

Oracle Financial Services
Capital Adequacy Pack
Installation and Configuration
Guide

Version 8.0.3.2.0

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DOCUMENT CONTROL

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1.0	Created: March 2018	Created document to capture OFSCAP 8.0.3.2.0 Maintenance Level Release
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Executive Summary

This document includes the necessary instructions to apply the OFS CAP 8.0.3.2.0 Maintenance Level Release and perform the required post install configurations. You can find the latest copy of this document in [OHC Documentation library](#) which includes all the recent additions/revisions (if any).

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1 OFS CAP Release 8.0.3.2.0

OFS CAP 8.0.3.2.0 Maintenance Level (ML) includes all the bug fixes and minor enhancements done since the previous release, that is, 8.0.3.1.0.

Conventions and Acronyms

Conventions	Description
Screen actions are indicated in Bold	
IR	Interim Release
ML	Maintenance Level Release
OFSAAI	Oracle Financial Services Analytical Applications Infrastructure
OFSCAP	Oracle Financial Services Capital Adequacy Pack
AIX	Advanced Interactive eXecutive
RHEL	Red Hat Enterprise Linux
OEL	Oracle Enterprise Linux
OS	Operating System
EAR / WAR	Enterprise Archive / Web Archive
J2EE	Java 2 Enterprise Edition
OTN	Oracle Technology Network
Atomic Schema	Database schema where the application data model is uploaded.
Configuration Schema	Database schema which contains setup related configurations and metadata.

1.1 Pre-installation Requirements

The following are the pre-installation requirements:

1. You should have OFS CAP version 8.0.3.1.0 as the minimum patch set level.

Note: If patch 25509727 (OFSCAP 8.0.3.1.2) is not already applied, proceed with step 2. Proceed to step 3 otherwise.

2. If the feature OR-OREC DATA POPULATION is required (to enable data movement between OFS Operational Risk application in GRC pack to OFS Operational Risk Economic Capital in CAP pack) follow below pre-requisites. If this feature is not required / below pre-requisites are not followed, ignore errors in the installation log, related to scripts 'INCIDENT_SINGLE_LOB.sql' and 'INCIDENT_MULTIPLE_LOB.sql'.
 - a. OR-OREC integration requires Oracle Financial Services Capital Adequacy Pack (OFS CAP) 8.0.3.1.0 installed on Oracle Financial Services Governance Risk and Compliance Pack (OFS GRC) 8.0.2.0.0. The installation needs to be performed in the following order:
 - GRC 8.0.0.0.0
 - GRC 8.0.0.0.10 - patch number 21530684
 - GRC 8.0.2.0.0
 - CAP 8.0.0.0.0
 - CAP 8.0.0.0.2 - patch number 21767340
 - CAP 8.0.3.0.0
 - CAP 8.0.3.1.0
 - b. In case OFS Operational Risk application in GRC pack and OFS Operational Risk Economic Capital in CAP pack are installed in different schema on same Database Server, then synonyms for the below tables can be created in OFS Operational Risk Economic Capital schema with the same name as tables which points to OFS Operational Risk application tables.

For example: `CREATE PUBLIC SYNONYM DIM_BUSINESS_LINE FOR <OR_SCHEMA_NAME>.DIM_BUSINESS_LINE.`
 - c. In case OFS Operational Risk application in GRC pack and OFS Operational Risk Economic Capital in CAP pack are installed in different schema on different Database Server, then you need to add the below tables in CAP Pack Data Model along with the referential Fact and Dimension Tables through Data Model Upload mechanism.
 - FCT_INCIDENT
 - FCT_INS_POLICY
 - FCT_SCENARIO

