Oracle Financial Services
Regulatory Reporting

Kenya Suspicious Transaction Report User Guide

Release 2.5.1
June 2014

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User Guide

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About This Guide

The *Oracle Financial Services Regulatory Reporting User Guide* explains the concepts behind the Oracle Financial Services Regulatory Reporting (OFSRR) and provides step-by-step instructions for navigating through OFSRR.

This chapter discusses 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 Regulatory Reporting User Guide Kenya STR, Release 2.5.1* is designed for use by various users. Their roles and responsibilities, as they operate within the Oracle Financial Services Regulatory Reporting, include the following:

- **Analyst**: This user can create reports, view regulatory reports, request reports for approval, add comments and view a final report.
- **Reviewer**: This user can create new regulatory reports, view reports, edit report details, recommend reports for approval, rework on request for approval reports, cancel filing, add comments, view a final report, and reopen reports.
- **Supervisor**: This user can create new regulatory reports, view reports, edit report details, set report due date, rework reports on recommend for approval, rework reports on request for approval, approve reports, cancel report filing, add comments, view final report, file approved reports, and reopen reports.
- **Auditor**: This user can view regulatory reports, add comments, and view draft report.
- **System Administrator**: This user is responsible for managing the static data used in OFSRR, creating application users, mapping users to user groups, and configuring the various parameters used within OFSRR.

The Analyst 1, 2, 3, 4, Reviewer 1, 2, Supervisor, and Auditor 1, and 2 user roles are defined in OFSRR. These roles are created to provide selected and incremental rights to users within OFSRR.

For more information on user roles and responsibilities, refer to *Table 2*.

How this Guide is Organized

The *Oracle Financial Services Regulatory Reporting User Guide KE STR, Release* 2.5.1, includes the following topics:

- Chapter 1, *About Regulatory Reporting*, provides an overview of the OFSRR.
- Chapter 2, *Getting Started*, explains the steps to login to OFSRR and provides a brief overview of the various users and their roles in OFSRR.
- Chapter 3, *Managing Regulatory Reporting*, explains the workflow of regulatory reports.

Where to Find More Information

For additional information about Oracle Financial Services Regulatory Reporting, refer to the following documents:

- *Oracle Financial Services Regulatory Reporting Data Model Reference Guide*: *Release 2.5.1:* This guide explains the structure of the entities in the OFSRR data model and provides in-depth information on managing the data in OFSRR.
- *Oracle Financial Services Regulatory Reporting Webservice Guide*: *Release 2.5.1:* This guide explains how and in what format the source business data is provided to the Regulatory Reporting through a web service for the report type.
- *Oracle Financial Services Regulatory Reporting Installation Guide*: *Release 2.5.1:* This guide provides step-by-step instructions for installing OFSRR on an existing Oracle Financial Services Behavior Detection Framework hosted in Windows environment.
- *Oracle Financial Services Regulatory Reporting Administration Guide*: *Release 2.5.1:* This guide describes comprehensive activities to be done by the Administrator within OFSRR. This guide provides information about configuring and maintaining users and static data.

To find additional information about how Oracle Financial Services solves real business problems, see our website at www.oracle.com/financialservices.

Conventions Used in this Guide

Table 1 lists the conventions used in this guide.

Table 1. Conventions Used in this Guide

Convention	Meaning
Italics	● Names of books, chapters, and sections as references ● Emphasis
Bold	● Object of an action (menu names, field names, options, button names) in a step-by-step procedure ● Commands typed at a prompt ● User input
`Monospace`	● Directories and subdirectories ● File names and extensions ● Process names ● Code sample, including keywords and variables within text and as separate paragraphs, and user-defined program elements within text
<Variable>	Substitute input value

CHAPTER 1

About Regulatory Reporting

This chapter provides an overview of Oracle Financial Services Regulatory Reporting.

This chapter discusses the following topics:

- Introduction to Regulatory Reporting
- About Oracle Financial Services Regulatory Reporting

Introduction to Regulatory Reporting

As a part of regulations and compliances, a Financial Services Organization must perform appropriate analysis and report any suspicious activities that may lead to fraud and money laundering 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.

Financial institutions are required to provide data regarding suspicious activities to their geographic region's regulatory authority. This data is delivered to the regulatory bodies through regulatory reports. These reports, depending on the regulatory geographic region, can be delivered in a paper format or in an electronic format.

In Kenya, suspicious activities are notified to the Financial Reporting Centre (FRC). The Financial Reporting Centre is a Kenyan Government institution, established with the principal objective of identifying suspicious transactions and combating money laundering.

About Oracle Financial Services Regulatory Reporting

The Oracle Financial Services Regulatory Reporting (OFSRR) supports the management, delivery, and resolution of regulatory reports across multiple geographic regions and across multiple financial lines of business. OFSRR supports the generation of Suspicious Transaction Reports (STR) for various countries such as The United States of America Suspicious Activity Reports (US SAR), Nigeria (NG STR), Pakistan (PK STR), Malaysia (MY STR), Singapore (SG STR), New Zealand (NZ STR), Bahamas (BS STR), Egypt (EG STR), and Kenya (KE STR). Since there are several differences in requirements for paper-based formats versus electronic formats, between different geographic regions, and the data elements that are required on these STRs, the approach to satisfy 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.

OFSRR is integrated with Oracle Financial Services Financial Crime and Compliance (OFSFCCM) and allows users to generate reports from within OFSFCCM. When a report is created in OFSRR through OFSFCCM, the report details are auto-populated with information from the alert or case which triggered the action to generate the STR. You can also manually create a new STR from within OFSRR.

For more information on the workflow of regulatory reports, refer to *Life Cycle of a Suspicious Transaction Report*.

CHAPTER 2 Getting Started

This chapter explains the steps to login to OFSRR and provides a brief overview of the various users and their roles within OFSRR.

This chapter explains the following topics:

- User Roles
- User Access
- Logging in to Regulatory Reporting
- Accessing Regulatory Reporting from OFSFCCM

User Roles

The following user roles are defined in OFSRR:

- Analyst 1,2,3,4
- Reviewer 1,2
- Supervisor
- Auditor 1, 2
- System Administrator

User Access

The following table explains the tasks that can be performed by various users in OFSRR.

.

Table 2. User Access

Function	Roles									
	Analyst 1	**Analyst 2**	**Analyst 3**	**Analyst 4**	**Reviewer 1**	**Reviewer 2**	**Supervisor**	**Auditor 1**	**Auditor 2**	**System Admin**
View reports	X	X	X	X	X	X	X	X	X	
Request for Approval	X	X	X	X						
Recommend for Approval					X	X				
Rework from Recommended for Approval							X			
Rework from Requested for Approval					X	X	X			
Approve							X			
Cancel Filling for Open, Reopen statuses			X	X	X	X	X			
Cancel Filing for Approved and Recommended for Approval status							X			
Cancel Filling for requested for approval statuses					X	X	X			
Add RR Comments	X	X	X	X	X	X	X		X	
View/Save Final Report	X	X	X	X	X	X	X			

Table 2. User Access

Function	Roles									
	Analyst 1	Analyst 2	Analyst 3	Analyst 4	Reviewer 1	Reviewer 2	Supervisor	Auditor 1	Auditor 2	System Admin
File Approved Reports							X			
Create New Report	X	X	X	X	X	X	X			
Set Due date						X	X			
Reopen Cancelled Reports		X		X	X	X	X			
View / Edit Configuration										X

Logging in to Regulatory Reporting

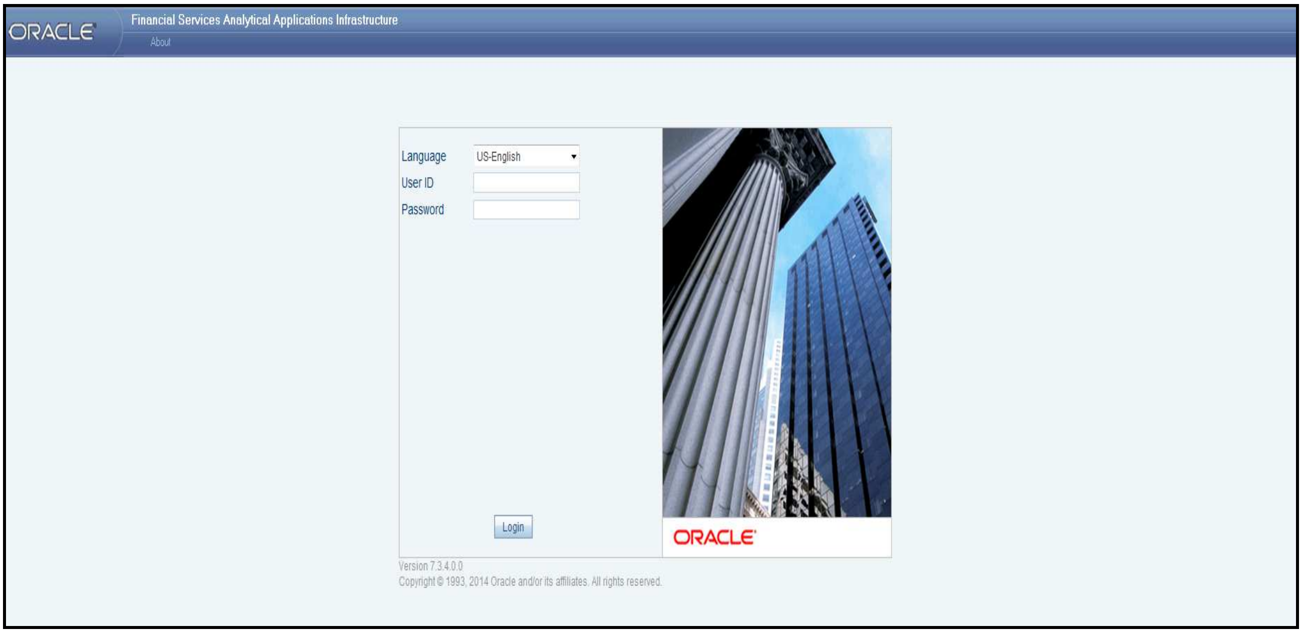
To access Regulatory Reporting, follow these steps:

1. Go to the **OFSAAI** Login page.
2. Select the **Language**.
3. Enter your **User ID**.
4. Enter your **Password**.
5. Click **Login**. The Oracle Financial Services Analytical Applications Infrastructure page is displayed with a link to either **RR** or **FCCM**.

Accessing Regulatory Reporting from OFSFCCM

To access OFSRR from OFSFCCM, follow these steps:

1. Go to the **OFSAAI** Login page.



Language US-English

Version 7.3.4.0.0
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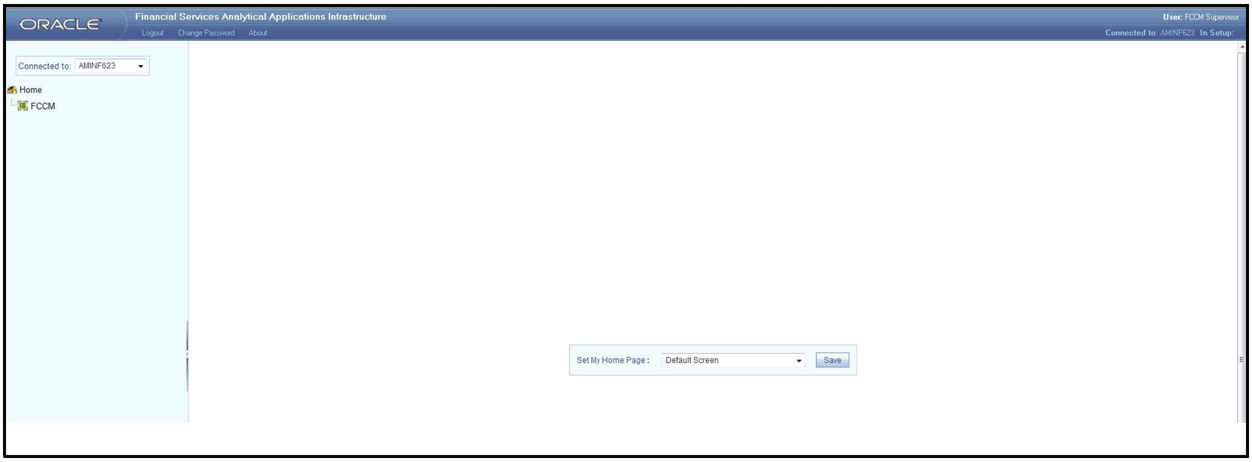
Figure 1. OFSAAI Login Page

2. Select the **Language**.
3. Enter your **User ID**.
4. Enter your **Password**.
5. Click **Login**. The OFSAAI home page is displayed.
    - If you've installed OFSRR without OFSFCCM, the Oracle Financial Services Analytical Applications Infrastructure page will display the **RR** link under Home menu. Clicking the **RR** link will navigate you to the RR Search and List page.

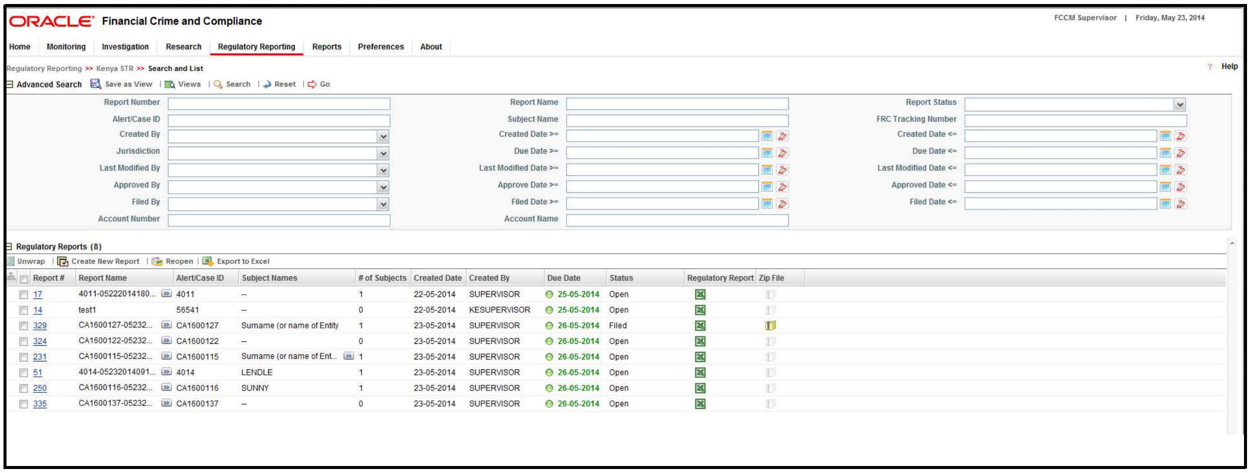

ORACLE
Financial Services Analytical Applications Infrastructure
Logout
Change Password
About
User: FCCM Supervisor
Connected to: AMINF623 In Setup:
Home
FCCM
Save

Connected to: AMINF623

Set My Home Page : Default Screen

Figure 2. OFSAAI Home Page

6. Click **FCCM**. The OFSFCCM Home page is displayed depending upon the user roles and their access permissions.
7. Click **Kenya STR** from the **Regulatory Reporting** menu. The RR Search and List page opens.


ORACLE Financial Crime and Compliance
FCCM Supervisor | Friday, May 23, 2014
Home
Monitoring
Investigation
Research
Regulatory Reporting
Reports
Preferences
About
Regulatory Reporting >> Kenya STR >> Search and List
Help
Advanced Search
Save as View
Views
Search
Reset
Go
Report Number
Alert/Case ID
Created By
Jurisdiction
Last Modified By
Approved By
Filed By
Account Number
Report Name
Subject Name
Created Date >=
Due Date >=
Last Modified Date >=
Approve Date >=
Filed Date >=
Account Name
Report Status
FRC Tracking Number
Created Date <=
Due Date <=
Last Modified Date <=
Approved Date <=
Filed Date <=
Unwrap
Create New Report
Reopen
Export to Excel

Regulatory Reports (8)

	Report #	Report Name	Alert/Case ID	Subject Names	# of Subjects	Created Date	Created By	Due Date	Status	Regulatory Report	Zip File
☐	17	4011-05222014180...	4011	--	1	22-05-2014	SUPERVISOR	25-05-2014	Open	☒	
☐	14	test1	56541	--	0	22-05-2014	KESUPERVISOR	25-05-2014	Open	☒	
☐	329	CA1600127-05232...	CA1600127	Surname (or name of Entity	1	23-05-2014	SUPERVISOR	26-05-2014	Filed	☒	▨
☐	324	CA1600122-05232...	CA1600122	--	0	23-05-2014	SUPERVISOR	26-05-2014	Open	☒	
☐	231	CA1600115-05232...	CA1600115	Surname (or name of Ent...	1	23-05-2014	SUPERVISOR	26-05-2014	Open	☒	
☐	51	4014-05232014091...	4014	LENDLE	1	23-05-2014	SUPERVISOR	26-05-2014	Open	☒	
☐	250	CA1600116-05232...	CA1600116	SUNNY	1	23-05-2014	SUPERVISOR	26-05-2014	Open	☒	
☐	335	CA1600137-05232...	CA1600137	--	0	23-05-2014	SUPERVISOR	26-05-2014	Open	☒	

Figure 3. RR Search and List page in OFSFCCM

OFSRR can be configured and accessed from within OFSFCCM. For more information, refer to the *Oracle Financial Services Regulatory Reporting Installation Guide* and the *Administration Guide*.

The menus displayed in the OFSFCCM page depend on the roles mapped to the user. In the above example, the user is mapped to OFSFCCM and OFSRR. The Regulatory Reporting link is enabled only for users who have access to OFSRR. Based on user roles access permission, OFSRR displays the following tabs.

- Regulatory Reporting
- Administration

The Regulatory Reporting menu displays the Kenya STR primary menu. The Kenya STR primary menu displays the following sub-menus:

- **Search and List**: This menu allows you to navigate to the Report Search and List page.
- **Create New Report**: This menu allows you to create new reports.

The Administration tab displays the following sub-menus:

- **User Attributes**: This menu allows you to map and maintain the security attributes for each user role.
- **Webservice Configuration**: This menu allows you to reset the Webservice password. For more information on resetting the User ID and Password, refer to the *Oracle Financial Services Regulatory Reporting Administration Guide*.

CHAPTER 3

Managing Regulatory Reporting

This chapter provides step-by-step instructions to manage OFSRR and includes the following topics:

- Regulatory Reporting Workflow
- Life Cycle of a Suspicious Transaction Report
- Creating a New STR
- Searching STRs
- Submitting an STR for Approval
- Setting Due Date of an STR
- Updating FRC Tracking Number
- Adding Comments to an STR
- Viewing an STR Excel
- Exporting the STR List to Excel

Regulatory Reporting Workflow

The following figure depicts the workflow of regulatory reports in OFSRR:

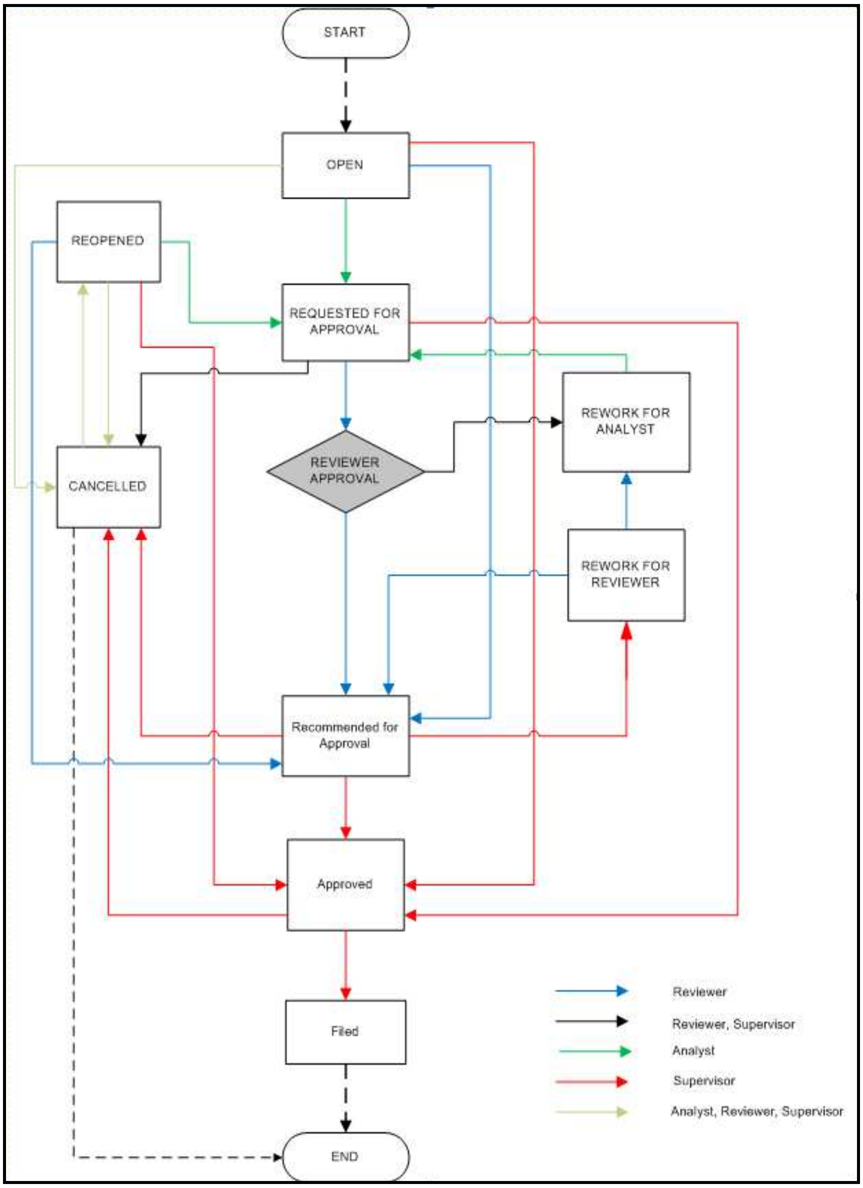

START
OPEN
REOPENED
REQUESTED FOR APPROVAL
REWORK FOR ANALYST
CANCELLED
REVIEWER APPROVAL
REWORK FOR REVIEWER
Recommended for Approval
Approved
Filed
END
Reviewer
Reviewer, Supervisor
Analyst
Supervisor
Analyst, Reviewer, Supervisor

Figure 4. Regulatory Reporting Workflow

Life Cycle of a Suspicious Transaction Report

An STR is created in Regulatory Reporting as a result of the *Generate KE STR* action taken from within OFSFCCM or manual creation of a report from OFSRR. When an STR is created in OFSRR through OFSFCCM, the report details are auto-populated with information from the alert or case which triggered the generation of an STR.

