

Oracle Financial Services
Behavior Detection Platform:
Administration Tools User Guide

Release 6.1.1

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Oracle Financial Services Software, Inc.
1900 Oracle Way
Reston, VA 20190

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Oracle Financial Services Software, Inc.
1900 Oracle Way
Reston, VA 20190
Phone: (703) 478-9000
Fax: (703) 318-6340
Internet: www.oracle.com/financialservices

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About this Guide

This guide identifies the four Administration Tools used with the Oracle Financial Services Behavior Detection Platform, and describes how to use them. This chapter details the following:

- Who Should Use this Guide
- Scope of 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 Behavior Detection Platform Administration Tools User Guide, Release 6.1.1, is designed for Data Miners and Oracle Financial Services application Administrators. Their roles and responsibilities include the following:

- **Data Miner:** Accesses the Administration Tools to modify the threshold values used by patterns to detect matches in Firm data.
- **Oracle Financial Services Administrator:** Accesses the Administration Tools to modify the logic parameters used by the system to process matches into alerts, score the alerts, and distribute the alerts. In addition, Oracle Financial Services application Administrator can reload the cache. This user is usually an employee of a specific Oracle Financial Services customer.

Scope of this Guide

This guide describes how to use the Administration Tools to customize the scenario threshold, alert creation, alert scoring, and alert and case assignment criteria.

How this Guide is Organized

The *Oracle Financial Services Administration Tools User Guide*, Release 6.1.1, includes the following chapters:

- Chapter 1, *About the Administration Tools*, describes how to access the tools and identifies what elements are common to all tools.
- Chapter 2, *Scenario Threshold Editor*, describes how to use this tool to modify the threshold values
- Chapter 3, *Alert Creator Editor*, describes how to use this tool to automatically group the matches that share similar information into a single alert. It also explains how to create new rules, modify the logic behind existing rules, and delete rules. The tool also displays the job ID and the job template ID for all the rules created.
- Chapter 4, *Alert Scoring Editor*, describes how to create new rules or modify the logic behind existing rules that prioritize alerts automatically.
- Chapter 5, *Assigner Editor*, describes how to assign ownership of alerts and cases.
- Chapter 6, *Threshold Analyzer*, introduces you the Threshold Analyzer utility and describes how to view and operate the source business and Threshold Analyzer data.
- The *Index* provides access to specific topics for this tool.

Where to Find More Information

For more information about Oracle Financial Services Behavior Detection Platform, refer to the following documents:

- *Oracle Financial Services Behavior Detection Platform Stage 1 Installation Guide*
- *Oracle Financial Services Analytical Applications Infrastructure Installation and Configuration Release 7.3*
- *Oracle Financial Services Enterprise Case Management Stage 3 Installation Guide*
- *Oracle Financial Services Behavior Detection Platform Scenario Manager User Guide*
- *Oracle Financial Services Behavior Detection Platform Service Guide*

To find more information about the Oracle Financial Services and complete product line, visit Web site 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
<i>Italics</i>	<ul style="list-style-type: none">● Names of books, chapters, and sections as references● Emphasis
Bold	<ul style="list-style-type: none">● 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	<ul style="list-style-type: none">● 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>	<ul style="list-style-type: none">● Substitute input value

About the Administration Tools

This chapter describes how to access the Administration Tools in order to configure alert generation process. The following sections are detailed in this chapter:

- About the Administration Tools
- Logging on to the Administration Tools
- Using Common Screen Elements
- Logging off of the Administration Tools
- Saving Changes to a Log File

About the Administration Tools

The application provides the following tools to configure the alert generation process:

- **Scenario Threshold Editor:** This tool is used for modifying the threshold values that patterns use to detect matches. Refer to Chapter 2, *Scenario Threshold Editor*, on page 7, for more information.
- **Alert Creator Editor:** Using this tool you can automatically group matches that share similar information into a single alert. You can create new rules, modify the logic behind existing rules, and delete rules. The tool also displays the job ID and job template ID for all rules created. Refer to Chapter 3, *Alert Creator Editor*, on page 17, for more information.
- **Alert Scoring Editor:** This tool is used for creating new rules or modify the logic behind existing rules that prioritize alerts automatically. Refer to Chapter 4, *Alert Scoring Editor*, on page 27, for more information.
- **Assigner Editor:** This tool is used for assigning ownership of alerts and cases. Refer to Chapter 5, *Assigner Editor*, on page 61, for more information.

Logging on to the Administration Tools

Access to Administration Tools depends on the type of user role assigned by the application administrator. The following rules apply:

- Users assigned to the Data Miner role can access the Scenario Threshold Editor.
- Users assigned to the Administrator role can access the following:
 - User Administration
 - Security Attribute
 - Administration
 - Alert Creator Editor
 - Alert Scoring Editor
 - Assigner Editor

Refer to the *Oracle Financial Services Behavior Detection Platform Administration Guide*, Release 6.1.1, for more information about how to install the tools. Contact your system administrator for the URL to access the Administrator Tools.

Accessing the Administration Tools

To access the Administration Tools, follow these steps:

1. Open the Login Page through your browser..
2. Type in your user ID and password.
3. Click **Login** or press **Enter**. You will be navigated to the Administration Page.
4. Choose the Tool which you want to access from the Administration primary level of navigation menu option. Depending upon your role, possible actions include the following:
 - Threshold Editor
 - Alert Creator
 - Alert Scoring Editor
 - Alert Assigner Editor
 - Security Attribute Administration
 - User Administration

The Administration Tools Overview provides a brief description of each Administration Tool that you can access (Figure 1).

Note: After typing your user ID and password, allow the system adequate time to process your login. If you click **Login** a second time, a *busy page* may display, designating that the Administration Tools are processing the access request. Wait for 10 seconds, then click **Go Back** to redisplay the Login page and log on again.

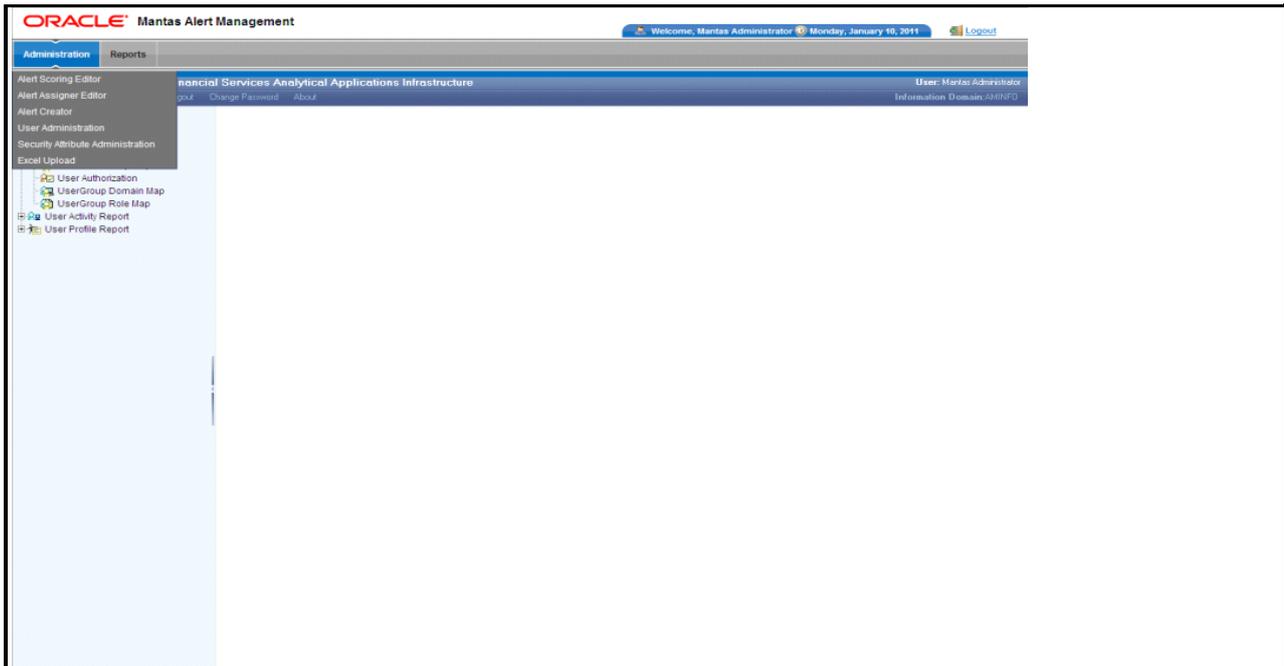


Figure 1. Administration Tools Overview

5. Click the tab of the Administration Tool you want to access.

Depending on your role, the possible tab options include the following:

- Threshold Editor
- Alert Creator
- Alert Scoring Editor
- Alert Assigner Editor
- Security Attribute Administration
- User Administration

Using Common Screen Elements

The following screen elements display and function the same within each of the Administration Tools:

- Help Button
- Icons Button

Help Button

A Help button  displays on the Administration Tools' Context Controls bar above the tab options. Click on **Help** while working in a tool to get the following:

- More detailed information about the tool
- Explanations of the screen elements that comprise the tool
- Definitions of the fields that display on the screen
- *How to* instructions on the tasks that the tool enables you to perform

You can also click **Help** on Overview tab for complete online information of Administration Tools in a HTML Help format.

