

Oracle Financial Services Compliance Regulatory Reporting

Indian STR Administration Guide

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ORACLE
Financial Service

OFS CRR INSTR Administration Guide

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Document Control

Table 1: Document Control

Version Number	Revision Date	Change Log
1.0	March 2022	No updates from the previous release.

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1 About This Guide

This guide provides instructions to configure the Oracle Financial Services Compliance Regulatory Reporting Indian Suspicious Transaction Report (OFSCRR IN STR).

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](#)

1.1 Who Should Use This Guide

The *Oracle Financial Services Compliance Regulatory Reporting IN STR 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

1.2 How this Guide is Organized

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

- [Chapter 2, Administration Workflow](#), explains the administration work flow in the OFSCRR application.
- [Chapter 3, Setting Users](#), describes the steps involved in creating users.
- [Chapter 4, Loading Data into OFSCRR](#), explains the steps for loading client-specific data and product supplied metadata.
- [Chapter 5, Integrating with the ECM Application](#), explains the steps involved in the integration of the CRR application with OFS ECM.
- [Chapter 6, Configuring Parameters](#), explains the steps to configure the report lock time period, due date, and currency code parameters.

1.3 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 Indian STR 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.

1.4 Conventions Used in this Guide

Table 1 lists the conventions used in this guide.

Table 1: Conventions Used in this Guide

Conventions	Descriptions
Italics	<ul style="list-style-type: none"> Names of books, chapters, and sections as references Emphasis
Bold	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> 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

2 Administration Workflow

This chapter describes the Administrator workflow in the OFSCRR application.

The following image shows the workflow for an Administrator.

Figure 1: Administrator workflow

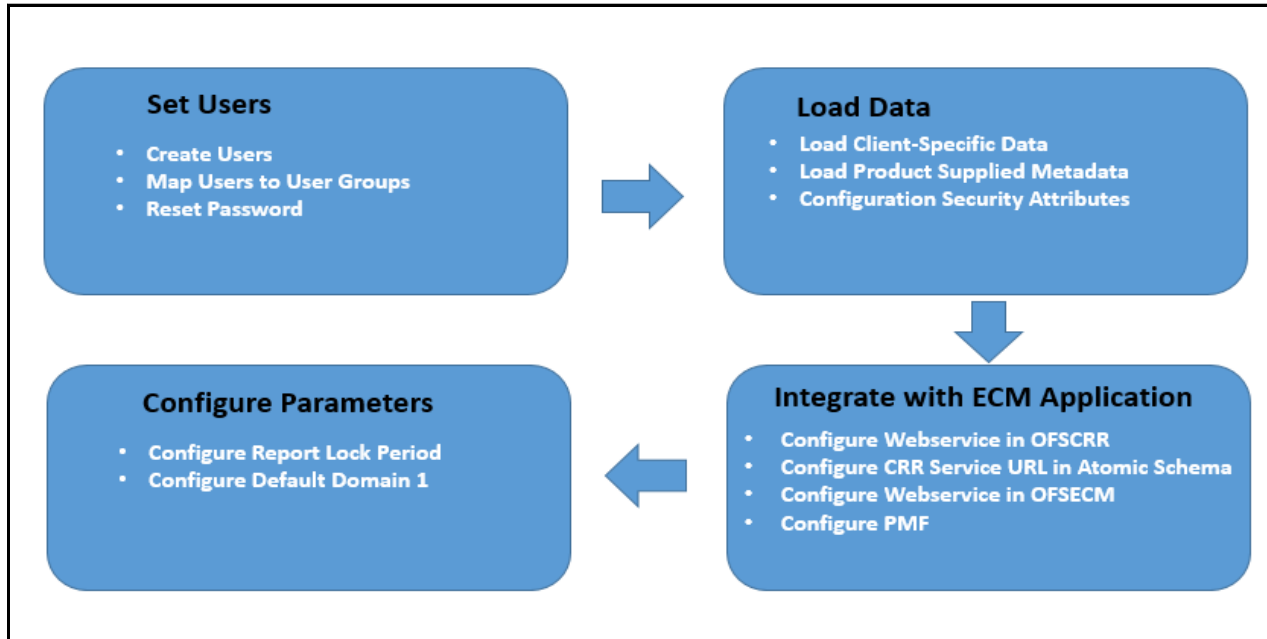


Table 2 lists the administration workflow in tabular format.

Table 2: Administrator 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 Web-service calls.
Configuring Parameters	Configure the report lock time period and default domain1.

3 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](#)

3.1 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](#) provides information about the predefined user groups that are mapped to the created users.

Table 3: Group Description

Group Code	Group Name	Group Description
RRINSANALYST	RRINANALYST	RR India Analyst User Group
RRINAUDITOR	RRINAUDITOR	RR India Auditor User Group
RRINSUPERVISOR	RRINSUPERVISOR	RR India Supervisor User Group

3.2 Mapping Users To User Groups

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

[Table 4](#) explains map the users to pre-defined user groups.

