

Oracle Financial Services
Compliance Regulatory Reporting
Administration Guide Nigeria STR

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About This Guide

NGSTR - Nigerian Suspicious Transaction Report

This guide describes comprehensive activities of the Oracle Financial Services Analytical Applications Infrastructure Administrator in the Oracle Financial Services Compliance Regulatory Reporting (herein referred to as CRR) and associated solution set.

This chapter focuses on the following topics:

- Who Should Use this Guide
- Scope of 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 Administration Guide* NGSTR is designed for use by OFSAA Installers and System Administrators. Their roles and responsibilities, as they operate within the CRR application, include the following:

- **Oracle Financial Services Solution Installer:** This user installs and configures the Oracle Financial Services Analytical Applications Infrastructure Analytical Framework Platform and the client-specific solution sets at a deployment site. The Installer also installs upgrades and additional solution sets, and requires access to deployment-specific configuration information (for example, machine names and port numbers).
- **System Administrator:** This user configures, maintains, and adjusts the system and is usually an employee of a specific OFSAA client. The System Administrator maintains user accounts and roles, archives data, and loads data feeds.

Scope of this Guide

This guide details the roles of an administrator in CRR. The roles include User Creation, Excel Upload, Save Meta Data, and Application Parameters.

How this Guide is Organized

The *Oracle Financial Services Compliance Regulatory Reporting 2.5.1 Administration Guide NGSTR*, includes the following topics:

- Chapter 1, *Introduction to Oracle Financial Services Compliance Regulatory Reporting*, details the necessity of filing the CRR documents to Regulations and Compliances.
- Chapter 2, *Administration*, details the activities of the Oracle Financial Services Analytical Applications Infrastructure Administrator user to configure and maintain the CRR application.
- Appendix A, *Web Service User ID and Password Reset*, describes the process of changing the user ID and password.

Where to Find More Information

For additional information about the CRR application, refer to the following documents:

- *Oracle Financial Services Compliance Regulatory Reporting 2.5.1 Release Notes NGSTR*: This guide details the highlights of the current release.
- *Oracle Financial Services Compliance Regulatory Reporting 2.5.1 Data Model Reference Guide NGSTR (Volume 1)*: This guide explains how data in the CRR solution is organized and how CRR uses the data.
- *Oracle Financial Services Compliance Regulatory Reporting 2.5.1 User Guide NGSTR*: This guide defines how users can view, edit, and generate report data and file the regulatory reports to the Regulatory Authorities. It also helps users to adjust the application parameters.
- *Oracle Financial Services Analytical Applications Infrastructure System Configuration and Administration User Manual*: This manual deals with the System Configuration and Administration components of the OFSAA Infrastructure and assists the administrator in configuring the system, managing users, and performing administrative tasks.
- *Oracle Financial Services Analytical Applications Infrastructure Unified Metadata Manager Manual*: This manual deals with the Mart Builder component of the OFSAA Infrastructure and assists you in operating the mart builder to your advantage. It encompasses all the activities involved in using the Mart Builder.
- *Oracle Financial Services Analytical Applications Infrastructure DeFQ User Manual*: This manual deals with the Data Entry and Forms Designer Component and is aimed at assisting you to create user-friendly Data Entry Screens with a choice of layouts. It also explains how to load the Look-up tables using the Excel Upload feature.
- *Oracle Financial Services Behavior Detection Platform Administration Guide*: This manual defines how to configure and manage the Oracle Financial Services Behavior Detection Platform.

To find additional information about how Oracle Financial Services solves real business problems, see our website at 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"> Names of books, chapters, and sections as references Emphasis
Bold	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> 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

Introduction to Oracle Financial Services Compliance Regulatory Reporting

As a part of regulations and compliances, organizations are required to perform appropriate analysis and report suspicious activities that lead to fraud and money laundering to the Regulatory Authorities. These regulatory bodies are responsible for safeguarding the financial institutions and consumers from abuse, providing transparency in the country's financial system, enhancing that country's security, and deterring and detecting criminal activity in the financial system.