Icons Button

The Administration Tools contain Icons that enable you to perform actions within the tools. Table 2 describes the icons found within the Administration tools:

Table 2. Icons Used

Icon	Description
 Add	Enables you to add rules.
 Update	Enables you to modify existing rules.
 Delete	Enables you to delete existing rules.
 Expand	Enables you to view threshold history details (only in the Scenario Threshold Editor).
 Contract	Enables you to hide threshold history details (only in the Scenario Threshold Editor).

Logging off of the Administration Tools

To log off of the Administration Tools, follow these steps:

1. Click **Logout** on the navigation bar.

A dialog box displays the following message: *Are you sure you want to log out? If you log out and you have not saved all of your changes, the information will be lost.*

2. Click **OK** to log out.

The Logout page displays.

3. Click **Close Browser** to close your browser.

Saving Changes to a Log File

Before the system accepts any values changed within an Administration Tool, a confirmation dialog box opens asking you to confirm the change by clicking either on **OK** or **Cancel** . When you click **OK**, the system records the changes in a log file with the following information:

- User
- Date and time
- Changed values
- Prechange values

Refer to the *Oracle Financial Services Behavior Detection Platform Administration Guide, Release 6.1.1*, for more information about logging.

Scenario Threshold Editor

This chapter describes how the Scenario Threshold Editor administration tool can be used to modify the threshold values that scenarios use to detect matches. This chapter provides information on the following topics:

- About the Scenario Threshold Editor
- About the Scenario Threshold Editor Screen Elements
- Using the Scenario Threshold Editor

About the Scenario Threshold Editor

When scenarios are created, thresholds are established that enable you to modify the values of these thresholds in a production environment. Once the application is in the production environment, any user assigned the Data Miner role can use the Scenario Threshold Editor to modify threshold values of any installed scenario, and threshold sets to fine-tune how that scenario detects matches. Using this tool, you can enter a new value for a threshold (within a defined range) or reset the thresholds to their sample values.

A scenario is installed using the sample list of thresholds and values. This sample list of thresholds is referred to as the *base threshold set*. During deployment, you can create additional threshold sets to support specific business needs using the Oracle Financial Services Scenario Manager application.

Note: Changing scenario threshold values can generate significantly more or less alerts, depending upon the modifications made.

The following subsections discuss features you encounter while using the Scenario Threshold Editor:

- Threshold Sets
- Inactive Thresholds

For more information about scenarios, refer to the respective Technical Scenario Description document (for example, for trading compliance scenario information, refer to *Oracle Financial Services Trading Compliance Technical Scenario Descriptions Guide, Release 6.1.1*).

Threshold Sets

Threshold sets allow you to run the same scenario multiple times against a variety of sources (for example, exchanges, currencies, or jurisdictions) with separate threshold values for each source.

For example, you may have a scenario with the base threshold set and two additional threshold sets that were created during deployment. You decide that you need this scenario to detect matches in transactions with a minimum value in US currency, European currency, and Japanese currency. Rather than changing the base threshold set for each situation, you can set the value of the base threshold set to detect US currency (for example, USD 100,000), the second threshold set to detect European currency (for example, EUR 150,000), and the third threshold set to detect Japanese currency (for example, JPY 125,000).

Since threshold sets two and three have only a few fields that differ from the base threshold set, you can check the Inherit Base Value check box feature for those fields that are exactly the same as the base threshold set. This feature associates the threshold values in the threshold set you are modifying with the corresponding values in the base threshold set. This association copies the corresponding base threshold set values to the set you are modifying and automatically updates them if the base value changes (refer to *<Scenario-Threshold Set> Area*, on page 12 for more information).

You do not have to run all three jobs all the time. Each threshold set has a unique ID, so you can tell the system which set to run and how often to run it. Refer to your scheduling tool's (for example, Control-M) documentation to sequence these jobs.

Note: Use the Scenario Threshold Editor to modify the values of existing threshold sets. To create new threshold sets, you must use the Oracle Financial Services Scenario Manager application.

Inactive Thresholds

For scenarios to work properly, thresholds that are not being used by a scenario must have their values set to Inactive. The following groups of thresholds can have values set to Inactive:

- Mutually Exclusive Thresholds
- Additional Scenario Thresholds

Mutually Exclusive Thresholds

In some situations, scenarios apply the value of one threshold only when the value of another threshold is set to *N* for no. These types of thresholds are referred to as a *mutually exclusive* thresholds.

For example, the use of the *Included Jurisdiction Codes* threshold is contingent upon the value of the *All Jurisdictions* threshold.

Table 3 shows how mutually exclusive thresholds work in two different situations.

Table 3. Mutually Exclusive Thresholds

Threshold	Situation 1	Situation 2
All Jurisdictions	Y	N
Included Jurisdiction Codes	Inactive	North, East

If the value of the *All Jurisdictions* threshold is set to Y for yes (Situation 1), then the *Included Jurisdiction Codes* threshold values are not used and have the value set to Inactive. Conversely, if the value of the *All Jurisdictions* threshold is set to N for no (Situation 2), then the scenario only uses the value specified by the *Included Jurisdiction Codes* threshold (that is, North, East).

Additional Scenario Thresholds

Your deployment may not need to utilize all the thresholds established within a particular scenario. The mutually exclusive thresholds not used by the scenario are set to Inactive.

About the Scenario Threshold Editor Screen Elements

The following screen elements display in the Scenario Threshold Editor (Figure 2):

- Search Bar
- <Scenario–Threshold Set> Area

ORACLE Mantas Alert Management

Welcome, Super User Monday, January 10, 2011 Change Password Logout

Administration Reports

Administration >> Scenario Threshold Editor Help

Filter by: Scenario: Unfair Alloc Dist (114690104) - PORTFOLIO_MGR
 Threshold Set: BASE THRESHOLD SET Do It

Review these thresholds and modify their values accordingly. Some thresholds are mutually exclusive. Please type "Inactive" as the value of any mutually exclusive threshold that you are not using. Refer to the Online Help for detailed information.

(AM/PM) Unfair Allocation Distribution - BASE THRESHOLD SET
 Threshold Editor

Name	Description	Current Value	New Value	Min Value	Max Value	Sample Value	Data Type
All Account Products	This parameter allows coverage of all account products without enumerating them in the Included Account Products threshold. Y: Cover all account products regardless of the Included Account Products threshold value. N: Cover only those account products that are listed in the Included Account Products threshold value.	Y	Y	--	--	Y	STRING
All Jurisdictions	Parameter allows coverage of all jurisdictions without enumerating them in the Included Jurisdiction Codes threshold. Y: Cover all jurisdictions regardless of the Included Jurisdiction Codes threshold value. N: Cover only those jurisdictions that are listed in the Included Jurisdiction Codes threshold value.	Y	Y	--	--	Y	STRING
Included Account Products	The list of account products covered by the scenario.	Inactive	Inactive	--	--	Inactive	LIST
Included Jurisdiction Codes	The list of jurisdiction codes covered by the scenario. The client defines the allowable values.	Inactive	Inactive	--	--	Inactive	LIST
Min # Standard Deviations	Minimum number of standard deviations from the average above which an account's allocation percentage will generate an alert.	1.0	1.0	0.0	4.0	1.0	REAL
Min % Accounts Managed	Minimum percentage of the total number of accounts managed by the Portfolio Manager above which the number of accounts included in an order is eligible for alert generation.	5	5	0	100	5	REAL
Min Acct Alloc % Spread	Minimum spread (points) between the Account Allocation %'s for two accounts. Applicable only in the case where exactly two accounts were included in an order.	1	1	0	100	1	REAL

Add A Comment
 Type between 3 and 4,000 characters in the Comment text area.

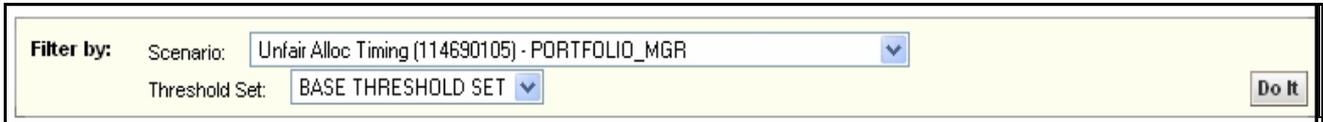
The text area contains 0 characters.

