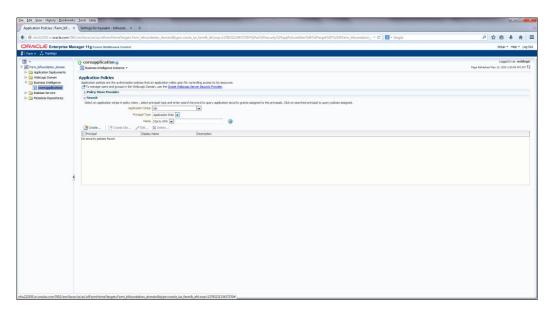
1. Open the OBIEE Enterprise Manager URL (http://localhost:7001/em). The Enterprise Manager Login page is displayed.



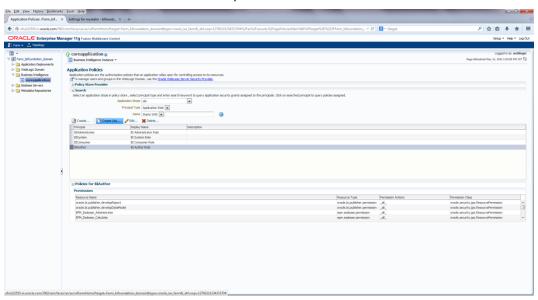
2. Login with admin username *weblogic* and password. The WebLogic Server Administration Console is displayed.



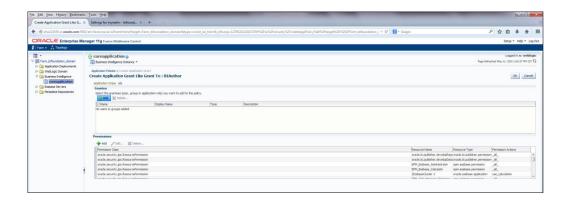
- 3. In the left pane, click the **Farm_bifoundation_domain** and select Weblogic Domain.
- 4. Right click on **bifoundation_domain** and select **Security**, select **Application Policies**. The Application Policies page is displayed.



- 5. In the Policy Store Provider section, select *obi* from Application Stripe drop-down lilst.
- 6. Click on the blue arrow. All the policies are listed.



7. From the list, select **BIAuthor** and click **Create Like**. The Create Application Grant Like Grant to section is displayed.

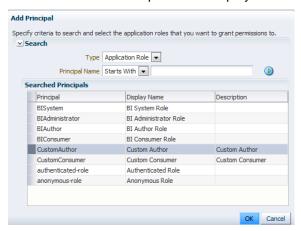


Mapping Application Role to Application Policies

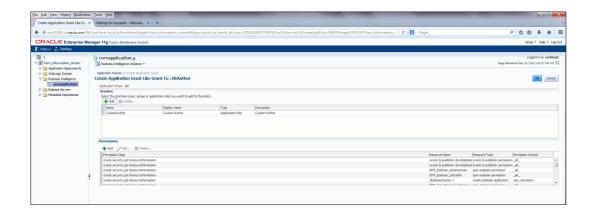
1. In the Grantee section, click **Add**. The Add Principal window is displayed.



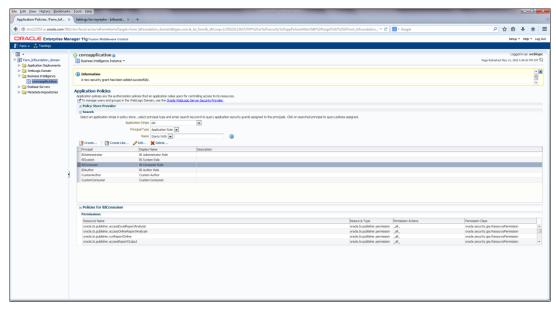
2. Select Type as Application Role and click blue button to list all the groups. The Searched Principals list is displayed.



3. Select CustomAuthor. Click OK.



4. Click **OK**. The following message is displayed. A new security grant has been added successfully.



5. Enter 0 or 1 as V_PARAMVALUE for V_PARAMNAME 'OBIEE_SECURITY_FLAG' in atomic schema's table 'dim_ror_configuration' if one level/two levels security is required respectively.

Appendix B

Frequently Asked Questions

What checks does the 8.0.1.0.0 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.

- 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

- files in Debug level for the modules Archive/Restore, Metadata Browser and RRF respectively.
- 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 <u>OFS Advanced Analytical</u> <u>Applications Infrastructure Application Pack Installation and Configuration Guide –</u> Release 8.0.
- 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 8.0.1.0.0?

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 8.0.1 if installation fails while uploading data model or prior to that?

Once GRC 801 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 8.0.1 installer, follow below instructions:

- 1. Extract the contents of the 8.0.1.0.0 Minor Release archive file.
- 2. Fill all details in PatchConfig.xml under OFS BGRC PACK/OFS BGRC/conf.
- 3. Execute OFSAAIUpdate.sh.

OFS GRC 8.0.1.0.0 Installation Guide

Configuration IVDD Consults in Operational Diels Double Configuration
Configuring KBD Security in Operational Risk Dashboard To configure KBD Security in Operational Risk, follow these steps:
5. 1. <u>5. 1</u>



OFSGRC 8.0.1.0.0 Installation Guide

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