

# Installation Instructions for Hot Fix B1Y007

Hot fix **B1Y007** addresses the issue(s) in SAS *Enterprise Case Management 6.3\_M1* as documented in the *Issue(s) Addressed* section of the hot fix download page:

<http://ftp.sas.com/techsup/download/hotfix/HF2/B1Y.html#B1Y007>

**B1Y007** is a "container" hot fix that contains the following "member" hot fixes which will update the software components as needed.

**Y97009** updates **SAS Enterprise Case Management Mid-Tier 6.3\_M1**

**B1X006** updates **SAS Enterprise Case Management Server 6.3\_M1**

See [What is a container hot fix?](#) in the Hot Fix FAQ for more information about container hot fixes.

Before applying this hot fix, follow the instructions in [SAS Note 35968](#) to generate a SAS Deployment Registry report, then verify that the appropriate product releases are installed on your system. The release number information in the Registry report should match the 'member' release number information provided above for the software components installed on each machine in your deployment.

The hot fix downloaded, B1Y007pt.zip, includes the updates required for all components listed above on all applicable operating systems. To apply this hot fix on multiple machines, you can either save B1Y007pt.zip on each machine or save it in a network location that is accessible to all machines.

Do NOT extract the contents of B1Y007pt.zip. The hot fix installation process will extract the contents as needed.

## IMPORTANT NOTES

1. Files delivered in this hot fix will be backed up during the installation process. However, it is good general practice to back up your system before applying updates to software.
2. You must have Administrator Privileges on your CLIENT or SERVER machine.
3. All currently active SAS sessions must be terminated before applying this hot fix.
4. This hot fix should be installed using the same userid who performed the initial software installation.
5. CONFIGURATION: No automatic configuration scripting is included for this hot fix. If you have previously configured software installed, the SAS Deployment Manager may present a screen where you will see "Apply SAS Hot Fixes" and "Configure SAS Hot Fixes" options. On this screen, you must ensure that the "Configure SAS Hot Fix" option is **\*not\*** selected. If this option is automatically selected, please de-select it prior to proceeding with the SAS Deployment Manager Screens. Failure to do so could have unintended consequences when applying this hot fix.

## INSTALLATION

Hot Fix B1Y007 must be installed on each machine where the updated components of the product, listed above, are installed. During the installation process you may see references to all operating systems for which updates are provided in the hot fix. The installation process will determine the operating system and which component(s) of SAS Enterprise Case Management 6.3M1 require updating on the machine. See [SAS Note 44810](#) for more details.

The hot fix will be applied using the SAS Deployment Manager. By default, the SAS Deployment Manager will search in the <SASHOME>/InstallMisc/HotFixes/New directory for hot fixes to be applied, but will also prompt for a location if you have downloaded hot fixes to a different directory.

After downloading B1Y007pt.zip, follow the instructions for applying hot fixes in the [SAS Deployment Wizard and SAS Deployment Manager 9.4: User's Guide](#).

Generally, it is not necessary to shut down any compute tier or metadata servers when executing the hotfix installation and post-installation steps for this hotfix. It is important, however, that SAS is not executing on the compute tier server, because it can lock access to the SAS Enterprise Case Management compiled macros library, which cannot be in use when the library gets replaced with the new version. The SAS Deployment Manager will check for files in use by other processes and will issue an error if any are found.

Please review the CONFIGURATION Important Note above concerning proper selection of the "Configure SAS Hot Fix" option in the SAS Deployment Manager.

The hot fix installation process generates the log file <SASHOME>/InstallMisc/InstallLogs/IT\_date-and-time-stamp.log for example, IT\_2011-10-31-13.18.21.log. Each attempt to apply a hot fix results in the creation of a new log file giving detailed information regarding the installation process.

Post-execution log files are created after the installation is completed and identifies the files that were added, backed up, changed and removed. These log files include the 'member' hot fix id in the name of the file and are also written to the <SASHOME>/InstallMisc/InstallLogs directory. There is one postexec log for each 'member' hot fix applied (member hot fixes are listed at the top of these instructions).

The content of this hot fix is listed in the [hot fix manifest](#).