- FCT_SCENARIO_ASSESS_MAP
 - FCT_SCENARIO_ASSMT_FREQ_MAP
 - FCT_SCENARIO_BL_MAP
 - FCT_INCIDENT_EFFECTS_MAP
 - FCT_INCIDENT_KBD_MAP
 - FCT_INCIDENT_CAUSES_MAP
 - FCT_INS_BL_MAP
 - FCT_INCIDENT_CAUSES_MAP
 - DIM_ROR_CONFIGURATION
- d. Data movement from OR tables of GRC Schema to OR tables of CAP Schema (done through Model Upload) should be done by as part of ETL Layer.
- e. Length of the below columns needs to be modified to (11, 6).
- FCT_OREC_SCENARIO_CAP_SUMMARY.N_TYPICAL_LOSS_FREQUENCY
 - FCT_OREC_SCENARIO_CAP_SUMMARY.N_WORST_CASE_FREQUENCY
 - FCT_OREC_SCENARIO_CAP_SUMMARY.N_MAXIMUM_FREQUENCY
 - FCT_OREC_SCENARIO_CAP_SUMMARY.N_MINIMUM_FREQUENCY
 - FCT_OR_SCENARIO_INTERVAL_DATA.N_FREQUENCY
 - FCT_SCENARIO_SEVERITY_DTLS.N_SEVERITY_FREQUENCY
 - FSI_OREC_FREQ_BUCKET_DTLS.N_EXT_LOSS_FREQUENCY
 - FSI_OREC_FREQ_BUCKET_DTLS.N_INT_LOSS_FREQUENCY
 - FSI_OREC_FREQ_BUCKET_DTLS.N_LOSS_FREQUENCY
 - FSI_OREC_FREQ_SIMULATION.N_SIM_FREQ
 - FSI_OREC_FREQ_SIMULATION.N_SIM_FREQ_SCEN
 - FSI_OREC_FREQ_SIMULATION.N_SIM_FREQ_LOSS
 - FSI_OREC_LOSS_SIMULATION.N_FREQUENCY
 - FSI_OREC_LOSS_SIM_PROCESSING.N_FREQUENCY
 - FSI_OREC_SCENARIO_CAP_SUMMARY.N_TYPICAL_LOSS_FREQUENCY
 - FSI_OREC_SCENARIO_CAP_SUMMARY.N_WORST_CASE_FREQUENCY
 - FSI_OREC_SCENARIO_CAP_SUMMARY.N_MAXIMUM_FREQUENCY
 - FSI_OREC_SCENARIO_CAP_SUMMARY.N_MINIMUM_FREQUENCY

- FSI_OREC_SCEN_SIMULATION.N_FREQUENCY
- FSI_OREC_SCEN_SIM_PROCESSING.N_FREQUENCY
- FSI_OR_SCENARIO_DETAILS.N_TYPICAL_FREQUENCY
- FSI_OR_SCENARIO_DETAILS.N_WORST_CASE_FREQUENCY
- FSI_OR_SCENARIO_DETAILS.N_MINIMUM_FREQUENCY
- FSI_OR_SCENARIO_DETAILS.N_MAXIMUM_FREQUENCY
- FSI_OR_SCEN_INTERVAL_DATA.N_CUMULATIVE_COMMON_FREQUENCY
- FSI_OR_SCEN_INTERVAL_DATA.N_FREQUENCY_YEARS
- STG_INT_SCENARIO_DATA.N_MAX_FREQUENCY
- STG_INT_SCENARIO_SEVERITY_DTLS.N_SEVERITY_FREQUENCY
- STG_OR_SCENARIO_DETAILS.N_WORST_CASE_FREQUENCY
- STG_OR_SCENARIO_DETAILS.N_FREQUENCY_SCENARIO_MEAN
- STG_OR_SCENARIO_DETAILS.N_TYPICAL_LOSS_FREQUENCY
- STG_OR_SCENARIO_DETAILS.N_MAXIMUM_FREQUENCY
- STG_OR_SCENARIO_DETAILS.N_MINIMUM_FREQUENCY
- STG_OR_SCEN_INTERVAL_DATA.N_FREQUENCY
- STG_STD_SCENARIO_DATA.N_MAX_FREQUENCY
- STG_STD_SCENARIO_SEVERITY_DTLS.N_SEVERITY_FREQUENCY

f. Below dimension tables in OR (GRC) and OREC (CAP) should be synchronized.

GRC	CAP
DIM_EVENT_TYPES	DIM_INTERNAL_EVENT_TYPE
DIM_BUSINESS_LINE	DIM_LOB

g. Setup tables and Stage Dimension tables mentioned in the CAP 8.0.2.0.0 Run Chart must be populated and subsequent tasks must be executed from dimension data population onwards. In case OR-OREC integration feature is enabled, the following staging tables need not be populated with data.

