

# Oracle FLEXCUBE Core Banking

Security Management User Manual  
Release 11.6.0.0.0

**Part No. E65544-01**

January 2016

ORACLE®

ORACLE®

Security Management User Manual  
January 2016

Oracle Financial Services Software Limited  
Oracle Park  
Off Western Express Highway  
Goregaon (East)  
Mumbai, Maharashtra 400 063  
India

Worldwide Inquiries:

Phone: +91 22 6718 3000

Fax: +91 22 6718 3001

[www.oracle.com/financialservices/](http://www.oracle.com/financialservices/)

Copyright © 2016, Oracle and/or its affiliates. All rights reserved.

Oracle and Java are registered trademarks of Oracle and/or its affiliates. Other names may be trademarks of their respective owners.

U.S. GOVERNMENT END USERS: Oracle programs, including any operating system, integrated software, any programs installed on the hardware, and/or documentation, delivered to U.S. Government end users are "commercial computer software" pursuant to the applicable Federal Acquisition Regulation and agency-specific supplemental regulations. As such, use, duplication, disclosure, modification, and adaptation of the programs, including any operating system, integrated software, any programs installed on the hardware, and/or documentation, shall be subject to license terms and license restrictions applicable to the programs. No other rights are granted to the U.S. Government.

This software or hardware is developed for general use in a variety of information management applications. It is not developed or intended for use in any inherently dangerous applications, including applications that may create a risk of personal injury. If you use this software or hardware in dangerous applications, then you shall be responsible to take all appropriate failsafe, backup, redundancy, and other measures to ensure its safe use. Oracle Corporation and its affiliates disclaim any liability for any damages caused by use of this software or hardware in dangerous applications.

This software and related documentation are provided under a license agreement containing restrictions on use and disclosure and are protected by intellectual property laws. Except as expressly permitted in your license agreement or allowed by law, you may not use, copy, reproduce, translate, broadcast, modify, license, transmit, distribute, exhibit, perform, publish or display any part, in any form, or by any means. Reverse engineering, disassembly, or decompilation of this software, unless required by law for interoperability, is prohibited.

The information contained herein is subject to change without notice and is not warranted to be error-free. If you find any errors, please report them to us in writing.

This software or hardware and documentation may provide access to or information on content, products and services from third parties. Oracle Corporation and its affiliates are not responsible for and expressly disclaim all warranties of any kind with respect to third-party content, products, and services. Oracle Corporation and its affiliates will not be responsible for any loss, costs, or damages incurred due to your access to or use of third-party content, products, or services.

## Table of Contents

<b>Security Management System (SMS)</b> .....	<b>4</b>
7011 - Event Log Inquiry .....	5
752 - Reset Primary Password .....	8
753 - Enable/Disable User .....	10
755 - Modify Login Status .....	13
757 - Inquiry For Logged In Users .....	15
758 - Inquiry For Password .....	17
768 - Change Password.....	19
AT002 - Audit Trail Financial Transactions Inquiry .....	22
BA777 - Audit Trail Inquiry for Non-Financial Txns.....	27
BAM04 - BA Audit Tasks Maintenance-Inquire.....	34
BAM10 - Restricted Accounts Maintenance .....	37

# **Security Management System (SMS)**

## 7011 - Event Log Inquiry

User logged in from different computer under a core banking network is allowed (although concurrent user log-ins is not allowed).

Using this option you can log the IP's under which the user ID was entered in the posting date. The system displays the date, time and action performed. The system displays the date, time and action performed.

This option refers to UBS infra to perform the transactions.

### Definition Prerequisites

Not Applicable

### Modes Available

Not Applicable

### To perform event log inquiry

1. Type the fast path **7011** and click **Go** or navigate through the menus to **Transaction Processing > Internal Transactions > Inquiries > Event Log Inquiry**.
2. The system displays the **Event Log Inquiry** screen.

### Event Log Inquiry

Event Log Inquiry

User Name: TRITU

From: 31/08/2008 To: 31/08/2008

Seq No	User ID	Date	Terminal IP	Action
--------	---------	------	-------------	--------

Get Cancel

## Field Description

<b>Field Name</b>	<b>Description</b>
<b>User Name</b>	[Display] This field displays the name of the user who is logged in.
<b>From</b>	[Mandatory, dd/mm/yyyy] Type the date from which the event log inquiry is to be made.
<b>To</b>	[Mandatory, dd/mm/yyyy] Type the date till which the event log inquiry is to be made.

<b>Column Name</b>	<b>Description</b>
<b>Seq No</b>	[Display] This column displays the sequence number of the event.
<b>User ID</b>	[Display] This column displays the user id.
<b>Date</b>	[Display] This column displays the date and time of the event.
<b>Terminal IP</b>	[Display] This column displays the terminal IP from where the user had logged in.
<b>Action</b>	[Display] This column displays the action performed by the user.

3. Enter the from and to date.
4. Click the **Get** button. The system displays the event log details.

## Event Log Inquiry

Event Log Inquiry

User Name: TRITU

From: 12/02/2007 To: 01/08/2008

Seq No	User ID	Date	Terminal IP	Action
1	TRITU	2008-07-19 09:38:21	IFLMUD5DL124G	Logged In
2	TRITU	2008-07-18 14:44:53	IFLMUD5DL124G	Logged Out
3	TRITU	2008-07-18 14:22:47	IFLMUD5DL124G	Logged In
4	TRITU	2008-07-18 11:58:58	IFLMUD5DL124G	Logged In
5	TRITU	2008-07-18 11:54:00	IFLMUD5DL124G	Logged Out
6	TRITU	2008-07-18 11:10:54	IFLMUD5DL124G	Logged In
7	TRITU	2008-07-18 11:06:05	IFLMUD5DL124G	Logged Out
8	TRITU	2008-07-18 10:44:20	IFLMUD5DL124G	Logged In
9	TRITU	2008-07-18 10:11:20	IFLMUD5DL124G	Logged Out
10	TRITU	2008-07-18 09:39:38	IFLMUD5DL124G	Logged In
11	TRITU	2008-07-15 15:31:29	IFLMUD5DL124G	Logged Out
12	TRITU	2008-07-15 15:09:37	IFLMUD5DL124G	Logged In
13	TRITU	2008-07-15 14:46:16	IFLMUD5DL124G	Logged Out
14	TRITU	2008-07-15 14:32:03	IFLMUD5DL124G	Logged In
15	TRITU	2008-07-15 14:30:55	IFLMUD5DL124G	Logged Out
16	TRITU	2008-07-15 14:20:53	IFLMUD5DL124G	Logged In
17	TRITU	2008-07-15 14:20:27	IFLMUD5DL124G	Logged Out
18	TRITU	2008-07-15 14:19:15	IFLMUD5DL124G	Logged In
19	TRITU	2008-07-15 14:19:05	SVSDOC	Admin Logged Out User
20	TRITU	2008-07-15 14:18:40	IFLMUD5DL124G	Already Logged In

Get Cancel

5. Click the **Cancel** button.

## 752 - Reset Primary Password

Using this option you can reset the password without entering the old one .This option is used by the system administrator to reset the password if the user has forgotten his password or if the SM does not want the user to log into the system. If the user knows the new password, he will be prompted to change it on login.