Users mapped to the role of Analyst, Reviewer, or Supervisor can update the report details and submit the report details for approval. For more information on the status in which the reports are editable by these users, refer to *Table 4*. Supervisors can also edit and approve report details directly when the report is in Open, Requested for Approval, Recommended for Approval, and Reopened status. During the edit and review process, the STR is available to view as a draft Excel report.

For the complete list of actions an Analyst, Reviewer, and Supervisor can perform on various report statuses, refer to *Table 3*.

The Analyst user can update report details and request approval by the Reviewer. The Reviewer then validates the report information and can recommend approval by the Supervisor. Alternatively, the Supervisor can choose to act on the report directly when the report is in Requested for Approval status.

A Supervisor user can take actions such as approve, rework, cancel filing once the Analyst and Reviewer user have requested for approval and recommended for approval, respectively. Alternatively, the Supervisor can approve the reports in Open and Reopen status.

A Reviewer can rework on a report when it is in Requested for Approval status whereas a Supervisor can take rework action in Requested for Approval and Recommended for Approval status. If a report is sent for rework, an Analyst or a Reviewer must rework on the report and request/recommend the report again for approval. A reviewer can also send the report to an Analyst for rework when the report is in Rework for Reviewer status. This process continues until the report is approved or cancelled. For more information on reworking on STRs, refer to section, *Sending Reports For Rework*.

If the user determines that the STR must be filed with the regulatory authority, the user can take File action on the report. The OFSRR generates the FRC Tracking number as well as the final STR that must be filed with the regulatory authority. For more information on marking STR as Filed refer to section, *Marking an STR as Filed*. The FRC Tracking number is essential for filing the STR with the regulatory authority. Submission of reports to the regulator occurs outside of OFSRR.

If the user determines that the report need not be filed with the regulatory authority then authorized users can take Cancel Filing action on the report. The status of the report changes to Cancelled. Subsequently, the users can reopen cancelled reports if they must be filed with the regulatory authority.

For detailed explanation on user roles, refer to table *Table 2*.

An STR has a life cycle which begins with the *Open* status and ends when it is in *Filed* status.

Note: You cannot edit report details when the report is in *View Only* mode. You can add comments to an STR in all statuses.

To view the report details, click the report name in the RR Search and List page.

If you try to take action on more than one report and some reports are locked by another user, the application displays the following message: *STR-01, STR-02 - Report Name(s) are locked by another user. Click OK to take action on the remaining reports or CANCEL to go back to the previous page.*

If you try to take action on one or more than one report and all the reports are locked by another user, the application displays the following message: *All the selected reports are locked by another user. Please try again later.* The following table explains the report status in which users can take possible actions on the report, along with details of the resulting status.

If you try to open a report that is already opened by another user, the application displays the following message: *The report is currently locked by another user. You will not be able to edit/take action on the report. Do you wish to open report details in read only mode.*

Table 3. Report Status and Possible Actions

Report Status	Possible Action	Who Can Perform	Report Status Changes To
Open	Request for Approval	Analyst 1,2,3,4	Requested for Approval
	Approve	Supervisor	Approved
	Recommend for Approval	Reviewer1,2	Recommended for Approval
	Cancel Filing	Analyst 3,4, Reviewer 1,2, Supervisor	Cancelled
Reopened	Request for Approval	Analyst 1,2,3,4	Requested for Approval
	Approve	Supervisor	Approved
	Recommend for Approval	Reviewer 1,2	Recommended for Approval
	Cancel Filing	Analyst 3,4, Reviewer 1,2, Supervisor	Cancelled
Requested for Approval	Approve	Supervisor	Approved
	Rework	Reviewer 1,2, Supervisor	Rework for Analyst
	Recommend for Approval	Reviewer 1,2	Recommended for Approval
	Cancel Filing	Reviewer 1,2, Supervisor	Cancelled
Recommend for Approval	Approve	Supervisor	Approved
	Rework	Supervisor	Rework for Reviewer
	Cancel Filing	Supervisor	Cancelled
Approved	File	Supervisor	Filed
	Cancel Filing	Supervisor	Cancelled
Rework for Analyst	Request for Approval	Analyst 1,2,3,4	Requested for Approval
Rework for Reviewer	Recommend for Approval	Reviewer 1,2	Recommended for Approval
	Rework	Reviewer 1,2	Rework for Analyst
Cancelled	Reopen	Analyst 2,4, Reviewer 1,2, Supervisor	Reopened
Filed	Update FRC Tracking Number	Analyst 1,2,3,4, Reviewer 1,2, Supervisor	Filed
Create New Report		Analyst 1,2,3,4, Reviewer 1,2, Supervisor	Open

The following table explains in which statuses an Analyst, Reviewer, or Supervisor user can edit the report details.

Table 4. Status in which the Reports are Editable by Various Users

Status	Edit Report Details*		
	Analyst	Reviewer	Supervisor
Open	X	X	X
Reopened	X	X	X
Requested for Approval		X	X
Recommended for Approval			X
Approved			
Rework for Analyst	X	X	X
Rework for Reviewer	X	X	X
Filed			
Cancelled			

Note: *Editing reports does not include addition of comments which can be done by any user in any status (except Auditor-1).

Creating a New STR

You can create a new STR either by manually creating a new report from OFSRR or through OFSFCCM by taking **Generate KE STR** action on an Alert or a Case.

This section covers the following topics:

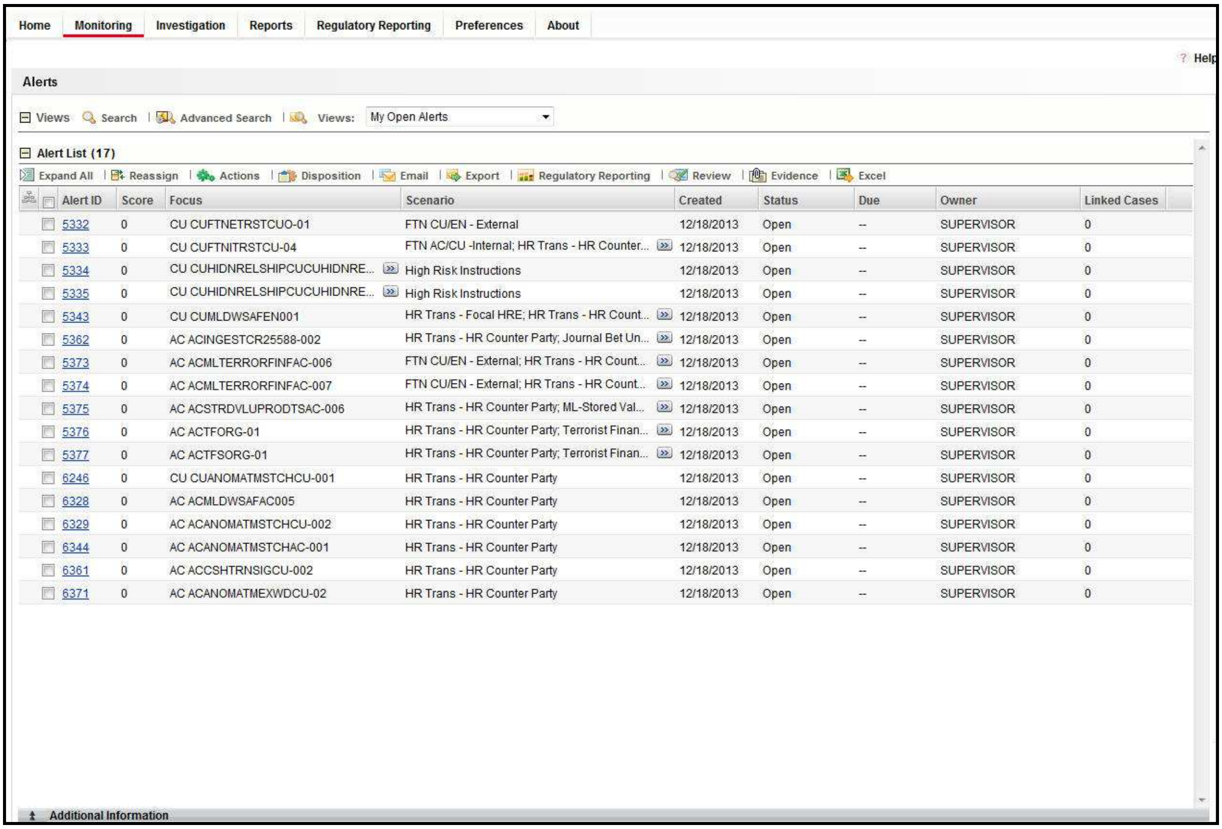
- Creating a New STR from OFSFCCM
- Creating a New STR from OFSRR

Creating a New STR from OFSFCCM

When a user with appropriate access permission performs the **Generate KE STR** action on an alert or a case from OFSFCCM, the data is passed to OFSRR through the web service and a new STR is created in OFSRR.

To create an STR on an alert from OFSFCCM, follow these steps:

1. From the OFSFCCM Home page, select **Alerts** from the **Monitoring** menu.

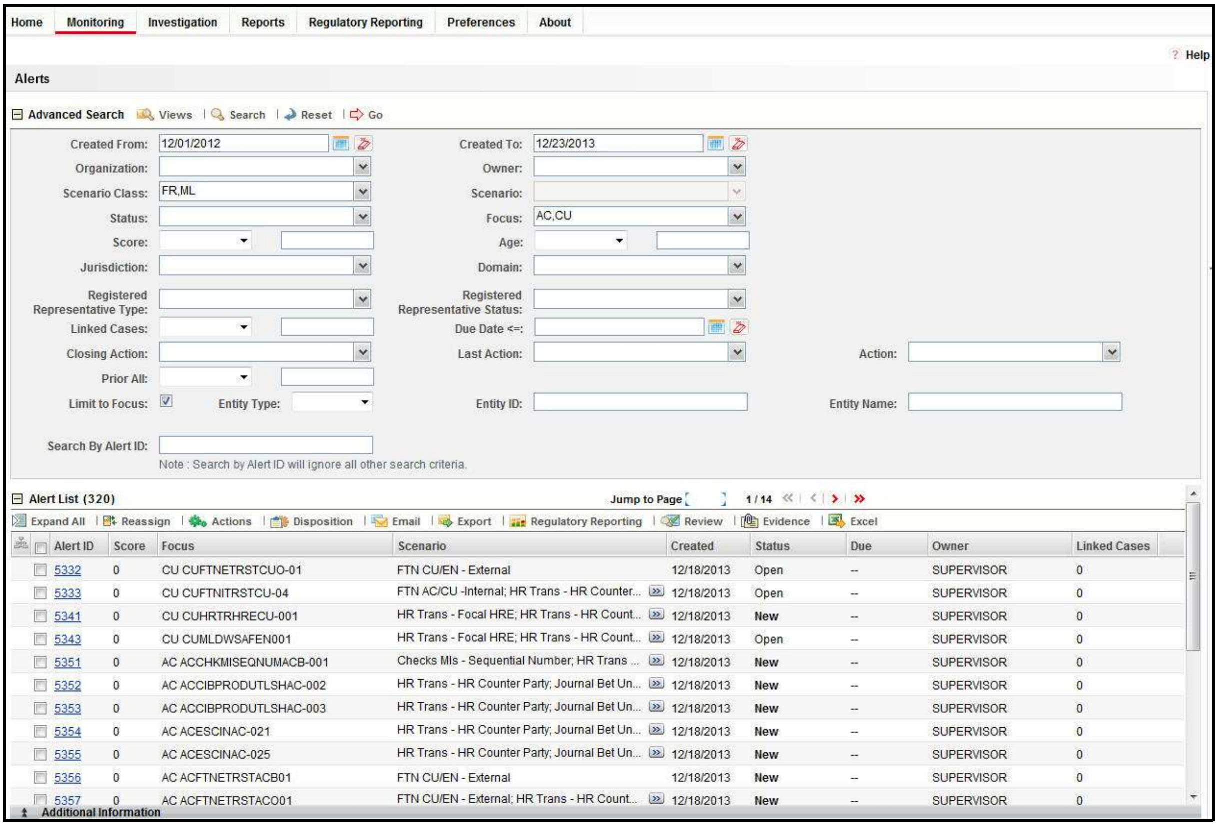

Home
Monitoring
Investigation
Reports
Regulatory Reporting
Preferences
About
Help
Alerts
Views
Search
Advanced Search
Views:
My Open Alerts
Alert List (17)
Expand All
Reassign
Actions
Disposition
Email
Export
Regulatory Reporting
Review
Evidence
Excel
Additional Information

☐	Alert ID	Score	Focus	Scenario	Created	Status	Due	Owner	Linked Cases
☐	5332	0	CU CUFTNETRSTCUO-01	FTN CU/EN - External	12/18/2013	Open	--	SUPERVISOR	0
☐	5333	0	CU CUFTNITRSTCU-04	FTN AC/CU -Internal; HR Trans - HR Counter...	12/18/2013	Open	--	SUPERVISOR	0
☐	5334	0	CU CUHIDNRELSHIPCUCUHIDNRE...	High Risk Instructions	12/18/2013	Open	--	SUPERVISOR	0
☐	5335	0	CU CUHIDNRELSHIPCUCUHIDNRE...	High Risk Instructions	12/18/2013	Open	--	SUPERVISOR	0
☐	5343	0	CU CUMLDWSAFEN001	HR Trans - Focal HRE; HR Trans - HR Count...	12/18/2013	Open	--	SUPERVISOR	0
☐	5362	0	AC ACINGESTCR25588-002	HR Trans - HR Counter Party; Journal Bet Un...	12/18/2013	Open	--	SUPERVISOR	0
☐	5373	0	AC ACMLTERRORFINFAC-006	FTN CU/EN - External; HR Trans - HR Count...	12/18/2013	Open	--	SUPERVISOR	0
☐	5374	0	AC ACMLTERRORFINFAC-007	FTN CU/EN - External; HR Trans - HR Count...	12/18/2013	Open	--	SUPERVISOR	0
☐	5375	0	AC ACSTRDVLUPRODTSAC-006	HR Trans - HR Counter Party; ML-Stored Val...	12/18/2013	Open	--	SUPERVISOR	0
☐	5376	0	AC ACTFORG-01	HR Trans - HR Counter Party; Terrorist Finan...	12/18/2013	Open	--	SUPERVISOR	0
☐	5377	0	AC ACTFSORG-01	HR Trans - HR Counter Party; Terrorist Finan...	12/18/2013	Open	--	SUPERVISOR	0
☐	6246	0	CU CUANOMATMSTCHCU-001	HR Trans - HR Counter Party	12/18/2013	Open	--	SUPERVISOR	0
☐	6328	0	AC ACMLDWSAFAC005	HR Trans - HR Counter Party	12/18/2013	Open	--	SUPERVISOR	0
☐	6329	0	AC ACANOMATMSTCHCU-002	HR Trans - HR Counter Party	12/18/2013	Open	--	SUPERVISOR	0
☐	6344	0	AC ACANOMATMSTCHAC-001	HR Trans - HR Counter Party	12/18/2013	Open	--	SUPERVISOR	0
☐	6361	0	AC ACCSHTRNSIGCU-002	HR Trans - HR Counter Party	12/18/2013	Open	--	SUPERVISOR	0
☐	6371	0	AC ACANOMATMEXWDCU-02	HR Trans - HR Counter Party	12/18/2013	Open	--	SUPERVISOR	0

Figure 5. Alerts Search and List Page

2. Click **Advanced Search**. Select **FR** (Fraud), **ML** (Money laundering), or **IML** (Institutional Money Laundering) in the **Scenario Class** drop-down. Options for selecting a scenario class will depend on your current installation and user access to scenarios.

3. Select **AC** (Account), and **CU** (Customer) in the **Focus** drop-down. Options for selecting a Focus type will depend on your current installation and user access to scenarios. Select any additional desired filters, including modifying the Created From and To dates as needed.


Home
Monitoring
Investigation
Reports
Regulatory Reporting
Preferences
About
Help
Alerts
Advanced Search
Views
Search
Reset
Go

Created From: 12/01/2012
Created To: 12/23/2013
Scenario Class: FR,ML
Focus: AC,CU
Limit to Focus: ☑
Note : Search by Alert ID will ignore all other search criteria.

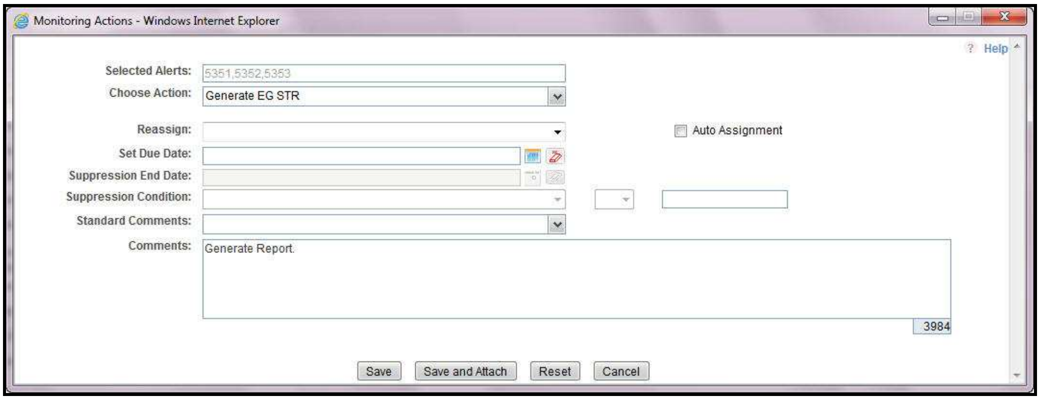
Organization:
Owner:
Scenario:
Status:
Score:
Age:
Jurisdiction:
Domain:
Registered Representative Type:
Registered Representative Status:
Linked Cases:
Due Date <=:
Closing Action:
Last Action:
Action:
Prior All:
Entity Type:
Entity ID:
Entity Name:
Search By Alert ID:
Jump to Page
1 / 14
Expand All
Reassign
Actions
Disposition
Email
Export
Regulatory Reporting
Review
Evidence
Excel
Additional Information

Alert List (320)

Alert ID	Score	Focus	Scenario	Created	Status	Due	Owner	Linked Cases
5332	0	CU CUFTNETRSTCUO-01	FTN CU/EN - External	12/18/2013	Open	--	SUPERVISOR	0
5333	0	CU CUFTNITRSTCU-04	FTN AC/CU -Internal; HR Trans - HR Counter...	12/18/2013	Open	--	SUPERVISOR	0
5341	0	CU CUHRTRHRECU-001	HR Trans - Focal HRE; HR Trans - HR Count...	12/18/2013	New	--	SUPERVISOR	0
5343	0	CU CUMLDWSAFEN001	HR Trans - Focal HRE; HR Trans - HR Count...	12/18/2013	Open	--	SUPERVISOR	0
5351	0	AC ACCHKMISEQNUMACB-001	Checks MIs - Sequential Number; HR Trans ...	12/18/2013	New	--	SUPERVISOR	0
5352	0	AC ACCIBPRODUTLSHAC-002	HR Trans - HR Counter Party; Journal Bet Un...	12/18/2013	New	--	SUPERVISOR	0
5353	0	AC ACCIBPRODUTLSHAC-003	HR Trans - HR Counter Party; Journal Bet Un...	12/18/2013	New	--	SUPERVISOR	0
5354	0	AC ACESCINAC-021	HR Trans - HR Counter Party; Journal Bet Un...	12/18/2013	New	--	SUPERVISOR	0
5355	0	AC ACESCINAC-025	HR Trans - HR Counter Party; Journal Bet Un...	12/18/2013	New	--	SUPERVISOR	0
5356	0	AC ACFTNETRSTACB01	FTN CU/EN - External	12/18/2013	New	--	SUPERVISOR	0
5357	0	AC ACFTNETRSTACO01	FTN CU/EN - External; HR Trans - HR Count...	12/18/2013	New	--	SUPERVISOR	0

Figure 6. Alerts Advanced Search

4. Click **Go**.
5. Select the required alerts from the Alert Search and List page and click **Reg Reporting** in the Action bar.
6. Select **Generate KE STR** from the Choose Action drop-down list in the Monitoring Actions Window and enter the comments.


Monitoring Actions - Windows Internet Explorer
Help
Reassign:
Set Due Date:
Suppression End Date:
Suppression Condition:
Standard Comments:
Save
Save and Attach
Reset
Cancel

Selected Alerts: 5351,5352,5353
Choose Action: Generate EG STR
☐ Auto Assignment
Comments: Generate Report
3984

Figure 7. Monitoring Actions Window

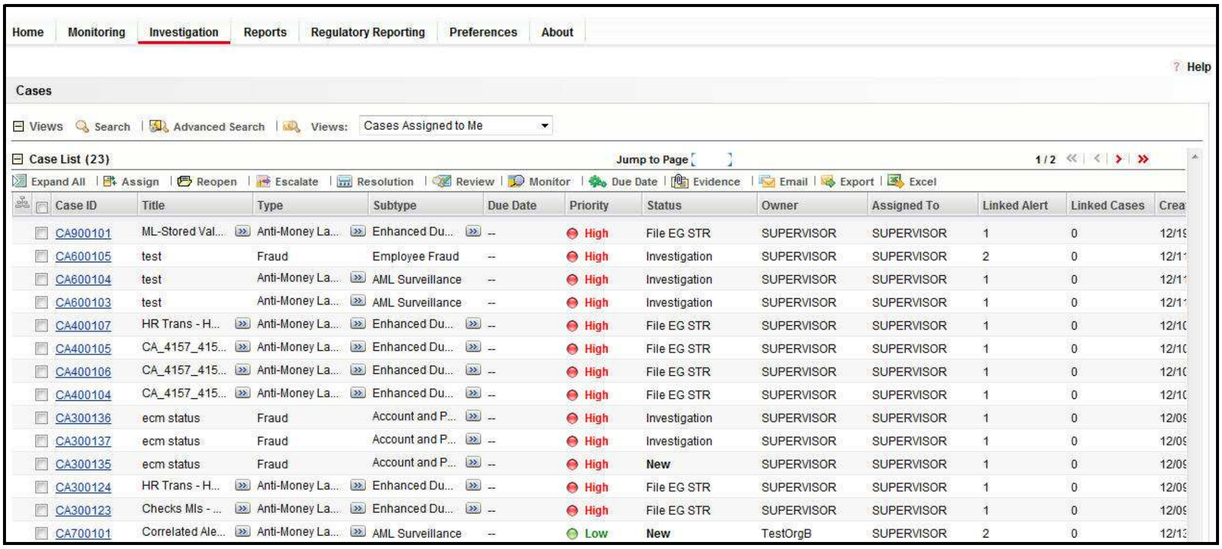
7. Click **Save**. The following confirmation message is displayed: *Would you like to save these actions?*

8. Click **OK.** A success message is displayed along with the alert ID. Click **OK**.
9. Navigate to the RR Search and List page. The latest alert on which **Generate KE STR** action was taken is displayed in the RR Search and List page.