Save Cancel

Figure 2. Scenario Threshold Editor

Search Bar

The search bar allows you to search for threshold values by selecting a specific scenario and threshold set (Figure 3).



The screenshot shows a search bar with a yellow background. On the left, it says "Filter by:". To the right of this are two dropdown menus. The first is labeled "Scenario:" and contains the text "Unfair Alloc Timing (114690105) - PORTFOLIO_MGR". The second is labeled "Threshold Set:" and contains the text "BASE THRESHOLD SET". To the right of these dropdowns is a button labeled "Do It".

Figure 3. Search Bar

The components of the search bar includes the following:

- **Filter by: Scenario** drop-down list: Provides a list of scenarios displayed by the scenario's short name, ID number, and focus type (for example, Avoid Report Thresh (106000129) – ACCOUNT).
- **Filter by: Threshold Set** drop-down list: Provides a list of Threshold Sets associated with the scenario displayed in the Scenario drop-down list. The base threshold set displays first, followed by additional threshold sets listed in ascending alphabetical order.
- **Do It** button: When clicked, displays the threshold values for the scenario and threshold set selected in the search bar.

<Scenario-Threshold Set> Area

The <Scenario-Threshold Set> Area displays the list of threshold values for a selected scenario and threshold set (Figure 4). This list displays after you select a scenario and threshold set in the search bar and click **Do It**.

Review these thresholds and modify their values accordingly. Some thresholds are mutually exclusive. Please type "Inactive" as the value of any mutually exclusive threshold that you are not using. Refer to the Online Help for detailed information.

(AM/PM) Unfair Allocation Distribution - BASE THRESHOLD SET

Threshold Editor

Name	Description	Current Value	New Value	Min Value	Max Value	Sample Value	Data Type
 All Account Products	This parameter allows coverage of all account products without enumerating them in the Included Account Products threshold. Y: Cover all account products regardless of the Included Account Products threshold value. N: Cover only those account products that are listed in the Included Account Products threshold value.	'Y'	<input type="text" value="' Y '"/>	--	--	'Y'	STRING
 All Jurisdictions	This parameter allows coverage of all jurisdictions without enumerating them in the Included Jurisdiction Codes threshold. Y: Cover all jurisdictions regardless of the Included Jurisdiction Codes threshold value. N: Cover only those jurisdictions that are listed in the Included Jurisdiction Codes threshold value.	'Y'	<input type="text" value="' Y '"/>	--	--	'Y'	STRING
 Included Account Products	The list of account products covered by the scenario.	'Inactive'	<input type="text" value="' Inactive '"/>	--	--	'Inactive'	LIST
 Included Jurisdiction Codes	The list of jurisdiction codes covered by the scenario. The client defines the allowable values.	'Inactive'	<input type="text" value="' Inactive '"/>	--	--	'Inactive'	LIST
 Min # Standard Deviations	Minimum number of standard deviations from the average above which an account's allocation percentage will generate an alert.	1.0	<input type="text" value="1.0"/>	0.0	4.0	1.0	REAL
 Min % Accounts Managed	Minimum percentage of the total number of accounts managed by the Portfolio Manager above which the number of accounts included in an order is eligible for alert generation.	5	<input type="text" value="5"/>	0	100	5	REAL
 Min Acct Alloc % Spread	Minimum spread (points) between the Account Allocation %'s for two accounts. Applicable only in the case where exactly two accounts were included in an order.	1	<input type="text" value="1"/>	0	100	1	REAL

Add A Comment

Type between 3 and 4,000 characters in the Comment text area.

The text area contains characters.

Figure 4. <Scenario-Threshold Set> Area

The <Scenario-Threshold Set> Area includes the following components and contents:

- Long name of the scenario and the name of the threshold set in the title of the <Scenario-Threshold Set> bar.
- List of scenario thresholds by threshold name, sorted in ascending alphabetical order.
- Threshold information as follows:
 - **Threshold History Icon:** Expands or contracts the Threshold History inset that displays a history of all modifications to the selected threshold value in reverse chronological order by creation date. Information displayed includes the creation date, user name, threshold value, and any

comment associated with the threshold value change.

If comments are displayed and the comment text consists of more than 100 characters, the Scenario Threshold Editor displays the first 100 characters followed by an ellipsis (...) indicating that more text is available. When you click the ellipsis, the entire comment displays in the Expanded Comments dialog box for ease of viewing.

- **Name:** Displays the name of the threshold.
- **Description:** Displays the description of the threshold.
- **Current Value:** Displays the current value of the threshold. If the data type of the threshold is *LIST*, multiple values are displayed in a comma-delimited list, with each value contained in single quotes (' '). Thresholds with an *Inactive* current value are not being used by the scenario (refer to *Inactive Thresholds*, on page 8 for more information).
- **Inherit Base Value:** Enables you to select the check box to apply the corresponding threshold values from the base threshold set to the threshold set displayed. Selecting the check box disables the New Value text box. This option does not display for the base threshold set.
- **New Value:** Displays the current value of the threshold in the editable New Value text box if the Inherit Base Value check box is not selected. If the data type for the threshold is *LIST*, multiple values are displayed in a comma-delimited list, with each value contained in single quotes (' ').
- **Min Value:** The minimum value of the threshold.
- **Max Value:** The maximum value of the threshold.
- **Sample Value:** The sample value of the threshold.
- **Data Type:** The type of data that is utilized by a threshold in a scenario. There are five data types: Integer, Boolean, Real, String, and List. Place your cursor over this value to display the threshold unit of measure (for example, days, percentage, or distance).
- **Add A Comment:** Provides a place to type comments. When you type a comment and click **Save**, the same comment is applied to each modified threshold.
- **Restore Samples Values:** Restores all thresholds within the selected scenario threshold set to the sample values
- **Save:** Saves all modifications to the database.
- **Cancel:** Redisplays the Scenario Threshold Editor without the <Scenario-Threshold Set> Area and does not save your changes.

Using the Scenario Threshold Editor

The Scenario Threshold Editor configures scenario threshold values by:

- Providing threshold values for a specific scenario and threshold set
- Accepting and validating user-entered threshold values
- Saving the modified threshold values to the database

This section explains the following functions of the Scenario Threshold Editor:

- Changing a Scenario Threshold
- To Reset a Scenario Threshold to the Sample Values
- Viewing a Scenario Threshold's History
- To View Expanded Comments

Changing a Scenario Threshold

To change a scenario threshold value, follow these steps:

1. Select the desired scenario from the **Filter by: Scenario** drop-down list.
2. Select the desired threshold set from the **Filter by: Threshold Set** drop-down list.
3. Click **Do It**.
4. The system displays the threshold values for the scenario and threshold set selected.
5. Type a new value in the **New Value** box for each threshold that you wish to update.

If you are not updating a base threshold set, you can inherit corresponding values from the base threshold set by checking the **Inherit Base Value** check box.

Optional: Enter any comments in the **Add A Comment** text box.

6. Click **Save**.

The new threshold values display in the Threshold List for <Scenario-Threshold Set>.

Resetting a Scenario Threshold to the Sample Values

To reset a scenario's threshold sample values, follow these steps:

1. Select the desired scenario from the **Filter by: Scenario** drop-down list.
2. Select the desired threshold set from the **Filter by: Threshold Set** drop-down list.
3. Click **Do It**.

The system displays the threshold values for the scenario and threshold set selected.

4. Click **Restore Sample Values** button.

The Confirmation dialog box displays the following message: *Are you sure you want to restore the threshold values of the displayed threshold set to their sample values?*

To restore thresholds that have the Inherit Base Value check box selected, you must clear the check box. Click **OK** to return to the Threshold Editor with the sample values displayed, then click **Save**. Click **Cancel** to retain the current values.

5. Click **OK**.

The dialog box closes and the sample values display in the [Scenario-Threshold Set] Area.

6. Click **Save**.

The database is updated to reflect the changes.

Viewing a Scenario Threshold's History

To view the modification history for a specific threshold, follow these steps:

1. Click **Expand** next to the desired threshold.

The Threshold History inset displays with the history for the threshold selected.

2. Click **Contract** next to the threshold to hide the Threshold History inset.

Viewing Expanded Comments

To view an expanded comment in the Scenario Threshold inset, follow these steps:

1. Click the **ellipsis (...)** at the end of the comment in the Scenario Threshold inset.

The entire comment, up to 4,000 characters, displays in the Expanded Comments dialog box (Figure 5).