This option utilises the UBS framework to complete the transaction.

### Definition Prerequisites

Not Applicable

### Modes Available

Not Applicable

### To reset the primary password

1. Type the fast path **752** and click **Go** or navigate through the menus to **Transaction Processing > Internal Transactions > Security > Reset primary password**.
2. The system displays the **Reset Primary Password** screen.

### Reset Primary Password

Reset Primary Password\*

Branch Code :

User ID :

User Name :

Password :

Verify Password :

Card Change Pin Cheque Cost Rate Denomination Instrument Inventory Pin Validation Service Charge Signature Travellers Cheque

UBF OK Close Clear

## Field Description

<b>Field Name</b>	<b>Description</b>
<b>Branch Code</b>	[Mandatory, Numeric, Four, Pick List] Type the branch code or select it from the pick list. The name of the branch is displayed in the adjacent field.
<b>User ID</b>	[Mandatory] Enter the user ID whose password you want to reset. These user IDs are added and maintained in the <b>User Profile Maintenance</b> (Fast Path: SMM02) option.
<b>User Name</b>	[Display] This field displays the user name whose password you want to reset.
<b>Password</b>	[Mandatory, Alphanumeric, 10] Type the password, for the selected user ID. The password should have a minimum of six characters. It should be a combination of an uppercase and lowercase letter and a numeric digit. The password cannot have three or more successive characters or digits. For example, abc, xyz etc.
<b>Verify Password</b>	[Mandatory, Alphanumeric, 10] Type the new password to verify it. It should be the same as entered in the <b>Password</b> field.

3. Enter the user ID and username.
4. Enter the required information in the various fields.
5. Click the **Ok** button.

## 753 - Enable/Disable User

Using this option you can enable/ disable a user of any branch through single administrator log in. The user IDs are created in the **User Profile Maintenance** (Fast Path: SMM02) option.

This option refers to UBS infra to perform the transactions.

**Note:** The system cannot disable the already logged in users.

### Definition Prerequisites

Not Applicable

### Modes Available

Not Applicable

### To enable or disable a user

1. Type the fast path **753** and click **Go** or navigate through the menus to **Transaction Processing > Internal Transactions > Security > Enable / Disable user**.
2. The system displays the **Enable / Disable User** screen.

### Enable / Disable User

Enable / Disable User\*

Branch Code : 240 SANDOZ - MUMBAI

User ID : ...

User Name : ...

Current Status : ...

Change Status : ... Permanently Disable :

Logged in : ...

Card Change Pin Cheque Cost Rate Denomination Instrument Inventory Pin Validation Service Charge Signature Travellers Cheque

UDF OK Close

### Field Description

Field Name	Description
------------	-------------

Field Name	Description
<b>Branch Code</b>	[Display] This field displays the branch code. The name of the branch is displayed in the adjacent field.
<b>User Id</b>	[Mandatory, Pick List] Select the ID of the user, who has to be enabled or disabled, from the pick list. These user ID's are maintained in the <b>User Profile Maintenance</b> (Fast Path: SMM02) option.
<b>User Name</b>	[Display] This field displays the name of the user for the selected user ID.
<b>Current Status</b>	[Display] This field displays the current status of the user. The status can be enable, disable, and lock.
<b>Change Status</b>	[Mandatory, Drop-Down] Select the option to change the status of the user from the drop-down list. The options are: <ul style="list-style-type: none"> <li>• ENABLE</li> <li>• DISABLE</li> </ul>
<b>Permanently Disable</b>	[Conditional, Check Box] Select the check box to permanently disable a user. This field is enabled only if <b>DISABLE</b> option is selected in the <b>Change Status</b> drop-down list.
<b>Logged in</b>	[Display] This field displays the logged in status of the user. The options are: <ul style="list-style-type: none"> <li>• Y: User is logged in.</li> <li>• N: User is not logged in.</li> </ul>

3. Select the branch code and user ID from the pick list.
4. Select the change status from the drop-down field.

## Enable / Disable User

Enable / Disable User\*

Branch Code : 240 SANDOZ - MUMBAI

User ID : SAMAR

User Name : First Supervisor

Current Status : ENABLE

Change Status : DISABLE Permanently Disable :

Logged in : N

Card Change Pin Cheque Cost Rate Denomination Instrument Inventory Pin Validation Service Charge Signature Travellers Cheque

UDF OK Close

4. If the user is enabled, the system displays the message "Do you wish to permanently disable the user?".
5. If the user is disabled, the system displays the message "User is Disabled. Do You Want to Enable".
6. If the user is not logged in, the system displays the "User Not Logged in. Want to Disable?".
7. Click the **Ok** button.

## 755 - Modify Login Status

Using this option you are forcibly logged out of the system . This option is used when you have logged into **FLEXCUBE** and the application/system crashes. When you try to login after the system is restored, it does not allow , as the system still maintains the user status as logged in. Also, the system will not permit a login more than once. In such cases this option is used to modify the login status.

This screen refers to UBS infra to perform the transactions.

### Definition Prerequisites

Not Applicable

### Modes Available

Not Applicable

### To modify login status

1. Type the fast path **755** and click **Go** or navigate through the menus to **Transaction Processing > Internal Transactions > Security > Modify Login Status**.
2. The system displays the **Modify Login Status** screen.

### Modify Login Status

Modify Login Status\*

User ID :

User Name :

Card Change Pin Cheque Cost Rate Denomination Instrument Inventory Pin Validation Service Charge Signature Travellers Cheque

UDF OK Close Clear

## Field Description

Field Name	Description
<b>User ID</b>	[Mandatory] Enter the user ID of the user, whose login status is to be modified. These user ID's are maintained in the <b>Defining User Profile</b> (Fast Path: SMM02) option.
<b>User Name</b>	[Display] This field displays the user name of the user, whose login status is to be modified.

3. Enter the user ID and user name.
4. The system displays the message "User already logged in do you want to log out the user". Click the **Ok** button.
5. Click the **OK** button.

## 757 - Inquiry For Logged In Users

Using this option you can view the list of users that are logged in to the system in their own branch.

The system provides information on user ID, user name, the terminal ID in which the user has logged in and the login date and time. You can refresh the screen to get the latest status.

This screen refers to UBS infra to perform the transactions.

