

Oracle Financial Services  
Compliance Regulatory Reporting  
**Administration Guide US SAR**

*Release 8.0*  
*July 2015*





Oracle Financial Services  
Compliance Regulatory Reporting  
**Administration Guide US SAR**

*Release 8.0*  
*July 2015*

Document Control Number: 9MN11-2.5.1-01-04  
Document Number: AG-15-RR-004-2.5.1-01

Oracle Financial Services Software, Inc.  
1900 Oracle Way  
Reston, VA 20190

Document Number: AG-15-RR-004-2.5.1-01  
First Edition (July 2015)

**Copyright ©1996-2014, Oracle and/or its affiliates. All rights reserved.**

Printed in U.S.A. No part of this publication may be reproduced, stored in a retrieval system, or transmitted in any form or by any means, electronic, mechanical, photocopying, recording, or otherwise without the prior written permission.

**Trademarks**

Oracle is a registered trademark of Oracle Corporation and/or its affiliates.  
Other names may be trademarks of their respective owners.

Oracle Financial Services Software, Inc.  
1900 Oracle Way  
Reston, VA 20190  
*Phone:* (703) 478-9000  
*Fax:* (703) 318-6340  
*Internet:* [www.oracle.com/financialservices](http://www.oracle.com/financialservices)

---

# Contents

---

<b>About This Guide .....</b>	<b>v</b>
Who Should Use this Guide .....	v
How this Guide is Organized .....	v
Where to Find More Information .....	vi
Conventions Used in this Guide .....	vi
<b>CHAPTER 1            <i>OFSRR User Setup</i> .....</b>	<b>1</b>
Creating Users and User Groups .....	1
Mapping User to Infodom .....	2
Mapping Users To User Groups .....	2
Configuring US SAR Template .....	2
<b>CHAPTER 2            <i>Loading the Static Data and Product Supplied Metadata into                                  OFSRR</i> .....</b>	<b>3</b>
Loading Client Specific Data .....	3
Configuring Security Attributes for Users .....	4
Loading Product Supplied Metadata .....	5
<b>CHAPTER 3            <i>Multiple AML Systems</i> .....</b>	<b>7</b>
Integrating OFSRR Application with OFSFCCM .....	7
Integrating OFSRR Application with Oracle Manatas 5.x .....	8
<b>CHAPTER 4            <i>Configuring Parameters</i> .....</b>	<b>9</b>
Report Lock Period .....	9
Activity Information .....	9
Default Domain 1 .....	9



---

# About This Guide

This guide provides comprehensive instructions to perform administration activities to configure the Oracle Financial Services Compliance Regulatory Reporting (herein referred to as OFSRR).

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

## Who Should Use this Guide

The *Oracle Financial Services Compliance Regulatory Reporting 8.0 Administration Guide US SAR* is designed for use by Oracle Financial Services administration users. Their roles and responsibilities, as they operate within the OFSRR application, include the following:

- **System Administrator:** This user configures, maintains, and adjusts the system and is usually an employee of a specific Oracle Financial Services client. The System Administrator maintains user accounts and roles, archives data, and loads data feeds.

## How this Guide is Organized

The *Oracle Financial Services Compliance Regulatory Reporting 8.0 Administration Guide US SAR*, includes the following topics:

- Chapter 1, *OFSRR User Setup*, describes the steps involved in creation of users and user groups.
- Chapter 2, *Loading the Static Data and Product Supplied Metadata into OFSRR*, explains the steps involved in loading static and product supplied meta data.
- Chapter 3, *Multiple AML Systems*, explains the steps involved in integrating RR application with OFSFCCM / Oracle Mantas 5.x application.
- Chapter 4, *Configuring Parameters*, explains the steps to configure the report lock time period, activity information, and the default jurisdiction.

## Where to Find More Information

For more information on OFSRR, refer to the following documents:

- *Oracle Financial Services Compliance Regulatory Reporting Installation Guide*
- *Oracle Financial Services Compliance Regulatory Reporting Data Model Reference Guide*
- *Oracle Financial Services Compliance Regulatory Reporting United States Suspicious Activity Report User Guide*
- *Oracle Financial Services Compliance Regulatory Reporting Web Services Guide*
- *Oracle Financial Services Compliance Regulatory Reporting ReadMe*

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

## Conventions Used in this Guide

Table 1 lists the conventions used in this guide.

