

**Oracle Financial Services Capital  
Adequacy Pack  
Installation Guide**

**Release 8.1.2.6.0**

**Aug 2024**





## OFS Capital Adequacy Application Pack

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# Document Control

| Version Number | Revision Date | Change Log  |
|----------------|---------------|---|
| 01             | August 2024   | Created the document for the OFS CAP 8.1.2.6.0 release. |

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# 1 Preface

This section provides supporting information for the Oracle Financial Services Capital Adequacy (OFS CAP) Installation Guide.

You can find the latest copy of this document in the [OHC Documentation Library](#) which includes all the recent additions or revisions (if any) done to date.

Before you begin the installation, ensure that you have access to [Oracle Support](#) with the required login credentials to quickly notify us of any issue at any stage.

## 1.1 Audience

Oracle Financial Services Capital Adequacy (OFS CAP) Applications Pack Installation Guide is intended for administrators and implementation consultants who are responsible for installing and maintaining the application pack components.

### 1.1.1 Prerequisites for the Audience

The document assumes that you have experience in installing Enterprise components and basic knowledge about the following is recommended.

The following are the expected preparations from the administrator before starting the actual installation:

- Oracle Financial Services Advanced Analytical Applications Infrastructure pack components
- OFSAA Architecture
- UNIX Commands
- Database Concepts
- A Web Server or Web Application Server
- Oracle Data Integrator

## 1.2 Related Documents

We strive to keep this and all other related documents updated regularly; visit the [OHC Documentation Library](#) to download the latest version available there. The list of related documents is provided here:

- [OHC Documentation Library](#) for the **OFS Capital Adequacy Application Pack**:
  - *OFS Basel Regulatory Compliance User Guide*
  - *OFS Basel Regulatory Analytics User Guide*
  - *OFS Basel Regulatory Capital Adequacy Admin Guide*
  - *OFS Capital Adequacy Security Guide*
  - *OFS Capital Adequacy Cloning Guide*
- [OHC Documentation Library](#) for the **OFS AAI Application Pack**:

- *OFS Advanced Analytical Applications Infrastructure (OFS AAAI) Application Pack Installation and Configuration Guide*
- *OFS Analytical Applications Infrastructure User Guide*
- *OFS Analytical Applications Infrastructure Administration Guide*
- *OFS Analytical Applications Infrastructure Environment Check Utility Guide*
- **Additional documents:**
  - [OFSAA Licensing User Manual](#)
  - [OFS Analytical Applications Infrastructure Security Guide](#)
  - [OFS Analytical Applications Technology Matrix](#)
  - [OFS Analytical Applications Infrastructure Cloning Guide](#)

## 1.3 Conventions and Acronyms

**Table 1: Conventions and Acronyms**

| Conventions  | Description  |
|--|--|
| Actions are indicated in Bold.                     |  |
| Command or query is indicated in Courier New font. |  |
| OFSAAI   | Oracle Financial Services Analytical Applications Infrastructure                           |
| OFS AAAI   | Oracle Financial Services Advanced Analytical Applications Infrastructure Application Pack |
| OFSCAP   | Oracle Financial Services Capital Adequacy Pack  |
| RHEL   | Red Hat Enterprise Linux   |
| IR   | Minor Release  |
| ML   | Maintenance Level  |
| Atomic Schema                                      | Database Schema where the Application Data Model is uploaded.                              |
| Config Schema                                      | Database Schema which contains setup related configurations and metadata.                  |

## 2 OFS CAP Application Pack Release 8.1.2.6.0

This Maintenance Level (ML) Release of OFS CAP Application Pack includes all enhancements and bug fixes since the OFS CAP Application Pack version 8.1.2.0.0 Major release.

### 2.1 Pre-Installation Requirements

The pre-installation requirements are as follows:

- The minimum patch set level must be OFS CAP Application Pack v8.1.2.0.0 and OFS AAI Release 8.1.2.4.0.

**NOTE:**

See the OFS Analytical Applications Technology Matrix, for hardware and software requirements.

The Erwin Files for OFS CAP Application Pack v8.1.2.6.0 is available on [My Oracle Support \(MOS\)](#) under the patch ID 36949401.