### Definition Prerequisites

Not Applicable

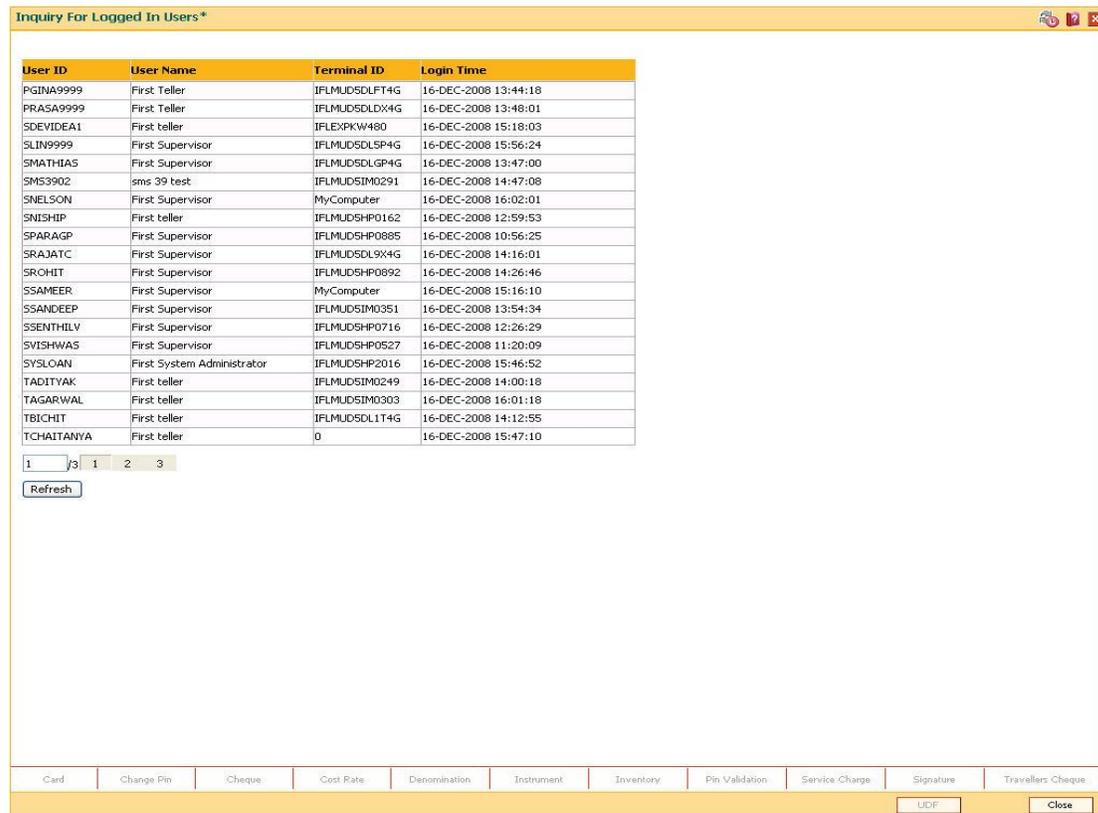
### Modes Available

Not Applicable

### To view a list of currently logged in users

1. Type the fast path **757** and click **Go** or navigate through the menus to **Transaction Processing > Internal Transactions > Security > Inquiry For Logged In Users**.
2. The system displays the **Inquiry For Logged In Users** screen.

### Inquiry For Logged In Users



The screenshot shows a window titled "Inquiry For Logged In Users\*" with a table of user login information. The table has four columns: User ID, User Name, Terminal ID, and Login Time. Below the table is a pagination control showing "1 / 3" and a "Refresh" button. At the bottom of the window is a navigation bar with various menu options and a "Close" button.

User ID	User Name	Terminal ID	Login Time
PGINA9999	First Teller	IFLMUDSDLFT4G	16-DEC-2008 13:44:18
PRASA9999	First Teller	IFLMUDSDLDX4G	16-DEC-2008 13:48:01
SDEVIDEA1	First teller	IFLEXPKW480	16-DEC-2008 15:18:03
SLIN9999	First Supervisor	IFLMUDSDLSP4G	16-DEC-2008 15:56:24
SMATHIAS	First Supervisor	IFLMUDSDLGP4G	16-DEC-2008 13:47:00
SMS3902	sms 39 test	IFLMUDSIM0291	16-DEC-2008 14:47:08
SNELSON	First Supervisor	MyComputer	16-DEC-2008 16:02:01
SNISHIP	First teller	IFLMUDSHP0162	16-DEC-2008 12:59:53
SPARAGP	First Supervisor	IFLMUDSHP0885	16-DEC-2008 10:56:25
SRAJATC	First Supervisor	IFLMUDSDL9X4G	16-DEC-2008 14:16:01
SROHIT	First Supervisor	IFLMUDSHP0892	16-DEC-2008 14:26:46
SSAMEER	First Supervisor	MyComputer	16-DEC-2008 15:16:10
SSANDEEP	First Supervisor	IFLMUDSIM0351	16-DEC-2008 13:54:34
SSEETHILV	First Supervisor	IFLMUDSHP0716	16-DEC-2008 12:26:29
SVISHWAS	First Supervisor	IFLMUDSHP0527	16-DEC-2008 11:20:09
SYSLOAN	First System Administrator	IFLMUDSHP2016	16-DEC-2008 15:46:52
TADITYAK	First teller	IFLMUDSIM0249	16-DEC-2008 14:00:18
TAGARWAL	First teller	IFLMUDSIM0303	16-DEC-2008 16:01:18
TBCHIT	First teller	IFLMUDSDL1T4G	16-DEC-2008 14:12:55
TCHAITANYA	First teller	0	16-DEC-2008 15:47:10

## Field Description

Column Name	Description
<b>User ID</b>	[Display] This column displays the user ID for all those users who are currently logged into the system.
<b>User Name</b>	[Display] This column displays the list of users who are currently logged into the system.
<b>Terminal ID</b>	[Display] This column displays the identification code of the terminal where each user has logged into the system.
<b>Login Time</b>	[Display] This column displays the login date and time when the users have logged into the system.

3. The system displays the users who are currently logged in to the system.
4. Click the **Refresh** button to refresh the screen with the latest details.

## 758 - Inquiry For Password

Using this option you can view the password details of the registered users . The system provides information on dual password facility available for the user IDs, primary password change due date, secondary password change due date, whether the system manger can reset the password, etc.

The inquiry about the passwords of the users will be useful for the supervisor mainly to keep track of the users for whom password reset is to be done, and if password change by Supervisor is allowed for the user.

You can change the primary/secondary passwords by using **Change Primary Password** (Fast Path: 768) and **Change Secondary Password** (Fast Path: 769) options.