As part of this goal, these regulatory bodies require the Financial Crimes Unit (FCU), also referred to as Financial Intelligence Units (FIUs), in financial institutions to provide data regarding suspicious activities. These reports, depending on the regulatory geographic region, can be delivered in a printed or electronic format.

RR supports the management, delivery and resolution of these regulatory reports across multiple geographic regions and financial lines of business. Since there are several differences in requirements for printed formats versus electronic formats, between different geographic regions, and data elements that are required on these reports, the approach to satisfying the end goal is to provide a Compliance Regulatory Reporting framework that is configured to support printed and electronic formats for different geographic regions and to generate and file different types of reports.

RR is integrated with the Oracle Financial Services Behavior Detection Platform to allow users to generate reports that are automatically populated with information relevant to the investigation which triggered the need for the report to be filed.

This chapter lists the activities done by the Oracle Financial Services Analytical Applications Infrastructure Administrator.

- User Creation
- Excel Upload
- Save Metadata
- Application Parameters
- User Administration

User Creation

From the Oracle Financial Services Analytical Applications Infrastructure Security Management menu option, you can create users and user groups according to the installation requirements. To map the users to the user groups and the user groups to the roles, follow these steps:

1. Map all user groups to the access to Report role.
2. Map the Analyst user group to the Reg Report Analyst role.
3. Map the Supervisor user group to the Reg Report Supervisor, and to RR Supervisor with Edit roles.
4. Map the Admin user group to the Reg Report Admin role.
5. Map the Single/Super user's user group to the following roles:
 - Reg Report Admin
 - Reg Report Supervisor
 - RR Supervisor with Edit
 - Reg Report Analyst