- Run the below statements in the atomic schema before the DM upload. This updates the null values to -1 since these columns are part of PK:
  - update FSI\_CAP\_BANK\_RETAIL\_EXP set N\_CAP\_APPROACH\_TYPE\_SKEY =-1 where N\_CAP\_APPROACH\_TYPE\_SKEY is null;
  - update FSI\_CAP\_EXPOSURE\_RW\_DETAILS set N\_CAP\_APPROACH\_TYPE\_SKEY =-1 where N\_CAP\_APPROACH\_TYPE\_SKEY is null;
- Replace the **##INFODOM##** placeholder and execute the [Segment\\_insert.sql](#) script in the Config schema to create a new segment for the UK, Qatar (QA), and Kuwait (KW), Indonesia and Philippines jurisdictions.
- Execute below scripts in atomic schema to clean up the incremental processing related objects which were created via the installer and not via DM upload:
  - [OBJ\\_REG\\_INCREMENTAL\\_PROC\\_TABLES.sql](#)
  - [DROP\\_INCREMENTAL\\_PROC\\_TABLES.sql](#)
- Major enhancements have been implemented on the Regulatory Calculation Definition screen as part of 8.1.2.6.0. Regulatory Definition archives created out of an environment version prior to 8.1.2.6.0 are not compatible for import on the later versions. Definitions existing in the environment as part of lower versions will be incompatible with the framework in the newer version. For backup purposes, take an excel download of all the RMO definitions present in the environment before upgrade. There are migration steps provided to transition from old framework to new one post upgrade.

### 2.2 Installing OFS CAP 8.1.2.6.0 ML Release

Perform the following instructions to download, extract, install, and configure this ML Release.

To install this release, follow these steps:

1. Log in to [My Oracle Support](#), and search for patch ID 36906145 under the Patches and Updates tab.
2. Download the OFSCAP 8.1.2.0.0 ML RELEASE #4 (8.1.2.6.0) archive file and copy it to your OFSAA Server in Binary mode.

#### NOTE

The archive files are different for every Operating System like Solaris, and RHEL, or Oracle Linux.

3. Shut down all the OFSAAI Services.  
For more information on stopping the infrastructure services, see [OFSAAI User Guide](#).
4. Login to the OFSAA Server with the user credentials to install OFS CAP.
5. Extract the contents of the OFS CAP Application Pack v8.1.2.6.0 installer archive in the Download Directory using the following command:

```
unzip -a p36906145_81200_<OperatingSystem>.zip
```

#### NOTE

Rename or remove the existing OFSAA Application Pack folder from the OFSAA Server before extracting the contents from the release archive (.zip). For example, in this release, when extracted from the archive, a folder with the name `OFS_CAP_ADQ_PACK` is created. If a folder with the same name already exists in the path where the release archive is copied, rename or remove that folder. If not renamed or removed, the extracted contents will be overwritten or merged into the existing folder.

6. Update the `UPLOAD_MODEL`, `MODEL_TYPE`, `DATAMODEL`, and `DM_DIRECTORY` parameters in the `params.conf` file present in the `OFS_CAP_ADQ_PACK/appsLibConfig/conf/` directory as detailed in the file.

#### NOTE

There is a `DATAMODEL` associated with this release.

- Update `UPLOAD_MODEL = 1` if the `DATAMODEL` has to be uploaded during the installation.
  - If the `DATAMODEL` is already uploaded before installation, update `UPLOAD_MODEL = 0`.
7. Navigate to the path where the installer archive is extracted, and grant `EXECUTE` permission to the installer file using the following command:  

```
chmod 750 OFSAAIUpdate.sh
```
  8. Execute the following software upgrade command:  

```
./OFSAAIUpdate.sh
```
  9. Verify that the ML release is applied successfully by checking the log files generated in the following installation directories:
    - AAI log: `OFS_CAP_ADQ_PACK/logs`
    - IRB log: `OFS_CAP_ADQ_PACK/OFS_BASEL_IRB/logs`
    - BASIC log: `OFS_CAP_ADQ_PACK/OFS_BASEL_BASIC/logs`
  10. In case of any error in the log file, contact [My Oracle Support](#).



## 2.3 Post Installation Steps

After a successful installation, perform these steps:

1. Clear the application cache. Navigate to the following path depending on the configured Web Application Server and delete the files:
  - **Tomcat**  
`<Tomcat installation directory>/work/Catalina/localhost/<Application name>/org/apache/jsp`
  - **WebLogic**  
`<Weblogic installation location>/domains/<Domain name>/servers/<Server name>/tmp/_WL_user/<Application name>/<auto generated folder>/jsp_servlet`
  - **WebSphere**  
`<Websphere installation directory>/AppServer/profiles/<Profile name>/temp/<Node name>/server1/<Application name>/<.war file name>`
2. Generate the application EAR or WAR file and redeploy the application onto your configured Web Application Server.

For more information creating and deploying the EAR or WAR files, see [OFSAAI User Guide](#).
3. Start all the OFSAAI Services.