## POST-INSTALL INSTRUCTIONS

### ***Y97009 Updating SAS Enterprise Case Management Mid-Tier 6.3M1***

**IMPORTANT NOTE:** If you have previously installed B1Y001 or later hot fix container and executed the steps below related to Solr, please proceed to the "**Re-build Web Application**" section below.

### **Update Solr deployment to add solr.PingRequestHandler**

This hot fix updates the sample solrconfig.xml file found in <SASHome>/SASEnterpriseCaseManagementMidTier/6.3/deploy/sample/Solr/scripts/prepareSolr/EntCaseMgmtCollection/. This solrconfig.xml file is normally copied to the Solr installation via the "Installing Global Search" steps in the ECM Admin Guide (Chapter 4 Post-installation Requirements and Tasks).

If you have already followed the "Installing Global Search" steps, you will need to manually update the solrconfig.xml file in your Solr installation to add the same changes to it that the hot fix made to the sample. If you followed the suggested Solr installation location in the Admin Guide, the directory where you must make changes to the solrconfig.xml file will be:

Windows: \solr-4.7.2\ecm\solr\EntCaseMgmtCollection\conf  
Linux: /usr/local/solr-4.7.2/ecm/solr/EntCaseMgmtCollection/conf

Follow the manual steps below:

1. Update the solrconfig.xml file in your Solr installation. The exact steps you need to follow depend on whether you have made any customizations to solrconfig.xml in your Solr installation.

- a. If you have not made any changes to solrconfig.xml after following the “Installing Global Search” steps: Copy the updated solrconfig.xml from the <SASHome>/SASEnterpriseCaseManagementMidTier/6.3/deploy/sample/Solr/scripts/prepareSolr/EntCaseMgmtCollection/ directory to the ecm/solr/EntCaseMgmtCollection/conf directory of the Solr installation.
- b. If you made custom changes to the solrconfig.xml file after following the “Installing Global Search” steps:

Edit solrconfig.xml in the ecm/solr/EntCaseMgmtCollection/conf directory of the Solr installation to add the solr.PingRequestHandler:

```
<!-- ping/healthcheck -->
<requestHandler name="/admin/ping" class="solr.PingRequestHandler">
  <lst name="invariants">
    <str name="q">solrpingquery</str>
  </lst>
  <lst name="defaults">
    <str name="echoParams">all</str>
  </lst>
  <!-- An optional feature of the PingRequestHandler is to configure the
       handler with a "healthcheckFile" which can be used to enable/disable
       the PingRequestHandler.
       relative paths are resolved against the data dir
  -->
  <!-- <str name="healthcheckFile">server-enabled.txt</str> -->
</requestHandler>
```

This can appear anywhere in the file between the <config> and </config> tags, as long as it is not embedded in any other tag or comment. The suggested place to put it is with the other “admin” request handlers. While the exact line numbers in your customized solrconfig.xml may be different from the line numbers below, the following is provided to help you locate the suggested location for the new lines. In the original solrconfig.xml file delivered with ECM 6.3\_M1, there is a <requestHandler> tag with the name “/admin/” starting at line 937:

```
<requestHandler name="/admin/"
  class="solr.admin.AdminHandlers"/>
```

This is followed by several lines of comments, which end at line 959:

```
<!--
<requestHandler name="/admin/file"
  class="solr.admin.ShowFileRequestHandler" >
  <lst name="invariants">
    <str name="hidden">synonyms.txt</str>
    <str name="hidden">anotherfile.txt</str>
  </lst>
</requestHandler>
-->
```

Add the new solr.PingRequestHandler XML stanza (above) after these comment lines, at line 961 in the original file.

- c. Follow the Admin Guide steps to restart Solr.

## Re-build Web Application

In order for this step to execute correctly, the Metadata Server must be running.