6. 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 = 'RRNSTREDIT' where  
m.v_function_code = 'RRSFILESAR' and m.v_role_code = 'RRADMN';
```

Note: For more information on mapping user groups to roles, refer to the *Oracle Financial Services Analytical Applications Infrastructure System Configuration and Administration User Manual*.

Excel Upload

The Excel Upload is a feature of the Oracle Financial Services Analytical Applications Infrastructure Platform which allows the reference data stored in Microsoft Excel files to be loaded to the data tables in the Oracle Financial Services Analytical Applications Infrastructure Atomic Schema. The Solution Installer will place the data files under \$ftpshare/STAGE/Excelupload of the App Layer. These Dimension tables must be fine tuned for the implementation, and then uploaded in the following sequence.

1. DIM_COUNTRY
2. DIM_STATES
3. DIM_STATUS
4. DIM_ACTION
5. DIM_REPORT_TYPE
6. FCT_BRANCH_INFO
7. DIM_DOMAIN1
8. DIM_DOMAIN2
9. DIM_DOMAIN3
10. DIM_DOMAIN4
11. DIM_DOMAIN5
12. DIM_SECURITY_PARAM
13. DIM_APPLICATION_TYPE
14. DIM_MARITAL_STATUS
15. DIM_EMP_TYPE
16. DIM_OCC_TYPE
17. DIM_ACCT_TYPE
18. DIM_ADDRESS_TYPE
19. DIM_CURRENCY_TYPE
20. DIM_SUS_REASONS_MY
21. DIM_TRANSACTION_TYPE
22. DIM_SUS_TYPE_SG
23. DIM_ACCT_STATUS_TYPE
24. DIM_COMMUNICATION_TYPE
25. DIM_CONDUCTION_TYPE
26. DIM_CONTACT_TYPE
27. DIM_DOCUMENT_TYPE
28. DIM_ENTITY_TYPE

- 29. DIM_FED_REGULATOR
- 30. DIM_FUNDS_TYPE
- 31. DIM_GENDER
- 32. DIM_INSIDER_RELN_TYPE
- 33. DIM_INVL_PARTY_TYPE
- 34. DIM_LAW_AGENCY
- 35. DIM_RELN_FININST
- 36. DIM_REPORTING_ENTITY_DTLS
- 37. DIM_REPORTING_PERSON
- 38. DIM_REPORT_CODE
- 39. DIM_REPORT_INDICATORS
- 40. DIM_ROLE
- 41. DIM_SUBMISSION_TYPE
- 42. DIM_SUSPECT_ID_TYPE
- 43. DIM_SUS_ACTIVITY
- 44. DIM_SUS_REASONS_SG
- 45. DIM_TRANSACTION_ITEM_TYPE
- 46. DIM_TRANS_ITEM_STATUS
- 47. DIM_USERS
- 48. FCT_FININST_INFO
- 49. FCT_TRANSMITTER_INFO

For more information on uploading excel files, refer to the *Oracle Financial Services Analytical Applications Infrastructure DeFQ User Manual*.

Save Metadata

To save metadata, follow these steps:

1. Navigate to the Administration menu and select **Save Metadata**.
2. Choose **Save Derived Entities and Hierarchies**.

For more information on saving metadata, refer to the *Oracle Financial Services Analytical Applications Infrastructure Unified Metadata Manager User Manual*.

Note: Any subsequent changes made to the Dimensions tables or the Hierarchies and Derived Entities should be saved.

Application Parameters

The Application Parameters list the various parameters used in the RR and should be configured for the installation. The attribute description states the values each attribute can hold. For more information, refer to the *Oracle Financial Services Compliance Regulatory Reporting 8.0.1 Data Model Reference Guide*.

To configure the different parameters, do a manual update on the table Appln_Parameters in the Oracle Financial Services Analytical Applications Infrastructure Atomic Schema. The list of parameters are as follows:

- **AML Web Service** - This parameter defines attributes such as the URL, User ID, and Password associated with the source AML systems Web service. This is needed to work with AML systems (like FCCM). Also, ensure that the following information is updated in the Configuration file of source AML system:
 - RR Web service User ID
 - RR Web service Password
 - RR Web service URL
- **Lock Period** - This parameter specifies the time after which the system will release the lock on the case. This is calculated from the time the last action was taken on the case by the User. The time specified is in minutes.
- **Web Service Parameters** - This parameter identifies all the attributes associated with the web service request for the report like the user ID and password.
- **ECM Flag** - This flag is set to Y if RR is installed with ECM (Enterprise Case Management) and N for others.

User Administration

The user with the Admin role must map security attributes to the users. For more information, refer to the *Oracle Financial Services Compliance Regulatory Reporting 8.0.1 User Guide NGSTR*.

Changing the Password in Oracle Financial Services Analytical Applications Infrastructure

To change the password in Oracle Financial Services Analytical Applications Infrastructure, follow these steps.

1. Login to the RR application with your User ID and Password.
2. Click **Change Password**.

The Change Password screen opens, prompts you to enter both the old password and new password.

3. Enter the old password.
4. Enter the new password. The password should be alphanumeric.
5. Confirm the new password.
6. Click **OK**.

The following message appears:

Password Changed Successfully. Please login to proceed.

7. Click **OK**.

The Login page opens.

8. Login with the new password.

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

Web Service User ID and Password Reset

The default user ID and password supplied for the secured web service call must be changed. This user ID and the encrypted password are saved in the database table `APPLN_PARAMETERS`. This chapter discusses the following topics:

- Changing the User ID
- Changing the Password

Changing the User ID

To change the user ID, follow these steps:

1. Open the `APPLN_PARAMETERS` table of the atomic schema for edit.
2. For the parameter name `WEB SERVICE PARAMETERS` or parameter identifier numbered 2, enter the new Webservice **User ID** in the `V_ATTRIBUTE_VALUE1` column.
3. Update the database.

Changing the Password

The password is saved in an encrypted format.

To change the Password, follow these steps:

1. Open the web page with the following URL after updating the same:
`http://< WebServer IP >:<Port Number>/<Context>/solution/RRS/RRSEncryptDecrypt.jsp`
2. Enter the desired password in the Enter Value text box.
3. Click **Encrypt**.
4. The newly encrypted password displays in the encrypted/decrypted value text area.
5. Open the `APPLN_PARAMETERS` table of the atomic schema for edit.
6. For the parameter name `WEB SERVICE PARAMETERS` or parameter identifier numbered 2, enter the new Webservice **encrypted password** in the `V_ATTRIBUTE_VALUE2` column.
7. Update the database.