**Table 1. Conventions Used in this Guide**

Convention	Meaning
<i>Italics</i>	<ul style="list-style-type: none"><li>● Names of books, chapters, and sections as references</li><li>● Emphasis</li></ul>
<b>Bold</b>	<ul style="list-style-type: none"><li>● Object of an action (menu names, field names, options, button names) in a step-by-step procedure</li><li>● Commands typed at a prompt</li><li>● User input</li></ul>
Monospace	<ul style="list-style-type: none"><li>● Directories and subdirectories</li><li>● File names and extensions</li><li>● Process names</li><li>● Code sample, including keywords and variables within text and as separate paragraphs, and user-defined program elements within text</li></ul>
<Variable>	Substitute input value



This chapter describes how to provide access to users in the OFSRR applications, through the user groups. This chapter includes the following topics:

- Creating Users and User Groups
- Mapping User to Infodom
- Mapping Users To User Groups

## ***Creating Users and User Groups***

1. For creating users and user groups, refer to *Oracle Financial Services Analytical Applications Infrastructure User Manual*.

**Note:** If you are integrating OFSRR with OFSFCCM, then do not create OFSRR administration user. The OFSFCCM administration user to be used for OFSRR administration as well.

2. Once the users groups are created map the roles to the user groups as per the following list.

**Note:** While creating user groups manually using SMS AAI interface, use the precedence range/values between 3001 to 4000.

- For RR Analyst group, map the following roles:
  - Access to US SARDI Report
  - Reg Report Analyst role
- For RR Supervisor group, map the following roles:
  - Access to US SARDI Report
  - Reg Report Supervisor Rol
  - RR Supervisor with Edit
- For RR Super User group, map the following roles:
  - Access to US SARDI Report
  - Reg Report Supervisor Rol
  - RR Supervisor with Edit
  - Reg Report Analyst role
  - RR Admin with Edit
  - Reg Report Admin Role
- For RR Auditor group, map the following roles:
  - Access to US SARDI Report
  - Auditor
- For RR Administrator group, map the following roles:

- Access to US SAR/DIR Report
- RR Admin with Edit
- Reg Report Admin Role
- Excel Admin Role
- To View the Due Date, map the following role to the required user group:
  - RR Due Date with View
- To View and Edit the Due Date, map the following role to the required user group:
  - RR Due Date with Edit

## ***Mapping User to Infodom***

Map all RR user groups to RR Infodom. For mapping user groups to infodom, refer to *Oracle Financial Services Analytical Applications Infrastructure User Manual*.

## ***Mapping Users To User Groups***

Map all RR users to respective user groups. For information on User to User Group mapping, refer to *Oracle Financial Services Analytical Applications Infrastructure User Manual*.

## ***Configuring US SAR Template***

1. Execute the following script in the Oracle Financial Services Analytical Applications Infrastructure configuration schema:

```
update cssms_role_function_map m set m.v_function_code = 'RRSEEDIT' where  
m.v_function_code = 'RRSACC' and m.v_role_code = 'RRANA';
```

# *Loading the Static Data and Product Supplied Metadata into OFSRR*

## **Loading Client Specific Data**

1. To add client specific security attributes to OFSRR system, navigate to <ftpshare path>/STAGE/Excelupload/Templates. The <ftpshare path> is the same path given in variable APP\_DRIVE\_TM while installing OFSAAI. For more information, refer *Oracle Financial Services Analytical Applications Infrastructure Installation and Configuration Guide*.
2. Download the following Excel sheets to the Windows machine from the path given in the previous step:
  - a. DIM\_DOMAIN1.xlsx
  - b. DIM\_DOMAIN2.xlsx
  - c. DIM\_DOMAIN3.xlsx
  - d. DIM\_DOMAIN4.xlsx
  - e. DIM\_DOMAIN5.xlsx
  - f. fct\_transmitter\_info
  - g. dim\_filing\_inst
  - h. dim\_users
  - i. fct\_branch\_info
  - j. fct\_fininst\_info
3. Add data in each Excel sheet as per your report requirement by referring to *Oracle Financial Services Compliance Regulatory Reporting Data Model Reference Guide*.
4. DIM\_DOMAIN1.xlsx must be filled with Jurisdictions which are available in OFSFCCM. For more information refer section, *Security Attribute1 Static Information* in the *Oracle Financial Services Compliance Regulatory Reporting Data Model Reference Guide*.
  - a. DIM\_DOMAIN2.xlsx must be filled with Business Domains which are available in OFSFCCM. For more information refer section, *Security Attribute2 Static Information* in the *Oracle Financial Services Compliance Regulatory Reporting Data Model Reference Guide*.
  - b. DIM\_DOMAIN3.xlsx must be filled with Case Type and Case SubType which are available in OFSFCCM. For more information refer section, *Security Attribute3 Static Information* in the *Oracle Financial Services Compliance Regulatory Reporting Data Model Reference Guide*.
  - c. DIM\_DOMAIN4.xlsx must be filled with Organizations which are available in OFSFCCM. For more information refer section, *Security Attribute4 Static Information* in the *Oracle Financial Services Compliance Regulatory Reporting Data Model Reference Guide*.
  - d. DIM\_DOMAIN5.xlsx must be filled with Scenario Classes which are available in OFSFCCM. For more information refer section, *Security Attribute5 Static Information* in the *Oracle Financial Services Compliance Regulatory Reporting Data Model Reference Guide*.