### Definition Prerequisites

Not Applicable

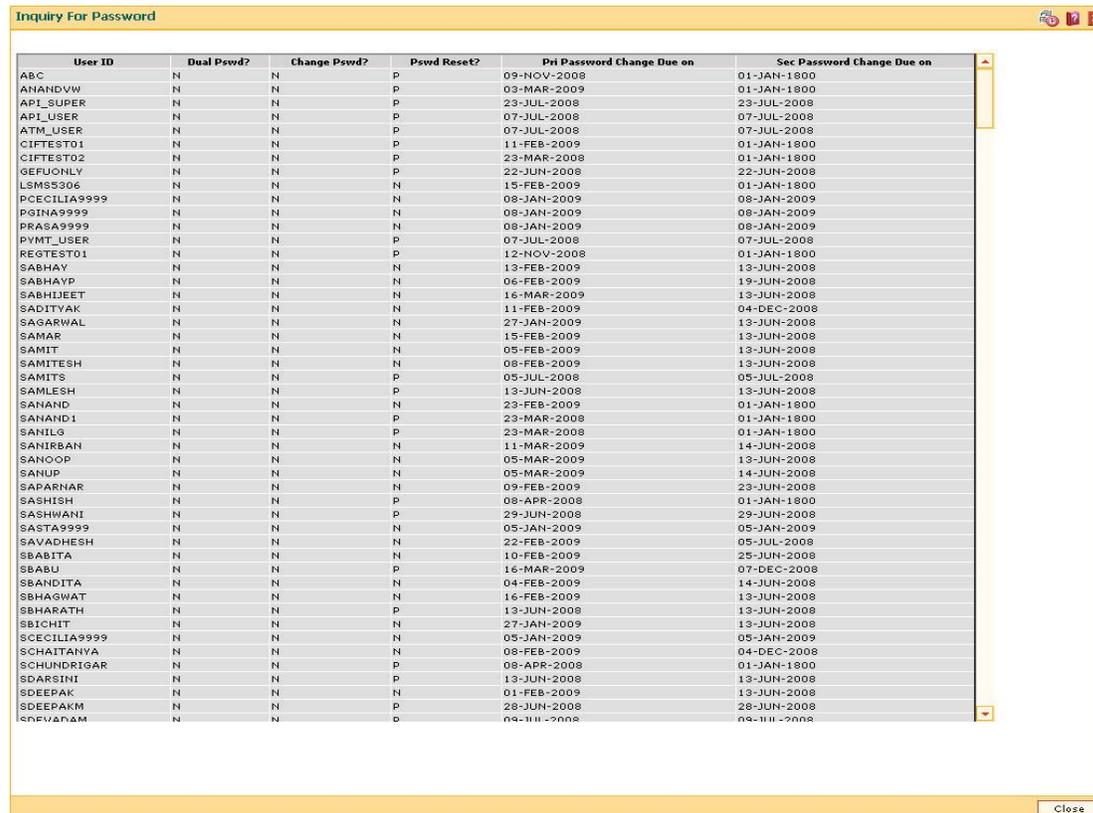
### Modes Available

Not Applicable

### To view password details

1. Type the fast path **758** and click **Go** or navigate through the menus to **Transaction Processing > Internal Transactions > Security > Inquiry For Password** .
2. The system displays the **Inquiry For Password** screen.

### Inquiry For Password



The screenshot shows a window titled "Inquiry For Password" with a table containing the following columns: User ID, Dual Pswd?, Change Pswd?, Pswd Reset?, Pri Password Change Due on, and Sec Password Change Due on. The table lists various user IDs and their corresponding password details.

User ID	Dual Pswd?	Change Pswd?	Pswd Reset?	Pri Password Change Due on	Sec Password Change Due on
ABC	N	N	P	09-NOV-2008	01-JAN-1800
ANANDVW	N	N	P	03-MAR-2009	01-JAN-1800
APL_SUPER	N	N	P	23-JUL-2008	23-JUL-2008
APL_USER	N	N	P	07-JUL-2008	07-JUL-2008
ATM_USER	N	N	P	27-JUL-2008	07-JUL-2008
CIFTEST01	N	N	P	11-FEB-2009	01-JAN-1800
CIFTEST02	N	N	P	23-MAR-2008	01-JAN-1800
GEFUONLY	N	N	P	22-JUN-2008	22-JUN-2008
LSM55306	N	N	N	15-FEB-2009	01-JAN-1800
PCECILIA9999	N	N	N	08-JAN-2009	08-JAN-2009
PGINA9999	N	N	N	08-JAN-2009	08-JAN-2009
PRASA9999	N	N	N	08-JAN-2009	08-JAN-2009
PYMT_USER	N	N	P	07-JUL-2008	07-JUL-2008
REGTEST01	N	N	P	12-NOV-2008	01-JAN-1800
SABHAY	N	N	N	13-FEB-2009	13-JUN-2008
SABHAYP	N	N	N	06-FEB-2009	19-JUN-2008
SABHIJEET	N	N	N	16-MAR-2009	13-JUN-2008
SADITYAK	N	N	N	11-FEB-2009	04-DEC-2008
SAGARWAL	N	N	N	27-JAN-2009	13-JUN-2008
SAMAR	N	N	N	15-FEB-2009	13-JUN-2008
SAMIT	N	N	N	05-FEB-2009	13-JUN-2008
SAMITESH	N	N	N	08-FEB-2009	13-JUN-2008
SAMITS	N	N	P	05-JUL-2008	05-JUL-2008
SAMLESH	N	N	P	13-JUN-2008	13-JUN-2008
SANAND	N	N	N	23-FEB-2009	01-JAN-1800
SANAND1	N	N	P	23-MAR-2008	01-JAN-1800
SANILG	N	N	P	23-MAR-2008	01-JAN-1800
SANIRBAN	N	N	N	11-MAR-2009	14-JUN-2008
SANOOP	N	N	N	05-MAR-2009	13-JUN-2008
SANUP	N	N	N	05-MAR-2009	14-JUN-2008
SAPARNAR	N	N	N	09-FEB-2009	23-JUN-2008
SASHISH	N	N	P	08-APR-2008	01-JAN-1800
SASHWANI	N	N	P	29-JUN-2008	29-JUN-2008
SASTA9999	N	N	N	05-JAN-2009	05-JAN-2009
SAVADHESH	N	N	N	22-FEB-2009	05-JUL-2008
SBABITA	N	N	N	10-FEB-2009	25-JUN-2008
SBABU	N	N	P	16-MAR-2009	07-DEC-2008
SBANDITA	N	N	N	04-FEB-2009	14-JUN-2008
SBHAGWAT	N	N	N	16-FEB-2009	13-JUN-2008
SBHARATH	N	N	P	13-JUN-2008	13-JUN-2008
SBICHIIT	N	N	N	27-JAN-2009	13-JUN-2008
SCECILIA9999	N	N	N	05-JAN-2009	05-JAN-2009
SCHAITANYA	N	N	N	08-FEB-2009	04-DEC-2008
SCHUNDRIGAR	N	N	P	08-APR-2008	01-JAN-1800
SDARSINI	N	N	P	13-JUN-2008	13-JUN-2008
SDEEPAK	N	N	N	01-FEB-2009	13-JUN-2008
SDEEPAKM	N	N	P	28-JUN-2008	28-JUN-2008
SDEVADAM	N	N	P	09-JUL-2008	09-JUL-2008

