

Oracle Financial Services  
Compliance Regulatory Reporting  
**Administration Guide Canada STR**

*Release 8.0.7.0.0*  
*November 2019*





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Compliance Regulatory Reporting  
**Administration Guide Canada STR**

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*November 2019*

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# Revision History

The following table describes the revision history of the Canada Suspicious Transaction Report Administration Guide.

**Table 1. Revision History**

| Date          | Edition                         | Description  |
|---------------|---------------------------------|--|
| November 2019 | The second edition of 8.0.7.0.0 | The new Excel sheets are added to upload in the <a href="#">Loading Client-Specific Data</a> . |
| July 2019     | The first edition of 8.0.7.0.0  | Created document.  |

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## Revision History

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# About This Guide

This guide provides 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* 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, archives data, and loads data feeds

## How this Guide is Organized

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

- [Chapter 1, Administration Workflow](#), explains the administration workflow in the OFSCRR application.
- [Chapter 2, Setting Users](#), describes the steps involved in user creation.
- [Chapter 3, Loading Data into OFSCRR](#), explains the steps for loading client-specific data and product supplied metadata.
- [Chapter 4, Integrating with ECM Application](#), explains the steps involved in the integration of CRR application with OFSECM.
- [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 Canada 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](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>● An 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 a text and as separate paragraphs, and user-defined program elements within a text</li></ul> |
| <Variable>     | Substitute input value   |

This chapter describes the Administration workflow in the OFSCRR application. The following image shows the workflow for an Administrator.

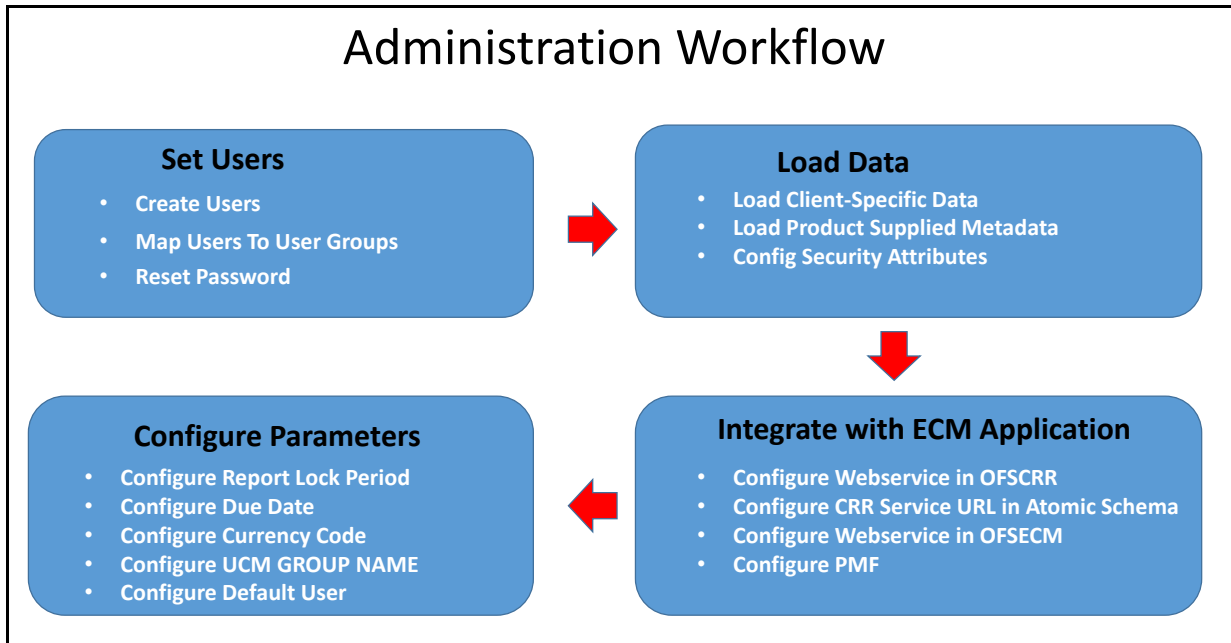


Figure 1. Administration workflow

Table 2. Workflow

| Workflow   | Description   |
|--|---|
| <a href="#">Setting Users</a>                    | Provide access to users in the OFSCRR application through the user groups.            |
| <a href="#">Loading Data into OFSCRR</a>         | Load-client specific data and product supplied metadata in the OFSCRR application.    |
| <a href="#">Integrating with ECM Application</a> | Integrate OFSECM with OFSCRR to post cases to generate reports with Webservice calls. |
| <a href="#">Configuring Parameters</a>           | Configure the report lock time period, due date, and currency code parameters.        |