1. Invoke the SAS Deployment Manager 9.4

From the SASDeploymentManager directory launch ***sasdm.sh***.  
SAS Deployment Manager is installed in the following default location:

*<SASHOME>/SASDeploymentManager/9.4*

2. Select a language in the Choose Language box
3. Select Rebuild Web Applications
4. Select Configuration Directory or Enter the Configuration Directory and Level that needs to be updated
5. Specify Connection Information, including the *sasadm* User ID and Password
6. Select ***SAS Enterprise Case Management Mid-Tier 6.3*** as the Web Application to Rebuild
7. Verify the information on the Summary screen and select Start
8. Select Finish when the deployment is complete

This process will update the ***SAS Enterprise Case Management Mid-Tier 6.3*** ear in

*<SASCONFIGDIR>/Web/Staging*

A backup of the original ear file will be placed in the directory

*<SASCONFIGDIR>/Web/Staging/Backup*

9. Exit the SAS Deployment Manager 9.4

## Re-deploy Web Application

1. Restart all SAS sessions, daemons, spawners and servers.
2. Invoke the SAS Deployment Manager 9.4

From the SASDeploymentManager directory launch ***sasdm.sh***.  
SAS Deployment Manager is installed in the following default location:

*<SASHOME>/SASDeploymentManager/9.4*

3. Select a language in the *Choose Language* box
4. Select Deploy Web Applications
5. Select Configuration Directory or Enter the Configuration Directory and Level that needs to be updated

6. Specify Connection Information, including the *sasadm* User ID and Password
7. Check the *Allow the application server to stop* checkbox
8. Select **SAS Enterprise Case Management Mid-Tier 6.3** as the Web Application to Deploy
9. Verify the information on the Summary screen and select Start
10. Select Finish and exit the SAS Deployment Manager when the deployment is complete
11. Please follow the instructions at the following link to clear your browser cache.  
<http://java.com/en/download/help/webcache.xml>

### ***B1X006 Updating SAS Enterprise Case Management Server 6.3M1***

#### **Additional Manual post-installation steps**

This hot fix contains fixes that require additional manual post-installation steps. Please see the following SAS Note for instructions.

[SAS Note 60609](#)

If you have SAS Compliance Solutions 6.3\_M1 installed, after you have installed this hot fix, you should also install the following:

[SAS Compliance Solutions 6.3\\_M1 hot fix A1I005](#)

#### **New Regulatory Report Configuration**

The following instructions update SAS Enterprise Case Management Configuration Directory programs and stored processes related to the new FinCEN CTR for XML (CTRX) and SAR for XML (SARX) reports. Some things to consider before beginning these manual steps:

- If your installation is not filing CTR or SAR reports, these post-installation steps are not necessary.
- If your installation is currently filing CTR for XML reports (CTRX), some of the noted steps may have already been completed.
- If you plan on applying the SAS Compliance Solutions 6.3M1 Hot Fixes, there is an ANT script provided that can perform these steps.

1. Backup all files under the SAS Enterprise Case Management Configuration Directory Source location.

An example of the Source location:

`/sas/config/Lev1/Applications/SASEnterpriseCaseManagement/Source`

2. Copy new ucmacros to Configuration Directory.

Using the example `<SASROOT>` to reference `/sas/SASHome/SASFoundation/9.4` and `<ECMConfig>` to reference `/sas/config/Lev1/Applications/SASEnterpriseCaseManagement`, copy 2 site specific files to Source directory.

- a. Two files to copy:
  - i. `ecm_global_mvar.sas.orig`
  - ii. `ecmrr_efile_fincen_trnsmtr_var.sas.orig`
- b. Windows: Copy files from `<SASROOT>\casemgmtmva\ucmacros\` to `<ECMConfig>\Source\ucmacros`  
Unix: Copy files from `<SASROOT>/ucmacros/casemgmtmva` to `<ECMConfig>/Source\ucmacros`

- c. Re-apply customizations to new copied macros in <ECMConfig>/Source/ucmacros>:  
If changes have been made to ecm\_global\_mvar.sas and ecmrr\_efile\_fincen\_trnsmtr\_var.sas, these will need to be reapplied.
- i. Copy ecm\_global\_mvar.sas to ecm\_global\_mvar.sas.old
  - ii. Rename ecm\_global\_mvar.sas.orig to ecm\_global\_mvar.sas
  - iii. Apply changes from ecm\_global\_mvar.sas.old to ecm\_global\_mvar.sas
  - iv. Copy ecmrr\_efile\_fincen\_trnsmtr\_var.sas to ecmrr\_efile\_fincen\_trnsmtr\_var.sas.old
  - v. Rename ecmrr\_efile\_fincen\_trnsmtr\_var.sas.orig to ecmrr\_efile\_fincen\_trnsmtr\_var.sas
  - vi. Apply changes from ecmrr\_efile\_fincen\_trnsmtr\_var.sas.old to ecmrr\_efile\_fincen\_trnsmtr\_var.sas