   Note: You can also perform **Generate KE STR** on multiple alerts from the Alert Search and List page.

To create an STR on a case from OFSFCCM, follow these steps:

1. From OFSFCCM home page, select **Cases - AML/Fraud** under the **Investigation** menu.


Home
Monitoring
Investigation
Reports
Regulatory Reporting
Preferences
About
Help
Cases
Views
Search
Advanced Search
Expand All
Assign
Reopen
Escalate
Resolution
Review
Monitor
Due Date
Evidence
Email
Export
Excel

Views: Cases Assigned to Me

Case List (23)

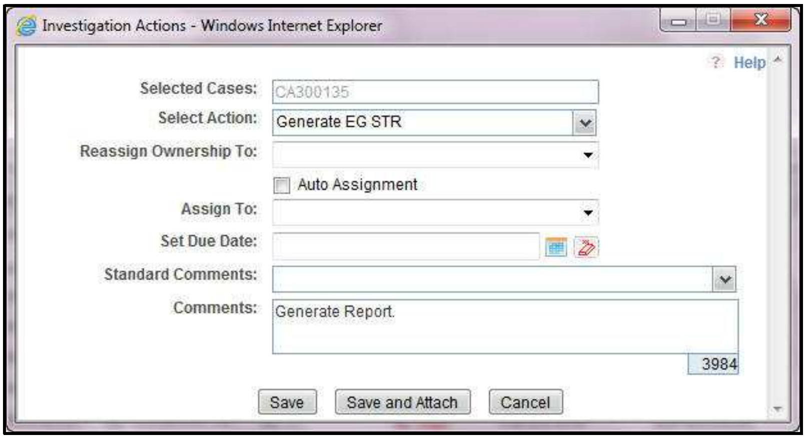
Jump to Page

1 / 2

Case ID	Title	Type	Subtype	Due Date	Priority	Status	Owner	Assigned To	Linked Alert	Linked Cases	Crea
CA900101	ML-Stored Val...	Anti-Money La...	Enhanced Du...	--	High	File EG STR	SUPERVISOR	SUPERVISOR	1	0	12/1
CA600105	test	Fraud	Employee Fraud	--	High	Investigation	SUPERVISOR	SUPERVISOR	2	0	12/1
CA600104	test	Anti-Money La...	AML Surveillance	--	High	Investigation	SUPERVISOR	SUPERVISOR	1	0	12/1
CA600103	test	Anti-Money La...	AML Surveillance	--	High	Investigation	SUPERVISOR	SUPERVISOR	1	0	12/1
CA400107	HR Trans - H...	Anti-Money La...	Enhanced Du...	--	High	File EG STR	SUPERVISOR	SUPERVISOR	1	0	12/1
CA400105	CA_4157_415...	Anti-Money La...	Enhanced Du...	--	High	File EG STR	SUPERVISOR	SUPERVISOR	1	0	12/1
CA400106	CA_4157_415...	Anti-Money La...	Enhanced Du...	--	High	File EG STR	SUPERVISOR	SUPERVISOR	1	0	12/1
CA400104	CA_4157_415...	Anti-Money La...	Enhanced Du...	--	High	File EG STR	SUPERVISOR	SUPERVISOR	1	0	12/1
CA300136	ecm status	Fraud	Account and P...	--	High	Investigation	SUPERVISOR	SUPERVISOR	1	0	12/0
CA300137	ecm status	Fraud	Account and P...	--	High	Investigation	SUPERVISOR	SUPERVISOR	1	0	12/0
CA300135	ecm status	Fraud	Account and P...	--	High	New	SUPERVISOR	SUPERVISOR	1	0	12/0
CA300124	HR Trans - H...	Anti-Money La...	Enhanced Du...	--	High	File EG STR	SUPERVISOR	SUPERVISOR	1	0	12/0
CA300123	Checks Mls - ...	Anti-Money La...	Enhanced Du...	--	High	File EG STR	SUPERVISOR	SUPERVISOR	1	0	12/0
CA700101	Correlated Ale...	Anti-Money La...	AML Surveillance	--	Low	New	TestOrgB	SUPERVISOR	2	0	12/1

Figure 8. Cases AML/Fraud Search and List Page

2. Select one or more cases in *New /Investigation* statuses from the Search & Case List page using the checkboxes, and click the **Resolution** action category.
3. Select **Generate KE STR** from the Select an Action drop-down list in the Investigation Actions Window and enter the comments.


Investigation Actions - Windows Internet Explorer
Help
Save
Save and Attach
Cancel

Selected Cases: CA300135

Select Action: Generate EG STR

Reassign Ownership To:

☐ Auto Assignment

Assign To:

Set Due Date:

Standard Comments:

Comments: Generate Report.

3984

Figure 9. Investigation Action Window

4. Click **Save**. The following confirmation message is displayed: *Would you like to save these actions?*
5. Click **OK**. A success message is displayed along with the Case ID. Click **OK**.

6. Navigate to the RR Search and List page. The latest case on which Generate KE STR action was taken is displayed in the RR Search and List page.

   Note: You can also perform the **Generate KE STR** action from the Case Details page of a case.

Sending Acknowledgement to OFSFCCM from Regulatory Reporting

OFSRR sends a positive acknowledgment to OFSFCCM when all the mandatory information verification is completed successfully.

By default, the **ECM STATUS UPDATE FLAG is** set to **Y**. If the status is set to **Y**, then OFSRR will send all the status updates to OFSFCCM. If the status is set to **N**, then OFSRR will not send any status updates to OFSFCCM.

The following information is sent as a part of the positive acknowledgment:

- Alert/Case ID (Alert/Case ID)
- Acknowledgment Code – 0 (Meaning successful)
- Report ID (System Generated)
- Report Status

If there are any errors, OFSRR sends a negative acknowledgment to OFSFCCM. The error may be due to the following reasons:

- User ID failure
- Unsuccessful mandatory information verification
- System/Application Error

The negative acknowledgment sent to OFSFCCM contains the following details:

- Alert/Case ID
- Acknowledgment Code
  - 1 stands for Invalid User ID
  - 2 stands for Mandatory Information Missing
  - 3 stands for Format Failure
  - 4 stands for System/Application Error
- Error Description

  Note: If an alert or case fails to successfully complete the Generate KE STR action, then the failure is recorded in the Alert Or Case Audit History.

Creating a New STR from OFSRR

When you identify a transaction of a suspicious behavior that is not reported in OFSFCCM, and want to report the transaction to the regulator, you can manually create a new STR using the **Create New Report** option in OFSRR.

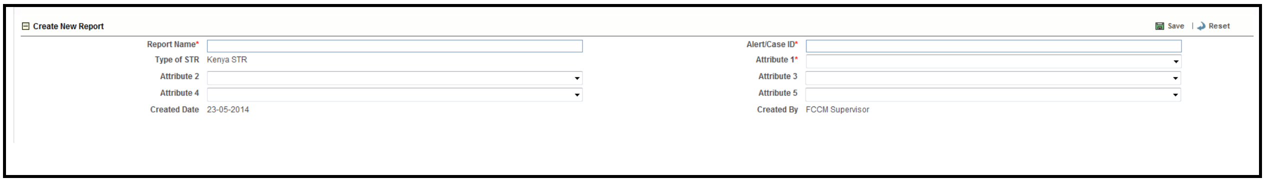
Note: Users mapped to the role of Analyst 1, 2, 3, 4, Reviewer 1, 2, and Supervisor can create a new regulatory report.

To create a new STR from OFSRR, follow these steps:

1. From the Regulatory Reporting menu, hover over **Kenya STR** and click **Create New Report**. The Create New Report container is displayed.

Or

2. Click **Create New report** in the RR Search and List page. The Create New Report container is displayed.



Type of STR Kenya STR
Created Date 23-05-2014
Created By FCCM Supervisor

Figure 10. Create New Report

3. Enter the desired information in the fields.

   Note: Always specify values for fields marked as required. Required fields are identified by a red asterisk.

The following table explains the fields in the Create New Report section:

Table 5. Creating New Report

Fields	**Description**
Report Name	Enter a name for the report being created. This is a mandatory field.
Alert / Case ID (Report No)	Enter the Alert/Case ID associated with the suspicious transaction. This field is a mandatory field.
Type of STR	This field is auto-populated with the report type as Kenya STR. This is a mandatory field.
Attribute 1	Classifies the attribute of a report being created. The attributes that are available in the drop-down list are based upon your firm's configuration. For example, Jurisdiction. This is a mandatory field.
Attribute 2	Classifies the attribute of a report being created. The attributes that are available in the drop-down list are based upon your firm's configuration. For example, Business Domain.
Attribute 3	Classifies the attribute of a report being created. The attributes that are available in the drop-down list are based upon your firm's configuration. For example, Case Type.
Attribute 4	Classifies the attribute of a report being created. The attributes that are available in the drop-down list are based upon your firm's configuration. For example, Sub Type.

Fields	Description
Attribute 5	Classifies the attribute of a report being created. The attributes that are available in the drop-down list are based upon your firm's configuration. For example, Organization.
Created Date	This field is auto-populated with the current system date. This field cannot be edited.
Created By	This field is auto-populated with the logged in user's name. This field cannot be edited.

4. Click **Save**. The following confirmation message is displayed: <> *Report created successfully. Click Ok to view the report details or Cancel to create more reports.*
5. Click **OK**. The Report Details page is displayed.

   A new STR is created and the due date is set as per the number of days configured by your administrator in the static data table. The status of the new STR is set to *Open*.

Searching STRs

The Regulatory Reporting Search and List page enables you to filter the list of reports that you want to view and analyze. The Regulatory Reporting search bar supports three types of search, namely, Views, Search, and Advanced Search.

The Reports List displays the list of reports that meet the criteria specified on the Regulatory Reporting Search bar.

This section explains the following topics:

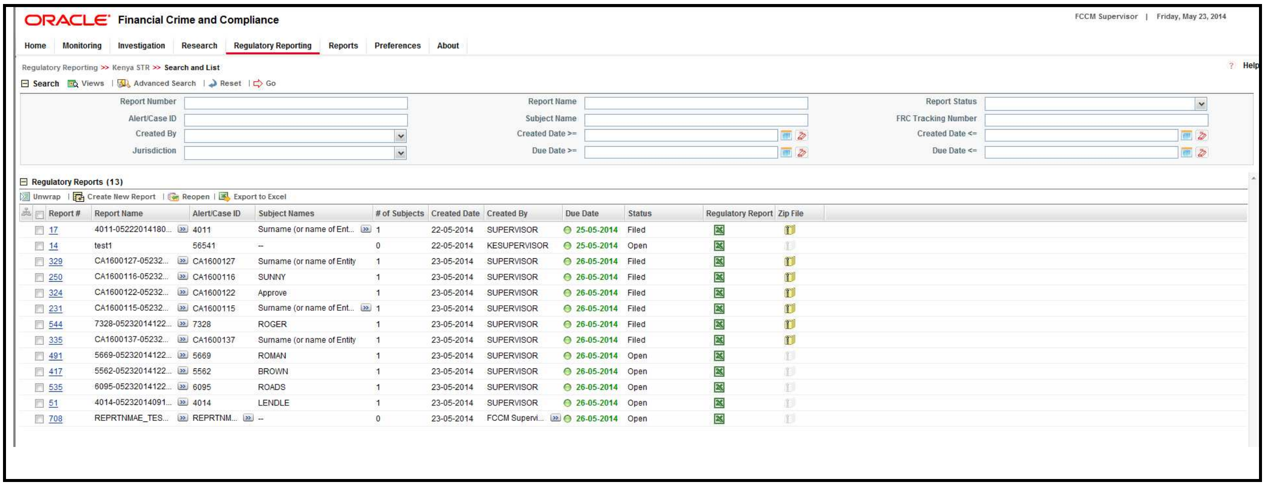
- Searching Reports Using Basic Search
- Searching Reports Using Advanced Search
- Searching Reports Using Pre-defined Views

Searching Reports Using Basic Search

This search is based on a limited set of search components and helps to retrieve the required reports details.

To search for reports using the search components, follow these steps:

1. Navigate to the Regulatory Reporting Search and List page.


ORACLE Financial Crime and Compliance
FCCM Supervisor | Friday, May 23, 2014
Home
Monitoring
Investigation
Research
Regulatory Reporting
Reports
Preferences
About
Regulatory Reporting >> Kenya STR >> Search and List
Help
Search
Views
Advanced Search
Reset
Go
Report Number
Alert/Case ID
Created By
Jurisdiction
Report Name
Subject Name
Created Date >=
Due Date >=
Report Status
FRC Tracking Number
Created Date <=
Due Date <=
Regulatory Reports (13)
Unwrap
Create New Report
Reopen
Export to Excel

☐ Report #	Report Name	Alert/Case ID	Subject Names	# of Subjects	Created Date	Created By	Due Date	Status	Regulatory Report	Zip File
☐ 17	4011-05222014180...	4011	Surname (or name of Ent...	1	22-05-2014	SUPERVISOR	25-05-2014	Filed		
☐ 14	test1	56541	--	0	22-05-2014	KESUPERVISOR	25-05-2014	Open		
☐ 329	CA1600127-05232...	CA1600127	Surname (or name of Entity	1	23-05-2014	SUPERVISOR	26-05-2014	Filed		
☐ 250	CA1600116-05232...	CA1600116	SUNNY	1	23-05-2014	SUPERVISOR	26-05-2014	Filed		
☐ 324	CA1600122-05232...	CA1600122	Approve	1	23-05-2014	SUPERVISOR	26-05-2014	Filed		
☐ 231	CA1600115-05232...	CA1600115	Surname (or name of Ent...	1	23-05-2014	SUPERVISOR	26-05-2014	Filed		
☐ 544	7328-05232014122...	7328	ROGER	1	23-05-2014	SUPERVISOR	26-05-2014	Filed		
☐ 335	CA1600137-05232...	CA1600137	Surname (or name of Entity	1	23-05-2014	SUPERVISOR	26-05-2014	Filed		
☐ 491	5669-05232014122...	5669	ROMAN	1	23-05-2014	SUPERVISOR	26-05-2014	Open		
☐ 417	5562-05232014122...	5562	BROWN	1	23-05-2014	SUPERVISOR	26-05-2014	Open		
☐ 535	6095-05232014122...	6095	ROADS	1	23-05-2014	SUPERVISOR	26-05-2014	Open		
☐ 51	4014-05232014091...	4014	LENDLE	1	23-05-2014	SUPERVISOR	26-05-2014	Open		
☐ 708	REPRTNMAE_TES...	REPRTNM...	--	0	23-05-2014	FCCM Supervi...	26-05-2014	Open		

Figure 11. Searching Reports with Search Components

Note: By default, the basic **Search** option is selected.

2. Enter the details in the relevant search fields to retrieve the list of reports. For detailed descriptions of search fields, refer to *Table 6*.

3. Click **Go**. The relevant search list is displayed.

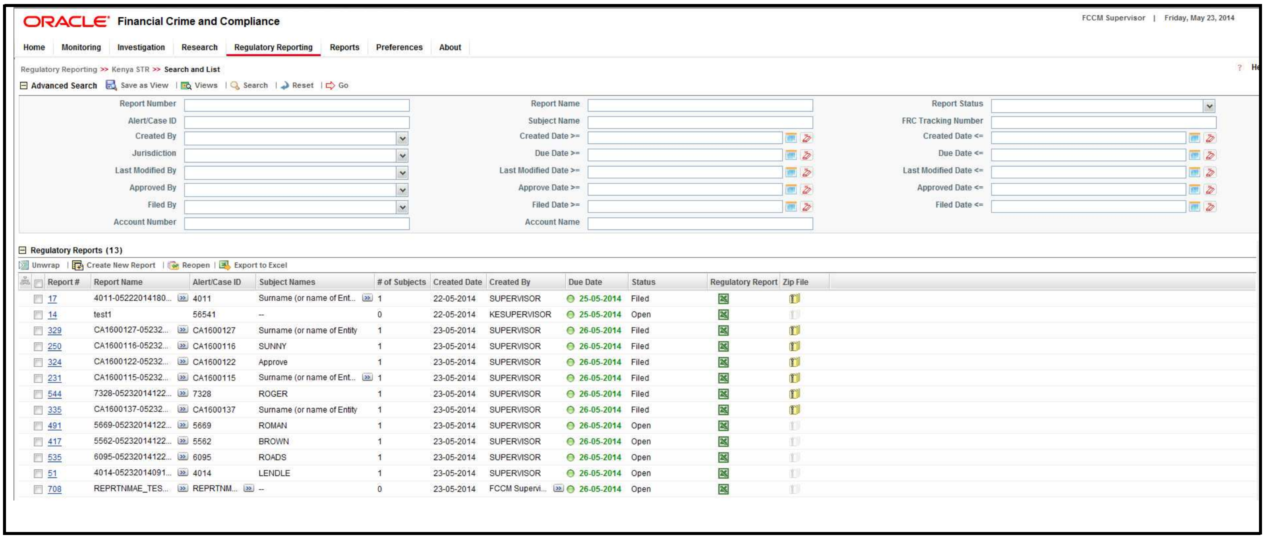
   Note: If there is no match for the entered search criteria, the application displays *No Data Found* message.

Searching Reports Using Advanced Search

The Advanced Search offers the same search fields as provided for a simple search along with additional fields. If you know any of the report details such as approver details, last modified details, account details, and so on, then you can filter the list of reports using the advanced search components.

To search for reports using advanced search components, follow these steps:

1. Navigate to the Regulatory Reporting Search and List page.
2. Click **Advanced Search** from the search bar.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FCCM Supervisor | Friday, May 23, 2014
Home
Monitoring
Investigation
Research
Regulatory Reporting
Reports
Preferences
About
Regulatory Reporting >> Kenya STR >> Search and List
Advanced Search
Save as View
Views
Search
Reset
Go
Report Number
Alert/Case ID
Created By
Jurisdiction
Last Modified By
Approved By
Filed By
Account Number
Report Name
Subject Name
Created Date >=
Due Date >=
Last Modified Date >=
Approve Date >=
Filed Date >=
Account Name
Report Status
FRC Tracking Number
Created Date <=
Due Date <=
Last Modified Date <=
Approved Date <=
Filed Date <=
Regulatory Reports (13)
Unwrap
Create New Report
Reopen
Export to Excel

Report #	Report Name	Alert/Case ID	Subject Names	# of Subjects	Created Date	Created By	Due Date	Status	Regulatory Report	Zip File
17	4011-05222014180...	4011	Surname (or name of Ent...	1	22-05-2014	SUPERVISOR	25-05-2014	Filed		
14	test1	56541	--	0	22-05-2014	KESUPERVISOR	25-05-2014	Open		
329	CA1600127-05232...	CA1600127	Surname (or name of Entity	1	23-05-2014	SUPERVISOR	26-05-2014	Filed		
250	CA1600116-05232...	CA1600116	SUNNY	1	23-05-2014	SUPERVISOR	26-05-2014	Filed		
324	CA1600122-05232...	CA1600122	Approve	1	23-05-2014	SUPERVISOR	26-05-2014	Filed		
231	CA1600115-05232...	CA1600115	Surname (or name of Ent...	1	23-05-2014	SUPERVISOR	26-05-2014	Filed		
544	7328-05232014122...	7328	ROGER	1	23-05-2014	SUPERVISOR	26-05-2014	Filed		
335	CA1600137-05232...	CA1600137	Surname (or name of Entity	1	23-05-2014	SUPERVISOR	26-05-2014	Filed		
491	5669-05232014122...	5669	ROMAN	1	23-05-2014	SUPERVISOR	26-05-2014	Open		
417	5562-05232014122...	5562	BROWN	1	23-05-2014	SUPERVISOR	26-05-2014	Open		
535	6095-05232014122...	6095	ROADS	1	23-05-2014	SUPERVISOR	26-05-2014	Open		
51	4014-05232014091...	4014	LENDLE	1	23-05-2014	SUPERVISOR	26-05-2014	Open		
708	REPRTNMAE_TES...	REPRTNM...	--	0	23-05-2014	FCCM Supervi...	26-05-2014	Open		

Figure 12. Advanced Search

3. Enter the search components to filter the reports.

   The following table provides the description of the search components that display in the Advanced Search bar:

Table 6. Components of RR Advanced Search Bar

Criteria	Search Component of Advanced/Basic Search	Description
Report Number	Basic Search	Enter the Report number in the text field to search for details of the exact report. This field supports wildcard search. You can enter a maximum of 50 characters in this field beyond which the application displays the following message: *Number of characters exceeded.*
Report Name	Basic Search	Enter the report name to display the list of reports with name as specified in the search criteria. This field supports a wildcard search. You can enter a maximum of 50 characters beyond which the application displays the following message: *Number of characters exceeded.*

Criteria	Search Component of Advanced/Basic Search	Description
Report Status	Basic Search	Select the report status from the drop-down list to display reports in the selected status. Following are the options available for Report status drop-down list: ● Select All ● Approved ● Cancelled ● Open ● Recommended for Approval ● Reopened ● Requested for Approval ● Rework for Analyst ● Rework for Reviewer ● Filed This field allows searching of reports with multiple options selected.
Alert/Case ID	Basic Search	Enter the Alert or Case ID to display reports with the selected Alert or Case ID. You can perform a multiple Alert or Case ID search by entering a string of comma-separated values in this field. This search is case-sensitive and allows you to enter a maximum of 255 characters. An Alert or Case ID is the identifier that has triggered the creation of report in OFSRR from OFSBDF.
Subject Name	Basic Search	Enter the subject name in this field to display all the reports where the entered name is the subject. This field supports a wildcard search and allows you to enter a maximum of 220 characters. You can use the % and _ as wildcard indicators.
FRC Tracking Number	Basic Search	FRC Tracking number is a unique number assigned to an STR. This information is updated in the OFSRR application while marking the report as Filed and is mandatory while re-submitting an amended/supplemental report. Enter the FRC Tracking number to display reports that have the specified FRC Tracking number. You can perform multiple search by entering a string of comma-separated values in this field. This field allows you to enter a maximum of 255 characters.
Created By	Basic Search	Select the user who has created the report from the drop-down list. This field allows searching of reports with multiple options selected.

