Oracle Financial Services
Compliance Regulatory Reporting
United States SAR Administration Guide

Release 8.0.7.0.0
July 2019

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United States SAR Administration Guide

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Revision History

The following table describes the revision history of the Oracle Financial Services Compliance Regulatory Reporting United States Suspicious Activity Report (OFSCRR USSAR) Administration Guide.

Table 1. Revision History

Date	Edition	Description
February 2020	The third edition of 8.0.7.0.0	Updated *Configuring Webservice in OFSECM* section.
January 2020	The second edition of 8.0.7.0.0	Updated *Table 5* in the *Loading Client-Specific Data* chapter.
July 2019	The first edition of 8.0.7.0.0	No updates post the release of the 8.0.6.0.0 version.

Contents

Contents

About This Guide

This guide provides instructions to configure the Oracle Financial Services Compliance Regulatory Reporting United States Suspicious Activity Report (OFSCRR USSAR).

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 USSAR Administration Guide* is designed for use by Oracle Financial Services Administration users.

Their roles and responsibilities, as they operate within the OFSCRR application, include the following:

- Configure, maintain, and adjust the system
- Maintain user accounts and roles, archive data, and load data feeds

How this Guide is Organized

The *Oracle Financial Services Compliance Regulatory Reporting USSAR Administration Guide* includes the following chapters:

- Chapter 1, *Administrator Workflow*, explains the administration work flow in the OFSCRR application.
- Chapter 2, *Setting Users,* describes the steps involved in creating users.
- Chapter 3, *Loading Data into OFSCRR*, explains the steps for loading client-specific data and product supplied metadata.
- Chapter 4, *Integrating with the ECM Application*, explains the steps involved in the integration of the CRR application with OFS ECM.
- Chapter 5, *Configuring Parameters*, explains the steps to configure the report lock time period, due date, and currency code parameters.

Where to Find More Information

For more information on OFSCRR, refer to the following documents in OHC:

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

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	- An 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 a text and as separate paragraphs, and user-defined program elements within a text
<Variable>	Substitute input value

CHAPTER 1 *Administrator Workflow*

This chapter describes the Administrator workflow in the OFSCRR application.

The following image shows the workflow for an Administrator.
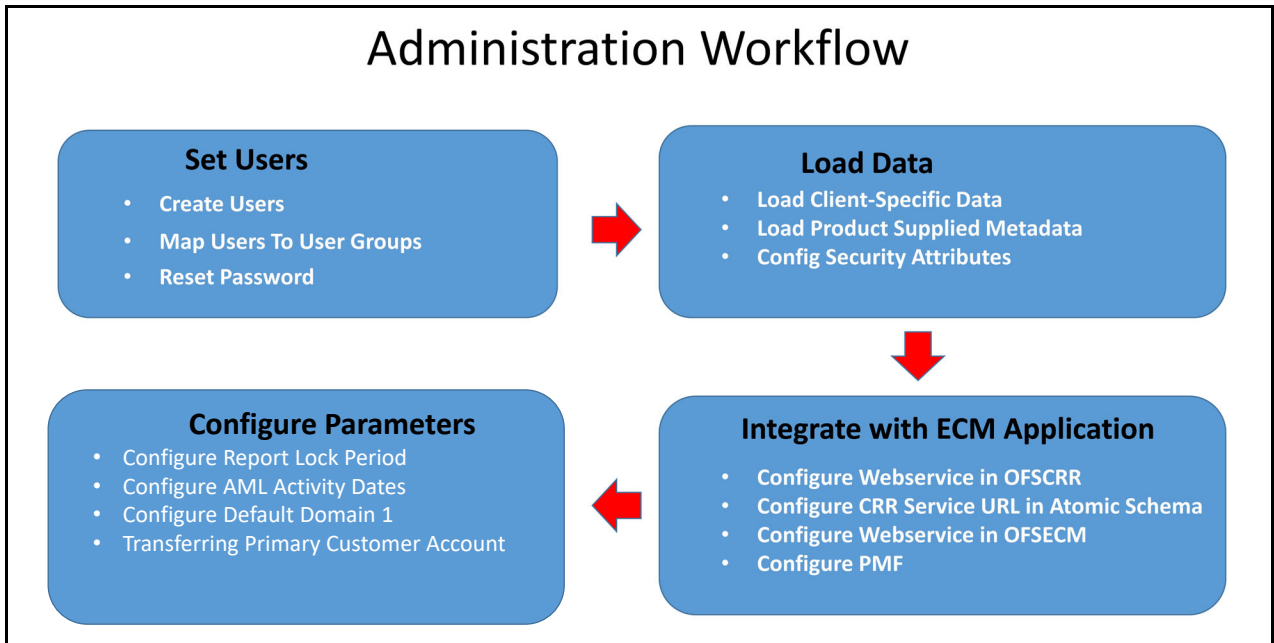
Figure 1. Administrator workflow