List of files that have been added/modified in <SASROOT>:

- \*\_ctrx\*
- \*\_sarx\*
- ecmrr\_efile\_fincen\_sdtm.sas
- ecmrr\_efile\_fincen\_trnsmtr\_var.sas.orig
- ecm\_global\_mvar.sas.orig
- ecmrr\_efile\_xml\_seqnum.sas
- ecmrr\_fincen\_new\_sas\_format.sas
- ecmrr\_pivot\_fincen\_data.sas
- ecmrr\_prvw\_fincen\_webout.sas
- ecmrr\_efile\_update\_rr.sas
- ecmrr\_fdf\_direct.sas
- ecmrr\_fdf\_directrep.sas
- ecmrr\_resp\_fincen\_report.sas
- ecmrr\_resp\_fincen\_sdtm.sas
- ecmrr\_resp\_fincen\_update.sas
- ecmrr\_efile\_fincen\_nested\_key.sas
- ecmrr\_validate\_driver.sas
- ecmrr\_validate\_xml.sas

Note: If copies of the above list of added/modified files exist in <ECMConfig>/Source/ucmacros directory, the copy in the <ECMConfig> directory should be removed or merged in with existing modifications (or renamed).

### 3. Copy new form template files to Configuration Directory.

Using the example <SASROOT> to reference /sas/SASHome/SASFoundation/9.4 and <ECMConfig> to reference /sas/config/Lev1/Applications/SASEnterpriseCaseManagement, copy files/directories to form\_template directory.

- a. Windows: Copy files in <SASROOT>\casemgmtmva\sasmisc\sample\form\_template to <ECMConfig>\Source\form\_template.  
Unix: Copy files in <SASROOT>/misc/casemgmtmva/sample/form\_template to <ECMConfig>/Source/form\_template

Files/Directories that have been added/modified that must be copied from <SASROOT>:

- ctrx\*
- rr\_udf\_def\_ctrx.csv
- sarx\*
- rr\_udf\_def\_sarx.csv
- fincen\_ackd.map
- schema directory
- state\_code\_list\_us\_territories.csv

- xmlvalidator.jar

4. Configure CTR for XML (CTRX) and/or SAR for XML (SARX) using SAS.

- Start a BASE SAS Session.
- Open and Submit `<ECMConfig>/Source/control/ecm_autoexec.sas` program.
- Execute `%ecm_db_connect;` to ensure access to ECM database (ECM\_DB libref).
- Execute the program

CTRX

`<SASROOT>/casemgmtmva/sasmisc/sample/config/loadrr_config_fincen_ctrx.sas` (Windows) or  
`<SASROOT>/misc/casemgmtmva/sample/config/loadrr_config_fincen_ctrx.sas` (Unix)

SARX

`<SASROOT>/casemgmtmva/sasmisc/sample/config/loadrr_config_fincen_sarx.sas` (Windows) or  
`<SASROOT>/misc/casemgmtmva/sample/config/loadrr_config_fincen_sarx.sas` (Unix)

Note: If you will be using SASStudio or Enterprise Guide to execute the SAS program, make sure to enable the option "Allow XCMD" for the Workspace Server. The program requires the ability to execute system commands to create directories.

- Save the log file for reference.

This will create *fincen-ctrx-v1* and/or *fincen-sarx-v1* subdirectory under the following locations:

- `<ECMConfig>/Source/efiles`
- `<ECMConfig>/Source/efiles_responses`
- `<ECMConfig>/Source/FINCEN_SD TM_efiles`
- `<ECMConfig>/Source/FINCEN_SD TM_efiles_responses`

Ensure the SAS General Servers Account (*sassrv*) has WRITE capability to these 4 new directories.