Criteria	Search Component of Advanced/Basic Search	Description
Created Date >=	Basic Search	Select the created date from the calendar to display reports having a created date greater than or equal to the specified date. You can either perform a range search using ‘Created Date >=’ and ‘Created <=’ or use them independently.
Created Date <=	Basic Search	Select the created date from the calendar to display reports having a created date lesser than or equal to the specified date. **Validations:** 1. While performing a range search, if you enter a value in ‘Created Date <=’ less than ‘Created Date >=’, the application displays the following message: *Please enter a 'Created Date <=' which is equal to or greater than 'Created Date >='.* 2. If you enter a value in created date <= greater than the system date, the application displays the following message: *Please enter a 'Created Date <=' which is earlier than or equal to sysdate.*
Jurisdiction	Basic Search	Select the jurisdiction from the drop-down list to display reports mapped to the selected jurisdiction. Jurisdictions are defined by your institution. Every report is associated with a jurisdiction. When an STR is created from an alert or case, the STR inherits the jurisdiction that was associated to that alert or case. Each user has access to a set of jurisdictions. Every STR is associated with a single jurisdiction. A user has access to any report where the user's jurisdictions intersect with the STR's jurisdiction.
Due Date>=	Basic Search	Select the due date from the calendar to display reports having due date greater than or equal to the specified date. **Validations:** 1. If you enter a a date in ‘Due Date <=’ which is prior to the date entered in ‘Due Date >=’, the application displays the following message: ‘*Due Date <=’ is prior to the date entered in ‘Due Date >=’.* 2. The application considers the ‘Due Date <=’ as system date if only the ‘Due Date >=’ is mentioned.
Due Date<=	Basic Search	Select the due date from the calendar to display reports having a due date lesser than or equal to the specified date. **Validations:** While performing a range search, if you enter a value in ‘Due date <=’ less than ‘Due date >=’, the application displays the following message: *Please enter a 'Due Date <=' which is equal to or greater than 'Due Date >='.*

Criteria	Search Component of Advanced/Basic Search	Description
Last Modified By	Advanced Search	Select the user who has last modified the report from the drop-down list. This field allows searching of reports with multiple options selected.
Last Modified Date >=	Advanced Search	Select the last modified date from the calendar to display reports having a last modified date greater than or equal to the specified date. You can either perform a range search using ‘Last Modified Date >=’ and ‘Last Modified Date <=’ or use them independently.
Last Modified Date <=	Advanced Search	Select the Last Modified Date from the calendar to display reports having a last modified date lesser than or equal to the specified date. **Validations:** 1. While performing a range search, if you enter a value in ‘Last Modified Date <=’ less than ‘Last Modified Date >=’, the application displays the following message: *Please enter a 'Last Modified Date <=' which is equal to or greater than 'Last Modified Date >='.* 2. If you enter a value in ‘Last Modified Date <=’ greater than the system date, the application displays the following message: *Please enter a 'Last Modified Date <=' which is earlier than or equal to sysdate.*
Approved By	Advanced Search	Select the name of the approver to search for reports approved by the selected user. This field allows searching of reports with multiple options selected.
Approved Date >=	Advanced Search	Select the approved date from the calendar to display reports having an approved date greater than or equal to the specified date.
Approved Date <=	Advanced Search	Select the approved date from the calendar to display reports having an approved date lesser than or equal to the specified date. **Validations:** 1. While performing a range search, if you enter a value in ‘Approved Date <=’ less than ‘Approved Date >=’, the application displays the following message: *Please enter an 'Approved Date <=' which is equal to or greater than Approved Date >=.* 2. If you enter a value in ‘Approved Date <=’ greater than the system date, the application displays the following message: *Please enter an 'Approved Date <=' which is earlier than or equal to sysdate.*
Filed By	Advanced Search	Select the name of the user from the drop-down list options to search for reports submitted by the selected user. This field allows searching of reports with multiple options selected.

Criteria	Search Component of Advanced/Basic Search	Description
Filed Date >=	Advanced Search	Select the filed date from the calendar to display reports having filed date greater than or equal to the specified date.
Filed Date <=	Advanced Search	Select the filed date from the calendar to display reports having filed date lesser than or equal to the specified date. **Validations:** 1. While performing a range search, if you enter a value in ‘Filed Date <=’ less than ‘Filed Date >=’, the application displays the following message: *Please enter a 'Filed Date <=' which is equal to or greater than ''Filed Date >='.* 2. If you enter a value in ‘Filed Date <=’ greater than the system date, the application displays the following message: *Please enter a 'Filed Date <=' which is earlier than or equal to sysdate.*
Account Number	Advanced Search	Enter the account number to display reports where the specified account number is the beneficiary account number or the originator account number of all the transaction involved. You can perform multiple search by entering a string of comma-separated values in this field. This field allows you to enter a maximum of 255 characters.
Account Name	Advanced Search	Enter the name of the account holder to display reports where the specified name is the beneficiary or originator of all the transactions involved.

3. Click **Go**. The relevant search list is displayed.

   Note: If there is no match for the entered search criteria, the application displays the following message: *No Data Found*.

Saving as Views

The **Save as View** action allows you to save the search criteria as a view. The saved views will be available in the Views dropdown list.

To save a view, follow these steps.

1. Navigate to the Regulatory Reporting Search and List page.
2. Click **Advanced Search**.
3. Enter the search criteria you want to save as view.
4. Click **Save as View**. The Save as View window is displayed.

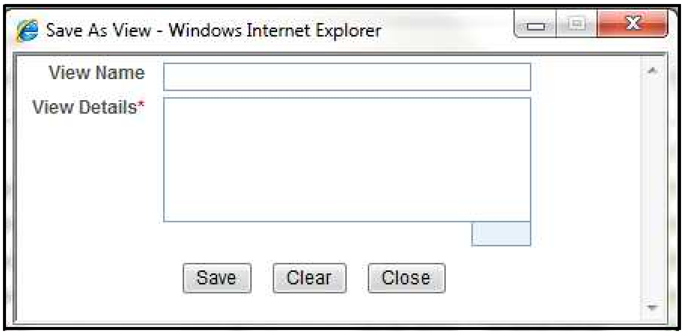


Figure 13. Save as View Popup

5. Enter the view name and view details.

   The View Details box in the **Save as view** window allows entering a maximum of 255 characters. As you begin entering the comments, the word count displayed below the comments box keeps decreasing. If you try to enter more than 255 characters in this box, the following message is displayed: *Number of characters exceeded.*

6. Click **Save**. The following message is displayed: *Add Operation Successful.*
7. Click **OK**. The view is saved and is displayed in the Views drop-down list.

   The saved view is available only to the user creating the view and will not be available to other users.

Searching Reports Using Pre-defined Views

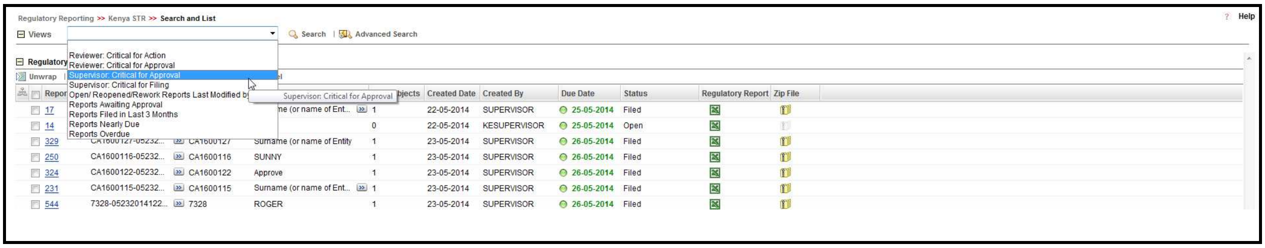
Views search helps you to quickly filter the reports based on the pre-defined search queries.

To search for reports using pre-defined views, follow these steps:

1. Navigate to the Regulatory Reporting Search and List page.

   Note: By default, the Regulatory Reporting Search and List page displays all the available records.

2. Click **Views** from the search bar.


Regulatory Reporting >> Kenya STR >> Search and List
Help
Views
Search
Advanced Search
Regulatory
Unwrap
Reviewer: Critical for Action
Reviewer: Critical for Approval
Supervisor: Critical for Approval
Supervisor: Critical for Filing
Open/ Reopened/Rework Reports Last Modified by
Reports Awaiting Approval
Reports Filed in Last 3 Months
Reports Nearly Due
Reports Overdue
Supervisor: Critical for Approval

Repor				bjects	Created Date	Created By	Due Date	Status	Regulatory Report	Zip File
17			ne (or name of Ent...	1	22-05-2014	SUPERVISOR	25-05-2014	Filed		
14				0	22-05-2014	KESUPERVISOR	25-05-2014	Open		
329	CA1600127-05232...	CA1600127	Surname (or name of Entity	1	23-05-2014	SUPERVISOR	26-05-2014	Filed		
250	CA1600116-05232...	CA1600116	SUNNY	1	23-05-2014	SUPERVISOR	26-05-2014	Filed		
324	CA1600122-05232...	CA1600122	Approve	1	23-05-2014	SUPERVISOR	26-05-2014	Filed		
231	CA1600115-05232...	CA1600115	Surname (or name of Ent...	1	23-05-2014	SUPERVISOR	26-05-2014	Filed		
544	7328-05232014122...	7328	ROGER	1	23-05-2014	SUPERVISOR	26-05-2014	Filed		

Figure 14. Views Search

3. Select any of the pre-defined views from the Views drop-down list. The list page refreshes to show results matching the View criteria.

   The following table explains the different types of default pre-defined views available.

Table 7. Pre-defined Views

Views	Description
Reports Awaiting Approval	Select **Reports Awaiting Approval** from the drop-down list to display the list of reports in *Requested for Approval* or *Recommended for Approval* status. For Reviewer and Analyst users, this view displays reports that are in *Request for Approval* status and for Supervisor this view displays reports that are in *Recommend for Approval* status. **Note:** Users will be allowed to take action on the Reports Awaiting Approval based on the user role, actions and status mapping.
Open/ Reopened/Rework – Reports Last Modified by Me	Select **Open/ Reopened - Reports Last Modified by Me** from the drop-down list to display reports in Open/Reopened/Rework status for which the logged in user is the last modifier. This option is the default view for an Analyst user.
Reports Nearly Due	Select **Reports Nearly Due** from the drop-down list to display the reports that are approaching their due dates. The Nearly Due date is defined as 1 day from the due date or all the reports in which due date is System date +1. Reports which are nearly due are highlighted in *Yellow* color.
Reports Overdue	Select **Reports Overdue** from the drop-down list to display the list of reports that have exceeded their due dates. When an STR is past its due date or when the due date is same as the system date, the STRs in the reports list are highlighted in *Red* color.

Table 7. Pre-defined Views

Views	Description
Reports Filed in Last 3 Months	Select **Reports Filed in Last 3 Months** from the drop-down list to display reports that were filed in the last 3 months. The reports are displayed in ascending order of the Submitted Date and is the default view for reviewer.
Reviewer: Critical for Approval	Select **Reviewer: Critical for Approval** from the drop-down list to display reports which are nearly due in Requested for Approval or Rework for Reviewer status.
Reviewer: Critical for Action	Select **Reviewer: Critical for Action** from the drop-down list to display all the reports which are nearly due in Open, Reopen or Rework for Analyst status.
Supervisor: Critical for Approval	Select **Supervisor: Critical for Approval** from the drop-down list to display all the reports which are nearly due in Recommend for Approval status.
Supervisor: Critical for Submission	Select **Supervisor: Critical for Submission** from the drop-down list to display all the reports which are nearly due in Approved status. This option is the default view for a Supervisor user.
All saved views by user	Select any of the views that you have created and saved using the **Save as View** button to display reports as per the view selected. For more information, refer to section *Saving as Views.* The saved view is available only to the user creating the view and will not be available to other users.

Submitting an STR for Approval

This process involves the following steps:

- Entering Report Details
- Taking Actions on STR

Entering Report Details

The Report Details page allows users mapped to the role of Analyst, Reviewer, and Supervisor to enter or update report information depending upon the report status. For more information on the status in which the reports are editable, refer to *Table 4*.

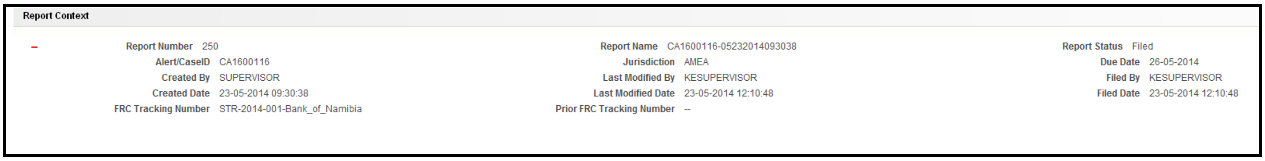
Click the report name in the RR Search and List page to navigate to the Report Details page.

The Report Details page allows you to manage the following sections:

- Report Context
- Managing Reporting Institution/Officer Tab
- Managing Subjects Tab
- Managing Suspicious Activity Information Tab
- Managing Documents Tab
- Viewing Audit Information

Report Context

The Report Context section in the Regulatory Reporting (RR) Details page displays information about the report and is non-editable. It contains minimize and maximize buttons that allow you to expand and collapse the details in the Report Context. By default, the Report Context container is minimized.



Report Number 250
Alert/CaseID CA1600116
Created By SUPERVISOR
Created Date 23-05-2014 09:30:38
FRC Tracking Number STR-2014-001-Bank_of_Namibia

Report Name CA1600116-05232014093038
Jurisdiction AMEA
Last Modified By KESUPERVISOR
Last Modified Date 23-05-2014 12:10:48
Prior FRC Tracking Number --

Report Status Filed
Due Date 26-05-2014
Filed By KESUPERVISOR
Filed Date 23-05-2014 12:10:48

Figure 15. Report Context

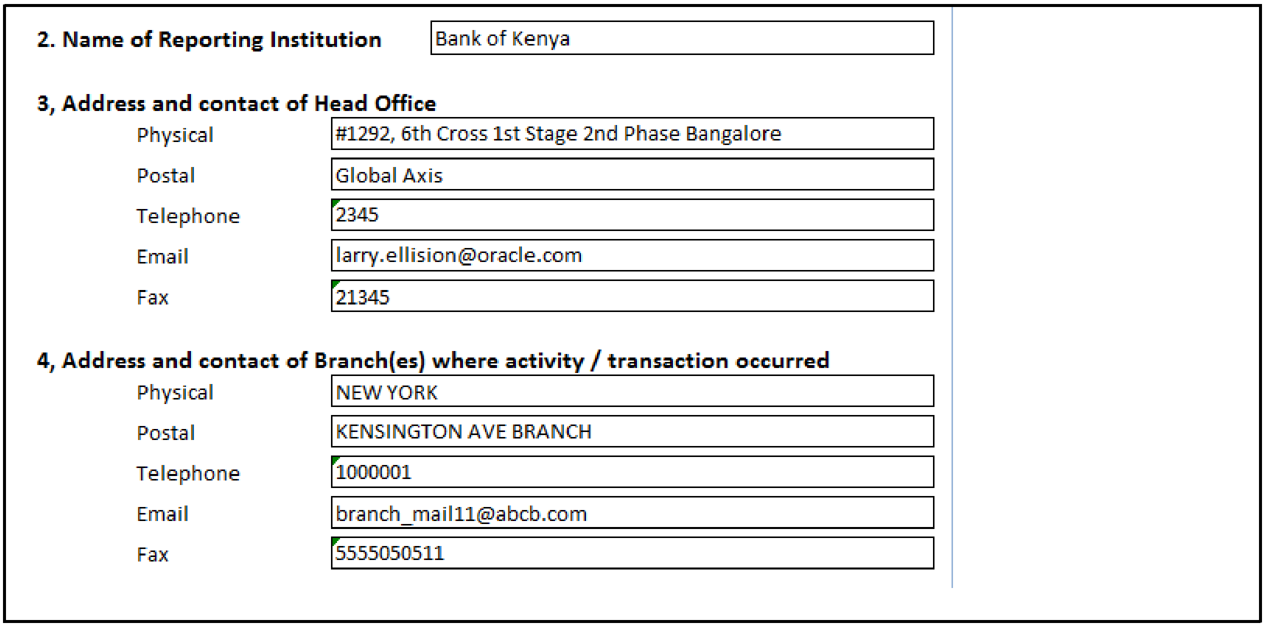
The report context includes the following information:

- Report Number
- Report Name
- Report Status
- Alert/Case ID
- Jurisdiction
- Due Date
- Created By

- Last Modified By
- Approved By
- Created Date
- Last Modified Date
- Approved Date
- FRC Tracking Number
- Prior FRC Tracking Number

Managing Reporting Institution/Officer Tab

This tab refers to the **Particulars of the Reporting Institution** section (shown below) in the final STR.



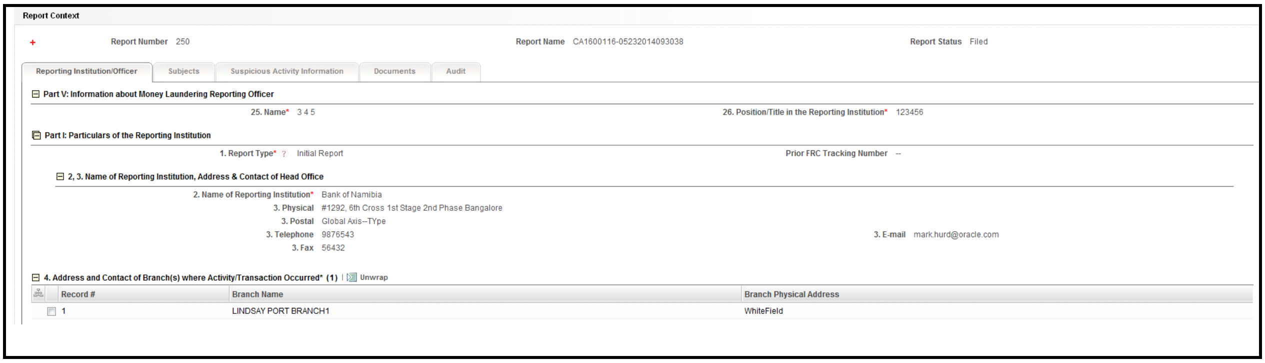
2. Name of Reporting Institution	Bank of Kenya
3, Address and contact of Head Office	
Physical	#1292, 6th Cross 1st Stage 2nd Phase Bangalore
Postal	Global Axis
Telephone	2345
Email	larry.ellision@oracle.com
Fax	21345
4, Address and contact of Branch(es) where activity / transaction occurred	
Physical	NEW YORK
Postal	KENSINGTON AVE BRANCH
Telephone	1000001
Email	branch_mail11@abcb.com
Fax	5555050511

Figure 16. Reporting Institution/Officer Information in Final STR

The Reporting Institution/Officer tab is the default tab selected when you navigate to the Report Details page. This tab details the information about the bank or the officer reporting the STR.

The information in this tab is segregated into the following sections:

- Information about money laundering reporting officer
- Information about the reporting institution
- Branch details where the activity or transaction occurred



Report Context

Report Number 250
Report Name CA1600116-05232014093038
Report Status Filed

Reporting Institution/Officer
Subjects
Suspicious Activity Information
Documents
Audit

Part V: Information about Money Laundering Reporting Officer

25. Name* 3 4 5
26. Position/Title in the Reporting Institution* 123456

Part I: Particulars of the Reporting Institution

1. Report Type* Initial Report
Prior FRC Tracking Number --

2, 3. Name of Reporting Institution, Address & Contact of Head Office

2. Name of Reporting Institution* Bank of Namibia
3. Physical #1292, 6th Cross 1st Stage 2nd Phase Bangalore
3. Postal Global Axis--TYpe
3. Telephone 9876543
3. E-mail mark.hurd@oracle.com
3. Fax 56432

4. Address and Contact of Branch(s) where Activity/Transaction Occurred* (1) | Unwrap

Record #	Branch Name	Branch Physical Address
☐ 1	LINDSAY PORT BRANCH1	WhiteField

Figure 17. Reporting Institution/Officer Tab

The following table explains the fields in Reporting Institution/Officer tab.

Table 8. Fields in Reporting Institution/Officer Information Tab

Fields	Description
Name	Select the name of the officer reporting the suspicious transaction from the drop-down list. The position of the reporting officer in the reporting institution is auto-populated in the *Position/Title in the Reporting Institution* field on selection of the name of the reporting officer. If "Name" is missing in Reporting Institution/Officer tab, the application displays the following message: *Please enter Name of Reporting Officer as it is a mandatory field.*
Position/Title in the Reporting Institution	Displays the position of the reporting officer in the reporting institution. This field is auto-populated and is non-editable.
Report Type	Select the report type from the drop-down list. Following are the possible values: ● **Initial Report**: Select Initial report from the drop-down list if you are submitting the report to the Financial Reporting Centre (FRC) for the first time. ● **Amended Report**: Select Amended Report from the drop-down list if the report was previously submitted to FRC, but is being resubmitted with modifications to correct the earlier provided information. An amended STR must reference the previously submitted STR by virtue of the FRC Tracking number of the previous STR. ● **Supplemental Report**: Select Supplemental Report from the drop-down list if a report was previously submitted to FRC but is being resubmitted to provide additional information relative to the behavior that had previously been reported. A supplemental report must reference the previously submitted STR by virtue of providing the FRC tracking number of the previous STR. If the Report Type is missing in Reporting Institution/Officer tab, the application displays the following message: *Please enter Report Type as it is a mandatory field.*
Prior FRC Tracking Number	Enter the prior FRC tracking number. Prior FRC tracking Number is the FRC number of the previous report for which an amended or supplemental report is being filed. This field is enabled only when the report type is amended or supplemental. You can enter a maximum of 50 characters in this field.

Table 8. Fields in Reporting Institution/Officer Information Tab

Fields	Description
Name of Reporting Institution	Select the name of the reporting institution from the drop-down list. On selection of this field, the fields Physical, Postal, Telephone, E-mail and Fax are auto-populated and non-editable. If "Name of Reporting Institution" is missing in Reporting Institution/Officer tab, the application displays the following message: *Please enter Name of Reporting Institution as it is a mandatory field.*
Physical	Displays the physical address of the reporting institution head office.
Postal	Displays the postal address of the reporting institution head office.
Telephone	Displays the telephone number of the reporting institution head office.
E-mail	Displays the e-mail address of the reporting institution head office.
Fax	Displays the fax number of the reporting institution head office.
Branch Name	Displays the name of the branch where activity occurred. The Branch physical address is auto-populated based on the branch name selected.
Branch Physical Address	Displays the address of the branch where activity occurred. This information is not displayed in the final report.