Table 2. Workflow

Workflow	Description
Setting Users	Provide access to users in the OFSCRR application through the user groups.
Loading Data into OFSCRR	Load-client specific data and product supplied metadata in the OFSCRR application.
Integrating with the ECM Application	Integrate OFSECM with OFSCRR to post cases to generate reports with Webservice calls.
Configuring Parameters	Configure the report lock time period, AML activity dates, default domain1, and transfer primary customer account.

CHAPTER 2 *Setting Users*

This chapter describes how to provide access to users in the OFSCRR application through the user groups and includes the following topics:

- Creating Users
- Mapping Users To User Groups
- Logging in and Resetting Password

Creating Users

To create users, follow these steps:

1. To create the users, see the *Object Administration* section in the *Oracle Financial Services Analytical Applications Infrastructure User Guide*.

   Note: If you are integrating OFSCRR with OFSECM, it is optional to create the OFSCRR Administrator user. The user mapped to the role of OFSECM Administrator can be mapped to the role of OFSCRR Administrator.

2. Map the users to the predefined user groups, which in turn map to the user role. For more information, see the *Object Administration* section in the *Oracle Financial Services Analytical Applications Infrastructure User Guide*

The following table provides information about the predefined user groups that are mapped to the created users.

Table 3. Group Description

Group Code	Group Name	Group DESCRIPTION
RRUSANALYST	RR US Analyst	RR US Analyst User Group
RRUSAUDITOR	RR US Auditor	RR US Auditor User Group
RRUSSUPER	RR US Super User	RR US Super User Group
RRUSSUPERVISOR	RR US Supervisor	RR US Supervisor Group
RRADMINISTRATOR	RRADMINISTRATOR	RR Administrator Group

Mapping Users To User Groups

Use the following table to map the users to pre-defined user groups.

Table 4. Mapping Users to User Groups

User	Description	Group Name
Analyst	Reg Report Analyst Role	RR US Analyst
Supervisor	Reg Report Supervisor Role	RR US Supervisor
Super User	All Roles (Analyst, Supervisor, Admin) RRALL	RR US Super User

Auditor	Access to US SARDI Report (RRUSAUDITOR)	RR US Auditor
Admin User	RR Admin with Edit	RRADMINISTRATOR

Logging in and Resetting Password

To log in and reset password, follow these steps:

1. Log in with each created user in OFSCRR. The Password Reset page is displayed.

   Note: This page is displayed when a user logs in for the first time immediately after that user has been created, or every time the SYSADMN user resets the password. For example, when the user forgets the password or when the password is locked.

2. Reset the password. The OFSCRR application login page is displayed.

   Note: You must log in to the application using the new password.

3. The OFSCRR application landing page is displayed. Click **Compliance Regulatory Reporting**.

4. Hover over **US-SAR**. Select Search and List page, Create New Report or File Reports.

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

Loading Data into OFSCRR

This chapter includes the following topics:

- Loading Client-Specific Data
- Loading Product Supplied Metadata
- Configuring Security Attributes for Users

Loading Client-Specific Data

This section explains steps to load client specific data in to the OFSCRR application.