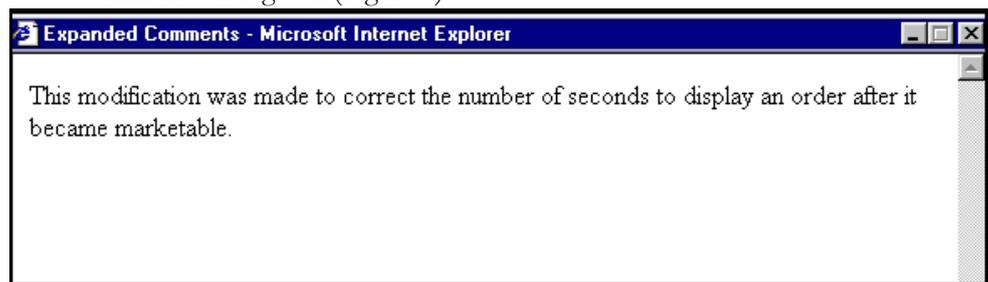


Figure 5. Example Expanded Comment Dialog Box

2. Click **X (Close button)** on the top right corner to close the dialog box.

Alert Creator Editor

This chapter describes how to use the Alert Creator Editor administration tool to automatically group matches that share similar information into a single alert that is centered on the same focal entity. You can create new rules, modify the logic behind existing rules, and delete rules. The tool also displays the job ID and job template ID associated with each rule. This chapter focuses on the following topics:

- About the Alert Creator Editor
- About the Alert Creator Editor Screen Elements
- Using the Alert Creator Editor

About the Alert Creator Editor

By design, the application is configured to run a system job that generates an alert for every match detected. To increase work efficiency, you can use this tool to create custom jobs to run *before* the system job that group matches and share similar information into a single *multi-match* alert. The system job runs last to generate alerts for any matches that cannot be grouped.

The Alert Creator Editor enables you to view the logic used to group matches into alerts and allows you to add, delete, or update the logic. In addition, the Alert Creator Editor creates and updates the jobs that execute the rules and creates and updates job templates associated to the job for the particular rule.

Alert Creator Rule Guidelines

The following guidelines apply to the Alert Creator Editor:

- Each Alert Creation Rule is associated with a focus type. Matches grouped into an alert must share the same value for a given focus type. For example, account-focused matches that share the account identifier *12345* are grouped to create one alert, while account-focused matches with the account identifier *12346* are grouped into another alert.
- Each Alert Creation rule can also specify zero (0) or more additional bindings that must be shared by all matches.

Bindings are variables captured in a scenario pattern.

- Each binding must be attributed as mandatory (!) or conditional (?). If a binding is specified as mandatory, all matches grouped together must have the same binding and the same value for that binding. If a binding is specified as conditional, matches that have that binding and have the same value for that binding is grouped together; matches that do not have this binding is grouped together.

For example, !FIRM ?ISSUE, wherein FIRM is the mandatory binding and ISSUE is conditional binding. In other words, for an alert to be created, each group must have a FIRM binding in which the values for that binding must match. In addition to FIRM binding, each group must either have an ISSUE binding in which the values match or each must be missing the ISSUE binding.

Note: You can select only those bindings that represent focal entities.

- One of three strategies must be selected for each Alert Creation rule. The strategies specify whether the same pattern, scenario, or scenario class must have generated all matches.

When you have finished using the Alert Creator Editor, you need to adjust the sequencing of the associated jobs. The following guidelines apply to job sequencing:

- To adjust the sequencing of the jobs, refer to your scheduling tool's documentation (for example, Control-M) to resequence the associated jobs. The Job ID and Job Template ID's associated with each rule are identified in both the Alert Creator Rule List and the Alert Creator Editor pages.
- Alert Creation jobs must run in a specified order (most specific to most general). If general jobs are run first, the matches would be grouped into one large (general group) alert as opposed to multiple (specific group) alerts.
- The system job must run after all other grouping jobs to create alerts for each match that could not be grouped, based on the defined grouping rules.

Note: Job Template IDs for all jobs are provided at deployment.

About the Alert Creator Editor Screen Elements

There are two pages associated with the Alert Creator Editor:

- **Alert Creator Rule List:** This is the first page displayed when you access the Alert Creator Editor. You can add or delete a rule from this page, or navigate to the Alert Creator Rule Editor to add or modify a rule. Refer to the *Alert Creator Rule List*, on page 19 for more information.
- **Alert Creator Rule Editor:** This page enables you to add or modify a rule. Refer to the *Alert Creator Rule Editor*, on page 21 for more information.

Alert Creator Rule List

The Alert Creator Rule List displays all rules sorted by Focus, Elements, and then Group Matches (Figure 6).

).

Focus	Elements	Group Matches	Job ID	Job Template ID		
ISECURITY		Scenario Class	113000003	502		
IACCOUNT		Scenario Class	113000004	502		
ICUSTOMER		Scenario Class	113000005	502		
ICLIENT_BANK		Scenario Class	113000006	502		
IORDER		Scenario Class	113000007	502		
IEXECUTION		Scenario Class	113000008	502		
IEMPLOYEE		Scenario Class	113000009	502		
ITRADER		Scenario Class	113000010	502		
IREP		Scenario Class	113000011	502		
IEXTERNAL_ENTITY		Scenario Class	113000012	502		
IADDRESS		Scenario Class	113000013	502		
IHOUSEHOLD		Scenario Class	113000014	502		
INVSMT_MGR		Scenario Class	113000020	502		
IORG		Scenario Class	113000021	502		
IPORTFOLIO_MGR		Scenario Class	113000022	502		
IONLINE_ACCT		Scenario Class	113000024	502		

Figure 6. Alert Creator Rule List

The components of the Alert Creator Editor include the following:

- **Alert Creator Rule List:** Displays all rules with the following columns of information:
 - The Focus column displays the focus (first binding) of the rule.
 - The Elements column displays the bindings, other than focus, of the rule. A space (“ ”) displays between each set of operator and focus type values, for example, !SECURITY !EMPLOYEE ?FIRM.
 - The Group Matches column displays the Alert Creation Rule strategy. For example, Pattern, Scenario or Scenario Class.
 - The Job ID column displays the job number of the rule.
 - The Job Template ID displays the job ID template used to create the job referenced in the Job ID column.
- **Add button:** Navigates you to the Alert Creator Rule Editor to create a new rule.
- **Update button:** Navigates you to the Alert Creator Rule Editor to modify the selected rule.
- **Delete button:** Deletes the selected rule.

Alert Creator Rule Editor

From the Alert Creator Rule Editor, you can create a new rule or update an existing rule (Figure 7).

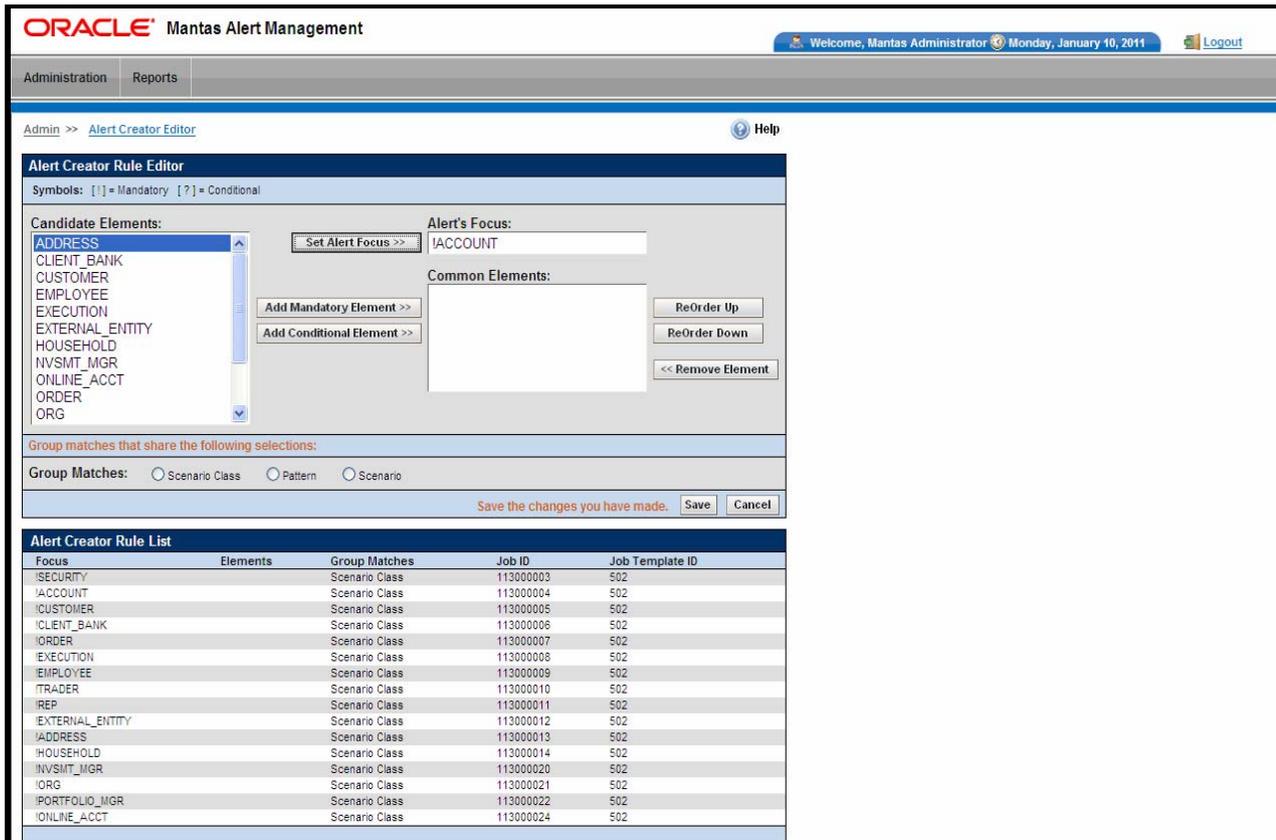


Figure 7. Alert Creator Rule Editor

The basic screen elements on the Alert Creator Rule Editor page are categorized into two areas:

- The Alert Creator Rule Editor area where you can create or update a rule.
- The Alert Creator Rule List that displays the rule's Focus, Elements, Group Matches, Job IDs, and Job Template IDs (but does not contain the Update or Delete buttons). Refer to the *Alert Creator Rule List*, on page 19 for more information.