## Field Description

<b>Column Name</b>	<b>Description</b>
<b>User ID</b>	[Display] This column displays the list of user IDs of the system.
<b>Dual Pswd?</b>	[Display] This column displays whether the user ID has dual password facility or not. The system displays: <ul style="list-style-type: none"><li>• Y: if the user ID has dual password facility.</li><li>• N: if the user ID does not have dual password facility.</li></ul>
<b>Change Pswd?</b>	[Display] This column displays whether the user can change his/her password or not. The system displays: <ul style="list-style-type: none"><li>• Y: if the user can change the password.</li><li>• N: if the user cannot change the password.</li></ul>
<b>Pswd Reset?</b>	[Display] This column displays the status of the user's password. The system displays: <ul style="list-style-type: none"><li>• P: if the security manager resets the user's password</li><li>• N: if the user logs in and changes the password</li></ul>
<b>Pri Password Change Due on</b>	[Display] This column displays the date on which the primary password is due for change.
<b>Sec Password Change Due on</b>	[Display] This column displays the date on which the secondary password is due for change.

3. Click the **Close** button.

## 768 - Change Password

Using this option you can change your own password by entering the old one. You can not use the passwords which are prohibited specifically in **User Prohibited Passwords** (Fast Path: 756) option. These are commonly used words specific to the person such as place of residence, spouse name, name of son/daughter, etc.

This option utilises the UBS framework to complete the transaction.

### Definition Prerequisites

Not Applicable

### Modes Available

Not Applicable

### To change primary password

1. Type the fast path **768** and click **Go** or navigate through the menus to **Transaction Processing > Internal Transactions > Security > Change Primary Password** .
2. The system displays the **Change Primary Password** screen.

### Change Primary Password

The screenshot shows a web application window titled "Change Primary Password\*". The window contains three text input fields labeled "Old Password:", "New Password:", and "Verify Password:". Below the input fields is a navigation bar with buttons for "UDF", "OK", "Close", and "Clear". At the very bottom, there is a menu bar with options: "Card", "Change Pin", "Cheque", "Cost Rate", "Denomination", "Instrument", "Inventory", "Pin Validation", "Service Charge", "Signature", and "Travellers Cheque".

## Field Description

Field Name	Description
<b>Old Password</b>	[Mandatory, Alphanumeric] Type the valid current or old password.
<b>New Password</b>	[Mandatory, Alphanumeric] Type the new password, which you would like to use. Password must meet at least 3 out of the following four complexity rules: <ul style="list-style-type: none"><li>• at least 1 uppercase character (A-Z)</li><li>• at least 1 lowercase character (a-z)</li><li>• at least 1 digit (0-9)</li><li>• at least 1 special character (!"£\$%&amp;...)</li></ul> The password should have a minimum of six characters. The password cannot have three or more successive characters or digits. For example, abc, xyz etc.
<b>Verify Password</b>	[Mandatory, Alphanumeric] Type the new password again to verify it.

3. Type the old password.
4. Type the new password and re-type it for confirmation.

## Change Primary Password

Change Primary Password\*

Old Password:

New Password:

Verify Password:

Card | Change Pin | Cheque | Cost Rate | Denomination | Instrument | Inventory | Pin Validation | Service Charge | Signature | Travellers Cheque

UDF | OK | Close | Clear

5. Click the **Ok** button.
6. The system changes the primary password.

## AT002 - Audit Trail Financial Transactions Inquiry

Using this option you can view the audit trail of financial transactions performed on **Oracle FLEXCUBE**. The audit trail can be queried using this maintenance on any of the following parameters:

- Originating Branch
- Date Range
- Teller ID or Super ID
- Customer ID or Account Number
- Transaction mnemonic and/or Amount range
- Type of transaction, Transaction number

### Definition Prerequisites

- Financial Transactions should have been performed

### Modes Available

Not Applicable

### To inquire on audit trail

1. Type the fast path **AT002** and click **Go** or navigate through the menus to **Transaction Processing > Internal Transactions > Inquiries > Audit Trail Financial Transactions Inquiry**.
2. The system displays the **Audit Trail Financial Transactions Inquiry** screen.

### Audit Trail Financial Transactions Inquiry

**Audit Trail Financial Transactions Inquiry\***

Originating Branch :  Mnemonic:

Date From : 31/03/2008 Date To : 31/03/2008

Customer ID:  Account Number:

Teller Id :  Super Id :

Amount From:  Amount To:

DR/CR:  Txn No:

Txn Date	Posting Date	Txn Type	Customer ID	Account No	Amount	Dr/Cr	Currency	Mnemonic	Narration	Tran no

Card    Change Pin    Cheque    Cost Rate    Denomination    Instrument    Inventory    Pin Validation    Service Charge    Signature    Travellers Cheque

## Field Description

Field Name	Description
<b>Originating Branch</b>	[Mandatory, Drop-Down] Select the originating branch, for which the audit trail is required, from the drop-down list.
<b>Mnemonic</b>	[Optional, Pick List] Select the maintenance task code to be be audited from the pick list.
<b>Date From</b>	[Mandatory, Pick List, dd/mm/yyyy] Select the date from which the data has to be retrieved from the pick list.
<b>Date To</b>	[Mandatory, Pick list, dd/mm/yyyy] Select the date up to which the data has to be retrieved from the pick list.
<b>Customer ID</b>	[Optional, Alphanumeric, 10] Type the id of the customer on whom the maintenance was done.
<b>Account Number</b>	[Optional, Numeric, 14] Type the account number on which the maintenance was done.

<b>Field Name</b>	<b>Description</b>
<b>Teller ID</b>	[Mandatory, Drop-Down] Select the id of the teller who has performed the maintenance from the drop-down list.
<b>Super ID</b>	[Optional, Drop-Down] Select the id of the authoriser who has authorised the maintenance from the drop-down list.
<b>Amount From</b>	[Optional, Alphanumeric, 13, Two] Type the minimum amount from which the records are to be displayed.
<b>Amount To</b>	[Optional, Alphanumeric, 13, Two] Type the maximum amount upto which the records are to be displayed.
<b>DR/CR</b>	[Optional, Character, One] Enter the type of transaction. You can type D or C to view the debit or credit transactions.
<b>Txn No</b>	[Optional, Alphanumeric, 40] Type the transaction number for which the records are to be displayed.

<b>Column Name</b>	<b>Description</b>
<b>Txn Date</b>	[Display] This column displays the date of transaction.
<b>Posting Date</b>	[Display] This column displays the posting date.
<b>Txn Type</b>	[Display] This column displays the type of transaction.
<b>Customer ID</b>	[Display] This column displays the id of the customer on whom the maintenance was done.
<b>Account No</b>	[Display] This column displays the account number on whom the maintenance was done.
<b>Amount</b>	[Display] This column displays the transaction amount.