For more information on starting the OFSAAI Services, see *the* [OFSAAI User Guide](#).
4. Deploy the following scripts in atomic schema:
  - a. Deploy the file [Consolidated Perf Tuning Points.sql](#) after replacing the placeholders. Partitions are a mandatory step and index creation is optional but suggested.
5. Deploy the following scripts in config schema after replacing the placeholder for Basel Analytics:
  - [DM\\_T2T\\_FCT\\_REG\\_CAP\\_ACCT\\_RISK\\_CLAS\\_DTL.sql](#)
  - [DM\\_T2T\\_FSI\\_CAP\\_ACCT\\_ASSET\\_CLASS\\_FCT\\_REG\\_CAP\\_ASSET\\_CLASS.sql](#)
6. Update the pipeline type of PMF sub pipelines:
  - a. Navigate to the `ficdb/bin` using the command: `cd $FIC_DB_HOME/bin`
  - b. Execute the shell script: `./updatePipelineType.sh`
7. From OFS CAP 8.1.2.3.0 release, DIM\_PARTY\_ROLE table is used as reference for bank base role IDs instead of DIM\_BANK\_BASE\_ROLE table. Historic data points to the DIM\_BANK\_BASE\_ROLE table. If the reference to DIM\_PARTY\_ROLE table is not already updated as part of previous version upgrades, follow the Data migration steps as suggested in the **Historic Data Migration from DIM\_BANK\_BASE\_ROLE to DIM\_PARTY\_ROLE** section of the BIS [User Guide](#).

**NOTE:**

Perform these steps before triggering any run execution on 8.1.2.6.0.
8. Import the Regulatory Calculation definitions by performing the steps documented in the section Importing Run Definitions in the User Guide based on the required jurisdiction.

**NOTE:**

1. Regulatory Definition archives created out of an environment version prior to 8.1.2.6.0 are not compatible for import on the later versions.
2. Significant enhancements have been done to the Regulatory Definitions UI in this release. Definitions existing in the environment as part of lower versions will be incompatible with the framework in the newer version. To continue using the same definitions, follow below migration steps and transition from old framework to new one post upgrade.
3. Run below query in atomic schema and commit the changes:

```
insert into FSI_RUNPARAM_APPRCH_PARAM_MAP(N_APPRCH_PARAM_MAP_ID,  
V_PARAM_CD, V_PARAM_SEL_OPT_CD)select  
FSI_RUNPARAM_APPRCH_MAP.N_APPRCH_PARAM_MAP_ID, V_METHOD_CD,  
V_METHOD_SEL_OPT_CDfrom FSI_RUNPARAM_APPRCH_MAPJOIN  
FSI_RUNPARAM_APPRCH_MTHD_MAP ON  
FSI_RUNPARAM_APPRCH_MTHD_MAP.N_APPRCH_METHOD_MAP_ID =  
FSI_RUNPARAM_APPRCH_MAP.N_APPRCH_METHOD_MAP_ID;
```

you can optionally delete the contents of FSI\_RUNPARAM\_APPRCH\_MTHD\_MAP table as well. Review the selections of the existing Regulatory Definitions against the backup under the respective applications.

The Regulatory Calculation definitions for BIS, APRA, CAN, INDIA, EU, HK, SAMA, SGP, THAI, UK, QA, KW, PH and the USA are packaged in the installer as per the following table:

**Table 2: Regulatory Calculation Definitions**

| Dump file                          | Definitions   |
|------------------------------------|---|
| BASEL_RUN_DEFINITIONS_INDIA.DMP    | IN - Capital Calculation - Standardized Approach<br>IN - Capital Calculation - Advanced IRB Approach<br>IN - Capital Calculation - Foundation IRB Approach  |
| BASEL_RUN_DEFINITIONS_INDIA_PC.DMP | IN - Basel III Post Crisis Reforms - Standardized   |
| BASEL_RUN_DEFINITIONS_BIS_PC.DMP   | BIS - Basel III: Finalizing Post Crisis Reforms Compliance - Standardized Approach<br>BIS - Basel III: Finalizing Post Crisis Reforms Compliance - Mixed Approach with Output Floor<br>BIS - Basel III: Finalizing Post Crisis Reforms Compliance - Mixed Approach without Output Floor |
| BASEL_RUN_DEFINITIONS_BIS.DMP      | BIS - Capital Calculation - Advanced IRB Approach<br>BIS - Capital Calculation - Foundation IRB Approach<br>BIS - Capital Calculation - Standardized Approach   |
| BASEL_RUN_DEFINITIONS_APRA_PC.DMP  | APRA - Basel III Post Crisis Reforms - Capital Calculation - Standardized Approach  |

