Oracle® OFS RR Cloud Service

CTR Admin Guide

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Contents

1 Preface

CTR CS Administration Guide provides instructions to configure Oracle Financial Crime and Compliance Management Currency Transaction Reporting (CTR) cloud service.

1.1 Audience

This document is intended for users who are responsible for provisioning and activating Oracle FCCM Cloud services or for adding other users who would manage the services, or for users who want to develop Oracle Cloud applications.

1.2 Help

Use Help Icon  to access help in the application. If you don't see any help icons on your page, click your user image or name in the global header and select Show Help Icons. Not all pages have help icons. You can also access the https://docs.oracle.com/en/ to find guides and videos.

1.3 Related Resources

For more information, see these Oracle resources:

- Oracle Public Cloud: http://cloud.oracle.com
- Community: Use https://community.oracle.com/customerconnect/ to get information from experts at Oracle, the partner community, and other users.
- Training: Take courses on Oracle Cloud from https://education.oracle.com/oracle-cloud-learning-subscriptions.

1.4 Comments and Suggestions

Please give us feedback about Oracle Applications Help and guides! You can send an e-mail to: https://support.oracle.com/portal/.

2 Introduction

You will find the activities performed by the CTR Administrator in the Financial Crime and Oracle Financial Services Currency Transaction Reporting Cloud Service (OFS CTR CS) explained here. The primary job of a CTR Administrator is to create and manage business domains and jurisdictions, map users to the required business domains, jurisdictions, and report types. They also prepare the reference data in a specific template in .csv format and it into the OFS CTR CS.

Users mapped to a particular jurisdiction, business domain, or report type can access reports. This restricts others from accessing specific business domains, jurisdictions, and report types.

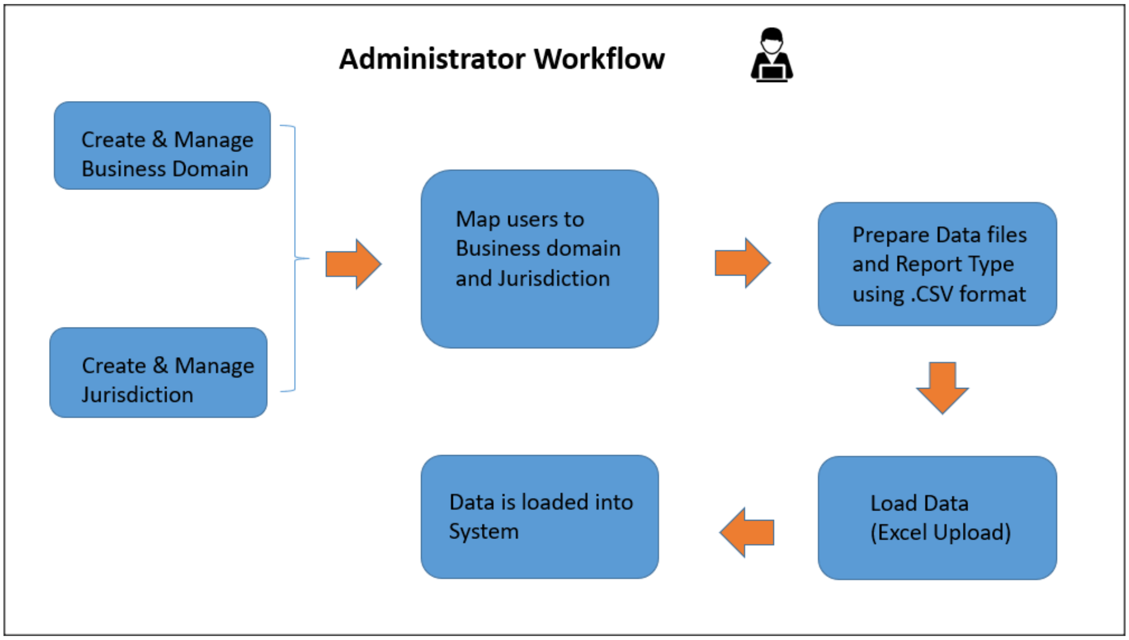
2.1 Security within OFS CTR CS

Security to control data access in the OFS CTR CS is defined in the following table. You can view and manage a report if you are authorized with the requisite access controls.