To load client-specific data, follow these steps:

1. Navigate to `<ftpshare path>/STAGE/Excelupload/Templates`.

   The `<ftpshare path>` is the same path given in variable `OFSAAI FTP` in `OFSAAI_InstallConfig.xml` while installing OFSAAI. For more information, see *Configuring OFSAAI_InstallConfig.xml File* section in the *Oracle Financial Services Compliance Regulatory Reporting Installation Guide.*

2. Download the following Excel sheets to the Windows machine from the path given in the previous step.

Table 5. Excel Sheets

Excel Sheet	Description	Reference to the Data Model Reference Guide
`DIM_DOMAIN1.xlsx`	Provide the list of all jurisdictions which are available in OFSECM.	Security Attribute1 Static Information section.
`DIM_DOMAIN2.xlsx`	Provide the list of all business domains which are available in OFSECM.	Security Attribute2 Static Information section.
`DIM_DOMAIN3.xlsx`	Provide the list of all case type and case sub type which are available in OFSECM.	Security Attribute3 Static Information section.
`DIM_DOMAIN4.xlsx`	Provide the list of all organizations that are available in OFSECM.	Security Attribute4 Static Information section.
`DIM_DOMAIN5.xlsx`	Provide the list of all scenario classes which are available in OFSECM.	Security Attribute5 Static Information section.
`DIM_COUNTRY.xlsx`	Provide the list of all countries that need to be made available to the application	Country Information section
`DIM_STATES.xlsx`	Provide the list of all states for the countries that need to be made available to the application.	State Information section
`FCT_TRANSMITTER_INFO.xlsx`	Provide the list of all transmitter Information.	Transmitter Information section
`DIM_FILING_INST.xlsx`	Provide the list of all filing institution information.	Filing Institution Information section
`FCT_BRANCH_INFO.xlsx`	Provide the list of all branch information.	Branch Information section
`FCT_FININST_INFO.xlsx`	Provide the list of all financial institution.	Financial Institution section

3. Add data in each Excel sheet as per your report requirement. For more information, see the *Oracle Financial Services Data Model Reference Guide.*

Note: As a part of USSAR Final Format version *1.1(asc)* to version *1.2(xml)* upgrade, FinCen has updated codes for various fields. Hence, use the updated code to populate DIM DATA.

Uploading Excel

To upload the Excel, follow these steps:

1. Log in to OFSCRR application as the Administrator user.

2. Navigate to Compliance Regulatory Reporting. Click **Excel Upload (Atomic)**.

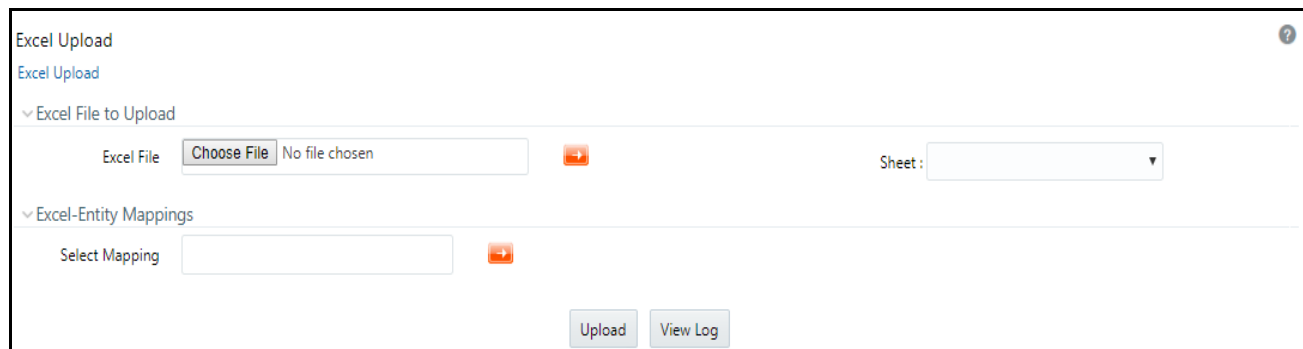3. Select the **Excel Upload**. The Excel Upload page is displayed.