- STG_INT_OPERATIONAL_RISK_LOSS
- STG_OR_SCENARIO_DETAILS
- STG_OR_SCEN_INTERVAL_DATA

- STG_INSURANCE_DETAILS
 - STG_INSURANCE_MAPPING
- h. Seeded tables as mentioned in the run chart must not be modified in CAP 8.0.3.1.0 until seeded dimension members are added as part of OR Customization.

Note: Step (i) needs to be only performed when source CAP_OR_OREC_SRC is not present. You can ignore step (i) if already performed.

- i. Navigate to Data Sources under Common Tasks > Data Management > Data Management Tools and perform the following steps:
- i. Click Add under Define Sources and provide the following details:
 - Source name: CAP_OR_OREC_SRC
 - Description: Source name for OR - OREC Integration T2Ts
 - Select Source Type: Table
 - Select Based On: RDBMS
 - Select server name from drop down
 - Select database name from drop down
 - Provide the Table Owner name and click Save

Note: Table Owner name for the above source is Atomic Schema name.

- i. Click Mapped Sources and then click Map.
- ii. Select Capital Adequacy Application from dropdown. For example, CAP_APP_SRC.
- iii. Select CAP_OR_OREC_SRC from the list of available source and map it to the application.
- iv. Click Save.
- v. Navigate to ftpshare/<Infodom>/erwin/Sources and ftpshare/STAGE and check whether CAP_OR_OREC_SRC folder is created.

Note: In case CAP_OR_OREC_SRC folder is not created, create this folder in the location ftpshare/<Infodom>/erwin/Sources and ftpshare/STAGE and provide 0775 permission recursively.

- vi. Replace the placeholder <INFODOM> in the following insert statement with the Infodom name and execute it in the Config schema.

```
insert into CONFIGURATION (PARAMNAME, PARAMVALUE, DESCRIPTION)
values
```



```
('OFS_CAP_ADQ_SRC_<INFODOM>_CAP_OROREC_SRC','CAP_OR_OREC_S  
RC', 'Captured ETL Application/Source Names')
```

```
/
```

```
commit
```

```
/
```

- j. Restart all the OFSAAI services. For more information, refer to the Start/Stop Infrastructure Services section in Oracle Financial Services Capital Adequacy Pack Installation Guide – Release 8.0.0.0.0 in [OHC Library](#).
3. If “IND Basel III Capital Calculation - Standardised Approach - Indian Banks (RNBL6001)” and “IND Basel III Capital Calculation - Standardised Approach - Foreign Banks (RNBL6002)” runs are already executed in the setup, then following steps need to be followed:
 - i. In config schema, take back up of tables PR2_RUN_EXECUTION_FILTER and PR2_RUN_EXECUTION_B.
 - ii. Truncate the tables in following order: PR2_RUN_EXECUTION_FILTER, PR2_RUN_EXECUTION_B.

1.2 How to Apply this Maintenance Level (ML) Release?

Refer to the following instructions to install this patch set.

1. Login to <https://support.oracle.com/> and search for **27726847** under the Patches & Updates tab.
2. Download the OFSAA 8.0.3.0.0 CAP ML RELEASE #2 (8.0.3.2.0) archive file and copy it to your OFSAA server in Binary mode.
3. Stop all the OFSAAI Services and Web services. For more information, refer to the Start/Stop Infrastructure Services section in Oracle Financial Services Capital Adequacy Pack Installation Guide – Release 8.0.3.0.0 in [OHC Library](#).
4. Login to the OFSAAI server as a non-root user and navigate to the **\$FIC_HOME** folder.
5. Assign WRITE permission to the files/ folders such as **commonscripts**, **EXEWebService**, **ficapp**, **ficweb**, and **ficdb** in the **\$FIC_HOME** folder by executing the command:

```
chmod -R 775 *
```
6. If you have Unzip utility, skip to the next step. Download an Unzip utility (OS specific) and copy it in Binary mode to the directory that is included in your PATH variable, typically **\$HOME** path or directory in which you have copied the OFSCAP 8.0.3.2.0 application pack.
 - Uncompress the unzip installer file using the command:

```
uncompress <unzip utility filename>
```

NOTE: If you notice an error message “**uncompress: not found [No such file or directory]**” when the package is not installed, contact your UNIX administrator.

