Oracle Financial Services
Compliance Regulatory Reporting
Administration Guide New Zealand STR

Release 8.0.4.0.0
April 2017

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

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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 OFSCRR).

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 Administration Guide NZ STR* is designed for use by Oracle Financial Services application users. Their roles and responsibilities, as they operate within the OFSCRR 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 Administration Guide NZ STR*, includes the following topics:

- Chapter 1, *Creating a User*, describes the steps involved in user creation.
- Chapter 2, *Loading the Static Data into OFSCRR Application*, explains the steps involved in loading static data.
- Chapter 3, *Integrating OFSCRR Application with OFSFCCM/Oracle Mantas 5.x Application*, explains the steps involved in integration of RR application with OFSECM application.
- Chapter 4, *Configuring Report Lock Period*, explains the steps to configure the report lock time period.

Where to Find More Information

For more information on OFSCRR, 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 User Guide*

- *Oracle Financial Services Compliance Regulatory Reporting Web Services Guide*

- *Oracle Financial Services Compliance Regulatory Reporting Release Notes*

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
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

CHAPTER 1 — *Creating a User*

Users must be created with appropriate roles to access the OFSCRR application. For more information on roles, refer *Oracle Financial Services Compliance Regulatory Reporting User Guide.* For more information on creating users, refer *Oracle Financial Services Analytical Application Infrastructure User Manual.*

To create users, follow these steps:

1. Create a User by logging into the OFSCRR application as SYSADMN. For more information, refer section *User Maintenance* in *OFSAAI User Manual.*

   Note: If you are Integrating OFSCRR with OFSECM then do not create OFSCRR administration user. The OFSECM administration user to be used for OFSCRR administration as well.

2. Authorize the User by logging into the application as SYSAUTH. For more information, refer section *User Authorization* in *OFSAAI User Manual.*

3. Create a User Group by logging into the OFSCRR application as SYSADMN. For more information, refer section *User Group Maintenance* in *OFSAAI User Manual.*

4. Map the User Group to the OFSCRR Information Domain. For more information, refer section *User Group Domain Map* in *OFSAAI User Manual.*

5. Map the User Group to the appropriate Role. For more information, refer section *User Group Role Map* in *OFSAAI User Manual.*

   a. For creating a Supervisor user, map *Reg Report Supervisor Rol* and *Access to New Zealand STR roles.*

   b. For creating an Analyst user, map *Reg Report Analyst Role* and *Access to New Zealand STR roles.*

   c. For creating an Admin user, map *Reg Report Admin Role role.*

   Note: You can add more than one user in one User Group, who is mapped to one type of role of the same application (for example, you can create more than one Analyst user in OFSCRR). Mapping different roles of same application to a User Group (for example, Analyst and Supervisor role of OFSCRR) and assigning user is not supported. But mapping different roles of different applications (for example, Executive role of OFSECM and Analyst role of OFSCRR) is supported.

6. Authorize the mapping of User Group to Information Domain and Roles by logging into the application as SYSAUTH. For more information refer section User Group Authorization in *OFSAAI User Manual.*

7. Map User to created User Group. For more information, refer *User to User Group* section in *OFSAAI User Manual.*

   Note:

   a. Map OFSECM administration User to OFSCRR admin group created to get OFSCRR administration privileges.

   b. If you are integrating OFSCRR with OFSECM, then additionally map the corresponding OFSECM users to appropriate OFSCRR User Group. For example, map OFSECM Analyst user to OFSCRR Analyst User Group or OFSECM Supervisor user to OFSCRR Supervisor User Group. By doing this, the OFSCRR application can be accessed directly from the **Regulatory Reporting** main menu of the OFSECM application by logging in as OFSECM user. The standalone OFSCRR application can be accessed by both OFSCRR and OFSECM users.