Figure 2. Excel Upload

4. Click **Choose File** from Excel File to Upload. Select the sheet from the drop-down list.

5. In the Excel - Entity Mappings section, click the **Select the Mapping** arrow. Select the table name with the same name as that of the Excel sheet.

6. Click **Upload**. The confirmation message is displayed.

Loading Product Supplied Metadata

To load the product supplied metadata, follow these steps:

Note: The following steps are applicable if OFSBDF is installed. If OFSCRR is installed as a standalone, then run the SQLs manually in the RR Atomic schema.

1. Copy `AtomicUSSAR.sql` and `AtomicUSSAR.cfg` from the *ProductSuppliedMetadata* folder packaged in the CRR installer kit under the path `OFS_CRR_PACK/OFS_CRR/ProductSuppliedMetadata/USSAR` to `<OFSBDF_HOME>/database/db_tools/bin`

2. Add rrs to the variable `dbscript.execution.users` available in `<OFSBDF_HOME>/database/db_tools/mantas_cfg/install.cfg`

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

3. Add the following variables in `<OFSBDF_HOME>/database/db_tools/mantas_cfg/db_variables.cfg`

   ■ `rrs=<OFS CRR Atomic Schema User Name>`, refer the place holder `##RRS_ATOMIC_USER##` in `GRC_InstallConfig.xml`

   ■ `RRSINFODOM=<OFS CRR Information Domain Name>`, refer the place holder `##INFODOM_1##`in

   ■ `GRC_InstallConfig.xml`

   ■ `RRSEGMENT=<OFS CRR Segment Name>`, refer the place holder `##SEGMENT_1##` in `GRC_InstallConfig.xml`

4. Execute the following command:

   `<OFSBDF_HOME>/database/db_tools/bin/run_dbbuilder_utility.sh <the appropriate *.cfg file>` from step 1.

5. Enter the OFSCRR atomic schema user password when prompted.

6. Check the `<OFSBDF_HOME>/database/db_tools/logs/db_builder.log` for any error in execution.

Configuring Security Attributes for Users

To configure security attributes for users, follow these steps:

1. Log in as the Administrator user.

2. Click **User Administratio**n. The User Attribute page is displayed.

3. Select the user from the User Name drop-down list.

4. Assign attributes to each user from the drop-down list.

5. Click **Save**. The confirmation message is displayed.

CHAPTER 4

Integrating with the ECM Application

OFSECM is integrated with OFSCRR to post cases to generate reports with Webservice calls. For more information about Webservice, see the *Oracle Financial Services Webservices Guide*.

Both OFSECM and OFSCRR applications must be configured to use this Webservice.

Note: This is an optional configuration and is required only when you want to integrate OFSCRR with OFSECM.

This chapter covers the following topics:

- Configuring Webservice in OFSCRR

- Configuring CRR Service URL in Atomic Schema

- Configuring Webservice in OFSECM

- Configuring Processing Modeling Framework (PMF)

Configuring Webservice in 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 integration.

Note:

If you are using Chrome or Firefox browser, execute the following update statement in config schema.

```
UPDATE AAI_MENU_B SET V_URL_PARAMETERS =
'origin=MAIN&Sol=RR&cssFileName=CSS_OFSAAI&userId={userid}&infodom=FCCMINFO&ds
n=FCCMINFO&appId=OFS_RRS&locale={locale}&loadMenuId=125&stdMode=true'
WHERE V_MENU_ID='OFS_RRS_ADMIN_WEB_SERVICE';
COMMIT;
```

Note: This step is mandatory for security reasons.