The components of the Alert Creator Rule Editor include the following:

- **Candidate Elements** list box: Displays available elements in ascending alphabetical order.
 - When you select **Add**, the Candidate Elements list box is populated with a value for the full name of each focus.
 - When you select **Update**, the Candidate Elements list box is populated with a value for the full name of each focus type that is not associated with the rule being updated as either the Alert's focus or a common element.
- **Alert's Focus** text box: The focus of the resulting alert.
 - When you select **Add**, the **Alert's Focus** text box displays as blank (“ ”).
 - When you select **Update**, the **Alert's Focus** text box displays with the value representing the focus of the selected rule.
- **Common Elements** list box: Displays elements in the sequence in which they are associated to the rule. Common elements are the additional bindings that must be shared by matches to be grouped.
 - When you select **Add**, the Common Elements list box displays as blank (“ ”).
 - When you select **Update**, the Common Elements list box displays a value representing the common elements of the selected rule.
- **Group Matches** options: Displays options to group matches that share the same **Pattern**, **Scenario**, or **Scenario Class**.
 - When you select **Add**, a Group Matches option is not selected.
 - When you select **Update**, the Group Matches displays the translation of the Alert Creation Rule strategy of the associated rule.
- **Set Alert Focus** button:
 - Replaces any existing value in the Alert's Focus box with the value selected in the Candidate Elements list box.
 - Resets the Common Elements list box by removing any values in the Common Elements list box.
 - Resets the Candidate Elements list box by displaying a value for every focus type, except the value selected as the Alert's focus.

- **Add Mandatory Element button:**
 - Adds the value selected in the Candidate Elements list box as the last value listed in the Common Elements list box.
 - Prepends an exclamation point (!) to the value added to the Common Elements list box.
 - Removes the selected value from the Candidate Elements list box.
- **Add Conditional Element button:**
 - Adds the value selected in the Candidate Elements list box as the last value listed in the Common Elements list box.
 - Prepends a question mark (?) to the value added to the Common Elements list box.
 - Removes the selected value from the Candidate Elements list box.
- **ReOrder Up button:** Reorders the sequence of the displayed common elements by shifting the selected value above the preceding value.
- **ReOrder Down button:** Reorders the sequence of the displayed common elements by shifting the selected value below the following value.
- **Remove Element button:**
 - Removes the selected element value from the Common Elements list box.
 - Adds the selected value without the exclamation point (!) or question mark (?) to the Candidate Elements list box.
- **Save button:** Saves the rule.
- **Cancel button:** Navigates to the Alert Creator Rule List and does not create the rule or update the existing rule.

Using the Alert Creator Editor

This section explains how to perform the following functions using the Alert Creator Editor:

- Adding a Rule
- Modifying a Rule
- Deleting a Rule

Adding a Rule

To add a new rule to the Alert Creator Rule List, follow these steps:

1. Click **Add**.

The Alert Creator Rule Editor displays.

2. Select an element in the Candidate Elements list that you want to use as the focus for the rule.
3. Click **Set Alert Focus** to move the element you selected in the Candidate Elements list box to the **Alert's Focus** text box.

The element is removed from the Candidate Elements list box and displays in the **Alert's Focus** text box, preceded by a !.

4. Select an element in the Candidate Elements list box that you want to assign as a mandatory element.
5. Click **Add Mandatory Element** to add the selected element to the Common Elements list box.

The element is removed from the Candidate Elements list box and displays in the Common Elements list box, preceded by a !.

6. Select an element in the Candidate Elements list box that you want to assign as a conditional element.

Selecting a conditional element is optional. Proceed to Step 9, if you do not add a conditional element.

7. Click **Add Conditional Element** to add the selected element to the Common Elements list box.

The element is removed from the Candidate Elements list box and displays in the Common Elements list box, preceded by a ?.

8. Click the desired **Group Matches** option.
9. Click **Save**.

The Confirmation dialog box displays.

10. Click **OK**.

The system creates a new alert creation job template and creates and associates a new job based on the new job template to the new rule

Note: It is not important whether you specify mandatory elements before conditional elements. You should add elements to the Common Elements list box in the order in which you want the application to evaluate the elements. Use the **ReOrder Up** and **ReOrder Down** buttons to make those adjustments. In addition, you can repeat Step 4 through Step 7 as needed for your rule.

Modifying a Rule

To modify an existing rule in the Alert Creator Rule List, follow these steps:

1. Select the rule and click **Update**.

The Alert Creator Rule Editor displays.

2. Update the **Candidate Elements**, **Alert's Focus**, and **Common Elements** values.

Changing the focus of a rule, in the **Alert's Focus** text box, returns all elements in the Common Elements list to the Candidate Elements list, which requires you to specify new common elements for the new focus.

3. Click the desired **Group Matches** option, if applicable.

4. Click **Save**.

The Confirmation dialog box displays.

5. Click **OK**.

The system updates the strategy of the existing alert creation rule to the option selected in **Group Matches**.

Also, the system updates the binding of the existing alert creation rule by concatenating the following:

- An exclamation point with the value selected in the **Alert's Focus** field.
- The symbol (that is, ! or ?).
- Value for each value listed in the Common Elements list box.

Deleting a Rule

To delete an existing rule from the Alert Creator Rule List, follow these steps:

1. Select the rule and click **Delete**.

The system displays a Confirmation dialog box with a message: *Do You want to delete the selected Alert Creation Rule?*

2. Click **OK**.

The system deletes the job associated to the rule and deletes the job template associated with the job for the selected rule.

Alert Scoring Editor

This chapter describes how to use the Alert Scoring Editor administration tool to create new rules or modify the logic behind existing rules that prioritize alerts automatically:

- About the Alert Scoring Editor
- Scoring Match Strategies
- About the Alert Scoring Editor Screen Elements
- Using the Alert Scoring Editor
- Using the Scoring Editors

About the Alert Scoring Editor

The score of an alert is a measure of priority or risk that an analyst can use to determine the appropriate sequence in which to investigate alerts. Depending upon the configuration of your specific installation, the alert score may also determine whether the system closes the alert automatically. The system bases the score of an alert on the score of the matches that compose it. Match scoring computes the score for individual matches to provide an initial prioritization. This dependency implies that scoring of matches must occur *before* the determination of an alert's score.

The Alert Scoring Editor allows you, the application Administrator, to view, modify, or delete the rules that the system uses to determine the score for matches and alerts. You can also create or modify existing match scoring rules for each Scenario, and variations of each rule for each Threshold Set in a Scenario. In the Alert Scoring Editor, you can view a history of changes to each rule and its variations.

Scoring Match Strategies

Scoring of matches can occur using any combination of the following strategies:

- **Simple Lookup:** Criteria can be established that increment a match's score by a pre-defined value (when satisfied in match information).

For example, If the match focuses on high-risk entity, increment the score by 25.

- **Graduated Value:** Criteria can be established that increment a score based on the value of a match's attributes as compared to a graduated scale. Determination of the graduated scale establishes a minimum value, a minimum score, a maximum value, and a maximum score. The system determines the relative score for all values between the minimum and maximum values.

For example, If the dollar value of the match is less than or equal to USD 10,000, increment the score by 20. If the dollar value is greater than or equal to USD 10,000,000, increment the score by 60. The system determines the appropriate score between 20 and 60 for any match with a dollar value between USD 10,000 and USD 10,000,000.

The Graduated Value strategy also supports scoring in which an alert's score increases by a greater amount when the value of a match's attribute nears or exceeds the minimum value, rather than the maximum value.