| Dump file                            | Definitions   |
|--------------------------------------|---|
| BASEL_RUN_DEFINITIONS_EU.DMP         | EU - CRR II - Capital Calculation - Standardized Approach<br>EU - CRR II - Capital Calculation - Standardized Approach for CR and CCR<br>EU - CRR II - Foundation IRB Approach<br>EU - CRR II - Advanced IRB Approach |
| BASEL_RUN_DEFINITIONS_EU_CRR_III.DMP | EU - CRR III - Capital Calculation - Standardized Approach  |
| BASEL_RUN_DEFINITIONS_CAN_PC.DMP     | CAN - Basel III: Finalizing Post Crisis Reforms Compliance - Standardized Approach  |
| BASEL_RUN_DEFINITIONS_HK_PC.DMP      | HK - Basel III: Finalizing Post Crisis Reforms Compliance - Standardized Approach   |
| BASEL_RUN_DEFINITIONS_SGP_PC.DMP     | SGP - Basel III: Finalizing Post Crisis Reforms Compliance - Standardized Approach  |
| BASEL_RUN_DEFINITIONS_UK.DMP         | PRA - Basel 3.0 Compliance - CRR II - Standardized Approach<br>PRA - Basel 3.0 Compliance - CRR II - Foundation IRB Approach<br>PRA - Basel 3.0 Compliance - CRR II - Advanced IRB Approach                           |
| BASEL_RUN_DEFINITIONS_UK_3_1.DMP     | PRA - Basel 3.1 Compliance - CRR III - Standardized Approach  |
| BASEL_RUN_DEFINITIONS_USA.DMP        | US - Capital Calculation - Standardized Approach<br>US - Capital Calculation - IRB Approach   |
| BASEL_RUN_DEFINITIONS_USB3E.DMP      | US - Basel III Endgame - Capital Calculation - Standardized Approach  |
| BASEL_RUN_DEFINITIONS_SAMA.DMP       | SAMA - Basel III Capital Calculation - Standardized Approach  |
| BASEL_RUN_DEFINITIONS_SAMA_PC.DMP    | SAMA - Basel III: Finalizing Post Crisis Reforms Compliance - Standardized Approach   |
| BASEL_RUN_DEFINITIONS_THAI.DMP       | THAI Capital Calculation - Standardized Approach<br>THAI Capital Calculation - Foundation IRB Approach<br>THAI Capital Calculation - Advanced IRB Approach  |
| BASEL_RUN_DEFINITIONS_KW.DMP         | KW - Basel III Capital Calculation - Standardized Approach  |
| BASEL_RUN_DEFINITIONS_QA_PC.DMP      | QA - Basel III: Finalizing Post Crisis Reforms Compliance - Standardized Approach   |
| BASEL_RUN_DEFINITIONS_PH.DMP         | PH - Capital Calculation - Standardized Approach  |

9. Ensure that you define the reclassification mapping between the **Bank Types** to its corresponding Regulatory Type on the **Regulatory Reclassification** page. Also, review the regulator-specified threshold values in the **Regulatory Threshold** section. Modify these values only if required. For more information, see the **User Interface for Reclassification and Regulatory Predefined Values** section in the [Basel Regulatory Compliance User Guide](#).

10. (Optional) For information about configuring the Price Creation and Discovery run, see the Price Creation and Discovery (PCD) Integration section in the [Oracle Financial Services Basel Regulatory Compliance User Guide](#).

## 2.4 Configuring Tomcat for User Group Authorization, Data Mapping, and Disabling WADL for the Web Service

Users with system authorization roles can access User Group Authorization. However, to make it available on Tomcat web server, you have to perform the following configuration steps:

1. Navigate to the \$FIC\_WEB\_HOME/webroot/WEB-INF/ folder and open web.xml file.
2. Enter the following in the web.xml file.

```
<init-param>
<param-name>mappedfile</param-name>
<param-value>>false</param-value>
</init-param>
```

3. To disable the WADL for the Web Service, navigate to the following snippet in the web.xml file.

```
<servlet>
<servlet-name>CommonRETServlet</servlet-name>
<servlet-class>org.glassfish.jersey.servlet.ServletContainer</servlet-class>
<init-param>
<param-name>javax.ws.rs.Application</param-name>
<param-value>com.ofs.fsapps.commonapps.util.ApplicationResourceConfig</param-value>
</init-param>
<load-on-startup>1</load-on-startup>
</servlet>
```

4. Add the following snippet before the <load-on-startup>1</load-on-startup> attribute.

```
<init-param>
<param-name>jersey.config.server.wadl.disableWadl</param-name>
<param-value>true</param-value>
</init-param>
```

5. Save and close the file.

## OFSA Support

Raise a Service Request (SR) in [My Oracle Support \(MOS\)](#) for queries related to the OFSAA applications.

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