To update the password, follow these steps:

1. Log in as the Administrator.

2. Navigate to Compliance Regulatory Reporting.

3. Select **Webservice Configuratio**n. The Configuring Web service User ID and Password page is displayed.

4. Enter the User ID as `rruser`.

   Note: Do not add any other user name.

5. Enter the desired password.

6. Click **Save**. A confirmation message is displayed.

Configuring CRR Service URL in Atomic Schema

To Configure the CRR Service URL in the Atomic Schema, execute the following SQL:

```
UPDATE CRR_CONFIGURATION SET V_PARAM_VALUE= '<URL>'
WHERE V_PARAM_NAME= 'CRR_SERVICE_URL';
commit;
```
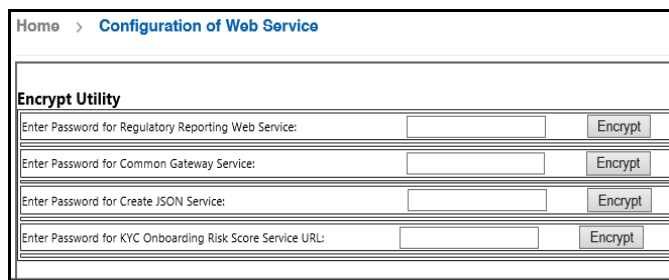
Configuring Webservice in OFSECM

To configure Webservice in OFSECM, follow these steps:

1. Login to the OFSECM application as the Administrator.

2. Navigate to Financial Services Case Management.

3. Select **Case Management Configuration** and click **Manage Common Parameters**. The Manage Common Parameter page is displayed.

4. Select *Deployment Based* from the Parameter Category drop-down list.

5. Select *Regulatory Report Solution Web Service* from the Parameter Name drop-down list.

6. Set Parameter Value text box = Y.

7. Update the OFSRR web service URL by setting the following attribute values:

   ■ Attribute1 value = rruser,

   ■ Attribute 3 Value = /services/InitiateRequest

   ■ Attribute 4 Value = /CRRframeworkDataingestion

   ■ Attribute 5 Value = Y

8. Click **Save**. A confirmation message is displayed.

Updating OFSCRR Webservice password in OFSECM

To update the OFSCRR Webservice password in OFSECM, follow these steps:

1. Login to the OFSECM application as the Administrator.

2. Navigate to Financial Services Case Management. Select Case Management Configuration.

3. Click **Configuration of Web Service**. The Configuration of Web Service page is displayed.

Figure 3. Configuration of Web Service

4. Enter the password for Regulatory Reporting Web Service and click **Encrypt**.

   Note: Enter the same password as set in OFSCRR.

5. Logout from the application.

Configuring Processing Modeling Framework (PMF)

The Enterprise Case Management Processing Modeling Framework (PMF) facilitates built-in tooling for orchestration of human and automatic workflow interfaces. This enables the Administrator to create process-based ECM. It also enables the Administrator to model business processes and workflow.

To perform PMF configuration, see the PMF Chapter in the ECM Administration Guide.

Configuring Parameters

This chapter covers the following topics:

Report Lock Period

If a user forgets to log off 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.

To alter the duration, 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 has to be imported from AML. If not, 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 in the UI is set to Y. OFSRR can be configured not to display any default value for domain 1 in the 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;
```

Transferring Primary CUST ACCT Only

This parameter defines the accounts that are transferred from the cases to the CRR system.

By default, the flag is set to Y, which means that only those accounts which are involved in an activity (case) and for which the subject is a primary customer are transferred to the CRR system.

If you want to bring all the accounts of the subjects involved in an activity (that is, they are part of the case) then set the flag to N by executing the below query in the atomic schema.

```
UPDATE APPLN_PARAMETERS SET V_ATTRIBUTE_VALUE1 = 'N' WHERE N_PARAM_IDENTIFIER = 50;
COMMIT;
```