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 user created.

**Table 3. Group Description**

| Group Code      | Group NAME      | Group DESCRIPTION             |
|-----------------|-----------------|-------------------------------|
| RRCAANALYST1    | RRCAANALYST1    | RR Canada Analyst1 User Group |
| RRCAANALYST2    | RRCAANALYST2    | RR Canada Analyst2 User Group |
| RRCAAUDITOR     | RRCAAUDITOR     | RR Canada Auditor User Group  |
| RRCASUP         | RRCASUP         | RR Canada 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          | Group           |
|---------------|-----------------|
| ANALYST1      | RRCAANALYST1    |
| ANALYST2      | RRCAANALYST2    |
| AUDITOR       | RRCAAUDITOR     |
| SUPERVISOR    | RRCASUP         |
| ADMINISTRATOR | 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:** When the user logs in for the first time immediately after the user creation, or every time that 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 **Canada STR**. 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).

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 samLoading Data into OFSCRR 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 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.

**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 SubType 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                       |
| DIM_REPORTING_ENTITY_LOC.xlsx  | Provide the list of all reporting entity location.  | Reporting Entity Location section               |
| DIM_REPORTING_ENTITY_DTLS.xlsx | Provide the list of all reporting entities.   | Reporting Entity Details section                |

|                                |   |                                      |
|--------------------------------|---|--------------------------------------|
| DIM_REPORTING_PERSON.xlsx      | Provide the list of all reporting persons.  | Reporting Person Information section |
| DIM_TRXN_LOC_INFO.xlsx         | Provide the list of all branches.   | Branch Information section           |
| MAP_REPENTITYDTLS_REPTYPE.xlsx | Provide the list of all mapping for reporting entity and CA-STR report type.                  | Reporting Entity Details section     |
| MAP_REPENTITYLOC_REPTYPE.xlsx  | Provide the list of all mapping for branches/reporting entity location and CA-STR report type | Report type Information section      |
| MAP_TRXNLOC_ENTITYDTLS.xlsx    | Provide the list of all mapping for reporting entity and branches/reporting entity location.  |                                      |

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

## 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 `AtomicCASTR.sql` and `AtomicCASTR.cfg` from the *ProductSuppliedMetadata* folder packaged in the CRR installer kit under the path `OFS_CRR_PACK/OFS_CRR/ProductSuppliedMetadata/CANSTR` 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 a>`
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 Administration**. 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.



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 the security reason.

To update the password, follow these steps:

1. Log in as the Administrator user.
2. Navigate to Compliance Regulatory Reporting.
3. Select the **Webservice Configuration**. 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**. The 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

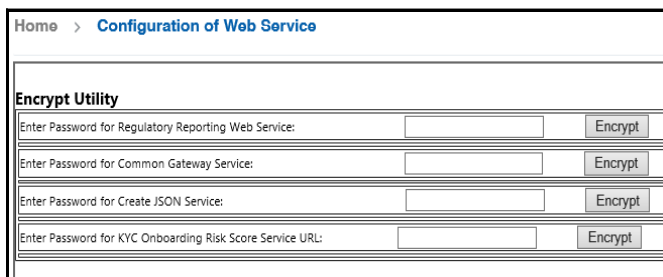
To configure Webservice in OFSECM, follow these steps:

1. Login to the OFSECM application as the Administration user.
2. Navigate to Financial Services Case Management.
3. Select **Case Management Configuration**. 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 = <OFSRR URL>/services/InitiateRequest
  - Attribute 4 Value = <OFSRR URL>/CRRframeworkDataingestion
8. Click **Save**. The 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 Administration user.
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.