- e. `fct_transmitter_info`, For more information, refer section Transmitter Information in *Oracle Financial Services Compliance Regulatory Reporting Data Model Reference Guide*.
- f. `DIM_FILING_INST.xlsx`: Before loading `DIM_FILING_INST` table (`DIM_FILING_INST.xlsx`), it is necessary to upload first `DIM_COUNTRY` spreadsheet from `"../ftpshare/STAGE/ExcelUpload/Templates"` folder, otherwise Excel Upload will fail with the following exception:  

```
[ETL-EXCELUPLOAD]Failed to upload Record: 2 into DIM_FILING_INST. Exception is:  
java.sql.SQLIntegrityConstraintViolationException: ORA-02291: integrity constraint  
(MTS_OFSFCCM.FK_DIM_FILING_INST_6) violated - parent key not found
```

For more information, refer section Filing Institution Information in *Oracle Financial Services Compliance Regulatory Reporting Data Model Reference Guide*.
- g. `dim_users`, For more information, refer section User information in *Oracle Financial Services Compliance Regulatory Reporting Data Model Reference Guide*.
- h. `fct_branch_info`, For more information, refer section Branch Information in *Oracle Financial Services Compliance Regulatory Reporting Data Model Reference Guide*.
- i. `fct_fininst_info`, For more information, refer section Financial Institution Information in *Oracle Financial Services Compliance Regulatory Reporting Data Model Reference Guide*.

5. Login to OFSRR as Admin user created in the previous step.

6. Navigate to Unified Metadata Manager > Data Entry Forms and Queries > Excel Upload. The Excel Upload page is displayed.

**Note:** After logging into the application, make sure the OFSRR application Information Domain is selected from the drop-down list at the left hand corner of the page.

7. Click **Browse** under Excel File to Upload.

8. Select the Excel sheet.

9. Click Arrow button next to Browse.

10. Preview the data created under the Preview section.

11. In the Excel - Entity Mappings section, click Arrow.

12. Select the table name with the same name as that of the Excel sheet.

13. Click **Upload**. The following message is displayed: Successfully uploaded data

14. Click **OK**.

**Note:** Scan the web application server log for any errors after uploading each Excel sheet. For example, for Oracle Weblogic, the web application server log is `wls.out`, for Websphere, the web application server log is `Systemout.log` and `Systemerr.log`.

15. Close the Excel Upload page.

**Note:** All the data provided in the excel templates are sample data only. The correct data must be updated in the excel before uploading the excel. For more information on the excel upload feature, please refer AAI admin guide.

## Configuring Security Attributes for Users

1. If OFSRR is installed on top of OFSFCCM, click **FCCM**. Navigate to Administration menu > User Administration > Regulatory Report User's Attribute Administration. A new page displays a drop-down list containing the OFSRR users created in the previous step.

OR

2. If OFSRR is installed as a standalone application, click **Compliance Regulatory Reporting**. A new page displays a drop-down list containing the OFSRR users created in the previous step.
3. Assign attributes to each user from the drop-down list.
4. Close the Regulatory Report User's Attribute Administration screen.
5. Logout from the OFSRR application.
6. Login with each created user in the OFSRR. The Password Reset page opens when the user logs in for the first time immediately after the creation, or every time SYSADMN user resets the password for various reasons, such as when the user forgets the password or when the password is locked.
7. Reset the password. The OFSRR application login page displays.

