

Oracle Financial Services:
**Enterprise Case Management User
Guide**

*Release 6.1
December 2011*



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What's New in this Release

This section identifies updates in the *Oracle Financial Services Enterprise Case Management User Guide*, Release 6.1 and addresses the following new features:

New Features

The 6.1 release of the Oracle Financial Services Enterprise Case Management application provides the following new features and support the following functionality:

- Addition, Deletion, and Modification of business data from a case.
- Addition of business data either through look up or through manual entry.
- Manual case creation that is independent of the linked alerts.
- Removal of attachments from a Case.
- Printing of all comments related to case actions and stand-alone comments.
- On-screen notifications that require user's attention.
- Home page that shows priority case and alerts lists and role driven AML and Fraud Analytics reports.
- Views to quickly access pre-defined set of canned case and alert queries.
- General Overview and Metrics in the alert and case list UI so that the user need not drill-down into the case or alert to review key details. This also provides customers an opportunity to configure the case or alert list screen, such that, additional field details are included without requiring to scroll horizontally.
- Search and Advanced search functions.
- The Entity Search and Transaction Entity Search reports for AML and Fraud reports sections.

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About this Guide

This guide explains the concepts behind the Oracle Financial Services Enterprise Case Management, Release 6.1, and provides step-by-step instructions for navigating the Oracle Financial Services Web pages, analyzing cases, acting on cases, researching the business information. 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

Who Should Use this Guide

The *Oracle Financial Services Enterprise Case Management User Guide*, Release 6.1 is designed for the following users:

- **Case Analyst:** This user works on the cases within the application frequently. This user's specific role (that is, Case Analyst I or Case Analyst II) determines what this user can see and do within the application.
- **Case Supervisor:** This user works on cases within the application on a daily basis and is typically a higher level Analyst or Compliance Officer.
- **Case Executive:** This user may not be involved in the day-to-day analysis of cases; however, this user can view many areas within the application and can perform only a limited set of actions.
- **Case Auditor:** This user has broad viewing rights for cases within the application; however, this user can perform a limited set of actions based on the user's role (that is, Case Internal Auditor or Case External Auditor).
- **Case Viewer:** This user has specific viewing rights to the cases. This user's specific role (that is, Case Viewer I or Case Viewer II) determines what this user can see within the application.

How this Guide is Organized

The *Oracle Financial Services Enterprise Case Management User Guide*, Release 6.1, includes the following sections:

- Chapter 1, *About Oracle Financial Services Enterprise Case Management*, provides an overview of Oracle Financial Services Enterprise Case Management, how it works, and what it does.
- Chapter 2, *Getting Started*, includes instructions on how to configure your system, access Oracle Financial Services Enterprise Case Management, and exit the application.
- Chapter 3, *About Oracle Financial Services Enterprise Case Management' Web Pages*, explains common elements of the interface.
- Chapter 4, *Investigating Cases*, explains the Cases workflows.
- Chapter 5, *Navigating Tabs*, explains the tab pages of the application.
- Chapter 6, *Acting on Cases*, explains the actions you can take on cases.
- Chapter 7, *Working with Regulatory Reporting*, explains the high-level information on the Regulatory Reporting (RR).
- Chapter 8, *Generating Interactive Analytic Reports*, describes the Interactive Analytic reports available in Oracle Financial Services Enterprise Case Management.
- Chapter 9, *Setting User Preferences*, explains the actions you can take on alerts.
- Appendix A, *Message Pages*, explains error and status pages that are not directly related to the business function of the application.
- The *Index* provides an alphabetized cross-reference list that helps you locate information quickly.

Where to Find More Information

For more information about the Oracle Financial Services Enterprise Case Management, refer to the following documents:

- *Oracle Financial Services Behavior Detection Platform Administration Guide*
- *Oracle Financial Services Behavior Detection Platform Configuration Guide*
- *Oracle Financial Services Alert Management User Guide*
- *Oracle Financial Services Behavior Detection Platform Data Interface Specification*
- *Oracle Financial Services Behavior Detection Platform FSDM Reference Guide, Vol.1, Business Data*
- *Oracle Financial Services Behavior Detection Platform FSDM Reference Guide, Vol.2, Mantas Data*
- *Oracle Financial Services Behavior Detection Platform FSDM Reference Guide, Vol.3, Case Management*
- *Oracle Financial Services Behavior Detection Platform Installation Guide*
- *Oracle Financial Services Behavior Detection Platform Release Notes*
- *Oracle Financial Services Anti-Money Laundering Technical Scenario Descriptions*
- *Oracle Financial Services Fraud Detection Technical Scenario Descriptions*

To find more information about Oracle Financial Services and our complete product line, visit our Web site www.oracle.com/financialservices.

Conventions Used in this Guide

Table 1 provides the conventions used in this guide.

Table 1. Conventions Used in this Guide

This convention . . .	Stands for . . .
<i>Italics</i>	<ul style="list-style-type: none">● Names of books as references● Emphasis● Substitute input values
Bold	<ul style="list-style-type: none">● Menu names, field names, options, button names● Commands typed at a prompt● User input
Monospace	<ul style="list-style-type: none">● Directories and subdirectories● File names and extensions● Code sample, including keywords and variables within text and as separate paragraphs, and user-defined program elements within text
<Variable>	<ul style="list-style-type: none">● Substitute input value

About Oracle Financial Services Enterprise Case Management

The purpose of Oracle Financial Services Enterprise Case Management is to help your firm to investigate and resolve cases.

This chapter covers the following topics:

- Oracle Financial Services Enterprise Case Management
- Cases
- Correlation
- Relationship
- Workflows
- Configurability
- User Privileges
- Security within Oracle Financial Services Enterprise Case Management

Oracle Financial Services Enterprise Case Management

Oracle Financial Services Enterprise Case Management supports the investigation and resolution of cases. Cases may be created from one or more alerts that are generated by the Oracle Financial Services Behavior Detection Platform or they may be manually created within the Enterprise Case Management module itself. All cases are investigated through the Oracle Financial Services Enterprise Case Management. Once created, a case is taken through various statuses as part of investigation and reaches closure through resolution actions.

Oracle Financial Services Enterprise Case Management supports modifying the case details and the associated business data. Investigation workflows can vary based upon the type of case being investigated. Case investigation and resolution are supported by various actions, which may be specific to the case type. Access to types of cases as well as certain actions can be controlled based on a user's role and access permissions.

Oracle Financial Services Enterprise Case Management UI

The pages that are available within the Oracle Financial Services Enterprise Case Management User Interface (UI), the fields on those pages, and the actions you can take are based on your firm's deployment of the product. There is a base set of pages that displays for all cases. In addition to the Case Data tab pages, Business Data tab pages are also displayed.

The Case Data tab pages consist of Case Details, Correlations, Financials, Relationships, Narrative, Evidence, and Audit tabs. These pages display information pertaining to the type and subtype of the case as well as investigation steps and actions.

Business Data tab pages display information about entities related to case. Business Data tab pages are conditionally displayed based upon the type and subtype of the case.

Cases

A *Case* is created to manage and track the investigation workflow and resolution related to one or more business entities involved in potentially suspicious behavior. Cases can be manually created within Oracle Financial Services Enterprise Case Management or may represent a linked collection of alerts generated by Oracle Financial Services Behavior Detection Platform that have been promoted to a case (if your firm has implemented Oracle Financial Services Behavior Detection). When used in conjunction with Oracle Financial Services Behavior Detection Platform, based on your roles and permissions, you can link or unlink additional alerts to a case during the investigation.

In addition, Oracle Financial Services Behavior Detection Platform enables you to perform varying levels of analysis and research to determine whether a case represents an actual concern. Based on the access permissions, you can take an appropriate corrective action.

Case Statuses

A case's status can change in two ways:

- By an eligible user viewing the case
- When an action is taken on the case

The status of a case can change throughout its life cycle. For example, the Oracle Financial Services Enterprise Case Management default metadata describes that when a case is created, the system assigns the status *New* to the case. However, during the analysis of a case, you can take various actions on the case to document the analysis. Some actions represent definitive progress in analysis and can therefore update the status of the case.

Table 2 lists the Oracle Financial Services Enterprise Case Management default case status and the events that can cause the status to change. These statuses are representative of Oracle Financial Services Enterprise Case Management default configurations delivered with the product and may not reflect your organization's actual configuration.

Table 2. Case Status Description

Case Status	Description
New	An authorized user has generated a case, and the owner has not yet viewed the case detail information.
Investigation	An owner has set a case for ongoing investigation.

Table 2. Case Status Description (Continued)

Case Status	Description
Awaiting Response	An authorized user is awaiting a response from the other user.
Recommend Monitor	When analyst recommends setting a monitor on the case.
Monitor	When the recommend for monitor action is approved by the supervisor.
File SAR	When the Recommend for SAR DI action is performed by Analyst or Supervisor.
Escalated	When the case is escalated for additional review.
Recommend Closure	When a resolution action is performed by Analyst user in order to close a case.
Closed - Dup Case	Case is closed as it is considered as a duplicate case of another case.
Closed - Withheld Action	Case is closed and further actions on it are withheld.
Closed - Loss Charged Off	Case is closed and the losses occurred were charged off.
Closed - Loss Recovered	Case is closed and the losses occurred were recovered.
Closed - No SAR Filed	Case is closed and no SAR reports need to be filed.
Closed - Account(s) Closed	Case is closed and the accounts involved were closed.
Closed - New Case Opened	Case is closed as there was another new case was opened against this.
Closed - Employee Terminated	Case is closed and the employees involved were terminated.
Closed - Referred to External Agency	Case is closed and further investigation was referred to external agency.
Closed - SAR Filed	Case is closed and SAR reports are filed.
Reopened	An authorized user has opened a case that had previously been closed, and the owner has not yet viewed the reopened case.

Figure 1 identifies events that can change the status of a case as it moves throughout an organization.

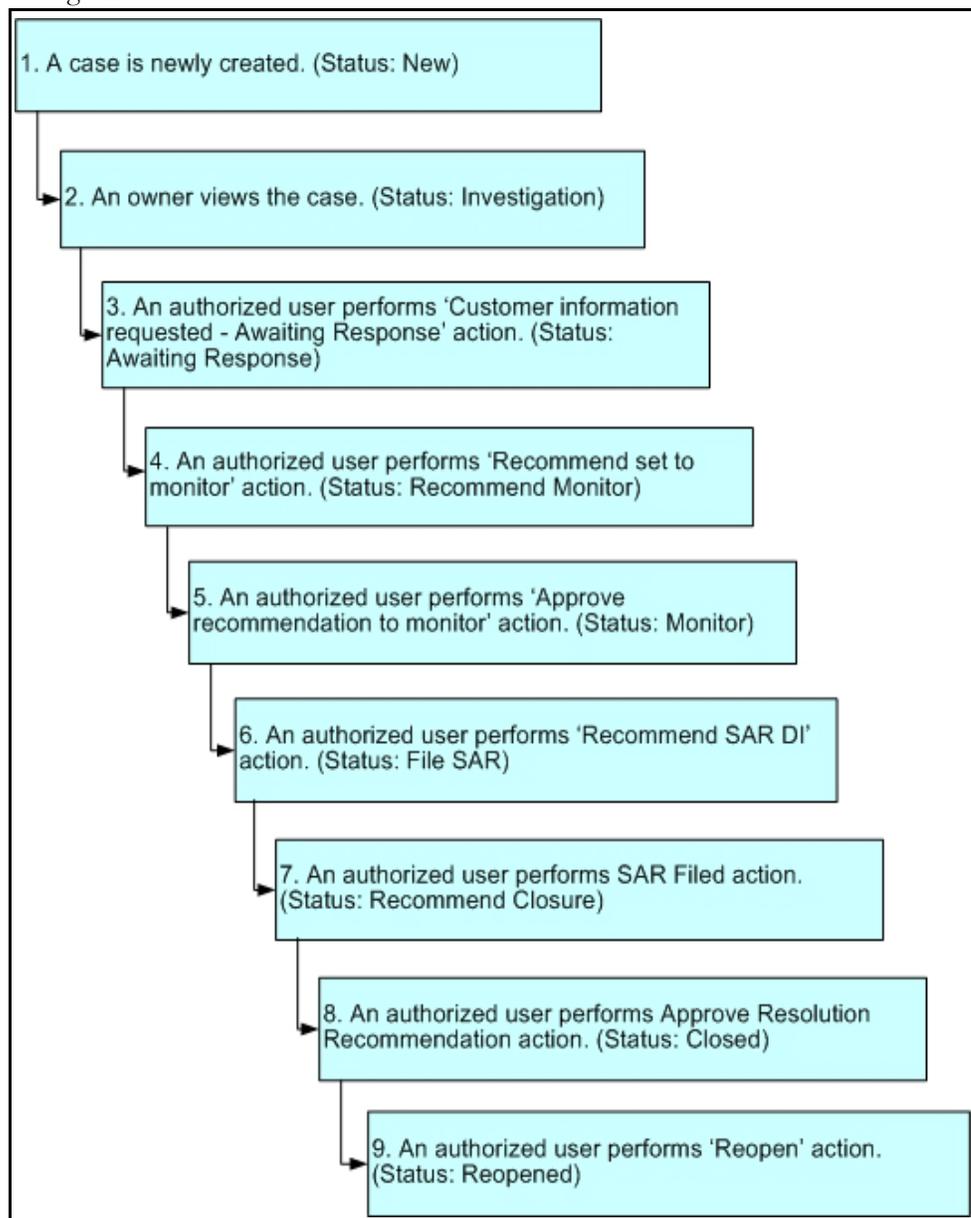


Figure 1. Potential Life Cycle of a Case

Related Cases

Oracle Financial Services Enterprise Case Management displays the related cases for the case under investigation in the Relationship tab. All cases that have the same business entities associated with them as that of the current case are considered as related cases. Additionally, cases that have been linked to the current case by a user during the course of investigation are also considered as related cases. All related cases are displayed in Related Cases grid in the Relationships tab.

Linked Cases

A linked case is a case that has been linked to another case, representing a user-determined association between two cases. A case can be linked to another case using the Relationship tab. Users with sufficient access can navigate to the Relationship tab, select one or more cases, and manually link the selected cases to the current case. All linked cases are also considered as Related Cases and displays in the Related Cases grid.

Unlinked Cases

An unlinked case is a case that is manually unlinked from another case by a user; thus, it is a user-determined dissociation between a case and a case. A case can be unlinked from another case using the Relationship tab. Users with sufficient access can navigate to the Relationship tab and select one or more cases and manually unlink them from the current case. Unlinked cases will no longer show up as related cases if they do not have a business relationship with current case's entities.

Related Alerts

If your firm has implemented Oracle Financial Services Behavior Detection, Oracle Financial Services Enterprise Case Management displays the related alerts for the case under investigation in the Relationship tab. All alerts that have the same business entities associated with them as that of the current case are considered as related alerts. All related alerts are displayed in Related Alerts grid of the Relationships tab.

Linked Alerts

If your firm has implemented Oracle Financial Services Behavior Detection, the Oracle Financial Services Enterprise Case Management module will display linked alerts. A *linked alert* is an alert that is linked to a case; this can be a system or a user-determined association between a case and an alert. Refer to the *Oracle Financial Services Alert Management User Guide*, for information on how to link alerts to cases.

Unlinked Alerts

Unlinking an alert from a case represents a user-determined dissociation between a case and an alert. An alert can be unlinked from a case using the Relationship tab. Users with sufficient access may navigate to the Relationship tab, select one or more alerts, and manually unlink them from the current case. Unlinked alerts will no longer show up as related alerts if they do not have a business relationship with current case's entities.

Correlation

If your firm has implemented Oracle Financial Services Behavior Detection Alert Correlation, and an alert correlation was promoted to a case, information on the correlation that was the source of the case is displayed in the Correlation tab. This tab displays all the correlated information and the associated business entities. Refer to Chapter 5, *Navigating Tabs*, on page 51, for more information on case correlation.

Relationship

All related information and linked information of a case are displayed in the Relationship tab. This tab displays related alerts and related cases and supports managing those links. Refer to Chapter 5, *Navigating Tabs*, on page 51, for more information on case relationship.

Workflows

The section *Who Should Use this Guide*, on page xv, explains that the workflow you use depends on your role within your firm.

Investigation Workflow

Use the Investigation workflow for cases assigned to you or to your group to perform the following (depending upon your access control rights) tasks:

- Filter, sort, and view cases
- Investigate related events and summary information about the data associated with the case
- Close cases by determining whether a specific case is suggestive of problematic activity and requires further action or whether it can be closed without further analysis
- Manually create cases and associate business data
- Modify case data and associated business data
- Reassign cases to other individuals on a team or groups (Analysts and Supervisors only)
- Manage links
- Record actions taken
- Export data to MS Excel
- E-mail cases
- Print investigative reports

Reports Workflow

Individuals, depending upon their role and privileges, can use the Reports workflow to prepare reports containing management information about cases. Use the Reports workflow to do the following:

- Analyze and identify the distribution of cases by users and organizations, and, categorize and total cases by case type and case sub type.
- Analyze trends, including the types of actions used to close cases, the length of time to close cases, and general trends regarding the processing of cases.

Configurability

The pages that are available within Oracle Financial Services Enterprise Case Management, the fields on those pages, and the actions you can take are customizable to meet the requirements of your firm. Therefore, this guide may contain some screenshots and related descriptions that are not identical to your deployment. Refer to your system administrator for details about the deployment.

User Privileges

Oracle Financial Services Enterprise Case Management system offers 7 different types of user roles for investigating the cases.

Table 3 refers the list of functions that each user role can perform.

Table 3. Oracle Financial Services Enterprise Case Management User Privileges

Privileges	Case Viewer	Case Analyst I	Case Analyst II	Case Supervisor	Case Executive	Case Internal Auditor	Case External Auditor
Access to Cases							
Search for Cases	X	X	X	X	X	X	X
View Case List	X	X	X	X	X	X	X
View Existing Case	X	X	X	X	X	X	X
Create New Case		X	X	X			
Edit Case Context		X	X	X			
View Alert Details*	X			X	X	X	X
Edit Case Details		X	X	X			
View Transactions	X	X	X	X	X	X	X
View Relationships	X	X	X	X	X	X	X
Link Cases		X	X	X			
Link Alerts*		X	X	X			
Unlink Cases		X	X	X			
Unlink Alerts*		X	X	X			
Add New Customers		X	X	X			
Edit Customers		X	X	X			
Remove Customers		X	X	X			
Add New Accounts		X	X	X			
Edit Accounts		X	X	X			
Remove Accounts		X	X	X			
Add New Employee		X	X	X			
Edit Employee		X	X	X			
Remove Employee		X	X	X			
Add New Household		X	X	X			
Edit Household		X	X	X			

Table 3. Oracle Financial Services Enterprise Case Management User Privileges

Privileges	Case Viewer	Case Analyst I	Case Analyst II	Case Supervisor	Case Executive	Case Internal Auditor	Case External Auditor
Remove Household		X	X	X			
Add New Correspondent Bank		X	X	X			
Edit Correspondent Bank		X	X	X			
Remove Correspondent Bank		X	X	X			
Add New External Entity		X	X	X			
Edit External Entity		X	X	X			
Remove External Entity		X	X	X			
View Evidence (Attachment and comment list)	X	X	X	X	X	X	X
Add Document		X	X	X			
Remove Document		X	X	X			
View Attachments	X	X	X	X	X	X	X
Add Investigation Comments		X	X	X			
View Narrative	X	X	X	X	X	X	X
Edit Narrative			X	X	X		
View Financials	X	X	X	X	X	X	
Add New Loss & Recovery Cost Center		X	X	X			
Add New Loss Recovery Data		X	X	X			
Edit Loss & Recovery Cost Center		X	X	X			
Remove Loss & Recovery Cost Center		X	X	X			
Edit Loss Recovery Data		X	X	X			
Remove Loss Recovery Data		X	X	X			
View GL History		X	X	X	X	X	
View Loss Recovery History		X	X	X	X	X	
View Audit	X	X	X	X	X	X	X
View Involved Party Tab	X	X	X	X	X	X	X
Search and View Involved Party		X	X	X			
View Involved Party History	X	X	X	X	X	X	X
Print Case to PDF		X	X	X	X		
Access to Network Visualization			X	X		X	
Own a Case		X	X	X			
Re-assign Case		X	X	X			
Re-assign Case to all organizations (Ability to Reassign to owners in all organizations (additional access control restrictions apply)		X	X	X			
View Correlation*	X	X	X	X	X	X	
View AML Reports for Cases			X	X	X	X	
View Fraud Reports for Cases			X	X	X	X	
View Productivity Reports for Cases			X	X	X	X	

* Dependent on your firm implementing Oracle Financial Services Behavior Detection.

Security within Oracle Financial Services Enterprise Case Management

OFSAAI uses six layers of security to control data access as defined in Table 4. You can view an case if your combination of access controls authorizes you to view the alert and business information. Contact your system administrator for details about your access control permissions.

Table 4. Access Controls for Enterprise Case Management

Security Layer		Description
Type	Controls	
Roles	Features and Functions	This security layer identifies the features and functions you can perform within the Oracle Financial Services Enterprise Case Management.
Organizations	Case Information	This security layer enables your firm to restrict access using your firm's organizational hierarchy. To ensure accurate reporting, all users must be assigned one <i>primary organization</i> ; however, a user can be assigned multiple viewable associations. To see a case owned by an organization or by the users within an organization, you must have viewable rights to that organization.
Scenarios	Alert Information	This security layer enables your firm to restrict access by specific business problems (that is, scenarios). To see a linked alert generated by a scenario, you must have rights to view the scenario that generated the alert. To see a multi-match alert that is generated by several scenarios, you need rights to view at least one of the scenarios that generated the alert.
Business Domains	Case and Business Information	This security layer enables your firm to restrict access along operational business lines and practices. You can only see cases that are assigned to at least one of the same business domains.
Jurisdictions	Case Information	This security layer enables your firm to restrict access using geographic locations. You can only see cases that are assigned to the same jurisdictions.
Case Type/ Case Subtype	Case Information	This security layer enables your firm to restrict access by specific types of Investigations (that is, a combination of Case Type and Subtype). To see a case, you must have rights to view the specific Case Type and Subtype assigned to the case. Note: If your firm has implemented Oracle Financial Services Enterprise Case Management, this security attribute layer shall be applicable.

Getting Started

This chapter discusses the information you need to start using Oracle Financial Services Enterprise Case Management:

- System Requirements
- Logging In to Oracle Financial Services Enterprise Case Management
- Access To Multiple Solutions
- Troubleshooting Your Display

System Requirements

The following applications are required to run Oracle Financial Services Case Management:

- Microsoft Internet Explorer (IE) version 7 or later.
Earlier versions and other browsers are not supported and may produce errors, inaccurate data and display failures. For users of IE version 8.0, the browser should be run in compatibility mode.
- Adobe Acrobat Reader version 8.0, or later.
You can download a free copy of the latest version of the Reader at www.adobe.com.
- Java should be installed. JDK 1.6 (version 6) or above.
- The screen resolution of the system should be set to 1280 × 1024 or higher for proper display of the user interfaces (UI).

Logging In to Oracle Financial Services Enterprise Case Management

Access to the Oracle Financial Services Enterprise Case Management application depends on the Internet or Intranet environment. Oracle Financial Services Enterprise Case Management is accessed through Microsoft IE browser. Your system administrator provides the intranet address uniform resource locator (Figure 2).

Your system administrator provides you with a user ID and password. Login to the application through the login page. You will be asked to change your password on your first login. You can change your password whenever required by logging in. Your password is case sensitive. If you have problems with the password, ensure that the **Caps Lock** key is off. If the problem persists, contact your system administrator..

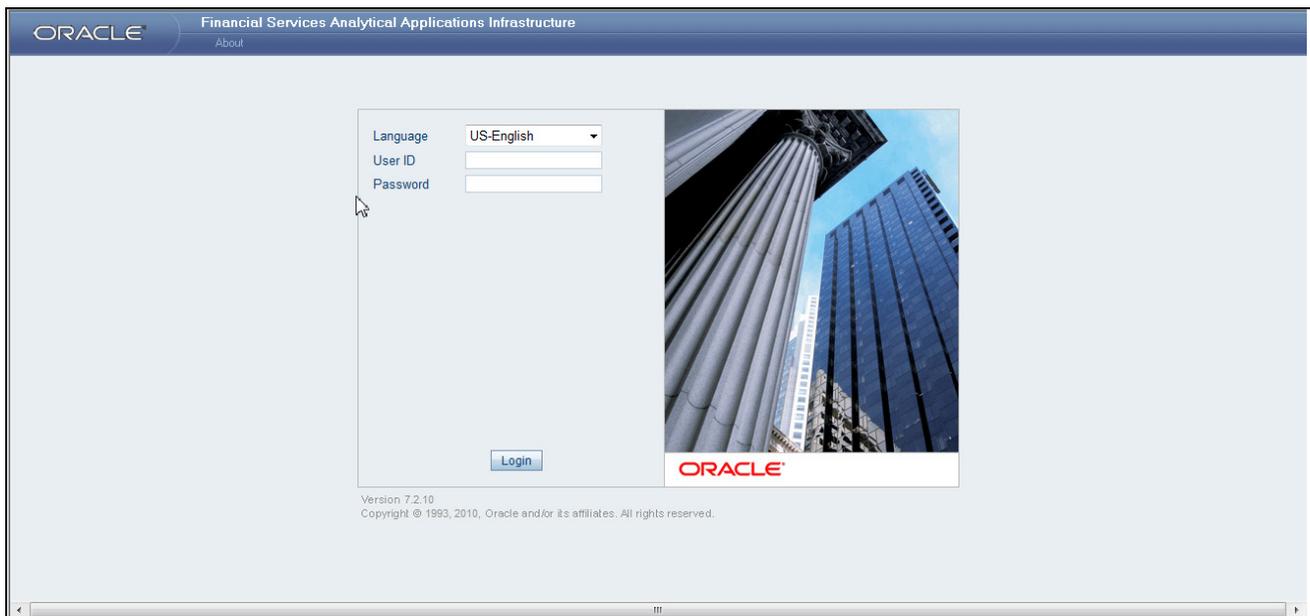


Figure 2. Oracle Financial Services Login Page

To log into Oracle Financial Services Enterprise Case Management, follow these steps:

1. Type your user ID in the **User ID** text box.
2. Type your password in the **Password** text box.
3. Click **Login**.

After verifying the user ID and password, the system displays the default page as defined by the system's defaults and as per your role.

Copyright Information

In the Login page, click the **About** link. The page provides the copyright information of Oracle Financial Services in a pop-up.



Figure 3. Copyright Information

Change Password

If you want to change your password, you can do so using the **Change Password** link available from the Login page. Enter your user ID and password and without clicking the **Login** button, click the **Change Password** link. The application will navigate to the Password Change page. Enter your old and new password in the given fields respectively, and click **OK**. Your password is changed successfully (Figure 4). On click of the **OK** button in the pop-up, the application navigates back to the login page where you can login with the new password.



Figure 4. Change Password

Language Selection

The Login page provides you an option to choose the language that you want to display in the UI.

In the Login page, select a language from the **Language** drop-down list. Provide your user credentials and login. On successful login, the UI displays the contents in the language you have selected. The list of languages displayed is installation specific. Refer to the *Oracle Financial Services Behavior Detection Platform Configuration Guide*, for more information on language configuration.

Access To Multiple Solutions

If you have access to multiple solutions, such as, Know Your Customer (KYC), Monitoring (Alert Management) or Investigations (Case Management), when you first log in, the application navigates to a Start page that lists your available solutions in a Left Hand Side (LHS) menu (Figure 5). From the Start page, you can designate one of these solutions as the default solution that you will navigate to when logging in, allowing you to bypass the Start page on future logins.



Figure 5. Application Start Page

The application Start page contains two main sections:

1. The main page has an option to set your default Start page.
2. The LHS page will have links to various administrative utilities and links to all the solutions to which you have access.

To set the default Start page when you are in the middle of the application Start page, select your desired default Start page from the drop-down list and click **Save**.

To navigate to a solution using the LHS menu, follow these steps:

1. Click the **FCCM** icon.
All the solutions you have access to lists on the page.
2. Click on the desired application to navigate to that solution's landing page.

The application displays in a new window (Figure 6). Moreover, you can logout from the application by clicking the **Logout** link present in the application Home page.

Note: The LHS section is a configurable item. Contact your system administrator for more information.

Notifications

ID	Type	Category	Created Date
CA6400323	Case	Assignment	12/13/2011 08:12:58
CA6400322	Case	Assignment	12/13/2011 08:09:37

Reports

Alerts by Status

Cases by Status

Priority Cases

Case ID	Title	Type	Sub Type	Priority	Status	Assigned To	Owner	Alerts	Cases	Created Date	Due Date
CA6400064	AML2	Anti-Money Laun...	AML Surveillance	High	Recommend Cl...	SRISUPER...	TESTUSER	1	0	12/07/2011	12/14/2011

Figure 6. Case Management Landing Page

Troubleshooting Your Display

If you experience problems logging into Oracle Financial Services Enterprise Case Management or with your display, the browser settings may be incompatible with running Oracle Financial Services Enterprise Case Management. The following sections provide instructions for properly setting your Web display options for Oracle Financial Services Enterprise Case Management within IE.

Note: The following procedures apply to all versions of IE called out in the section *System Requirements*, on page 11. Separate procedures are listed for each version where differences exist in the locations of settings and options.

Enabling JavaScript

JavaScript must be enabled. To enable JavaScript, follow these steps:

1. From the Tools menu, click **Internet Options**.
The Internet Options dialog box displays.
2. Click the **Security** tab.
3. Click the **Local Intranet** icon as your Web content zone.
4. Click **Custom Level**.
The Security Settings dialog box displays.
5. In the Settings list and under the Scripting setting, enable all options.
6. Click **OK**, then click **OK** again to exit the Internet Options dialog box.

Enabling Cookies

Cookies must be enabled. The following sections list procedures for enabling cookies in Internet Explorer (IE) 7.0 or later.

Note: If you have problems troubleshooting your display, please contact your System Administrator.

In IE 7.0

To enable cookies in IE 7.0, follow these steps:

1. From the Tools menu, click **Internet Options**.
The Internet Options dialog box displays.
2. Click the **Privacy** tab.
3. Set the slider to **Medium**.
Note: If the slider is set on a different privacy setting, then click **Default** to set the slider to **Medium**.
4. Click **OK** to exit the Internet Options dialog box.

In IE 8.0

To enable cookies in IE 8.0, follow these steps:

1. From the Tools menu, click **Internet Options**.

The Internet Options dialog box displays.

2. Click the **Privacy** tab.
3. Set the slider to **Medium**.

Note: If the slider is set on a different privacy setting, then click **Default** to set the slider to **Medium**.

4. Click **OK** to exit the Internet Options dialog box.

Enabling Temporary Internet Files

Temporary Internet files are pages that you view on the Internet and store in a folder for quick viewing later. You must adjust this setting to always check for new versions of a stored page. To adjust your Temporary Internet File settings, follow these steps:

1. From the Tools menu, click **Internet Options**.

The Internet Options dialog box displays.

2. On the General tab, click **Settings**.

The Settings dialog box displays.

3. Click the **Every visit to the page** option.
4. Click **OK**, then click **OK** again to exit the Internet Options dialog box.

Enabling File Downloads

File downloads must be available. To enable file downloads, follow these steps:

1. From the Tools menu, click **Internet Options**.

The Internet Options dialog box displays.

2. Click the **Security** tab.
3. Click the **Local Intranet** icon as your Web content zone.
4. Click **Custom Level**.

The Security Settings dialog box displays.

5. Under the Downloads section, ensure that **Enable** is selected for all options.
6. Click **OK**, then click **OK** again to exit the Internet Options dialog box.

Setting Printing Options

Printing background colors and images must be enabled. To enable this option, follow these steps:

1. From the Tools menu, click **Internet Options**.

The Internet Options dialog box displays.

2. Click the **Advanced** tab.
3. In the Settings list, under the Printing setting, click **Print background colors and images**.

4. Click **OK** to exit the Internet Options dialog box.

Tip: For best display results, use the default font settings in your browser.

Enabling Pop-Blocker

Some user might experience difficulties on running the Oracle Financial Services Enterprise Case Management application when the IE pop-up blocker is enabled. It is recommended to add the URL of the application to the *Allowed Sites* to the Pop-up Blocker Settings in the IE Internet Options.

To enable pop-up blocker, follow these steps:

1. From the Tools menu, click **Internet Options**.

The Internet Options dialog box displays.

2. Click the **Privacy** tab.

3. In the Pop-up Blocker setting, select the **Turn on Pop-up Blocker** option.

The **Settings** button enables.

4. Click the **Settings** button to open the Pop-up Blocker Settings dialog box.

5. In the Pop-up Blocker Settings dialog box, enter the URL of the application in the text area.

6. Click **Add**.

The URL appears in the Allowed site list.

7. Click **Close**, then click **Apply** to save the settings.

8. Click **OK** to exit the Internet Options dialog box.

About Oracle Financial Services Enterprise Case Management' Web Pages

This chapter explains the common Web page features used throughout Oracle Financial Services Enterprise Case Management, including:

- Where they appear
- What they do
- When or if they change based on your roles

The information provided in the following sections helps you achieve optimal use of the Oracle Financial Services Enterprise Case Management UI:

- Common Screen Elements
- Using the Browser
- Navigating in Oracle Financial Services Enterprise Case Management
- Message Pages

Common Screen Elements

The following section describes the common screen elements in the Oracle Financial Services Enterprise Case Management UI.

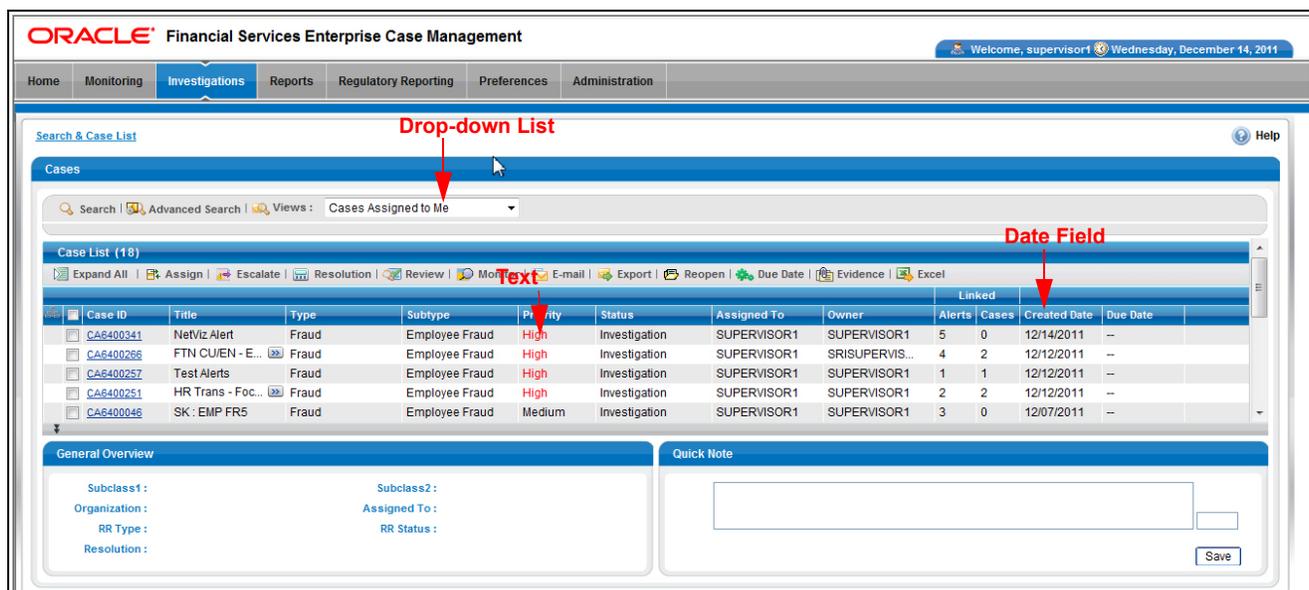


Figure 7. Common Screen Elements

Common screen elements are those elements that consistently perform the same type of function in the same way when they display in the UI. Some serve as labels and never change (Matrix header); some enable you to get help or complete a task (buttons); some offer an explanation for a specific item (tooltips); and some operate as variables that allow you to type entries (text boxes) and make selections (drop-down lists).

Masthead

The masthead displays at the top of the page and contains the following components:

- Navigation Bar as Menus
- Session Information with session user name, day and date.
- Help Button

Buttons

Buttons on the Oracle Financial Services Enterprise Case Management UI enable you to perform tasks such as executing and canceling actions or commands. Click a button to complete the desired task.

Task Button

Task buttons display throughout Oracle Financial Services Enterprise Case Management and include the following:

- The **Search** and **Advanced Search** buttons display on the Search & List page of the Investigation workflow to filter data based upon the criteria you set with basic filters and advanced additional filters respectively.
- The **Save** button records actions and navigates you to the appropriate resulting page and displays the updated case information accordingly.
- The **Save & Attach** button records actions and navigates you to a page providing the option to attach a document with the action. Once you complete the attachment you are navigated to the appropriate resulting page and the case information is updated accordingly.
- The **Clear** button displays on those actionable sections of the UI which do not display any pre-populated data. It clears the data entered by you when clicked.
- The **Reset** button displays on those actionable sections of the UI which display some pre-populated data. It discards the data entered by you and resets the contents to their original state.
- The **Cancel** button displays on all the actionable sections of the UI and cancels the action you intend to take and closes the action pop-up.
- The **Send** button displays in the E-mail pop-up and sends the e-mail to the addressed parties.
- The **Add** button displays in some Business tabs, Financials tab and in the Evidence tab. It provides you with a pop-up to add a new piece of information.

- The **Edit** button displays in some Business tabs, Financials, Narrative, and Evidence tabs. It provides you with a pop-up to edit the existing piece of information you have chosen for edit.
- The **Remove** button displays in some Business tabs, Notification section, and in the Attachment List matrix present in the attachment section of the Evidence tab. It also display in the Financials tab. It helps you delete information that you think is not relevant.
- The **History** button displays in the Financials tab. It provides you with a detailed account of previous activities on the selected record.
- The **Go** button displays in all the Case Search bars and performs the search function.
- The **Case List** button displays in the Priority Case List on the landing page. It helps you navigate to the Search & List page.

Action Buttons

The Action buttons display in the Search & List page and/or in the Details page. Each of these buttons provides you with an action pop-up for taking actions in the category these buttons are representative of. These include buttons for each action category:

- Assignment
- Escalate
- Resolution
- Research & Review
- Monitor
- E-mail
- Export
- Evidence
- Excel
- Reopen
- Due Date
- Print Details
- Print Comments

Help Button

A **Help** button, in the form of a question mark, displays to the extreme right of the bread crumbs. Click **Help** while working in Oracle Financial Services Enterprise Case Management to get the following:

- More detailed information about the page
- Explanations of the screen elements
- How to instructions on a task that you want to perform

Option Button

A round button used to select one of a group of mutually exclusive options.

Calendar Button

A **Calendar** button displays when you have the option of selecting a date. For example, you can specify a date range to search for closed cases. If you click **Calendar** icon, a calendar of the current month displays and highlights the current date (Figure 8).

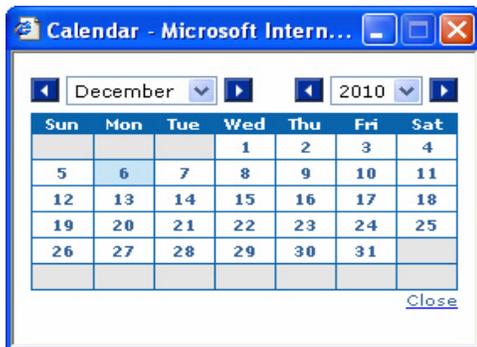


Figure 8. Calendar Button

To use the Calendar window to select dates, follow these steps:

1. Select a date. The application will automatically enter the selected date in the date field.
2. Click the arrows at the top of the Calendar window to view other months or years.
3. Click the **Close** link to close the calendar without selecting a date.

Expand/Collapse

You can view the complete information in a section, matrix, and field by using various expand or collapse options.

Column Expand All

When values are displayed in a matrix and there are columns, which have lengthier values, then you can use **Column Expand All** button to expand all the columns together at once to display the full length of their values.



Figure 9. Column Expand All Button

Column Collapse All

When values are displayed in a matrix and there are columns, which have lengthier values, then you can use the **Column Collapse All** button to collapse all the values that are already expanded for display, together at once.



Figure 10. Column Collapse All Button

Section Expand Button

If you want to expand a section on a page, you can click the (+) button displayed at the top left corner of the section. This expands the section and all the fields in the section are visible.

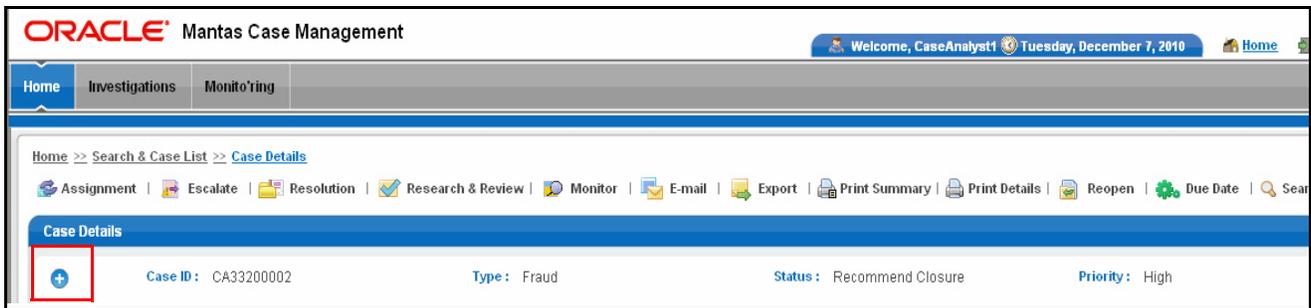


Figure 11. Section Expand Button

Section Collapse Button

If you want to collapse a section, which is already expanded, you can click the (-) button displayed at the top left corner of the section. This collapses the section and all the fields in the section are hidden.

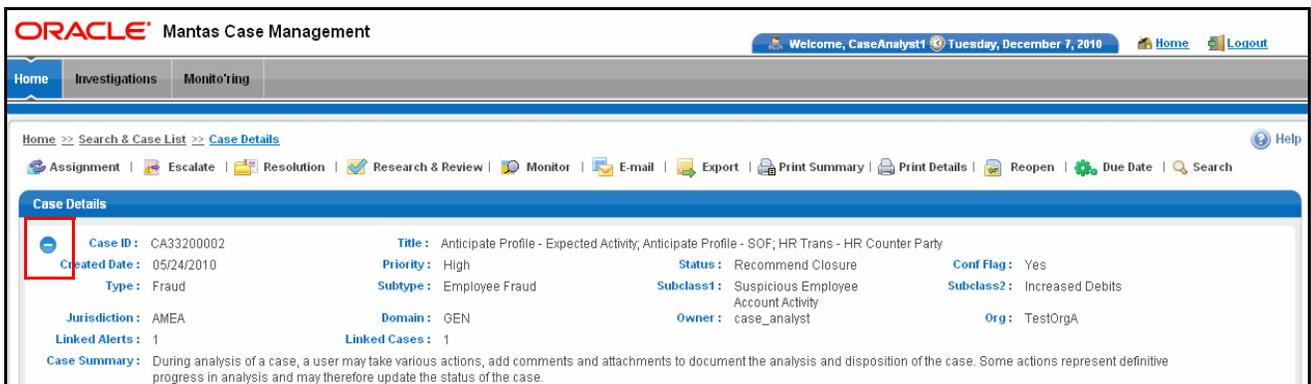


Figure 12. Section Collapse Button

Grid Expand Button

If you want to expand a grid matrix section to see all the rows displayed in it, you can click the (>) button displayed at the top left corner of the section. This will expand the matrix and all the rows and columns in the matrix are visible.



Figure 13. Grid Expand Button

Grid Collapse Button

If you want to collapse a grid matrix, which is already expanded, you can click the (^) button displayed at the top left corner of the section. This collapses the matrix and all the rows and columns in the matrix are hidden.