Table 2-1 Security within the OFS CTR CS

Type	Control	Description
Roles	Features and Functions	This security layer identifies features and functions users can access within the OFS CTR CS.
Business Domains	Report information	This security layer enables you to restrict access along operational business lines and practices. Users can only see reports that are assigned to at least one of the business domains they have access to.
Jurisdiction	Report information	This security layer enables you to restrict access using geographic locations. Users can only see reports that belong to the jurisdiction they have access to.

Figure 2-1 CTR Admin Workflow



- Business Domains: A Business Domain is an operational line of business for which data access permission is differentiated. You can view and modify the existing business domains, if required, you can also create new business domains. For example, retail, private, and so on.
- Jurisdictions: A jurisdiction is any territory where certain laws apply and where judicial authority can be exercised --such as a country, state, or region. For example, the USA, Canada, and so on.
- Security Mappings: The security attributes help an organization restrict its users based on jurisdictions, business domains, and report types to access data. If you update the business domain or jurisdiction, you must also map users to them.
- Data Preparation and Loading (Excel Upload): Prepare the required data to upload into the system using the specific template in the .csv (comma-separated value) format.

2.2 Users

Users with OFS CTR CS Administrator privilege must be mapped to IHUBADMINGRP to perform actions.

2.3 Getting Started

This section provides step-by-step instructions to log in to the application.

Accessing the Application

To access the application, follow these steps:

1. Enter the URL in the web browser.
2. The **Oracle Cloud** login page is displayed.
3. Enter your **User Name** and **Password**.

> **Note:**
>
> You can also provide email id as a user name.

> **Note:**
>
> The maximum length of characters supported for creating a user name is 185 characters.

4. Click **Sign In**. The Applications landing page is displayed.
5. Click **Application Navigation** icon at the top left corner and the **Navigation List** displays the **Oracle Financial Services Crime and Compliance Management Anti Money Laundering Cloud Service** module.
6. Click **Oracle Financial Services Crime and Compliance Management Anti Money Laundering Cloud Service**. The menu options are displayed.
7. Click the required option from the LHS menu. For example, Application Security Mapping, Batch Administration, and so on.

3
Business Domains

A Business Domain is an operational line of business with differentiated data access permissions.

The business domain is used to identify records of different business types (such as Private Clients and Retail customer), or to provide more granular restrictions to data, such as employee data. The list of business domains in the system resides in the FCC_BUS_DOMAIN_B and FCC_BUS_DOMAIN_TL tables. The system tags each data record provided through one or more business domains. It is required to associate specific users to one or more business domains to operate.

Every business domain has a unique code. For example, retail is a business and it is referred to as an RTL. It is very important to provide priority to each of these domains. For example, 1 to 100. Where 1 represents the highest priority and 100 is the lowest priority.

Use this section to view and modify the existing business domain, and add a new business domain. The business domain list displays the code, name, priority, and description related to the existing business domains.

3.1 Adding Business Domains

Use this section to add a new business domain.

To add a new business domain, follow these steps:

1. In the Navigation List LHS menu, select the **Application Security Administration**, and click **Business Domains**. The Business Domain List page is displayed.
2. Click **Add** . The Add New Business Domain window is displayed.
3. Enter the details in the fields. The fields marked with an asterisk * are mandatory.

Table 3-1 Add a New Business Domain field and description.

Field	Description
Business Domain Code	Enter the unique code for the new business domain. Use only alphanumeric values; do not use any special characters except underscore (_). For example, RETL for Retail. **NOTE**: You can enter up to 20 characters.
Business Domain Name	Enter the business domain name. This is high-level segregation of different areas. Use only alphanumeric values; do not use special characters except underscore (_). For example, Retail, Institutional Broke_Dealer, and so on. **NOTE**: You can enter up to 80 characters.

Table 3-1 (Cont.) Add a New Business Domain field and description.