Branch Details

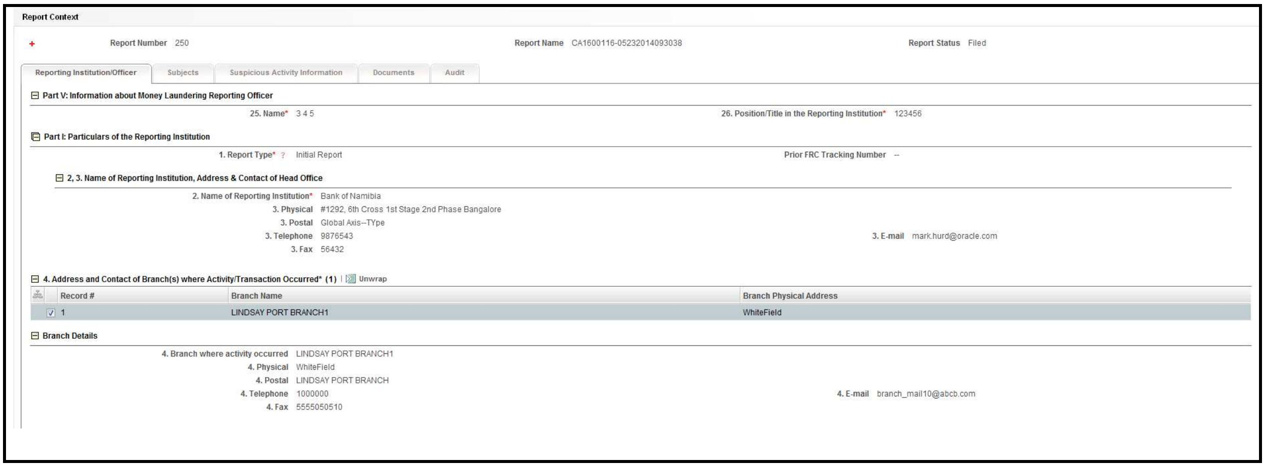
The Reporting Institution/Officer tab allows you to view, add, and delete the branch details where the suspicious transaction occurred.

Viewing Branch Details

To view information about the branch reporting the suspicious activity, follow these steps:

1. Navigate to the Report Details page.
2. Click the **Reporting Institution/Officer** tab.

   A list of branch details of the financial institution where the suspicious activity occurred is displayed in the Address and Contact of Branch(s) Where Activity/Transaction Occurred grid.
3. Select the check box at the beginning of the branch record row or click anywhere in the row to view the branch details.


Report Context
Reporting Institution/Officer
Subjects
Suspicious Activity Information
Documents
Audit
Unwrap

Report Number 250
Report Name CA1600116-05232014093038
Report Status Filed

Part V: Information about Money Laundering Reporting Officer

25. Name* 3 4 5
26. Position/Title in the Reporting Institution* 123456

Part I: Particulars of the Reporting Institution

1. Report Type* Initial Report
Prior FRC Tracking Number --

2, 3. Name of Reporting Institution, Address & Contact of Head Office

2. Name of Reporting Institution* Bank of Namibia
3. Physical #1292, 6th Cross 1st Stage 2nd Phase Bangalore
3. Postal Global Axis--TYpe
3. Telephone 9876543
3. E-mail mark.hurd@oracle.com
3. Fax 56432

4. Address and Contact of Branch(s) where Activity/Transaction Occurred* (1)

Record #	Branch Name	Branch Physical Address
☑ 1	LINDSAY PORT BRANCH1	WhiteField

Branch Details

4. Branch where activity occurred LINDSAY PORT BRANCH1
4. Physical WhiteField
4. Postal LINDSAY PORT BRANCH
4. Telephone 1000000
4. E-mail branch_mail10@abcb.com
4. Fax 5555050510

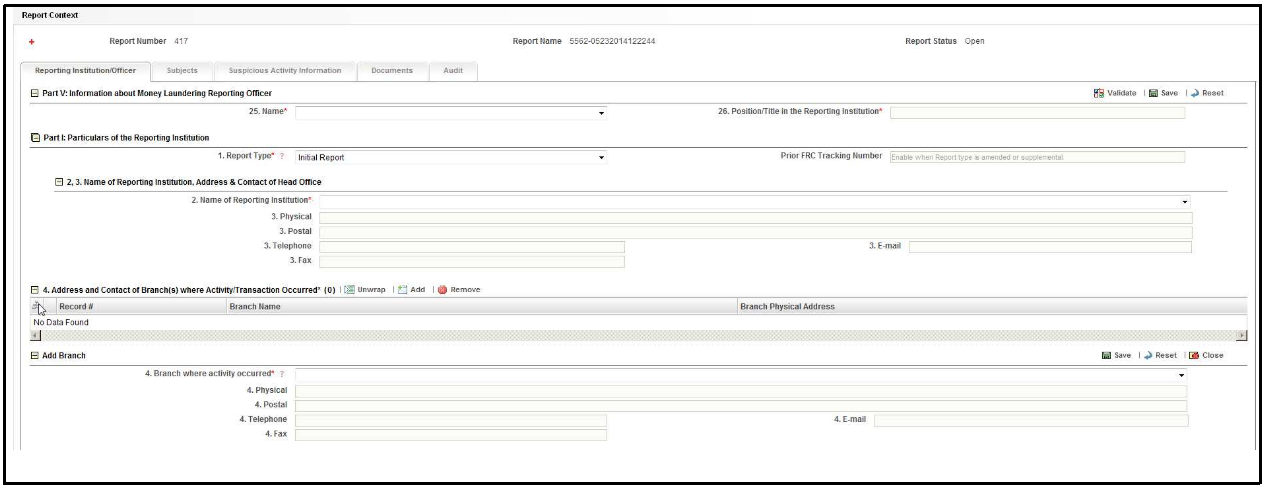
Figure 18. Viewing Branch Details

You can use Field Chooser to add additional fields to the Address and Contact of Branch(s) where Activity/Transaction Occurred. Branch Postal Address, Telephone, E-mail, Fax are available as Field Chooser options.

Adding Branch Details

To add branch details, follow these steps:

1. Navigate to the Report Details page.
2. Click the Reporting Institution/Officer tab.
3. Click **Add** from the Address and Contact of Branch(es) where Activity/Transaction Occurred grid. The **Add Branch** container expands below Address and Contact of Branch(es) where Activity/Transaction Occurred grid.


Report Context
Reporting Institution/Officer
Subjects
Suspicious Activity Information
Documents
Audit
Part V: Information about Money Laundering Reporting Officer
Validate
Save
Reset
25. Name*
26. Position/Title in the Reporting Institution*
Part I: Particulars of the Reporting Institution
2, 3. Name of Reporting Institution, Address & Contact of Head Office
2. Name of Reporting Institution*
3. Physical
3. Postal
3. Telephone
3. E-mail
3. Fax
4. Address and Contact of Branch(s) where Activity/Transaction Occurred* (0)
Unwrap
Add
Remove
Record #
Branch Name
Branch Physical Address
Add Branch
Save
Reset
Close
4. Branch where activity occurred*
4. Physical
4. Postal
4. Telephone
4. E-mail
4. Fax

Report Number 417
Report Name 5562-05232014122244
Report Status Open

1. Report Type* Initial Report
Prior FRC Tracking Number Enable when Report type is amended or supplemental

No Data Found

Figure 19. Add Branch

The following table explains the fields in the Add Branch container:

Table 9. Fields in Add Branch Container

Fields	Description
Branch where activity occurred	Select the name of the branch where the suspicious activity occurred. The values in the drop-down list display the Branch Names prefixed by country code. All the branches are arranged in ascending order of country. The fields Physical, Postal, Telephone, E-mail, and Fax are auto-populated based on the branch name selected. If "Branch where activity occurred" is missing in Reporting Institution/Officer tab, the application displays the following message: *Please select a value for "Branch where activity Occurred" drop down before saving.*
Physical	Displays the physical address of the branch where the suspicious activity occurred.
Postal	Displays the postal address of the branch where the suspicious activity occurred.
Telephone	Displays the telephone number of the branch where the suspicious activity occurred.
E-mail	Displays the e-mail address of the branch where the suspicious activity occurred.
Fax	Displays the fax details of the branch where the suspicious activity occurred.

4. Enter the required information in the Add Branch container. For more information on the fields in the Add Branch container, refer to *Table 9*.
5. Click **Save**. The following message is displayed: *Add Operation Successful.*
6. Click **OK**. The branch details are displayed in the Address and Contact of Branch(es) Where Activity/Transaction Occurred grid.

   Note: You cannot edit the branch details once saved. To edit the branch details, you must delete the record you want to modify and create a new branch record.

Deleting Branch Details

To delete branch details, follow these steps:

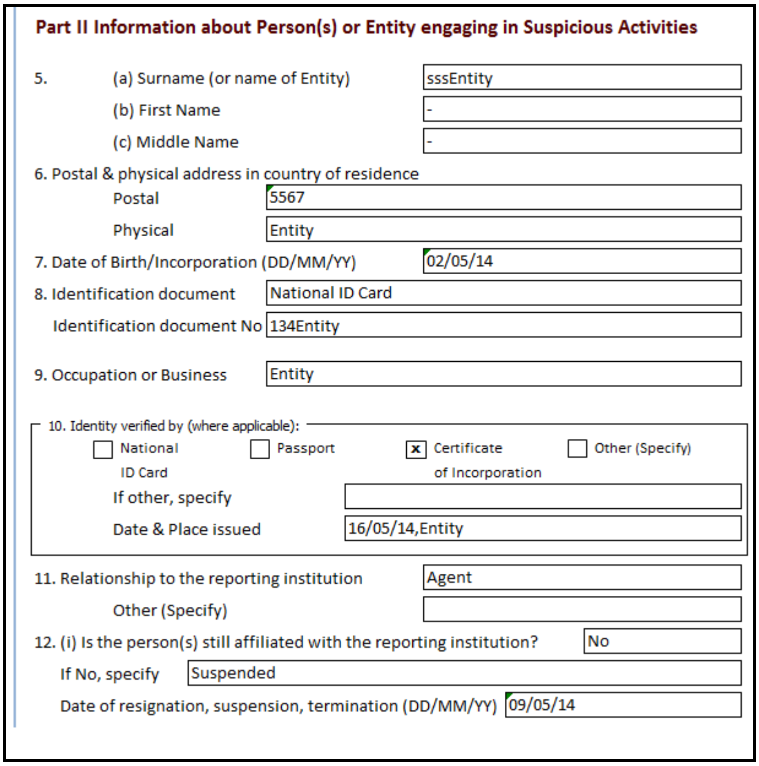
1. Navigate to the Report Details page.
2. Click the Reporting Institution/Officer tab. The Address and Contact of Branch(es) where Activity/Transaction Occurred grid lists all the branches involved in the suspicious transaction.
3. Select the checkbox of the branch you want to delete.
4. Click **Remove**. The following message is displayed: *Are you sure you want to remove this record.*
5. Click **OK**. The following message is displayed: *Record removed successfully.*
6. Click **OK**. The record is removed from the Address and Contact of Branch(es) where Activity/Transaction Occurred grid.

If you click Request for Approval/Approve/ Recommend for Approval and if the mandatory fields such as Name of Reporting Institution, Branch where activity occurred and Name of Money Laundering Reporting Officer are missing in Reporting Institution/Officer tab, the application displays the following message: *Please Validate on Reporting Institution/Officer tab for details of missing required information.*

If you click Validate and if there is no data in Reporting Institution/Officer tab, the application displays the following message: *There is no data available to Validate the information.*

Managing Subjects Tab

This tab refers to the *Information about Person(s) or Entity engaging in Suspicious Activities* (shown below) in the Final STR Excel.



Part II Information about Person(s) or Entity engaging in Suspicious Activities

5. (a) Surname (or name of Entity): sssEntity
(b) First Name: -
(c) Middle Name: -
6. Postal & physical address in country of residence
Postal: 5567
Physical: Entity
7. Date of Birth/Incorporation (DD/MM/YY): 02/05/14
8. Identification document: National ID Card
Identification document No: 134Entity
9. Occupation or Business: Entity
10. Identity verified by (where applicable):
☐ National ID Card ☐ Passport ☒ Certificate of Incorporation ☐ Other (Specify)
If other, specify:
Date & Place issued: 16/05/14,Entity
11. Relationship to the reporting institution: Agent
Other (Specify):
12. (i) Is the person(s) still affiliated with the reporting institution? No
If No, specify: Suspended
Date of resignation, suspension, termination (DD/MM/YY): 09/05/14

Figure 20. Subject Information in Final STR

The Subject tab displays the subject details as fetched from an alert or a case. A Subject can be classified into two types namely, Person and Entity. Select the Subject type as *Person* if the entity being reported on is an individual and select the Subject type as *Entity* if the entity being reported on is a legal entity.

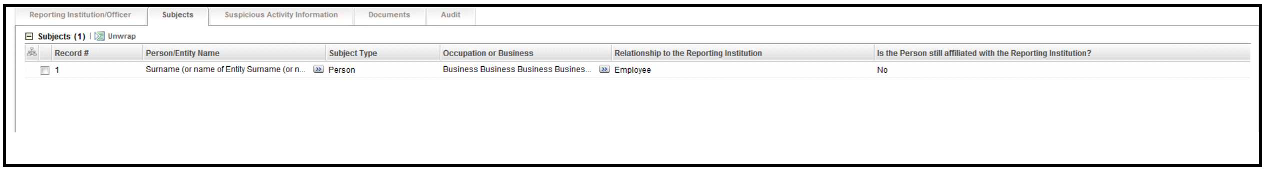
In Add/Edit Subject mode, if you try to change the Subject Type from person to entity, the application displays the following message: *You will lose First Name and Middle Name values if you change the Subject Type. Click OK to continue or Cancel to go back to the page.*

The Validate button in the Subjects grid validates the information for all the records in the Subjects grid, whereas the Validate button in the Subject Details validates the information for individual records.

In this tab, you can add new subjects, update subject details, and remove subjects.

If there any mandatory fields missing in the Subjects tab, the application displays the following message: *1,2 - Records are missing required information. Please make sure that you have provided values for Surname (or name of Entity), Identification document, Identification document Number, Relationship to the Reporting Institution and Is the person(s) still affiliated with the Reporting Institution fields.*

If you click Request for Approval/Approve/Recommend and if there are any mandatory information missing, the application displays the following message: *Please Validate on Subjects tab for details of missing required information.*


Reporting Institution/Officer
Subjects
Suspicious Activity Information
Documents
Audit
Subjects (1)
Unwrap

	Record #	Person/Entity Name	Subject Type	Occupation or Business	Relationship to the Reporting Institution	Is the Person still affiliated with the Reporting Institution?
☐	1	Surname (or name of Entity Surname (or n...	Person	Business Business Business Busines...	Employee	No

Figure 21. Subjects Tab

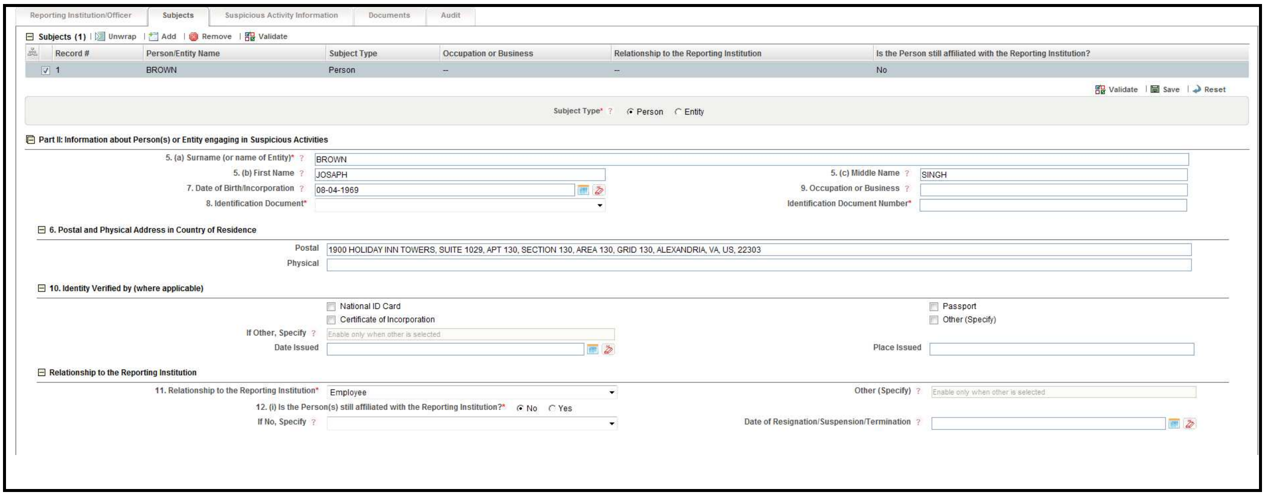
Viewing Subject Details

To view the subjects involved in the report, follow these steps:

1. Navigate to the Report Details page.
2. Click the **Subjects** tab.

   The list of subjects involved in the suspicious transaction are displayed.

3. Select the checkbox at the beginning of a subject record row or click anywhere in the row to view the subject details.



	Record #	Person/Entity Name	Subject Type	Occupation or Business	Relationship to the Reporting Institution	Is the Person still affiliated with the Reporting Institution?
☑	1	BROWN	Person	--	--	No

Subject Type* ● Person ○ Entity

Part II: Information about Person(s) or Entity engaging in Suspicious Activities

5. (a) Surname (or name of Entity)*: BROWN
5. (b) First Name: JOSAPH
5. (c) Middle Name: SINGH
7. Date of Birth/Incorporation: 08-04-1969
9. Occupation or Business:
8. Identification Document*:
Identification Document Number*:

6. Postal and Physical Address in Country of Residence

Postal: 1900 HOLIDAY INN TOWERS, SUITE 1029, APT 130, SECTION 130, AREA 130, GRID 130, ALEXANDRIA, VA, US, 22303
Physical:

10. Identity Verified by (where applicable)

☐ National ID Card
☐ Passport
☐ Certificate of Incorporation
☐ Other (Specify)
If Other, Specify: Enable only when other is selected
Date Issued:
Place Issued:

Relationship to the Reporting Institution

11. Relationship to the Reporting Institution*: Employee
Other (Specify): Enable only when other is selected
12. (i) Is the Person(s) still affiliated with the Reporting Institution?* ● No ○ Yes
If No, Specify:
Date of Resignation/Suspension/Termination:

Figure 22. Viewing Subject Details

Note: You can edit and save the changes made to a subject record.

Adding a New Subject

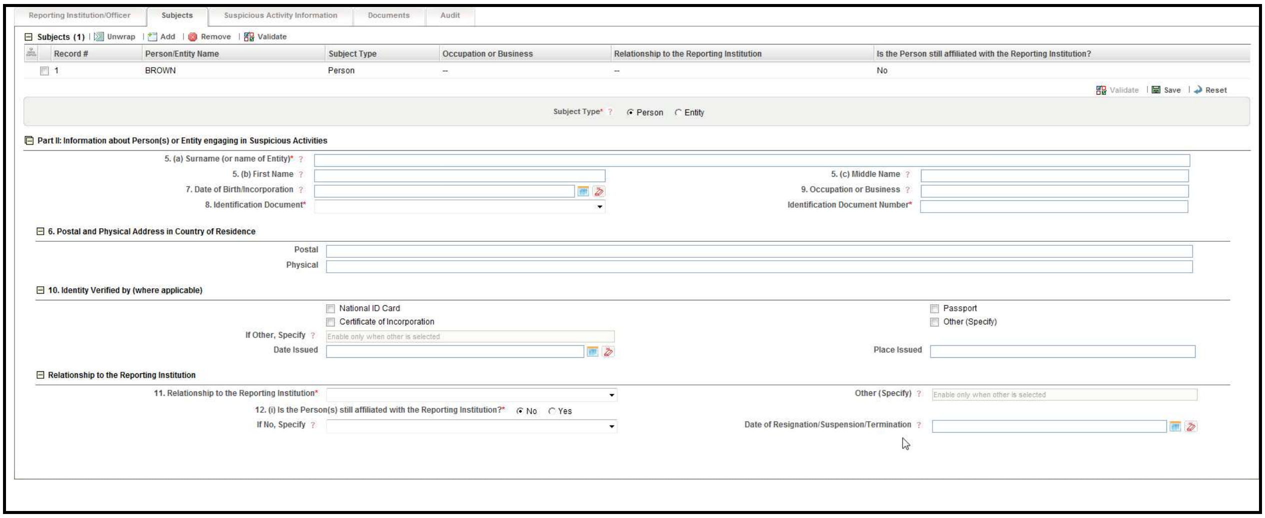
To add a new subject, follow these steps:

1. Navigate to the Report Details page.
2. Click the **Subjects** tab.
3. Click **Add** in the Subjects grid.

   Note: The application allows you to add subsequent subjects without entering or saving the subject details.

4. Select the subject type as Person or Entity. The section *Information about Person(s) or Entity engaging in Suspicious Activities* expands below where you can enter the subject details.

   Note: If you try to add or edit subject without specifying the Subject Type, the application displays the following message: *Please enter Subject Type as it is a mandatory field.*


Reporting Institution/Officer
Subjects
Suspicious Activity Information
Documents
Audit
Subjects (1)
Unwrap
Add
Remove
Validate
Validate
Save
Reset
Part II: Information about Person(s) or Entity engaging in Suspicious Activities
5. (a) Surname (or name of Entity)*
5. (b) First Name
5. (c) Middle Name
7. Date of Birth/Incorporation
9. Occupation or Business
8. Identification Document*
Identification Document Number*
6. Postal and Physical Address in Country of Residence
Postal
Physical
10. Identity Verified by (where applicable)
National ID Card
Passport
Certificate of Incorporation
Other (Specify)
If Other, Specify
Enable only when other is selected
Date Issued
Place Issued
Relationship to the Reporting Institution
11. Relationship to the Reporting Institution*
Other (Specify)
Enable only when other is selected
If No, Specify
Date of Resignation/Suspension/Termination

Record #	Person/Entity Name	Subject Type	Occupation or Business	Relationship to the Reporting Institution	Is the Person still affiliated with the Reporting Institution?
☐ 1	BROWN	Person	--	--	No

Subject Type* ● Person ○ Entity

12. (i) Is the Person(s) still affiliated with the Reporting Institution?* ● No ○ Yes

Figure 23. Information about Person(s) or Entity Engaging in Suspicious Activities Section

5. Enter the required information.

   The following table explains the fields displayed in the Information about Person(s) or Entity engaging in Suspicious Activities section.