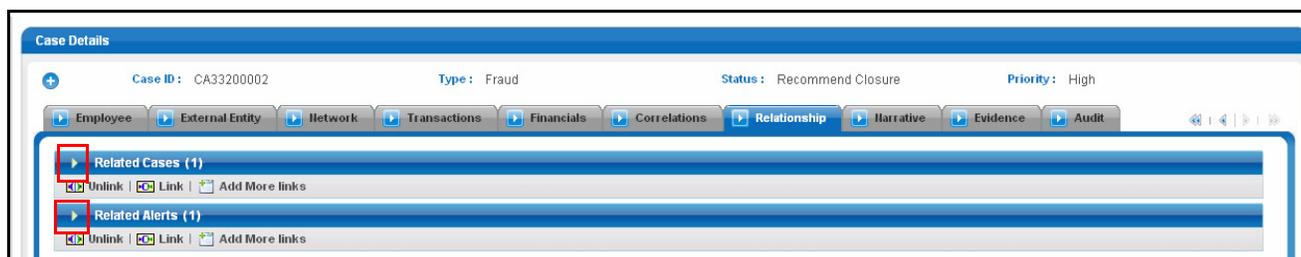


Figure 14. Grid Collapse Button

Column Expand Button

When values displayed in the columns of a matrix is lengthy, Oracle Financial Services Enterprise Case Management displays the first few characters followed by the expand button (>>), indicating that more text is available. The expand button (>>) in a field when clicked, expands the column/row for the complete text to be visible. The button (>>) is displayed in few of the matrix headers, like Evidence to expand the contents of the matrix.



Figure 15. Column Expand Button

Column Collapse Button

When values displayed in the columns of a matrix are expanded, you can click the (<<) button in that column. When clicked, the column contracts the column/row.

The **Contract** button is displayed in few of the matrix headers, such as Evidence, to contract the contents of the matrix.



Figure 16. Column Collapse Button

Field Types

The following sections describe field types.

Text Area

A multi-line rectangular box in which you can type text, such as case comments. If the box already contains text, you can select the default text or delete it and type new text. You may type as many characters in this box as desired.

Text Box

A single-line rectangular box in which you can type text. If the box already contains text, you can select the default text or delete it and type new text. Text boxes limit the number of characters that you may enter.

Wildcard Text Box

Oracle Financial Services Enterprise Case Management permits the use of wildcards in specific text boxes. If you do not know all of the information to type into the text box field, you can type a wildcard character for the missing part of the information. Oracle Financial Services Enterprise Case Management recognizes the percent sign (%) and underscore (_) as wildcard characters. You can use the wildcard character at the beginning, end, and anywhere within a string.

The more specific you are when using the wildcard character, the fewer extraneous matches Oracle Financial Services Enterprise Case Management returns. For example, if you specify a last name of `Sm%`, Oracle Financial Services Enterprise Case Management may return 100 matches, but if you specify a last name of `Smi t%`, Oracle Financial Services Enterprise Case Management may return only 17 matches.

Context-Sensitive Text Box

Oracle Financial Services Enterprise Case Management permits the use of context-sensitive input in specific text boxes. If you want to perform a search on multiple values, you can enter a string of comma-separated values in the case ID field. Oracle Financial Services Enterprise Case Management recognizes the values as individual values.

Drop-down List

A list of items from which you can select one item. Selecting the blank (empty) option applies no filter to your selection.

Selection Box

A list from which you can choose multiple items by selecting the check box against each item. Checking the value *Select All* represents the selection of all the values available in the selection box. Un-checking the value *Select All* represents the de-selection of all the values in the selection box.

Check Box

A square box that displays beside an item or option. Select the check box once to place a check mark in the box. Select the check box again to clear it.

**Check All/Uncheck All
Check box**

You can select all the records or deselect all preselected records using the check box provided at the header of the check box column of all matrices.

A check on the header check box selects all the records in the matrix. An uncheck on the header check box deselects all the selected records in the matrix.

ToolTips

A pop-up ToolTip displays when you position the mouse cursor over an abbreviated field, usually indicated by an ellipsis, or a column label in the Oracle Financial Services Enterprise Case Management UI. A Tooltip displays for approximately three seconds and provides the definition or other pertinent information for the abbreviated field or column label.

Using the Browser

The browser cache does not completely refresh the data. Therefore, using keys from keyboards, like Ctrl+Left arrow or Backspace keys for backward navigation, and Ctrl+Right arrow keys for forward navigations displays data that may be outdated. Using the Oracle Financial Services Enterprise Case Management navigation, pages are refreshed so the information is always up-to-date.

Navigating in Oracle Financial Services Enterprise Case Management

The following sections describe the navigation features that you can use to navigate within Oracle Financial Services Case Management (Figure 17).

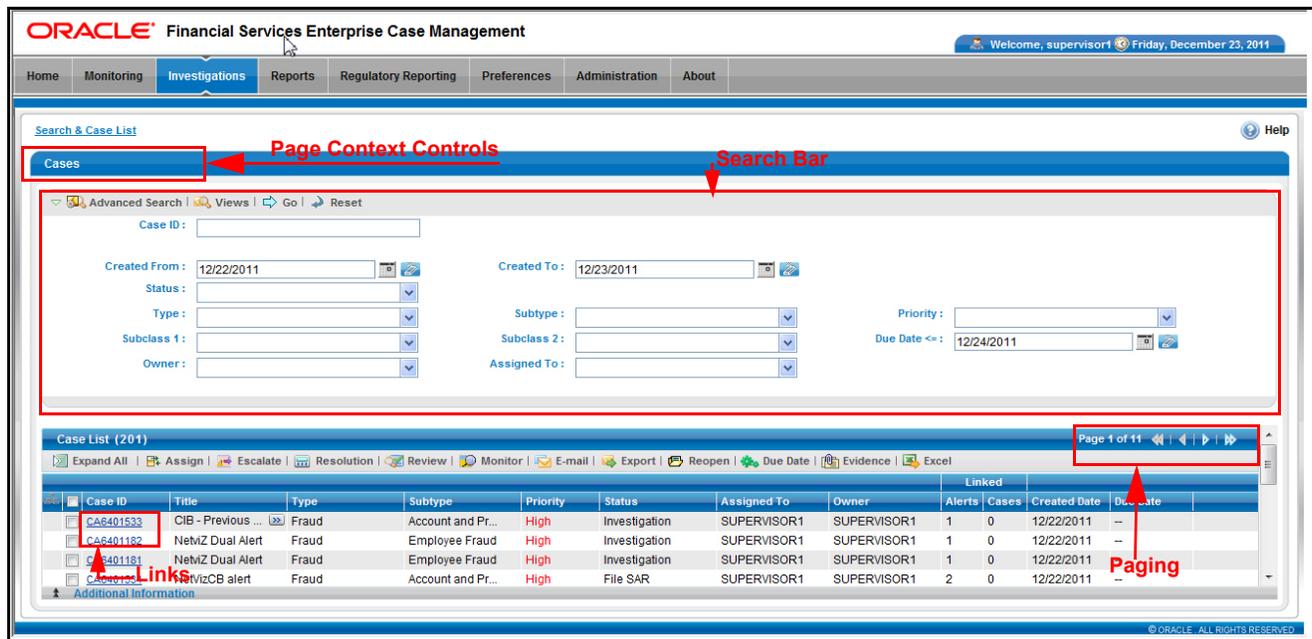


Figure 17. Navigating in Enterprise Case Management

Navigation features enable you to move easily between pages in the UI to view, analyze, or research cases while working in Oracle Financial Services Enterprise Case Management.

Navigation Menus

The Navigation menu displays in the upper left corner of the page. The Navigation menu option includes: Home, Investigation, Reports, and Administration. Menu options display as per your user role. Refer to *Chapter 1, User Privileges*, on page 7, for more information on access to Oracle Financial Services Enterprise Case Management features based on role.

Links

Links display as hypertext (underlined text) on the page that, when clicked, takes you to other pages within the Oracle Financial Services Enterprise Case Management UI.

Search Bars

Some Oracle Financial Services Enterprise Case Management pages have a *search bar* that allows you to specify values with which to filter and sort your data. Search bars for a specific page are described in the chapter where that page's use is explained. Refer to Chapter 4, *Investigating Cases*, on page 33, in the section, *Case Search & List Page*, on page 37, for more information on the Case search bars.

Page Context Controls

Page context controls (also called bread crumbs) show your location in Oracle Financial Services Enterprise Case Management. It allows you to navigate back to previous page to a particular workflow. The current workflow displays the current entry in the page context controls.

Business Tabs

In Oracle Financial Services Enterprise Case Management, business data tabs display in the Case summary of the case when in the investigation workflow.

Depending on the Type and Subtype of a case that you are eligible to view, you may have access to these business tabs.

Business data tab pages display detailed information about a business entity.

Depending on the type of business entity being displayed (for example, Account, Customer), the content of the tab is different and specific to that type of entity.

Paging

Paging refers to the mechanism on the page that enables you to move through multiple pages of information (cases, business data and so forth).

You can move forward and backward through the pages one at a time by clicking the back arrow to the left of the Page text box (unless you are on page #1) or the forward arrow to the right of the total number of pages (unless you are on the last page).

Some pages within Oracle Financial Services Enterprise Case Management display only an initial, limited set of information upon first navigating to that page. This information is often displayed in a tabular matrix at the top of the page. Additional information relevant to the page along with a LHS menu can be displayed by clicking on one of the initially displayed records.

Message Pages

Oracle Financial Services Enterprise Case Management describes the various types of error and status message pages that you may see in the application. Refer to Appendix A, *Message Pages*, on page 179, for an explanation of what causes the message pages to display and the appropriate way to handle them.

Investigating Cases

This chapter explains how to examine and analyze case-related information to determine what action to take in each situation.

This chapter covers the following topics:

- About the Case Workflow
- Home Page
- Case Search & List Page
- Creating New Cases
- Exporting Cases to Excel

About the Case Workflow

This chapter explains how to find and analyze cases in the workflow that you are authorized to view. The primary components of the Case workflow discussed in this chapter include the following pages:

- **Home page:** Enables you to view your notifications and priority cases. You can also view the charts based on your role and reports configured for display. Refer to section *Home Page*, on page 35, for more information on the components of the home page.
- **Case Search & List page:** Enables you to set criteria to retrieve cases, the results of which display on the Case List below the Search bar. The search can be performed through pre-defined views: simple search and advanced search criteria. You can also search for a case by a Case ID.

Note: In both Simple and Advanced Searches, search by Case ID and search by other fields are mutually exclusive. If you attempt to search by a combination of Case ID and other filters, the search results displays only based on the Case ID and ignores the other criteria.

The List matrix displays a list of cases that meet the criteria specified on the Case Search bar. Clicking the **Case ID** link for any case in the list page displays the Case Details page. The search results are displayed using a default sort criteria in the order of Priority in descending order, Due Date (if defined) in ascending order, Create Date of the case in descending order and Case ID in ascending order.

Accessing the Investigation Workflow

You can access the Investigation workflow using the primary level of navigation menu, which is located at the top of the page and is visible from all pages of the workflow. Click the **Cases** submenu option under the Investigations primary level of navigation menu. The Case Search & List page displays.

Alternately from the Home page, you can access the Case Search & List page by clicking the **Case List** button in the priority cases matrix. Based on your role, either the Home page or Case Search & List page displays after you have logged into the system. You can click on the Home primary level of navigation menu to navigate to the Home page.

Home Page

The Home page provides visibility and quick access to a list of high priority cases that may require more immediate attention. In addition, the Home page displays notifications of activity on cases of interest to you. The Home page may also display graphical summaries of your current workload. You can navigate to the Home page by selecting Home from the primary level of navigation menu. Based on the access permissions of your role, the Home page may also display as the default page after you have logged into the system.

Refer to section *User Privileges*, on page 7, and *Security within Oracle Financial Services Enterprise Case Management*, on page 10, for information on Oracle Financial Services Enterprise Case Management access privileges.

Refer to section *Home Page*, on page 35, for more information on the components of the Home page.

Home Page Components

The Home page consists of the Notification section, Report section, and Priority Case Matrix.

Notification

The Notification section displays the notification of the following category:

- **ID:** Identifier of the item for which you have received this notification (for example, Case ID)
- **ID Type:** The type of item for which you have received this notification (for example, Case)
- **Notification category:** The type of activity that has triggered this notification (for example, Due Date and Reassign Ownership)
- **Created Date and Time:** Date and time this notification message was created

Double-click a notification to view additional detailed information about the notification in a pop up:

- **Due date:** For Notification category of Due Date, the actual due date that is nearing or has been exceeded for an entity
- **Status:** Where the item type is associated with some status, the current status of that item (for example, the status of the case)
- **Assigned To:** The current user to whom the item that is the subject of the notification is assigned
- **Action Taken:** If the notification category is Action Taken, the action taken on the item that is the subject of the notification
- **Taken By:** Displays the taken of the action taken on case

You can select the check box against each notification and click the **Remove** button to delete the notification from your list.

The most recent notifications display first. If there are more notifications than will fit on the initial page, you have the option to navigate to the additional notifications using

page controls. Notifications will not remain visible indefinitely. By default, notifications are configured to appear for five days after they are initially created except under the following circumstances:

- You delete the notification
- You view the case for which the notification of assignment or reassignment was received on action taken
- Or, the due date has been extended on the case for which the notification of nearly due or overdue was received

Note: The display notification is configurable. Contact your system administrator to modify the default.

Reports

Displays reports based on the role and reports configured for your firm's installation. Contact your system administrator for more information regarding what reports may be available. By default, the Reports section of the Home page displays charts for cases owned by you and grouped by non-closed status. If your firm has implemented Oracle Financial Services Behavior Detection, the Reports section may also contain charts concerning alerts owned by you.

Priority Cases Matrix

Displays only Active cases, that is, those cases in a non-closed status. By default, the system displays only five high priority cases in the list. The cases, and the order in which they are to be displayed, are based on the following ordering strategies:

- **Case Priority** (displayed in descending order of priority - High, Medium, and Low)
- **Due Date** (displayed in ascending order): When the priorities are identical, the system uses the due date of a case to determine the display order. If there is a due date associated with the case, Oracle Financial Services Enterprise Case Management selects those cases most near or exceeding their due date.
- **Create Date:** If the priority cases have identical due dates, Oracle Financial Services Enterprise Case Management use the most recent create dates of the cases to determine display.

You can click the **Case List** button to navigate to the Case Search & List page.

Case Search & List Page

The Case Search & List page enables you to filter the cases that you want to view and analyze on the Case List section. You can navigate to the Case Search & List page by selecting the Cases submenu in the Investigations primary level of navigation at the top of the Masthead area.

From the Home page, you can navigate to the Search & List page by selecting the **Case List** button on the priority list of Cases.

You can access and view the Case Search page and fields within it if your role permits you to search for cases.

Case Search & List Page Components

The Case Search & List Page contains the following components:

- Action Buttons
- Case Search Bar
- Case List Matrix
- Additional Information and Case Comments

Action Buttons

You can take actions using the **Action** buttons that is available above the Search bar. These buttons are visible as per your access permissions. Refer to Chapter 6, *Acting on Cases*, on page 91, for more details on actions.

Case Search Bar

The Case Search bar enables you to filter the cases that you want to view and analyze on the Case List matrix. The Case Search bar supports three types of search—Search by Views, Simple Search, and Advanced Search.

By default, the Views search is available with **Cases Assigned to Me** as the default queue.

You can also choose to search by filter criteria available in Simple Search and Advanced Search, which displays on clicking the respective buttons.

You can use only one search (Views, Simple Search, or Advanced Search) at a time.

Oracle Financial Services Enterprise Case Management retrieves cases, based upon the following:

- The filter criteria you enter into the Views, Simple Search, or Advanced Search bars.
- Your access control permissions. Refer to Chapter 1, *About Oracle Financial Services Enterprise Case Management*, on page 1, for more information.

View Search

Views represent pre-populated search queries. Selecting a View for searching allows a single click option for returning a filtered case list based upon the view's preset search criteria. By default, the Views search is available with **Cases Assigned to Me** as the default view. To search using views simply select the desired view from the list

Table 5 list the Views Filter and Sort Criteria for the View Names.

Table 5. Case Views and Filter

View Name	View Filter and Sort Criteria
My New Cases	From: Current Date -1 To: Current Date
	Owner: current user or pool to which the current user belongs
	Status: New
	Sort: By Priority Desc; Case ID Asc
Cases Assigned to Me	Assigned To: current user or pool to which the current user belongs
	Status: Any status but a closed status
	Sort: By Priority Desc; Create Dt Desc; Case ID Asc
My Cases	Owner: current user or pool to which the current user belongs
	Status: Any status but a closed status
	Sort: By Priority Desc; Create Dt Desc; Case ID Asc
My Overdue Cases	Due Date is not null and is <= Current Date
	Owner: current user or pool to which the current user belongs
	Sort: By Due Date Asc; Case ID Asc
My Near Due Cases	Due Date is not null and is > Current Day and <= (Current Day +4)
	Owner: current user or pool to which the current user belongs
	Sort: By Due Date Asc; Case ID Asc
Cases Escalated to Me	Assigned To: current user
	Status: Escalated
	Sort: By Priority Desc; Create Dt Desc; Case ID Asc
Management - Overdue Cases	Due Date is not null and is <= Current Date
	Owner: Organizational pool(s) for which the current user is supervisor or user within that pool
	Sort: By Owner Asc; Due Date Asc; Case ID Asc
Management - Near Due Cases	Due Date is not null and is > Current Day and <= (Current Day +4)
	Owner: Organizational pool(s) for which the current user is supervisor or user within that pool
	Sort: By Owner Asc; Due Date Asc; Case ID Asc
Management - Aged Cases	Case Age >= 30 days
	Owner: Organizational pool(s) for which the current user is supervisor or user within that pool
	Status: Any status but a closed status
	Sort: By Owner Asc; Create Date Asc; Case ID Asc

The Case Search bar supports the ability to search across the following types of information:

- Case Search Dates
- Case Information
- Case by Entity of Linked Alerts
- Linked Cases
- Linked Alerts
- Case by Actions

Case Information

Table 6 provides a list of the case search components that display in the Case Simple or Advanced Search container based on solution sets.

Table 6. Case Search Components

Column	Description	Simple Search	Advanced Search
Created From	Filters the case list by the From date the case was created.	X	X
Created To	Filters the case list by the To date the case was created.	X	X
Type	Filters the case list by the type of cases that matches the search criteria.	X	X
Subtype	Filters the case list by the sub type of cases that matches the search criteria.	X	X
Subclass 1	Filters the case list by the type code of the case subclass1 associated with this case subclass.	X	X
Subclass 2	Filters the case list by the type code of the case subclass2 associated with this case subclass.	X	X
Due Date	Filters the case list by past and up to the date you enter by which an action should be taken on the case.	X	X
Status	Filters the case list by the current status of case, relative to its analysis and closure in the multi-select list box.	X	X
Priority	Filters the case list by the priority of the current case that matches the search criteria.	X	X
Owner	Filters the case list by a user or group of users who own the case. This multi-select list box contains users or groups of users within the Organization.	X	X
Assigned To	Filters the case list by a user or group of users to whom a case is assigned. This multi-select list box contains users or groups of users within the Organization.	X	X
Case ID	Filters the Case List by the one or more Case IDs entered in this text field. To search for multiple IDs, separate IDs with commas. If the cases are found, the Case List page displays information about the cases with the IDs that exactly matches the values you entered. The Case ID search is mutually exclusive with all other filter criteria.	X	X
Title	Filters the case list by the Title of the cases that matches the search criteria.		X
Jurisdiction	Filters the case list by the business jurisdiction associated with the case. The multi-select list box contains only the jurisdictions with which you are authorized to view.		X
Domain	Filters the case list by the business domain associated with a case. The multi-select list box contains only the business domains with which you are authorized to view.		X

Table 6. Case Search Components (Continued)

Column	Description	Simple Search	Advanced Search
Organization	Filters the case list by the ID of the organization associated with the owner of a case. This multi-select list box contains only the organizations (and the organizations subordinate to it) to which you have a business association and are authorized to view.		X
Resolution	Filters the case list by one or more selected closing actions that have been taken on the case. If you filter by Resolution, you cannot filter by Last Action and Action.		X
Last Action	Filters the case list by one or more selected last actions that have been taken on the case. If you filter by Last Action, you cannot filter by Resolution and Action.		X
Action	Filters the case list by one or more actions that have been taken on the case. If you filter by Action, you cannot filter by Resolution and Last Action.		X
Linked Alerts >=	Filters the case list by count of alerts that are linked to the case. Oracle Financial Services Enterprise Case Management retrieves cases, which are either greater than or equal to, equal to, or less than or equal to the count you enter in the text box. This search option will only be available if your firm has implemented Oracle Financial Services Behavior Detection Platform.		X
Linked Cases >=	Filters the case list by count of cases that are linked to the case. Oracle Financial Services Enterprise Case Management retrieves cases, which are either greater than or equal to, equal to, or less than or equal to the count you enter in the text box.		X
Regulatory Report Type	Filters the case list by the type of a Regulatory Reporting that was initiated from the case. Regulatory Reporting is an optional Oracle application.		X
Regulatory Reporting Status	Filters the case list by the status of a Regulatory Reporting that was initiated from the case. Regulatory Reporting is an optional Oracle application.		X

Case Search Dates

You can specify the time frame in which you want to view cases. When you specify the start (From) and end (To) dates, Oracle Financial Services Enterprise Case Management displays only those cases that are created within the time frame.

Simple Search

Simple search is a search based on limited set of search fields, which are a combination of drop-down and text fields.

Advanced Search

Advanced search offers the same search fields as provided for a simple search along with an expanded set of additional fields.

In Simple and Advanced search:

- a. The case list can be dynamically populated based on different set of input criteria or by Case ID.
- b. Drop-down lists, text boxes, and multi-select list boxes enable you to filter cases more precisely for analysis.

- c. The fields in Simple or Advanced search supports selection of multiple values in each drop-down control. Selecting the blank list option within a multi-select list box is the same as selecting all list options within the list.
- d. When filtering using multiple search fields, the results are filtered based upon matching all criteria specified.
- e. Some text fields allow the use of wildcards when searching. The percent sign (%) or (_) is used to denote a wildcard. Following fields allows use of wild card:
 - i. Title
 - ii. Entity Name
- f. If you click the **Go** button without selecting any filter criteria, a message displays:

No values were entered in the filter criteria. Please enter at least one filter criteria.

You must enter data in at least one search field.
- g. Some search field drop-down lists available in the Simple or Advanced search containers populate based on your security attributes access control. Only the data that matches your specified criteria and those alerts, which you are authorized to view, are displayed as search result.

Case by Entity of Linked Alerts

If your firm has implemented Oracle Financial Services Behavior Detection in addition to Oracle Financial Services Enterprise Case Management, cases may be the result of promoting one or more behavior detection alerts to a case. Business entities are associated with these underlying alerts. You can filter the case lists by using the Entity filters on the Case Search bar to search for cases that are associated with these alert entities. These filters enable you to search for a case by either providing an **Entity Name** or **Entity ID**. For example, if you want to search the case list for a customer entity type, select CU from the **Entity Type** drop-down list and type the customer name in the **Entity Name** text box.

In addition, you can type up to 255 characters of text in the **Entity Name** field and up to 50 characters of text in the Entity ID field, respectively.

The **Entity Type** drop-down list displays the master list of behavior detection alert focus types without applying user access permissions. On selecting this field, you have to provide a mandatory input in the **Entity ID** or in the **Entity Name** field. **Case Entity ID** and **Case Entity Name** are mutually exclusive and are always searched with entity type. The values provided through these fields are searched against the list of all linked alerts.

Note: Case Search Entity filters only searches for alert-related business entities.

Table 7. Case Search Entity Filters

Column	Description
Entity Type	Filters the case list based on the focus type associated with the linked alerts of the case. Select the focus from the Entity Type drop-down list and type either Entity Name or Entity ID to search for cases.
Entity Name	Searches based on the focus of alerts linked to the case—focal entity display name.
Entity ID	Searches based on the focus of alerts linked to the case—focal entity display ID. The field accepts up to 50 characters of text in the Entity ID text box.

Linked Cases

The **Linked Cases** drop-down list and text box enables you to select the filter criteria based on the number of cases that are linked to a case. The default Linked Cases option displays \geq conditions for the linked cases. However, you can change the selection to another option in the drop-down lists. Searching with \geq condition return cases with a linked case count greater than or equal to the specified value.

Linked Alerts

If your firm has implemented Oracle Financial Services Behavior Detection, you have the option to filter the case list based upon the number of alerts linked to a case. The **Linked Alert** drop-down list and text box enables you to select the filter criteria based on the number of alerts that are linked to a case. The default Linked Alert option displays \geq conditions for the linked alerts. However, you can change the selection to another option in the drop-down lists. Searching with \geq condition return cases with a linked alert count greater than or equal to the specified value.

Case by Actions

The **Resolution**, **Last Action**, and **Action** fields enables you to search for cases based on the actions performed on the case.

Note: The **Resolution**, **Last Action**, and **Action** fields are mutually exclusive. You can provide values in only one among these fields while searching.

Case ID Search

The **Case ID Search** text box enables you to search for information about the cases by typing the Case IDs in the **Case ID** text box. To search for multiple IDs, separate the case IDs with commas. If the cases are found, the Case List page displays information about the cases with the IDs that exactly matches the values you entered.

Searching for Cases by Views, Simple, and Advanced Search

You can search cases by any of the following search conditions—Views, Simple, or Advance search.

Searching for Cases using Views

To search for cases using Views, follow these steps:

1. Navigate to the Search & List Page.
The Views search bar displays.
2. Select any value from the **Views** drop-down list.

Searching for Cases using Simple or Advanced Search

To search for cases using Simple or Advanced search, follow these steps:

1. Navigate to the Simple or Advanced Search container by clicking the **Simple Search** or **Advanced Search** button.
2. Specify any or all of the criteria in **Simple/Advanced Search**.

Optional for Advanced Search: Specify one or more criteria, which is specific to Advanced Search.

Note: The **Case Entity Name** and **Title Search** fields accept wildcard characters. **Case ID** field accepts comma-separated entries.

Optional: Select an entity type in the **Entity Type** drop-down list, and then type a value in the **Entity Name** or **Entity ID** text box for the selected focus type.

If the search returns one or multiple cases, the Case List matrix displays a list of cases that matched the criteria.

If no cases meet the filter criteria, a message displays:

No data met the selected filter criteria. Please enter new filter criteria.

Caution: Once you click the **GO** button, you must allow the application time to generate and display the list. Do not click the **Go** button repeatedly as it can lock the OFSAAI application. You have to log off and log on again to run the application.

Searching for a Case by Case ID

To search for a case by Case ID, follow these steps:

1. Navigate to the Simple or Advanced Search container by clicking the **Simple Search** or **Advanced Search** button.
2. In the Case ID Search bar, type a Case ID in the **Case ID** text box.

Optional: Enter additional Case IDs separated by commas (for example, Case ID, Case ID, Case ID).

3. Click **Go**.

The Case List returns all cases with IDs that match exactly the values you entered in the **Case ID** text box.

Note: Searches by Case ID and other Simple/Advanced search criteria are mutually exclusive. If you attempt to search by the later combination of filters, the application warns you of not using a search by Case ID with other filters.

Case List Matrix

The Case List matrix displays summarized information of cases that you can further investigate or take actions on. When you search using Views, the sort order is based on the queue selected. Refer Table 5 for the sort criteria in each queue.

When you search from Simple or Advanced search, the default sort order is based upon Priority Desc (High, Medium, Low) followed by Due Date Asc followed by Create Date Desc and Alert ID Asc.

By default, the Case List matrix displays 20 cases. To view additional cases returned by search, use the pagination controls to move to additional pages of alerts. An **Excel**

icon on the upper title bar enables exporting the case list with a single click. Refer to section *To Export Cases to Excel*, on page 49, for more information.

Case List Components

The Case List matrix of the Case Search & List page consists of the Case List header and a matrix containing one or more cases and associated data. Each case has a check box and an **ID** link associated with it.

The components within the Case List matrix are as follows:

- **Case List header:** Contains the number of Cases displayed in the list, the total number of cases returned by the search, and the **Excel** icon. Pagination controls within the header allow you to navigate to the additional pages of cases.

The **Excel** icon displays next to the Case List title to allow you to export the case list data to Microsoft Excel. Refer to the section *To Export Cases to Excel*, on page 49, for more information.

- **List of Cases:** Displays a list of cases based on your search criteria on the Case Search bar. Click the hyperlinked **Case ID** for any case in the list to access the Case Details page. If the selected case is locked, that is, another user has currently accessed the same case, a message displays:

The selected case is locked by another user. Click **OK** to view the case details page in view mode only and **Cancel** to return to list page.

If you select the **OK** button in the dialog box, the application navigates you to the Case Details page in the view mode. In the view mode, you cannot take any action on the case.

The case list header contains a check box, which enables you to select all the check boxes for each row on the page. Selecting the check box again enables you to clear all the check boxes.

The **Expand** image (>>) displays inside the **Case Title** field if the text in the field is more than the column width. On clicking the **Expand** image (>>), the page refreshes the data to display the complete Case Title. After you click the **Expand** image (>>), it displays the **Contract** image (<<), which, when clicked, then refreshes the data to display only the abbreviated Case Title.

For all other fields when if the text in the field is more than the column width, a Tooltip displays for approximately three seconds when you position the mouse cursor over the field to display the complete text.

- **Check Boxes:** Appears at the beginning of each row. Select one or more of these boxes to take action on one or more cases. Select the check box again to clear it. When you select using the check box, the case row displays a blue highlight.
- **Column Headings:** Labels that displays the kind of information in the columns. All column headings in the Case List matrix are sortable, that is, you can sort each column in the case list by right-clicking the column header and choosing ascending or descending options.

- **Action Button:** Enables you to select and take action on one or more cases. When an action button is clicked, the application navigates you to the Actions pop up. You can take an action on a single case or on several cases (batch action). Refer to Chapter 6, *Acting on Cases*, on page 91, for more information on taking actions on cases.

Before you take action on the selected cases, Oracle Financial Services Enterprise Case Management checks each case to determine if it is locked. If another user locks all the selected cases, a message displays:

All selected case records are locked by another user. Please try again later.

If some but not all of the selected cases are locked, a message displays:

One or more cases are locked by another user. Click **OK** to continue performing actions for cases, which are not locked.

If you fail to select at least one check box and click on any action button, a message displays:

You have not selected any case(s). Please select one or more cases.

Table 8 provides a list of the columns that display in the Case List matrix.

Table 8. Case List Components

Column	Description
Case ID	Case ID number. Also serves as a link to the Case Details page.
Title	Name of the case displayed in the case list matrix.
Type	Type of the case displayed in the case list matrix. For example, AML.
Subtype	Subtype of the case displayed in the case matrix. For example, AML Surveillance
Priority	The priority given to the case under investigation.
Status	Current state of the case relative to its analysis and closure. The New, Reopened, and Reassigned statuses display in bold text.
Assigned To	User or group of users within the Organization to whom a case is assigned.
Owner	Name or ID of an individual or group of users to who own the case.
Linked Alerts	Number of alerts linked to the case. Will display only if your firm has implemented Oracle Financial Services Behavior Detection.
Linked Cases	Number of cases linked to the case.
Created Date	Date the case was created.
Due Date	Date and time by which an action should be taken on the case. Due dates that are nearly due display in red font. Due dates that are due or overdue display in bold red font. The definition of <i>nearly</i> due is a value that is configurable by your firm.

Additional Information and Case Comments

The Additional Information section consists of the Case Additional Information and Case Comment sections and displays below the Case List. The section display additional information about the case when you click on the case row in the Case List. By default, this section is in the Contracted mode. You can click the **Expand** image or **Contract** image in the section header to expand or contract the section.

Table 9 provides a list of fields that display in the Case Additional Information section.

Table 9. Case Additional Information Components

Column	Description
Subclass1	The type code of the case subclass1 associated with this case subclass.
Subclass2	The type code of the case subclass2 associated with this case subclass.
Organization	Organization or group that owns the cases.
Assigned To	User or group of users that the case is assigned to.
RR Type	Type of Regulatory Report associated with this Case.
RR Status	Current status of the Regulatory Report associated with the Case.
Resolution	Resolution action performed on this case.

On selecting a single case from the case list, the investigator can provide comment to the selected case using the Comments section.

Note: The Additional Information section display values only if you have clicked on the case row. The section does not display if you only click the check box. The check box should be used only to perform actions from the action categories.

Creating New Cases

Cases in Oracle Financial Services Enterprise Case Management can be created by users manually entering new case information or can be the result of promotion of alerts to a case (dependent upon implementation of the Oracle Financial Services Behavior Detection). To manually create a new case in Oracle Financial Services Enterprise Case Management, navigate to the Create New Case workflow by selecting the Create New Case submenu option from the Investigations menu.

You are navigated to the New Case page where you can define attributes of the case to be created. The system automatically generates a distinct case identifier to be used for the new case. This identifier is not editable.

Table 10 describes the fields that can be used to define your new case. Fields that are mandatory are marked with a red asterisk (*) on the UI. In order to successfully create a case, you are required to enter values in the mandatory fields.

Table 10. New Case Creation Components

Fields List	Description
Case ID	Oracle Financial Services Enterprise Case Management generated unique identifier for the case. Is not editable.
Title	Title name of the case. This is a mandatory field.
Type	Classifies the type of case being created (for example, Fraud). The types that is available in the drop-down list are based upon your firm's configuration as well as user privileges. This is a mandatory field.
Subtype	Classifies the subtype of the type of case being created (for example, Employee Fraud). The combination of case type and subtype selected will affect the investigation workflow and actions available for the case. The subtypes that is available in the drop-down list are based upon your firm's configuration as well as user privileges. This is a mandatory field.
Subclass1	Classifies the case type and subtype to an additional level of detail. Case subclasses do not impact the workflow and actions and are primarily used for reporting. The subclasses that are available in the drop-down list are based upon your firm's configuration.
Subclass2	Classifies the case type and subtype to an additional level of detail. Case subclasses do not impact the workflow and actions and are primarily used for reporting. The subclasses that are available in the drop-down list are based upon your firm's configuration.
Jurisdiction	Defines the business jurisdiction to be assigned to the case. Jurisdictions can be used to affect access to the case by users. This is a mandatory field.
Domain	Defines the business domain to be assigned to the case. Business domains can be used to affect access to the case by users. This is a mandatory field.
Owner	User who is the owner of the new case. This is a mandatory field.
Assigned To	User to whom the case is assigned for investigating and taking actions on the case. Can be different than the owner of the case or can be the same user.
Confidential Flag	Indicator of whether or not this case should be considered confidential. Default value is "No".

Table 10. New Case Creation Components (Continued)

Fields List	Description
Priority	Indicator of the priority of this case. Default value is “Low”. This is a mandatory field.
Status	System generated status. By default, all newly created cases are created with a status of “New”. This field is not editable.
Description	Free text field allowing users to describe the case content and details at a high level.
Created Date	System generated date corresponding the current date. This field is not editable.
Created By	Captures the identifier of the user creating the case. This field is not editable.

To create new cases, follow these steps:

1. From the Investigations menu, select the Create New Case option.

The Create New page displays.

2. Enter the desired information in the fields.

Note: Always specify values for fields marked as required.

3. Click the **Save** icon to save the information, and then click **OK** on the confirmation message.

A message displays: Click OK to continue to the Case Summary for your newly created case. Click Cancel to remain within the Create Case workflow.

4. Click **OK** if you want to navigate to the case summary page of the created case or click **CANCEL** if you want to remain in the new case creation page for further addition of cases.

On clicking the **OK** button, you are navigated to the Case Summary for the newly created case where you can enter additional details and information to the case and take actions on the case.

Refer to Chapter 5, *Navigating Tabs*, on page 51, for information on adding information to case business tabs and Chapter 6, *Acting on Cases*, on page 91, for information on taking actions on cases.

Exporting Cases to Excel

For all roles, Oracle Financial Services Enterprise Case Management enables you to export data to Microsoft Excel where you can then review and edit the data as necessary. The Excel function exports all records available within a particular matrix or from all matrices of the UI based on the option selected in Export Properties. If you select Grid Data then it exports records only from a particular matrix. If you select Form Data then it exports records from all matrices available in the UI. On performing this action, the list of records will be exported to the first sheet of a new Microsoft Excel workbook.

Note: Before taking Excel action, you need to do the setting in your Internet Explorer browser. Open your Internet Explorer. Go to **Tools > Internet options > Advanced tab**. In Security section, mark the check box for **Do not save encrypted pages to disk** option and click **Apply**. Re-launch the IE browser.

The Excel functionality works successfully on MS Excel 2003. However, you can encounter a warning message if your system has MS Excel 2007. This warning message does not prevent you from successfully exporting the selected content.

This Excel functionality is available as follows within the Oracle Financial Services Enterprise Case Management UI:

- **Case List** page: The **Excel** icon displays in the Case List matrix along with other action categories.
- **Correlation** tab: The **Excel** icon displays in the Source Correlation matrix.
- **Financials** tab: The **Excel** icon displays in each of Potential Loss, Averted Loss, and Recovered Loss matrices.

To Export Cases to Excel

To export cases to Excel, follow these steps:

1. Click the **Excel** icon on the Case List or anywhere in the application where it is available.

A pop-up displays with export details.

2. Set Document Type as Excel and select Form Data/Grid Data as *Grid Data*.
3. Click the **Export** button.

When processing is complete, the data displays in an IE window with a dialog box.

4. Click **Save** from the dialog box.

The Save As dialog box displays.

5. Select a directory location where you want to save the file.
6. Enter a new name in the **File Name** field or the application automatically generates a name for the file to accept.

7. Click **Save**.

The application saves your file to the specified location.

Optional: Open the file in Microsoft Excel to edit as needed.

8. At any point of time in the pop-up, if you do not want to undertake the Export action, click **Cancel** on the pop-up window.

Navigating Tabs

This chapter explains how you can navigate among tabs in the application. Tabs display information based on the case type and subtype of the case.

This chapter covers the following topics:

- Case Data Tabs
- Business Tabs

The Case Data tabs and Business tabs display horizontally under the case context and you can view them by clicking the **Case ID** hyper link on the Case List. The case context is always visible above the horizontal tabs. The data in each tab displays based on the access privilege provided to the user. Refer to Chapter 1, *User Privileges*, on page 7, for access control permissions for each tab.

Case Data Tabs

Case Data tabs refer to those tabs that display for all cases and include the following:

- **Case Details** tab: Refer to *Case Details Tab*, on page 51
- **Correlation** tab: Refer to *Correlation Tab*, on page 55
- **Relationship** tab: Refer to *Relationship Tab*, on page 58
- **Narrative** tab: Refer to *Narrative Tab*, on page 62
- **Evidence** tab: Refer to *Evidence Tab*, on page 64
- **Audit** tab: Refer to *Audit Tab*, on page 65
- **Involved Parties** tab: Refer to *Involved Party Tab*, on page 66

Case Details Tab

The Case Details tab contains information that assists you in the analysis and resolution of the case. When you select a case from the Case List, the application navigates you to the Case Details tab.

The primary way to navigate to the Case Details tab is by clicking the **Case ID** hyper link in the Case List matrix.

When you navigate to the Details page for a case, the case becomes locked by you and other users are allowed *view only* access to the case. If other users attempt to access the same case, they will receive a message informing them that the case is locked by

another user and granted only view rights (they can take no action on the case) (Figure 18).

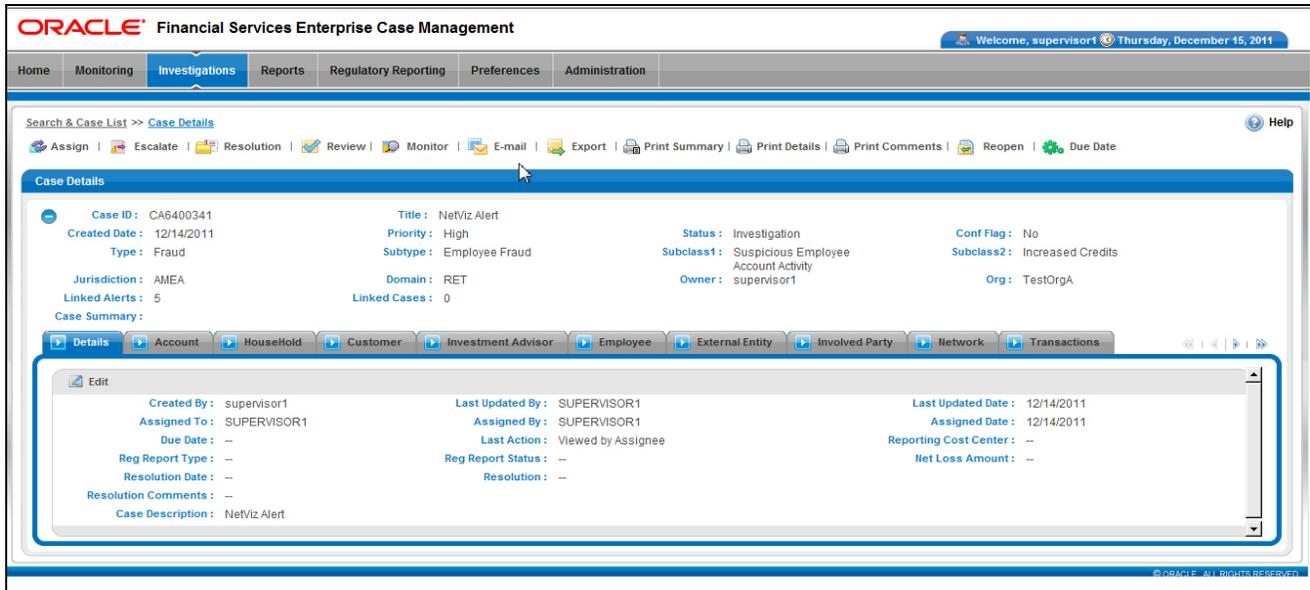


Figure 18. Case Details Page

You can access the Case Details page from the Case List page by clicking the **ID** of the case you want to analyze. In addition, you can access the Case Details page on the Relationship tab, by clicking the **Case ID** in the Related Cases matrix.

Within the Case Details tab, you can access additional information related to the case by selecting one of the other tabs which display to the right of the Details tab. Refer to section *Business Tabs*, on page 72, for more information about tab pages.

Components of the Case Details Page

The Case Details page includes the following areas of information:

- **Page Context Controls (Bread crumbs):** Displays your location in the workflow and how you got to this particular page.
- **Case Context Information:** Provides a brief description of the case and the context for determining what actions need to be taken to dispose of the case. The case context displays on the top of every tab. Once you have entered the workflow for a single case (by selection of the case from the Case List), the case context shall remain visible to you as you navigate the various tabs relevant to the particular case. You can also click the (-) or (+) to contract and expand the Case Context. By default, the case context displays in the contracted mode. Case ID, Type Status, and Priority fields are visible on the header in a contracted mode with an expand sign visible on it.

Table 11 provides a list of the fields that display in the Case Context information area.

Table 11. Case Context Information

Field	Description
Case ID	Unique Identifier of the case.
Title	Name of the case that case list matrix displays.
Created Date	Date the case was created.
Priority	Priority assigned to the case.
Status	Current state of the case relative to its analysis and closure. The New and Reopened statuses display in bold text.
Confidential Flag	Confidentiality assigned to the case.
Type	Type of the case that case list matrix displays. For example, AML..
Subtype	Subtype of the case that the case list matrix displays. For example, AML Surveillance.
Subclass1	The type code of the case subclass1 associated with this case subclass.
Subclass2	The type code of the case subclass2 associated with this case subclass.
Jurisdiction	Geographical Jurisdiction associated with the case.
Domain	Business domains associated with the case.
Owner	Name of an individual user or the user group who owns the case.
Organization	Organization that owns the cases.
Linked Alerts	Count of alerts linked to the case.
Linked Cases	Count of cases linked to the case
Case Summary	Summary of the investigations and actions performed on the case as provided by the case investigator.

- **Action buttons:** You can take actions using the Action buttons that is available above the Case context container.. These buttons are visible as per the your access permissions.