8. Authorize the mapping of User to User Group by logging into the application as SYSAUTH. For more information refer section *User Group Authorization* in *OFSAAI User Manual.*

9. To add client specific security attributes to OFSCRR 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.*

10. Download the following Excel sheets to 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`

11. Add data in each excel sheet as per your report requirement by referring to *Oracle Financial Services Compliance Regulatory Reporting Data Model Reference Guide.*

    a. `DIM_DOMAIN1.xlsx` is to be filled with Jurisdictions which are all available in OFSECM application. For more information refer section, *Security Attribute1 Static Information* in *Data Model Reference Guide.*

    b. `DIM_DOMAIN2.xlsx` is to be filled with Business Domains which are all available in OFSECM application. For more information refer section, *Security Attribute2 Static Information* in *Data Model Reference Guide.*

    c. `DIM_DOMAIN3.xlsx` is to be filled with Case Type and Case SubType which are all available in OFSECM application. For more information refer section, *Security Attribute3 Static Information* in *Data Model Reference Guide.*

    d. `DIM_DOMAIN4.xlsx` is to be filled with Organizations which are all available in OFSECM application. For more information refer section, *Security Attribute4 Static Information* in *Data Model Reference Guide.*

    e. `DIM_DOMAIN5.xlsx` is to be filled with Scenario Classes which are all available in OFSECM application. For more information refer section, *Security Attribute5 Static Information* in *Data Model Reference Guide.*

12. Login to OFSCRR application as Admin user created in the previous step.

13. Navigate to `Unified Metadata Manager > Data Entry Forms and Queries > Excel Upload`, a new screen pops up with an Excel Upload page.

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

14. Click **Browse** button under Excel File to Upload section.

15. Select any one of the excel sheet.

16. Click on Arrow button next to Browse button.

17. Preview the data created under Preview section.

18. In Excel - Entity Mappings section, click **Arrow** button.

19. Select the table name same as name of the excel sheet.

20. Click **Upload**.

21. Click **OK** on the popup window displaying the message *Successfully uploaded data*.

    Note: Scan the Webapplication Server logs for any errors after uploading each excel sheet. For example, for Oracle Weblogic , it is `wls.out`, for Websphere, it is `Systemout.log` and `Systemerr.log`.

22. Close the Excel upload page.

23. Click **FCCM** (Incase OFSCRR is installed on top of OFSECM) or **Compliance Regulatory Reporting** (In case of Stand alone). If it is stand alone installation then a new page with a drop-down list displays having all the OFSCRR users created in the previous steps. If OFSCRR is installed on top of ECM then on the new page navigate to `Administration menu > User Administration > Regulatory Report User's Attribute Administration`. This will take you to a drop-down list with all the OFSCRR users created. Assign attributes to each user from each drop-down.

24. Close the **Regulatory Report User's Attribute Administration** screen.

25. Logout from the OFSCRR application.

26. Login with each created user in the OFSCRR application, the application will open password reset page when the user login for the first time immediate after creation or every time SYSADMN user reset the password for various reasons , Example: forgot password, Password locked etc.

27. Reset the password. The OFSCRR application Login page displays. You must log into the application using the new password.

28. Click **Compliance Regulatory Reporting** link in case of standalone installation. The OFSCRR application page displays. Click **FCCM** link in case OFSCRR is installed on top of OFSECM, the Compliance Regulatory Reporting tab will be available in one of the tabs in the new page.

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

Loading the Static Data into OFSCRR Application

OFSCRR application uses the following client provided data as per their business requirements:

- Reporting Entity Details
- Reporting Entity Location
- Reporting Person Information
- Reporting Institution
- User Information
- Holiday Details
- Branch information

Follow these steps to load the above data into OFSCRR application:

1. Download following excel sheets to Windows machine for the templates from `<ftpshare path>/STAGE/Excelupload/Templates`. The path for `<ftpshare path>` is the same path as given in variable placeholder `##FTPSHARE_PATH##` in `GRC_InstallConfig.xml`.