Table 10. Fields in Information about Person(s) or Entity Engaging in Suspicious Activities

Fields	Description
Surname (or Name of Entity)	Enter the surname of the subject or the name of the entity involved in suspicious activity. You must enter the surname if the subject type is Person, and enter the name of the entity if the subject type is a legal entity. This field allows you to enter a maximum of 255 characters. If Surname (or name of Entity) is missing from the Subjects tab, the application displays the following message: *Please enter Surname (or Name of Entity) as it is a mandatory field.*
First Name	Enter the first name of the subject. This field is enabled only when the subject type is Person. This field allows you to enter a maximum of 120 characters.
Middle Name	Enter the middle name of the subject. This field is enabled only when the subject type is Person. This field allows you to enter a maximum of 120 characters.
Date of Birth/Incorporation	Enter the date of birth of the subject if subject type is Person Enter the date of incorporation of the reporting entity if the subject type is Entity. If you enter Date of Birth/Incorporation which is later than the current date, the application displays the following message: *Please enter Date of Birth/Incorporation which is earlier than or equal to sysdate.*
Occupation or Business	Enter the occupation of the subject is the subject type is person Enter the business of the reporting entity if the subject type is Entity. This field allows you to enter a maximum of 50 characters.

Table 10. Fields in Information about Person(s) or Entity Engaging in Suspicious Activities

Fields	Description
Identification Document	Select the identifying document from the drop-down list. Following are the possible options: ● National ID Card ● Passport ● Certificate of Incorporation ● Others If Identification document is missing from the Subjects tab, the application displays the following message: *Please enter Identification Document as it is a mandatory field.*
Identification Document Number	Enter the personal identification number. This field allows you to enter a maximum of 50 characters. If Identification Document Number is missing from the Subjects tab, the application displays the following message: *Please enter Identification Document Number as it is a mandatory field.*
Postal	Enter the postal address of the person/entity. This field allows you to enter a maximum of 500 characters.
Physical	Enter the physical address of the person/entity. This field allows you to enter a maximum of 500 characters.
Identity verified by	Select the document based on which the identity of the subject is verified. Following are the possible options: ● National ID Card ● Passport ● Certificate of Incorporation ● Other(Specify)
If other, specify	Enter the document details based on which the identity of the subject is verified. This field is enabled only when Other is selected and allows you to enter a maximum of 50 characters. If Identity Verified by is marked as Others and if you fail to specify it t, the application displays the following message: *Please specify the Identity Verified by which is marked as Others.*
Date issued	Select the date of issue of the identification document. If you enter date of issue which is later than the current date, the application displays the following message: *Please enter Date issued which is earlier than or equal to sysdate.*
Place issued	Select the place of issue of the identification document.

Table 10. Fields in Information about Person(s) or Entity Engaging in Suspicious Activities

Fields	Description
Relationship to the Reporting Institution	Select the relation of the subject to the reporting institution. Following are the possible options: - Accountant - Agent - Broker - Client / Customer - Depositor - Director - Employee - Service Provider - Officer - Shareholder - Other (Specify) If Relationship to the Reporting Institution is missing from the Subjects tab, the application displays the following message: *Please enter Relationship to the Reporting Institution as it is a mandatory field.*
Other (Specify)	Enter the relation of the subject to the reporting institution. This field is enabled only when other is selected and allows you to enter a maximum of 50 characters. If Relationship to the Reporting Institution has been marked as Others and if you save without specifying it, the application displays the following message: *Please specify the Relationship to the Reporting Institution which is marked as Others.*
Is the Person(s) still affiliated with the Reporting Institution	Select whether the subject is still associated with the reporting entity. If Is the person(s) still affiliated with the Reporting Institution is missing from the Subjects tab, the application displays the following message: *Please enter "Is the Person(s) still affiliated with the Reporting Institution?" as it is a mandatory field.*
If No, specify	Enter the employment status of the subject with the reporting entity. This field is enabled only when 'No' is selected in *Is the Person(s) still affiliated with the Reporting Institution* field. If you select 'Is the person(s) still affiliated with the Reporting Institution' as 'No' and if you fail to specify the details in 'If No, specify' and 'Date of resignation, suspension, termination' fields', the application displays the following message: *You have selected No in "Is the person(s) still affiliated with the Reporting Institution", you need to provide values for "If No Specify" and "Date of Resignation, Suspension or Termination".*
Date of Resignation/Suspension/Termination	Select the date on which the relationship between the subject and the financial institution was suspended or terminated or the subject resigned. If you enter date of resignation/suspension/termination which is greater than the system date, the application displays the following message: *Please enter date of resignation / suspension / termination which is less than or equal to sysdate.*

6. Click **Save**. The following message is displayed: *Add Operation Successful*.

7. Click **OK**. A new subject record is added in the Subjects grid.

   Note: If you click **Reset**, the unsaved data is reset to the last saved value in the Subject tab. You cannot edit the report details when the report is in View mode.

Editing an Existing Subject

Analyst, Reviewer and a Supervisor users can edit a report in various statuses. Refer to *Table 4* for more information.

To edit an existing subject, follow these steps:

1. Navigate to the Report Details page.
2. Click the **Subjects** tab.

   This list of subjects associated with the report are displayed in the Subjects section.

3. Select the checkbox at the beginning of a subject record row or click anywhere in the row. The subject details are displayed in the *Information about Person(s) or Entity engaging in Suspicious Activities* section.
4. Modify the required details.
5. Click **Save**. The following message is displayed: *Update Operation Successful.*
6. Click **OK**. The modified subject details are saved.

Note: In Add Subject mode if you try to change Subject Type, the application displays the following message: *First Name and Middle Name details will be lost if you change the Subject Type. Click OK to continue or Cancel to go back to the page.*

Removing a Subject

To remove a subject record, follow these steps:

1. Navigate to the Report Details page.
2. Click the **Subjects** tab.

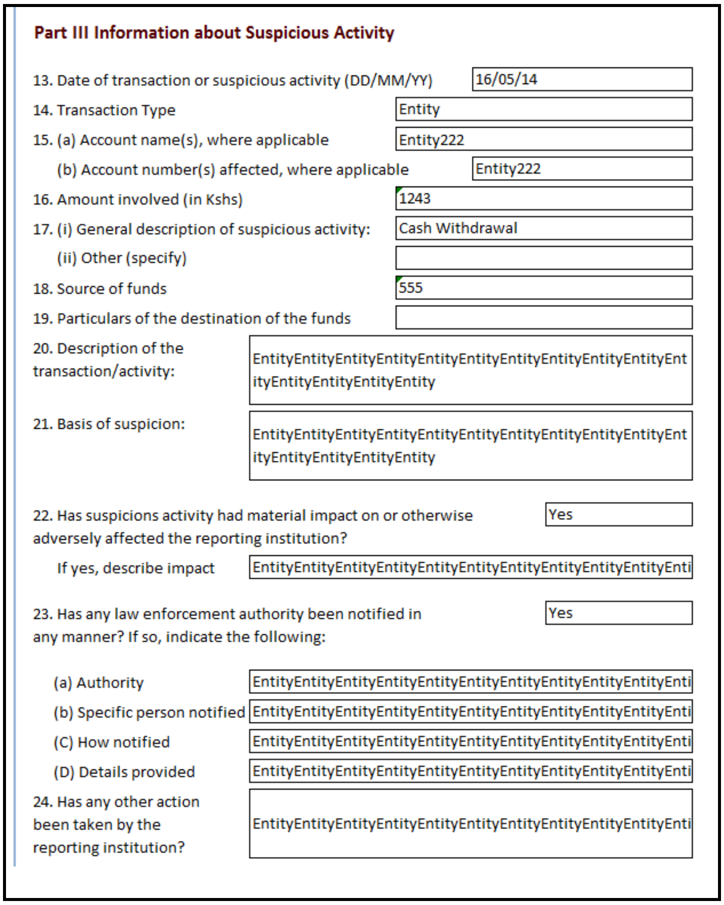
   A list of subject records are displayed in the Subjects grid.

3. Select the checkbox at the beginning of an subject record row or click anywhere in the row.
4. Click **Remove**. The following message is displayed: *Are you sure you want to delete this record?*
5. Click **OK**. The following message is displayed: *Record Removed Successfully.*
6. Click **OK**. The subject record is removed from the Subjects grid.

   Note: If you have added, edited or deleted subjects, a corresponding audit entry is tracked in the Audit tab. For more information, refer to *Viewing Audit Information.*

Managing Suspicious Activity Information Tab

This tab refers to the *Information about Suspicious Activity section* (shown below) in the Final STR Excel.



Part III Information about Suspicious Activity

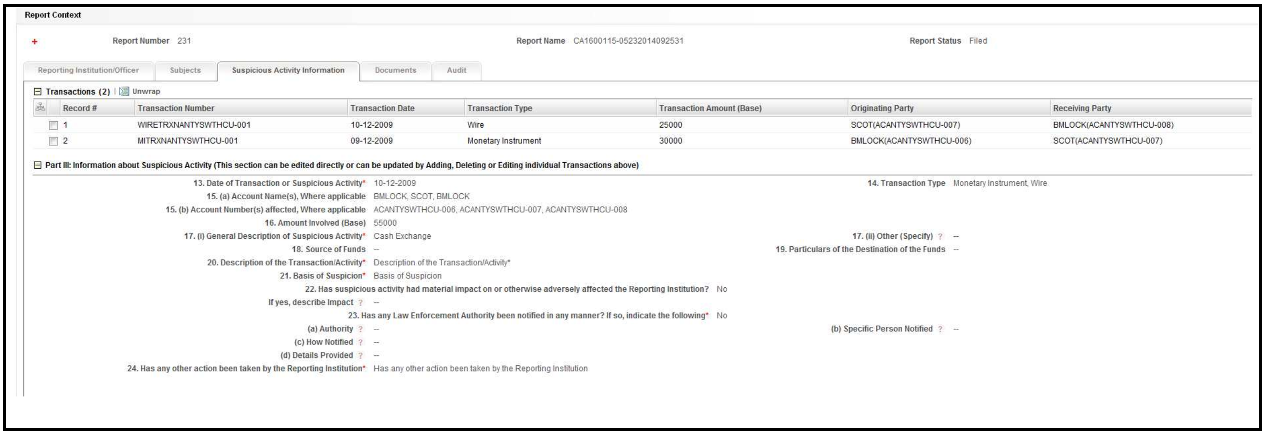
13. Date of transaction or suspicious activity (DD/MM/YY)	16/05/14
14. Transaction Type	Entity
15. (a) Account name(s), where applicable	Entity222
(b) Account number(s) affected, where applicable	Entity222
16. Amount involved (in Kshs)	1243
17. (i) General description of suspicious activity:	Cash Withdrawal
(ii) Other (specify)	
18. Source of funds	555
19. Particulars of the destination of the funds	
20. Description of the transaction/activity:	EntityEntityEntityEntityEntityEntityEntityEntityEntityEntityEntityEntityEntityEntityEntity
21. Basis of suspicion:	EntityEntityEntityEntityEntityEntityEntityEntityEntityEntityEntityEntityEntityEntityEntity
22. Has suspicions activity had material impact on or otherwise adversely affected the reporting institution?	Yes
If yes, describe impact	EntityEntityEntityEntityEntityEntityEntityEntityEntityEntityEnti
23. Has any law enforcement authority been notified in any manner? If so, indicate the following:	Yes
(a) Authority	EntityEntityEntityEntityEntityEntityEntityEntityEntityEntityEnti
(b) Specific person notified	EntityEntityEntityEntityEntityEntityEntityEntityEntityEntityEnti
(C) How notified	EntityEntityEntityEntityEntityEntityEntityEntityEntityEntityEnti
(D) Details provided	EntityEntityEntityEntityEntityEntityEntityEntityEntityEntityEnti
24. Has any other action been taken by the reporting institution?	EntityEntityEntityEntityEntityEntityEntityEntityEntityEntityEnti

Figure 24. Suspicious Activity Information in Final STR

The Suspicious Activity Information tab in the Report Details page displays the involved transactions and their details as received from OFSFCCM or added directly to the STR that are specific to the current report. From this tab you can add, update, and delete transactions related to an STR.

The Validate button in the Suspicious Activity Information tab validates Suspicious Activity Information details.

If you click Request for Approval, Approve, or Recommend for Approval and if the required mandatory fields such as Date of transaction or suspicious activity, General description of suspicious activity, Description of the transaction/activity, Basis of suspicion and Has any other action been taken by the reporting institution are missing in Suspicious Activity Information tab, the application displays the following message: *Please Validate on Suspicious Activity Information tab for details of missing required information.*


Report Context
Reporting Institution/Officer
Subjects
Suspicious Activity Information
Documents
Audit
Unwrap

Report Number 231
Report Name CA1600115-05232014092531
Report Status Filed

Transactions (2)

Record #	Transaction Number	Transaction Date	Transaction Type	Transaction Amount (Base)	Originating Party	Receiving Party
☐ 1	WIRETRXNANTYSWTHCU-001	10-12-2009	Wire	25000	SCOT(ACANTYSWTHCU-007)	BMLOCK(ACANTYSWTHCU-008)
☐ 2	MITRXNANTYSWTHCU-001	09-12-2009	Monetary Instrument	30000	BMLOCK(ACANTYSWTHCU-006)	SCOT(ACANTYSWTHCU-007)

Part III: Information about Suspicious Activity (This section can be edited directly or can be updated by Adding, Deleting or Editing individual Transactions above)

13. Date of Transaction or Suspicious Activity* 10-12-2009
14. Transaction Type Monetary Instrument, Wire
15. (a) Account Name(s), Where applicable BMLOCK, SCOT, BMLOCK
15. (b) Account Number(s) affected, Where applicable ACANTYSWTHCU-006, ACANTYSWTHCU-007, ACANTYSWTHCU-008
16. Amount Involved (Base) 55000
17. (i) General Description of Suspicious Activity* Cash Exchange
17. (ii) Other (Specify) ? --
18. Source of Funds --
19. Particulars of the Destination of the Funds --
20. Description of the Transaction/Activity* Description of the Transaction/Activity*
21. Basis of Suspicion* Basis of Suspicion
22. Has suspicious activity had material impact on or otherwise adversely affected the Reporting Institution? No
If yes, describe Impact ? --
23. Has any Law Enforcement Authority been notified in any manner? If so, indicate the following* No
(a) Authority ? --
(b) Specific Person Notified ? --
(c) How Notified ? --
(d) Details Provided ? --
24. Has any other action been taken by the Reporting Institution* Has any other action been taken by the Reporting Institution

Figure 25. Suspicious Activity Information Tab

The Suspicious Activity Information tab displays the following sections:

- Transactions Grid
- Transaction Details
- Part III Information about Suspicious Activity

  By default, the application displays the Transactions grid and Part III Information about Suspicious Activity. Click on transaction record in the grid to view the transaction details.

Transactions Grid

The Transactions grid displays the following columns:

- Transaction Number
- Transaction Date
- Transaction Type
- Transaction Amount (Base)
- Originating Party
- Receiving Party

By default, the application displays a list of all transactions associated with the STR. To view or edit the transaction details, either select the checkbox at the beginning of a transaction record or click anywhere in the row. The selected record gets highlighted and the details of that particular transaction displays below the Transaction grid.

Transaction Details

This section captures specific information related to the transaction such as transaction number, date of transaction, type of transaction, base amount of the transaction, originator details, beneficiary details, and so on. For more information on fields in the Transaction Details, refer to *Table 12*.

Note: The value in the Record column is a system generated number that helps to distinguish a unique transaction while viewing the validation messages. You cannot add or edit this field.

Part III Information about Suspicious Activity

This section captures information related to transaction such as transaction details, amount involved in transaction, source and destination of funds, reasons for suspicion, and so on.

The following table explains the fields in Part III Information about Suspicious Activity.

Table 11. Fields in Part III Information about Suspicious Activity

Fields	Description
Date of Transaction or Suspicious Activity	Enter the date of transaction or suspicious activity. This field is auto-updated with the latest date if any new transactions are added or removed. If you enter a Date of transaction or suspicious activity that is later than the system date, the application displays the following message: *Please enter Date of Transaction or Suspicious Activity which is less than or equal to sysdate.*
Transaction Type	Enter the type of transaction. You can enter multiple types of transaction using comma and space as separators. The Transaction Type values are distinct and any repeating values for transaction type are not repeated for this field. This field allows you to enter a maximum of 255 characters.
Account Name(s), Where applicable	Enter the Originator and Beneficiary names of all the transaction with comma and space as separators. The Account name and Account Number must be unique. Enter the account names in the same order corressponding to the account numbers in the field *Account Number(s) affected, Where applicable* This field allows you to enter a maximum of 525 characters.

Table 11. Fields in Part III Information about Suspicious Activity

Fields	Description
Account Number(s) affected, Where applicable	Enter the Originator and Beneficiary account numbers of all the transaction with comma and space as separators. The Account name and Account Number must be unique. Enter the account number in the same order corressponding to the account name in the field *Account Name(s), Where applicable* This field allows you to enter a maximum of 525 characters.
Amount Involved (Base)	Enter the sum of all the amounts involved in the transaction.
General Description of Suspicious Activity	Select the type of suspicious activity from the drop-down list: Following are the possible options: • Cash Deposit • Cash Exchange • Cash Payment • Cash Withdrawal • Deposit from Abroad • Transfer Abroad • Transfer to Domestic Bank • Transfer from Domestic Bank • Money Laundering • Bribery • Cheque Fraud • Identity Theft • Credit Card Fraud • False Statement • Tax Evasion • Misuse of Position • Other (Specify) If the General description of suspicious activity is missing value in the Suspicious Activity Information tab, the application displays the following message: *Please enter General Description of Suspicious Activity as it is a mandatory field.*
Other (Specify)	Enter any additional information you want to describe about the suspicious activity type. This field is enabled and is mandatory only if *Other* is selected in the field *General Description of Suspicious Activity.* This field allows you to enter a maximum of 50 characters. If General description of suspicious activity has been marked as Others and if you fail to specify it, the application displays the following message: *Please specify the General Description of Suspicious Activity which is marked as Others.*
Source of Funds	Specify the source of funds involved in the suspicious activity. This field allows you to enter a maximum of 120 characters.

Table 11. Fields in Part III Information about Suspicious Activity

Fields	Description
Particulars of the Destination of the Funds	Enter the details of the destination of the funds. This field allows you to enter a maximum of 120 characters.
Description of the Transaction/Activity	Enter a brief account of the suspicious activity. This field allows you to enter a maximum of 4000 characters. If Description of the transaction/activity is missing in Suspicious Activity Information tab, the application displays the following message: *Please enter Description of the Transaction / Activity as it is a mandatory field.*
Basis of Suspicion	Enter the reason for identifying the transaction as suspicious. This field allows you to enter a maximum of 4000 characters. If the Basis of suspicion is missing in the Suspicious Activity Information tab, the application displays the following message: *Please enter Basis of Suspicion as it is a mandatory field.*
Has suspicious activity had material impact on or otherwise adversely affected the Reporting Institution	Select whether there were any serious implications on the reporting institution due to the suspicious activity. If Has suspicious activity had material impact on or otherwise adversely affected the Reporting Institution? is missing in Suspicious Activity Information tab, the application displays the following message: *Please enter "Has any other action been taken by the Reporting Institution?" as it is a mandatory field.*
If yes, describe Impact	Enter an account of how the suspicious activity impacted the financial institution. This field allows you to enter a maximum of 255 characters and is enabled only if **Yes** is selected in the field *Has suspicious activity had material impact on or otherwise adversely affected the Reporting Institution?.*
Has any Law Enforcement Authority been notified in any manner? If so, indicate the following	Choose whether any law enforcement agency was notified about the suspicious activity. The following fields are mandatory and enabled if Yes is selected. ● Authority ● Specific Person Notified ● How Notified ● Details Provided If you click Validate and if you have selected "Has any law enforcement authority been notified in any manner? If so, indicate the following" as "Yes" for this field and failed to specify the details in the Authority, Specific Person notified, How notified and Details provided fields, the application displays the following message: *You have selected Yes in "Has any law enforcement authority been notified in any manner? If so, Indicate the following", you need to provide values for Authority, Specific Person Notified, How Notified and Details provided.*
Authority	Enter the details of the law enforcement agency notified about the suspicious activity. This field allows you to enter a maximum of 120 characters.
Specific Person Notified	Enter the name of the person within the law enforcement agency to whom the suspicious activity was reported. This field allows you to enter a maximum of 120 characters.
How Notified?	Enter the means of suspicious activity notification to the law enforcement agency. This field allows you to enter a maximum of 255 characters.

Table 11. Fields in Part III Information about Suspicious Activity

Fields	Description
Details Provided	Enter the information provided by the reporting institution to the law enforcement agency. This field allows you to enter a maximum of 255 characters.
Has any other action been taken by the Reporting Institution	Enter the details about any action taken by the reporting institution on the subject regarding the suspicious activity. This field allows you to enter a maximum of 255 characters. The prior FRC Tracking number updated in Reporting Institution/Officer tab is auto-populated here.

Adding a Transaction

To add transactions to the report, follow these steps:

1. Navigate to the Report Details page.
2. Click the **Suspicious Activity Information** tab.

   A list of transaction records in the report are displayed in the Transactions section if any.
3. Click **Add**. The Transaction Details section expands below the Transactions grid.

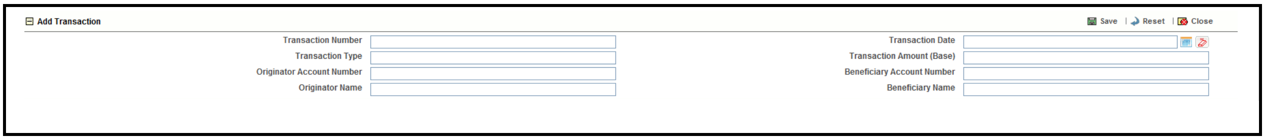


Figure 26. Transaction Details

4. Enter the required information.

   The following table explains the fields that must be updated while adding a transaction.