- **Case Details** tab: The Case Details tab have an **Edit** icon to edit case details, provided you have the access privilege to edit the case details.

Table 12. Case Details Information

Field	Description
Created By	The user who created the case.
Last Updated By	The user who Last updated the case details.
Last Updated Date	The last updated date for case details.
Assigned To	The user or group to whom the case is assigned to.
Assigned By	The user or group who assigned the case.
Assigned Date	The date when the case was assigned.
Due Date	Date and time by which an action should be taken on the case.
Last Action	Last action performed on the case.
Reporting Cost Center	The cost center to which the total net loss amount for this investigation should be associated.
Reg Report Type	Regulatory Reporting types that are available to the user (for example,(SARDI). Regulatory Reporting is an optional Oracle Financial Services Enterprise Case Management application.
Reg Report Status	The current reporting status of a case that has been recommended for Regulatory Reporting, an optional Oracle Financial Services Enterprise Case Management application.
Net Loss Amount	Total loss remaining after <i>Averted Loss</i> and <i>Recovery Amounts</i> have been subtracted from the <i>Potential Loss</i> . This information is applicable to fraud type cases in particular.
Resolution Date	Date when the closing action was taken.
Resolution	Closing actions that have been taken on a case.
Resolution Comments	Comments provided by the user when the closing action has been taken.
Case Description	Description of the case that gives an high level insight on the subject matter of the case.

The edit option provided in the Case Details section enables you to edit the contents of case context and case details.

To edit a case in the Case Details section, follow these steps:

1. Click the **Edit** button in the Case Details tab.

A pop-up opens with **Save**, **Reset**, and **Cancel** buttons. The pop-up displays all fields of Case Context and Case Details sections (Table 11 and Table 12).

Among them the following fields are editable:

- a. Title
- b. Priority
- c. Confidential Flag
- d. Type
- e. Subtype

- f. Subclass1
 - g. Subclass2
 - h. Status
 - i. Case Summary
2. Modify the desired fields. Make sure before saving that all required fields are populated.
 3. Click **Reset** if you want to reset the changes back to the previous values.
 4. Click **Save** to save the changes.

The pop-up is closed and the Case Context and Case Details section is refreshed to display the updated contents.

At any point of time if you want to cancel the edit operation before saving, click **Cancel**. The system aborts the action navigates you to the Case Context and Case Details section.

Note: You can change the Status field only if you first change the case type.

Correlation Tab

If your firm has implemented Oracle Financial Services Behavior Detection Platform then you may see a Correlation tab. The Correlation tab and its contents are only applicable if your firm is working with Oracle Financial Services Behavior Detection Platform alerts and has elected to utilize the alert correlation functionality. A Correlation is defined of a group of alerts, which are associated to one another based upon matching a set of criteria as defined by a correlation rule. Refer to Chapter 1, *Correlation*, on page 5, of the *Oracle Financial Services Alert Management User Guide*, for more information on correlation.

Correlations can be promoted automatically to a case. When that happens, the correlation is referred to as the *Source Correlation* of the case and alerts, which are members of that correlation, become the alerts linked to the case. The Correlations tab provides information regarding the source correlation and the business associations of the alerts linked to the current case. You can view the Source Correlation that resulted in the automatic creation of the case, if applicable. In addition, the Correlation tab provide a complete listing of the business entities correlated with the alerts linked to the case, regardless of whether or not those entities become part of a correlation (Figure 19).

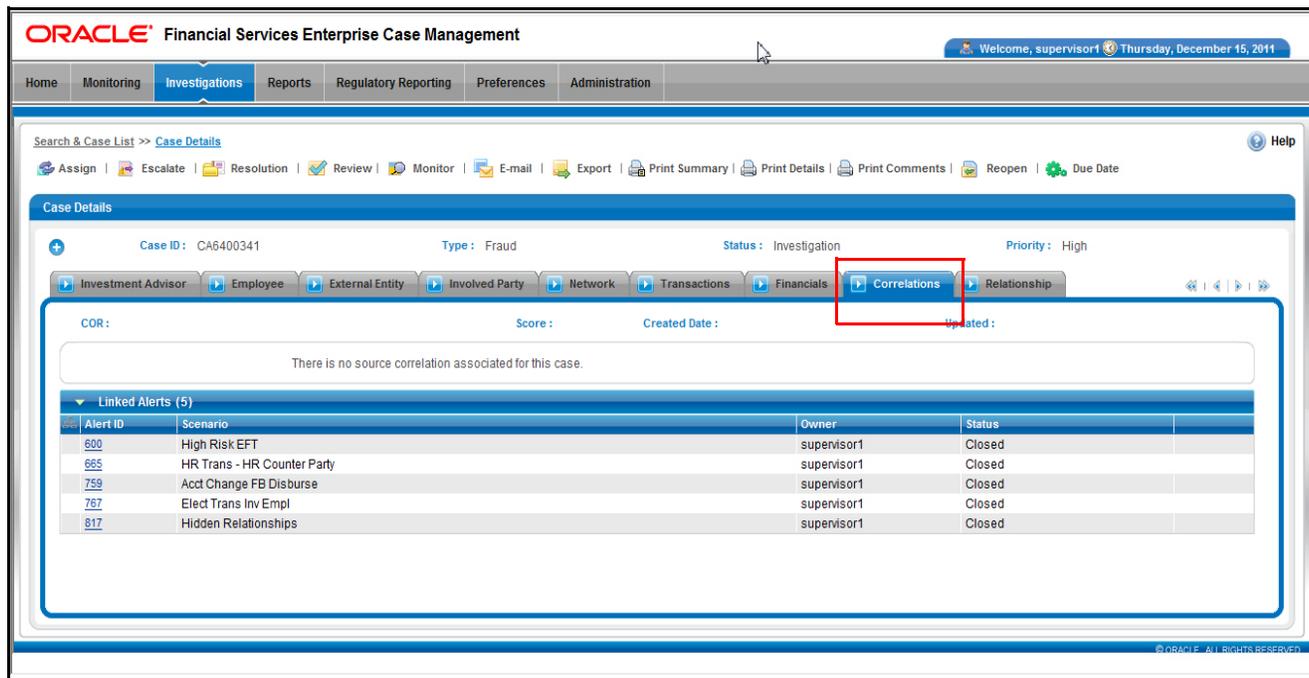


Figure 19. Correlation Tab

Components of the Correlation Tab

The Correlation tab contains the following:

- Source Correlation
- Linked Alerts
- Business Data Correlation

Source Correlation

The Source Correlation area displays the correlation that is the source of this case creation. It displays all the alerts that were correlated and promoted to this case.

The Source Correlation section displays only when the case was created due to promotion of alerts. If the case is manually created or by the user initiated Oracle Financial Services Behavior Detection Platform action of Promote to Case, the Source Correlation matrix is collapsed and do not possess any correlation information. The Source Correlation has an **Excel** icon, which on click, exports the source correlation to MS Excel.

By default, the section includes up to ten of the correlation members. If more than 10 alert-to-alert associations are part of the source correlation, you can view others by using the pagination option provided on the Source Correlation matrix.

The source correlation displays the correlations in chronologically ascending order by correlation date and then by Review ID, subject to access controls.

Note: If your role permits access to the alert then the section displays **Alert ID** fields as hyperlinks and upon clicking the same, navigates you to the Alert Details page.

The IDs in Associated Through matrix do not display as hyperlink. For a case promoted from a correlation, if all alerts that were a member of that correlation are purged, the Source Correlation shows an empty grid with header information to let the user know the case that came from a promoted correlation even though alerts are purged. The source correlation displays even if all the correlated alerts are unlinked from the case and are not currently part of the case. Refer to the *Oracle Financial Services Alert Management User Guide*, for more information on the content of the source correlation matrix

Linked Alerts

This section displays all linked alerts currently associated with the case. That is, alerts, which are promoted to the case through the Promote to Case action, promotion of a correlation, and alerts manually linked to the case after its creation.

Note: If your role permits access to the alert then the section displays Alert ID fields as hyperlinks and upon clicking the same, displays the Alert Details popup.

If there are alerts, which are unlinked, then those alerts do not display in the section. The Alert IDs in the linked alerts grid displays as hyper links only if all the security attributes of the alerts matches with the user's access control for alerts. On clicking the **Alert ID** hyperlink, you can navigate to respective Alerts Details tab.

On clicking anywhere in the record from the Linked Alert matrix, the Business Data Correlation section displays, which corresponds to the selected alert. If there are no linked alerts available for the case, a message displays: No Data Found.

Business Data Correlation

You can view the Business Data Correlation, by clicking on any alert in the Linked Alerts matrix. The Business Data Correlation section displays the business data correlated to the selected alert.

The Business Data Correlation matrix displays a distinct list of business entities to which the currently selected linked alert is associated. In addition, it displays the total number of distinct alerts to which each displayed business entity is correlated. These correlated business entities display in alphanumeric ascending order based upon the Entity field.

By default, the section includes up to ten of the most recent correlated business entities. If the selected linked alerts does not have an associated correlated business entities, then a message displays:

There are no business entities correlated for the selected alert.

The system will not filter the count based upon the Access Control rules.

Table 13 describes the fields to be displayed in Business Data Correlation.

Table 13. Fields for Business Data Correlation

Field	Description
Entity	Displays the concatenated value of the business entity type code and the business entity identifier.
Relationship	Displays a translated data path name for each business entity to alert correlation.
Total # of Correlated Alerts	Displays the total count, including the current alert, of distinct alerts to which the business entity is correlated.

Relationship Tab

The Relationship tab provides information regarding other cases that are related to the current case being investigated. The page enables you to view the list of cases related to the current case through relationships to entities involved in other cases or by virtue of another case being linked to the current case. If your role permits, you can link, unlink, or add more links in the related cases section.

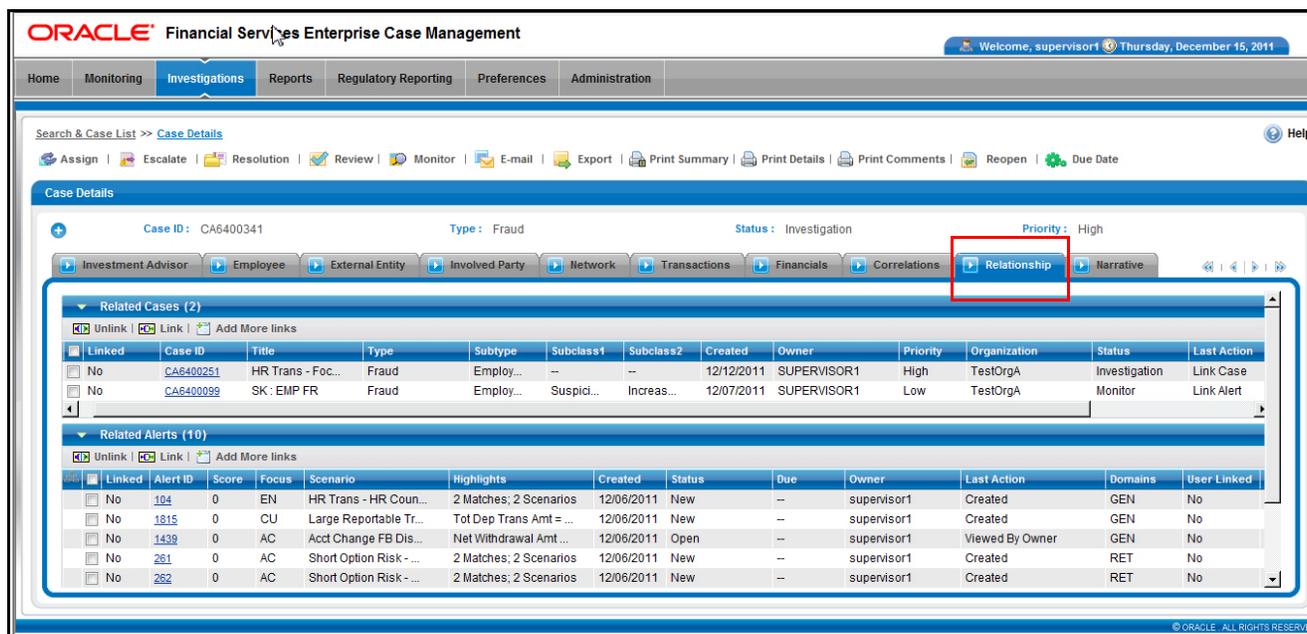


Figure 20. Relationship Tab

If your firm implements Oracle Financial Services Behavior Detection Platform, the Relationship tab display alerts related to the current case. Alerts can be related to the current case either through a common business entity association or by virtue of the alert being linked to the current case. If your role permits, you can link, unlink, or add more links in the related alerts section.

Components of Relationship Tab

The Relationships tab contains the following components:

- **Related Alerts:** Applicable only if your firm has implemented Oracle Financial Services Behavior Detection Platform
- **Related Cases**

Related Alerts

The following section on Related Alerts is *only* applicable if your firm has implemented Oracle Financial Services Behavior Detection. Refer to *Oracle Financial Services Alert Management User Guide*, for more information on alerts and alert management. The Related Alerts matrix displays all those alerts that are related through common business entities and alerts which are manually linked to the current case by the user. If the number of alerts exceeds the default for the display, you can use the pagination for the display option in the Related Alerts matrix to view additional records. The following example explains the logic used to identify common business entities.

For Case A, all alerts which are focused on the same business entity ID as that of Case A are considered as related alerts. In other words, if an alert and a case are focused on the same customer ID or account ID or any other business entity ID applicable in Oracle Financial Services Enterprise Case Management module, then they are considered as related.

Linked	Alert ID	Score	Focus	Scenario	Highlights	Created	Status	Due	Owner	Last Action	Domains
<input type="checkbox"/> Yes	13258	0	CU	Hidden Relationships	2 Matches; 1 Scenarios	02/19/2010	Closed	--	RichAnubhav	Promoted to Case	GEN

Figure 21. Related Alerts Page

The Related Alerts section User Linked column visually distinguishes alerts that have been manually linked to the current case from those that are related to the current case through common business entities. The User Linked column displays *Yes* when the linking of the alert to the case was performed by a user taking a link action, *No* when the action to link the alert is performed by the system (as part of alert promotion and correlation promotion to a case). The Related Alerts Linked column has a value *Yes* if the alert is related by virtue of being linked, *No* when the alert is considered related but not linked.

Related alerts displays in the grid only if you have access permission to the security attributes of the alert. If you have access to view the related alerts, the section displays an **Alert ID** as a hyper link. Upon clicking the **Alert ID** hyperlink, the page navigates you to Alert Details page.

The Related Alerts section has the following buttons:

- **Unlink:** An option to unlink related alert(s), which are already linked to the current case
- **Link:** An option to link related alert(s), which are not yet linked to the current case
- **Add More Links:** An option to search for any alert record by alert ID for the purpose of adding additional alert links to the current case.

Note: Linking and Unlinking activities of alerts and cases depends on the user roles.

Note: The action buttons (**Unlink**, **Link**, and **Add More Links**) are only visible for cases, which are in non-closed status.

Related Cases

Displays cases that are related to the current case through common business entities and cases, which have been manually linked to the current case by a user. If the number of cases exceeds the default for display, you can use the pagination option in the Related Cases matrix to view additional records. The following example explains the logic used to identify common business entities.

For Case A, all cases that have same business entity ID(s) as that of Case A are considered as related cases. For example, if two cases possess the same customer IDs or account IDs or other business entity IDs applicable in Oracle Financial Services

Enterprise Case Management then they are considered as related. Only those cases to which the user has access permission based on security attributes displays in the grid.



Linked	Case ID	Title	Type	Subtype	Subclass1	Subclass2	Created	Owner	Priority	Organization	Status
<input type="checkbox"/> Yes	CA1243	AHR Trans - H...	Fraud	Enhanc...	--	--	05/31/2010	CaseAnalyst1	High	TestOrgB	Recommend Cl...

Figure 22. Related Cases Page

The Related Cases section visually distinguishes cases that have been manually linked to the current case from those that are related to the current case through common business entities. The Related Cases User Linked column displays *Yes* when a user taking a Link action performs the linking of the case to the current case, *No* when the system link the case (as part of alert promotion and correlation promotion to a case).

The Related Cases Linked column displays *Yes* if the case is related as a result of being linked, *No* when the case is considered related to the current case by a business association but has not been linked to the current case.

If you have access to view the linked case, the section displays **Case ID** as a hyper link. Upon clicking the **Case ID** hyper link, the page navigates you to the Case Details tab.

The related cases matrix has the following buttons:

- **Unlink:** An option to unlink related case(s), which are already linked to the current case
- **Link:** An option to Link related cases, which are not yet linked to the current case
- **Add More Links:** An option to search for any case a record by Case ID for the purpose of adding additional case links to the current case

Managing Links

You can manage the alert links associated to a case by performing the following actions in the Related Alerts section:

- Select one or more related (but not yet linked) alerts and click the **Link** button to link the alerts to the current case.
- Select one or more linked alerts and click the **Unlink** button to unlink the alerts from the current case

Note: If the alert was only considered related based upon the link action, the Related Alerts section will refresh and the unlinked alert will no longer appear.

- Link additional alerts to the case by using the **Add More Links** button to search for alerts by ID and link to the case.

You can manage the case links associated to a case by performing the following actions in the Related Cases section:

- Select one or more related (but not yet linked) cases and click the **Link** button to link the cases to the current case.

- Select one or more linked cases and click the **Unlink** button to unlink the cases from the current case

Note: If the case was only considered related based upon the link action, the Related Cases section will refresh and the unlinked case will no longer appear.

- Link additional cases to the case by using the **Add More Links** button to search for case by ID and link to the case.

The Link and Unlink actions require you to select the alert or case to be linked or unlinked with the help of a check box and click the **Link/Unlink** button, respectively.

When you click the **Link/Unlink** button, the Add Comment pop up displays, which provides a free-text comment area where you can add comments while adding or deleting links to the alerts or cases. Comments are mandatory for performing any of the above actions. If you click on save, without entering the comments, a dialog message box displays telling you to enter comments.

When using the **Add More Links** button, Oracle Financial Services Enterprise Case Management validates all searched for and returned Alert and Case IDs (for user rights and access privileges) before linking the alerts/cases and confirms the successful linkage actions.

Note: For link or unlink actions, involving the linking or unlinking of alerts from a case, the case must be in a non-closed status.

When you link an alert to a case using the **Link** or **Add More Links** button in the Related Cases matrix, you can add comments for the Link action and also select Transfer Alert Information to be passed on to the case. Refer to Chapter 9, *Promoting Alerts to Cases*, on page 181, of *Oracle Financial Services Alert Management User Guide*, for more details about the modes for transfer of alert information.

You can select one or more types of alert information to be transferred, provide comments, and click on save. All the selected alerts are linked to the case and data of all the selected data types associated with the alert is transferred to the case. You can view the alert information in the respective Enterprise Case Management tabs.

When the transfer alert information is in synchronous mode, the system will process data transfer while you wait and is unavailable for additional actions until the transfer is completed. The system displays messages for Successful and Unsuccessful data transfer. When data transfer is successful, the message displays: Selected alerts and cases were linked and requested transfer of alert information is also completed.

When data transfer is unsuccessful, the message displays: Selected alerts and cases were linked. But an error occurred during the requested transfer of alert information to the case. The case may reflect incomplete business information. Once data transfer is complete, whether successful or unsuccessful, you will be able to continue working.

When the transfer alert information is in asynchronous mode, the system will process the data transfer in the background, allowing you to continue to work. Notification of failure of the data transfer is made through the Notifications section on your Home page.

- If you do not make a selection of at least one data type of information to be transferred, the system will default to transferring all possible alert data during the link (that is, not making a selection is equivalent to selecting all).
- The data transferred to the case is the data available as of the date of link action.
- The alert information that is already associated with the case as a result of previous promotion or link actions will not be transferred again during the current link action.

Note: During Unlink action when one or more alerts are unlinked from the case, the alert information which is transferred during link action shall not be removed by the system. If required you can manually remove the alert information from the appropriate tabs through the Remove action.

Linking, Merging, and Closing Case as Duplicate

The Oracle Financial Services Enterprise Case Management provides user the ability to link case to one another, merge case to one another, and close cases as duplicate for the related cases. You can perform any of the case link actions by selecting multiple cases and choosing the appropriate Case Link action, that is, Link, Link and Merge, and Close as Duplicate.

If the current case is closed, the Link-Merge action is not allowed. Similarly, if all the selected cases are closed, Close as Dup action is not allowed.

During Case to Case linking/unlinking, there is no restrictions on the status of the case. The current case and the case to be linked may be in a closed status.

If you select Link action, the selected cases are linked to the current case and the pop-up window gets closed. The system records the action as Link Case for the current case and the selected related cases in the audit history with the case ID appended in the comments section in the Audit tab. This action does not change in the status of the cases.

If you select Merge action, the selected related cases are merged to the current case, and the information is transferred. The system records the action as Merged Case Linked for the current case and Merged Case for the merged cases. The status of the merged case changes to Closed-Merged, if the present status is not Closed, else the status remains as Closed. This action does not change in the status of the current case.

If you select Close-Dup action, the system enables **Transfer Case information** drop-down list having only two values: Financial and Narrative. You can select one or both from the drop-down list for which the information is to be transferred. The selected cases are closed as duplicates of the current case. Once you confirms the action, the system records the action as Dup Case Linked for the current case and Closed Duplicate for the selected cases in the Audit history. This action does not have any change in the status of the current case, but changes the status of the selected cases to Closed-Dup.

Narrative Tab

If your role permits, the Narrative tab allows you to capture any narrative surrounding the analysis of a case that has helped you decide how to dispose of the case. The

narrative exists as a single data element on a case, which allows you to add and to maintain that narrative (Figure 23).

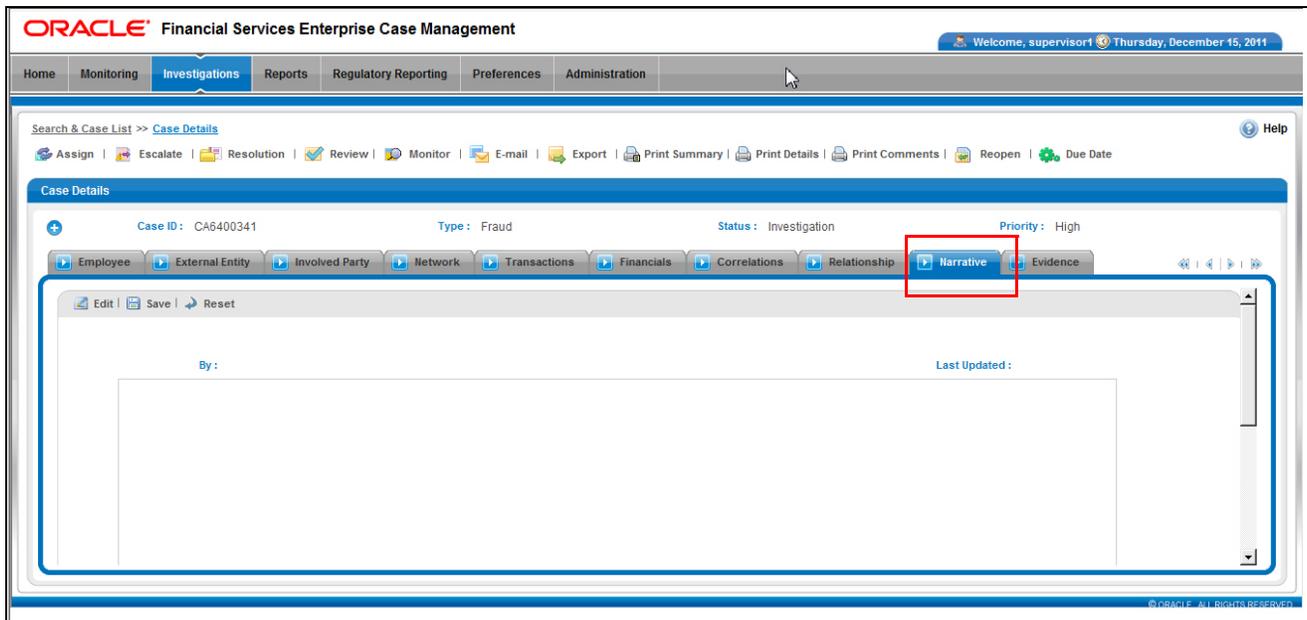


Figure 23. Narrative Tab

Components of the Narrative Tab

The Narrative area includes the following components:

- **Narrative** entry box: Provides a large free text entry area in which you can optionally enter, save, and modify textual analyses of a particular case. By default, the entry box is blank if previous narrative has not been added or if no alert narratives were imported to the case during promotion of alerts to the case (applicable only if your firm has implemented Oracle Financial Services Behavior Detection). This area accepts up to 34 lines of text before requiring vertical scrolling.
- **Last Updated** field: Displays the latest date and time when the Narrative entry box was modified.
- **By** field: Displays the identity of the user who entered or modified the text in the Narrative entry box.
- **Edit** button: Allows you to edit the text in the Narrative entry box. If the entry box is blank, this button is grayed out until text is entered and saved. Only when the **Edit** button is selected, the text in the entry box become editable.
- **Save** button: When clicked, any modifications in the entry box are saved and the **Save** button becomes grayed out.
- **Reset** button: When clicked, reverts any modification in text to the previously saved version.

Working with Narrative Tab

You can perform the following tasks when working with the Narrative tab:

- Creating a Narrative

- Editing a Narrative
- Deleting a Narrative

Creating a Narrative

To create a narrative, follow these steps:

1. Select case for which you want to create a narrative from the Case List
The Case Details tab displays for that case.
2. Select the Narrative tab that appears below the case context.
The Narrative tab displays blank for the selected case.
3. Click **Edit**.
4. Enter your analysis in the text box.
5. Click **Save**.

The system saves your changes, adds the current date to the Last Updated field and, adds your name to the By field in the Narrative matrix header.

Editing a Narrative

To edit the narrative, follow these steps:

1. From the Case List, select the case for which you want to change or add to the existing narrative.
The Case Details tab displays for that case.
2. Select the Narrative tab that appears below the case context.
3. Click **Edit**.
4. Make your changes or additions to the existing text.
5. Click **Save**.

The system saves your changes, adds the current date to the Last Updated field, and adds your name to the By field.

Deleting a Narrative

You can accomplish deleting a narrative by simply deleting the text from the narrative matrix using your standard keyboard options of backspace or select text and delete. You can only delete a narrative when you have selected to edit the narrative.

Evidence Tab

If your role permits, the Evidence tab allows you to add comments or attachments to the case under investigation.

The Evidence tab displays the comments and attachments previously added to the case. The Evidence tab displays the comments added through the Evidence tab, the Case List, and all the attachments associated with the case that have been added through Evidence tab and through specific case actions.

The Comments matrix includes the creation date and time of the comment action, the user who took the action, case status at the time of the comment, and the comments added fields.

The Attachment matrix allows you to view the attachments added to the case either through the Evidence tab or added as a part of any actions taken on the case during investigation. It includes the creation date and time of the case action associated with the attachment of the file to the case, the user who took the action, case status at the time of the action or resulting from the action, any comments associated with the action, attachment name, and the Attachment icon fields.

You can add comments (both free text and standard comments) to the case. Refer to Chapter 6, *Adding Comments to a Case*, on page 110, for details on how to add a comment to the case.

You can also add and remove attachments during the investigation of a case. Refer to Chapter 6, *Adding and Removing Attachments*, on page 111, for details on how to add and remove an attachment from a case.

Refer to the section *Audit Tab*, on page 65, for more information on the behavior of Attachment icon and the Comments column.

Audit Tab

The Audit tab allows you to view the actions previously performed on the current case under investigation. It includes the creation date and time of the case action, the action, owner, the user who took the action, case status, any comments associated with the action, attachment name, and the **Attachment** icon fields.

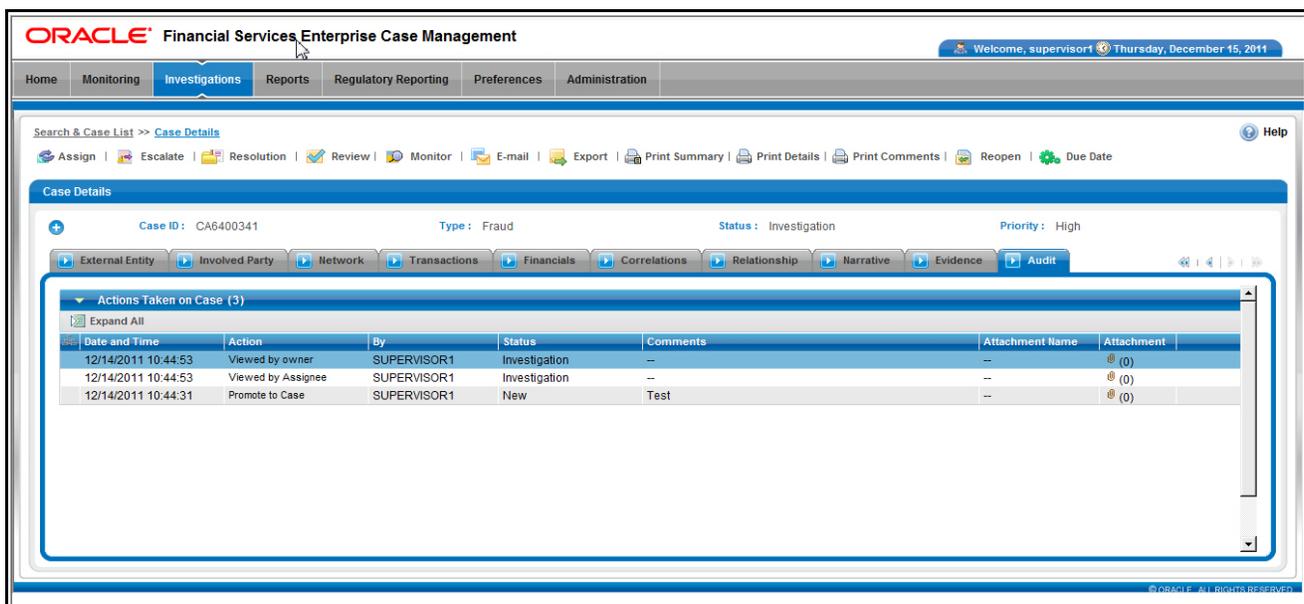


Figure 24. Audit Tab

The **Attachment** icon displays for actions with an attachment. In order to view attachments, you can click the icon. Clicking the **Attachment** icon opens the Attachment List pop-up with a list of attachments available for viewing.

In the Comments column for all comments, which exceed the width of the column, you can click the **Expand** button to view the full text of the comment.

When both standard comments (comments selected from a pre-set list of comments) and free text comments are provided along with an action, the free text comments will appear appended with the selected standard comments.

For all Link and Unlink actions, the Audit tab displays the linked alert (contingent on implementation of Oracle Financial Services Behavior Detection), and case IDs appended with the comments provided by the user as part of the Link or Unlink action.

Involved Party Tab

The Involved Party tab displays detailed information for parties that have been linked to the current case, and provides options for linking additional parties to the case, or creating new involved parties (Figure 25).

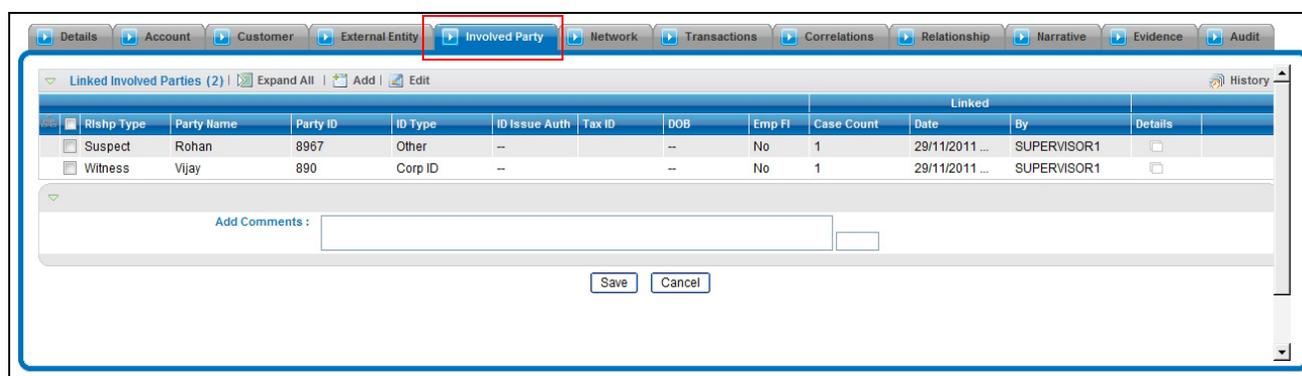


Figure 25. Involved Party Tab

To view the Involved Party tab, follow these steps:

1. Log into Oracle Financial Services.
2. Select the **Investigation** tab from the Masthead.
3. Search for the case that you wish to view.
4. In the Case List section, double-click on a case.
The Case Details page opens.
5. From the Case Details page, Click the Involved Party tab (Figure 25).

The Involved Party tab displays.

The Involved Party tab contains the following section:

- Linked Involved Parties
- Add Comments

Note: Refer to the *Oracle Financial Services Enterprise Case Management User Guide*, for more information regarding the Case Context and Add Comment sections.

Linked Involved Parties

The Linked Involved Parties section lists and describes involved parties that are currently linked to this case. The Linked Involved Parties section provides detailed information regarding parties that have been linked to the case and identifies the

nature of the relationship the party has with the case. Parties are considered to be involved with a case either as a Suspect, Victim, or Witness. If the relationship cannot be categorized as one of these types, then it can be categorized as Other.

Relationship Type Drop-down List

The **Rlshp Type** column in the Linked Involved Parties section is a drop-down list that allows you to set the relationship of the involved party to the case. You can also unlink an involved party if your investigation determines they are not connected to the case.

The following options are found in the drop-down list:

- Suspect
- Victim
- Witness
- Other
- Unlink

Selecting **Unlink** and then clicking **Save** removes the involved party from this case. To modify an involved party's current relationship with the case, select another relationship type from the drop-down list and click **Save**.

Add Involved Parties Link

Clicking the **Add** link in the Linked Involved Parties section opens the Involved Parties Search filters. From the search filters, you can either search for an existing involved party to be linked to this case or add a new involved party. To add a new Involved Party, click the **Add New Involved Party** link. The Add Involved Party pop-up displays where you can create a new party profile, which can then be linked to a case (Figure 26).

Figure 26. Add Involved Party Pop-up

Searching for Existing Involved Parties

The Search Involved Party section allows you to search for an involved party profile in the list of available parties. You can link the party, which you select to the current case. If you cannot find the party you are searching for, then you may create a new involved party.

Figure 27. Involved Party Search Filters

To search for an existing involved party to link to this case, follow these steps:

1. Click the **Add** link to open the Search Involved Party filter section.
2. Enter the search criteria.

You may use wildcard characters for all text fields. Oracle Financial Services recognizes the percent sign (%) as a wildcard character.

Note: If you enter a wildcard character in a text field, then you must enter at least two non-space characters with it. If the wildcard character is found with fewer than two non-space characters, then the application displays the message Please type at least two characters with the wildcard character (%).

3. Click **Go**.

The search results appear in the Involved Party List section (Figure 28).

Rlshp Type	Party Name	Party ID	ID Type	ID Issue Auth	Tax ID	DOB	Emp FI	Case Count	Date	By	Details
<input checked="" type="checkbox"/> Suspect	Rohan	8967	Other	--	--	--	No	1	29/11/2011 ...	SUPERVISOR1	
<input type="checkbox"/> Witness	Vijay	890	Corp ID	--	--	--	No	1	29/11/2011 ...	SUPERVISOR1	

Figure 28. Involved Party List Section

4. Select the relationship of the involved party you wish to link using the Select **Rlshp Type** drop-down list.

Optional: Add comments.

5. Click **Save**.

A confirmation pop-up reminds you to save your changes. The Involved Party List closes and the new involved party displays in the Linked Involved Parties section of the Involved Parties tab.

6. Click **Save** from the **Involved Party** tab.

Adding a New Involved Party

Select the **Add New Involved Party** link to create a new involved party profile. This newly created party can then be linked to the current case and assigned a relationship type, or linked to other cases as needed.

Figure 29. Add Involved Party Pop-up

To add a new involved party, follow these steps:

1. From the **Involved Party** tab, click the **Add** link to open the Search Involved Party section.
2. From the Search Involved Party section, click **Add New Involved Party**. The Add Involved Party pop-up displays.
3. Enter any information pertaining to the involved party. You must enter mandatory fields—First Name, Party ID, ID Type, and Rlshp to Case in order to create a new involved party.
4. Click **Save**.

The new involved party profile adds to the list of involved parties in the Financial Services Data Model (FSDM). At this point, the newly created party has only been added to the FSDM as a potential involved party. It is not linked to the current case.

A confirmation pop-up verifies that you are adding the involved party (Figure 30).



Figure 30. Add New Involved Party Confirmation Pop-up

5. Click **OK**.

The new involved party displays in the Linked Involved Parties section on the Involved Party tab.

6. Set the relationship for the involved party using the **Relationship Type** drop-down list.
7. Click **Save** to link the newly added involved party to this case with the selected relationship type.

Note: The Involved Party Details pop-up remains open to allow you to add multiple parties. Click the **Close** button to close.

History Link

Clicking the **History** link in the Linked Involved Parties section opens the Involved Party History section (Figure 31). The section provides information regarding the edit history to the involved party profile and the history of parties linked to the current case. The **History** link is also available from the Involved Parties list that appears when viewing search results.



Figure 31. Involved Party History Section

The Involved Party History section contains the following components:

- **Involved Party History:** Lists any changes that have been made to the involved party’s profile, such as, name or address change. Records that have been modified display as Inactive and original values. The modified and current version of the record display as Active.
- **Case Involved Party Link History:** Lists any changes that have been made to the involved party’s relationship to the case. Records that have been modified displays as Inactive and original values. The modified and current version of the record display as Active.
- **Involved Party Linked Cases:** Lists all cases to which the involved party is linked. You can view these cases by selecting the Case ID, which opens up in a new window, displaying the Case Details tab for the selected case.

Note: You can view Case Details only for cases which your access control permits you to view.

Edit Link

Clicking the **Edit** link in the Linked Involved Parties section on the Involved Parties tab opens the Edit Involved Party pop-up (Figure 32). The Edit Involved Party pop-up allows you to add or change information pertaining to the involved party.

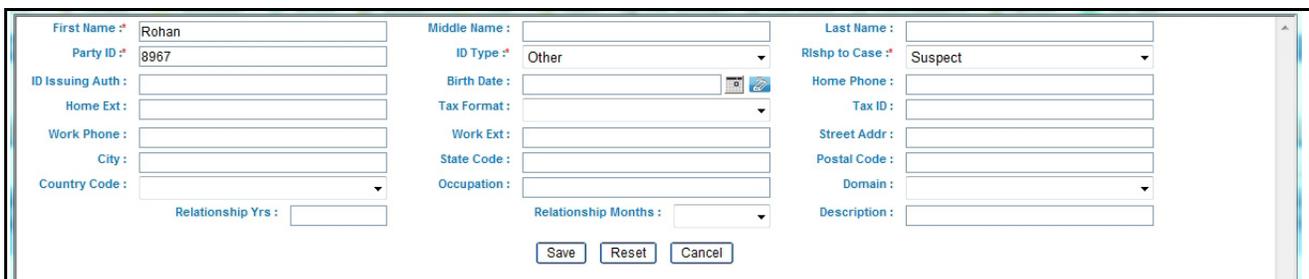


Figure 32. Edit Involved Party Pop-up

Enter the information you wish to add or change in the involved party's profile on this pop-up. To update the record with your changes, click **Save**. A confirmation pop-up appears asking if you want to modify this party or add a new involved party.

When editing an involved party that is linked to multiple cases, you must determine whether you want to modify the existing party or create a new involved party that is linked to the current case. Modifying an existing party updates the party's profile, which will be reflected in any cases the party is linked to.

Selecting **OK** saves your changes to the involved party's profile. Selecting **Cancel** creates a new party that is linked to the current case.

Detail Link

Clicking the **Detail** link in the Linked Involved Parties section on the Involved Party tab opens the Involved Party Details pop-up (Figure 33). The Involved Party Details pop-up allows you to display information pertaining to the involved party.



Figure 33. Involved Party Details Pop-up

Add Comments

The Add Comments section enables you to enter the supporting information for the involved parties that are currently linked to this case. The Add Comments section provides text area where you can enter information up to 10000 characters long.

Business Tabs

Business tabs help the investigator in categorizing large amounts of supporting data into smaller tabs of data, organized by data type (for example, account information, customer information, and so forth) to aid in the analysis of a case. Refer to Chapter 5, *Navigating Tabs*, on page 51, for information about the tab types, tab contents, and related actions.

The first section for all Business tabs displays the list of business entities matrix. This matrix lists the business entities that are associated with the current case. Business entities can be associated with a case in one of three ways. They can be manually added to the case using the Add feature available on most business tabs. They can be associated with a case based on their association with one or more alerts that were promoted from the Alert Management user interface and used to form the basis for the current case. Or, they can be associated with a case based on their association with one or more alerts that are linked to the current case at some point after the case's creation. The latter two methods are applicable only if your firm has implemented Oracle Financial Services Behavior Detection.

Examples of how business data is associated to a case based on an alert linked either through promotion or through linking to an existing case include such situations as follows: if a Customer-focused linked alert involved five distinct accounts, the Account business tab business entities matrix will display those five accounts. And the Customer tab will display information about the alert's focal customer.

By default, the business entities matrix displays five records.

Table 14. BusinessTabs display

Tabs to Display	Case Types/Subtypes	When based on alert	When not based on alert
Account	All Money Laundering and Fraud	All focal types	Yes
Customer	All Money Laundering and Fraud	All focal types	Yes
Household	All Money Laundering and Fraud	All focal types except Correspondent Bank, External Entity, and Employee	Yes
External Entity	All Money Laundering and Fraud	All focal types	Yes
Correspondent Bank	All AML	Correspondent Bank focal type only	Yes
Employee	Fraud /Employee Fraud	Employee, Household, Customer, Account focal type only	Yes

Table 14. BusinessTabs display (Continued)

Tabs to Display	Case Types/Subtypes	When based on alert	When not based on alert
Investment Advisor	All Money Laundering and Fraud	For Customer, Household, Account only	Yes
Transactions	All Money Laundering and Fraud	All focal types	Yes
Network	All Money Laundering and Fraud	All focal types	Yes
Financials	All Fraud	All focal types	Yes

In the Business tabs, for each business entity, you can perform the Add, Edit, and Remove actions:

You can modify the business data as part of case investigations. In addition, you can add new business data to the case and remove existing data from the case. The system captures and records all actions (Add, Edit, and Remove) to business data taken on the case.

When creating a case in Oracle Financial Services Enterprise Case Management, you can add relevant business data at the time of case creation. If your firm has implemented Oracle Financial Services Behavior Detection, business data associated with alerts promoted to cases are categorized and displayed on the business tabs. This data is imported from Oracle Financial Services Alert Management during promotion of alerts to cases. All business data associated with the linked alerts of the cases are associated directly with the case in the Oracle Financial Services Enterprise Case Management. Refer to *Oracle Financial Services Alert Management User Guide*, for more information on promotion of alerts to cases.

The adding of a new business data should be done on the business tab associated with the type of data being added. For example, new accounts can only be added when on the Account tab, new Customers can only be added when on the Customer tab.

You can perform View Current Information and Designate as Involved Party of the business entity. To view the current information of the business entity, select the check box next to a business entity and click **View Current Information**. When clicked, the page retrieves the current business information about the entity and portrays the business tab associated with that entity in a separate window, using the default format of that business tab.

Similarly, to designate involved party of the business entity, select the check box next to a business entity and click **Designate as Involved Party**. When clicked, the page retrieves the current business information about the entity and portrays the business tab associated with that entity in a separate window, using the default format of that business tab.

For the Transactions tab, you can display the comparative view of all transactions using the Display Comparative View functionality. The **Display Comparative View** link, when clicked, display a pop-up that contains all transaction type matrices for which

there is data in the order of Funds Transfer, MI Transaction, Cash Transaction, and Back Office Transaction. Each transaction type matrix contains the distinct set of transactions across all linked alerts and manually added transactions to a case.