**Note:** You must log into the application using the new password.

8. If OFSRR is installed on top of OFSFCCM, click **FCCM** then select the Compliance Regulatory Reporting tab. The OFSRR application page displays.

OR

9. If OFSRR is installed as a standalone application, click **Compliance Regulatory Reporting**. The OFSRR application page displays.

**Note:** Follow these steps whenever a new user is added or modified (for User Details, User Group mapping, Roles mapping, Security Attribute mapping, and Password Change) in the OFSRR application.

## Loading Product Supplied Metadata

Follow these steps to configure database:

**Note:** The following steps are not required if you already have the OFSFCCM application.

1. Execute the following SQL after updating <CRR Admin User Group> with the User Group name created for the CRR admin user.

```
UPDATE CONFIGURATION SET PARAMVALUE= '<CRR Admin User Group>' WHERE PARAM-  
NAME= 'UCM_GROUP_NAME' ;
```

```
COMMIT;
```

2. Create a directory 'TempDocument' in parallel to where UPLOAD\_AREA\_CM directory is created while installing OFSAAI. Refer to the *Oracle Financial Services Analytical Applications Infrastructure Installation and Configuration Guide* for more details.
3. Add the meta data in database by following these steps:

**Note:** The following steps can be followed if OFSBDF is installed. If OFSBDF is not installed or OFSRR is installed as a standalone then run these sql's manually in CRR Atomic schema.

4. Copy following files from ProductSuppliedMetadata folder under Installer Kit to  
<OFSBDF\_HOME>/database/db\_tools/bin

**For Egypt STR**

AtomicEgyptSTR.sql and AtomicEgyptSTR.cfg

**For Bahamas STR**

AtomicBahamasSTR.sql and AtomicBahamasSTR.cfg

**For Pakistan STR**

AtomicPakistanSTR.sql and AtomicPakistanSTR.cfg

**For New Zealand STR**

AtomicNewZealandSTR.sql and AtomicNewZealandSTR.cfg

**For Kenyan STR**

AtomicKenyaSTR.sql and AtomicKenyaSTR.cfg

**For US SAR**

AtomicUSSAR.cfg and AtomicUSSAR.sql

**For example:**

```
dbscript.execution.users=(system|business|mantas|market|miner|ingest|report|kdd_alt  
io|kdd|algorithms|case|rrs)
```

- j. Add the following variables in

```
<OFSBDF_HOME>/database/db_tools/mantas_cfg/db_variables.cfg
```

```
rrs=<OFSRR Atomic Schema User Name>, Refer place holder ##RRS_ATOMIC_USER## in  
GRC_InstallConfig.xml
```

```
RRSINFODOM=<OFSRR Information Domain Name> , Refer place holder ##INFODOM_1##in  
GRC_InstallConfig.xml
```

```
RRSEGMENT=<OFSRR Segment Name>, Refer place holder ##SEGMENT_1## in  
GRC_InstallConfig.xml
```

- k. Execute the following command

```
<OFSBDF_HOME>/database/db_tools/bin/run_dbbuilder_utility.sh <the appropriate *.cfg  
file from step a>
```

- l. Enter the password of OFSRR atomic schema user password when it prompts.
- m. Check the <OFSBDF\_HOME>/database/db\_tools/logs/db\_builder.log for any error in execution.

## ***Integrating OFSRR Application with OFSFCCM***

OFSFCCM or Oracle Mantas 5.x can be integrated with OFSRR to post alerts or cases to generate reports with Webservice Calls. To know more about Webservices, refer *Oracle Financial Services Regulatory Reporting Webservices Guide*. Both OFSFCCM/Oracle Mantas 5.x and OFSRR application must be configured to use this webservice. This is an optional configuration and is required only when you want to integrate OFSRR with OFSFCCM/Oracle Mantas 5.x.

1. For OFSRR:

The OFSRR application's Webservice is already configured with a default user name and password. This default password must be reset before performing the OFSRR and OFSFCCM/Oracle Mantas 5.x integration. This step is mandatory from security aspect.

a. To update password, follow these steps:

- i. Log in as Administrator user.
- ii. Navigate to **Administration > Web Service Configuration > Regulatory Report Web Service**.
- iii. Enter the User ID as rruser. Do not add any other user name.
- iv. Enter the desired password.
- v. Click **Save**.