| Encrypt Utility   |   |
|---|---|
| Enter Password for Regulatory Reporting Web Service:      | <input type="text"/> <input type="button" value="Encrypt"/> |
| Enter Password for Common Gateway Service:                | <input type="text"/> <input type="button" value="Encrypt"/> |
| Enter Password for Create JSON Service:                   | <input type="text"/> <input type="button" value="Encrypt"/> |
| Enter Password for KYC Onboarding Risk Score Service URL: | <input type="text"/> <input type="button" value="Encrypt"/> |

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 Administrator to model business processes and workflow)

To perform PMF configuration, see the PMF Chapter in the [ECM Administration Guide](#).



This chapter covers the following topics:

- [Configuring Report Lock Period](#)
- [Configuring Due Date](#)
- [Configuring Currency Code](#)
- [Configuring UCM Group Name](#)
- [Assigning Default User](#)

## Configuring Report Lock Period

If any user forgets to log off 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 60 minutes. This duration can be altered as per your requirement.

To configure the Report Lock Period, 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;
```

## Configuring Due Date

The due date is set to N days from the date the request is sent from ECM to CRR, where N is a configurable number of days. The N days filing time should exclude both holidays and weekends, that is, it refers specifically to business days. The Due date can be modified by any user, based on the configuration mentioned in the following table.

**Table 6. Due Date**

| Attribute Name | Value | Default pre-pack aged value | Behavior   | SQL   |
|----------------|-------|-----------------------------|--|---|
| Number of Days | N     | 5 (Days)                    | When a CRR report is created manually or through ECM action, it automatically sets due date to action date + N calendar days. If the parameter is blank then no date is set. | <pre>UPDATE APPLN_PARAMETERS SET V_ATTRIBUTE_VALUE1= '&lt;NUMBER OF DAYS&gt;'  WHERE N_PARAM_IDENTIFIER= 33;  COMMIT;</pre> |

## **Configuring Currency Code**

To configure currency code for the template, use the field - ‘Currency’

To get the value for Currency Code, execute the following query in the atomic schema for CRR application:

```
SELECT V_ATTRIBUTE_NAME1, V_ATTRIBUTE_VALUE1 from APPLN_PARAMETERS where  
N_PARAM_IDENTIFIER=44;
```

To configure the Report Lock Period, execute the following SQL using OFSCRR atomic schema user:

```
UPDATE APPLN_PARAMETERS SET V_ATTRIBUTE_VALUE1= 'CAD' WHERE N_PARAM_IDENTIFIER = 44;  
COMMIT;
```

## **Configuring UCM Group Name**

When you attach a report to the regulatory report, the group code configured in the UCM\_GROUP\_NAME parameter of the configuration table of AAI is validated. This parameter contains the value of a valid group name that appears during the AAI installation and it is mapped to the business user performing the action.

You can get the value for this parameter by executing the following query in the configuration schema of the AAI application:

```
select PARAMVALUE from  
configuration  
where PARAMNAME='UCM_GROUP_NAME'
```

To update the above parameter, execute the following query.

```
update CONFIGURATION set PARAMVALUE = 'RRADMINISTRATOR' where PARAMNAME = 'UCM_GROUP_NAME';
```

## **Assigning Default User**

This parameter defines the default user who shall be assigned all the CA STR reports that are created through the OFSECM system through posting by taking the ‘Generate CA STR’ action.

To get the value for this parameter, execute the following query in the atomic schema of the OFSCRR application.

```
SELECT V_ATTRIBUTE_NAME2, V_ATTRIBUTE_VALUE2 FROM APPLN_PARAMETERS WHERE N_PARAM_IDENTIFIER  
= 44;
```

To update the above parameter, execute the following query.

```
UPDATE APPLN_PARAMETERS SET V_ATTRIBUTE_VALUE2 = '<User Id for Default User>' WHERE  
N_PARAM_IDENTIFIER = 44;
```