You can perform Search Existing Entities and Add Entity Manually actions on the business tabs. When you enter the search criteria for an entity, the search results appears as a list of matrix having the **Add to the Case** button.

If you select one or more business entities displayed in the search results, such that some are already present in the case, and click the **Add to the Case** button, the entities that are not already present in the case are added.

Modifying Business Tab Data

If you are a Case Analyst I, II, or Case Supervisor, Oracle Financial Services Enterprise Case Management enables you to perform Add, Edit and Remove actions on business data associated with the case. Not all tabs support editing of business data. Currently Account, Customer, Employee, Household, External Entity, and Correspondent Bank tabs support the addition, modification, or removal of data. Refer to Appendix B, *Business Tabs*, on page 175, for tables describing their editable fields.

Adding New Business Data

To add a new entity on a business tab, follow these steps:

1. From the Case Search & List page, select the case, navigate to the Case Details tab, and navigate to the applicable business tab.
2. In the list of business entities matrix, click the **Add** icon.

A pop-up window opens with all the fields of the list in editable format. All fields that need a mandatory input are suffixed with an asterisk '*'.

3. Enter data into the fields of the pop-up window. Be sure to enter data for all mandatory fields.
4. Click **Save**.
5. Click **OK**.

Oracle Financial Services Enterprise Case Management saves the new data and associate it to the current case. The pop-up remains displayed without closing; allowing you to add more entities until you click the **Cancel** button. If you want to add more data to the case for the selected tab, repeat steps #3 to #5.

6. Click **Cancel**.
7. The pop-up closes and navigates to the refreshed list of business entities matrix, and the newly added data displays.
8. Corresponding audit entries are recorded on the case.
9. While adding data in the pop-up fields and before saving them, clicking the **Reset** icon clears all the fields to blank.

Modifying Existing Business Data

To modify existing data in a business tab, follow these steps:

1. From the Case Search & List page, select the case, navigate to the Case Details tab, and then navigate to the applicable business tab.
2. In the list of business entities matrix, select the check box against the data that needs to be edited.

Note: You can edit only one record at a time.

3. Click the **Edit** icon.

A pop-up window opens with all the fields of the list. Only those fields that you can modify are in edit mode. The rest of the fields remains non-editable. All fields that need a mandatory input are suffixed with an asterisk '*'.

4. Modify the existing data as desired in the editable fields.
5. Click **Save**.
6. Click **OK**.
7. Oracle Financial Services Enterprise Case Management saves the modifications. The pop-up window closes and navigates to the refreshed list of business entities matrix. The modified information displays for the edited record.
8. Corresponding audit entries are recorded on the case.
9. While modifying data in the pop-up fields and before saving them, clicking the **Reset** icon resets all the fields to their previous values.

Removing Business Data

When business data is removed from the case using the **Remove** button, the removed data and any supplemental data associated with that business entity are removed from all the supplemental matrices. For example, removing an Account from a case will remove that account's account balance information, account summary information, and so forth.

To remove existing business data, follow these steps:

1. From the Case Search & List page, select the case, navigate to the Case Details tab, and then to the applicable business tab.
2. In the list of business entities matrix, select the check box against all business records that need to be deleted.

3. Click the **Remove** icon.

A confirmation message displays: You have selected to remove this record. Click **OK** to continue and save changes.

4. Click **OK**.
5. Oracle Financial Services Enterprise Case Management deletes the selected record(s) from the case. The list of business entities matrix refreshes and all deleted records are removed from the list.
6. Corresponding audit entries are recorded for the case.

At any point of time, if you do not want to perform the selected action, click **Cancel** on the pop-up or on the pre-save confirmation message and to abort the action.

Adding, editing, and removing a record from a case does not affect that record as it exists on other cases.

It is also possible to Add/Edit/Remove information in supplemental matrices that display additional information. This information is specific to a business entity selected in the primary matrix list on the business tab. This supplemental information displays upon selection of an entity in the primary matrix list and then selection of the L.H.S. menu options.

Business Tab Supplemental Details

On selection of an entity in the list of business entities matrix, supplemental information specific to the current tab displays. Depending on the availability of data for the selected entity, these sections may or may not contain additional information. Where data is not available, each section displays a No Data Found message upon click of the entity or Left Hand Side (L.H.S) menu option. Some of this supplemental information would be specific to cases, which are originated in Oracle Financial Services Behavior Detection. If your firm has not implemented Oracle Financial Services Behavior Detection then some of the non-editable supplemental details sections will never display information.

Account Tab Supplemental Details

On selection of an account in the list of business entities matrix, the following sections display.

Details Section

Displays the detailed information of the account along with the associated restrictions.

- **Account Details:** Displays on selection of an account in the list of business entities account matrix. The section displays details of the selected account along with the phone numbers and e-mails associated with the account. You can edit Account details using the **Edit** button from the list of business entities matrix. In addition, you can add/modify/delete E-mail addresses and Phone Numbers by clicking the images appearing against their corresponding labels.
- **Account Restriction:** Displays the list of restrictions applied on the selected account. You can include new restrictions and can modify or remove the existing restrictions.

Managers and Advisors

Displays the list of employees and investment advisors who manages the selected account.

- **Account Management:** Displays the list of employees who are involved in managing the selected account along with the roles they play. Additional account managers can be associated to the account and currently associated account managers can be modified for the role they play. While associating a new account manager to the account for the current case, only those managers who are part of the case and are available in the Employee tab of the case can be associated. If the account managers to be associated to the account are not associated with the case then they should first be added to the case through Add action in the list of business entities matrix of the Employee tab.
- **Investment Advisor:** Displays the list of investment advisors associated with the selected account. You cannot modify the details of investment advisors.

Risk Information

Displays risk information associated with the selected account.

- **Risk Information:** Displays the value of various risks associated with the selected account. You can manually add the values of the risks while adding new business record and modify the existing risk values of a business entity.
- **Risk List Memberships:** Displays the watch lists associated with the selected account. The account can be associated with additional watch list or can be removed from existing watch list associations.

<i>Addresses</i>	The Addresses section displays the list of addresses associated with the selected account. You can add new addresses, and modify or remove the existing addresses.
<i>Balance</i>	The Balance section displays the balance and holdings available on the selected account as on the date of case creation.
<i>Summary</i>	The Summary section displays a summary of an account's transactional activity on a monthly basis for the five months previous to the date of last transaction performed from the selected account. If you click the Show Full Details button in the summary section, the summary for the last 13 months display in a pop-up window.
<i>Peer Groups</i>	<p>The Peer Groups section displays a summary of transactional activity for the peer groups associated with the selected account. Summaries are displayed on a monthly basis for the five months previous to the date of last transaction performed from the selected account. If you click the Show Full Details button on the summary section, the summary for the last 13 months displays in a pop-up window.</p> <p>Note: You cannot add, modify, or remove the Balance, Summary, and Peer Group information of the account. The information is specific to cases originating from Oracle Financial Services Behavior Detection</p>
Customer Tab Supplemental Details	On selection of a customer in the list of business entities matrix, the following sections display.
<i>Details</i>	The Details section displays the detailed information of the customer along with the phone numbers and e-mails associated with the customer. You can edit the Customer details using the Edit button from the list of business entities matrix. You can add/modify/remove e-mails and phones by clicking the images appearing against their corresponding labels.
<i>Accounts</i>	<p>Displays the list of Accounts and Online accounts associated with the selected customer:</p> <ul style="list-style-type: none">● Accounts: Lists all the accounts that are associated with the customer. You can map additional accounts to the customer and remove the existing accounts. Only those accounts that are part of the case and are available in the Account tab of the case can be associated. If the accounts to be associated with the customer are not associated with the case then they should first be added to the case through Add action in the list of business entities matrix of the Account tab.● Online Accounts: Lists all the online accounts that the customer uses to access his accounts. You can add, edit, and remove the online accounts for the customer.
<i>Addresses</i>	The Addresses section displays the list of addresses associated with the selected customer. You can add new addresses, and modify or remove the existing addresses.
<i>Risk Information</i>	The Risk Information section displays risk information associated with the selected customer.

- **Risk Information:** Displays the value of various risks associated with the selected customer. You can manually add the values of the risks while adding new business record and modify the existing risk values of a business entity.
- **Risk List Memberships:** Displays the watch lists associated with the selected customer. Customers can be associated with additional watch list or can be removed from existing watch list memberships.

Anticipatory Profile

The Anticipatory Profile section lists all the anticipatory profiles associated with the selected customer. You can add, modify, or remove the details of anticipatory profiles for the selected customer.

Summary

The Summary section displays a summary of transactional activities for the selected customer. Summaries are displayed on a monthly basis for the five months previous to the date of last transaction performed by the selected customer. If you click the **Show Full Details** button in the summary section, the summary for the last 13 months displays in a pop-up window.

Note: You cannot add, modify, or remove summary information of the customer. The information is specific to cases originating from Oracle Financial Services Behavior Detection.

**Employee Tab
Supplemental Details**

On selection of an employee in the list of business entities matrix, the following sections display.

Details

The Details section displays detailed information of the employee along with the phone numbers and e-mail addresses associated with the Employee. You can edit the Employee details using the **Edit** button from primary matrix. In addition, you can add, modify, or remove the e-mail addresses and phone numbers by clicking the images appearing against their corresponding labels.

Accounts

The Accounts section displays information for all accounts on which the employee has some type of ownership role. You can map the new accounts and unmap the existing accounts.

Addresses

The Addresses section displays the list of addresses associated with the selected employee. You can add the new addresses, and modify or remove the existing addresses.

**External Entity Tab
Supplemental Details**

On selection of an external entity in the list of business entities matrix, the following sections display.

Risk Information

The Risk Information section displays risk information associated with the selected External Entity.

- **Risk Information:** Displays the value of various risks associated with the selected External Entity. You can manually add the values of the risks while adding new business record and modify the existing risk values of a business entity.

- **Risk List Memberships:** Displays the watch lists associated with the selected External Entity. You can associate External Entities with additional watch list or remove from existing watch list memberships.

Associated Institutions

Lists all the institutions associated with the selected External Entity.

Addresses

The Addresses section displays the list of addresses associated with the selected External Entity. You can add new addresses, and modify or remove the existing addresses.

**Correspondent Bank
Tab Supplemental
Details**

On selection of a Correspondent Bank in the list of business entities matrix, the following sections display.

Accounts

The Accounts section lists all the accounts that are held by the selected correspondent bank. You can add additional accounts or remove existing accounts. Only those accounts that are part of the case and are available in the Account tab of the case can be associated. If the accounts to be associated with the correspondent bank are not associated with the case then they should first be added to the case through Add action in the list of business entities matrix of the Account tab.

Risk Information

The Risk Information section displays risk list membership information associated with the selected correspondent bank.

The section displays the current Risk Rating associated with the selected correspondent bank. You can manually add the risk value while adding a new business record. Existing risk values of a business entity can be modified. The Risk Information section displays the watch lists associated with the selected Correspondent Bank. You can associate Correspondent Banks with additional watch list or can remove from existing watch list memberships.

Summary

The Summary section displays a summary of transactional activities for the selected Correspondent Bank. Summaries displays on a monthly basis for the five months previous to the date of last transaction performed by the selected Correspondent Bank. If you click the **Show Full Details** button in the summary section, the summary for the last 13 months displays in a pop-up window.

Peer Groups

The Peer Group section displays a summary of transactional activity for the peer groups associated with the selected correspondent bank. Summaries displays on a monthly basis for the five months previous to the date of last transaction performed from the selected correspondent bank. If you click the **Show Full Details** button on the summary section, the summary for the last 13 months displays in a pop-up window.

Note: You cannot add, modify, or remove the Summary information of the Correspondent Bank and its Peer Groups. The information is specific to cases originating from Oracle Financial Services Behavior Detection.

**Household Tab
Supplemental Details**

On selection of a household in the list of business entities matrix, the following section display.

Details

The Details section displays the balance position of the selected household.

Accounts

Lists all the accounts that are associated with the household. You can map additional accounts to the household and remove the existing accounts. Only those accounts that are part of the case and are available in the Account tab of the case can be associated. If the accounts to be associated with the customer are not associated with the case then they should first be added to the case through Add action in the list of business entities matrix of the Account tab.

**Transaction Tab
Supplemental Details**

The tab displays all the transactions associated with the linked alerts of the case of the following category:

- Back Office transactions
- Cash transactions
- Monetary Instrument transactions
- Wire transactions

During Promote to Case action and Link actions of an alert to a case, these transactions are transferred from Oracle Financial Services Behavior Detection Platform business tables to Case Management tables for investigation. You can click on any of the alerts listed in the linked alert matrix of the tab to view its associated transactions. Some alerts may not have a transaction associated with it in which case, the respective matrix will not display a transaction record. You cannot add, edit, or delete a transaction from the Transaction tab.

**Adding Data in Tab
Supplemental
Information**

To add data in the Supplemental Information section, follow these steps:

1. Navigate to the corresponding business tab, and click anywhere on the entity record from the list of business entities matrix.
The Supplemental Detail displays.
2. Select the desired sections to add supplemental information, and click the corresponding L.H.S. menu option.
3. Follow the steps in the section *Adding New Business Data*, on page 74.

**Modifying Data in Tab
Supplemental
Information**

To modify data in the Supplemental Information section, follow these steps:

1. Navigate to the corresponding business tab and click anywhere on the entity record from the list of business entities matrix.
The Supplemental Detail displays.
2. Select the desired sections to modify supplemental information, and click the corresponding L.H.S. menu option.
3. Follow the steps in the section *Modifying Existing Business Data*, on page 74.

Removing Data in Tab Supplemental Information

To remove data in the Supplemental Information sections, follow these steps:

1. Navigate to the corresponding business tab and click anywhere on the entity record from the list of business entities matrix.

The Supplemental Detail displays.

2. Select the desired sections to remove supplemental information, and click the corresponding L.H.S. menu option.
3. Follow the steps in the section *Removing Business Data*, on page 75.

Financials Tab

In the course of investigating fraudulent activity, it may be necessary to track data pertaining to potential and actual losses (which can result from the activity identified), as well as to track any amounts that may be recovered during the course of the investigation. The Financials functionality aims at managing loss and recovery data, providing a mechanism to enter, edit and audit the data. The Financials business tab has been designed for this purpose.

You can access the Financials tab for a particular case after selecting a case classified as Fraud type from the Case List within the Monitoring workflow, viewing its details, and then selecting the Financials tab. This tab is visible based on the user-role as defined in Table 3.

Components of the Financials Tab

The Financials tab contains the following information:

- Current Loss and Recovery
- Loss and Recovery Items
- Loss and Recovery Data Entry

Current Loss and Recovery

The Current Loss and Recovery area contains information for total loss and recovery values and for the Primary General Ledger (GL), Cost Center, and Offset Account information. This area contains the following components:

- **Links**
 - **Edit Selected:** When clicked, the system populates the Cost Center and GL Financials Data Entry section data entry boxes with the current values associated with the Primary GL, Primary Cost Center and Offset Account and Offset Cost Center and Charge Off Date in a pop-up. The Edit function is based on user roles and is not displayed if you do not have the requisite rights to edit information or if information does not currently exist. Refer to Table 3 in Chapter 1, *User Privileges*, on page 7, of this document for a description of roles and privileges.
 - **Remove:** When clicked, a confirmation message displays asking if you wish to delete the current GL and cost center information. Removed records are considered as inactive and are viewable only in the History pop up. The Remove function is based on user roles and is not displayed if you do not

have the requisite rights to delete information. Refer to Table 3 in Chapter 1, *User Privileges*, on page 7, of this document for a description of roles and privileges.

- **History:** When clicked, the system displays a pop-up window that lists a history of modifications to the current GL and cost center information. The History function is based on user roles and is not displayed if you do not have the requisite rights to view history information or if there is no current or previously entered information. Refer to Table 3 in Chapter 1, *User Privileges*, on page 7, of this document for a description of roles and privileges.

- **Information Fields**

Table 15 lists and describes the individual information fields for the Current Loss and Recovery area.

Table 15. Current Loss and Recovery Information Fields

Field	Description
Total Potential Loss Amount	Represents the total potential financial loss that the institution may experience as a result of the fraudulent activity identified by the case. This value is calculated as an aggregate of all active Potential Loss data items for the case.
Total Averted Loss Amount	Represents the total financial loss amounts that the institution may be able to prevent based on actions taken during the course of the investigation into the fraudulent activity identified by the case. This value is calculated as an aggregate of all active Averted Loss data items for the case.
Total Loss Recovery Amount	Represents the total financial losses that have been recovered during the course of the investigation into the fraudulent activity identified by the case. This value is calculated as an aggregate of all active Recovery data items for the case.
Total/Net Loss Amount	Represents the total loss remaining after Averted Loss and Recovery Amounts have been subtracted from the Potential Loss. It is calculated as: Potential Loss – Averted Loss – Recovery Amounts = Total/Net Loss Amount
Primary G/L Account	The primary general ledger (GL) account to which the total net loss amount for this investigation should be associated.
Primary Cost Center	The primary cost center to which the total net loss amount for this investigation should be associated.
Offset Account	Offset account associated with loss and recovery financials for this investigation.
Offset Cost Center	Offset account's cost center associated with loss and recovery financials for this investigation.
Charge Off Date	The date on which the loss was charged off.

Table 15. Current Loss and Recovery Information Fields (Continued)

Field (Continued)	Description
Last Update	The date and time at which loss and recovery data was last updated.
By	The last user who update loss and recovery data.

Note: The total loss and recovery summary values are populated with the current information upon entry into this page and are refreshed only when you enter or edit the relevant data in the Loss and Recovery Data Entry area and have selected Save. A more detailed explanation is provided in the Loss and Recovery Data Entry area.

Cost Center and GL Financials Data Entry

The Cost Center and GL Financials Data Entry pop-up displays on click of the **Add** button in the Current Loss and Recovery header. It allows you to enter cost center and GL financial data.

This area contains the following components:

- **Data Entry Fields:** This area displays the relevant fields along with the specific formats for data entry. Table 15 lists the descriptions for each of the following fields for the Current Loss and Recovery Data area.
 - **Primary G/L Account**—Text box
 - **Primary Cost Center**—Drop-down list which is populated with available cost centers as defined by your firm

Note: If you require additional values, contact your System Administrator.
 - **Offset Account**—Text box (limit entry to 50 characters or fewer)
 - **Offset Cost Center**—Drop-down list which is populated with available cost centers
 - **Charge Off Date**—Text box and calendar control

The **Comment** box is a text box in which you can enter relevant comments about the data you have entered.

Loss and Recovery Items

The Loss and Recovery Items contains tabular matrices reporting individual loss and recovery records by type. The Loss and Recovery items matrices are accessible by using the L.H.S. menu options. The L.H.S. menu offers access to Potential Loss, Averted Loss, and Recovery matrices. Table 17 provides descriptions of the columns that display for each matrix.

- **Buttons**
 - **Add** button: Refer to the *Add Button*, on page 85, of this section for details.
 - **Edit** button: Refer to the *Edit Button*, on page 85, of this section for details.
 - **History** button: Refer to the *History Button*, on page 85, of this section for details.

- **Remove** button: Refer to the *Remove Button*, on page 87, of this section for details.
- **Check Box**
 - **Add or Edit**: When checked and the **Add** or **Edit** button is clicked, the system displays the selected records in the Loss and Recovery data item entry pop up for editing.
- **Loss and Recovery Items Matrices**: Refer to *Loss and Recovery Items Matrices*, on page 87, for descriptions of the columns in each of the matrices.

Add Button

The system allows you to add the loss and recovery line item information displayed in each of the matrix tables. You can select the **Add** button within a matrix (Potential Loss, Averted loss, and Recovery) to add the items one at a time. By default, the data entry field is blank except the data entry type. Upon saving, the system refreshes the applicable Loss and Recovery Item list records to display the revised information. The system retains a history of changes to each item that you can access using the **History** button. The Add functionality is user role-based and only those users with appropriate access rights can utilize this functionality. Refer to Table 3 in Chapter 1, *User Privileges*, on page 7, of this document for a description of roles and privileges.

Edit Button

The system allows you to edit the loss and recovery line item information displayed in each of the matrix tables. You can select the check boxes provided in each row within a matrix and click the **Edit** button to edit those items. You can edit one item at a time. When you select **Edit**, the information pertaining to each selected record is loaded into the Loss and Recovery Data Entry section for editing in a pop-up. Upon saving, the system refreshes the applicable Loss and Recovery Item list records, displays the revised information, and closes the pop-up. The system retains a history of changes to each item that you can access by the **History** link. User roles for the Edit functionality are the same as for the Add functionality.

When editing loss and recovery data items, you cannot change the data entry type for the record you are editing.

If you select records for editing and then click the **Reset** button without saving, the system clears the Loss and Recovery Data Entry area and applies no changes.

History Button

The system provides the **History** button for each type of loss or recovery matrix. When selected, the system displays a pop-up window containing the current versions of all records displayed in the current matrix and any previously edited versions that may exist of each record. Additionally, the system displays any deleted records and any previous versions of those deleted records. For each line item that has been edited or deleted, the system displays each loss and recovery item in an order reflecting the most

current version of the record followed by previous, inactive versions of that record. (Refer to Table 16 for descriptions of the data displayed for each matrix in the History pop-up window.)

For example, if a Potential Loss record was edited to change the loss amount from USD 100 to USD 1000, you would see an active record showing the amount as USD 1000 (along with the date, time and user who made the change) followed by a row displaying the original, now inactive, version of the record showing the originally entered amount of USD 100. The History functionality is user role-based and only those users with appropriate access rights can utilize this functionality. Refer to Table 3 in Chapter 1, *User Privileges*, on page 7, of this document for a description of roles and privileges. Figure 34 provides a screen shot of the Loss and Recovery History pop-up window for a sample Potential Loss matrix.

Id	Status	Primary G/L Account	Primary Cost Center	Offset A	Offset Cost Center	Charge Off Date	Entered By	Entered Dt	Comment
10683	Inactive	ACC1	FI006A	--	FI006A	12/30/10	AM Superviso...	12/08/10	Updating with a new charg...
10683	Inactive	ACC1	FI006A	--	FI006A	12/30/10	AM Superviso...	12/08/10	Updating with a new charg...
10683	Inactive	ACC1	FI006A	--	FI006A	--	AM Superviso...	12/08/10	Adding prim GL Info
10684	Active	ACC2	FI006A	--	FI006A	12/30/10	AM Superviso...	12/08/10	Adding new GL information

Figure 34. Loss and Recovery History pop-up

Table 16 provides descriptions of the columns that display for each of the matrices in the Loss and Recovery History pop-up window.

Table 16. Display of History Data for Each Matrix

Column	Description	Loss and Recovery Items Matrices		
		Potential Loss	Averted Loss	Recovery
ID	A unique identifier associated with the loss and recovery item record.	X	X	X
Status	The status of the loss and recovery item record.	X	X	X
Date	Date on which this loss or recovery item was incurred.	X	X	X
Amount	The respective amount for the loss and recovery item record.	X	X	X
G/L Account	The general ledger account to which this loss or recovery item is associated.	X	X	X
Cost Center	The cost center to which this loss or recovery item is associated.	X	X	X
Loss Averted Type	The type of averted loss entry represented by this record, if one was specified.		X	
Loss Payee	The payee identified for the loss amount represented by this record, if one was specified.	X		
Entered By	The user who entered this record.	X	X	X
Entered Date	The system date and time on which this record was entered or edited.	X		X
Description	Any descriptive comment that was entered about this record.	X	X	X

Remove Button

Each matrix is provided with an individual **Remove** button. Using this you can remove information pertaining to that record. The system then prompts you to confirm the action taken. If you confirm that you want to remove information, the system refreshes the screen to reflect these changes in the summary data section and in the item list matrices.

Note: The remove functionality is user role-based and only users with appropriate access rights can use the functionality. User roles for the remove functionality are the same as for the Add functionality.

Export Loss and Recovery Items to Excel

The system also enables you to export each of the matrices individually as a separate Excel sheet by clicking the **Excel** icon located in the header for each of the Potential Loss, Averted Loss, and Recovery matrices.

Loss and Recovery Items Matrices

Table 17 provides descriptions of the columns for each Loss and Recovery Items matrix.

Table 17. Loss and Recovery Items

Column	Description	Loss and Recovery Items Matrices		
		Potential Loss	Averted Loss	Recovery
Date	Date on which this loss or recovery item was incurred.	X	X	X
Amount	The respective amount of the loss or recovery item. Please note that the system shall consider the currency value entered to be in base currency only	X	X	X
G/L Acct	The general ledger account to which this individual loss or recovery item is associated.	X	X	X
Cost Cntr	The cost center to which this individual loss or recovery item is associated.	X	X	X
Loss Payee	The payee identified for the loss amount represented by this record, if one was specified.	X		
Loss Averted Type	Specifies the type of averted loss entry represented by this record, if one was specified.		X	
Entered By	Reflects the User who entered this record.	X	X	X
Entered Dt	System date and time on which this record was entered or edited.	X	X	X
Desc	Any description comment that was entered with respect to this record.	X	X	X

Loss and Recovery Data Entry

The Loss and Recovery Data Entry pop-up displays when you click the **Add/Edit** button and allow you to enter individual financial loss and recovery data items. Itemized data entry permits you to enter the types of information related to the fraudulent activities as listed in Table 18.

- **Action Buttons:** This area contains the following action buttons:
 - **Save:** When clicked, refreshes the Current Loss and Recovery area in the Financials tab to display the current information and updates the Last Update and By fields.
 - **Reset:** When clicked, clears the Loss and Recovery Data Entry fields back to original values and no changes are applied.
 - **Cancel:** When clicked, displays the unsaved data warning message with **OK** and **Cancel** button. Based on the selection of the buttons, it closes either the pop-up window or stay in the same pop-up window.
- **Data Entry Fields:** This area displays the relevant fields along with the specific formats for data entry.

Table 18 lists the descriptions for each of these fields for the Loss and Recovery Data Entry area.

Table 18. Loss and Recovery Data Entry Fields

Field	Description
Data Entry Type	Pre-populated as per the data entry type selected (for both add/edit), that is, Potential Loss, Averted Loss, Recovery. This is a non-editable field.
Date	Date on which this loss or recovery item was incurred.
Amount	The respective amount of the loss or recovery record. Note that the system accepts values in base currency only. You must enter the amount in the correct base currency format.
GL Account	The general ledger account to which this loss or recovery item is associated. This data item associates this GL account to the current item being entered only and not to the overall alert. This field provides you the option to associate a different G/L account to an individual item than might be appropriate for the entire alert.
Cost Center	Cost center to which this loss or recovery item should be associated. This field associates this cost center to the current item being entered only and not the overall alert, appropriate for the entire alert. It provides you the option to associate a different cost center to an individual item than might be appropriate for the entire alert. This drop-down list is populated with available cost centers as defined by your firm. Note: If you require additional values, contact your System Administrator.
Loss Item Charge Off Date (if applicable)	The date on which this loss item was charged off, if the individual item was charged off.
Loss Averted Type (if applicable)	Drop-down list that specifies the type of averted loss entry represented by this record. The specification of Averted Loss Types is optionally provided by your firm. If no averted loss Types have been defined, then this drop-down will provide no entries for selection.

Table 18. Loss and Recovery Data Entry Fields (Continued)

Field (Continued)	Description
Loss Payee (if applicable)	Text field that allows for specification of a payee identified for the loss amount represented by this record.
Description	Text field that allows for entry of descriptive comments regarding the current item being entered in the row.

Acting on Cases

During analysis of a case, you may take various actions, such as, add comments and attachments to a case to document the analysis and disposition of the case. Some actions represent definitive progress in analysis and may therefore update the status of the case.

This chapter provides information about case actions and the available actions:

- About Case Actions
- About the Case Actions Pop-up
- Reassigning a Case
- Exporting a Case
- E-mailing a Case
- Printing a Case
- Resolutions for a Case
- Reopening a Case
- Researching & Reviewing a Case
- Escalating a Case
- Monitoring a Case
- Setting Due-Date for a Case
- Adding Comments to a Case
- Adding and Removing Attachments

About Case Actions

Your user role, combined with the type or subtype of a case and the existing case status you are investigating, determine the actions that Oracle Financial Services Enterprise Case Management displays for a particular case. Individual actions display in action categories. Action categories display horizontally above the case context in the Case Details tab and above the search bar in the Case Search & List page. Action categories represent logical groupings of individual actions, which have similarities, either in the line of investigation or in the resulting status of the action.

Usually, you take one or more actions on a case depending upon where you are in your investigative process. These actions display in a pop-up on click of respective action category buttons.

Oracle Financial Services Enterprise Case Management enables you to take multiple actions simultaneously, whether you apply them to a single case or to a batch of cases. For example, you can simultaneously reassign a case, add comments to the case, add an attachment to the case, e-mail the case to the new owner, and export the details of that case.

While taking actions on a batch of cases, the action pop-ups provide the intersection of the common actions available for all the cases. You cannot take some actions simultaneously. For example, you cannot reassign and close a case simultaneously.

In addition, the actions pop-up validates the actions initiated by you. The validation checks are to ensure that comments are entered when an action requires a comment that reassignment has occurred if the action requires reassignment and a due-date is entered if a due date is required. These validations are enforced through warning messages informing you of any missing information at the time of saving. Additionally, if an action requires a comment but you have not provided a comment, appropriate messages displays at the time you perform that action.

In addition, some actions can be configured to automatically assign a due-date.

Oracle Financial Services Enterprise Case Management's supervisor approval feature enables you to propose the closing of a case based on necessary approvals.

Note: If you select one or more cases from the Case List and click an **Action** button, the system will lock the selected cases and they will not be available for action by other users. If another user attempts to access the same case (either by selecting the case and taking an action or by navigating to the Case Details) they will receive a message informing them that the case is locked by another user and granted only view rights (they can take no action on the case).

About the Case Actions Pop-up

The case actions pop-up provides all the available actions that can be taken on a case or a group of cases. During the analysis, you can take various actions on the cases, add comments and attachments. Some actions represent definitive progress in analysis and therefore, update the status of the case.

Action Categories

You can navigate to the case actions pop-up by clicking the action categories displayed above the case context and above the search bar in Case Details and Search & List page, respectively. The pop-ups display the fields based on the selected action category.

You can perform Comments, Attachments, setting Due-date, Assign To, and Reassign Owner actions along with other actions in each action category.

Table 19 refers the list of available action categories and the associated actions in their pop-ups.

Table 19. Action categories and associated fields

Action Category	Selection Type	Controls shown on the pop-up				
		Comments	Attachments	Due-Date	Assign To	Reassign Owner
Assignment	Multi-select	X	X	X	X	X
Escalate	Single select	X	X	X	X	X
Resolution	Single select	X	X	X	X	
Research & Review	Multi-select	X	X	X	X	X
Monitor	Single select	X	X	X	X	X
E-mail	Single select	X		X	X	X
Export	Single select	X		X	X	X
Print	Single select	X		X	X	X
Reopen	Single select	X	X	X		
Due-Date	Single select	X	X	X	X	X
Evidence	Multi select	X	X			

Actions

Each of the action categories (refer Table 19, for action category) contains a list of actions. The list of actions to be displayed depends on the user role, the status of case, and case type. Some of these actions need a Comment, Assign To, or Set Due-Date as mandatory actions as part of them.

The following describes the action buttons:

- **Research & Review:** Includes a list of actions allowing you to document results of research and analysis performed during the course of your

investigation. Some actions in this category may not change the status of the case, but serve to document steps and progress in your investigation.

- **Escalate:** Includes a list of actions allowing you to escalate your case to another user for review and enable the reviewer to take actions based on their review of the escalated case. Escalating a case for review automatically sets a due-date by which the escalation needs to be addressed.
- **Monitor:** Includes a list of actions that will set the case into a monitoring status and actions that can remove a case from monitoring status. Actions that set a case to monitor status will result in automatic assignment of a due-date that defines the monitoring period.
- **Resolution:** Includes a list of actions that complete your analysis of this case, and, in most instances results in closure of the case.
- **Export:** Includes options for exporting cases.
- **E-mail:** Includes options to e-mail the case details in HTML format.
- **Assignment:** Includes actions permitting the reassignment of case ownership and the assignment of the case to another user for investigation.
- **Due-Date** calendar control: Provides the ability to select a date by which the selected action should complete. Also, allows you to clear a due-date if that date is no longer needed.
- **Reopen:** Includes an action to reopen a previously closed case. This action will only be available for cases in a closed status and if your role permits you to reopen a closed case.
- **Evidence:** Includes options to add attachments and make comments to the selected cases from the case list matrix.
- **Print Summary:** Includes option to print a summary version of the case contents, which will include a limited set of the information you see in the UI. Printed summaries can also be saved as PDFs.
- **Print Details:** Includes option to print a detailed version of the case contents, which will include much of the information you see in the UI. Printed details can also be saved as PDFs.
- **Print Comments:** Includes option to print comments alert context information that are entered for the alert.

Components of the Case Actions pop-up

The case action pop-up contains the following components:

- **Select an Action** drop-down list: When selected displays a list of one or more actions which can be taken. Actions will be those applicable to the category of actions associated with the selected action icon and will be based upon the current case type and status.
- **Due Date** calendar selector: Depending upon the action(s) selected in the **Select an Action** drop-down list, and the current status of the case, the action pop-up may refresh to display an option to set a due date.

- **Reassign** drop-down list: Depending upon the action(s) selected in the **Select an Action** drop-down list, and the current status of the case, the action pop-up may refresh to display an option to reassign ownership of the case.
- **Save** button: Saves all actions and comments. When you click **Save**, a confirmation dialog box displays with the **OK** and **Cancel** buttons, prompting you to click **OK** to apply the selected actions and comments.
- **Save & Attach** button: Facilitates addition of an attachment along with the actions for a case. The **Save & Attach** button is provided in every actions pop-up. Refer to the section *Adding an Attachment*, on page 111, for more information.

Note: Clicking the **Save & Attach** button saves the selected actions before it displays the option for adding attachments.

The following fields display for the Save & Attach window:

- **Choose a file to attach** text box with the **Browse** button: Provides a quick means of entering or selecting the full path and name of the file to be attached. You can enter up to 200 text characters for the file name. You can also browse for the file.
- **Logical File Name** text box: Enables you to enter up to 80 text characters relevant to the file attached to the selected alert. Use this text area to enter a descriptive name for the file attached. This is then used as the display name for the attached file.
- **Attach File** button: Displays a confirmation box and when you confirm the action, attaches a file to the selected alert.
- **Reset** button: Resets the fields in the actions pop-up from the modified value to their previous value.
- **Cancel** button: Displays an unsaved data-warning message with the **OK** and **Cancel** buttons. Based on the selection of the **OK** and **Cancel** buttons; it either closes the pop-up or stay in the same pop-up.
- **Standard Comments** selection box: Provides a quick means of entering comments that are relevant to the analysis and closing of the selected cases. The case type and subtype of the case determines which standard comments display.
- **Comments** text box: Enables you to enter free-form text characters relevant to the analysis and closure of the selected cases. Use this text area if none of the standard comments applies to your action or if you want to include additional information.

Note: Certain actions require comments to be entered before they are saved.

Acting on Single or Multiple Cases

All action categories display on the Case Search & List page and within a Case Details tab. To perform actions in the Case Search & List page, you can select one or more cases from the list page, and click an action category. To perform action in the Case Details tab, you can click an action category. Actions that are performed apply on all selected cases. At any point of time, you can perform actions from only one action category.

While performing actions over multiple cases, on click of an action category, only actions that are applicable on the intersection of selected cases display. When acting on a single case or in case details, the action categories display all actions based on your role and the type and status of the case.

Reassigning a Case

If you are a Case Analyst I, II, or Case Supervisor, Oracle Financial Services Enterprise Case Management enables you to assign a case or reassign ownership to different users or user groups. If a case's initial analysis reveals an issue that should be reviewed by another user, you can reassign the case to the most appropriate user or group of users. It is also possible to retain ownership of a case while assigning it to another user to handle part of the investigation.

Cases can be assigned by selecting the **Assignment** action icon, which opens the Assignment action category pop-up. The pop-up displays all the selected Case IDs along with other additional fields.

To undertake an Assign To or Reassign Ownership action on a case, follow these steps:

1. From the Case Details tab, select the **Assignment** action icon from the list of action categories.

Alternatively, from the Case Search & List page, select one or more cases that need to be reassigned using the check boxes and click the **Assignment** action category.

2. Select Assign To or Reassign Ownership action or both from the **Select an Action** drop-down list.

The Assign To action does not change the ownership of the case, where as, the Reassign Ownership action changes the ownership of the case. The corresponding Assign To and Reassign Ownership To fields are enabled in the UI.

3. Select a user or appropriate organization in each drop-down list and provide the mandatory comments.

Optional: You can set a due-date for the case.

4. If you want to attach a file to the case, you can click the **Save and Attach** icon. The message displays: The selected action(s) will be applied on the case(s). Click OK to attach documents.

Click **OK**. The Save and Attach fields displays to attach the file.

5. If, at step 4, you click **Save** instead of **Save and Attach**, a confirmation message displays: Would you like to save these actions?
6. Click **OK** to save the actions.

Oracle Financial Services Enterprise Case Management records the action, updates the case information, and closes the action pop-up. Your application navigates to the Case Search & List or Details tab with the refreshed information.

At any point of time in the pop-up, if you do not want to undertake the Assignment action, click Cancel on the pop-up window.

Note: While performing an Assign To action, if you do not enter value in the **Assigned To** field and click **Save**, an error message displays: You have not entered a value in the Assigned To field. Please enter a value in Assigned To field.

While performing a Reassign Ownership action, if you do not select any value in the **Re-assign Ownership To** drop-down list and click **Save**, an error message displays: You are attempting to re-assign. Please select a new owner in the Owner drop-down list.

The list of users available in **Re-assign Ownership To** and **Assign To** drop-down list are based on access privileges to the type of case or cases on which the action is being taken and the eligibility to own a case.

Exporting a Case

If you are a Case Analyst I, II, or Case Supervisor, Oracle Financial Services Enterprise Case Management enables you to export the case information. This information is written to a file in eXtensible Markup Language (XML) format. XML provides a common method for identifying data so that you can then export it into a third-party application or external system.

You can export cases by selecting the Export action icon, which opens the Export action category pop-up. The pop-up displays all the selected Case IDs along with other additional fields. One or more cases can be grouped together and export and each case is exported in a separate file with the naming convention as <Case ID>.xml

Note: If you export cases to XML, Oracle Financial Services Enterprise Case Management sends all case information, including information that does not display in the UI.

Your system administrator configures the location of the file that Oracle Financial Services Enterprise Case Management produces. Contact your system administrator for information about the file use and location.

To export a case, follow these steps:

1. From the Case Details tab, select the **Export** action icon from the list of action categories.

Alternatively, from the Case Search & List page, select one or more cases you want to export using the check boxes, and click the **Export** action category.

The Export action pop-up displays.

Optional: You can select a user or appropriate group of users in **Reassign Ownership To** or in **Assign To** drop-down list, provide comments, or set due-date for the case.

Note: You cannot add other attachments while performing the Export action.

2. Click **Save**.

A confirmation message displays: Would you like to save these actions?

3. Click **OK**.

Oracle Financial Services Enterprise Case Management creates the output file, records the action, updates the case information, and closes the pop-up window. The application navigates you to the Case List or Details tab with the refreshed information based on from where they took the action.

At any point of time in the pop-up, if you do not want to undertake the Export action, click **Cancel** on the pop-up window.

E-mailing a Case

If you are a Case Analyst I, II, or Case Supervisor, Oracle Financial Services Enterprise Case Management enables you to e-mail case attachments in the form of a HyperText Markup Language (HTML) files.

You can send e-mails by selecting the **E-mail** action icon, which opens the E-mail action category pop-up. The pop-up displays all the selected Case IDs along with additional fields. OFSAAI sends a single e-mail with each case as a separate attachment in HTML format as per the selected action.

To e-mail a case, follow these steps:

1. From the Case Details tab, select the **E-mail** action icon from the list of action categories.

Alternatively, from the Case Search & List page, select one or more cases that need to be e-mailed using the check boxes, and click the **E-mail** action category.

The E-mail action pop-up displays.

2. Type the e-mail address or addresses of the recipients in the **To** text box. For multiple addresses, separate each address with a semi-colon but without any spaces.
3. In the body of the e-mail, type any additional information regarding the case that you want to e-mail.

Optional: You can select a user or appropriate group of users in **Reassign Ownership To** or in **Assign To** drop-down lists, or provide comments or set due-date for the case. You cannot add other attachments while performing the e-mail action.

4. Click **Send**.
5. Oracle Financial Services Enterprise Case Management sends the e-mail, records the action, updates the case information, and closes the pop-up window. At any point of time in the pop-up, if you do not want to take the e-mail action, click **Cancel** on the pop-up window.

Printing a Case

If your role permits, you can print a Case Investigative Report. You can print either a detailed report by clicking the **Print Details** action icon, or you can print a summary report by clicking the **Print Summary** action icon. If you click the **Print Details** icon, the system generates a detailed report, which appears in a separate window in PDF format; if you click the **Print Summary** icon, the system generates a summary report, which appears in a separate window in PDF format.

Note: The print detail and summary reports contains only the first 4000 characters of the case narrative contents.

Printing Comments

If your role permits, you can print comments that are entered for the case by clicking the **Print Comment** action icon. The **Print Comment** icon in the action bar when selected, prints the case context and the comments entered by the user either from the Evidence tab or entered when taking other actions.

Resolutions for a Case

If you are a Case Analyst I, Case Analyst II, or Case Supervisor, Oracle Financial Services Enterprise Case Management enables you to take an action to close a case.

You can close cases by selecting the **Resolution** action icon, which opens the Resolution action category pop-up. The pop-up displays all the selected Case IDs along with additional fields. Oracle Financial Services Enterprise Case Management enables the closure of case both with and without supervisor-level approval.

Supervisor approval provides a dual control or approval process that requires an authorized user (for example, a Supervisor) to approve actions of other users, prior to those actions taking full effect on the case (for example, closing the case). This process also enables users of specified roles to acknowledge approved or rejected changes proposed and to annotate an acknowledgement with comments.

There are different types of resolution action. Refer to the Appendix C, *Product Sample Case Actions*, on page 181 for possible actions within the Resolution action category; each action represents a different business reason for which the case might be closed. When a Resolution action is performed and the case is moved to the Closed status, the existing due-date of the case, if present, is cleared by the system.

Recommending a Case for Close Action

If you are an Analyst user and perform the resolution action on a non-closed case, the case moves to the Recommend Closure status, where you need to assign to a supervisor for approval. The supervisor can approve or reject the recommendation. If approved, the case is closed and if rejected, the case is pushed back to the old status without closing. If you are a Supervisor user and perform the resolution action on a non-closed case, the case is directly closed without requiring additional approval.

If you are an Analyst user, to recommend a case for closure, follow these steps:

1. From the Case Details tab, select the **Resolution** action icon from the list of action categories.

Alternatively, from the Case List page, select one or more cases that need to be closed using the check boxes, and click the **Resolution** action category.

The Resolution action pop-up displays.

2. Select the Closing action you want to perform on the case.

You can select only one action from the list.

3. Select users from the **Assign To** drop-down list from whom the approval is required.

4. Provide a mandatory comment for resolution action.

Optional: Set a due-date for the case. You cannot perform the Ownership Re-assignment while performing a resolution action.

5. Click the **Save and Attach** icon to attach a file. The message displays: The selected action(s) will be applied on the case(s). Click **OK** to attach documents.
6. Click **OK**.

The Save and Attach pop-up displays to proceed with attaching the file.

If you click **Save** instead of **Save and Attach**, a confirmation message displays:
Would you like to save these actions?

7. Click **OK**.

Oracle Financial Services Enterprise Case Management records the action, updates the case information, changes the statuses of all the selected cases to Recommend Closure, and closes the pop-up window. You return to the Case Search & List page or Details tab with the refreshed information based on from where you took the action.

At any point of time in the pop-up, if you do not want to undertake the Resolution action, click **Cancel** on the pop-up window.