Table 4: Mapping Users to User Groups

User	Description	Group Name
Analyst	Reg Report Analyst Role	RRINANALYST
Supervisor	Reg Report Supervisor Role	RRINSUPERVISOR
Auditor	Reg Report Auditor Role	RRINAUDITOR

3.3 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 SYS-ADMN 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 **Indian 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).

4 Loading Data into OFSCRR

This chapter includes the following topics:

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

4.1 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`.
2. 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 Analytical Applications Infrastructure User Guide](#).
3. Download the following Excel sheets to the Windows machine from the path given in the previous step

Table 5 describes table name and reference to the data model.

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_REPORTING_ENTITY_DTLS.xlsx	Provide the list of all entities that need to be made available to the application	Entity 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_PERSON.xlsx	Provide the list of all reporting person Information.	Reporting Person Information section

Table 5: Excel Sheets

Excel Sheet	Description	Reference to the Data Model Reference Guide
MAP_REPENTITY_DTLS.xls	Provide the list of all reporting entity information.	Reporting Entity Information section
MAP_REPPERSON.xls	Provide the list of all reporting person institution.	Reporting person section

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

4.1.1 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: Uploading Excel

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.

4.2 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 `AtomicINSTR.sql` and `AtomicINSTR.cfg` from the *ProductSuppliedMetadata* folder packaged in the CRR installer kit under the path `OFS_CRR_PACK/OFS_CRR/ProductSuppliedMetadata/INSTR`.
2. Run the SQLs manually in the RR Atomic schema.

4.3 **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.

5 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 \(PMF\)](#)

5.1 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. 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 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**. A confirmation message is displayed.

5.2 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;
```

5.3 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 = ruser,
 - Attribute 3 Value = /services/InitiateRequest
 - Attribute 4 Value = /CRRframeworkDataingestion
 - Attribute 5 Value = Y
8. Click **Save**. A confirmation message is displayed.

5.3.1 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

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"/>

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.

5.4 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](#).

6 Configuring Parameters

This chapter covers the following topics:

- [Report Lock Period](#)
- [Default Domain 1](#)
- [Configuring Multiple Instances](#)

6.1 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;
```

6.2 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;
```

6.3 Configuring Multiple Instances

This configuration enables multiple instances (STRs) of OFS CRR application from the single OFS ECM instance. You can use a single OFS ECM application instance to generate multiple report types.

This section covers the following topics:

- [Configuring Multiple Instance Attribute Flag](#)
- [Configuring PMF](#)
- [Configuring Report URLs](#)
- [Configuring Case Jurisdiction and Report Type Mapping](#)

6.3.1 Configuring Multiple Instance Attribute Flag

To configure multi instances of the OFS CRR application, follow these steps:

1. Login to the OFSECM application as an 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** on 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 multiple instance attribute flag by setting, **Attribute 6 value = Y**.
8. Click **Save**. A confirmation message is displayed.

6.3.2 Configuring PMF

To enable two or more **Generate STR** actions in the OFS ECM application for each STR type, you must configure process modeling framework. For more information, see the *Configuring Processing Modeling Framework* chapter in the [Administration and Configuration Guide](#).

6.3.3 Configuring Report URLs

Login into the ECM Atomic Schema and execute the following SQL statement by replacing the placeholder:

```
update KDD_REG_REPORT_TYPE t set t.REPORT_URL = '<URL for STR>where
t.REG_TYPE_CD = 'INSTR';
```

For example, update `KDD_REG_REPORT_TYPE t set t.REPORT_URL = 'http://whf00abc:1200/CRR808/services/InitiateRequest' where t.REG_TYPE_CD = 'INSTR';`

6.3.4 Configuring Case Jurisdiction and Report Type Mapping

NOTE

One or more jurisdictions can be mapped to only one Regulatory Report Type if the **isMultiInstance** option is enabled.

For example, if AMEA and APAC are mapped to IN STR, then they cannot be mapped to any other STRs.

In the Enterprise Case Management (ECM) application, case jurisdiction must be mapped to the report type to generate a report in the OFS CRR IN STR application.

To perform this activity, follow these steps:

1. Login into the ECM Atomic Schema and execute the following SQL statement by replacing the following placeholders
 - **##Jurisdiction Code##** : The values for `KDD_JRSDCN_REPORT_TYPE_MAP.JRSDCN_CD` must come from the table `KDD_JRSDCN.JRSDCN_CD`.
 - **##Regulatory Report Type Code##** : The values for `KDD_JRSDCN_REPORT_TYPE_MAP.REG_TYPE_CD` must come from the table `KDD_REG_REPORT_TYPE.REG_TYPE_CD`.

2. `Insert into KDD_JRSDCN_REPORT_TYPE_MAP values ('##Jurisdiction Code##',
'##Regulatory Report Type Code##');`

For example, `insert into KDD_JRSDCN_REPORT_TYPE_MAP values ('JRSD1' , 'RTYP1');`

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