- **Prior Matches:** Criteria can be established that increment a match's score based not on attributes of the match, but on the quantity of matches focused on the same entity as the match and generated by the same scenario or scenario class as the match. A look back period limits the strategy to count only matches generated in the last *N* days.

For example, For each match on an entity and scenario AA within the last 10 days, increment the score by five (5).

The Prior Matches scoring strategy also supports scoring in which the score of an alert increases by a greater amount when the number of occurrences nears or exceeds the minimum value, rather than the maximum value.

- **Simple Scenario:** Criteria can be established that increment the score if a specific scenario generated the match.

For example, If an Account scenario (AC) generated the match, increment the score by 10.

About the Alert Scoring Editor Screen Elements

The Alert Scoring Editor provides information in two areas:

- **Alert Scoring Editor:** Displays when accessing the Alert Scoring Editor Administration Tool. You can navigate to a Scoring Rule Editor List page to add, modify, or delete a rule. In addition, you can change the Alert Scoring Strategy. Refer to *Alert Scoring Editor*, on page 29 for more information.
- **Alert Scoring Strategy Selector with Match Scoring Rule List:** Enables you to add, modify, or delete a rule using one of the following match scoring rule editors:
 - Simple Lookup Scoring Editor (Refer to *Simple Lookup Scoring Rule Editor*, on page 34 for more information.)
 - Graduated Value Scoring Editor (Refer to *Graduated Value Scoring Rule Editor*, on page 38 for more information.)
 - Prior Matches Scoring Editor (Refer to *Prior Matches Scoring Rule Editor*, on page 41 for more information.)
 - Simple Scenario Scoring Editor (Refer to *Simple Scenario Scoring Rule Editor*, on page 46 for more information.)

Note: For a Scenario Class, you can modify or delete an existing rule. For a Scenario, you can create a new rule, or modify or delete an existing rule.

Alert Scoring Editor

Select a Scenario Class or a Scenario in the Alert Scoring Editor (Figure 8) to display all alert scoring rules that relate to that Scenario Class or Scenario.

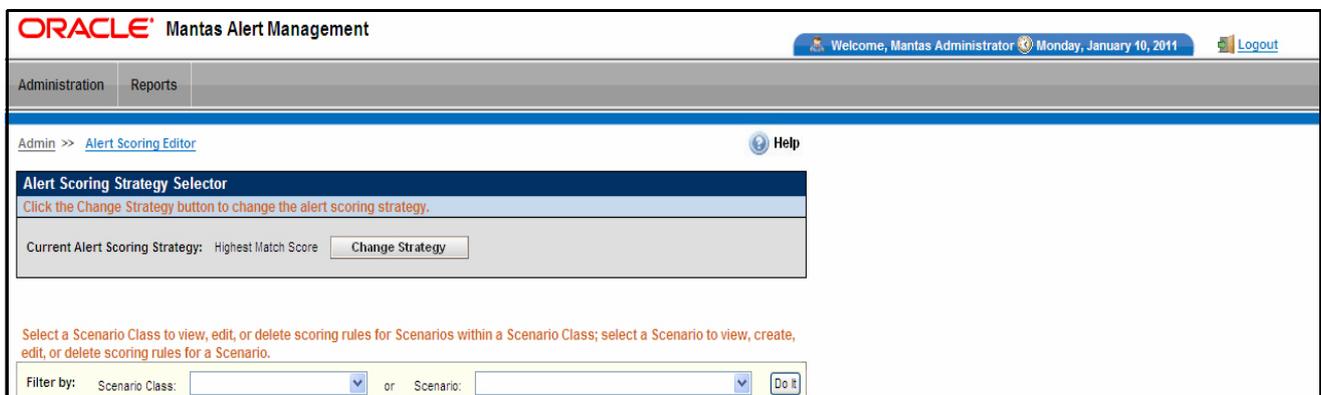


Figure 8. Alert Scoring Editor

The Alert Scoring Editor includes the following components:

- Alert Scoring Strategy Selector
- Search Bar
- Alert Scoring Strategy Selector with Match Scoring Rule Lists

Alert Scoring Strategy Selector

The Alert Scoring Strategy Selector allows you to view and change the strategy for alert scoring (Figure 9).

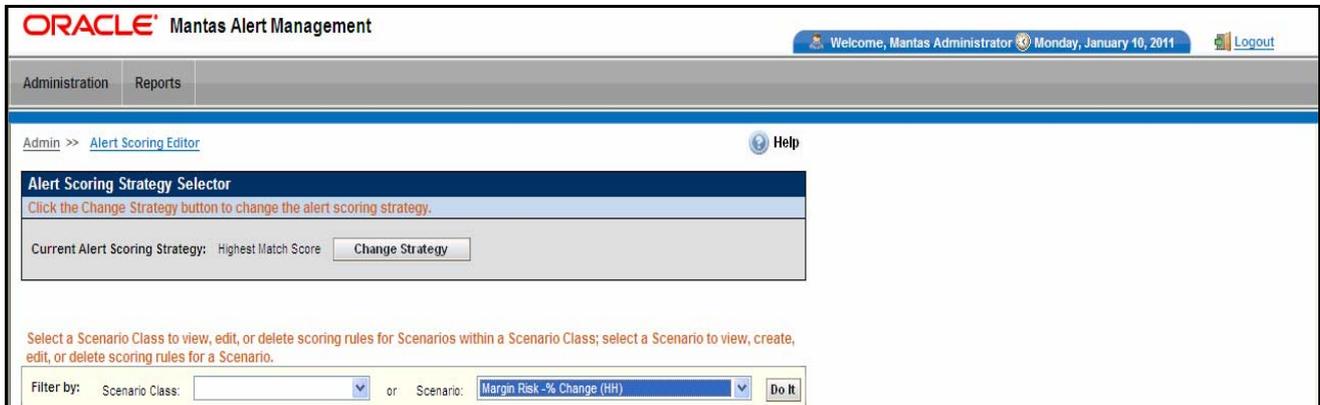


Figure 9. Alert Scoring Strategy Selector

Click **Change Strategy** to display the following screen elements in the Alert Scoring Strategy Selector:

- **Current Alert Scoring Strategy:** Displays the name of the currently set alert scoring strategy.
- **New Alert Scoring Strategy** option buttons: Enables you to select an alert scoring strategy of Highest Match Score or Average Match Score.
 - **Highest Match Score:** Bases the score of an alert on the most critical match associated with the alert. The system assigns the alert a score equal to the highest score of any of the associated matches.

For example:

Match 1	Score = 40
Match 2	Score = 80
Match 3	Score = 60
Alert	Score = 80

- Average Match Score:** Assigns an alert a score equal to the average of the scores of the associated matches. The system sums each of the score's associated matches and divides the total by the quantity of related matches.

For example:

Match 1	Score = 40
Match 2	Score = 80
Match 3	Score = 60
Alert	Score = 60 $((40+80+60)/3)$

- Save button:** Saves the new alert scoring strategy.

Note: If you change the scoring strategy, a confirmation dialog box displays prompting you to confirm the change. Click **OK** to continue and save the new strategy.
- Cancel button:** Redispays the Alert Scoring Editor without a change to the alert scoring strategy.

Search Bar

The search bar allows you to filter the list of match scoring rules by Scenario Class or Scenario (Figure 10).



Figure 10. Alert Scoring Editor Search Bar

Components of the search bar include the following:

- Filter by: Scenario Class** drop-down list: Provides all installed Scenario Classes. The values in the Scenario Class drop-down list display in alphabetically ascending order.

If you select a Scenario Class, you cannot select a Scenario from the **Scenario** drop-down list.
- Filter by: Scenario** drop-down list: Provides valid long names of all installed Scenarios. Values in the Scenario drop-down list display in alphabetically ascending order by scenario long name.

If you select a Scenario, you cannot select a Scenario Class from the Scenario Class drop-down list.
- Do It** button: Displays all match scoring rules that relate to the selected Scenario Class or Scenario.

Alert Scoring Strategy Selector with Match Scoring Rule Lists

The Match Scoring Rule List displays below the Alert Scoring Search Bar after you select a Scenario Class or Scenario and click **Do It**. Within the Match Scoring Rule List, each match scoring strategy displays for the selected Scenario Class or Scenario (Figure 11).

The screenshot shows the Oracle Mantas Alert Management interface. At the top, there is a navigation bar with "Administration" and "Reports" tabs. Below this, the "Alert Scoring Editor" page is displayed. The "Alert Scoring Strategy Selector" section shows the current strategy as "Highest Match Score" with a "Change Strategy" button. Below this, there is a filter section with "Scenario Class" set to "Customer Risk and Suitability" and a "Do It" button. The "Match Scoring Rule List for Customer Risk and Suitability" section contains four tables, each representing a different scoring strategy. Each table has a header row and a body row indicating that no rules currently exist for the selected scenario or class.