Field	Description
Business Domain Priority	Enter the business domain priority. This must be equal to or greater than 1. For example, 1 represents the highest business domain priority, and 100 the lowest business domain priority. **NOTE**: You can enter up to 80 characters.
Business Domain Description	Enter the business domain description. Use only alphanumeric values, and special characters (space, underscore, and hyphen only). **NOTE**: You can enter up to 320 characters.

4. Click **Save**. A confirmation message is displayed. The new business domain is added to the FCC_BUS_DOMAIN_B and FCC_BUS_DOMAIN_TL tables.
    - The FCC_BUS_DOMAIN_B table stores the Business Domain Code and data entry time.
    - The FCC_BUS_DOMAIN_TL table stores all the details (Code, Name, and Description) entered in the Business Domain window.
5. To edit an existing business domain, select the Business Domain, and click **Edit** . The Edit **New Business Domain** window is displayed.
6. Modify the required information, for more information on the fields, see Table 3-1 Business Domain.
7. Click **Save**. A confirmation message is displayed. The FCC_BUS_DOMAIN_B and FCC_BUS_DOMAIN_TL tables are updated.

4 Jurisdictions

A jurisdiction is a territory such as a country, state, or region, where certain laws apply and judicial authority is exercised.

You can use jurisdictions to limit access to data in the report. In the OFS CTR CS, you can manage data or reports associated with jurisdictions to which they have access.

For example,

- **Geographical**: The division of data is based on geographical boundaries, such as countries, states, and so on.
- **Organizational**: The division of data is based on different legal entities that compose the client's business.
- **Other**: Combination of geographical and organizational definitions. It is client-driven and can be customized.

In most scenarios, a jurisdiction also implies a threshold that enables the use of data attributes to define separate threshold sets based on jurisdictions. The list of jurisdictions in the system resides in the FCC_JURISDICTION_B and FCC_JURISDICTION_TL tables.

Use this section to view or modify existing jurisdictions and add new jurisdictions. The jurisdictions list displays the code, name, priority, and description related to the existing jurisdictions.

4.1 Adding Jurisdictions

To add a new jurisdiction, follow these steps:

1. In the Navigation List LHS menu, select the **Application Security Administration** and click **Jurisdiction**. The Jurisdiction List page is displayed.
2. Click **Add** . The Add New Jurisdiction window is displayed.
3. Enter the Add New Business Domain fields. The fields marked with an asterisk * are mandatory.

Table 4-1 Jurisdiction Fields - Add a New Jurisdiction

Field	Description
Jurisdiction Code	Enter the unique jurisdiction code. Use only alphanumeric values; do not use any special character except underscore (_). **NOTE**: You can enter up to 16 characters.
Jurisdiction Name	Enter the jurisdiction name. Use only alphanumeric values; do not use any special character except underscore (_), hyphen (-), or space. **NOTE**: You can enter up to 160 characters.

Table 4-1 (Cont.) Jurisdiction Fields - Add a New Jurisdiction

Field	Description
Jurisdiction Priority	Enter the jurisdiction priority. This must be equal to or greater than 1. For example, 1 represents the highest jurisdiction priority, and 10 is the lowest jurisdiction priority. **NOTE**: You can enter up to 100 characters.
Jurisdiction Description	Enter the jurisdiction description. **NOTE**: You can enter up to 320 characters.

4. Click **Save**. A confirmation message is displayed. The newly added jurisdiction is added in the FCC_JURISDICTION_B and FCC_JURISDICTION_TL tables.
5. To edit an existing jurisdiction, select the required jurisdiction, and click **Edit** . The Edit Jurisdiction window is displayed.
6. Modify the required information. For more information on fields, see Table 4-1 Jurisdiction.
7. Click **Save**. A confirmation message is displayed.

> **Note:**
>
> Make sure to align Customer Data Jurisdictions and Security mapper Jurisdictions.

5

Security Mappings

The security attributes help an organization classify its users based on jurisdictions, business domains, or report types to restrict access to the reports that it can manage. You can authorize users to access various components of the OFS CTR CS by mapping users to user groups.

> **Note:**
>
> Users must be mapped to IHUBADMINGRP to perform this activity.

Security attributes are mapped to user groups using the Security Mappings page. Attributes mapped to user groups are mapped against each user in that User Group after running the Security batch.