   a. `DIM_REPORTING_ENTITY_DTLS.xlsx`

   b. `DIM_REPORTING_ENTITY_LOC.xlsx`

   c. `DIM_REPORTING_PERSON.xlsx`

   d. `DIM_INSTITUTION.xlsx`

   e. `DIM_USERS.xlsx`

   f. `DIM_HOLIDAY_MAINTENANCE.xlsx`

   g. `FCT_BRANCH_INFO.xlsx`

2. Add data in each excel sheet as per your installation requirement by referring to the *Oracle Financial Services Compliance Regulatory Reporting Data Model Reference Guide*.

   a. `DIM_REPORTING_ENTITY_DTLS.xlsx` For more information, refer section *Reporting Entity Details* in *Datamodel Reference Guide*.

   b. `DIM_REPORTING_ENTITY_LOC.xlsx`: For more information, refer section *Reporting Entity Location* in *Datamodel Reference Guide*.

   c. `DIM_REPORTING_PERSON.xlsx`: For more information, refer section *Reporting Person Information* in *Datamodel Reference Guide*.

   d. `DIM_INSTITUTION.xlsx`: For more information, refer section *Reporting Institution Information* in *Datamodel Reference Guide*.

   e. `DIM_USERS.xlsx`: For more information, refer section *User information* in *Datamodel Reference Guide*.

   f. `DIM_HOLIDAY_MAINTENANCE.xlsx`: For more information, refer section *Holiday Maintenance* in *Datamodel Reference Guide*.

    g. `FCT_BRANCH_INFO.xlsx`: For more information, refer section *Branch Information* in *Datamodel Reference Guide.*

3. Login to the OFSCRR application as Admin user created in the previous step.

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

4. Navigate to `Unified Metadata Manager > Data Entry Forms and Queries > Excel Upload`, a new screen pops up with an Excel Upload page.

5. Click **Browse** button under **Excel File to Upload** section, upload all excel sheets created in the previous step.

    Note: The data must be loaded in the same order as given in step 1.

    Note: Scan the Webapplicaiton Server logs for any errors after uploading each excel sheet. For example, for Oracle Weblogic , it is `wls.out`, and for Websphere, it is `Systemout.log` and `Systemerr.log`.

6. Close the Excel upload page.

Integrating OFSCRR Application with OFSFCCM/Oracle Mantas 5.x Application

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

1. For OFSCRR:

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

   a. To update password, perform the following steps:

      i. Log in as Administrator user.

      ii. Navigate to **Administration > Regulatory Report Web Service**.

      iii. Enter the User ID as rruser. Do not add any other user name.

      iv. Enter any desired password.

      v. Click **Save**.

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

   ```
   UPDATE APPLN_PARAMETERS SET V_ATTRIBUTE_VALUE1='N' WHERE V_ATTRIBUTE_NAME1='ECM
   FLAG';
   COMMIT;
   ```

2. For OFSECM:

   a. Login to the OFSECM application as Administration User.

   b. Navigate to FCCM > Administration > Manage Installation 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 Param Value text box = Y.

   f. Click **Save.**

   g. Select **Used for Design** in the parameter category.

   h. Select **Application Server** in the parameter name.

      i. Update the OFSCRR web service URL by setting Attribute 4 Value: = `<OFSCRR`
         `URL>/services/InitiateRequest.`

      j. Click **Save**.

      k. To update OFSCRR Webservice password in OFSECM, Navigate to `FCCM > Administration >`
         `RRS Password Encryption`

      l. Enter the same password set in OFSCRR side and Click **OK**.

     m. Logout from the application.

3. 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
       below

       `#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=<OFSCRR URL>/services/InitiateRequest`

       `rrs.version=2.4`

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

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

       `UPDATE APPLN_PARAMETERS SET V_ATTRIBUTE_VALUE1='N' WHERE V_ATTRIBUTE_NAME1='ECM`
       `FLAG';`

       `COMMIT;`

CHAPTER 4   *Configuring Report Lock Period*

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

Execute the following SQL using OFSCRR atomic schema user:

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