Scenario	Match Binding	Operator	Value	Score
No scoring rules of this type currently exist for the selected scenario or scenario class.				

Scenario	Match Binding	Min Value	Min Score	Max Value	Max Score
No scoring rules of this type currently exist for the selected scenario or scenario class.					

Scenario	Min Number Matches	Min Score	Max Number Matches	Max Score	Look Back	Within	Closing Classification
No scoring rules of this type currently exist for the selected scenario or scenario class.							

Scenario	Scenario	Score
No scoring rules of this type currently exist for the selected scenario or scenario class.		

Figure 11. Alert Scoring Strategy Selector - Match Scoring Rule List

The Match Scoring Rule List includes the following components:

- Areas that contain the list of rules for each of the various match scoring strategies:
 - **Simple Lookup Scoring Rule List:** Displays the Scenario, Match Binding, Operator, Value, and Score columns for each base scoring rule. Refer to *Simple Scoring Rule Editor Components*, on page 35 for column descriptions.

- **Graduated Value Scoring Rule List:** Displays the Scenario, Match Binding, Min Value, Min Score, Max Value, and Max Score columns for each base scoring rule. Refer to *Graduated Value Scoring Rule Editor Components*, on page 38 for column descriptions.
 - **Prior Matches Scoring Rule List:** Displays the Scenario, Min Number Matches, Min Score, Max Number Matches, Max Score, Look Back, and Within columns for each base scoring rule. Refer to *Prior Matches Scoring Rule Editor Components*, on page 42 for column descriptions.
 - **Simple Scenario Scoring Rule List:** Displays the Scenario (within rule text) and Score columns for each base scoring rule. Refer to the *Simple Scenario Scoring Rule Editor Components*, on page 47 for column descriptions.
- **Add** button: Navigates you to the associated Match Scoring Rule Editor.
- Note:** The **Add** button is available only if you select an option in the **Scenario** drop-down list.
- **Update** button: Navigates you to the associated Alert Scoring Editor.
 - **Delete** button: Deletes the match scoring rule.

Scoring Rule Variation List

Scoring Rule Variation List displays after clicking either the **Add** or **Update** button in any scoring rule list (Figure 12 illustrates the Simple Lookup Scoring Rule Variation List). This list contains attributes of Threshold rule variations, which depend on the scoring rule that you use.

Simple Lookup Scoring Rule Editor

Scenario: (MLAC) Deposits / Withdrawals in Same or Similar Amounts

Use these fields to edit the logic of the Base Threshold Set rule. Then click the Refresh button and edit the values of the rule variations in the Scoring Rule Variation List.

If increase score by .

Select the Refresh button to update the rule variations below.

Scoring Rule Variation List

View the history of all rules or edit the values of the rule variations below.

Threshold Set	Match Binding	Operator	Value	Score	Inherit
+ BASE THRESHOLD SET	tot trans ct	=	200	5	
+ Cash-Credit	tot trans ct	=	<input type="text" value="200"/>	<input type="text" value="5"/>	<input checked="" type="checkbox"/>
+ Cash-Debit	tot trans ct	=	<input type="text" value="200"/>	<input type="text" value="5"/>	<input checked="" type="checkbox"/>
+ EFT-Credit	tot trans ct	=	<input type="text" value="200"/>	<input type="text" value="5"/>	<input checked="" type="checkbox"/>
+ EFT-Debit	tot trans ct	=	<input type="text" value="200"/>	<input type="text" value="5"/>	<input checked="" type="checkbox"/>
+ MI-Credit	tot trans ct	=	<input type="text" value="200"/>	<input type="text" value="5"/>	<input checked="" type="checkbox"/>
+ MI-Debit	tot trans ct	=	<input type="text" value="200"/>	<input type="text" value="5"/>	<input checked="" type="checkbox"/>

Figure 12. Simple Lookup Scoring Rule Editor—Scenario Filtering

The variation list contains the same components as those in the Scoring Rule Editor as well as the following:

- **+ Icon (Threshold History):** Opens a window below the selected Threshold that contains a scrollable list of modifications to a rule variation for a Threshold (Figure 13).

Scoring Rule Variation List						
View the history of all rules or edit the values of the rule variations below.						
Threshold Set	Match Binding	Operator	Value	Score	Inherit	
BASE THRESHOLD SET	tot trans ct	=	200	5		
Date	User	Match Binding	Operator	Value	Score	Comment
10/29/05	Test Mantas Administrator User	tot trans ct	=	200	5	--

Figure 13. Expanded Rule Modification History

Threshold history includes modification date, user who updated the rule, modified rule attributes, and any comment(s) about the update.

When the history window is open, clicking the orange - icon closes it.

- **Threshold Set** label: Displays the names of individual Thresholds that compose the Threshold Set, including the Base Threshold Set.
- **Inherit** label: Determines whether a Threshold inherits the rule attributes for the Base Threshold Set.

This applies only to rule variations for a Scenario.

- **Add a Comment** field: Allows you to type comments (from 3 to 4,000 characters) about new rules or changes that a user made to a current rule. Comments also display as part of scoring rule history.
- **The text area contains _ characters** text box: Numeric field that provides the current number of characters in the **Add a Comment** field.
- **Save** button: Saves any changes that you made and displays the previous screen.
- **Revert** button: Reverts to previous values without saving any modifications and displays the previous screen.

Simple Lookup Scoring Rule Editor

When you click **Add** or **Update** in the Simple Lookup Scoring Rule List and filter by Scenario, or click **Update** when filtering by Scenario Class, the Simple Lookup Scoring Rule Editor with Scoring Rule Variation List displays (Figure 12).

The Simple Lookup Scoring Rule Editor allows you to add and update rules (depending on filtering by Scenario Class or Scenario) that, when in a match's information, result in incrementing a match's score by a standard value.

The Scoring Rule Variation List, provides a history of changes or updates for the match binding associated within each pattern and other scoring parameters for the selected Scenario Class or Scenario.

The following sections describe the components of the Simple Lookup Scoring Rule Editor, and the components in the Rule Editor when you modify a rule:

- Simple Scoring Rule Editor Components (refer to *Simple Scoring Rule Editor Components*, on page 35 for more information).
- Simple Lookup Scoring Rule Modification (refer to *Simple Lookup Scoring Rule Modification*, on page 36 for more information).

Simple Scoring Rule Editor Components

The Simple Lookup Scoring Rule Editor includes the following components:

- **Scenario Class** label: Displays (not editable) the name of the Scenario Class when you select this editor to create a scoring rule for a Scenario Class.
Or
- **Scenario** label: Displays (not editable) the name of the Scenario when you select this editor to create a scoring rule for a Scenario.
- **Match Attribute** drop-down list: Contains a value for each binding description associated within each pattern within the selected Scenario Class (if you are updating a rule for a Scenario Class), or a value for each binding description associated with patterns within the selected Scenario (if you are adding or updating a rule for a single Scenario). The values display in ascending alphabetic order.
 - If you select **Add**, the first option in the Match Attribute drop-down list displays as the sample value.
 - If you select **Update**, the current match attribute for the selected rule displays in the Match Attribute drop-down list field.
- **Operator** drop-down list: Contains the values <, <=, >, >=, =, and !=.
 - If you select **Add**, the Operator drop-down list displays = as the default.
 - If you select **Update**, the Operator drop-down list displays the current Operator for the selected rule.
- **Value** text box: Displays a value as an enumerated figure or range to associate to the selected value in the Match Attribute drop-down list.
 - If you select **Add**, the **Value** text box displays the text *Value*.
 - If you select **Update**, the **Value** text box displays the current value entry for the selected rule.
- **Score** text box: Displays a value assigned to matches that meet all rule criteria.
 - If you select **Add**, the **Score** text box displays the text *Score*.
 - If you select **Update**, the **Score** text box displays the current score entry for the selected rule.
 - The score can be any numeric value, less than, greater than, or equal to zero (0) and less than or equal to the application's Maximum Match Score.

For example, you can create range-based scoring rules using negative values in the **Score** field: To get 10 points for a value between 100 and 500, use:

Rule 1: If the value is greater than or equal to 100, then add 10 points to the **Score** field.

Rule 2: If the value is greater than 500, then add negative 10 (-10) points to the **Score** field.

To reduce the score when high amounts are involved, use:

Rule 1: If the value is greater than 10,000,000, then add negative 50 (-50) to the **Score** field.

You can also combine this with the Graduated Lookups to get a *below minimum* that adds nothing to the alert, but you do not have to start the range at zero (0).

Simple Lookup Scoring Rule Modification

For a Scenario, you can modify the scoring rule for each attribute that you select in the Match Attribute drop-down list (Figure 14).