- Execute the following command to provide EXECUTE permission to the application pack file:

```
chmod 751 p27726847_80000_Generic.zip
```

7. Extract the contents of the 8.0.3.2.0 ML archive file using either of the following commands:

```
unzip_<os> -a <name of the file to be unzipped>
```

OR

```
unzip -a <name of the file to be unzipped>
```

NOTE: The above “-a” option is mandatory to unzip the archive file.

For example: `unzip_aix -a p27726847_80000_Generic.zip`

8. Navigate to `./OFS_CAP_ADQ_PACK/OFS_CAP_ADQ/bin`, copy 'patchfiles.tar.gz' file to a different location and extract.
9. In the extracted location, navigate to `installer_docs/` and fetch 'CR_RCAIII.xls' file.
10. Include the new tables/columns as per the 'CR_RCAIII.xls' sheet in Erwin file and perform the slice Model upload.
11. After successful Datamodel upload, delete the extracted 'patchfiles' folder.
12. Navigate to `./OFS_CAP_ADQ_PACK/OFS_CAP_ADQ/conf` directory and update `params.conf` file with appropriate values for `UPLOAD_MODEL=0`.
13. Provide RWX permissions to the shell script: `./OFS_CAP_ADQ_PACK/OFSAAIUpdate.sh`.
14. Execute the command: `OFSAAIUpdate.sh`.
15. Verify the log files generated in `./OFS_CAP_ADQ_PACK/OFS_CAP_ADQ/logs` and `./OFS_CAP_ADQ_PACK/logs` directories, to ensure if the patch is applied successfully. You can ignore ORA-00001, ORA-00957, ORA-01430 and ORA-00942 (arising out of `sandbox/create/DIM_UOM_ALTER.sql`) errors in the log file. If Oracle Financial Services Capital Adequacy Pack 8.0.3.1.0 – Operational Risk Economic Capital, is not installed/enabled, please ignore the error in CAP installation log file for the file `OREC_Sys_Scripts.sql`. In case of any other errors, contact Oracle Support Services.

1.3 Post-installation Steps

The following are the post-installation steps:

1. Upgrade to Struts 2.3.32 (if not already upgraded). For information on how to upgrade to the struts compatible versions, refer Doc ID 2254323.1-Support Note to Upgrade to Struts 2.3.32 on OFSAA Platform from <https://support.oracle.com/>.

Note: If patch 25509727 (OFSCAP 8.0.3.1.2) is not already applied, proceed with step 2. Proceed to step 3 otherwise.

2. If fixes related to OR-OREC DATA POPULATION has to be deployed, to enable data movement between OFS Operational Risk application in GRC pack to OFS Operational Risk Economic Capital in CAP pack, follow below post installation steps.

- a. To Enable Loss Incident Data Population from OR to OREC:

Execute the below SQL command in Atomic Schema and commit:

```
update    FSI_OREC_PROCESS_MASTER    set    v_process_id    =
'1472466756219', v_process_name = 'PROEC0051', v_process_desc
= 'Internal OR-OREC Data Population' where V_METHOD in
'INT_LOSS_DATA' and v_process_id = '1444130399206' and
v_process_name = 'PROEC0006' and F_DATA_PREP_APPLICABLE='Y'.
```

- b. To Enable Scenario Data Population from OR to OREC:

Execute the below SQL command in Atomic Schema and commit:

```
update    FSI_OREC_PROCESS_MASTER    set    v_process_id    =
'1472466950395', v_process_name = 'PROEC0052', v_process_desc
= 'OR-OREC Scenario Data Population' where V_METHOD in
'SCENARIO_DATA' and v_process_id = '1445863645059' and
v_process_name = 'PROEC0011' and F_DATA_PREP_APPLICABLE='Y'
```

- c. To Enable Insurance Data Population from OR to OREC:

Execute the below SQL command in Atomic Schema and commit

```
update    FSI_OREC_PROCESS_MASTER    set    v_process_id    =
'1472467805881', v_process_name = 'PROEC0053', v_process_desc
= 'OR-OREC Insurance Data Process' where V_METHOD in
'INSURANCE_DATA' and v_process_id = '1447914419789' and
v_process_name = 'PROEC0018' and F_DATA_PREP_APPLICABLE='Y'.
```

Note: For configuration details and Logic of data movement for each module, refer OR-OREC Integration Handbook from <https://support.oracle.com/> (Doc ID 2017256.1).