2. For OFSFCCM:

- a. Login to the OFSFCCM application as Administration User.
- b. Navigate to FCCM > Administration > Manage Parameters > Manage Common Parameters.
- c. Select **Deployment Based** in the Parameter Category drop-down list.
- d. Select **Regulatory Report Solution Web Service** from the Parameter Name drop-down list.
- e. Set Parameter Value text box = Y.
- f. Update the OFSRR web service URL by setting Attribute 3 Value: = <OFSRR URL>/services/InitiateRequest.
- g. Click **Save**.
- h. To update OFSRR Webservice password in OFSFCCM, Navigate to FCCM > Administration > Web Service Configuration > Common Web Service
- i. Enter the same password set in OFSRR side in *Enter Password for Regulatory Reporting Web Service* text box and click **Encrypt**.
- j. Logout from the application.

## ***Integrating OFSRR Application with Oracle Mantas 5.x***

1. For Oracle Mantas 5.x

a. Update the variables in <Oracle Mantas

Home>/alert\_management/alert\_mgmt/WEB-INF/classes/conf/mantas\_cfg/install.cfg as follows

```
#RRS Web Service parameters
```

```
rrs.userid=rruser
```

```
rrs.password= <Encrypt the same password given in step 1 using Change Password Utility of Oracle Mantas 5.x>
```

```
rrs.service.url=<OFSRR URL>/services/InitiateRequest
```

```
rrs.version=2.5
```

then recreate the war file and deploy in the web application server.

b. By default, OFSRR Web Service is configured to capture data coming from OFSFCCM. If OFSRR is to be configured to accept data from Oracle Mantas 5.x, then execute the following SQL using OFSRR atomic schema user:

```
UPDATE SETUP_WEBSERVICE_CONFIG SET V_WEB_SERIVICE_URL = '<Mantas 5.x URL>/services/RRSUpdateService ' WHERE V_SOURCE_NAME = 'MANTAS' COMMIT;
```

**Note:** The above highlighted placeholder needs to be updated with the mantas URL.

c. For disabling or enabling the feedback to Mantas, execute the following SQL using OFSRR atomic schema user:

```
UPDATE SETUP_WEBSERVICE_CONFIG T SET T.F_ENABLE_FLAG = '<N or Y>' WHERE T.V_SOURCE_NAME = 'MANTAS' COMMIT;
```

To enable feedback, value must be 'Y' and for disabling feedback, it should be 'N'.



## **Report Lock Period**

If any user forgets to logoff from the OFSRR application or if the OFSRR screen is closed while accessing a report, the report gets locked for a pre configured duration. By default, the duration is 60 minutes. This duration can be altered as per your requirement.

Execute the following SQL using OFSRR atomic schema user:

```
UPDATE APPLN_PARAMETERS SET V_ATTRIBUTE_VALUE1= '<DURATION IN MINUTES>'
WHERE V_ATTRIBUTE_NAME1= 'LOCK PERIOD IN MINUTES';
COMMIT;
```

## **Activity Information**

This parameter is set to Y if activity dates/amount needs to be imported from AML. Else the parameter is set to N.

```
UPDATE APPLN_PARAMETERS SET V_ATTRIBUTE_VALUE1 = '<Y or N>' WHERE V_ATTRIBUTE_NAME1 =
'ACTIVITY AMOUNT AND DATES FLAG'COMMIT;
```

## **Default Domain 1**

This parameter identifies the default jurisdiction assignment while creating a report manually in OFSRR.

Execute the following query in OFSRR atomic schema as required

```
UPDATE APPLN_PARAMETERS SET V_ATTRIBUTE_VALUE2 = '<VALUE OF DEFAULT DOMAIN 1>' WHERE
V_ATTRIBUTE_NAME1 = 'ENABLE DEFAULT DOMAIN1';COMMIT;
```

By default the flag to enable default domain 1 on UI is set to Y. OFSRR can be configured not to display any default value for domain 1 in UI while creating new report by setting the flag to N.

Execute the following query in OFSRR atomic schema as required.

```
UPDATE APPLN_PARAMETERS SET V_ATTRIBUTE_VALUE1 = '<Y or N>' WHERE V_ATTRIBUTE_NAME1 =
'ENABLE DEFAULT DOMAIN1';COMMIT;
```