Table 12. Add New Transaction Field Descriptions

Fields	Description
Transaction Number	Enter the unique identifier for the transaction. This field allows you to enter a maximum of 50 characters.
Transaction Date	Select a date from the calendar icon specifying the occurrence of the transaction. If you enter a Transaction Date which is later than the system date, the application displays the following message: *Please enter Transaction Date which is less than or equal to sysdate.* If Date of transaction or suspicious activity is missing in Suspicious Activity Information ta, the application displays the following message: *Please enter Date of Transaction as it is a mandatory field.*
Transaction Type	Enter the method of the transaction or the type as per Alert Management. This field allows you to enter a maximum of 255 characters.
Transaction Amount	Enter the amount involved in suspicious transaction.
Originator Account Number	Enter the account number of originator of the transaction. This field allows you to enter a maximum of 50 characters.
Beneficiary Account Number	Enter the account number of the beneficiary/receiver of the transaction. This field allows you to enter a maximum of 50 characters.
Originator Name	Enter the name of the person or organization who acts as the originator. This field allows you to enter a maximum of 120 characters.
Beneficiary Name	Enter the name of the person or organization who acts as the receiver. This field allows you to enter a maximum of 120 characters.

5. Click **Save**. The following message is displayed: *Add Operation Successful.*
6. Click **OK**. The record is displayed in the Transactions grid.

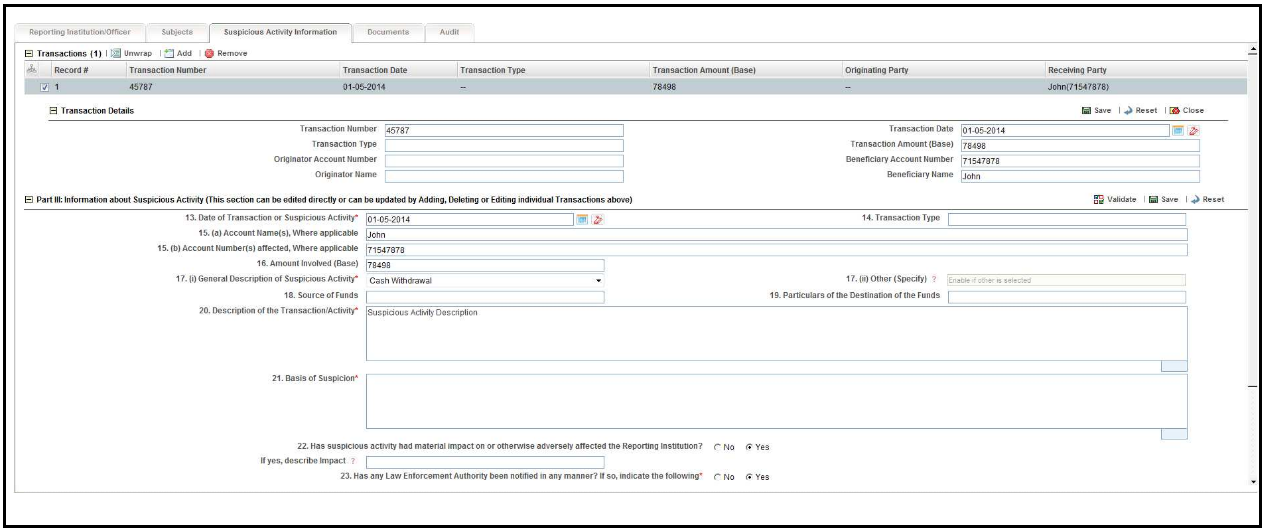
Viewing or Editing Transaction Details

To view or edit the details of transactions, click anywhere on a transaction row. You can edit information about the transaction in the Transaction Details section.

To view or edit a transaction record for the report, follow these steps:

1. Navigate to the Report Details page.
2. Click the **Transactions** tab.

   A list of transaction records associated with the report are displayed in the Transaction section.
3. Select the checkbox at the beginning of a transaction record row or click anywhere in the row.
4. The transaction details are displayed in the Transaction Details section and the Part III Information about Suspicious Activity section.
5. Edit the details as required.
6. Click **Save**. The following message is displayed: *Update Operation Successful.*
7. Click **OK**. The modified transaction details are saved.



	Record #	Transaction Number	Transaction Date	Transaction Type	Transaction Amount (Base)	Originating Party	Receiving Party
☑	1	45787	01-05-2014	--	78498	--	John(71547878)

Transaction Details

Transaction Number: 45787
Transaction Type:
Originator Account Number:
Originator Name:
Transaction Date: 01-05-2014
Transaction Amount (Base): 78498
Beneficiary Account Number: 71547878
Beneficiary Name: John

Part III: Information about Suspicious Activity (This section can be edited directly or can be updated by Adding, Deleting or Editing individual Transactions above)

13. Date of Transaction or Suspicious Activity*: 01-05-2014
14. Transaction Type:
15. (a) Account Name(s), Where applicable: John
15. (b) Account Number(s) affected, Where applicable: 71547878
16. Amount Involved (Base): 78498
17. (i) General Description of Suspicious Activity*: Cash Withdrawal
17. (ii) Other (Specify) ?: Enable if other is selected
18. Source of Funds:
19. Particulars of the Destination of the Funds:
20. Description of the Transaction/Activity*: Suspicious Activity Description
21. Basis of Suspicion*:
22. Has suspicious activity had material impact on or otherwise adversely affected the Reporting Institution? ○ No ● Yes
If yes, describe Impact ?:
23. Has any Law Enforcement Authority been notified in any manner? If so, indicate the following* ○ No ● Yes

Figure 27. Viewing/Editing Transaction Details

Removing Transactions

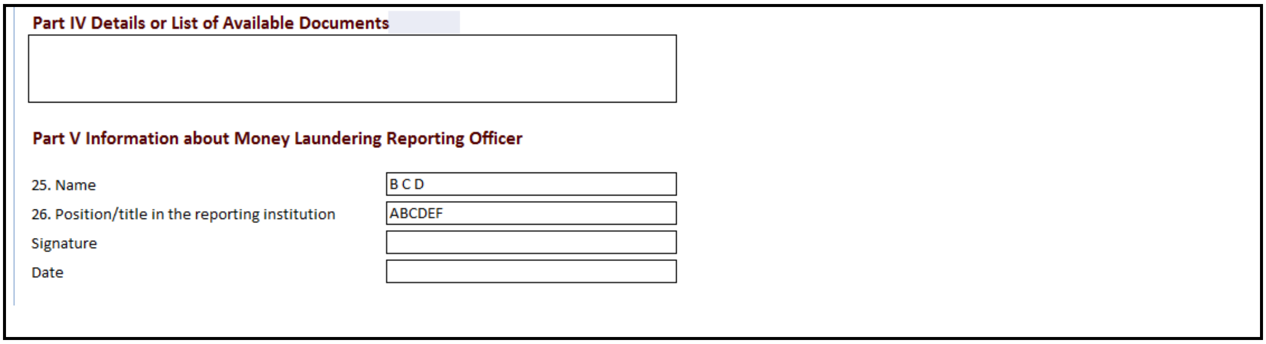
To remove a transaction, follow these steps:

1. Navigate to the **Suspicious Activity Information** tab of the report. A list of transactions associated with the report is displayed in the Transactions grid.
2. Select the checkbox of the transaction record you want to remove.
3. Click **Remove**. The following message is displayed: *Are you sure you want to delete this record? Deleting transactions may update the Transaction Summary and any user filled data may get lost. Click OK to proceed or Cancel to abort.*
4. Click **OK**. The following message is displayed: *Record Removed successfully.*
5. Click **OK**. The application refreshes and displays the Transactions grid.

   Note: If you try to remove a transaction, the application displays the following message: *Are you sure you want to Remove this Transaction? You will lose any user entered value(s) when you Remove a Transaction. Click OK to continue or Cancel to abort.*

Managing Documents Tab

This tab refers to the *Details or List of Available Documents* section in the Final STR.



Part IV Details or List of Available Documents

Part V Information about Money Laundering Reporting Officer

25. Name	B C D
26. Position/title in the reporting institution	ABCDEF
Signature	
Date	

Figure 28. Documents Tab in Final STR

The Documents tab allows you to attach and remove documents related to an STR. While filing the STR with the regulatory authorities, you must also send any added documents. The process of sending added documents to the regulatory authorities occurs outside of OFSRR.

Sending the documents to the Regulator is the responsibility of the user and out of scope of OFSRR.

Attaching Documents

Users mapped to the role of an Analyst, Reviewer, or Supervisor can attach and delete documents in all statuses except when the report is in *View Only* mode.

To attach a document, follow these steps:

1. Navigate to the Report Details page.
2. Click **Documents**. The Documents section is displayed.
3. Click **Add**. The Add Document window is displayed.

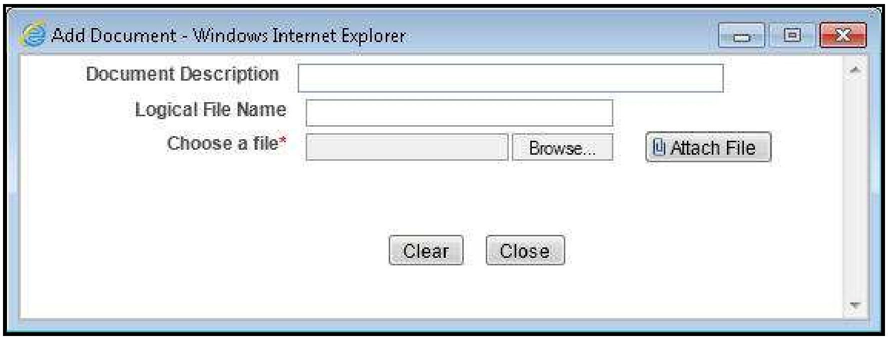


Figure 29. Adding Documents to STR

4. Enter the **Document Description** and the **Logical File Name**.

   Note: The application allows you to enter a a maximum of 255 characters in document description field.

5. Click **Browse** to choose a file from your machine.
6. Click **Attach File**. The following message is displayed: *Add Operation Success ful.*
7. Click **OK**. The file is attached and you are navigated back to the Add Document window.

Vlick **Close** to navigate back the Report Details page or attach additional documents.

Editing the Logical File Name and Document Description of an Added Document

The Reports Details page allows you to edit the logical file name and the document description of an added document.

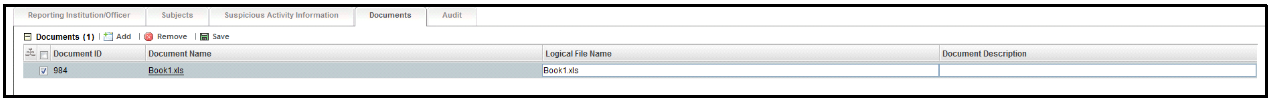
Note: If logical file name is provided then the application considers the document name as the logical file name.

To edit the logical file name and the document description, follow these steps:

1. Navigate to the Report Details page.
2. Click the **Documents** tab.

   The list of added documents associated to the report are displayed in the Documents section.
3. Select the checkbox at the beginning of an added document row or click anywhere in the row.

   The document record changes into an editable mode.


Reporting Institution/Officer
Subjects
Suspicious Activity Information
Documents
Audit
Documents (1)
Add
Remove
Save

☐ Document ID	Document Name	Logical File Name	Document Description
☑ 984	Book1.xls	Book1.xls	

Figure 30. Editing the Logical File Name and Document Description of an Added Document

4. Edit the Logical File Name or the Document Description.
5. Click **Save**. The following message is displayed: *Update Operation Successful.*
6. Click **OK**. The document is updated in the Documents section.

Removing Documents

The Report Details page also allows you to remove the documents attached to an STR.

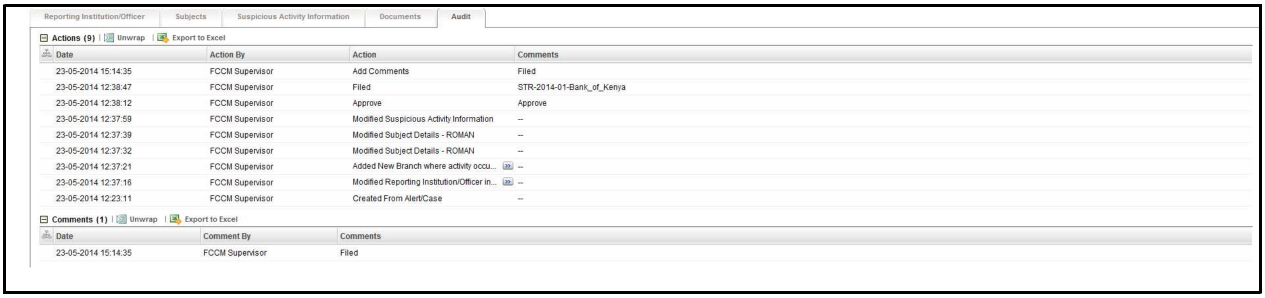
To remove the documents attached to a report, follow these steps:

1. Navigate to the Report Details page.
2. Click the **Documents** tab.

   The list of documents associated to the report are displayed in the Documents section.
3. Select the checkbox of the document you want to delete.
4. Click **Remove**. The following message is displayed: *Are you sure you want to remove this record.*
5. Click **OK**. The following message is displayed: *Record removed successfully.*
6. Click **OK**. The document is removed and you are navigated back to the Report Details page.

Viewing Audit Information

The Audit tab displays actions taken on the report. This tab contains the Actions and the Comments section.



Reporting Institution/Officer
Subjects
Suspicious Activity Information
Documents
Audit

Actions (9) | Unwrap | Export to Excel

Date	Action By	Action	Comments
23-05-2014 15:14:35	FCCM Supervisor	Add Comments	Filed
23-05-2014 12:38:47	FCCM Supervisor	Filed	STR-2014-01-Bank_of_Kenya
23-05-2014 12:38:12	FCCM Supervisor	Approve	Approve
23-05-2014 12:37:59	FCCM Supervisor	Modified Suspicious Activity Information	--
23-05-2014 12:37:39	FCCM Supervisor	Modified Subject Details - ROMAN	--
23-05-2014 12:37:32	FCCM Supervisor	Modified Subject Details - ROMAN	--
23-05-2014 12:37:21	FCCM Supervisor	Added New Branch where activity occu...	--
23-05-2014 12:37:16	FCCM Supervisor	Modified Reporting Institution/Officer in...	--
23-05-2014 12:23:11	FCCM Supervisor	Created From Alert/Case	--

Comments (1) | Unwrap | Export to Excel

Date	Comment By	Comments
23-05-2014 15:14:35	FCCM Supervisor	Filed

Figure 31. Audit Tab

The Audit tab displays the following sections:

- Actions
- Comments

Actions

The Actions section displays all the actions taken on the regulatory report. This section displays the following fields:

Table 13. Actions Section Field Descriptions

Fields	Description
Date	Displays the date on which the action occurred.
Action By	Displays the name of the user who performed the action.

Table 13. Actions Section Field Descriptions

Fields	Description
Actions	Displays a short description of the action. OFSRR captures the following actions in the Audit tab: ● Created from alert/case ● Created manually ● Modified Reporting Institution/Officer information ● Added new branch where activity occurred – Branch Name ● Modified branch where activity occurred – Branch Name ● Removed branch where activity occurred – ● Added new subject – Name of the added subject ● Removed subject – Name of the deleted subject ● Modified subject details – Name of the edited subject ● Modified suspicious activity information ● Added new transaction – Transaction Number ● Modified transaction details – Transaction Number ● Removed transaction – Transaction Number ● Added New Document – Name of the added document ● Modified Document – Name of the modified document ● Removed Document – Name of the removed document ● Updated FRC Tracking Number – Old FRC Tracking Number to New FRC Tracking Number
Comments	Displays the comments entered by the user while performing an action.

You can also export the list of actions to an Excel format using the **Export to Excel** option. Refer to *Exporting the STR List to Excel* for more information.

Comments

The Comments section displays the comments entered while performing the **Add Comments** action from the Report Details page of an STR. The Comments section displays the following fields:

Table 14. Comments Section Field Descriptions

Fields	Description
Date	Displays the date on which the comment was recorded.
Comment By	Displays the name of the user who has given that comment.
Comments	Displays the comments added to the report by the user.

Taking Actions on STR

The Report Details page allows authorized users to take the following actions on the report.

- Requesting the Report Details for Approval
- Recommending the Report Details for Approval
- Approving Reports
- Sending Reports For Rework
- Cancelling the Filing of STR
- Reopening an STR
- Reopening an STR

Requesting the Report Details for Approval

After updating the report details, they must be validated. The RR Details page allows authorized users to validate the report details and then submit the report for approval. When the user submits the report for approval, its is validated if the mandatory fields within the report have been populated. When a report is requested for approval, the status of the STR changes to *Requested for Approval*.

A Reviewer user can review the report submitted for approval by an analyst and can either take Recommend for Approval action. When a Reviewer recommends a report for approval, the status of the STR changes to *Recommended for Approval*. Subsequently, a Supervisor can review the report and can either Approve, Rework, or Cancel the report.

Alternatively, a Supervisor user can also directly approve a report in *Open* status after reviewing the report details.

To know in what statuses an analyst user can initiate *Request for Approval* action and in what statuses a Supervisor user can directly approve a report, refer to *Table 3* for more information.

To submit a report for approval, an analyst must follow these steps:

1. Navigate to the Reports Details page of a report in *Open* status.
2. Click **Request for Approval**.

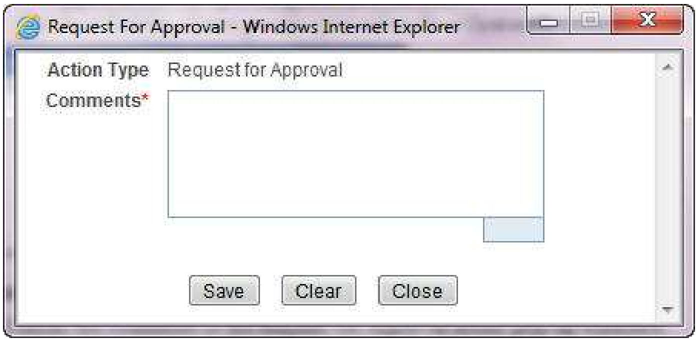

Action Type Request for Approval

Figure 32. Request for Approval Action Window

3. Enter the comments in the Request for Approval action window.

Note: The comments box in the Request for Approval action window allows entering a maximum of 255 characters. As you begin entering the comments, the word count displayed below the comments box keeps decreasing. If you try to enter more than 255 characters in the Comments box, the following error message is displayed: *Number of characters exceeded.*

If you click Save without entering the comments in the Request for Approval Action window, the following error message is displayed: *Mandatory fields are not entered.*

4. Click **Save.** The following message is displayed: *Update Operation Successful.*
5. Click **OK**. The Report Details page is displayed and the status of the STR changes to *Requested for Approval.*

   The Actions section in the **Audit** tab tracks both the actions and the comments entered while performing the **Request for Approval** action.

Recommending the Report Details for Approval

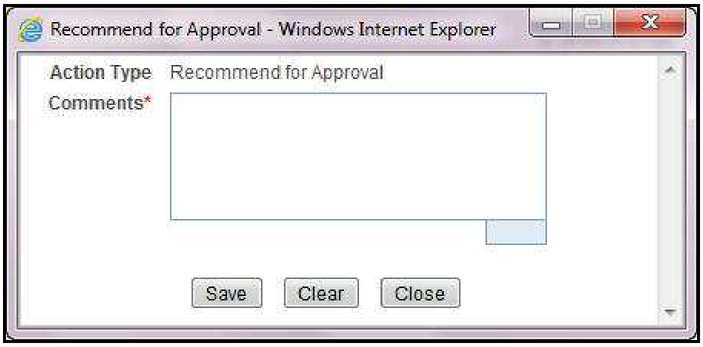
After updating the report details, a Reviewer can recommend the STR for approval.

A Reviewer user can also review a report in *Requested for Approval* status and can take Recommend for Approval action. When a reviewer recommends a report for approval, the status of the STR changes to *Recommended for Approval.* Subsequently, a Supervisor can review the report and can either Approve, Rework or Cancel the report.

To know in what statuses a reviewer user can initiate *Recommend for Approval* action and in what statuses a Supervisor user can directly approve a report, refer to *Table 3* for more information.

To recommend a report for approval, follow these steps:

1. Navigate to the Reports Details page of the report.
2. Click **Recommend Approval**.



Recommend for Approval - Windows Internet Explorer

Action Type Recommend for Approval

Figure 33. Recommend for Approval Action Window

3. Enter the comments in the Recommend for Approval action window.

   Note: The comments box in the Recommend for Approval action window allows entering a maximum of 255 characters. As you begin entering the comments, the word count displayed below the comments box keeps decreasing. If you try to enter more than 255 characters in the Comments box, the following error message is displayed: *Number of characters exceeded.*

   If you click Save without entering the comments in the Recommend for Approval Action window, the following error message is displayed: *Mandatory fields are not entered.*

4. Click **Save.** The following message is displayed: *Update Operation Successful.*
5. Click **OK**. The Report Details page is displayed and the status of the STR changes to *Recommended for Approval.*

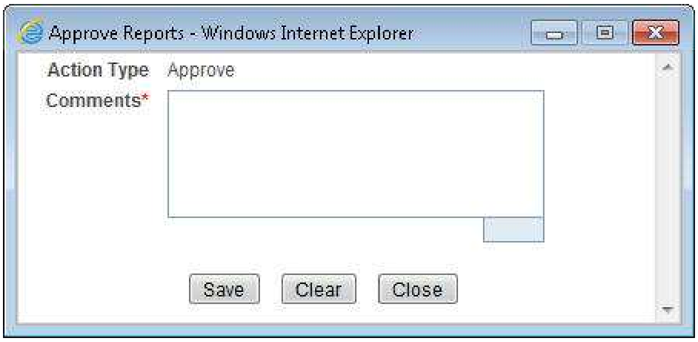
Note: The Actions section in the **Audit** tab tracks both the actions and the comments entered while performing the **Recommend Approval** action.

Approving Reports

Authorized users can approve a report when it is in *Open*, *Reopened*, *Requested for Approval*, *Rework*, and *Recommended for Approval* status. For more information, refer to *Table 3*.

To approve an STR, follow these steps:

1. Navigate to the Report Details page of a report in *Open*, *Reopened*, *Requested for Approval*, and *Recommended for Approval* status.
2. Click **Approve**.