If you are a supervisor, to close a case, follow these steps:

1. From the Case Details tab, select the **Resolution** action icon from the list of action categories.

Alternatively, from the Case Search & List page, select one or more cases that need to be closed using the check boxes, and click the **Resolution** action category.

The Resolution action pop-up displays.

2. Select the closing action that you want to perform on the case. You can select only one action from the list.
3. Provide mandatory comments for resolution action. You cannot perform the Ownership Re-assignment while performing a resolution action.
4. Click the **Save and Attach** icon to attach a file.

The message displays: The selected action(s) will be applied on the case(s). Click OK to attach documents.

5. Click **OK** to save the actions. The **Save and Attach** pop-up displays to proceed with attaching the file.

If you click **Save** instead of **Save and Attach**, a confirmation message displays:
Would you like to save these actions?

6. Click **OK**.

Oracle Financial Services Enterprise Case Management records the action, updates the case information, changes the statuses of all the selected cases to the appropriate close status based on the closing action taken, and closes the pop-up window. You returns to the Case Search & List page or Details tab with the refreshed information based on from where you took the action.

At any point of time in the pop-up, if you do not want to undertake the Resolution action, click **Cancel** on the pop-up window.

Approving a Case Recommended for a Close Action

If you are a supervisor, you can select all the cases recommended for a closure by filtering for cases that have been assigned to you and with status as Recommend Closure. After investigating on the correctness of the recommend action, you can approve or reject the case. If you take the Approve Resolution Recommendation action and there was a due-date associated with the case, the due-date is cleared. If you take the Reject Resolution Recommendation action, the existing due-date, if one exists, is not cleared.

To approve or reject a recommend closure, follow these steps:

1. From the Case Details tab, select the **Resolution** action icon from the list of action categories for a case with a status of Recommend Closure.

Alternatively, from the Case Search & List page, select one or more cases that are with status as Recommend Closure using the check boxes, and click the **Resolution** action category.

The resolution action pop-up displays.

2. Review the closing action recommended by the analyst and select Approve Resolution Recommendation or Reject Resolution Recommendation actions from the **Select an Action** drop-down list.

If the Approve Resolution Recommendation action is selected, then provide mandatory comments in the **Comments** field.

If the Reject Resolution Recommendation action is selected, then optionally, you can set a due-date, select a user or group of users in the **Assign To** drop-down list and provide mandatory comments in the **Comments** field.

3. If you want to attach a file to the case, you can click the **Save and Attach** icon. The message displays: The selected action(s) will be applied on the case(s). Click OK to attach documents.

Click **OK**. The Save and Attach fields displays to attach the file.

4. If, at step 3 you click **Save** instead of **Save and Attach**, a confirmation message displays: Would you like to save these actions?

5. Click **OK** to save the actions.

Oracle Financial Services Enterprise Case Management records the action, updates the case information, changes the case status to appropriate closed status if approval action is performed or to the old status of the case if a reject action is performed and returns you to the Case List page or Details tab based on from where you took the action.

At any point of time in the pop-up, if you do not want to undertake the Resolution action, click **Cancel** on the pop-up window.

Reopening a Case

If you are a Case Supervisor with enabled user role permissions, Oracle Financial Services Enterprise Case Management enables you to reopen closed cases for further investigation.

You can reopen cases by selecting the **Reopen** action icon, which opens the Reopen action category pop-up. The pop-up displays all the selected Case IDs along with other additional fields. In addition, you can group one or more cases and reopen.

To reopen a case, follow these steps:

1. From the Case Details tab for a closed case, select the **Reopen** action icon from the list of action categories.

Alternatively, from the Case List page, select one or more cases that need to be reopened using the check boxes, and click the **Reopen** action category.

The Reopen action pop-up displays.

2. In the pop-up window, provide comments.

Optional: You can set a due-date for the case.

3. Click the **Save and Attach** icon to attach a file.

The message displays: The selected action(s) will be applied on the case(s). Click OK to attach documents.

4. Click **OK**.

The Save and Attach pop-up displays to proceed with attaching the file.

If you click **Save** instead of **Save and Attach**, a confirmation message displays: Would you like to save these actions?

5. Click **OK**.

Oracle Financial Services Enterprise Case Management records the action, updates the case information, changes the case status to Reopened, and returns you to the Case List page or Details tab based on from where you took the action.

At any point of time in the pop-up, if you do not want to undertake the Reopen action, click **Cancel** on the pop-up window.

Researching & Reviewing a Case

If you are a Case Analyst I, Case Analyst II, or Case Supervisor, Oracle Financial Services Enterprise Case Management enables you to take research and review oriented actions. These actions involve researching information regarding parties and activities involved in the case and reviewing the case with peers as part of case investigation. Actions within this category may or may not result in a change to the case status.

To perform a research and review oriented action on a case, follow these steps:

1. From the Case Details tab, select the **Research & Review** action icon from the list of action categories.

Alternatively, from the Case Search & List page, select one or more cases using the check boxes, and click the **Research & Review** action category.

The Research & Review action pop-up displays.

2. In the pop-up, select one or more research and review oriented actions from the **Select an Action** drop-down list.
3. Provide comments.

Optional: You can set a due-date for the case.

4. If you want to attach a file to the case, you can click the **Save and Attach** icon. The message displays: The selected action(s) will be applied on the case(s). Click OK to attach documents.

Click **OK**. The Save and Attach fields displays to attach the file.

5. If, at step 4, you click **Save** instead of **Save and Attach**, a confirmation message displays: Would you like to save these actions?
6. Click **OK** to save the actions.

Oracle Financial Services Enterprise Case Management records the action, updates the case information, and returns you to the Case List page or Details tab based on from where you took the action.

At any point of time in the pop-up, if you do not want to undertake the Research & Review action, click **Cancel** on the pop-up window.

Escalating a Case

If you are a Case Analyst I, Case Analyst II, or Case Supervisor, Oracle Financial Services Enterprise Case Management enables you to take the escalate actions. You should take these actions when the case needs escalation with peers for additional review.

This action category does not involve supervisor level approvals; however, you can use approval if there is a need for the case to escalate to other users for additional review or action. On completion of the review, the user from whom the escalation action was requested can move the case back to the investigation workflow or set to monitor or mark it as appropriate for a File SAR action.

To perform an Escalate action on a case, follow these steps:

1. From the Case Details tab, select the **Escalate** action icon from the list of action categories.

Alternatively, from the Case List page, select one or more cases that need to be escalated using the check boxes, and click the **Escalate** action category.

The Escalate action pop-up displays.

If you are an Analyst your only option is to escalate the case for review. If you are a Supervisor user additional actions display allowing you to respond to escalation requests.

2. Select an action applicable to your role.
3. Provide mandatory comments.
4. Select a user or group of users in the **Assign To** field and set a due-date for the case.
5. If you want to attach a file to the case, you can click the **Save and Attach** icon. The message displays: The selected action(s) will be applied on the case(s). Click OK to attach documents.

Click **OK**. The Save and Attach fields displays to attach the file.
6. If, at step 5, you click **Save** instead of **Save and Attach**, a confirmation message displays: Would you like to save these actions?
7. Click **OK** to save the actions.

Oracle Financial Services Enterprise Case Management records the action, updates the case information, changes the status as appropriate based on the actions selected, assigns the case back to Analyst (when escalation requested by analyst and Escalation Review Completed-Return to Investigation is the action taken), clears the due-date (refer to Appendix C, *Product Sample Case Actions*, on page 181) and returns you to the Case List or Details tab based on from where you took the action.

At any point of time in the pop-up, if you do not want to undertake the Escalate action, click **Cancel** on the pop-up window.

Monitoring a Case

If you are a Case Analyst I, Case Analyst II, or Case Supervisor, Oracle Financial Services Enterprise Case Management enables you to set the case to a monitoring status for a defined period. These actions should be taken when the cases need to be monitored for some time by the investigating user before any final resolution.

This action category involves an approval process. If you are an analyst you can take actions to recommend setting the case into a monitoring status or recommend that the monitoring be canceled and the case potentially closed. If you are a supervisor you can approve or reject recommendations for monitoring or alternatively cancel the monitoring for a case currently in a monitoring status.

To perform a Monitor action on a case, follow these steps:

1. From the Case Details tab, select the **Monitor** action icon from the list of action categories.

Alternatively, from the Case List & Search page, select one or more cases that you want to monitor using the check boxes, and click the **Monitor** action category.

The Monitor action pop-up displays.

2. If you are an analyst, select one of the available recommendation actions from the **Select an Action** drop-down list, based on the status of the case being investigated.
3. If you are a supervisor, select one of available actions related to monitoring of a case from the **Select an Action** drop-down list, based on the status of the case being investigated.
4. Provide mandatory comments.
5. Select a user or group of users in **Assign To** field (if analyst taking Recommend action).

Based upon the action taken a due-date may be automatically set.

6. If you want to attach a file to the case, you can click the **Save and Attach** icon. The message displays: The selected action(s) will be applied on the case(s). Click OK to attach documents.
Click **OK**. The Save and Attach fields displays to attach the file.
7. If, at step 6, you click **Save** instead of **Save and Attach**, a confirmation message displays: Would you like to save these actions?
8. Click **OK** to save the actions.

Oracle Financial Services Enterprise Case Management records the action, updates the case information, changes the statuses, clears the due-date (refer to the Appendix C, *Product Sample Case Actions*, on page 181), and returns the you to the Case List page or Details tab based on from where you took the action.

At any point of time in the pop-up, if you do not want to undertake the monitor action, click **Cancel** on the pop-up window.

Setting Due-Date for a Case

If you are a Case Analyst I, Case Analyst II, or Case Supervisor, Oracle Financial Services Enterprise Case Management enables you to set a due-date or to clear existing due-date on cases. These actions while being performed along with other action categories can also be performed individually through due-date action category.

Note: If your system is configured with default due-dates for some actions, then that default date will be applied to the case when those actions are taken. When actions having different default due-dates are multi-selected and acted upon the case, then the nearest date among all the available due-dates is applied as the due-date of the case. However, if you manually enter a due date in the **Due-date** field of the action pop ups, it will overwrite the default due-date configured for the actions.

To perform a Due-date action on a case, follow these steps:

1. From the Case Details tab, select the **Due-date** action icon from the list of action categories.

Alternatively, from the Case List page, select one or more cases, and click the **Due-date** action category.

The Due-date action pop-up displays.

2. In the pop-up, select **Set Due-date**, if a due-date has to be set or **Clear Due-date**, if existing due-date to be cleared, based on the need from the **Select an Action** drop-down list.
3. Provide mandatory comments.

Optional: You can set a due-date for the case. Select a user or group of users in **Assign To** or in **Reassign Ownership To** fields.

4. If you want to attach a file to the case, you can click the **Save and Attach** icon. The message displays: The selected action(s) will be applied on the case(s). Click OK to attach documents.

Click **OK**. The Save and Attach fields displays to attach the file.

5. If, at step 4, you click **Save** instead of **Save and Attach**, a confirmation message displays: Would you like to save these actions?
6. Click **OK** to save the actions.

Oracle Financial Services Enterprise Case Management records the action, updates the case information, sets a new due-date or clears the existing due dates, and returns you to the refreshed Case List page or Details tab based on from where you took the action.

At any point of time in the pop-up, if you do not want to undertake the Due-date action, click **Cancel** on the pop-up window.

Adding Comments to a Case

If you are a Case Analyst I, Case Analyst II, or Case Supervisor, Oracle Financial Services Enterprise Case Management enables you to add comments to the selected cases through the Evidence tab, exclusive of any other actions.

When you save comments to a case, the status of that case does not change as a result of those comments. However, the Comment action is reflected in the audit of a case.

To add a comment to the case, follow these steps:

1. From the Case Details tab, navigate to the Evidence tab.
2. Select the **Add** icon in the Add Comments container.

A pop-up opens that support both free text comments and standard comments.

3. Provide a free text comments or a standard comment.

The standard comments are based on the current case type(s) and subtypes. You can select as many comments from the **Standard Comments** selection box as appropriate.

4. Save the comment.

Oracle Financial Services Enterprise Case Management records the action, updates the case information, and displays the added comments in the comments history of the Evidence tab.

Alternatively, you can also add comments from the Case Search & List page. Refer to the Chapter 4, *Case List Components* on page 44, for more information.

Adding and Removing Attachments

If you are a Case Analyst I, Case Analyst II, or Case Supervisor, Oracle Financial Services Enterprise Case Management enables you to add or remove attachments to the selected cases through the Evidence tab.

Adding an Attachment

You can add attachments to selected cases in OFSAAI, exclusive of any other actions or as a part of any other action.

Adding an attachment to a case enables you to attach relevant documents to the case. You might want to add information in order to make a decision about the case.

When you attach documents to a case, the status of that case does not change as a result of those attachments. However, the attachment action is reflected in audit trail of a case. The formats for attachments are deployment configurable.

To add an attachment to the case, follow these steps:

1. From the Case Details tab, navigate to the Evidence tab, and click the **Add** button in the Attachments matrix.

Alternatively, select one or more actions from any action category pop-up from the Case List or Details tab. Enter all mandatory values, and click the **Save & Attach** button.

The confirmation dialog box displays with the **OK** button.

2. Browse and select one or more files for the case in the **Choose a File to Attach** text box.
3. Enter the logical file name of the file being attached. This field is optional. If provided, the logical file name is displayed in the audit entries, else the physical file name is displayed.
4. Click the **Attach File** button.

The confirmation dialog box displays and Oracle Financial Services Case Management attaches the file to the selected case.

5. Click **OK**.

The application saves the attachment against the case and creates the respective audit entries.

You can add one or more attachments to the case at a time, and provide comments to all the attached documents. The attached document is accessible from the Audit tab against the respective entry.

Oracle Financial Services Enterprise Case Management records the action, updates the case information, and displays the attachment in the attachment history. Any comment added while taking the attachment action will be recorded on Audit tab.

Removing an Attachment

When you remove documents from a case, the status of that case does not change because of the removals. However, the removal action reflects in the audit trail of a case.

To remove an attachment from a case, follow these steps:

1. From the Case Details tab, navigate to the Evidence tab, and click the **Attachment** icon in the Attachment column of Attachments matrix.

The Attachment List matrix pop-up displays.

2. Select the check box next to each attachment that you want to remove.
3. Enter any additional comments you have regarding the removal of the attachment in the **Comments** text box.
4. Click the **Remove** button.

The confirmation dialog box displays.

5. Click **OK**.

This removes the attachments from the case and creates the respective audit entries.

You can remove one or more attachments from the case by selecting multiple check boxes from the list of Attachment matrix, and provide comments to all the removed attachments.

If you do not want to remove the selected attachments, click **Cancel**. You return to the Attachment List pop-up window.

Implicit Actions

Apart from actions that a user performs, there are actions that the system implicitly performs. The following are the implicit action:

- **Viewed by Owner:** The system records this action as a system action on a case, which has its ownership assigned to an authorized user, and that user navigates to the Details tab of the case for the first time. The action is recorded even though the user does not perform any action on the case.

If your firm has configured your implementation for case inheritance and the case is in the New or Reopened status, you will become the owner of the case based on the following conditions:

- The case is currently owned by an organization of which you are a member
- You have eligibility to own the case
- You navigate to the Case Details for the case

The system assigns you ownership of the case along with recording the Viewed by Owner action.

When a user belonging to a pool which owns a case, either takes action from the List page or visits the case details, the ownership transfers to the user. Case Inheritance is a configurable parameter where its functionality can be enabled or disabled. If the user reassigns the case to a group from the Case Details page, the ownership is transferred to the group and is not immediately shift back to the user. Thus, inheritance remains deferred till a user visits the case details or takes an action from the List page.

Note: Closed cases and cases owned by an individual user are not subject to case inheritance.

- **Viewed by Assignee:** The system records this action on a case, which has been assigned to an authorized user, and that user navigates to the Details tab of the case for the first time. The action is recorded even though the user does not perform any action on the case.
- **Promoted from Alert:** When a new case is created by promotion of one or more alerts, the action is recorded as the first entry in the audit of that case. This action is dependent upon your firm having implemented Oracle Financial Services Behavior Detection.
- **Regulatory Report action updates:** The system will record case audit entries for actions which are taken on a report in Regulatory Reporting where the case is the triggering case for the report.

Working with Regulatory Reporting

This chapter provides the high-level information on the Regulatory Reporting (RR). RR is integrated with the Oracle Financial Services Enterprise Case Management to allow users to generate reports automatically populated with information relevant to the investigation which triggered the need for report to be filed.

The chapter covers the following topics:

- About the Regulatory Reporting
- Where to Find More Information

About the Regulatory Reporting

As part of Regulations and Compliances, organizations are required to perform appropriate analysis and report any suspicious activities that may lead to fraud or money laundering within the institution to the regulatory authorities. These regulatory bodies are responsible for safeguarding financial institutions and consumers from abuse, providing transparency in the country's financial system, enhancing that country's security, and deterring and detecting criminal activity in the financial system.

As part of this goal, these regulatory bodies require the Financial Crimes Unit (FCU), also referred to as Financial Intelligence Units (FIUs), in financial institutions to provide data regarding suspicious activities. These reports, depending on the regulatory geographic region, can be delivered in either printed or electronic format.

Oracle Financial Services Regulatory Reporting supports the management, delivery and resolution of these regulatory reports across multiple geographic regions and across multiple financial lines of business. Since there are several differences in requirements for paper-based formats versus electronic formats, and between different geographic regions and the data elements that are required on these reports, the approach to satisfying the end goal is to provide a Regulatory Reporting framework that is configured to support paper-based and electronic formats for different geographic regions and to generate and file different types of reports.

RR is integrated with the Oracle Financial Services Enterprise Case Management to allow users to generate reports automatically populated with information relevant to the investigation which triggered the need for report to be filed. Regulatory Reporting is an optional product. Access to RR actions and functions depends on whether your firm have implemented the Regulatory Reporting.

Where to Find More Information

In order to have more information about the Oracle Financial Services Regulatory Reporting application, refer to the following RR 2.0 documents:

- Install Guide
- Web Services Guide
- Data Model Ref Guide
- Release Notes

In addition, RR 2.0 has the following form-specific documents:

- User Guide and Admin Guide for SGSTR
- User Guide and Admin Guide for MYSTR
- User Guide and Admin Guide for NGSTR

Generating Interactive Analytic Reports

This chapter describes the Oracle Financial Services Interactive Analytic Reports reports and covers the following topics:

- About Interactive Analytic Reports
- AML Reports
- Fraud Reports
- Productivity Reports
- Drill-Down Reports

About Interactive Analytic Reports

If you have Oracle Business Intelligence, Enterprise Edition (OBIEE) installed at your site, you will have access to the Oracle Financial Services Interactive Analytic reports.

Accessing the Interactive Analytic Reports Workflow

You can access the Oracle Financial Services Enterprise Case Management Interactive Reports by clicking the **Reports** menu available as part of the primary navigation bar.

Upon navigation, you will see the dashboard tabs: AML, Productivity, and Fraud based on user access. By default, AML dashboard displays first. You can select a different dashboard by clicking on the name of that dashboard on the tabs displayed at the top of the page (Figure 35).

Figure 35 displays the Oracle Interactive Dashboards for the Interactive Analytic Reports.

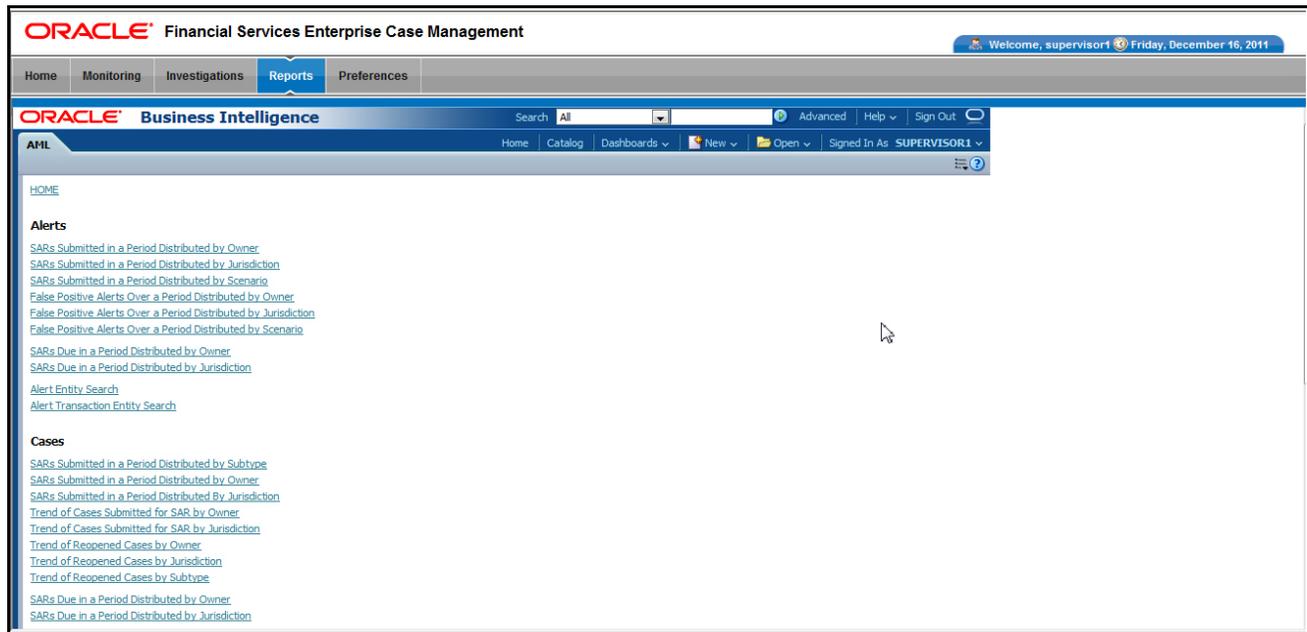


Figure 35. Interactive Analytic Reports Home Page

Screen Elements Common to the Interactive Analytic Reports

The following section describes the common screen elements on the Oracle Financial Services Interactive Analytic Reports user interface.

Dashboard Filters

The dashboard filters allow you to filter the reports by the data contained within them. The data in the filters depends on the user that has logged on to the system. Unless otherwise designated, the filters are optional and the report you generate will contain all the data (if the filters are left blank) or the data that is screened by the default data existing in the filters. After selecting the required filters, you click the **Go** button to generate the report. The filter elements are categorized as follows:

Multi-Select Filters

A multi-select filter allows you to select multiple values as a filter condition for the reports. To use a multi-select filter, click on the ellipsis button next to the field. A window opens with the list of available filter options on the right pane (Figure 36). The right of the multi-select box provides a list of the filter options available to you. At the top of this list, you have the option to further filter the data. You can select the type of match from one of the following options: **begins with**, **ends with**, **contains**, **is LIKE (pattern match)** and the condition you require. For example, if you want to find the data beginning with the letter **K**, you select **begins with** on the **Match** field, enter the letter **K** in the corresponding text box, and click **Go**. The results returned will be all the data starting with the letter K. This search is not case-sensitive.

Below this section the number of choices returned is displayed. The section on the left provides a space for selected data. To select a data item for the filter, double-click on the data item or select the data and click the (<) button. You can also select all the data by clicking the (<<) button. To deselect the data from the Selected section,

double-click on the data you do not want to use as a filter, or select the data and click the (>) button. You can deselect all the data from the Selected list box by clicking the (>>) button. When you have selected the required filters, click **OK** to confirm the selection, or **Cancel** to discard it.

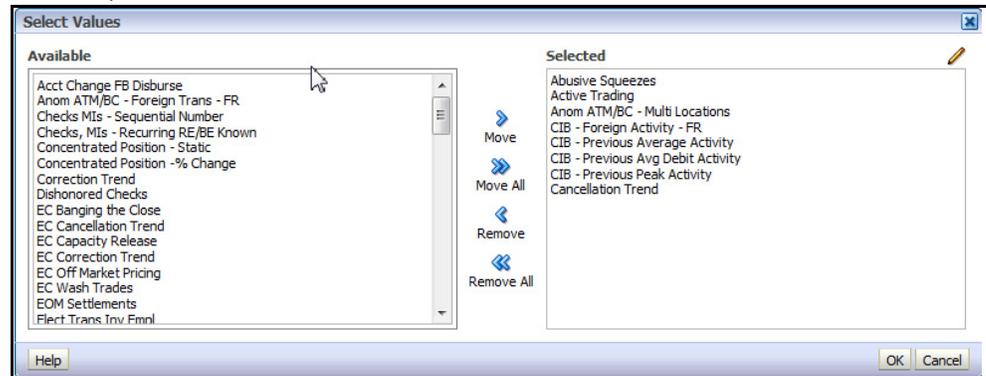


Figure 36. Multi-select Box for Interactive Analytic Reports

Drop-Down Filters

Drop-down filters provide a list of items from which you can select one item. Selecting the blank (empty) option applies no filter to your selections. Following are the drop-down lists common to Interactive Analytic Reports.

Trend Drop-down

The trend drop-down provides two values—Weekly and Monthly. The weekly trend displays the data for the past rolling quarter on a weekly basis. The monthly trend displays the data for the past rolling year on a monthly basis.

Period Drop-down

The period drop-down provides a list of three options—Week, Month, and Year. The Week option returns data for the past one week; the Month option returns data for the past one month; and the Year option returns data for the past one year.

Text Box Filters

A single rectangular box in which you can type text. If the box already contains text, you can select that default text or delete it and type new text. Some text boxes limit the number of characters that you can use.

Report Links

Report links are provided beneath each report allowing you to refresh, download, or print the report.

Refresh

When clicked, the **Refresh** link refreshes the results of the current request. It clears the filters (if the **Go** button has not been clicked after selection of the filters thereby refreshing the report with the selected filters).

Print

When clicked, displays the current report in PDF or HTML format at which point you can select **Print** to print it.

Download

When clicked, downloads the current report into Excel, PowerPoint, or a Web page.

Error Messages

When there is not enough data in the database for the system to display results for the selected filters, or if a required field has not been filled, the application generates the following message: No Result For the Selected Criteria. You can then change the filters, check to see if any mandatory fields are left blank, and try again.

Mouseover Feature

You can mouseover a sector of a bar or pie chart to get an actual count for that sector.

Navigating the Reports

The Oracle Financial Services Enteractive Case management Interactive Analytic Reports provide three separate dashboards:

- AML
- Fraud
- Productivity

By default, the AML dashboard the first report you see when you access the Interactive Analytic reports. You can click on one of the tabs at the top of the dashboard to access a different dashboard. The tab for the current dashboard remains highlighted.

For each of the AML and Productivity reports, there are links on the left of the screen divided into various categories such as Alerts, Cases, Others, Financials, and so forth. Under each category there are links to the various individual reports within that category. To access a report, click on the link displaying the name of the report that you want to view.

Access to all reports is based on access permissions provided to your role. For example, if you are mapped only to a case user role, the reports under Alerts category will not be displayed on click of the report names. Refer to *Chapter 1, User Privileges*, on page 7, to get the list of reports accessible by various user roles.

Customizing the Reports

You can customize the Interactive Analytic Reports; however, customization information is not documented in this guide. Refer to the *Oracle Financial Services Behavior Detection Platform Configuration Guide* for customization information.

AML Reports

The Anti-Money Laundering (AML) reports are divided into three categories, Alerts, Cases, and Others (Figure 37).

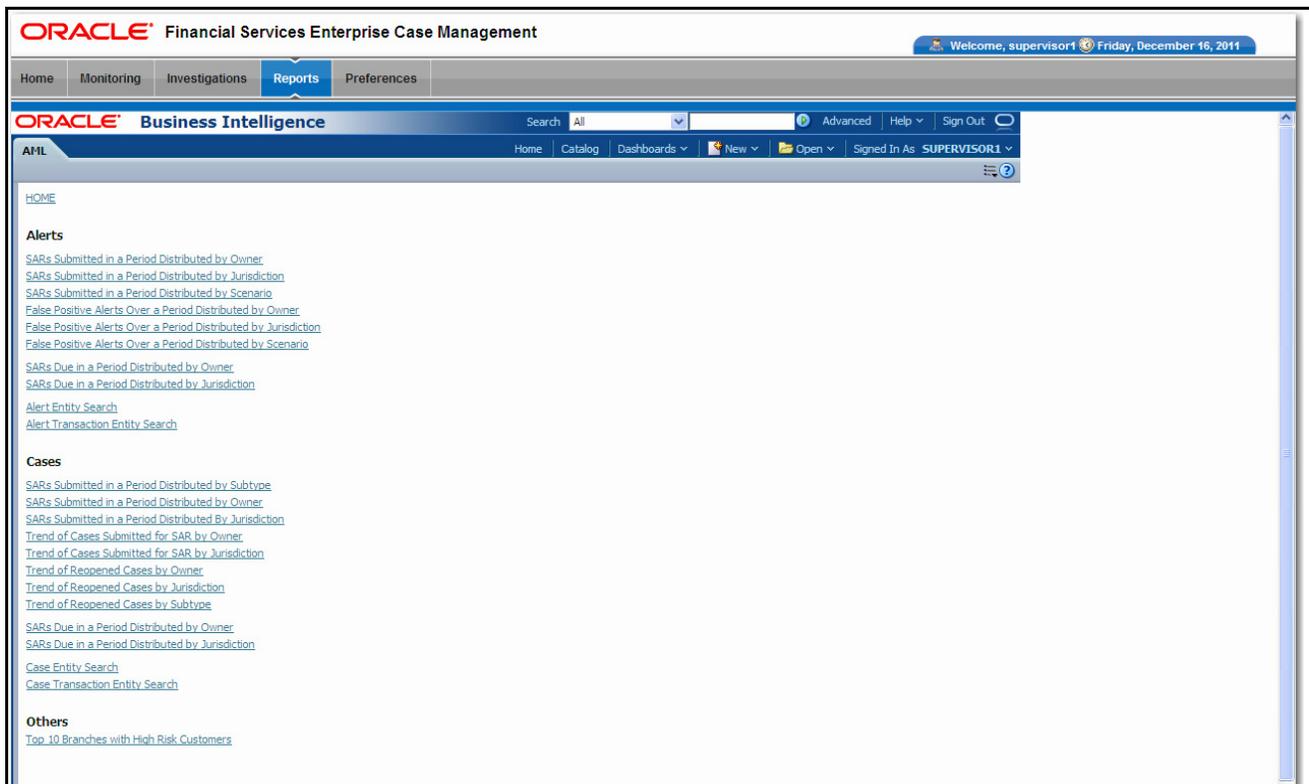


Figure 37. AML Reports Dashboard

AML Reports for Cases

The following AML reports are generated for cases:

- **SARs Submitted in a Period Distributed by Subtype:** Displays a pie chart for the count of SARs submitted in a period associated with cases, distributed by case type, and filtered by Owner, Jurisdiction, and Period.
- **SARs Submitted in a Period Distributed by Owner:** Displays a pie chart for the count of SARs submitted in a period associated with cases and distributed by owner.
- **SARs Submitted in a Period Distributed by Jurisdiction:** Displays a pie chart for the count of SARs submitted in a period associated to cases, distributed by jurisdiction and optionally filtered by owner, jurisdiction and period.
- **Trend of Cases Submitted for SAR by Owner:** Displays clustered bar graph reports for cases submitted in a period for a SAR distributed by owner.

- **Trend of Cases Submitted for SAR by Jurisdiction:** Displays clustered bar graph reports for cases submitted in a period for a SAR distributed by jurisdiction.
- **Trend of Reopened Cases by Owner:** Displays clustered bar graph reports for cases reopened in a period distributed by owner.
- **Trend of Reopened Cases by Jurisdiction:** Displays clustered bar graph reports for cases reopened in a period distributed by jurisdiction.
- **Trend of Reopened Cases by Subtype:** Displays clustered bar graph reports for cases reopened in a period distributed by case type.
- **SARs Due in a Period Distributed by Owner:** Displays a pie chart for SARs due during a period by owners of the underlying investigation.
- **SARs Due in a Period Distributed by Jurisdiction:** Displays a pie chart for SARs due during a period for jurisdictions associated to the underlying investigation.
- **Case Entity Search:** Displays a pie chart for cases that are associated to the entity of interest to the user.
- **Case Transaction Entity Search:** Displays a pie chart for cases that contain the transaction of interest to the user.

SARs Submitted in a Period Distributed by Subtype

This report displays a pie chart showing the count of SARs associated with cases in FILED status and distributed by case type, owner and jurisdiction. Each section of the pie chart denotes the count of SARs within a time period and for a selected owner and jurisdiction. When you click on the report link, the system displays the pie chart for the all the available owners and jurisdictions associated to login user and filtered by the period shown in the **Period** drop-down list.

By default, the value in the **Period** drop-down list is Month. For example, if the selected period is Month and the report run date is June 14th, then the system displays the count of SARs associated with cases by case type between May 14th and June 14th;

in other words, for the past one month. Similarly, the report can display data for a week or a year (Figure 38).

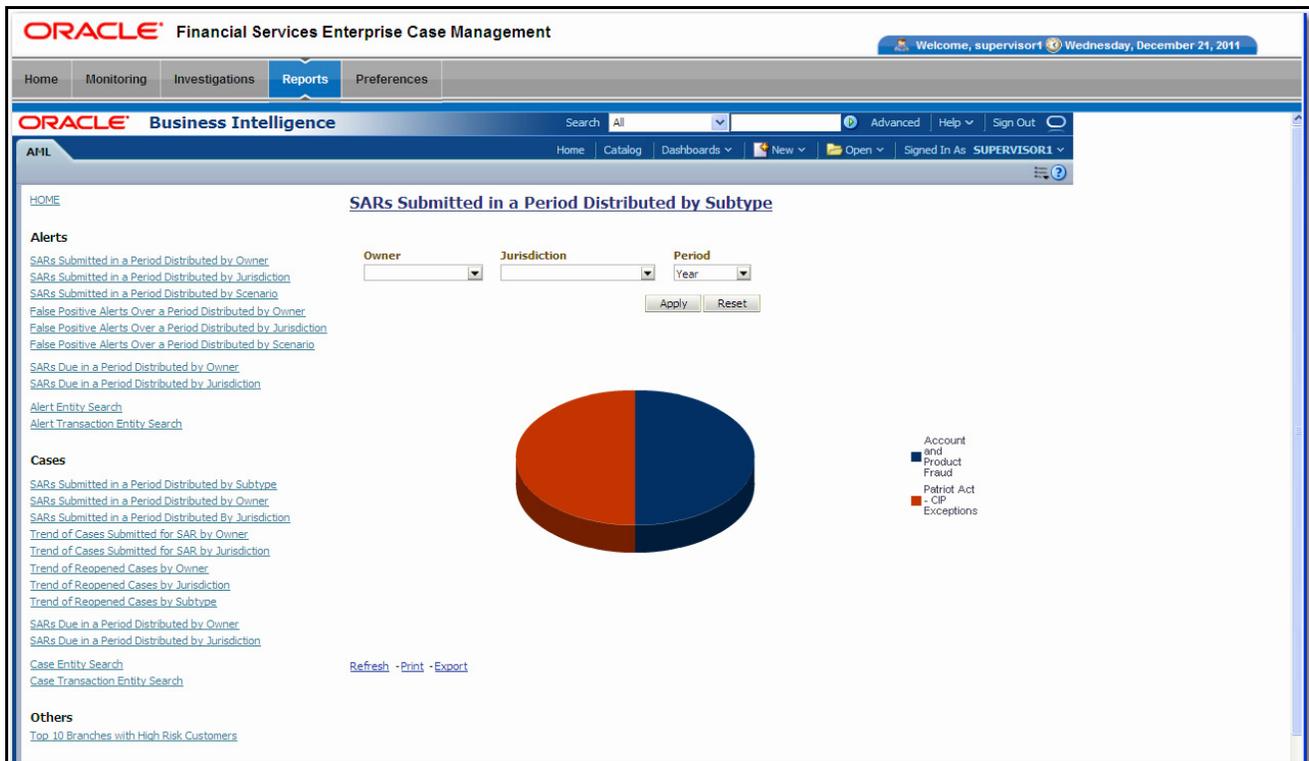


Figure 38. SARs Submitted in a Period Distributed by Subtype

The following are the filter options available for this report:

- **Owner:** A multi-select filter that provides a list of current owners associated with the case. The list of names presented in the Owner selection box is sorted alphabetically in ascending order by the owner display name. By default, the system initially selects a blank value.
- **Jurisdiction:** A multi-select filter that provides a list of jurisdictions associated with the case. The list of names presented in the Jurisdiction selection box is sorted alphabetically in ascending order by the jurisdiction display name. By default, the system initially selects a blank value.
- **Period:** A drop-down list box that allows you to select the SARs submitted within the past week, month or year. The default value is Month.

When you click on a section of the pie chart, a corresponding SAR List drill-down report displays in tabular format. Refer to *SAR List*, on page 158, for an example of a SAR List drill-down report.

SARs Submitted in a Period Distributed by Owner

This report displays a pie chart showing the count of SARs associated with cases in FILED status and distributed by owner. Each section of the pie denotes the count of SARs within a time period and for a selected owner. When you click on the report link, the system displays the pie chart for the all the owners available to be viewed by you and filtered by the period shown in the Period drop-down.

By default, the value in the **Period** drop-down list is Month. For example, if the selected period is Month and the report run date is June 14th, then the system displays the count of SARs for the selected scenario between May 14th and June 14th; in other words, for the past one month. Similarly, the report can display data for a week or a year (Figure 39).

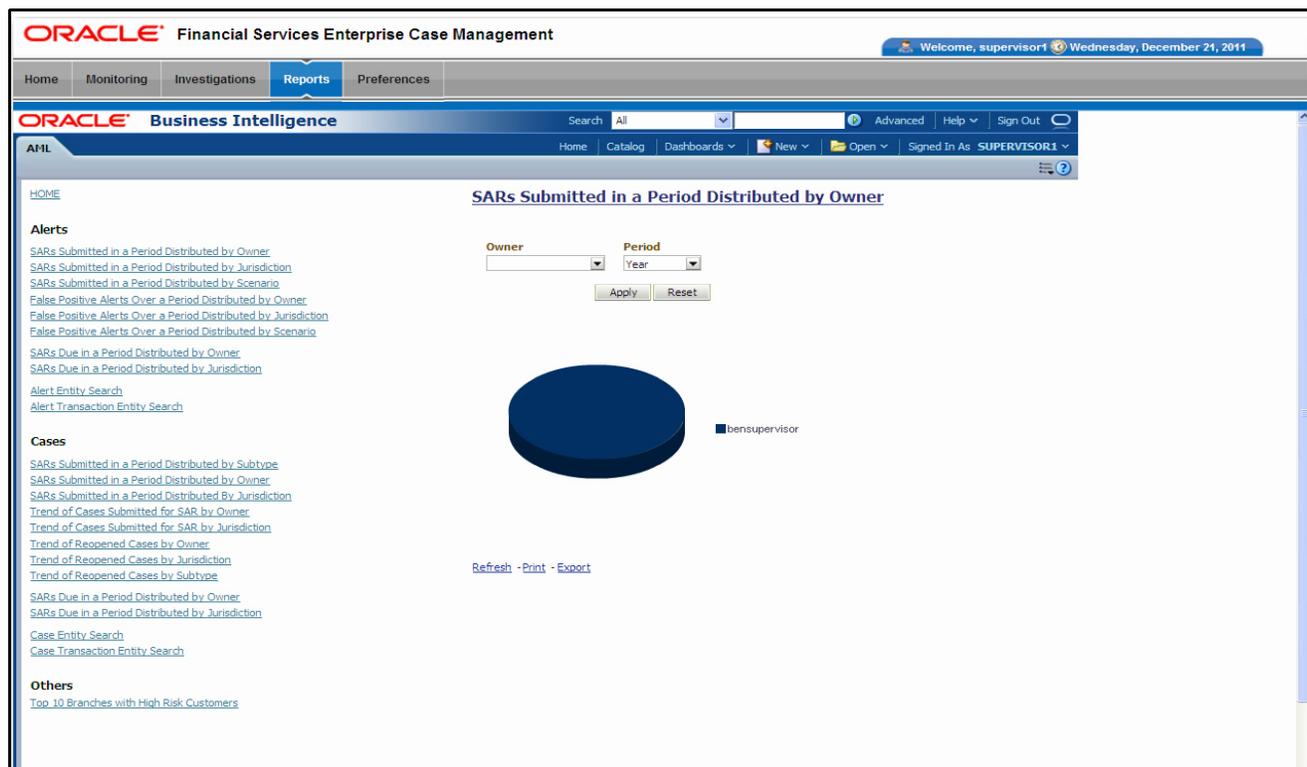


Figure 39. SARs Submitted in a Period Distributed by Owner

Following are the filter options available for this report:

- **Owner:** A multi-select filter that provides a list of current owners associated with the case. The list of names presented in the Owner selection box is sorted alphabetically in ascending order by the owner display name. By default, the system initially selects a blank value.
- **Period:** A drop-down list box that allows you to select the SARs submitted within the past week, month or year. The default value is Month.

When you click on a section of the pie chart, a corresponding SAR List drill-down report displays in tabular format. Refer to *SAR List*, on page 158, for an example of a SAR List drill-down report.

SARs Submitted in a Period Distributed by Jurisdiction

This report displays a pie chart showing the count of SARs associated with cases in FILED status and distributed by jurisdiction. Each section of the pie denotes the count of SARs within a time period and for a selected jurisdiction. When you click on the report link, the system displays the pie chart for the all the jurisdictions available to be viewed by you and filtered by the period shown in the **Period** drop-down list.

By default, the value in the **Period** drop-down list is Month. For example, if the selected period is Month and the report run date is June 14th, then the system displays the count of SARs associated with cases distributed by jurisdiction between May 14th and June 14th; in other words, for the past one month. Similarly, the report can display data for a week or a year (Figure 40).

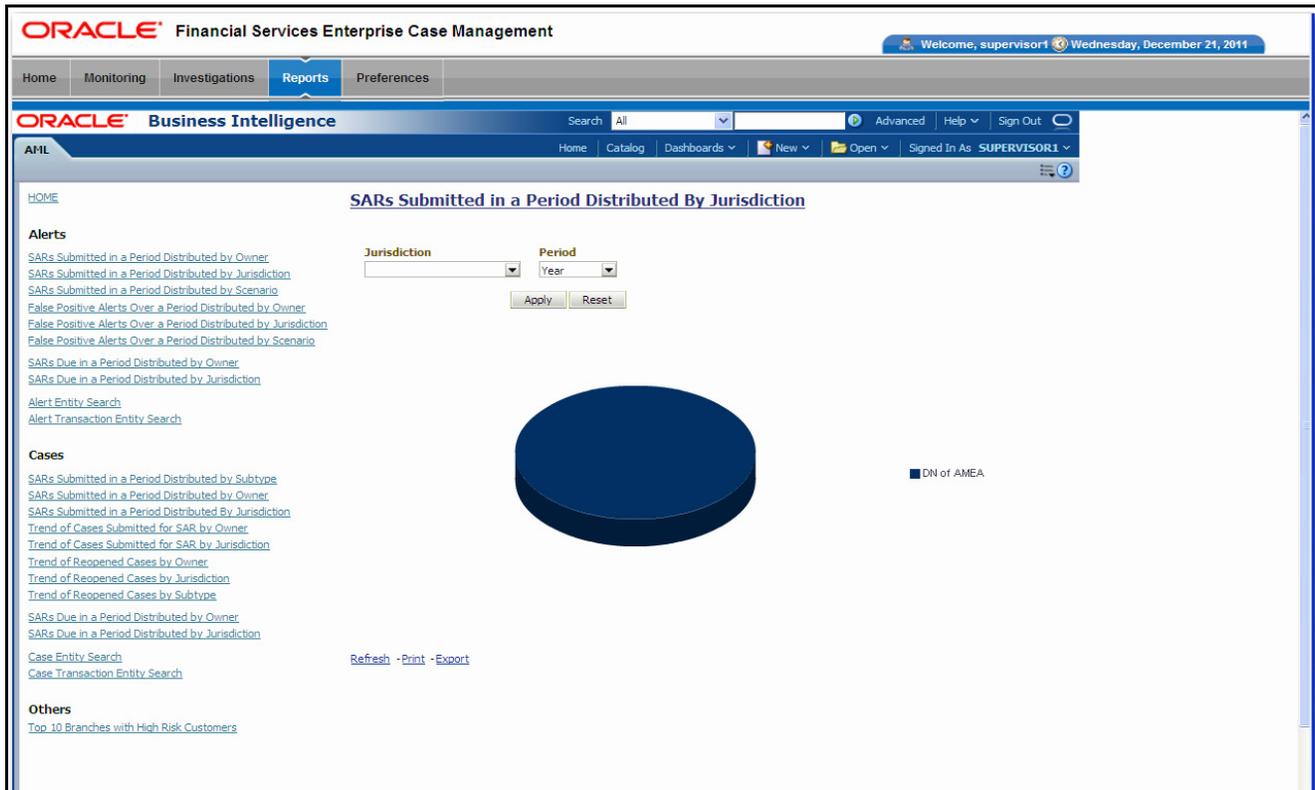


Figure 40. SARs Submitted in a Period Distributed by Jurisdiction

Following are the filter options available for this report:

- **Type:** A multi-select filter that provides a list of case subtypes associated with the cases for the SAR. By default, the system initially selects a blank value.
- **Period:** A drop-down list box that allows you to select the SARs submitted within the past week, month or year. The default value is Month.