The following are the attributes of the security mappings:

- User Groups
- Jurisdictions
- Business Domains

5.1 Using Security Mapping

The mapping of security attributes (business domain, jurisdiction, and report type) to a user (through a User Group) is done through the Security Mappings.

To define the security mappings, follow these steps:

1. In the Navigation List, select **Application Security Administration** and click **Security Mapping**. The Security Mappings page is displayed.
2. Select the user group of the users from the Select User Group drop-down list to map with the security attributes.
3. Map one or more jurisdictions to the selected user group. For mapping jurisdictions to the user group, select the required jurisdiction (AMEA, APAC, and so on) and click to move the selected jurisdiction from the Available Jurisdictions list to the Selected Jurisdictions list. This assigns the privilege to the selected user group to access the reports that belong to the mapped jurisdiction. Click to reverse the action.
4. Map one or more business domains to the selected user group. For mapping business domains to the user group, select the required business domains, and click to move the selected business domains from the Available Business Domains list to the Selected Business Domains list. This assigns the privilege to the selected user group to access the reports that belong to the mapped business domains. Click to reverse the action.

5. Map one or more report types to the selected user group. For mapping report types to the user group, select the required report types, and click to move the selected report types from the Available Report Types list to the Selected Report Types list. This assigns the privilege to the selected user group to access the reports that are mapped to these report types. Click to reverse the action.

6. Click Save . All the changes are saved in the FCC_SECURITY_MAPPER table and the respective FCC_RR_SECURITY_MAPPER view tables.

7. Click Reset to discard the information you have entered; this action resets the information to its original state.

> **Note:**
>
> Saved changes cannot be reset using this option. This is applicable only when you want to edit and reset data.

6
Data Preparation and Loading

Use this section to understand how to prepare and load the required data for using OFS CTR CS.

- **Data Preparation**: Use this section to prepare the customer seeded data in the required .csv (comma-separated value) format and Admin UI. This section provides a complete list of tables and corresponding .csv files.
- **Data Loading**: Use this section to load data into the system using the Reference Data option.

6.1 Data Preparation

Use this section to prepare the required customer seeded data to load into the system.

Topics:

- Using Excel Upload
- Mapping and Loading Reporting Person

6.2 Using Excel Upload

Use this section to prepare the required data and report type to load into the system using the .csv format.

6.2.1 Table Details

This section provides a complete list of tables. Refer to these tables to prepare data accordingly in the .csv format.

> **Note:**
>
> B stands for base tables and TL stands for Language translation table.

Table 6-1 List of Tables

Fields	Table Name	US CTR	Description
1	FCC_RR_BRANCH_INFO_B FCC_RR_BRANCH_INFO_TL	Yes	The Branch where the transaction has taken place. **NOTE**: A default flag is provided to enable default branch information on UI.

Table 6-1 (Cont.) List of Tables

Fields	Table Name	US CTR	Description
3	FCC_RR_REPORTING_PERSON_B FCC_RR_REPORTING_PERSON_TL	Yes	The person who is reporting the transaction. This is the person whom FIU can contact if more details are required. **NOTE**: A default flag is provided to enable the default reporting person on UI.
4	FCC_RR_RPTNG_PRSN_ADDR_B FCC_RR_RPTNG_PRSN_ADDR_TL	Yes	The reporting person's address.
5	FCC_RR_RPTNG_PRSN_PHONE_B FCC_RR_RPTNG_PRSN_PHONE_TL	Yes	The reporting person's phone number.
6	FCC_RR_RPTNG_IDENTIFICATION_B FCC_RR_RPTNG_IDENTIFICATION_TL	Yes	The reporting person's identification details. For example, passport, driving license, and so on.
7	FCC_RR_COUNTRY_B FCC_RR_COUNTRY_TL	Yes	The International Organization for Standardization (ISO) country list.
8	FCC_RR_STATES_B FCC_RR_STATES_TL	Yes	The state of Financial Institution.
10	FCC_RR_FININST_INFO_B* FCC_RR_FININST_INFO_TL	Yes	The Financial Institution where the transactions have occurred. This is applicable only for FCC_RR_FININST_INFO_B* **NOTE**: Default flag is provided to enable default Financial Institution or reporting entity on UI.
11	FCC_RR_CURRENCY_B FCC_RR_CURRENCY_TL	Yes	The International Organization for Standardization (ISO) currency list.
12	FCC_RR_MAP_JURIS_TMPLT_TYPE	Yes	The mapping of the FI's regulatory jurisdiction and the applicable STR/SAR template for those jurisdictions.
13	FCC_RR_INSTALL_PARAM	Yes	The configuration details such as Date format, Locking Period, and so on.