Action Type Approve
Comments*

Figure 34. Approve Action Window

3. Enter the comments in the **Approve** action window.

   Note: The comments box in the **Approve** action window allows entering a maximum of 255 characters. As you begin entering the comments, the word count displayed below the comments box keeps decreasing. If you try to enter more than 255 characters in the Comments box, the following message is displayed: *Number of characters exceeded.*

   If you click **Save** without entering the comments in the Approve Action window, the following message is displayed: *Mandatory fields are not entered.*

4. Click **Save**. The following message is displayed: *Update Operation Successful.*
5. Click **OK**. The Report Details page is displayed and the status of the report changes to *Approved.*

   Note: Once the STR is approved, OFSRR generates the Draft xls. The Naming convention for the Draft xls is - STR_ [Reporting Institution]_Alert/Case ID_Generated Date(DD-MM-YYYY _HH:MM:SS)_Draft.xls. The Reporting Institution data is user specified

   You can rename the Draft xls while saving.

   The Actions section in the **Audit** tab tracks both the actions and the comments entered while performing the **Approve** action.

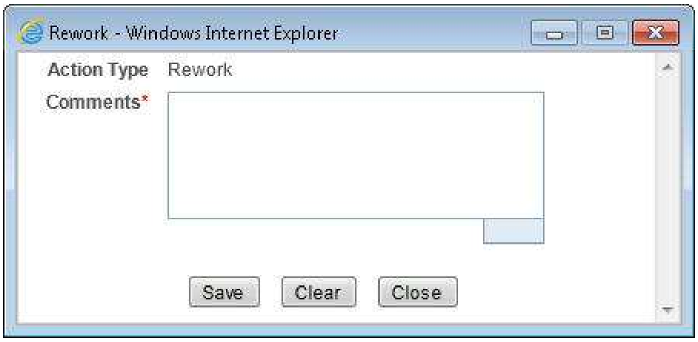
Sending Reports For Rework

An Analyst, Reviewer or a Supervisor user can send reports for rework for incomplete, inaccurate information in the report, or for additional investigation. The Report Details page allows a Reviewer and Supervisor to take Rework action on reports.

A Reviewer can take rework action on a report when it is in *Requested for Approval* status whereas a Supervisor can take rework action in *Requested for Approval* and *Recommended for Approval* status. If a report is sent for rework, an Analyst or a Reviewer must rework on the report and request/recommend the report again for approval. This process continues until the report is approved or cancelled.

To send a report to rework, follow these steps:

1. Navigate to the Report Details page.
2. Click **Rework**. The Rework Action window is displayed.



Action Type Rework
Comments*

Figure 35. Rework Action Window

3. Enter the comments in the **Rework** action window.

   Note: The comments box in the Rework action window allows entering a maximum of 255 characters. As you begin entering the comments, the word count displayed below the comments box keeps decreasing. If you try to enter more than 255 characters in the Comments box, the following message is displayed: *Number of characters exceeded*.

   If you click **Save**, without entering the comments in the Reject Action window, the following message is displayed: *Mandatory fields are not entered*.

4. Click **Save** The following message is displayed: *Update Operation Successful*.
5. Click **OK**. The Report Details page is displayed and the status of the STR changes to *Rework*.

   Note: If the report is sent for rework to the Analyst, the status of the report changes to Rework for Analyst and when the report is sent for rework to the Reviewer, the status of the report changes to Rework for Reviewer. For more information on when the report is sent for rework to analyst/supervisor roles, refer to *Table 3*.

   The Actions section in the **Audit** tab tracks both the actions and the comments entered while performing the **Rework** action.

Cancelling the Filing of STR

If a user determine that an STR report should not be filed they can cancel it.

The Report Details page allows authorized users to cancel the reports from being filed. For more information on users who can cancel filing, refer to *Table 2*.

Once the report is cancelled, you cannot edit the report details and the report changes into *View Only* mode.

Note: A canceled report can be reopened by authorized users.

To cancel the filing of a report, follow these steps:

1. Navigate to Report Details page.
2. Click **Cancel Filing**. The Cancel Action window is displayed.

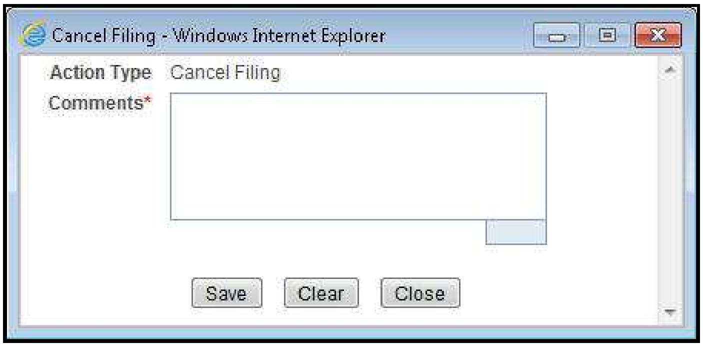


Figure 36. Cancel Filing Action Window

3. Enter the comments in the **Cancel Filing** action window.

   Note: The comments box in the Cancel action window allows entering a maximum of 255 characters. As you begin entering the comments, the word count displayed below the comments box keeps decreasing. If you try to enter more than 255 characters in the Comments box, the following message is displayed: *Number of characters exceeded.*

   If you click **Save** without entering the comments in the Cancel Action window, the following message is displayed: *Mandatory fields are not entered.*

4. Click **Save.** The following message is displayed: *Update Operation Successful.*
5. Click **OK**. The Report Details page is displayed and the status of the STR changes to *Cancelled*. The due date of the report is deleted on taking cancelled action

   Note: The Actions section in the **Audit** tab tracks both the actions and the comments entered while performing the **Cancel** action.

Reopening an STR

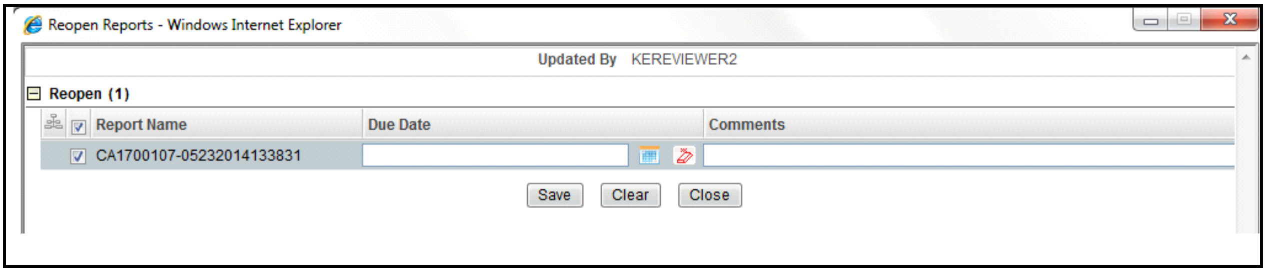
The Report Search And List Page and the Report Details page allows authorized users to initiate reopen action on a report.

For more information, refer to *Table 3*.

To reopen a report from Report Search and List page, follow these steps:

1. Navigate to the RR Search and List page.
2. Select the check box of the report(s) you want to reopen.

   Note: You can select multiple reports from the search and list page and collectively reopen them. If you try to perform reopen action on reports other than in Cancelled status, the application displays the following message: *Reopen action can only be taken on Cancelled reports. Please select only Cancelled reports to perform the Reopen action.*
3. Click **Reopen**. The Reopen Action window is displayed.
4. Enter your comments in the Reopen reports window.



Updated By KEREVIEWER2

⊟ Reopen (1)

☑ Report Name	Due Date	Comments
☑ CA1700107-05232014133831		

Figure 37. Reopen window

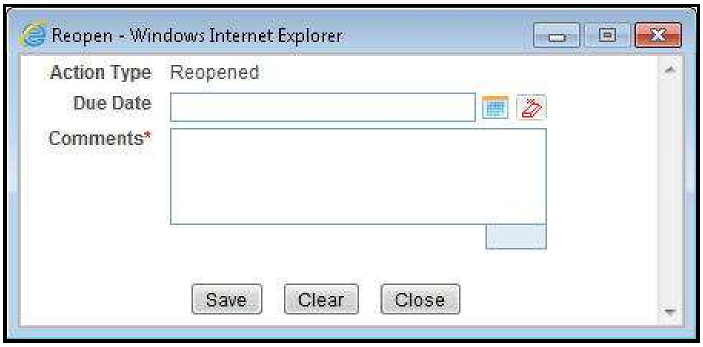
Note: The comments box in the Reopen report window allows entering a maximum of 255 characters. As you begin entering the comments, the word count displayed below the comments box keeps decreasing. If you try to enter more than 255 characters in the Comments box, the following message is displayed: *Number of characters exceeded.*

If you click Save without entering the comments in the Reopen report window, the following error message is displayed: *Mandatory fields are not entered.*

5. Click **Save**. The following message is displayed: *Update Operation Successful.*
6. Click **OK**. The RR Search and List page is displayed and the status of the report changes to *Reopen*.

To reopen a report from Report Details page, follow these steps:

1. Navigate to the Report Details page of a report in *Cancelled* status.
2. Click **Reopen**. The Reopen Action window is displayed.



Action Type Reopened
Due Date
Comments*

Figure 38. Reopen Action Window from Report Details Page

3. Set the due date and enter the comments in the **Reopen** action window.

   Note: The comments box in the **Reopen** action window allows entering a maximum of 255 characters. As you begin entering the comments, the word count displayed below the comments box keeps decreasing. If you try to enter more than 255 characters in the Comments box, the following message is displayed: *Number of characters exceeded.*

   If you click **Save** without entering the comments in the Reopen Action window, the following error message is displayed: *Mandatory fields are not entered.*

4. Click **Save.** The following message is displayed: *Update Operation Successful.*

5. Click **OK**. The Report Details page is displayed and the status of the report changes to *Reopen*ed.

   The Actions section in the Audit tab tracks both the **Actions** and the **Comments** entered while performing the Reopen action.

Marking an STR as Filed

For tracking and reporting purposes, OFSRR allows you to mark the reports that are filed with the regulatory authorities as **Filed** once the STR Excel has been sent to the regulatory authorities, or whenever is defined as appropriate per your institution's business practices.

Authorized users can mark the reports submitted to the regulatory authorities as Filed. This action can be performed only when the report is in *Approved* status.

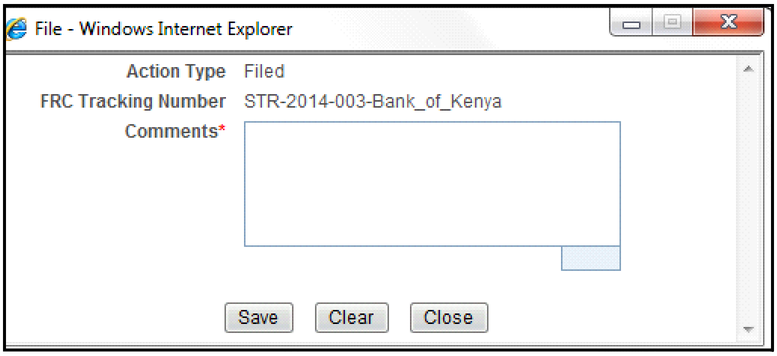
For more information on user roles, refer to *Table 2*.

If you select records from RR Search and List page which are not in Approved status and click on File button, the application displays the following message: *Some reports are not in Approved status. Filed action can only be taken on Approved reports. Please deselect those reports and try again.*

The Report Details page allows authorized users to mark the submitted reports as filed.

To mark a report as filed from the Report Details page, follow these steps:

1. Navigate to the Report Details page of a report in *Approved* status.
2. Click **File**. The **Filed Window is displayed**



Action Type Filed
FRC Tracking Number STR-2014-003-Bank_of_Kenya
Comments*

Figure 39. Filed Window

3. Enter the comments in the **Filed** action window.

   Note: The comments box in the **Filed** action window allows entering a maximum of 255 characters. As you begin entering the comments, the word count displayed below the comments box keeps decreasing. If you try to enter more than 255 characters in the Comments box, the following message is displayed: *Number of characters exceeded.*

   If you click **Save** without entering the comments in the Filed Action window, the following error message is displayed: *Mandatory fields are not entered.*

4. Click **Save.** The following message is displayed: *Update Operation Successful.*
5. Click **OK**. The Report Details page is displayed and the status of the report changes to *Filed.*

   Note: The Actions section in the **Audit** tab tracks both the actions and the comments entered while performing the **Filed** action.

   The naming convention for final STR is in the format STR-YYYY-999-[Reporting Institution].xls, where YYYY is the year, 999 is a sequential number beginning with 001 every calendar year, and reporting institution is the name of the institution. For example, if Export Bank is submitting filing their 14th STR report this year 2013, the name of the report will be STR-2013-014-Export Bank.xls. You can rename the final STR while saving

Setting Due Date of an STR

Set Due Date action will allows Reviewer 2 and Supervisor to set a due date or modify an existing due date of an STR. For more information, refer *Table 15*.

Note: The **Set Due Date** action is available in the OFSRR only when you set the **Edit Due Date Flag** attribute to **Y** in the *Application Parameters* table.

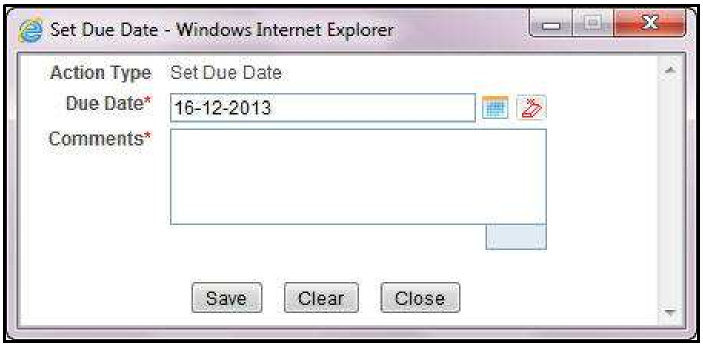
The following table explains the various statuses where the users can perform the Set Due Date action:

Table 15. Setting Due Date

Set Due Date Action as per Report Status	Analyst 1, 2, 3, 4	Reviewer 1	Reviewer 2	Supervisor	Auditor 1, 2
Open			X	X	
Reopened			X	X	
Requested for Approval			X	X	
Recommended for Approval				X	
Rework for Analyst/Rework for Reviewer			X	X	
Approved				X	

To set due date of an STR from the Report Details page, follow these steps:

1. Navigate to the Report Details page of a report.
2. Click **Set Due Date**. The Set Due Date Action window is displayed.



Action Type Set Due Date
Due Date* 16-12-2013
Comments*

Figure 40. Set Due Date Window

3. To set a due date, select a date from the calendar icon.

   Note: This field is a mandatory field.

4. Enter the comments in the **Set Due Date** action window.

Note: The comments box in the **Set Due Date** window allows entering a maximum of 255 characters. As you begin entering the comments, the word count displayed below the comments box keeps decreasing. If you try to enter more than 255 characters in the Comments box, the following message is displayed: *Number of characters exceeded.*

If you click **Save** without entering the Set Due Date and Comments, in the **Set Due Date** Action window, the following error message is displayed: *Mandatory fields are not entered.*

5. Click **Save**. The following message is displayed: *Update Operation Successful.*
6. Click **OK**. The Report Details page is displayed.

   Note: The Actions section in the **Audit** tab tracks both the actions and the comments entered while performing the **Set Due Date** action.

   If you select some reports which are in Submitted or Cancelled state and try to set due date for the selected reports, the application displays the following message: *Some of the reports are in Submitted or Cancelled state. Due date cannot be set on these reports. Please deselect those reports and try again.*

Updating FRC Tracking Number

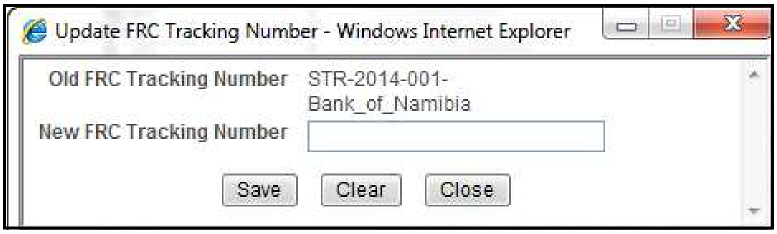
FRC Tracking number is a unique number assigned to an STR. This information is updated in the OFSRR application while marking the report as Filed and is mandatory while re-submitting an amended/supplemental report.

The Report Details page allows authorized users to update the FRC Tracking number of a report.

For more information, refer to *Table 3*.

To update the FRC Tracking number of a report from the Report Details page, follow these steps:

1. Navigate to the Report Details page of a report in *Filed* status.
2. Click **Update FRC Tracking Number**. The Update FRC Tracking number is displayed.



Update FRC Tracking Number - Windows Internet Explorer

Old FRC Tracking Number: STR-2014-001-Bank_of_Namibia

New FRC Tracking Number:

Figure 41. Update FRC Tracking Number window

3. Enter the new FRC Tracking number.

   If you click **Save** without entering the new FRC Tracking number, the following error message is displayed: *Mandatory fields are not entered.*

4. Click **Save**. The following message is displayed: *Update Operation Successful.*
5. Click **OK**. The Report Details page is displayed.

   Note: If you enter New FRC Tracking Number which is already in use, the application displays the following message: *New FRC Tracking Number is already in use. Click OK to proceed or Cancel to abort.*

If you try to perform Update FRC Tracking number action on reports other than in Filed status, the application displays the following message: *Update FRC Tracking Number action can only be taken on Filed reports. Please select only Filed reports to perform the Update FRC Tracking Number action.*

Adding Comments to an STR

The Report Details page allows users to add comments to a report. You can add comments to a report in any status.

To add comments to a report, follow these steps:

1. Navigate to the Report Details page of a report.
2. Click **Add Comments**. The Add Comments window is displayed.

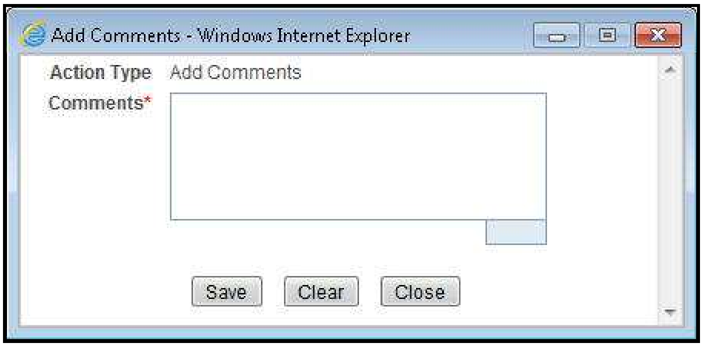


Figure 42. Add Comments Window

3. Enter the comments.

   The comments box in the Add comments window allows entering a maximum of 255 characters. As you begin entering the comments, the word count displayed below the comments box keeps decreasing. If you try to enter more than 255 characters in the Comments box, the following error message is displayed: *Number of characters exceeded.*

   If you click **Save**, without entering the comments in the Add comments window, the following error message is displayed*: Mandatory fields are not entered.*

4. Click **Save**. The following message is displayed: *Update Operation Successful.*
5. Click **OK**. The Add comments window closes and displays the Report Details page.

   Note: The **Actions** and the **Comments** section in the Audit tab tracks both the actions and the comments entered while performing the **Add Comments** action.

Viewing an STR Excel

When a report is created either directly from OFSRR or through OFSFCCM, a draft Excel is created for the STR. Users mapped to the role of Analyst, Reviewer and Supervisor can view and save the report. Once the Supervisor approves the STR, the draft STR Excel is replaced with the final STR Excel.

The naming convention for final STR is in the format STR-YYYY-999-[Reporting Institution].xls, where YYYY is the year, 999 is a sequential number beginning with 001 every calendar year, and reporting institution is the name of the institution. For example, if Export Bank is submitting filing their 14th STR report this year 2013, the name of the report will be STR-2013-014-Export Bank.xls. You can rename the final STR while saving

Both draft STR Excel and final STR Excel can be viewed either from RR Search and List page or from Report Details page.

To view an STR Excel from Report Details page, follow these steps:

1. Navigate to the Report Details page of a report.
2. Click **View Report**. The **File Download** window is displayed.
3. Click **Open** to view the STR Excel. You can also click **Save** to save the report in your machine.

To view an STR Excel from RR Search and List page, follow these steps:

1. Navigate to the RR Search and List page.
2. From Reports List, click ☒ in the Regulatory Report column of an STR record. The **File Download** window is displayed.
3. Click **Open** to view the STR Excel. You can also click **Save** to save the report in your machine.

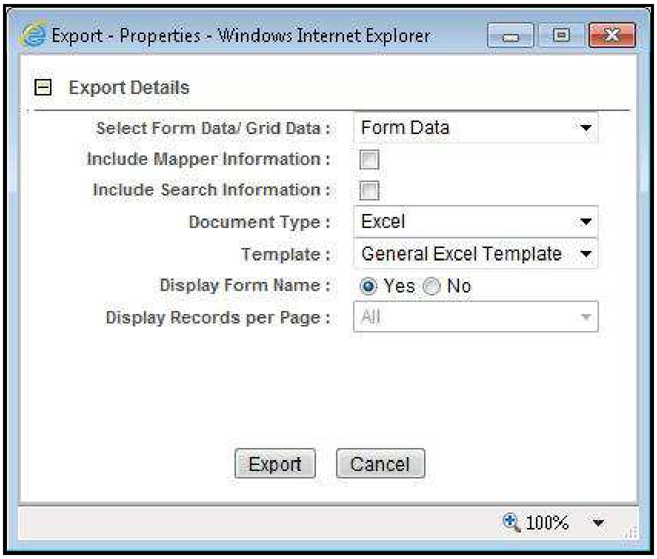
Exporting the STR List to Excel

The RR Search and List page allows you to export the report list into an Excel template.

To export the report details into an Excel template, follow these steps:

1. Navigate to the RR Search and List page.
2. Click **Export to Excel**. The Export Properties dialog box is displayed.

   All the reports in the RR Search and List page are exported into an Excel template. You cannot export individual reports into Excel.
3. Set Document Type as **Excel** and select Form Data/Grid Data as **Grid** Data.



Select Form Data/ Grid Data : Form Data
Include Mapper Information : ☐
Include Search Information : ☐
Document Type : Excel
Template : General Excel Template
Display Form Name : ● Yes ○ No
Display Records per Page : All

Figure 43. Export Properties Dialog Box

4. Click **Export** in the Export Properties dialog box.

   When processing is complete, the data is displayed in an IE window with a dialog box.
5. Click **Save** from the dialog box. The Save As dialog box is displayed.
6. Select a directory location where you want to save the file.
7. Enter a new name in the File Name field or OFSRR automatically generates a name for the file to accept.
8. Click **Save**.

   The application saves your file to the specified location.

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

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