When you click on a section of the pie chart, a corresponding SAR List drill-down report displays in tabular format. Refer to *SAR List*, on page 158, to see an example of a SAR List drill-down report.

Trend of Cases Submitted for SAR by Owner

This report displays the trend of cases submitted for SAR and distributed by owners across the time window by period. It shows a clustered bar of owners in each period. Each bar chart section shows the count of cases in that particular period (Figure 41).

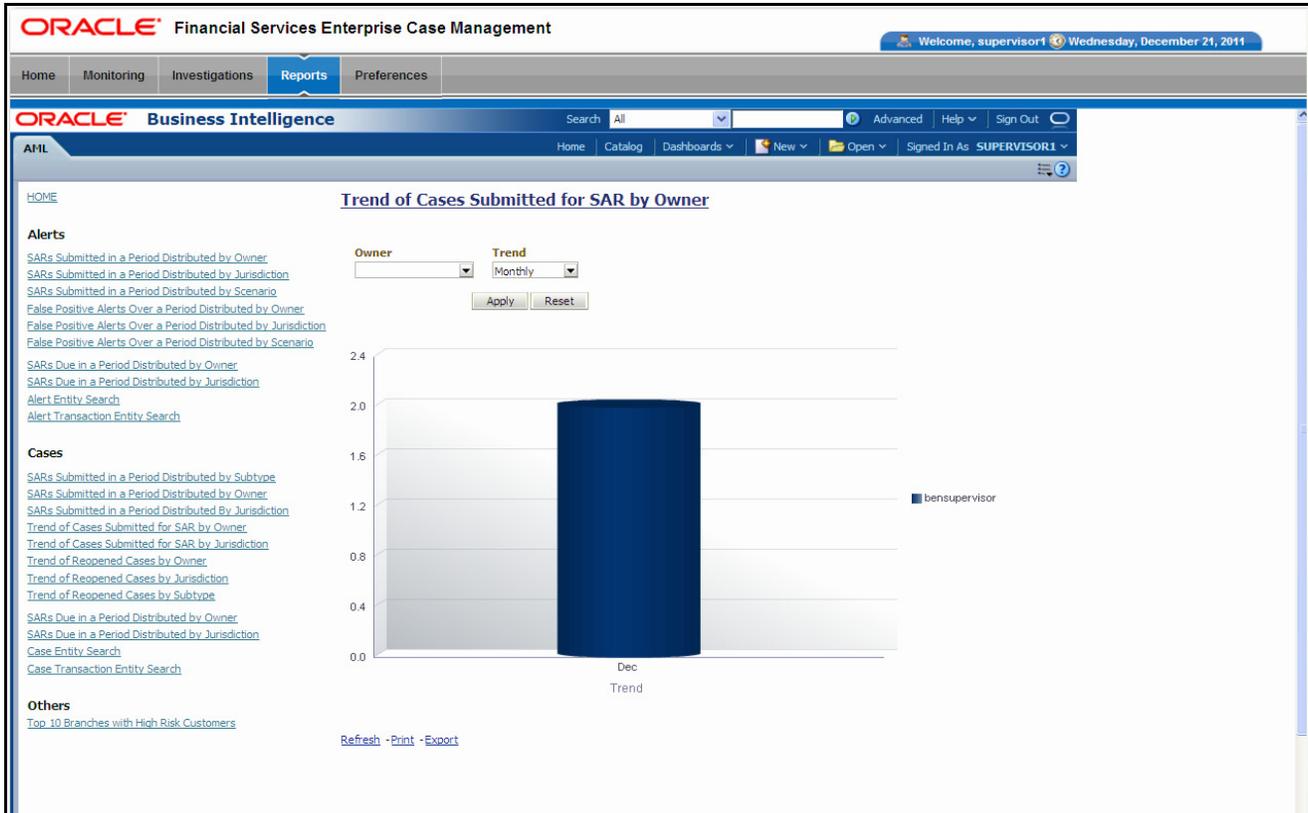


Figure 41. Trend of Cases Submitted for SAR by Owner

Following are the filter options available for this report:

- **Owner:** A multi-select filter that provides a list of current owners associated with the cases for the SAR. By default, the system initially selects a blank value.
- **Trend:** A drop-down list box that provides two options: Weekly and Monthly. When you select **Weekly**, the time window is the current rolling quarter. The system displays data from the current month-to-date plus the last 2 months on a weekly basis. When you select **Monthly**, the time window is the current rolling year. The system displays data from the current month-to-date plus the last 11 months on a monthly basis. The default value for this filter is Week.

When you click on a section of the bar chart, the corresponding SAR List drill-down report displays. Refer to *SAR List*, on page 158, for an example of a SAR List drill-down report.

Trend of Cases Submitted for SAR by Jurisdiction

This report displays the trend of cases submitted for SAR and distributed by jurisdiction across the time window by trend frequency. It shows a clustered bar of

jurisdictions in each period. Each bar chart section shows the count of cases in that particular period (Figure 42).



Figure 42. Trend of Cases Submitted for SAR by Jurisdiction

Following are the filter options available for this report:

- **Jurisdiction:** A multi-select filter that provides a list of jurisdictions associated with the case. The list of names presented in the Jurisdiction selection box is sorted alphabetically in ascending order by the jurisdiction display name. By default, the system initially selects a blank value.
- **Trend:** A drop-down list box that provides two options: Weekly and Monthly. When you select **Weekly**, the time window is the current rolling quarter. The system displays data from the current month-to-date plus the last 2 months on a weekly basis. When you select **Monthly**, the time window is the current rolling year. The system displays data from the current month-to-date plus the last 11 months on a monthly basis. The default value for this filter is Week.

When you click on a section of the bar chart, the corresponding SAR List drill-down report displays. Refer to *SAR List*, on page 158, for an example of a SAR List drill-down report.

Trend of Reopened Cases by Owner

This report displays the trend of reopened cases distributed by owner across the time window by period. It shows a clustered bar of owners in each period. Each bar chart section shows the count of cases in that particular period (Figure 43).



Figure 43. Trend of Reopened Cases by Owner

Following are the filter options available for this report:

- **Owner:** A multi-select filter that provides a list of current owners associated with the case. The list of names presented in the Owner selection box is sorted alphabetically in ascending order by the owner display name. By default, the system selects a blank value.
- **Trend:** A drop-down list box that provides two options: Weekly and Monthly. When you select **Weekly**, the time window is the current rolling quarter. The system displays data from the current month-to-date plus the last 2 months on a weekly basis. When you select **Monthly**, the time window is the current rolling year. The system displays data from the current month-to-date plus the last 11 months on a monthly basis. The default value for this filter is Week.

When you click on a section of the bar chart, the corresponding Case List drill-down report displays. Refer to *Case List*, on page 157, to see an example of a Case List drill-down report.

Trend of Reopened Cases by Jurisdiction

This report displays the trend of reopened cases distributed by jurisdiction across the time window by trend frequency. It shows a clustered bar of jurisdictions in each period. Each bar chart section shows the count of cases in that particular period (Figure 44).



Figure 44. Trend of Reopened Cases by Jurisdiction

Following are the filter options available for this report:

- **Jurisdiction:** A multi-select filter that provides a list of jurisdictions associated with the case. The list of names presented in the Jurisdiction selection box is sorted alphabetically in ascending order by the jurisdiction display name. By default, the system initially selects a blank value.
- **Trend:** A drop-down list box that provides two options: Weekly and Monthly. When you select **Weekly**, the time window is the current rolling quarter. The system displays data from the current month-to-date plus the last 2 months on a weekly basis. When you select **Monthly**, the time window is the current rolling year. The system displays data from the current month-to-date plus the last 11 months on a monthly basis. The default value for this filter is Week.

When you click on a section of the bar chart, the corresponding Case List drill-down report displays. Refer to *Case List*, on page 157, for an example of a Case List drill-down report.

Trend of Reopened Cases by Subtype

This report displays the trend of reopened cases distributed by case subtype across the time window by period. It shows a clustered bar of case subtypes in each period. Each bar chart section shows the count of cases in that particular period (Figure 45).

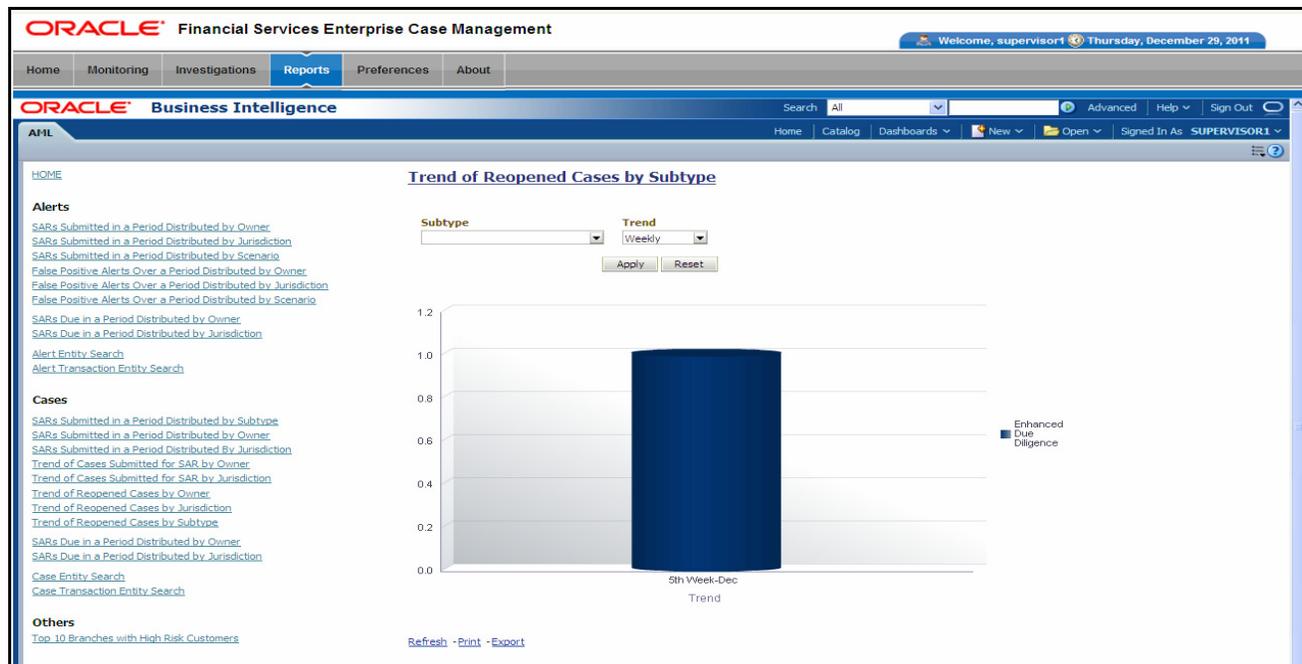


Figure 45. Trend of Reopened Cases by Subtype

The following are the filter options available for this report:

- **Type:** A multi-select filter that provides a list of case subtypes associated with the cases for the SAR. The list of names presented in the Type selection box is sorted alphabetically in ascending order by the case subtype display name. By default, the system initially selects a blank value
- **Trend:** A drop-down list that provides two options: weekly and monthly. When you select **Weekly**, the system displays data from the current month-to-date plus the last 2 months on a weekly basis. When you select **Monthly**, the system displays data from the current month-to-date plus the last 11 months on a monthly basis

When you click on a section of the bar chart, the corresponding Case List drill-down report displays. Refer to *Case List*, on page 157, for an example of a Case List drill-down report.

SARs Due in a Period Distributed by Owner

This report displays a pie chart showing the count of SARs due within the period and distributed by Owner. The SAR due date is defined as 30 days from the date the SAR was opened. When you click on the report link, the system displays the pie chart for the all the owners available to be viewed by you and filtered by the period shown in the Period drop-down.

By default, the value in the Period drop-down list is Month. For example, if the selected period is Month and the report run date is June 14th, then the system displays the count of SARs for the selected owner between May 14th and June 14th; in other

words, for the past one month. Similarly, the report can display data for a week or a year (Figure 46).

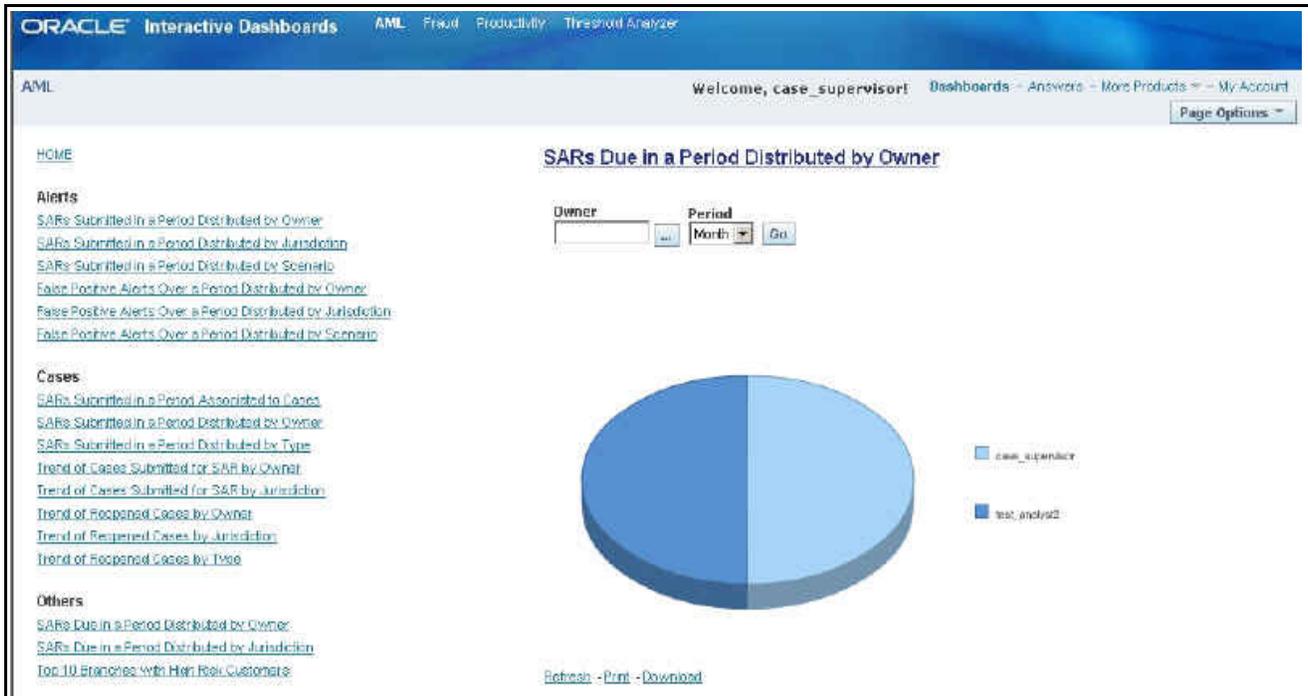


Figure 46. SARs Due in a Period Distributed by Owner

Following are the filter options available for this report:

- **Owner:** A multi-select filter that provides a list of current owners associated with the underlying investigation. The list of names presented in the Owner selection box is sorted alphabetically in ascending order by the owner display name. By default, the system selects a blank value.
- **Period:** A drop-down list box that allows you to select the SARs distributed by Owner due within the past week, month or year. The default value is Month.

When you click on a section of the pie chart, the corresponding SAR List drill-down report displays. Refer to *SAR List*, on page 158, for an example of a SAR List drill-down report.

SARs Due in a Period Distributed by Jurisdiction

This report displays a pie chart showing the count of SARs in OPEND status and distributed by Jurisdiction associated to the underlying investigation. Each section of the pie chart denotes the count of SARs due within a time period for selected jurisdictions. The SAR due-date is defined as 30 days from the date the SAR was opened. When you click on the report link, the system displays the pie chart for the all the jurisdictions available to be viewed by you and filtered by the period shown in the **Period** drop-down list.

By default, the value in the **Period** drop-down list is Month. For example, if the selected period is Month and the report run date is June 14th, then the system displays the count of SARs for the selected jurisdiction between May 14th and June 14th. In

other words, for the past one month. Similarly, the report can display data for a week or a year (Figure 47).

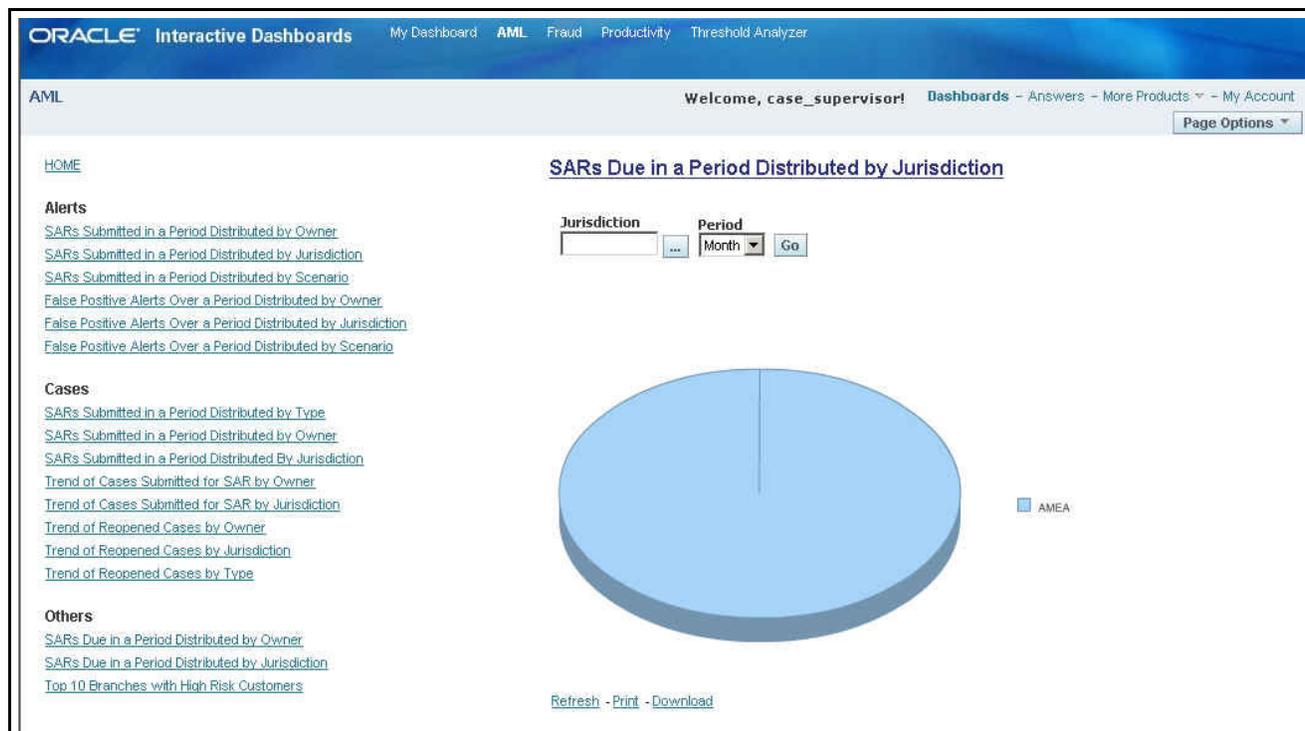


Figure 47. SARs Due in a Period Distributed by Jurisdiction

Following are the filter options available for this report:

- **Jurisdiction:** A multi-select filter that provides a list of jurisdictions. The list of names presented in the Jurisdiction selection box is sorted alphabetically in ascending order by the jurisdiction display name. By default, the system initially selects a blank value.
- **Period:** A drop-down list box that allows you to select the SARs distributed by Jurisdiction due within the past week, month or year. The default value is Month.

When you click on a section of the pie chart, the corresponding SAR List drill-down report displays. Refer to *SAR List*, on page 158, for an example of a SAR List drill-down report.

Case Entity Search

This report shows information related to cases that are associated to the entity of interest to the user. This is a pie chart report. Each section of the pie chart represents the case within the selected case subtype, status, and jurisdiction.

You can enter an entity and search for those cases, which have an association to that entity as a business entity.

On mouse over to a pie in the chart, the name of the subtype and the number of cases found for that subtype displays (Figure 48).

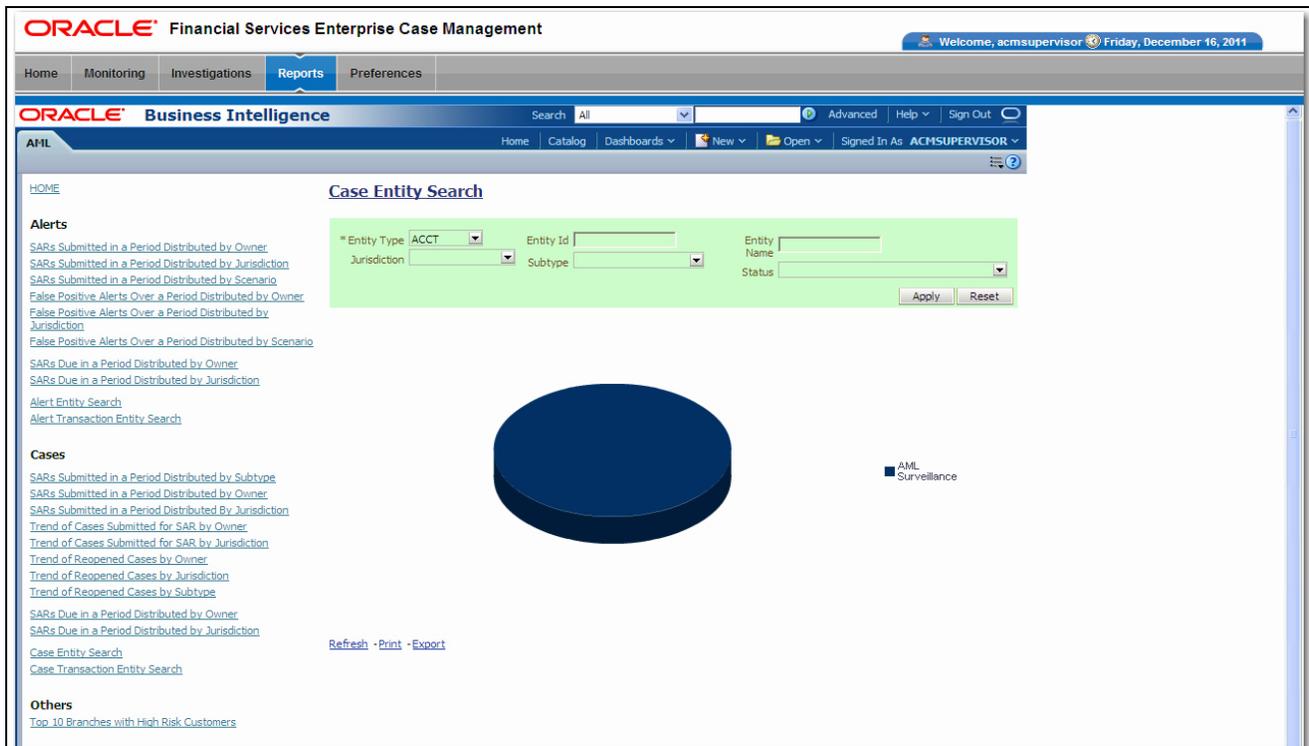


Figure 48. Case Entity Search for AML

Following are the filter options available for this report:

- **Entity Type:** A drop-down list box that provides a list of entity types associated with the case. The display names list is sorted alphabetically in ascending order by the entity type display name. By default, the system initially selects a blank value.
- **Entity ID:** A text box that allows you to search based on the entity identifier. By default, the system initially selects a blank value.
- **Entity Name:** A text box that allows you to search based on the entity name. By default, the system initially selects a blank value.
- **Jurisdiction:** A multi-select drop-down list box that allows you to select from the list of jurisdictions associated with the case entity. The list of names presented in the **Jurisdiction** multi-select drop down list box is sorted alphabetically in ascending order by the jurisdiction display name. By default, the system initially selects a blank value.
- **Status:** A multi-select drop-down list box that allows you to select from the list of statuses associated with the case entity. The list of names presented in the **Status** multi-select drop down list box is sorted alphabetically in ascending order by the jurisdiction display name. By default, the system initially selects a blank value.

- **Subtype:** A multi-select drop-down list box that allows you to select from the list of subtypes associated with the case entity. The list of names presented in the **Status** multi-select drop down list box is sorted alphabetically in ascending order by the jurisdiction display name. By default, the system initially selects a blank value.

When you click a particular pie in the chart, a drill-down report displays the case information and having a **View Case** link. Clicking the **View Case** link opens a pop-up along with the Case Details page.

Case Transaction Entity Search

This report shows information related to cases that contain the transaction of interest to the user. This is a pie chart report. Each section of the pie chart represents result in terms of the subtypes of the cases within the selected subtypes, status, and jurisdiction.

You can enter a transaction and search for those cases, which have an association to that transaction entity. On mouse over to a pie in the chart, the name of the subtype and the number of cases found for that subtype displays (Figure 49).

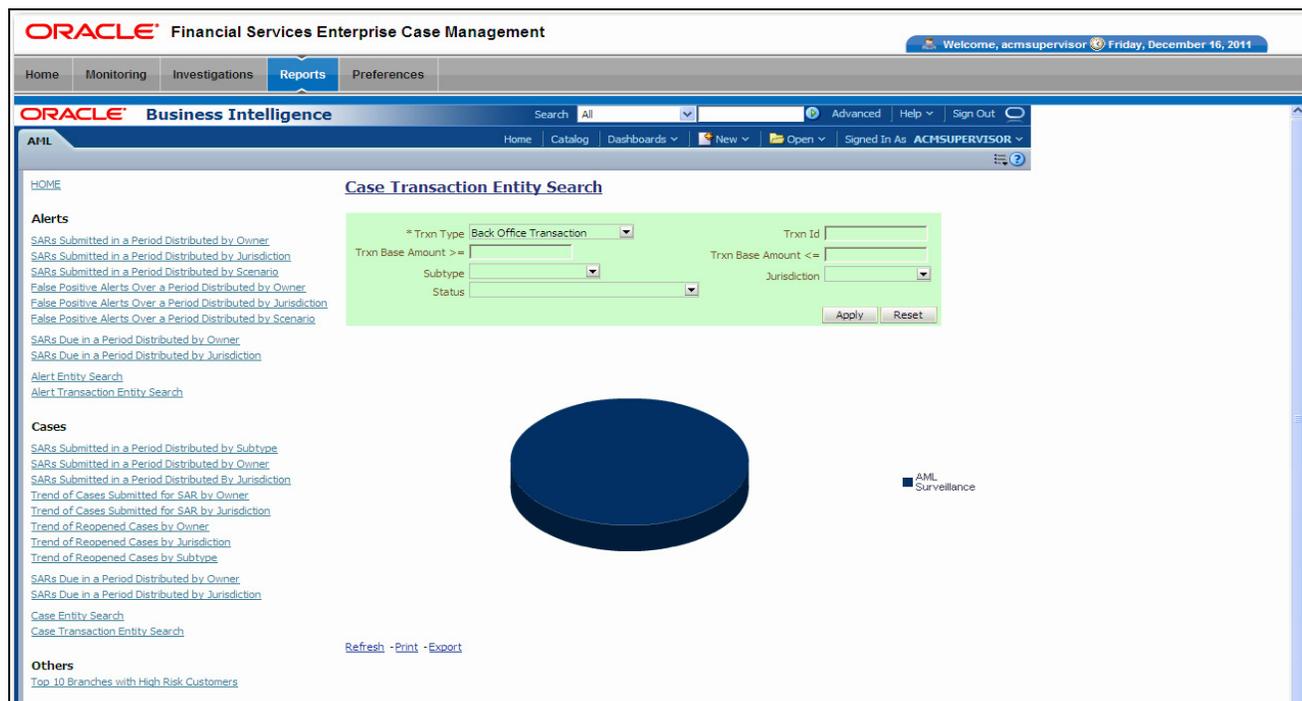


Figure 49. Case Transaction Entity Search for AML

Following are the filter options available for this report:

- **Trxn Type:** A drop-down list box that provides a list of transaction types associated with the case. The display names list is sorted alphabetically in ascending order by the transaction type display name. By default, the system initially selects a blank value.
- **Trxn ID:** A text box that allows you to search based on the transaction identifier. By default, the system initially selects a blank value.
- **Trxn Base Amount >=:** A text box that allows you to search based on the transaction base amount greater than or equal to. By default, the system initially

selects a blank value. The results include only those alerts for which the transaction base amount satisfies the user entered condition.

- **Trxn Base Amount <=:** A text box that allows you to search based on the transaction base amount less than or equal to. By default, the system initially selects a blank value. The results include only those alerts for which the transaction base amount satisfies the user entered condition.
- **Jurisdiction:** A multi-select drop-down list box that allows you to select from the list of jurisdictions associated with the case transaction entity. The list of names presented in the **Jurisdiction** multi-select drop down list box is sorted alphabetically in ascending order by the jurisdiction display name. By default, the system initially selects a blank value.
- **Status:** A multi-select drop-down list box that allows you to select from the list of statuses associated with the case transaction entity. The list of names presented in the **Status** multi-select drop down list box is sorted alphabetically in ascending order by the jurisdiction display name. By default, the system initially selects a blank value.
- **Subtype:** A multi-select drop down list box that allows you to select from the list of subtype associated with the case transaction entity. The list of names presented in the **Subtype** multi-select drop-down list box is sorted alphabetically in ascending order by the jurisdiction display name. By default, the system initially selects a blank value.

When you click a particular pie in the chart, a drill-down report displays the alert information and having a **View Case** link. Clicking the **View Case** link opens a pop-up along with the Case Details page.

AML Reports for Others

The Others report for the AML is the **Top 10 Branches with High Risk Customers**. This report displays a stacked bar graph for each of the top 10 branches of an organization that have the largest number of high risk customers.

Top 10 Branches with High Risk Customers

This report displays a stacked bar for each of the top 10 highest risk branches for an organization. Each bar shows the count of customers for that branch segmented into a risk level from 6 to 10. Each color on the bar corresponds to a risk level specified on

the legend axis. There is no drill-down capability and no filtering mechanism for this report (Figure 50).

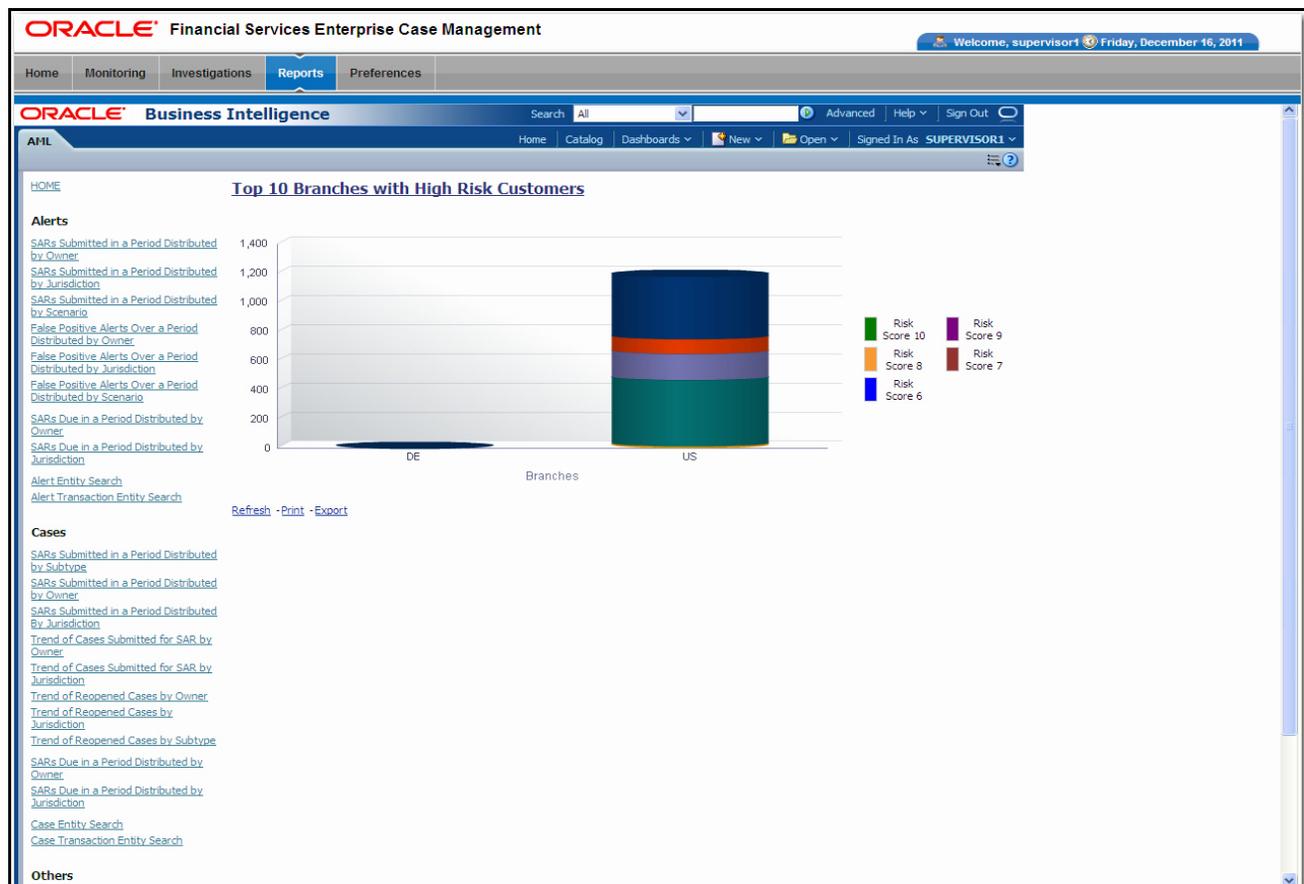


Figure 50. Top 10 Branches with High Risk Customers

Fraud Reports

Fraud reports contain Regulatory Activity, Financials, Alerts, and Cases reports (Figure 51).

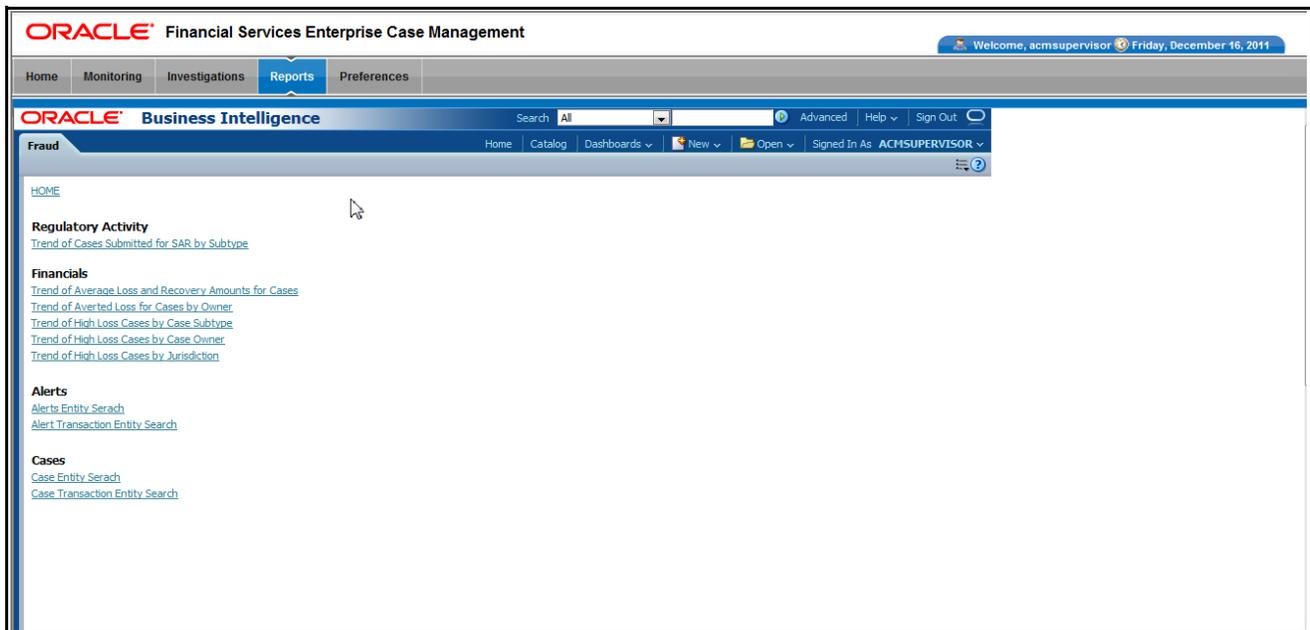


Figure 51. Fraud Reports Dashboard

Fraud Reports for Regulatory Activity

There is one Fraud Report for Regulatory Activity, as follows:

- **Trend of Cases Submitted for SAR by Subtype:** Displays a bar chart that shows the trend of cases submitted for SAR reports on a weekly or monthly basis.

Trend of Cases Submitted for SAR by Subtype

This report shows the trend of cases submitted for the SAR by case type across the time window by trend frequency. It shows a clustered bar of case types in each period. Each bar chart section shows the count of cases in that particular period (Figure 52).

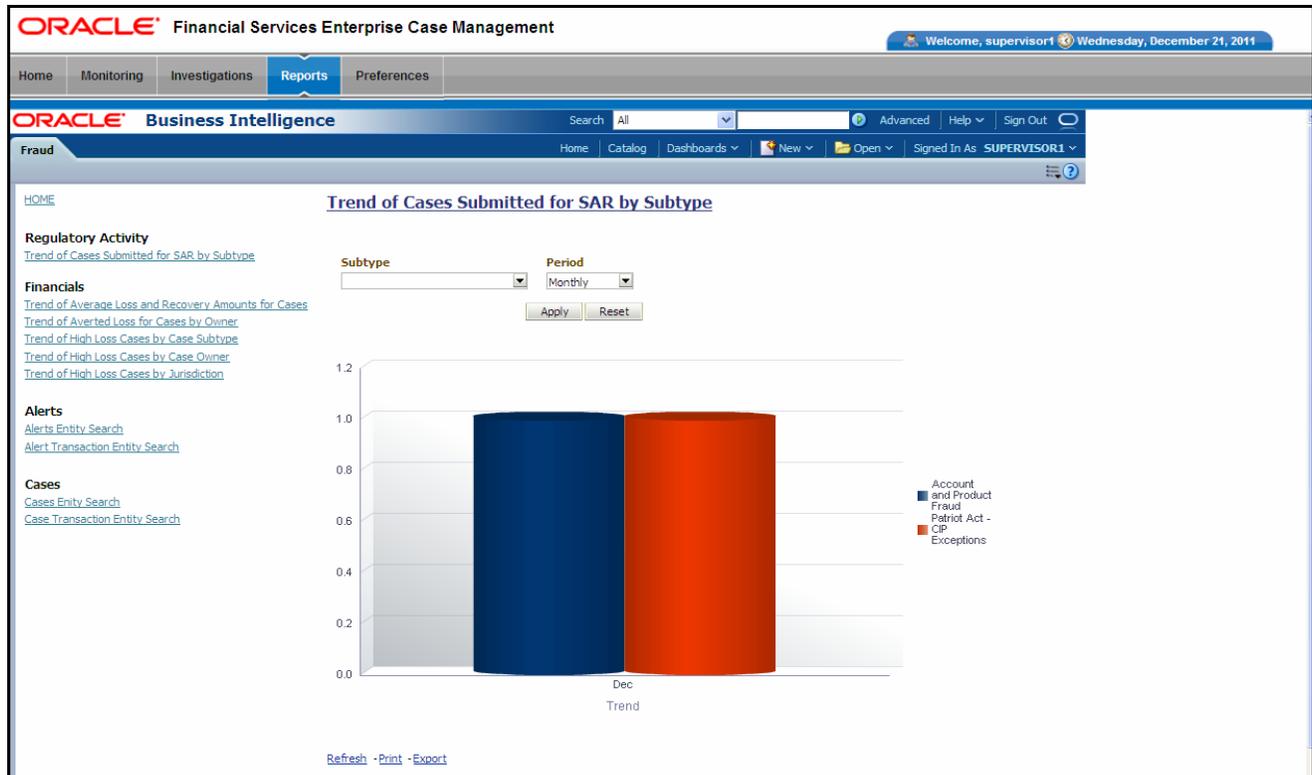


Figure 52. Trend of Cases Submitted for SAR by Type

Following are the filter options available for this report:

- **Type:** A multi-select filter that provides a list of case subtypes associated with the underlying cases submitted for a SAR. By default, the system initially selects a blank value.
- **Trend:** A drop-down list box that displays two options: weekly and monthly. When you select **Weekly**, the system displays data from the current month-to-date plus the last 2 months on a weekly basis (Quarter To Date). When you select **Monthly**, the system displays data from the current month-to-date plus the last 11 months on a monthly basis.

When you click on a section of the bar chart, the corresponding SAR List drill-down report displays. Refer to *SAR List*, on page 158, for an example of a SAR List drill-down report.

Fraud Reports for Financials

The following Fraud reports are generated for financials:

- **Trend of Average Loss and Recovery Amounts for Cases:** Displays a vertical bar showing the trend of average loss and recovery amounts over a period.
- **Trend of Averted Loss for Cases by Owner:** Displays a vertical bar showing the trend of averted loss over a period by case owner.
- **Trend of High Loss Cases by Case Subtype:** Displays a vertical bar showing the trend of high loss cases over a period by case type.
- **Trend of High Loss Cases by Case Owner:** Displays a vertical bar showing the trend of high loss cases over a period by case owner.
- **Trend of High Loss Cases by Jurisdiction:** Displays a vertical bar showing the trend of high loss cases over a period by jurisdiction.

Trend of Average Loss and Recovery Amounts for Cases

This report shows the trend of average loss and recovery amounts across the time window by period. It shows a clustered bar of case types in each period. Each bar chart section shows the count of average loss and recovery amounts in that particular period (Figure 53).