5. Upload CTR for XML UI Definition using ECM web application.

- Login to ECM web application as administrator. Run *Clear Cache* under the *Administration* tab.
- From Administration tab, Select UI Definitions and click on the "Upload UI definition" icon and select the following UI definition file:
  - `<somedir>/SASHome/SASEnterpriseCaseManagementMidTier/6.3/deploy/sample/UIDefinitions/rr-fincen-ctrx-01.xml` (Windows and Unix)

6. Upload SAR for XML UI Definition using ECM web application.

- Login to ECM web application as administrator. Run *Clear Cache* under the *Administration* tab.
- From Administration tab, Select UI Definitions and click on the "Upload UI definition" icon and select the following UI definition file:
  - `<somedir>/SASHome/SASEnterpriseCaseManagementMidTier/6.3/deploy/sample/UIDefinitions/rr-fincen-sarx-01.xml` (Windows and Unix)

7.

7. Configure XML validator. If CTRX was configured in previous hotfix application, this step may have been performed. The "Validation for e-file" process will include a new Stored Process that will utilize new macros and XML Schema files that have been copied to the `<ECMConfig>/Source/ucmacros` directory. To import the new Stored Process:

- Using SAS Management Console, log on as administrative user.
- Click on the Folders tab, expand: **/System/Applications/SAS Enterprise Case Management/Ent Case Mgmt Server 6.3**
- Right-click on **Application SAS Code**, and Select **Import SAS Package**
- For the Enter the Location of input SAS Package, Click **Browse**
- Select the file:
 

`<SASROOT>/casemgmtmva/sasmisc/Config/Deployment/Packages/ECMvalidateStoredProcess.spk` (Windows) or  
`<SASROOT>/misc/casemgmtmva/Config/Deployment/Packages/ECMvalidateStoredProcess.spk` (Unix)  
 and click OK.

- f. Follow the Import SAS Package Wizard Prompts:
    - i. Select objects to import: All Objects should be selected
    - ii. STP ecmrr\_validate target folder should be the default for ECM
    - iii. Under Metadata Connections, select SASApp and the STP Source repository folder
    - iv. Select Next after reviewing the Summary page
    - v. Review the Import log for any errors
  - g. Copy `<SASROOT>/sasstp/casemgmtmva/ecmrr_validate.sas.orig` to `<ECMConfig>/Source/sasstp/ecmrr_validate.sas`
  - h. Edit `ecmrr_validate.sas` and update the %inc location for the correct pathname to `ecm_autoexec.sas` program which is in `<ECMConfig>/Source/control`.
  - i. The XML validation will utilize the Java 1.7 JRE that is shipped with SAS in the `<SASROOT>` location.
    - If another Java 1.7 or 1.8 is needed, that can be provided in the `<SASROOT>/ucmacros/casemgmtmva/ecmrr_validate_driver.sas` macro. In the invocation of `%ecmrr_validate_xml` macro, add an additional parameter:
      - i. `java_loc=<some_path_to_java_home>/bin/java`
        - If this is a Windows server, `java_loc` would use the full `java.exe` as the name of the binary.
    - Note: If a modification to the `ecmrr_validate_driver.sas` macro is required, a copy should be made in the `<ECMConfig>/Source/ucmacros` directory instead of the `<SASROOT>` location.
  - j. The XML Validator will utilize a Stored Process and the ability to run system commands. To ensure the functionality, the "Allow XCMD" option should be enabled for the SAS Stored Process Server.
8. (Optional) Enable SDTM.
- a. `cd <ECMConfig>/Source/ucmacros`
  - b. edit `ecm_global_mvar.sas` macro
  - c. For the following line, set the boolean to Y:
    - i. `%let ecm_sdtm_YN_ctrx=Y; /* if enabling for CTRX reports */`
    - ii. `%let ecm_sdtm_YN_sarx=Y; /* if enabling for SARX reports */`
- Now, it will generate the XML in `<ECMConfig>/Source/FINCEN_SDTM_efiles/fincen-ctrx-v1` and `<ECMConfig>/Source/FINCEN_SDTM_efiles/fincen-sarx-v1` directories following the naming convention for the FINCEN requirement.