3. Execute the below queries in atomic schema and commit the changes:

```
delete from fsi_rep_line_acct_head_map where N_REP_LINE_CD IN
(631000007,973,8120009)
```

```
/
```

```
insert into fsi_rep_line_acct_head_map (N_REP_LINE_CD,v_std_acct_head_id)
values(8120009,'CAP870')
```

```
/
```

```
insert into fsi_rep_line_acct_head_map (N_REP_LINE_CD,v_std_acct_head_id)
values(631000007,'CAP925')
```

```
/
```

```
insert into fsi_rep_line_acct_head_map (N_REP_LINE_CD,v_std_acct_head_id)
values(973,'CAP1134')
```

```
/
```

```
update dim_bands set f_Latest_Record_Indicator ='N' where n_band_code =13 and
n_Band_Upper_Bound_Value=30 and n_Band_Lower_Bound_Value = 0 and
V_BAND_TYPE='RES MAT BAND'
```

```
/
```

4. In the table DIM_HOLDING_TYPE, if there are 2 entries with V_HOLDING_TYPE='AFS', update the unused entry with V_HOLDING_TYPE='AFS_XX'.
5. Replace the placeholder ##INFODOM## with the production infodom name and '##REVUSER##' with 'SYSADMN' and execute the script [DSRCA005.sql](#) in config schema.
6. Execute the below statement in config schema after replacing the placeholder ##CAP_PROCESSING_SRC## with the processing source name:
 - a. 'UPDATE PR2_PROCESS_TASK SET v_task_ref_1_value = '##CAP_PROCESSING_SRC##' WHERE v_process_id = (SELECT v_process_id FROM pr2_process_b WHERE v_process_name = 'PRBL6004') AND v_task_ref_1_value = 'CAP_PRC_SRC'.
7. Execute the script [dim_rep_line.sql](#) in atomic schema and commit the changes.
8. In reporting T2T T2T_STG_CREDIT_DERIVATIVES_CAS, map the source column STG_CREDIT_DERIVATIVES.V_BOOK_TYPE to target FCT_COMMON_ACCOUNT_SUMMARY.F_TRADING_BOOK_IND
9. Restore the backup of PR2_RUN_EXECUTION_FILTER and PR2_RUN_EXECUTION_B, if required for already run execution audit.
10. Remove all occurrences of the below mentioned tag from the \$FIC_WEB_HOME/webroot/WEB-INF/web.xml file.

<url-pattern>/basel/AttributionAnalysis/*</url-pattern>

11. Remove the AttributionStruts.xml tag from the \$FIC_WEB_HOME/webroot/WEB-INF/classes/Struts.xml file.
12. Delete the AttributionStruts.xml file from \$FIC_WEB_HOME/webroot/WEB-INF/classes folder.
13. Generate the application EAR/WAR file and redeploy the application onto your configured web application server. For more information on generating and deploying the EAR/ WAR file, refer to the Post Installation Configuration section in OFS AAI 8.0.0.0.0 Installation and Configuration Guide in [OHC](#) Library.
14. Restart all the OFSAAI services. For more information, refer to the Start/Stop Infrastructure Services section in OFS AAI 8.0.0.0.0 Installation and Configuration Guide in [OHC](#) Library.
15. Navigate to ./OFS_CAP_ADQ_PACK/OFS_CAP_ADQ/bin/CAP/repository directory and fetch OFS Basel Regulatory Capital Analytics - Repository.zip file. Extract and deploy the RPD file as per the Oracle Financial Services Capital Adequacy Pack Release 8.0.3.2 Admin Guide in [OHC](#) Library.
16. Navigate to ./OFS_CAP_ADQ/bin/CAP/catalog/INDIA directory and fetch the catalog files present. Deploy the catalog files as per Oracle Financial Services Capital Adequacy Pack Release 8.0.3.2 Admin Guide in [OHC](#) Library.
17. For information on Materialized View Incremental Refresh feature of this release, refer Oracle Financial Services Capital Adequacy Pack Release 8.0.3.2 Admin Guide in [OHC](#) Library.



Oracle Financial Services Capital Adequacy Pack 8.0.3.2.0 Installation and Configuration Guide

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