For more information on sample templates, see Sample Template.

Note:

- You must prepare and upload data in the sequence mentioned.
- Data preparation is a one-time activity. Hence, you must be careful while preparing data.
- You can only add and modify data.
- You cannot delete data.
- You cannot leave any column blank in the .csv file. If you have any blank fields in UI, then enter the “null” value in the .csv file.
- The value of the column marked with an asterisk must be unique. If the multiple asterisks are marked, then the combination must be unique.
- To list all the values in UI, set the flag (F_IS_ACTIVE) as Y to enable reference data and to unlist all the values in UI, set the flag (F_IS_ACTIVE) as N to disable reference data in the following table:
  – FCC_RR_BRANCH_INFO
  – FCC_RR_REPORTING_PERSON
  – FCC_RR_FININST_INFO

6.3 Mapping and Loading Reporting Person

While preparing data, map the Reporting Person to the Reporting Person's Address, Phone, and Identification. After mapping, you must upload the Reporting Person and Reporting Person's Address, Phone, and Identification in the following sequence:

1. Upload Reporting Person.
2. Upload Reporting Person's Address, Phone, and Identification.

Note:

The N_RPTNG_PERSON_SKEY* in FCC_RR_RPTNG_PRSN_ADDR, FCC_RR_RPTNG_PRSN_PHONE, and FCC_RR_RPTNG_IDENTIFICATION tables must be same as N_RPTNG_PERSON_SKEY* in FCC_RR_REPORTING_PERSON.

For more information on uploading data into the system, see Data Uploading.

6.4 Data Uploading

After you have prepared data in the .csv file, you can upload reference data into the system. If there is any correction to be made to the uploaded reference data, you can download the uploaded reference data tables, edit them, and upload them into the system.

To upload reference data into the system, follow these steps:

1. In the Navigation List LHS menu, select **Investigation Hub**, and click **Oracle Icon** . The Oracle Admin Home page is displayed.
2. Click **Admin**. The Investigation Hub Administration page is displayed.
3. Click **Currency Transaction Reporting Administration**. The Reference Data page is displayed.
4. In the Upload Reference Data section, click **Drag and Drop files** here or click **Upload**. Select the .csv file from your system. The uploaded file is displayed with the File Name, File size, and File Type in the file list.
5. **Upload**. The file is uploaded to the system.

> **Note:**
>
> You can upload only one file at a time.

6. In case you want to modify the uploaded reference data, in the Download Reference Data section, select file from the **Select File** drop-down list and select Template from the **Select Template** drop-down list.
7. Click **Download File**. The required .CSV file is downloaded in your local system. Modify the required information and upload the reference data table by repeating steps 4 and 5.

7 Scheduling a Batch

For preparation and data loading, see the Data Loading Guide

After you load the CTR-related data, then you must run the following batches in the same order.

- **Maintainance -** Only for the first time
- **AMLDataLoad -** To load Staging tables
- **Ingestion -** To load Business tables
- **BSACTR_CUSTOMER**- To generate USCTR Events for Customer focal
- **BSACTR_CONDUCTOR** – To generate USCTR Events for the Conductor Identifier focal
- **BSACTR_TAX_IDENTIFIER** – To generate USCTR Events for the TIN focal
- **BSACTR_DATALOAD -** To create a CTR

> **Note:**
>
> When you run the batch for the first time, **Maintainance** batch must be triggered before running the amldataload batch.

To purge the CTR reports and CTR events, use the following batches in this sequence:

- PurgeUSCTRDataLoad
- PurgeUSCTRScenarioData

For more information on scheduling batches, see Scheduler Service.