<b>Column Name</b>	<b>Description</b>
<b>Dr/Cr</b>	[Display] This column displays the type of transaction i.e Debit or Credit.
<b>Currency</b>	[Display] This column displays the account currency.
<b>Mnemonic</b>	[Display] This column displays the transaction mnemonic.
<b>Narration</b>	[Display] This column displays the narration for the transaction.
<b>Tran No</b>	[Display] This column displays the transaction number.
<b>Teller ID</b>	[Display] This column displays the id of the teller who has performed the transaction.
<b>Auth ID</b>	[Display] This column displays the id of the authoriser who has authorised the transaction.

3. Select the originating branch and teller id from the drop-down list.
4. Enter the date range for which transactions are to be displayed.
5. Click the **Ok** button. The system displays the financial transactions based on the criteria entered.

## Audit Trail Financial Transactions Inquiry

**Audit Trail Financial Transactions Inquiry\***

Originating Branch : HOHousingDevelopmentFinanceCorp

Date From : 31/03/2000

Customer ID :

Teller Id : TNELSON

Amount From :

DR/CR :

Mnemonic :

Date To : 31/03/2008

Account Number :

Super Id :

Amount To :

Txn No :

Txn Date	Posting Date	Txn Type	Customer ID	Account No	Amount	Dr/Cr	Currency	Mnemonic	Narration	Tran no
31/12/2009	30/01/2008	Normal	606348	06063480000052	25,000.00	D		1001	Cash Withdrawal	00056200801300092000
31/12/2009	30/01/2008	Normal	606348	99990111010011	25,000.00	C		1001	06063480000052:Cash Withdrawal	00056200801300092000
30/12/2009	30/01/2008	Normal	606348	06063480000039	50,000.00	D		1001	Cash Withdrawal	00056200801300092000
30/12/2009	30/01/2008	Normal	606348	99990111010011	50,000.00	C		1001	06063480000039:Cash Withdrawal	00056200801300092000
30/12/2009	30/01/2008	Normal	606348	99990111010011	50,000.00	C		1001	06063480000013:Cash Withdrawal	00056200801300092000
30/12/2009	30/01/2008	Normal	606348	99990111010011	50,000.00	C		1001	06063480000026:Cash Withdrawal	00056200801300092000
30/12/2009	30/01/2008	Normal	606348	06063480000026	50,000.00	D		1001	Cash Withdrawal	00056200801300092000

Card    Change Pin    Cheque    Cost Rate    Denomination    Instrument    Inventory    Pin Validation    Service Charge    Signature    Travellers Cheque

UDF    OK    Close    Clear

6. Click the **Close** button.

## **BA777 - Audit Trail Inquiry for Non-Financial Txns**

A bank can view the trail of both financial and non-financial transactions performed on **FLEXCUBE**. Only those non-financial transactions for which audit trails are required can be inquired in this inquiry. This requirement is maintained in Audit Task Maintenance. The audit trail can be queried using this maintenance on any of the following parameters:

1. Originating Branch
2. Task ID
3. Date Range
4. Teller ID
5. Authorizer ID
6. Action

Using this option, the date as well as the user that has done the addition / modification / deletion in Customer Master for Aadhaar related fields can be identified..

### **Definition Prerequisites**

- BAM04 - BA Audit Tasks Maintenance-Inquire

### **Modes Available**

Not Applicable

### **To inquire on audit trail**

1. Type the fast path **BA777** and click **Go** or navigate through the menus to **Global Definitions > Other > Audit Trail Inquiry for Non-Financial Txns**.
2. The system displays the **Audit Trail Inquiry for Non-Financial Txns** screen.

## Audit Trail Inquiry for Non-Financial Txns




**Audit Trail Inquiry for Non-Financial Txns**

---

Action :	All Maintenance Actions - Authorised ▾				
Originating Branch:	240 ...	Task ID:		Account No.:	50100000006701
Customer ID:		To Date:	01/09/2013	From Date:	01/09/2013
Teller ID:		Authorizer ID:		File Type:	ACCOUNT STMTSUPP ...
File Type:	ACCOUNT STMTSUPP ...	Show Upload Records:	<input checked="" type="checkbox"/>		

Record Log
Record Details

Branch	Task ID	Posting Date	Teller ID	Authorizer ID	Action	Txn Date	Key Field 1	Key Field 2	Key Field 3	Key Field 4	Key Field 5	Account No	Customer ID	Source

### Field Description

Field Name	Description
<b>Action</b>	<p>[Mandatory, Dropdown]</p> <p>Select the maintenance action being audited from the drop-down list.</p> <p>The options are:</p> <ul style="list-style-type: none"> <li>Inquiry</li> <li>Add</li> <li>Modify</li> <li>Delete</li> <li>All</li> <li>All Unauthorised</li> </ul>
<b>Originating Branch</b>	<p>[Optional, Pick List]</p> <p>Select the originating branch, for which the audit trail is required, from the pick list.</p> <p>The Branch Code will be defaulted to SMS User Branch.</p>

Field Name	Description
<b>Task ID</b>	[Optional, Alphanumeric, Five] Type the maintenance task code being audited.
<b>Customer ID</b>	[Optional, Alphanumeric, 48] Type the id of the customer (if any) on whom the maintenance was done
<b>Account No.</b>	[Optional, Numeric, 14] Type the account number (if any) on which the maintenance was done.
<b>From Date</b>	[Optional, Pick List, dd/mm/yyyy] Select the date from which the data has to be retrieved from the pick list.
<b>To Date</b>	[Optional, Pick list, dd/mm/yyyy] Select the date up to which the data has to be retrieved from the pick list.
<b>Teller ID</b>	[Optional, Alphanumeric, 16] Type the id of the teller who performed the maintenance.
<b>Authorizer ID</b>	[Optional, Alphanumeric, 36] Type the id of the authoriser who authorised the maintenance.
<b>File Type</b>	[Optional, Pick-List] Select the file type and XF system from the pick list.
<b>Show Upload Records</b>	[Optional, Checkbox]  By default, checkbox is selected for all action types except for the last option All Unauthorised.  If checkbox is not selected, the record log will display changes done through FCR screens as well as uploads.

3. Select the action from the drop-down list and enter the required details in the remaining fields.
4. Click the **Inquire** button.
5. The system displays the records matching the entered criteria in the **Record Log** tab.
6. Double-click a record to view its details in the **Record Details** tab.
7. Reports can be executed by clicking Report button (Only Record Details Tab), Detail Report button (Only Record Details Tab for a particular selection) or Exhaustive Report button (Complete details of all Record Log records).
8. Click the **Close** button.