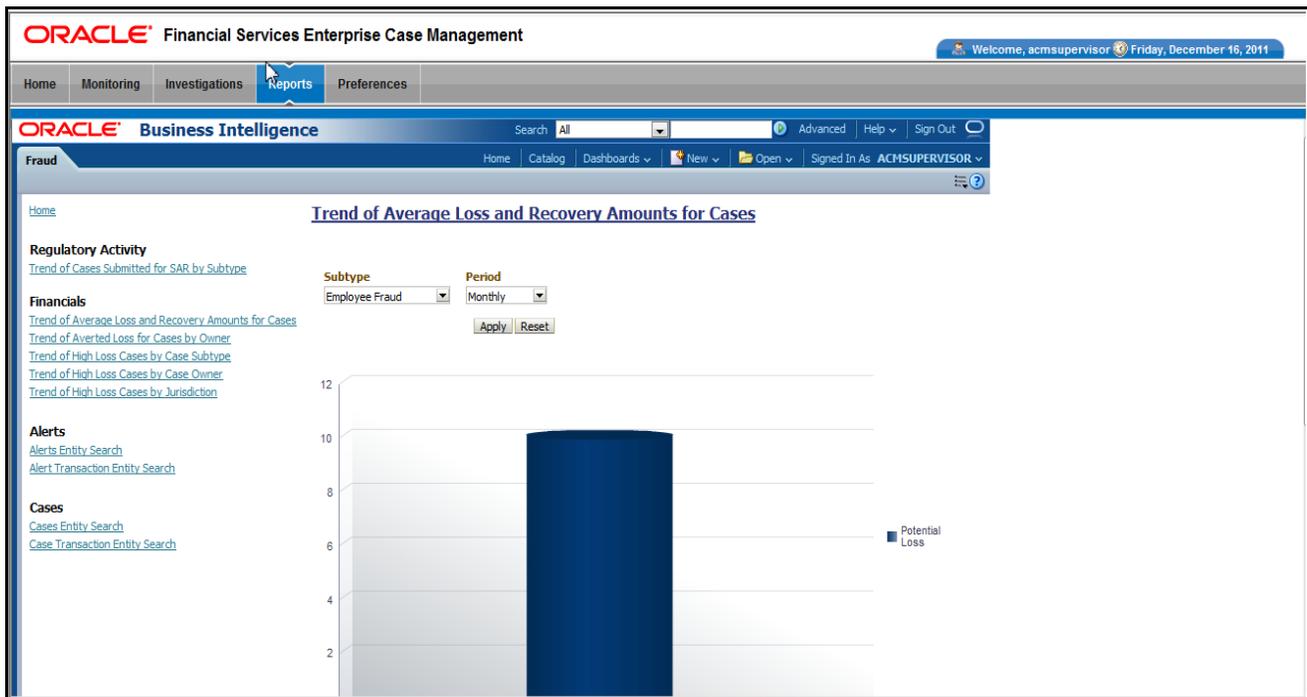


Figure 53. Trend of Average Loss and Recovery Amounts for Cases

Following are the filter options available for this report:

- **Type:** A multi-select filter that provides a list of case subtypes associated with active loss and recovery cases. By default, the system initially selects a blank value.
- **Period:** A drop-down list box that provides two options: Weekly and Monthly. When you select **Weekly**, the time window is the current rolling quarter. The system displays data from the current month-to-date plus the last 2 months on a weekly basis. When you select **Monthly**, the time window is the current rolling year. The system displays data from the current month-to-date plus the last 11 months on a monthly basis. The default value for this filter is Week.

When you click on a section of the bar chart, the corresponding Case List drill-down report displays. Refer to *Case List*, on page 157, for an example of a Case List drill-down report.

Trend of Averted Loss for Cases by Owner

This report shows the trend of averted loss by case owner across the time window by period. It shows a clustered bar of owners for each period. Each bar chart shows the total averted loss in that particular period for an owner (Figure 54).



Figure 54. Trend of Averted Loss for Cases by Owner

Following are the filter options available for this report:

- **Owner:** A multi-select filter that provides a list of current owners associated with the active loss and recovery cases. The list of names presented in the Owner selection box is sorted alphabetically in ascending order by the owner display name. By default, the system initially selects a blank value
- **Trend:** A drop-down list box that provides two options: Weekly and Monthly. When you select **Weekly**, the time window is the current rolling quarter. The system displays data from the current month-to-date plus the last 2 months on a weekly basis. When you select **Monthly**, the time window is the current rolling year. The system displays data from the current month-to-date plus the last 11 months on a monthly basis. The default value for this filter is Week.

When you click on a section of the bar chart, the corresponding Case List drill-down report displays. Refer to *Case List*, on page 157, for an example of a Case List drill-down report.

Trend of High Loss Cases by Case Subtype

This report shows the trend of high loss cases aggregated by case type across the time window by period. It displays clustered bars of case types for each period. Each bar in a cluster represents the number of cases for a type for that period (Figure 55).



Figure 55. Trend of High Loss Cases by Case Type

Following are the filter options available for this report:

- **High Loss* >=:** An integer box that allows you to enter a whole number that represents a high loss amount threshold. Any case that has a net loss greater than or equal to the number entered will be counted. The asterisk (*) indicates that you must enter a value before any data will be displayed.
- **Type:** A multi-select filter that provides a list of case subtypes associated with active high loss cases. By default, the system selects a blank value.
- **Trend:** A drop-down list box that provides two options: Weekly and Monthly. When you select **Weekly**, the time window is the current rolling quarter. The system displays data from the current month-to-date plus the last 2 months on a weekly basis. When you select **Monthly**, the time window is the current rolling year. The system displays data from the current month-to-date plus the last 11 months on a monthly basis. The default value for this filter is Week.

When you click on a section of the bar chart, the corresponding Case List drill-down report displays. Refer to *Case List*, on page 157, for an example of a Case List drill-down report.

Trend of High Loss Cases by Owner

This report shows the trend of high loss cases aggregated by owner across the time window by period. It displays clustered bars of owners for each period. Each bar in a cluster represents the number of cases for an owner for that period (Figure 56).



Figure 56. Trend of High Loss Cases by Owner

Following are the filter options available for this report:

- **High Loss* >=:** An integer box that allows you to enter a whole number that represents a high loss amount threshold. Any case that has a net loss greater

than or equal to the number entered will be counted. The asterisk (*) indicates that you must enter a value before any data will be displayed.

- **Owner*:** A multi-select filter that provides a list of owners associated with active high loss cases. By default, the system selects a blank value. The asterisk (*) indicates that you must enter a value before any data will be displayed.
- **Trend:** A drop-down list box that provides two options: Weekly and Monthly. When you select **Weekly**, the time window is the current rolling quarter. The system displays data from the current month-to-date plus the last 2 months on a weekly basis. When you select **Monthly**, the time window is the current rolling year. The system displays data from the current month-to-date plus the last 11 months on a monthly basis. The default value for this filter is Week.

When you click on a section of the bar chart, the corresponding Case List drill-down report displays. Refer to *Case List*, on page 157, for an example of a Case List drill-down report.

Trend of High Loss Cases by Jurisdiction

This report shows the trend of high loss cases aggregated by jurisdiction across the time window by period. It displays clustered bars of jurisdictions for each period. Each bar in a cluster represents the number of cases for a jurisdiction for that period (Figure 57).



Figure 57. Trend of High Loss Cases by Jurisdiction

Following are the filter options available for this report:

- **High Loss* >=:** An integer box that allows you to enter a whole number that represents a high loss amount threshold. Any case that has a net loss greater than or equal to the number entered will be counted. The asterisk (*) indicates that you must enter a value before any data will be displayed.

- **Jurisdiction:** A multi-select filter that provides a list of jurisdictions associated with active high loss cases. By default, the system selects a blank value.
- **Trend:** A drop-down list box that provides two options: Weekly and Monthly. When you select **Weekly**, the time window is the current rolling quarter. The system displays data from the current month-to-date plus the last 2 months on a weekly basis. When you select **Monthly**, the time window is the current rolling year. The system displays data from the current month-to-date plus the last 11 months on a monthly basis. The default value for this filter is Week.

When you click on a section of the bar chart, the corresponding Case List drill-down report displays. Refer to *Case List*, on page 157, for an example of a Case List drill-down report.

Fraud Reports for Cases

The following Fraud reports are generated for cases:

- **Case Entity Search:** Displays a pie chart for cases that are associated to the entity of interest to the user.
- **Case Transaction Entity Search:** Displays a pie chart for cases that contain the transaction of interest to the user.

Case Entity Search

This report shows information related to cases that are associated to the entity of interest to the user. This is a pie chart report. Each section of the pie chart represents the case within the selected case subtype, status, and jurisdiction.

You can enter an entity and search for those cases, which have an association to that entity as a business entity.

On mouse over to a pie in the chart, the name of the subtype and the number of cases found for that subtype displays (Figure 58).

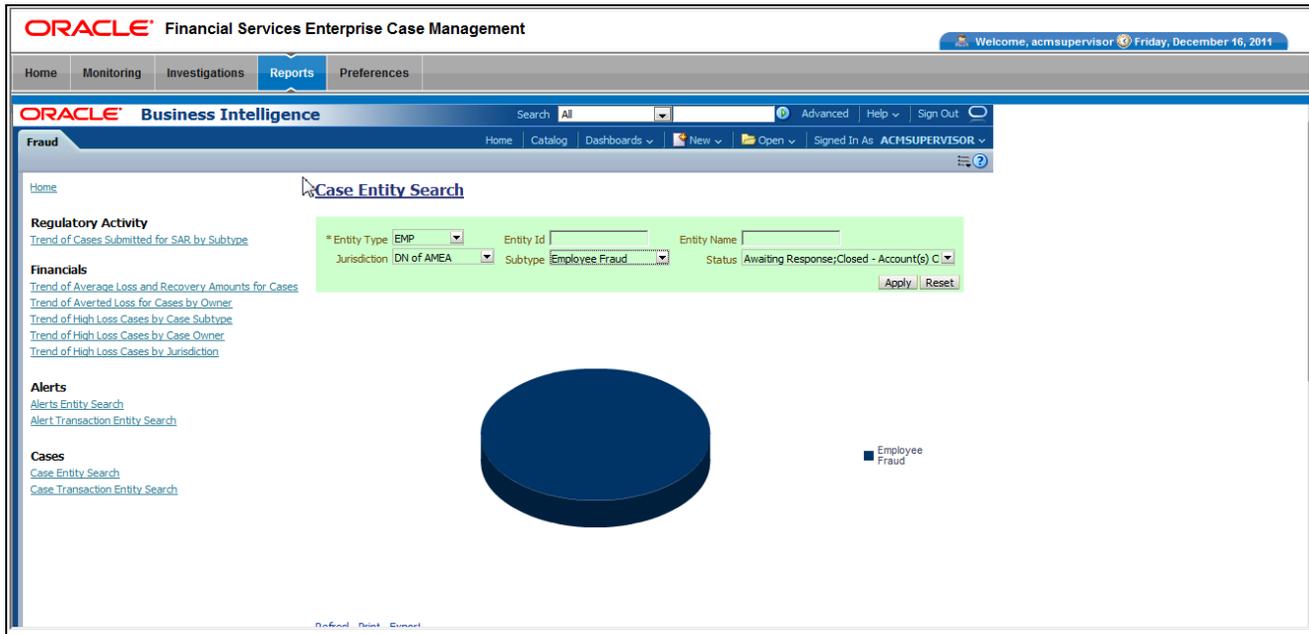


Figure 58. Case Entity Search for Fraud

Following are the filter options available for this report:

- **Entity Type:** A drop-down list box that provides a list of entity types associated with the case. The display names list is sorted alphabetically in ascending order by the entity type display name. By default, the system initially selects a blank value.
- **Entity ID:** A text box that allows you to search based on the entity identifier. By default, the system initially selects a blank value.
- **Entity Name:** A text box that allows you to search based on the entity name. By default, the system initially selects a blank value.
- **Jurisdiction:** A multi-select drop-down list box that allows you to select from the list of jurisdictions associated with the case entity. The list of names presented in the **Jurisdiction** multi-select drop down list box is sorted alphabetically in ascending order by the jurisdiction display name. By default, the system initially selects a blank value.
- **Status:** A multi-select drop-down list box that allows you to select from the list of statuses associated with the case entity. The list of names presented in the **Status** multi-select drop down list box is sorted alphabetically in ascending order by the jurisdiction display name. By default, the system initially selects a blank value.
- **Subtype:** A multi-select drop-down list box that allows you to select from the list of subtypes associated with the case entity. The list of names presented in the **Subtype** multi-select drop down list box is sorted alphabetically in ascending order by the jurisdiction display name. By default, the system initially selects a blank value.

When you click a particular pie in the chart, a drill-down report displays the case information and having a **View Case** link. Clicking the **View Case** link opens a pop-up along with the Case Details page.

Case Transaction Entity Search

This report shows information related to cases that contain the transaction of interest to the user. This is a pie chart report. Each section of the pie chart represents result in terms of the subtypes of the cases within the selected subtypes, status, and jurisdiction.

You can enter a transaction and search for those cases, which have an association to that transaction entity. On mouse over to a pie in the chart, the name of the subtype and the number of cases found for that subtype displays (Figure 49).

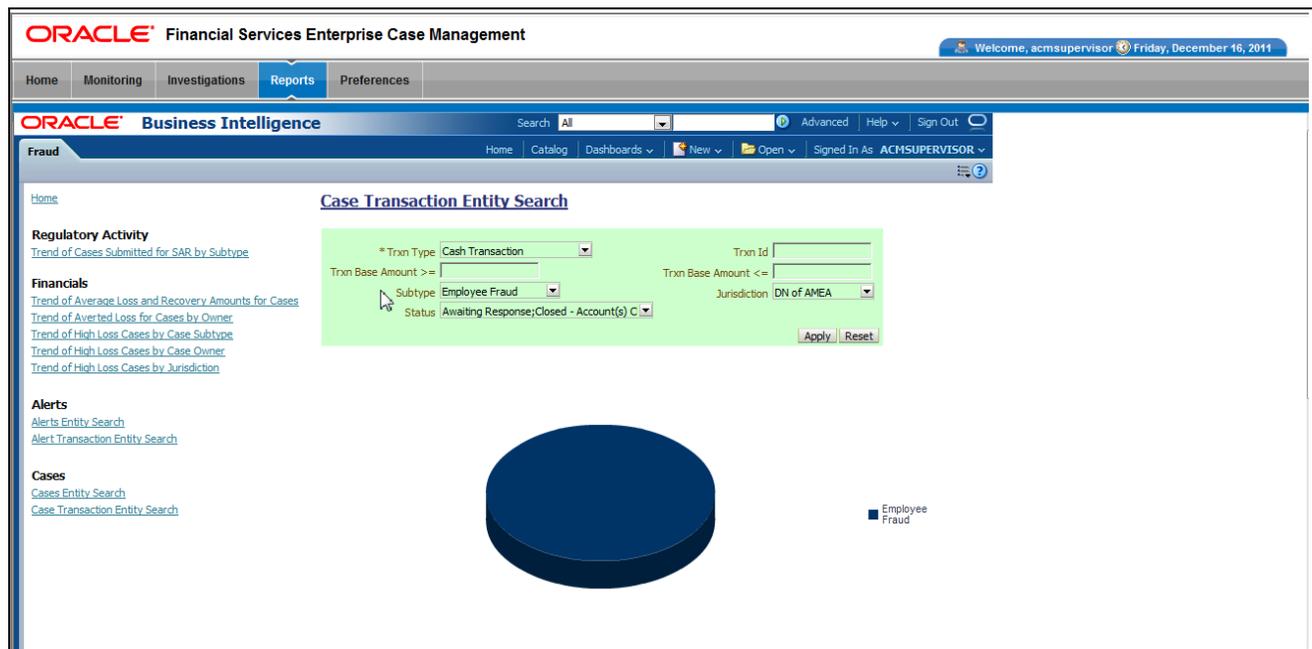


Figure 59. Case Transaction Entity Search for Fraud

Following are the filter options available for this report:

- **Trxn Type:** A drop-down list box that provides a list of transaction types associated with the case. The display names list is sorted alphabetically in ascending order by the transaction type display name. By default, the system initially selects a blank value.
- **Trxn ID:** A text box that allows you to search based on the transaction identifier. By default, the system initially selects a blank value.
- **Trxn Base Amount >=:** A text box that allows you to search based on the transaction base amount greater than or equal to. By default, the system initially selects a blank value. The results include only those alerts for which the transaction base amount satisfies the user entered condition.
- **Trxn Base Amount <=:** A text box that allows you to search based on the transaction base amount less than or equal to. By default, the system initially selects a blank value. The results include only those alerts for which the transaction base amount satisfies the user entered condition.

- **Jurisdiction:** A multi-select drop-down list box that allows you to select from the list of jurisdictions associated with the case transaction entity. The list of names presented in the **Jurisdiction** multi-select drop down list box is sorted alphabetically in ascending order by the jurisdiction display name. By default, the system initially selects a blank value.
- **Status:** A multi-select drop-down list box that allows you to select from the list of statuses associated with the case transaction entity. The list of names presented in the **Status** multi-select drop down list box is sorted alphabetically in ascending order by the jurisdiction display name. By default, the system initially selects a blank value.
- **Subtype:** A multi-select drop down list box that allows you to select from the list of subtype associated with the case transaction entity. The list of names presented in the **Subtype** multi-select drop-down list box is sorted alphabetically in ascending order by the jurisdiction display name. By default, the system initially selects a blank value.

When you click a particular pie in the chart, a drill-down report displays the alert information and having a View Case link. Clicking the View Case link opens a pop-up along with the Case Details page.

Productivity Reports

Productivity reports are divided into three categories, Alerts, Cases, and Trade Blotter (Figure 60).



Figure 60. Productivity Reports Dashboard

Productivity Reports for Cases

The following Productivity reports are generated for cases:

- **Cases By Type:** Displays the count of active cases by case subtype.
- **Cases By Status:** Displays the count of active cases by status.
- **Cases By Jurisdiction:** Displays the count of active cases by jurisdiction.
- **Cases By Final Disposition:** Displays the count of closed cases by closing activity.
- **Trend of Closing Activities For Cases Across Time:** Displays the trend of closing activities for cases across time.
- **Cases Late or Near Due Distributed by Owner:** Displays the counts of cases that have passed their due dates (SLA deadline) or are approaching their due dates distributed across owners.
- **Cases Late or Near Due Distributed by Jurisdiction:** Displays the counts of cases that have passed their due dates (SLA deadline) or are approaching their due dates distributed across jurisdictions.

- **Cases Late or Near Due Distributed by Type:** Displays the counts of cases that have passed their due dates (SLA deadline) or are approaching their due dates distributed across scenarios.

Cases by Subtype

The Cases by Subtype report displays the active cases by their subtype (case subtype) in a graphical pie chart (Figure 61).

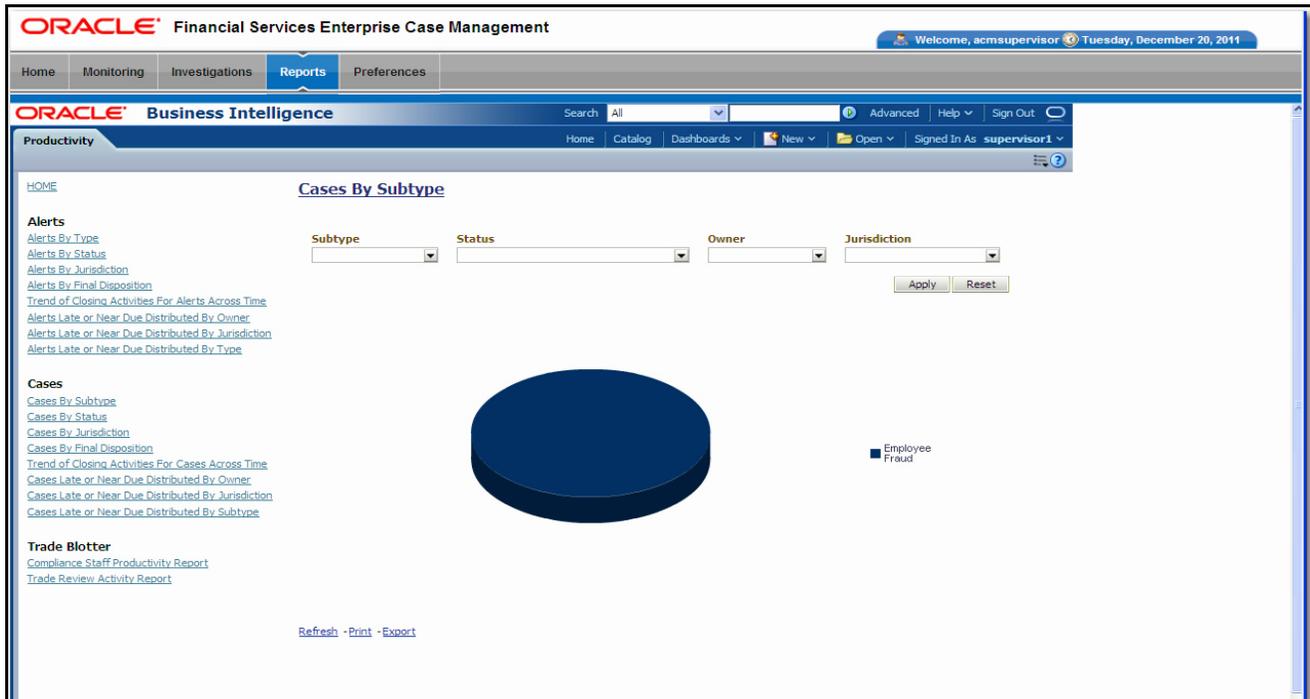


Figure 61. Cases by Subtype

Following are the filter options available for this report:

- **Subtype:** A multi-select box that provides a list of case subtypes associated with the cases.
- **Status:** A multi-select box that provides a list of case statuses.
- **Owner:** A multi-select box that displays the current owners associated with the cases.
- **Jurisdiction:** A multi-select box from which you can filter the cases by the jurisdiction associated with them.

When you have selected your search criteria and clicked **Go**, the report displays a new chart that reflects the criteria you entered. Each section of the pie chart defines the count of cases based on the selected filters. When you click on any section of the chart or a box in the legend, the system displays a corresponding drill-down report. Refer to *Case List*, on page 157, to see an example of a Case List drill-down report.

Cases by Status

The Cases by Status report displays active cases by their status in a graphical pie chart (Figure 62). By default, the report is displayed with no filtering applied.

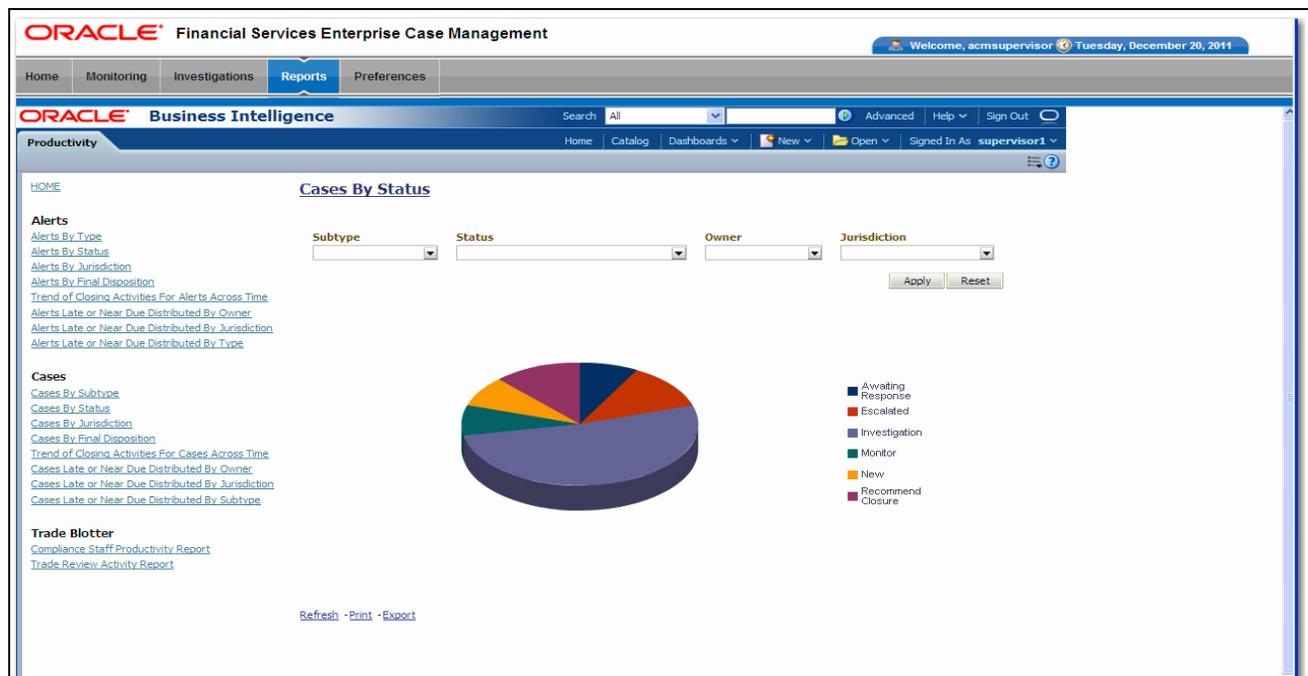


Figure 62. Cases by Status

Note: Refer to the section *Case Statuses* on page 2, for more information about how an Oracle Financial Services Enterprise Case Management case moves through the case life cycle.

Following are the filter options available for this report:

- **Type:** A multi-select box that provides a list of case subtypes associated with the case.
- **Status:** A multi-select box that provides a list of case statuses.
- **Owner:** A multi-select box that displays the current owners associated with the cases.
- **Jurisdiction:** A multi-select box from which you can filter the cases by the jurisdiction associated with them.

When you have selected your search criteria and clicked **Go**, the report displays a new chart that reflects the criteria you entered. Each section of the pie chart represents the count of active alerts based on the selected filters. When you click on any section of the chart or a box in the legend, the system displays the corresponding drill-down report. Refer to section *Case List*, on page 157, to see an example of a Case List drill-down report.

Cases by Jurisdiction

The Cases by Jurisdiction report displays the count of cases by those jurisdictions in a graphical pie chart (Figure 63).

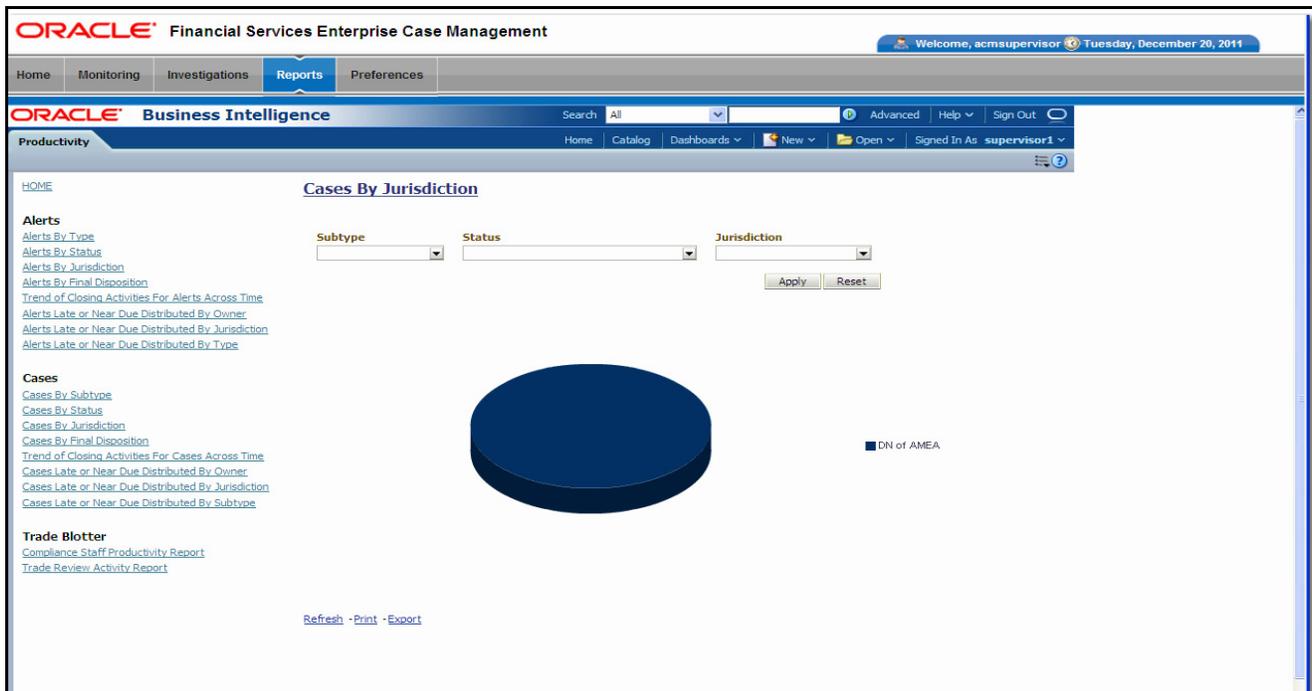


Figure 63. Cases by Jurisdiction

Following are the filter options available for this report:

- **Type:** A multi-select box that provides a list of types associated with the case.
- **Status:** A multi-select box that provides a list of case statuses.
- **Jurisdiction:** A multi-select box from which you can filter the cases by the jurisdiction associated with them.

When you have selected your search criteria and clicked **Go**, the report displays a new chart that reflects the criteria you entered. Each section of the pie chart defines the count of cases based on the selected filters. When you click on any section of the chart or a box in the legend, the system displays the corresponding drill-down report. Refer to *Case List*, on page 157, for an example of a Case List drill-down report.

Cases by Final Disposition

The Cases by Final Disposition report displays a graphical pie chart for the count of closed cases by their closing activity. By default the chart shows final dispositions for the cases closed in the last month based on date. You also have the option of selecting the final disposition during the last one week or the last one year based on date. For example, if the report is run on June 14th, then the report will cover the time period from May 14th to June 14th (Figure 64).

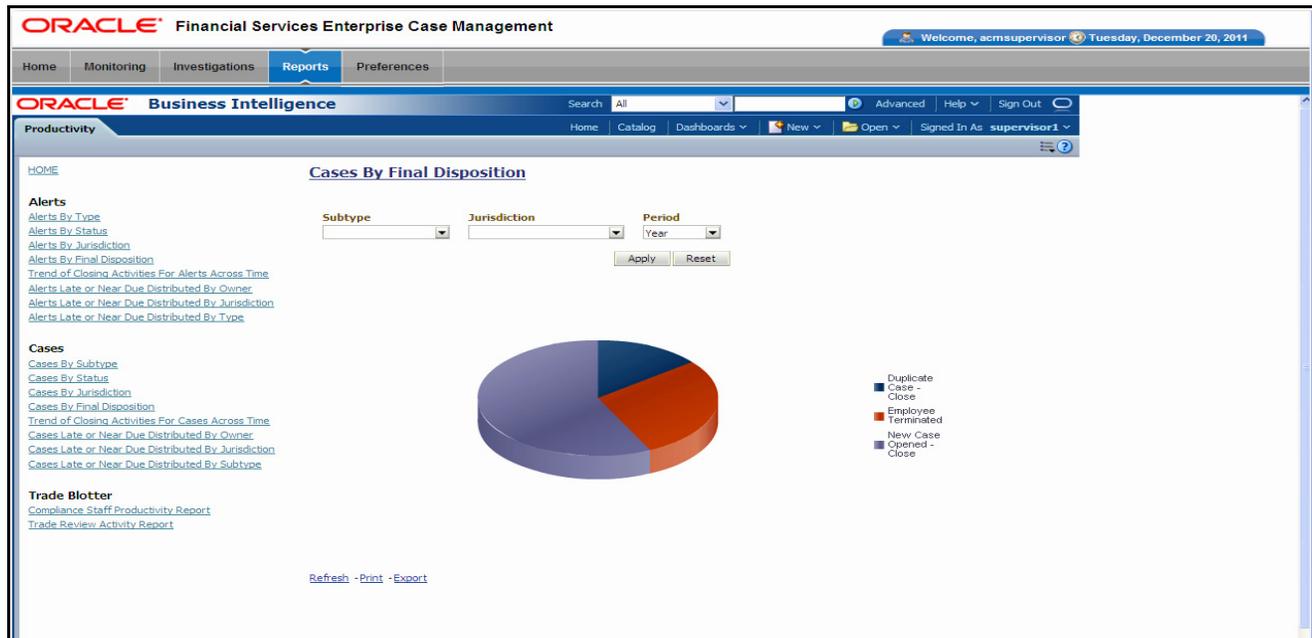


Figure 64. Cases by Final Disposition

Following are the filter options available for this report:

- **Type:** A multi-select box that provides a list of case subtypes associated with the cases.
- **Jurisdiction:** A multi-select box from which you can filter the cases by the jurisdiction associated with them.
- **Period:** A drop-down list box that allows you to select the cases that closed within the past week, month or year based on date.

When you have selected your search criteria and clicked **Go**, the report displays a new chart that reflects the criteria you entered. Each section of the pie chart defines the count of cases based on the selected filters. When you click on any section of the chart or a box in the legend, the system displays the corresponding drill-down report. Refer to *Case List*, on page 157, to see an example of a Case List drill-down report.

Trend of Closing Activities for Cases Across Time

The Trend of Closing Activities for Cases Across Time report looks at the trend for closing activities among cases. Initially, the clustered bar graph displays the trend of closing activities based on a week for the rolling quarter to date. You can also display the trend on a monthly basis for a rolling year to date (Figure 65).

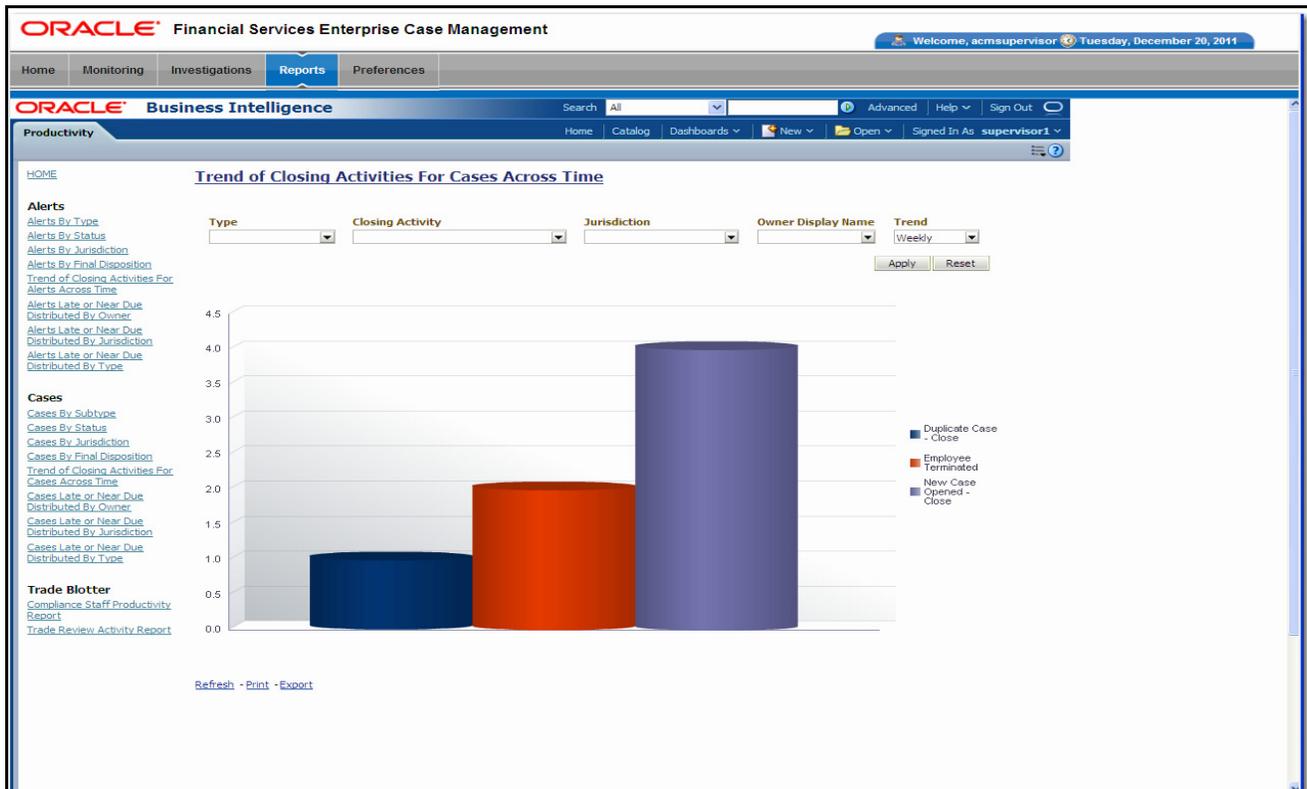


Figure 65. Trend of Closing Activities for Cases Across Time

Following are the filter options available for this report:

- **Type:** A multi-select box that provides a list of case subtypes associated with the cases.
- **Status:** A multi-select box that provides a list of case statuses. You can select a status to see the count of cases associated with it.
- **Closing Activity:** A multi-select box that provides a list of closing activities for cases.
- **Jurisdiction:** A multi-select box from which you can filter the cases by the jurisdiction associated with them.
- **Trend:** The drop-down list provides the option to select a time period.

When you have selected your search criteria, click **Go** to display the report. You can click on the closing activity in the clustered bar graph to drill down to the detailed report for that activity. You can also drill down by clicking on the name of the closing activity displayed in the legend located to the right of the chart and then clicking on the week/month in the respective axis label below the graph. Refer to *Case List*, on page 157, to see an example of a Case List drill-down report.

Cases Late or Near Due Distributed by Owner

The Cases Late or Near Due Distributed by Owner report displays a clustered bar chart for counts of cases that are either past their Service Level Agreement (SLA)

deadline or approaching the SLA deadline. The Late and Near Due bars are distributed across owners (Figure 66).

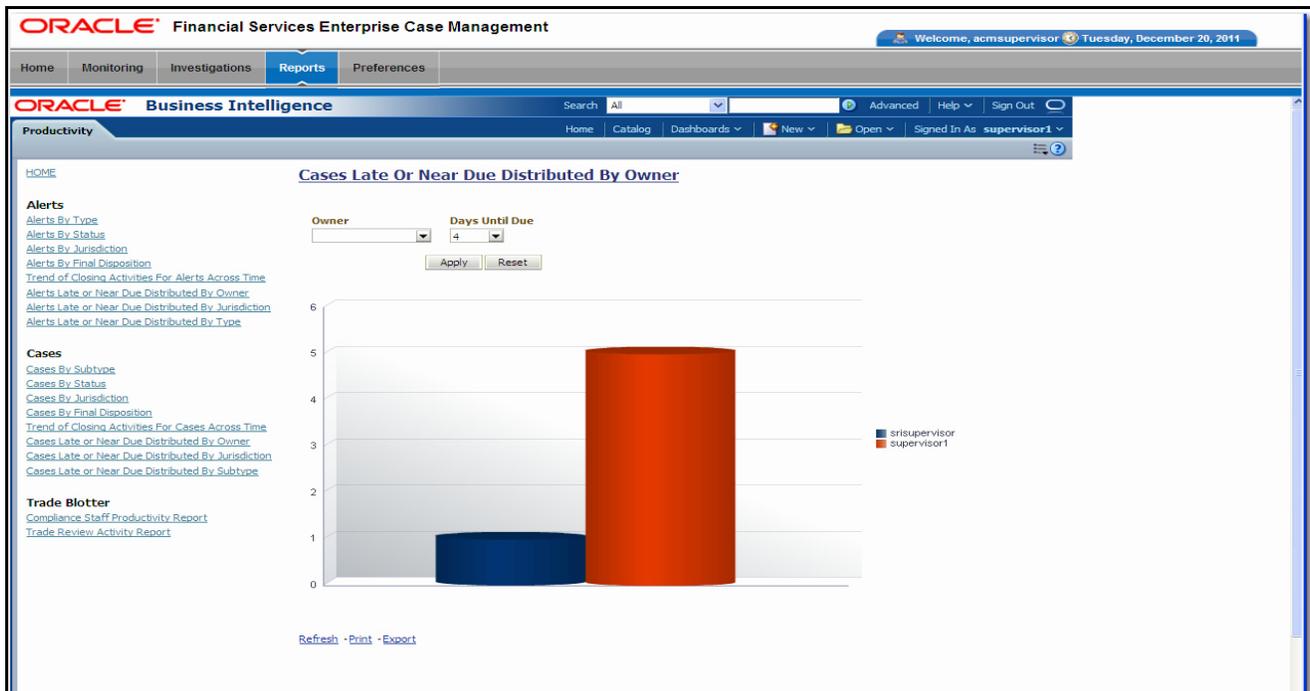


Figure 66. Cases Late or Near Due Distributed by Owner

Following are the filter options available for this report:

- **Owner:** A multi-select box that provides a list of the owners associated with the cases.
- **Days Until Due:** A drop-down list that allows you to select the number of days until the SLA deadline. You can select between one and five days which are relative to the system date. The default number of days is 4.

When you have selected your search criteria and clicked **Go**, the report displays a new chart that reflects the criteria you entered.

You can click on the Late or Near Due bar for an owner to access the associated drill-down report. You can also drill down to see all the late cases or near due cases for owners by clicking on the legend to the right of the chart. To see both late and near due cases for a particular owner, click on the owner name located on the axis below the graph. Refer to *Case List*, on page 157, to see an example of a Case List drill-down report.

Cases Late or Near Due Distributed by Jurisdiction

The Cases Late or Near Due Distributed by Jurisdiction report displays a clustered bar chart for counts of cases that are either past their Service Level Agreement (SLA) deadline or approaching the SLA deadline. The Late and Near Due bars are distributed across jurisdictions (Figure 67).

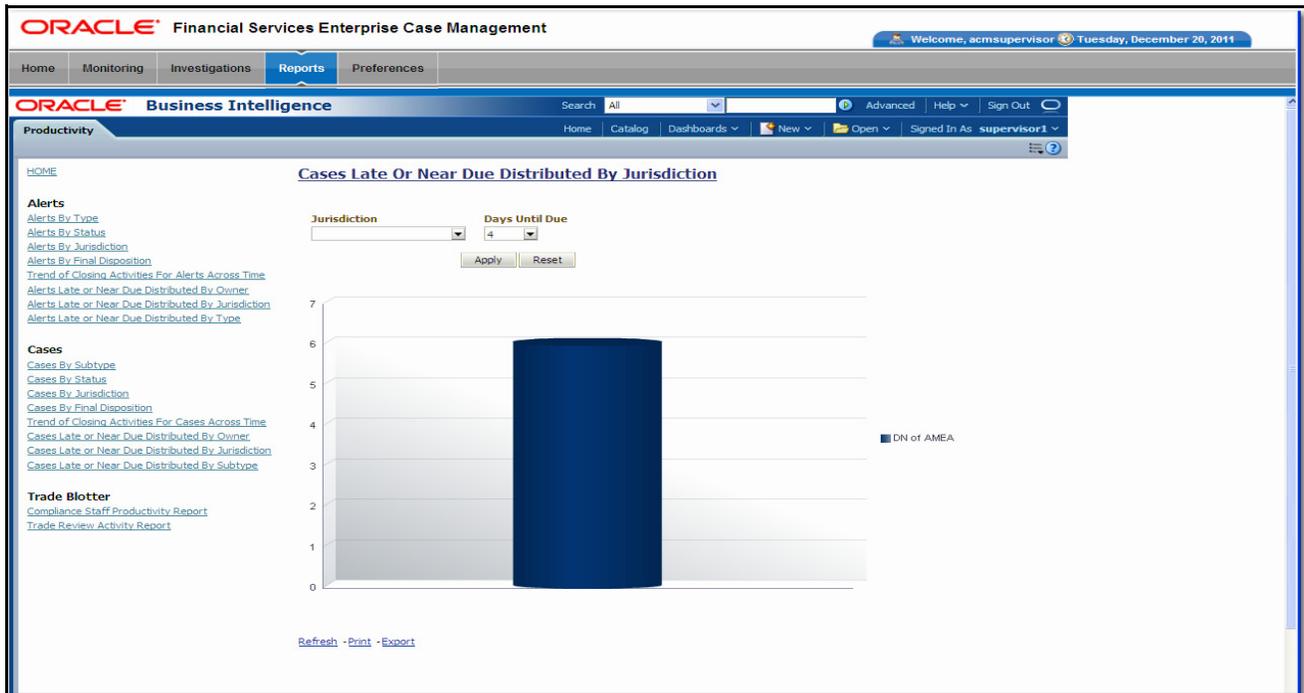


Figure 67. Cases Late or Near Due Distributed by Jurisdiction

Following are the filter options available for this report:

- **Jurisdiction:** A multi-select box that provides a list of the jurisdictions associated with the cases.
- **Days Until Due:** A drop-down list that allows you to select the number of days until the SLA deadline. You can select between one and five days which are relative to the system date. The default number of days is 4.

When you have selected your search criteria and clicked **Go**, the report displays a new chart that reflects the criteria you entered.

You can click on the Late or Near Due bar for a jurisdiction to access the associated drill-down report. You can also drill down to see all the late cases or near due cases for jurisdictions by clicking on the legend to the right of the chart. To see both late and near due cases for a particular jurisdiction, click on the jurisdiction name located on the axis below the graph. Refer to *Case List*, on page 157, to see an example of an Alert List drill-down report.