## Record Log

**Audit Trail Inquiry for Non-Financial Txns**

Action : All Maintenance Actions - Authorised

Originating Branch: 240

Customer ID:

From Date: 01/09/2013

Teller ID:

File Type:

Task ID: CH021

Account No.:

To Date: 01/09/2013

Authorizer ID:

Show Upload Records:

Record Log | Record Details

Branch	Task ID	Posting Date	Teller ID	Authorizer ID	Action	Txn Date	Key Field 1	Key Field 2	Key Field 3	Key Field 4	Key Field 5	Account No	Customer ID	Source
240	CH021	01/09/2013	TDEMO1		Modify	04/01/2013 19:44:36	COD_ACCT_NO=5010000000301					5010000000301	50000249	GEFU
240	CH021	01/09/2013	TAUTO4		Modify	04/01/2013 17:39:48	COD_ACCT_NO=50100000006701					50100000006701	50000811	GEFU
240	CH021	01/09/2013	TAUTO4		Modify	04/01/2013 17:39:48	COD_ACCT_NO=5010000000301					5010000000301	50000249	GEFU
240	CH021	01/09/2013	SDEMO1		Inquiry	04/01/2013 09:46:01	=							MOW
240	CH021	01/09/2013	TAUTO1		Inquiry	03/01/2013 12:25:59	=							MOW
240	CH021	01/09/2013	TAUTO1		Inquiry	03/01/2013 11:40:02	=							MOW
240	CH021	01/09/2013	TAUTO1		Inquiry	03/01/2013 11:39:04	=							MOW
240	CH021	01/09/2013	TAUTO1		Inquiry	03/01/2013 11:35:31	=							MOW
240	CH021	01/09/2013	TDEMO2		Inquiry	02/01/2013 21:16:35	=							MOW
240	CH021	01/09/2013	TAUTO1		Inquiry	02/01/2013 16:27:08	=							MOW
240	CH021	01/09/2013	TAUTO1		Inquiry	02/01/2013 15:46:34	=							MOW
240	CH021	01/09/2013	TAUTO1		Inquiry	02/01/2013 15:44:40	=							MOW
240	CH021	01/09/2013	TSAMEER		Inquiry	20/12/2012 15:58:06	=							MOW
240	CH021	01/09/2013	SDEMO1		Inquiry	24/12/2012 13:02:37	=							MOW
240	CH021	01/09/2013	TSAMEER		Inquiry	20/12/2012 15:54:26	=							MOW
240	CH021	01/09/2013	TSAMEER		Inquiry	20/12/2012 15:46:32	=							MOW

## Field Description

Field Name	Description
<b>Branch</b>	[Display] This column displays the originating branch for which the audit trail is required.
<b>Task ID</b>	[Display] This column displays the maintenance task code being audited.
<b>Posting Date</b>	[Display] This column displays the date from which the data has to be retrieved.
<b>Teller ID</b>	[Display] This column displays the id of the teller who performed the maintenance.
<b>Authorizer ID</b>	[Display] This column displays the id of the authoriser who authorised the maintenance.
<b>Action</b>	[Display] This column displays the maintenance action being audited.

<b>Field Name</b>	<b>Description</b>
<b>Txn Date</b>	[Display] This column displays the date of transaction.
<b>Key Field 1</b>	[Display] This field display the value in key field 1.
<b>Key Field 2</b>	[Display] This field display the value in key field 2.
<b>Key Field 3</b>	[Display] This field display the value in key field 3.
<b>Key Field 4</b>	[Display] This field display the value in key field 4.
<b>Key Field 5</b>	[Display] This field display the value in key field 5.
<b>Account No</b>	[Display] This column displays the account number (if any) on whom the maintenance was done.
<b>Customer ID</b>	[Display] This column displays the id of the customer (if any) on whom the maintenance was done.
<b>Source</b>	[Display]  This column displays the source.  If changes are done from screen the value in source column is displayed as MOW, whereas the changes from uploads will have the value in source as <b>GEFU</b> <sup>1</sup> .

---

<sup>1</sup>(Generic External File Upload)

## Record Details

**Audit Trail Inquiry for Non-Financial Items**

Action: Add

Originating Branch: 240

Customer ID:

From Date: 31/05/2020

Teller ID: TDDNSH

File Type:

Task ID: BA995

Account No.:

To Date: 31/05/2020

Authorizer ID:

Show Upload Records:

---

Record Log | Record Details

Originating Branch: 240 | Task Description: Single Account Transfer | Posting Date: 31/05/2020

Teller ID: TDDNSH | Authorizer ID: 00ENT02 | Customer ID: 00000001 | Account No: 00400000022738

Type	Field	Old Value	New Value
Key	CDD_ACCT_NO = 5040000022738		
Key	DAT_PROCESS = 31-MAY-20		
	CDD_MODULE		CH
	PLG_PROCESS		F
	CDD_STREAM		0
	New Branch Code		599
	PLG_BRANCH		T
	CDD_ENTITY_VPD		240
	Old Branch Code		240
	CDD_PROD		785

Inquire Close Clear Report Detail Report Exhaustive Report

## Field Description

Field Name	Description
<b>Originating Branch</b>	[Display] This field displays the originating branch for which the audit trail is required.
<b>Task Description</b>	[Display] This field displays the maintenance task description.
<b>Posting Date</b>	[Display] This field displays the date from which the data has to be retrieved.
<b>Teller ID</b>	[Display] This field displays the id of the teller who performed the maintenance.
<b>Authorizer ID</b>	[Display] This field displays the id of the authoriser who authorised the maintenance.

Field Name	Description
<b>Account No</b>	[Display] This field displays the account number (if any) on whom the maintenance was done.
<b>Customer ID</b>	[Display] This field displays the id of the customer (if any) on whom the maintenance was done
Column Name	Description
<b>Type</b>	[Display] This column indicates if this is a Key to identify the particular record in the FLEXCUBE database.  Blank value indicates that this is not a Key field.
<b>Field</b>	[Display] This column displays the field name in the database which has changed.  For a Key field, the actual value will also be indicated here.  For Task ID - BA995 field names Cod_cc_brn and Cod_Xfer_brn have been relabeled as Old Branch Code and New Branch Code respectively
<b>Old Value</b>	[Display] This column displays the previous value for the field being modified.  This will be blank in case of Add option.
<b>New Value</b>	[Display] This column displays the new value for the field being modified.  This will be blank in case of Delete option.

**Note:** 1)"From actual number of records, the system displays only 100 records."  
2) The report output can then be viewed by navigating to the **Advice/Report Status Inquiry** option (Fast Path: 7778).

## BAM04 - BA Audit Tasks Maintenance-Inquire

Using this option you can decide the auditing matrix for a particular task. This option can be used to define whether an audit is allowed on a maintenance option, and the actions (add, modify, delete, etc.) from that window should be recorded in an audit log.

All online transactions with financial impact except for Voucher Entry transaction are recorded in the Electronic Journal (EJ) stored at the respective branch. This maintenance is used for auditing all the other transactions. The audit log is stored in the central host and is common to all the branches.