Cases Late or Near Due Distributed by Type

The Cases Late or Near Due Distributed by Type report displays a clustered bar chart for counts of cases that are either past their Service Level Agreement (SLA) deadline or approaching the SLA deadline. The Late and Near Due bars are distributed across types (Figure 68).



Figure 68. Cases Late or Near Due Distributed by Type

Following are the filter options available for this report:

- **Type:** A multi-select box that provides a list of the case types associated with the cases.
- **Days Until Due:** A drop-down list that allows you to select the number of days until the SLA deadline. You can select between one and five days which are relative to the system date. The default number of days is 4.

When you have selected your search criteria and clicked **Go**, the report displays a new chart that reflects the criteria you entered.

You can click on the Late or Near Due bar for a type to access the associated drill-down report. You can also drill down to see all the late cases or near due cases for types by clicking on the legend to the right of the chart. To see both late and near due cases for a particular type, click on the type name located on the axis below the graph. Refer to *Case List*, on page 157, to see an example of an Case List drill-down report.

Drill-Down Reports

This section includes the drill-down reports, which are displayed when you click on a section of a graph, legend entry or x-axis label as described in a report's section in this user guide. The drill-down reports provide you with a list of investigations or regulatory reports that are associated with the sector of the graph that you select.

Depending on the subject of the analytics, the associated drill-down list displays as follow:

- For case-centered analytics, the Case List displays.
- For regulatory reports, the SAR List displays.

The drill-down reports are as follows:

- Case List
- SAR List

Case List

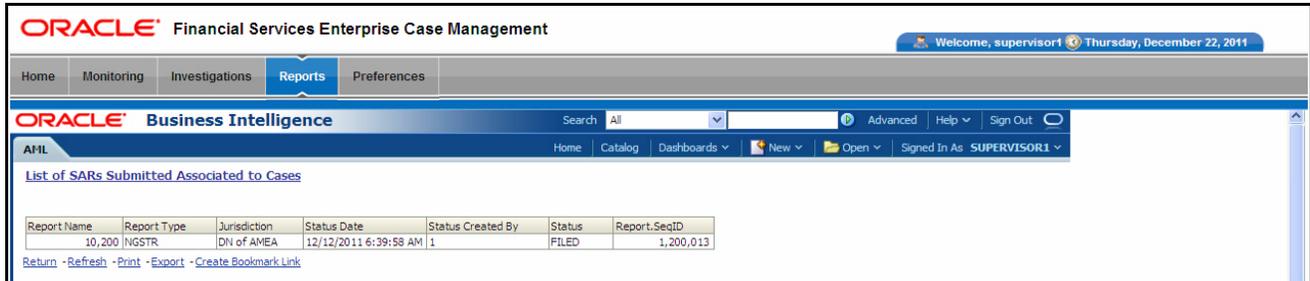
The Case List page displays the underlying cases for a selected section of a graph in a tabular format. Figure 69 shows the case list layout.

SC	Type	Subtype	Title	Description	Created	Due	Org	Status	Owner ID	Owner	Linked Alerts	Domains	ID
	Fraud	Account and Product Fraud	FTN - Correspondent Banks	Tot Trans Amt = USD 3,500.00; Tot Trans Ct = 7; # of Accts = 1; Send Prctg = 100 _0x25_ ; Receive Prctg = 100 _0x25_ ; Overall Risk = HR; Effectv Risk Lvl = 7; Actvty Risk Lvl = 7	10-Dec-2011		TestOrgA	Recommend Closure	SUPERVISOR1	supervisor1	1	d	CA6400210
			HR Trans - Focal HRE; HR Trans - HR Counter Party; Large Reportable Trans	3 Matches; 3 Scenarios	13-Dec-2011		TestOrgA	Closed - Loss Charged Off	SUPERVISOR1	supervisor1	1	a	CA6400291
			HR Trans - HR Counter Party; Large Reportable Trans; Rapid Mvmt Funds - All Activity	3 Matches; 3 Scenarios	10-Dec-2011		TestOrgA	Closed - Funds Recovered	SUPERVISOR1	supervisor1	1	a	CA6400215
			RRS Cases - DONOT USE		12-Dec-2011		TestOrgA	File NG STR	BENSUPERVISOR	bensupervisor	1	a	CA6400236
					12-Dec-2011		TestOrgA	Recommend Monitor	BENSUPERVISOR	bensupervisor	1	c	CA6400237
					12-Dec-2011		TestOrgA	New	BENSUPERVISOR	bensupervisor	1	c	CA6400238
					12-Dec-2011		TestOrgA	File MY STR	BENSUPERVISOR	bensupervisor	1	d	CA6400240
					12-Dec-2011		TestOrgA	File NG STR	BENSUPERVISOR	bensupervisor	1	a	CA6400239
			SK : AC PR FRAUD1		07-Dec-2011		TestOrgA	Investigation	SRISUPERVISOR	srissupervisor	1	a	CA6400051
			SK : AC PR FRAUD2		07-Dec-2011		TestOrgA	File SAR	SUPERVISOR1	supervisor1	2	c	CA6400061
			promoted cases		07-Dec-2011	14-Dec-2011	TestOrgA	Escalated	BENSUPERVISOR	bensupervisor	1	d	CA6400007
					07-Dec-2011		TestOrgA	Recommend Monitor	SUPERVISOR1	supervisor1	2	c	CA6400008
					07-Dec-2011	06-Mar-2012	TestOrgA	Monitor	BENSUPERVISOR	bensupervisor	1	a	CA6400010
							TestOrgA	Recommend Monitor	SUPERVISOR1	supervisor1	1	d	CA6400009
			rrs cases - DONOT USE		16-Dec-2011		TestOrgA	Investigation	ECMRRS	ecmrrs	1	d	CA6500274
					16-Dec-2011		TestOrgA	New	ECMRRS	ecmrrs	1	d	CA6500275

Figure 69. Sample Drill-down Report for Cases

SAR List

The Suspicious Activity Report (SAR) List page displays the reports associated with the SAR filed in a regulatory reporting system in a tabular format (Figure 70).



The screenshot displays the Oracle Financial Services Enterprise Case Management interface. At the top, there is a navigation bar with tabs for Home, Monitoring, Investigations, Reports, and Preferences. The Reports tab is selected. Below the navigation bar, there is a search bar and a user profile section showing 'Welcome, supervisor1' and the date 'Thursday, December 22, 2011'. The main content area shows the Oracle Business Intelligence logo and a search bar. Below this, there is a section titled 'List of SARs Submitted Associated to Cases'. A table is displayed with the following data:

Report Name	Report Type	Jurisdiction	Status Date	Status Created By	Status	Report.SeqID
10,200	INGSTR	DN of AMEA	12/12/2011 6:39:58 AM	1	FILED	1,200,013

Below the table, there are links for Return, Refresh, Print, Export, and Create Bookmark Link.

Figure 70. Sample Drill-down Report for SARs

Setting User Preferences

This chapter covers the following topics for changing your Oracle Financial Services Alert Management and Enterprise Case Management preferences:

- About the Preferences Page

About the Preferences Page

The Preferences page enables you to change your default preferences for Oracle Financial Services Alert Management and Enterprise Case Management. You can click the (-) or (+) icons to contract and expand the section that you want to view.

You can access the Preferences page by clicking **Preferences** on the navigation bar. The Preferences page enables you to set preferences as described in the following sections:

- Setting Default Workflow
- Setting Default Graphs for Home Page
- Setting Default Priority List for Home Page
- Setting Case Search and List Options
- Setting Alert Search and List Options
- Setting Options for Alert Search
- Setting AML Specific Search Options
- Setting Fraud Specific Search Options
- Setting Trading Compliance Specific Search Options
- Setting Broker Compliance Specific Search Options
- Setting Energy and Commodity Trading Compliance Specific Search Options
- Setting Options for Case Simple Search
- Setting Options for Case Advanced Search
- Setting Trade Blotter Default Search
- Setting Simple Search Options for Trade Blotter
- Setting Advanced Search Options for Trade Blotter

- Setting Options for Replay Page
- Setting Options for Notifications on Home Page
- Setting Options for E-mail

Note: Some components of the Preference page are specific to either Enterprise Case Management or Behavior Detection Platform. Firms that have implemented both and users with access to both will see a superset of items for which preferences can be set. Where only one has been installed or users with access to just one or the other will see preferences related to the component for which they have access.

Setting Default Workflow

The Workflow section enables you to set the default workflow and page in the Oracle Financial Services Alert Management and Enterprise Case Management UI (Figure 71).



Set Default Workflow	
Set Default WorkFlow	Home
Set Monitoring WorkFlow Default Page	Alerts
Set Investigation WorkFlow Default Page	Cases

Figure 71. Default Workflow Section

The Default Workflow section contains the following preference options:

- Setting the Default Workflow
- Setting the Monitoring Workflow Default Page
- Setting the Investigation Workflow Default Page
- Setting the Administration Workflow Default Page

Setting the Default Workflow

You can set your default workflow by selecting one of the option from the **Set Default Workflow** drop-down list. Until you change your default workflow option, Oracle Financial Services Alert Management and Enterprise Case Management defaults to the Home page when you first log in to the system.

Oracle Financial Services Alert Management and Enterprise Case Management displays the default page of the selected workflow as the first page the next time you log on to the application.

- Select the **Home** option to display the Home page as the first page.
- Select the **Monitoring** option to display the Search & Alert List page as the first page.
- Select the **Investigations** option to display the Search & Alert List page as the first page.
- Select the **Reports** option to display the AML Reports page as the first page.
- Select the **Preferences** option to display the Preferences page as the first page.

- Select the **Administration** option to display the User Administration and Admin Tools as the first page.

Your user role determines which workflows you can access.

Setting the Monitoring Workflow Default Page

You can set your monitoring workflow by selecting one of the option from the **Set Default Workflow** drop-down list. Until you change your monitoring workflow option, Oracle Financial Services Alert Management and Enterprise Case Management defaults to the Alerts page when you first log in to the system.

Oracle Financial Services Alert Management and Enterprise Case Management enables you to set your Monitoring workflow page to any of the following page:

- **Alerts:** Select this option to display the Search & Alert List page when you log back into the system and navigate to the Monitoring workflow. This is the default setting.
- **Create Alert:** Select this option to display the Create Alert page when you log back into the system and navigate to the Monitoring workflow. This is the default setting.
- **Alert Suppression:** Select this option to display the Alert Suppression page when you log back into the system and navigate to the Monitoring workflow. This is the default setting.
- **Trusted Pairs:** Select this option to display the Trusted Pairs page when you log back into the system and navigate to the Monitoring workflow. This is the default setting.
- **Trade Blotter:** Select this option to display the Trade Blotter page when you log back into the system and navigate to the Monitoring workflow. This is the default setting.

Setting the Investigation Workflow Default Page

You can set your investigation workflow by selecting one of the option from the **Set Default Workflow** drop-down list. Until you change your investigation workflow option, Oracle Financial Services Alert Management and Enterprise Case Management defaults to the Cases page when you first log in to the system.

Oracle Financial Services Alert Management and Enterprise Case Management enables you to set your Investigations workflow page to any of the following page:

- **Cases:** Select this option to display the Search & Case List page when you log back into the system and navigate to the Investigations workflow. This is the default setting.
- **Create Case:** Select this option to display the New Case page when you log back into the system and navigate to the Investigations workflow. This is the default setting.

Setting the Administration Workflow Default Page

You can set your investigation workflow by selecting one of the option from the **Set Default Workflow** drop-down list. Until you change your investigation workflow option, Oracle Financial Services Alert Management and Enterprise Case Management defaults to the Cases page when you first log in to the system.

Oracle Financial Services Alert Management and Enterprise Case Management enables you to set your Administration workflow page to any of the following page:

- **Security Management System:** Select this option to display the Security Management tree view when you log back into the system and navigate to the Administration workflow. This is the default setting.
- **Security Attribute Administration:** Select this option to display the Security Attribute Administration page when you log back into the system and navigate to the Administration workflow. This is the default setting.
- **Alert Assigner Editor:** Select this option to display the Alert Assigner Editor page when you log back into the system and navigate to the Administration workflow. This is the default setting.
- **Alert Creator Editor:** Select this option to display the Alert Creator Editor page when you log back into the system and navigate to the Administration workflow. This is the default setting.
- **Alert Scoring Editor:** Select this option to display the Alert Scoring Editor page when you log back into the system and navigate to the Administration workflow. This is the default setting.
- **Manage Installation Parameter:** Select this option to display the Manage Installation Parameter page when you log back into the system and navigate to the Administration workflow. This is the default setting.
- **Excel Upload:** Select this option to display the Excel Utilities tree view when you log back into the system and navigate to the Administration workflow. This is the default setting.

Setting Default Graphs for Home Page

You can set the default graphs on the Home page of the Oracle Financial Services Alert Management and Enterprise Case Management UI. The Set Default Graphs for Home Page section contains the following preference options:

- **Set Graph1** drop-down list: Lists all the graphs to the user having adequate roles and access privileges.
- **Set Graph2** drop-down list: Lists all the graphs to the user having adequate roles and access privileges.

You can choose two graphs in any combinations between the Alert Management and Enterprise Case Management workflow (Figure 72).



Figure 72. Default Graph for Home Page Section

Until you change your default Graphs preference, Oracle Financial Services Alert Management and Enterprise Case Management defaults to Alerts by Status and Alerts by Jurisdiction graphs of having access to Monitoring workflow and Cases by Status and Cases by Type graphs of having access to Investigation workflow; Alerts by Status

and Cases by Status graphs of having access to both Monitoring and Investigation workflow

Setting Default Priority List for Home Page

Oracle Financial Services Alert Management and Enterprise Case Management enables you to set preference the Set Default Priority List for Home page section (Figure 72).



Figure 73. Default Priority for Home Page Section

The Set Default Priority List for Home page section contains the following mutually exclusive options:

- Alert List
- Case List

Until you change your default Priority List preference, Oracle Financial Services Alert Management and Enterprise Case Management defaults to Alerts and Cases List, respectively.

Setting Case Search and List Options

The Set Case Search and List Options section enables you to set the display preferences in the Search and Case List page.

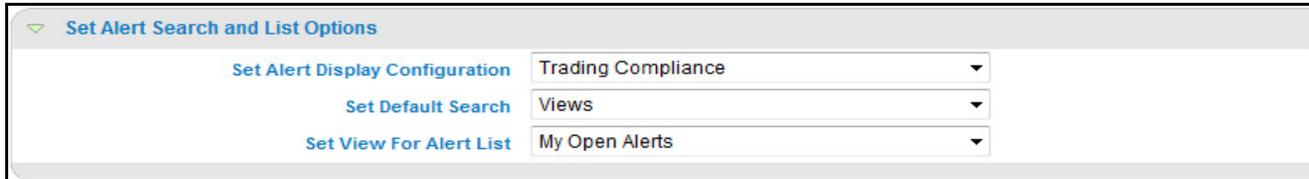


The Set Case Search and List Options section contains the following preference options:

- Setting the Default Search: Refer to section *Setting the Default Search*, on page 166 for more information.
- Setting the View for Case List: Refer to section *Setting the View for Alert List*, on page 166 for more information

Setting Alert Search and List Options

The Set Alert Search and List Options section enables you to set the display preferences in the Search and Alert List page.



Set Alert Search and List Options	
Set Alert Display Configuration	Trading Compliance
Set Default Search	Views
Set View For Alert List	My Open Alerts

Figure 74. Set Alert Search and List Options section

The Set Alert Search and List Options section contains the following preference options:

- Setting the Alert Display Configuration
- Setting the Default Search
- Setting the View for Alert List

Setting the Alert Display Configuration

Oracle Financial Services Alert Management enables you to set your alert display configuration based on deployed solution sets or other configurable criteria. Selection of one of the following solutions sets display a custom set of controls and fields to display in the Alert Search & List section and in the Alert Context section of the Alert Details page based on the following specified solution set:

- **Anti-Money Laundering:** Select this option to display an Anti-Money Laundering custom version of the Alert Search, Alert List, and Alert Context sections. This custom version displays Anti-Money Laundering specific controls and fields.
- **Broker Compliance and Control Room:** Select this option to display a Broker Compliance and Control Room custom version of the Alert Search, Alert List, and Alert Context section. This custom version displays Broker Compliance and Control Room specific controls and fields.
- **ECTC:** Select this option to display a Energy and Commodity Trading Compliance custom version of the Alert Search, Alert List, and Alert Context section. This custom version displays Energy and Commodity Trading Compliance specific controls and fields.
- **Fraud:** Select this option to display a Fraud custom version of the Alert Search, Alert List, and Alert Context section. This custom version displays Fraud specific controls and fields.
- **Standard:** Select this option to display the standard Alert Search, Alert List, and Alert Context sections when you log back into the system.
- **Trading Compliance:** Select this option to display a Trading Compliance custom version of the Alert Search, Alert List, and Alert Context section. This custom version displays Trading Compliance specific controls and fields.

For more information on setting the alert display configuration, refer to Table 20 for Alert List Display.

Note: These solution sets are provided with standard deployment. Additional custom solution sets can be configured in the Alert Display Configuration selection.

Alert List Display Configuration

Table 20 provides a list of all columns and fields that display in the Alert List, General Overview, and Metrics section based on solution set selection as well as the components that display in the standard display of the Search and List page .

Table 20. Alert List, General Overview, and Metrics Display Configuration by Solution Sets

Column and Field	Anti-Money Laundering	Fraud	Broker Compliance	Trading Compliance	ECTC	Standard
Alert ID	L*	L	L	L	L	X
SC [ore]	L	L	L	L	L	X
Focus [Type and Name]	L	L	L	L	L	X
Scenario	L	L	L	L	L	X
Highlights	O**	O	O	O	O	X
Created [Date]	L	L	L	L	L	X
Status	L	L	L	L	L	X
Due [Date Time]	L	L	L	L	L	X
Organization	O	O	O	O	O	
Regulatory Reporting Status	O	O	O	O	O	X
Regulatory Reporting Type	O	O	O	O	O	X
Owner	L	L	L	L	L	X
CL[ass] Prior	O	O	O	O	O	X
SCN [Scenario] Prior	O	O	O	O	O	X
Clsg Action	O	O	O	O	O	X
[Business] Domain	O	O	O	O	O	X
[Involved] Security				L		
[Involved] Trader				L	L	
[Involved] Service Team ID			L			
[Involved] Rep ID			L			
[Involved] Branch				O	O	
[Involved] Sup Org				O	O	

Table 20. Alert List, General Overview, and Metrics Display Configuration by Solution Sets (Continued)

Column and Field	Anti-Money Laundering	Fraud	Broker Compliance	Trading Compliance	ECTC	Standard
Tot/Net Loss Amt		L				
Pmry Cost Cntr		L				
Linked Cases	L	L	L	L	L	X
Alerts for Prior Class Ct	M [#]	M	M	M	M	X
Alerts for Prior Scenario Ct	M	M	M	M	M	X
Correlation Membership Ct	M	M	M	M	M	X
Cmdty Instr ID					L	X

where, L* are fields in the Alert List section; O** are fields in the General Overview section; M[#] are fields in the Metrics section section

Setting the Default Search

Oracle Financial Services Alert Management and Enterprise Case Management enables you to set your default search fields based on the deployed solution sets or other configurable criteria.

You can choose to set Views as the default search option and define preferences for Simple and Advanced Search. If you switch from the Views to Simple or Advanced Search when on the Search and List page, the search filters populate in accordance to the set preferences.

You can set following mutually exclusive options in the Set Default Search section:

- Views
- Simple Search
- Advanced Search

Setting the View for Alert List

Oracle Financial Services Alert Management and Enterprise Case Management enables you to set the view for the alert or case list in the Search and Alert List or Case List page. By default, the **My Open Alerts** or **Cases Assigned to Me** option is selected if you have not previously saved your View option.

Setting Options for Alert Search

Oracle Financial Services Alert Management enables you to set fields that are part of Simple and Advanced Search options. The fields that are available in the Preference page displays in the Search and Alert List page.

Figure 75. Set Options for Alert Search Section

Table 21 provides common filters for the solution set. Refer to section *Setting the Alert Display Configuration*, on page 164, for more information.

Table 21. Alert Search Components

Column	Description	Standard	AML	TC	BC	Fraud	ECTC
Alerts Created in the Last	Filters the alert list by the number of days since creation. The default options for this filter are 1, 5, 10, or 30 days.	X	X	X	X	X	X
Organization	Filters the alert list by the ID of the organization associated with the owner of an alert or case. This multi-select list box only contains the organizations (and the organizations subordinate to it) to which you have a business association and are authorized to view. If you filter by Organization, you cannot filter by Owner.	X	X	X	X	X	X
Owner	Filters the alert list by a user or group of user to whom an alert or case is assigned. This multi-select list box contains users or groups of users within the Organization. If you filter by Owner, you cannot filter by Organization	X	X	X	X	X	X
Scenario Class	Filters the alert list by the scenario class associated with an alert, listed by its abbreviation. This multi-select list box contains only the scenario classes that you are authorized to view. If you filter by Class, you cannot filter by Scenario.	X	X	X	X	X	X
Scenario	Filter the alert list by the scenarios name of the behavior or activity that generated the alert.	X	X	X	X	X	X

Table 21. Alert Search Components (Continued)

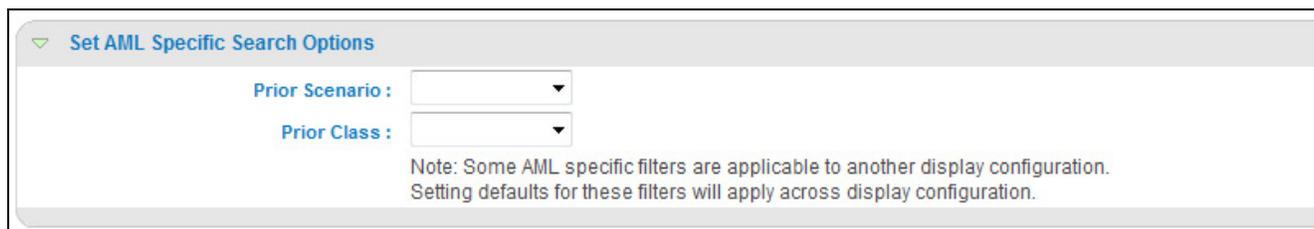
Column	Description	Standard	AML	TC	BC	Fraud	ECTC
Focus	Filters the alert list by the type of business object that exhibits the behavior of interest, focus is a two-part representation including focus type and an associated focal entity. Your access control privileges determine which focus types display in the multi-select list box. If you filter by Focus, you cannot filter by Focus Type. For example, a focus of <i>TR SmithJ</i> consists of a focus type of <i>TR</i> and a focal entity of <i>SmithJ</i> .	X	X	X	X	X	X
Status	Filters the alert list by the current status of an alert, relative to its analysis and closure in the multi-select list box.	X	X	X	X	X	X
Domain	Filters the alert list by the business domain associated with an alert. The multi-select list box only contains the business domains with which you are authorized to view.	X	X	X	X	X	X
Score	Filters the alert list by the score the alert received when based against the criteria selected by your firm. Oracle Financial Services retrieves alerts with scores greater than equal to, equal to, or less than equal to, to the score you enter in this text box.	X	X	X	X	X	X
Age	Filters the alert list by the number of calendar or business days since the creation of an Active alert. Oracle Financial Services retrieves alerts with age greater than equal to, equal to, or less than equal to, to the age you enter in this text box.	X	X	X	X	X	X
Jurisdiction	Filters the alert list by jurisdiction to which you are assigned.	X	X	X	X	X	X
Domain	Filters the alert list by the business domain associated with the alert or focus and behavior.	X	X	X	X	X	X
Alerts Due	Filters the alert list by the date by which an action should be taken on the alert.	X	X	X	X	X	X
Closing Action	Filters the alert list by one or more selected closing actions that have been taken on an alert.	X	X	X	X	X	X
Last Action	Filters the alert list by the selected action or actions representing the last action recorded for a alert.	X	X	X	X	X	X
Action	Filters the alert list by one or more actions that have been taken on an alert.	X	X	X	X	X	X
Regulatory Reporting Type	Filters the alert list by the Regulatory Reporting types that are available to you (for example, (SARDI). Regulatory Reporting is an optional Oracle application.	X	X	X	X	X	X

Table 21. Alert Search Components (Continued)

Column	Description	Standard	AML	TC	BC	Fraud	ECTC
Regulatory Reporting Status	Filters the alert list by the current status of an alert that has been recommended for Regulatory Reporting, an optional Oracle application.	X	X	X	X	X	X
Prior All	Filters the alert list by the number of previously generated matches for the same focal entity across all scenarios and solution sets. Oracle Financial Services retrieves alerts with prior value greater than equal to, equal to, or less than equal to, to the value you enter in this text box.	X	X	X	X	X	X
Linked Cases	Filters the alert list by the cases that are linked to the alert. Oracle Financial Services retrieves alerts, which are either greater than or equal to, equal to, or less than or equal to the count you enter in the text box.	X	X	X	X	X	X
Limit to Focus	Filters the alert list to where the specified entity is the focus.	X	X	X	X	X	X
Entity Type	Filters the alert list by the type of business entity you select in the drop-down list box. Select the focus from the Entity Type drop-down list and type either Entity Name or Entity ID to search for alerts.	X	X	X	X	X	X
Entity ID	The unique identifier for entity that is associated with alerts you want to view. The field accept up to 50 characters of text in the Entity ID text box.	X	X	X	X	X	X
Entity Name	The entity name associated with alerts you want to view.	X	X	X	X	X	X

Setting AML Specific Search Options

Oracle Financial Services Alert Management enables you to set AML specific search fields. The Set AML Specific Search Options section displays when you have selected Anti-Money Laundering solution set from the **Set Alert Display Configuration** drop-down list.



Set AML Specific Search Options

Prior Scenario :

Prior Class :

Note: Some AML specific filters are applicable to another display configuration. Setting defaults for these filters will apply across display configuration.

Figure 76. Set AML Specific Search Options

Note: Some <solution specific> filters are applicable to another display configuration. Setting defaults for these filters will apply across display configuration.

Table 22 provides filters for the AML specific solution set. .

Table 22. AML Specific Search Options

Column	Description
Prior Scenario	Filters the alert list by the number of matches previously generated for the same focal entity by the same scenario as the current alert.
Prior Class	Filters the alert list by the number of matches previously generated for the same scenario class associated with an alert.

Setting Fraud Specific Search Options

Oracle Financial Services Alert Management enables you to set Fraud specific search fields. The Set Fraud Specific Search Options section displays when you have selected Fraud solution set from the **Set Alert Display Configuration** drop-down list.

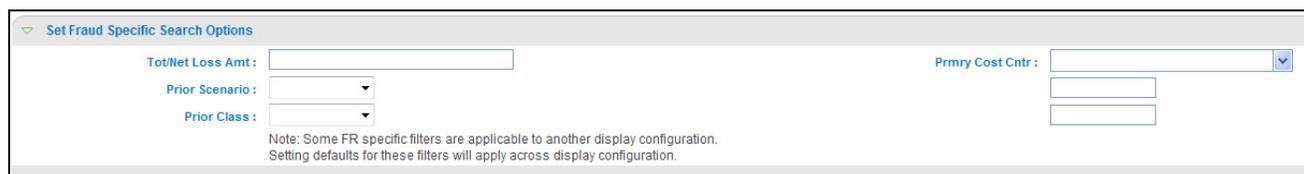


Figure 77. Set Fraud Specific Search Options Section

Note: Some <solution specific> filters are applicable to another display configuration. Setting defaults for these filters will apply across display configuration.

Table 23 provides filters for the Fraud specific solution set.

Table 23. Fraud Specific Search Options

Column	Description
Tot/Net Loss Amount	Filters the alert list by the total net loss amount associated with the alert. This is the total loss remaining after Averted and Recovery Amounts have been subtracted from the Potential Loss.
Primary Cost Cntr	Filters the alert list by the primary cost center to which the total net loss amount for an alert has been associated.
Prior Scenario	Filters the alert list by the number of matches previously generated for the same focal entity by the same scenario as the current alert.
Prior Class	Filters the alert list by the number of matches previously generated for the same scenario class associated with an alert.

Setting Trading Compliance Specific Search Options

Oracle Financial Services Alert Management enables you to set Trading Compliance specific search fields. The Set Trading Compliance Specific Search Options section

displays when you have selected Trading Compliance solution set from the **Set Alert Display Configuration** drop-down list.



Figure 78. Set Trading Compliance Specific Search Options Section

Note: Some <solution specific> filters are applicable to another display configuration. Setting defaults for these filters will apply across display configuration.

Table 24 provides filters for the Trading Compliance specific solution set.

Table 24. Trading Compliance Specific Search Options

Column	Description
Security ID	Filters the alert list by the identification number of the security involved in the alert.
Security	Filters the alert list by the name of security involved in the alert.
Trader ID	Filters the alert list by the identification number of the trader involved in the alert.
Trader	Filters the alert list by the name of the trader involved in the alert.

Setting Broker Compliance Specific Search Options

Oracle Financial Services Alert Management enables you to set Broker Compliance specific search fields. The Set Broker Compliance Specific Search Options section displays when you have selected Broker Compliance and Control Room solution set from the **Set Alert Display Configuration** drop-down list



Figure 79. Set Broker Compliance Specific Search Options

Note: Some <solution specific> filters are applicable to another display configuration. Setting defaults for these filters will apply across display configuration.

Table 25 provides filters for the Broker Compliance specific solution set.

Table 25. Broker Compliance Specific Search Options

Column	Description
IA Firm ID	Filters the alert list by the identification of the firm associated with the Investment Advisor.
IA Firm	Filters the alert list by the name of the firm associated with the Investment Advisor.
Service Team ID	Filters the alert list by the identifier of the primary service team of which this employee is a member.
Rep ID	Filters the alert list by identification number of the employee or contractor who is the Registered Representative.
Rep	Filters the alert list by name of the employee or contractor who is the Registered Representative.
Branch ID	Filters the alert list by the identification number of the organization where this account is domiciled.
Branch	Filters the alert list by the name of the organization where this account is domiciled.
Sup Org ID	Filters the alert list by unique ID of the organization where the Registered Representative is employed.
Sup Org	Filters the alert list by the name of the organization where the Registered Representative is employed.

Setting Energy and Commodity Trading Compliance Specific Search Options

Oracle Financial Services Alert Management enables you to set Energy and Commodity Trading Compliance specific search fields. The Set Energy and Commodity Trading Compliance Specific Search Options section displays when you have selected ECTC solution set from the **Set Alert Display Configuration** drop-down list.

Set Energy and Commodity Trading Compliance Specific Search Options

Commodity Instrument ID: Commodity Instrument Name:

Trader ID: Trader:

Note: Some ECTC specific filters are applicable to another display configuration. Setting defaults for these filters will apply across display configuration.

Figure 80. Set ECTC Specific Search Options Section

Note: Some <solution specific> filters are applicable to another display configuration. Setting defaults for these filters will apply across display configuration.

Table 26 provides filters for the Energy and Commodity Trading Compliance specific solution set.

Table 26. Energy and Commodity Trading Compliance Specific Search Options

Column	Description
Commodity Instrument ID	Filters the alert list by the identification number of the commodity instrument involved in the alert.
Commodity Instrument Name	Filters the alert list by the name of the commodity instrument involved in the alert.

Table 26. Energy and Commodity Trading Compliance Specific Search Options

Column	Description
Trader ID	Filters the alert list by the identification number of the trader involved in the alert.
Trader	Filters the alert list by the name of the trader involved in the alert.

Setting Options for Case Simple Search

Oracle Financial Services Enterprise Case Management enables you to set fields that are part of a Simple Search option. The fields that are available in the Preference page displays in the Search and Case List page.

Figure 81. Set Options for Case Simple Search

Table 27 provides search filters for the simple case search

Table 27. Case Simple Search Options

Column	Description
Case Created In the Last	Filters the case list by case created in the last 1day, 5 days,10 days, or 30 days.
Status	Filters the case list by the status of cases that matches the search criteria.
Type	Filters the case list by the type of cases that matches the search criteria.
Subtype	Filters the case list by the sub type of cases that matches the search criteria.
Priority	Filters the case list by the priority assigned to the case that matches search criteria.
Subclass 1	Filters the case list by the type code of the case subclass1 associated with this case subclass.
Subclass 2	Filters the case list by the type code of the case subclass2 associated with this case subclass.
Case Due	Filters the case list by past and up to the date you enter by which an action should be taken on the case.
Owner	Filters the case list by a user or group of users who own a case. If you filter by Owner, you cannot filter by Organization.
Assigned To	Filters the case list by a user or group of users to whom a case is assigned.

For Case Creation date, instead of displaying preference options for the date **To** and **From** fields, a **Cases Created in the Last** drop-down list is displayed with the following values:

- Blank
- 1 Day
- 5 Days
- 10 Days
- 30 Days

Based on the value you select here, the system resets the values in the **To** and **From** date fields on the Search page accordingly. For example, if you select 30 days as the preference setting, the **To** date field is populated with the current system date and the **From** date field is populated with the date 30 calendar dates prior to the current system date. If you select the Blank option as the default preference, the system resets the **To** and **From** date fields on the Search page to a blank value.

Similarly, for the case Due Date, instead of displaying preference options for the date, a **Case Dues** drop-down list is displayed with the following values:

- Blank
- Due
- Overdue
- Within 1Day
- Within 5 Days
- Within 10 Days

Setting Options for Case Advanced Search

Oracle Financial Services Enterprise Case Management enables you to set fields that are part of a Advanced Search option. The fields that are available in the Preference page displays in the Search and Case List page.

The screenshot shows a form titled "Set Options for Case Advanced Search". The form is organized into three columns of fields. The first column contains: Title (text input), Entity Type (dropdown), Jurisdiction (dropdown), Resolution (dropdown), Regulatory Report Type (dropdown), and Linked Alerts (two dropdowns). The second column contains: And Entity ID (text input), Domain (dropdown), Or Last Action (dropdown), Regulatory Report Status (dropdown), and Linked Cases (two dropdowns). The third column contains: Or Entity Name (text input), Organization (dropdown), and Or Action (dropdown).

Figure 82. Set Options for Case Advanced Search

Table 27 provides search filters for the advanced case search

Table 28. Case Advanced Search Options

Column	Description
Title	Filters the case list by the name of the cases that matches the search criteria.
Entity Type	Filters the case list by the type of business entity you select in the drop-down list box. Select the focus from the Entity Type drop-down list and type either Entity Name or Entity ID to search for cases.
Entity ID	The unique identifier for entity that is associated with cases you want to view. The field accept up to 50 characters of text in the Entity ID text box.
Entity Name	The entity name associated with cases you want to view.
Jurisdiction	Filters the case list by the jurisdiction to which you are assigned.
Domain	Filters the case list by the business domain associated with a case. The multi-select list box contains only the business domains with which you are authorized to view.
Organization	Filters the case list by the ID of the organization associated with the owner of a case.
Resolution	Filters the case list by the selected action representing a resolution action recorded for a case.
Last Action	Filters the case list by the selected action or actions representing the last action recorded for a case.
Action	Filters the case list by one or more actions that have been taken on a case.
Regulatory Report Type	Filters the case list by the type of a Regulatory Reporting that was initiated from the case. Regulatory Reporting is an optional Oracle application.
Regulatory Report Status	Filters the case list by the status of a Regulatory Reporting that was initiated from the case. Regulatory Reporting is an optional Oracle application.
Linked Alerts	Filters the case list by the number of alerts that are linked to the case.
Linked Cases	Filters the case list by the number of cases that are linked to the alert.

Setting Trade Blotter Default Search

If Trade Blotter has been enabled at deployment and if you have the appropriate access permissions for the Trade Blotter functionality, the Set Trade Blotter Default Search section on the Preferences page enables you to set the display preferences for the simple and advanced searches.



Figure 83. Set Trade Blotter Default Search

The following mutually exclusive options displays in the Trade Blotter section:

- Simple Search
- Advanced Search

Refer to Chapter 6, *Trade Blotter Page*, on page 98, for a description of all the possible fields on the Trade Blotter Search section.

Setting Simple Search Options for Trade Blotter

Oracle Financial Services Alert Management enables you to set preference for the search options that have been configured for the Simple Trade Search section of Trade Blotter Search page.

Figure 84. Set Simple Search Options for Trade Blotter

The values you set here are automatically prepopulated in the corresponding fields of the Search page. The time you select from the **Trades executed in the Last:** drop-down list on the Preferences page is calculated to populate the correct dates in the **Trade Date From** and **To** fields on the Search page.

Setting Advanced Search Options for Trade Blotter

In addition to specifying preference for the Simple Trade Search section, you can set options for all the search filters and the view and sort fields that are configured for the Advanced Trade Search section.

Figure 85. Set Advanced Search Options for Trade Blotter

The values you set here are automatically prepopulated in the corresponding fields of the Search page. The following discrepancies exist between the fields displayed on the Advanced section of the Trade Blotter Search page, and the Advanced section of the Trade Blotter section of the Preferences page:

- For Organization, Division, and Branch filters, if the one or two filters have been configured for display on the Search page, the system does not display the third filter as a preference option. Also, the Division filter is enabled only if you select a value in the Org preference option. Further, the Division preference option is populated based on the selection made in the Org preference option, and so forth.
- For dates (in other words, the Trade Date, Trade Entered Date, Settlement Date, and Review Status To and From fields), instead of displaying preference options for the date To and From fields, a Trades Reviewed in the Last drop-down list is displayed with the following values:
 - Blank
 - 1 Day
 - 5 Days
 - 10 Days
 - 30 Days

Based on the value you select here, the system resets the values in the To and From date fields on the Search page accordingly. For example, if you select 30 days as the preference setting, the To date field is populated with the current system date and the From date field is populated with the date 30 calendar dates prior to the current system date. If you select the Blank option as the default preference, the system resets the To and From date fields on the Search page to a blank value.

Setting Options for Replay Page

The Set Options for Replay Page section displays if your role is associated with one or more scenarios belonging to a scenario class and focus that display on the Replay tab, and have access to the Replay tab in the application. Oracle Financial Services Alert Management enables Analyst II, Analyst III, and Supervisor roles to configure the Security Group filters in the Replay page.



Figure 86. Set Options for Replay Page

Setting Options for Security Group

The **Security Group** radio button enables you to choose between the two mutually exclusive options in the replay's search bar—Enable and Disable. By default, Oracle Financial Services Alert Management UI selects the Security Group option as Enable if you do not save your settings.

Setting Options for Notifications on Home Page

Oracle Financial Services Alert Management and Enterprise Case Management enables users whose roles allow them to own, assign, or reassign alerts and cases.



Figure 87. Set Options for Notification on Home Page

These preferences allows you to select the type of notifications you want to receive in the Notification section of the Home page:

- Do not notify me when alerts are reassigned to my Orgs
- Do not notify me when cases owned by me are acted upon by Assignee
- Do not notify me when cases assigned to me are acted upon by Owner
- Do not notify me when cases are assigned/reassigned to my Org(s)

This option do not notifies you of alerts and cases requiring your review.

Setting Options for E-mail

Oracle Financial Services Alert Management and Enterprise Case Management enables you to set preferences on the outgoing e-mails. To enable this option, select the **Copy me on outgoing e-mails** check box. This option copies you on the e-mails you sent from the Actions page.



Figure 88. Set Options for E-mail

Message Pages

The Oracle Financial Services Enterprise Case Management applications are Web-based and, therefore, you may occasionally see one or more of the following types of message pop-ups apart from those directly related to the business function of the application. This section defines the following message types that are relevant to your activity within the application:

- **Error Messages:** Displays to alert you that you have performed an activity that is not compatible with the application
- **Status Messages:** Displays to alert you of the status of either your current activity or your access rights
- **Informational Messages:** Displays to confirm actions you are taking or to warn you of additional requirements to be met to complete an action

Error Messages

The following error messages display to alert you that you have performed an activity that is not compatible with the application:

- Authentication Errors
- Multiple Session Errors
- Unique Constraint Violation Error

Authentication Errors

Authentication Error pages display if you enter an invalid user ID or password on the Login page (Figure 89).

Additionally, this type of message displays if you inadvertently type the correct login information with improper capitalization or with the Caps Lock key set, as passwords are case-sensitive. .



Figure 89. Authentication Error Page

To reattempt your log in, click **OK** on the Authentication Error page.

Multiple Session Errors

If you try to login the application in a parallel browser when you have already logged into the application in another browser, the Multi Session Error displays. A parallel session is one which is improperly started by selecting **New/Window** from the File menu in IE or by pressing the CTRL+N key and continuing to work in both sessions (Figure 90).



Figure 90. Multiple Session Error Page

Clicking the **OK** button in the message will close the second browser.

In order to login to a second session in parallel with existing session, open a new browser, and select **File' New Session**. A second session opens that enable you to login. When working with two sessions, logout from one of the session does not affect the other session.

Unique Constraint Violation Error

When entering data in the business tabs of a case, if you save a record with an ID that duplicates an ID that already exists for that business entity in the case, then the *Unique Constraint Violation* error displays. The message displays an **OK** button. On click of **OK**, the error message pop-up is closed and the newly entered data remains unsaved (Figure 91).

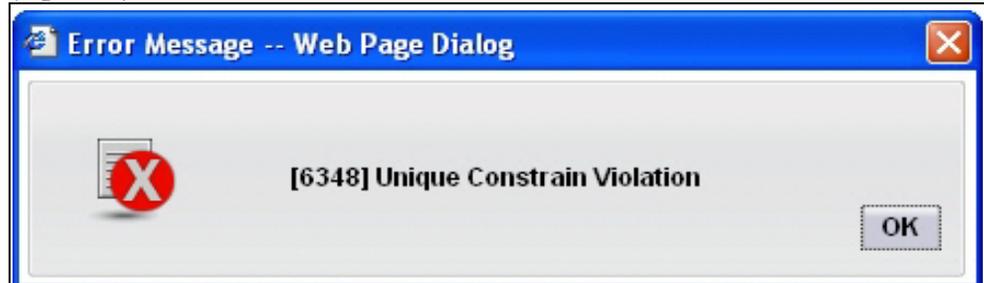


Figure 91. Unique Constraint Violation Page

Status Messages

Status messages display to warn you that another user has locked a case that you are trying to access.

Alert/Case Locked

The Alert/Case Locked dialog box displays to let you know that the selected alert/case records are locked as a result of another user who is currently acting on an alert/a case you have selected.

If you have selected one or more alerts/cases to perform some action, and if another user is currently taking an action on all those selected alerts/cases, then the Alert/Case Locked dialog box displays with the following message:

- **When alerts are locked:** All selected alert records are locked by another user. Please try again later.
- **When cases are locked:** All selected case records are locked by another user. Please try again later.

If you have selected one or more alerts/cases to perform some action and if another user is currently taking an action on one or some of those selected alerts/cases, then the Alert/Case Locked dialog box displays with the following message:

- **When some alerts are locked:** One or more Alerts are locked by another user. Select OK to continue, Cancel to return to the Alert List.
- **When some cases are locked:** One or more cases are locked by another user. Click **OK** to continue performing actions for cases which are not locked.

If you have selected an alert/a case, which is already locked by another user, then on clicking the **Case ID** hyper link in order to navigate to the Case details page, the Alert/Case Locked dialog box displays with the following message:

- **When alert is locked:** The selected alert is locked by another user. Click **OK** to view the alert details page in view mode only and Cancel to return to list page.
- **When Case is locked:** The selected case is locked by another user. Click **OK** to view the case details page in view mode only and Cancel to return to list page.

Informational Messages

The Informational messages display as a pop-up either with the **OK** button, or with the **OK** and **Cancel** buttons. The following are a few instances where these messages display.

- If you do not enter information into a field, which is required for an action to be performed
- A pre-save confirmation message asking you if you would like to save the actions you have chosen to perform
- A post save confirmation message informing you if the actions performed have been successful or not
- A confirmation message if you choose to edit or remove a record
- If you have not selected a case/business entity for an action to be performed
- If you choose to cancel an action, which has not been saved

Informational messages help you successfully perform an action and warn you if you have missed certain steps out for the successful completion of an action undertaken.

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