### Definition Prerequisites

Not Applicable

### Modes Available

Add By Copy, Add, Modify, Delete, Cancel, Amend, Authorize, Inquiry. For more information on the procedures of every mode, refer to **Standard Maintenance Procedures**.

### To add audit task details

1. Type the fast path **BAM04** and click **Go** or navigate through the menus to **Global Definitions > Other > BA Audit Tasks Maintenance-Inquire**.
2. The system displays the **BA Audit Tasks Maintenance-Inquire** screen.

### BA Audit Tasks Maintenance-Inquire

BA Audit Tasks Maintenance-Inquire\*

Task ID :

Task Description :

**Maintenance Options**

Auditing Flag :  (Y/N)

Inquire :

Add :

Modify :

Delete :

**Record Details**

Input By	Authorized By	Last Mnt. Date	Last Mnt. Action	Authorized
				<input type="checkbox"/>

Add By Copy  Add  Modify  Delete  Cancel  Amend  Authorize  Inquiry

UDF OK Close Clear

## Field Description

Field Name	Description
<b>Task ID</b>	<p>[Mandatory, Pick List]</p> <p>Select the task ID from the pick list.</p> <p>Task ID lists all the transaction codes maintained in the <b>Transaction Mnemonic Codes</b> (Fast Path: BAM15) option.</p> <p>This ID acts like a fast path. The fast path is a mnemonic which allows the user to access the options.</p>
<b>Task Description</b>	<p>[Display]</p> <p>This field displays the description of the selected task code.</p>
<b>Maintenance Options</b>	
<b>Auditing Flag</b>	<p>[Mandatory, Check Box]</p> <p>Select the Auditing Flag check box, to enable the auditing flag.</p> <p>If the check box is selected, the details of the transaction will be recorded and stored for audit purposes.</p> <p>The maintenance options will also be enabled if the auditing flag is selected.</p>
<b>Inquire</b>	<p>[Conditional, Check Box]</p> <p>Select the Inquire check box, if you want the system to record the inquire actions and store the same for audit purposes.</p> <p>If the <b>Inquire</b> check box is selected it enables you to inquire about an authorised record.</p> <p>This field is enabled only if the <b>Auditing Flag</b> check box is selected.</p>
<b>Add</b>	<p>[Conditional, Check Box]</p> <p>Select the Add check box to enable you to add a new record to the selected task id.</p> <p>If the <b>Add</b> check box is selected, the system records the add actions and stores the same for audit purposes.</p> <p>This field is enabled only if the <b>Auditing Flag</b> check box is selected.</p>
<b>Modify</b>	<p>[Conditional, Check Box]</p> <p>Select the <b>Modify</b> check box to enable you to modify a record in the selected task id.</p> <p>If the Modify check box is selected, the system records the modify actions and stores the same for audit purposes.</p> <p>This field is enabled only if the <b>Auditing Flag</b> check box is selected.</p>

Field Name	Description
<b>Delete</b>	<p>[Conditional, Check Box]</p> <p>Select the Delete check box to enable you to delete a record from the selected task id.</p> <p>If the <b>Delete</b> check box is selected, the system records the delete actions and stores the same for audit purposes.</p> <p>This field is enabled only if the <b>Auditing Flag</b> check box is selected.</p>

3. Click the **Add** button.
4. Select the task ID from the pick list.
5. Select the auditing flag check box and the appropriate maintenance option check boxes.

### BA Audit Tasks Maintenance-Inquire

6. Click the **Ok** button.
7. The system displays the message "Record Added...Authorisation Pending..Click Ok to Continue". Click the **OK** button.
8. The audit task is added once the record is authorised.

# BAM10 - Restricted Accounts Maintenance

Using this option you can restrict a particular teller from accessing the details of particular customer or GL accounts.

For example: If the bank decides to restrict the access to income and expenses accounts this option can be used. For a restricted account, the teller is not allowed to post any transaction, inquire, or maintain details.

## Definition Prerequisite

Not Applicable

## Modes Available

Add By Copy, Add, Modify, Delete, Cancel, Amend, Authorize, Inquire. For more information on the procedures of every mode, refer to **Standard Maintenance Procedures**.

## To add a teller restricted account

1. Type the fast path **BAM10** and click **Go** or navigate through the menus to **Transaction Processing > Internal Transactions > Others > Restricted Accounts Maintenance**.
2. The system displays the **Restricted Accounts Maintenance** screen.

## Restricted Accounts Maintenance

Restricted Accounts Maintenance\*

User ID :

Account Type :

Account No :

Customer Name :

Remarks :

Record Details				
Input By	Authorized By	Last Mnt. Date	Last Mnt. Action	Authorized
				<input type="checkbox"/>

Add By Copy  Add  Modify  Delete  Cancel  Amend  Authorize  Inquire

UDF OK Close Clear

## Field Description

Field Name	Description
<b>User ID</b>	<p>[Mandatory, Pick List]</p> <p>Select the user ID from the drop-down list.</p> <p>These user IDs are added and maintained in the <b>Defining User Profile</b> (Fast Path: SMM02) option.</p> <p>Once added, this field cannot be modified or amended.</p>
<b>Account Type</b>	<p>[Mandatory, Drop-Down]</p> <p>Select the account type on which restriction is to be imposed from the drop-down list.</p> <p>The options are:</p> <ul style="list-style-type: none"><li>• Customer A/C: It enables the <b>Account No</b> field in which you enter the customer account number.</li><li>• General Ledger A/C: It enables the <b>Account No</b> field in which you enter the GL account number.</li></ul> <p>Once added, this field cannot be modified or amended.</p>
<b>Account No</b>	<p>[Mandatory, Alphanumeric, 14]</p> <p>Type the account number based on the selected account type.</p> <p>The system does not validate the status of the account.</p>
<b>Customer Name</b>	<p>[Display]</p> <p>This field displays the name of the customer if you select the <b>Customer A/C</b> option from the <b>Account Type</b> drop-down list.</p>
<b>Remarks</b>	<p>[Optional, Alphanumeric, 40]</p> <p>Type the reason for the restriction. This is for information purposes only.</p>

3. Click the **Add** button.
4. Select the user ID from the pick list and the account type from the drop-down list.
5. Enter the account number and press the **<Tab>** or **<Enter>** key.

## Restricted Accounts Maintenance

Restricted Accounts Maintenance\*

User ID :  ...

Account Type :

Account No :

Customer Name :

Remarks :

---

**Record Details**

Input By	Authorized By	Last Mnt. Date	Last Mnt. Action	Authorized
				<input type="checkbox"/>

Add By Copy    Add    Modify    Delete    Cancel    Amend    Authorize    Inquiry

6. Click the **OK** button.
7. The system displays the message "Record Added...Authorisation Pending...". Click the **OK** button.
8. The teller restricted account is added once the record is authorised.