The screenshot shows a window titled "Simple Lookup Scoring Rule Editor". The "Scenario" is "(ML/AC) Deposits / Withdrawals in Same or Similar Amounts". Below this, a blue banner reads "Use these fields to edit the scoring rule." The main editing area contains the text: "If [tot trans ct] [dropdown] [=] [dropdown] [200] increase score by [5]". At the bottom right, there is a red text prompt "Save or Cancel the changes you have made." and two buttons: "Save" and "Cancel".

Figure 14. Match Attribute Scoring Rule Modification

When you enter values in the **Value** and **Score** fields and click **Save**, the Scoring Rule Variation List displays (Figure 15).

Simple Lookup Scoring Rule Editor

Scenario: (ML/AC) Deposits / Withdrawals in Same or Similar Amounts

Use these fields to edit the logic of the Base Threshold Set rule, then click the Refresh button, and edit the values of the rule variations in the Scoring Rule Variation List.

If = increase score by .

Select the Refresh button to update the rule variations below.

Scoring Rule Variation List

View the history of all rules or edit the values of the rule variations below.

Threshold Set	Match Binding	Operator	Value	Score	Inherit
<input type="checkbox"/> BASE THRESHOLD SET	tot trans ct	=	200	5	<input type="checkbox"/>
<input type="checkbox"/> Cash-Credit	tot trans ct	=	<input type="text" value="200"/>	<input type="text" value="5"/>	<input checked="" type="checkbox"/>
<input type="checkbox"/> Cash-Debit	tot trans ct	=	<input type="text" value="200"/>	<input type="text" value="5"/>	<input checked="" type="checkbox"/>
<input type="checkbox"/> EFT-Credit	tot trans ct	=	<input type="text" value="200"/>	<input type="text" value="5"/>	<input checked="" type="checkbox"/>
<input type="checkbox"/> EFT-Debit	tot trans ct	=	<input type="text" value="200"/>	<input type="text" value="5"/>	<input checked="" type="checkbox"/>
<input type="checkbox"/> MI-Credit	tot trans ct	=	<input type="text" value="200"/>	<input type="text" value="5"/>	<input checked="" type="checkbox"/>
<input type="checkbox"/> MI-Debit	tot trans ct	=	<input type="text" value="200"/>	<input type="text" value="5"/>	<input checked="" type="checkbox"/>

Add A Comment

Type between 3 and 4,000 characters in the Comment text area.

The text area contains characters.

Figure 15. Scoring Rule Variation List by Scenario

For each rule variation for a Threshold Set, you can do the following:

- Enter new values
- View a history of changes to a rule
- Enter comments that describe the value of, or changes to a rule

Scoring Rule Variation List, on page 33 and *Simple Scoring Rule Editor Components*, on page 35 provides description of most components in the Scoring Rule Variation List. The Simple Lookup Scoring Rule Editor also contains the following buttons:

- **Refresh:** Updates changes to rules in the Scoring Rule Variation List based on the base rule (and for which the Inherit check box is selected).
- **Save:** Saves your changes to the rules and displays the previous screen.
- **Revert:** Exits the area without saving any changes and displays the previous screen.

Graduated Value Scoring Rule Editor

The Graduated Value Scoring Rule Editor displays after clicking **Add** or **Update** in the Graduated Value Scoring Rule List (Figure 16). The Graduated Value Scoring Rule Editor allows you to create and edit rules that increment scores based on the value of a match's attributes as compared to a graduated scale.

The screenshot shows the 'Graduated Value Scoring Rule Editor' window. At the top, it displays 'Scenario Class: Best Execution' and a note: 'This rule will be added to all Scenarios within the Scenario Class.' Below this is a blue banner with the text: 'Use these fields to edit the scoring rule. NOTE: The attribute selected in the first drop-down list must contain numeric data to ensure proper scoring.' The main editing area contains the text: 'If [dropdown] <= [Min Value] increase score by [Min Score] . If >= [Max Value] increase score by [Max Score] .' Below this is a descriptive sentence: 'The score of matches with values between the values entered will be increased by a graduated amount.' At the bottom right, there is a red text prompt: 'Save or Cancel the changes you have made.' followed by 'Save' and 'Cancel' buttons.

Figure 16. Graduated Value Scoring Rule Editor

The following sections describe the components of the Graduate Value Scoring Rule Editor, and the components in the Rule Editor when you modify a rule:

- Graduated Value Scoring Rule Editor Components (refer to *Graduated Value Scoring Rule Editor Components*, on page 38 for more information).
- Graduated Value Scoring Rule Modification (refer to *Graduated Value Scoring Rule Modification*, on page 40 for more information).

Graduated Value Scoring Rule Editor Components

Components of the Graduated Value Scoring Rule Editor include the following:

- **Scenario Class** label: Displays (but is not editable) the name of the Scenario Class when you select this editor to create a scoring rule for a Scenario Class.
Or
- **Scenario** label: Displays (but is not editable) the name of the Scenario when you select this editor to create a scoring rule for a Scenario.
- **Match Attribute** drop-down list: Contains a value for each binding description associated within each pattern within the selected Scenario Class (if you are updating a rule to a Scenario Class), or a value for each binding description associated with patterns within the selected Scenario (if you are adding or updating a rule to a single Scenario). The values display in ascending alphabetic order.
 - If you select **Add**, the Match Attribute drop-down list displays the first option in the list as the default value.
 - If you select **Update**, the Match Attribute drop-down list field displays the current match attribute for the selected rule.

- **Min Value** text box: Must contain the minimum value for the selected binding description in the Match Attribute drop-down menu for the rule to apply.
 - If you select **Add**, the **Min Value** text box displays the text *Min Value*.
 - If you select **Update**, the **Min Value** text box displays the current minimum value entry for the selected rule.
 - Accepts a numeric value that is greater than or equal to zero (0) and less than the maximum value.
- **Min Score** text box: Must contain the score value that applies to the minimum value for the selected binding description in the Match Attribute drop-down menu for the rule to apply.
 - If you select **Add**, the **Min Score** text box displays the text *Min Score*.
 - If you select **Update**, the **Min Score** text box displays the current minimum score entry for the selected rule.
 - Accepts a minimum score of a numeric value greater or equal to zero (0) and less than or equal to the maximum score.
- **Max Value** text box: Must contain the maximum value for the selected binding description selected in the Match Attribute drop-down menu for the rule to apply.
 - If you select **Add**, the **Max Value** text box displays the text *Max Value*.
 - If you select **Update**, the **Max Value** text box displays the current maximum value entry for the selected rule.
 - Accepts a numeric value that is greater than or equal to zero (0) and greater than the minimum value.
- **Max Score** text box: Must contain the score value that would apply to the maximum value for the binding description selected from the Match Attribute drop-down menu for the rule to apply.
 - If you select **Add**, the **Max Score** text box displays the text *Max Score*.
 - If you select **Update**, the **Max Score** text box displays the current maximum score entry for the selected rule.
 - Maximum score must be a numeric value greater or equal to the minimum score and less than or equal to the application's Maximum Match Score set during installation.

Graduated Value Scoring Rule Modification

For a particular Scenario, you can modify the graduated value scoring rule for each attribute that you select in the Match Attribute drop-down list (Figure 17).

Graduated Value Scoring Rule Editor
 Scenario: (MLJAC) Deposits / Withdrawals in Same or Similar Amounts

Use these fields to edit the scoring rule.
 NOTE: The attribute selected in the first drop-down list must contain numeric data to ensure proper scoring.

If # of occurrences <= 100 increase score by 5 . If >= 200 increase score by 10 .

The score of matches with values between the values entered will be increased by a graduated amount.

Save or Cancel the changes you have made

Figure 17. Match Attribute Scoring Rule Modification

When you enter values in the **Min Value**, **Min Score**, **Max Value**, and **Max Score** fields and click **Save**, the Scoring Rule Variation List displays (Figure 18).

Graduated Value Scoring Rule Editor
 Scenario: (MLJAC) Deposits / Withdrawals in Same or Similar Amounts

Use these fields to edit the logic of the Base Threshold Set rule. Then click the Refresh button and edit the values of the rule variations in the Scoring Rule Variation List.
 NOTE: The attribute selected in the first drop-down list must contain numeric data to ensure proper scoring.

If # of occurrences <= 100 increase score by 5 . If >= 200 increase score by 10 .

The score of matches with values between the values entered will be increased by a graduated amount.

Select the Refresh button to update the rule variations below.

Scoring Rule Variation List

View the history of all rules or edit the values of the rule variations below.

Threshold Set	Match Binding	Min Value	Min Score	Max Value	Max Score	Inherit
+ BASE THRESHOLD SET	# of occurrences	100	5	200	10	
+ Cash-Credit	# of occurrences	<input type="text" value="100"/>	<input type="text" value="5"/>	<input type="text" value="200"/>	<input type="text" value="10"/>	<input checked="" type="checkbox"/>
+ Cash-Debit	# of occurrences	<input type="text" value="100"/>	<input type="text" value="5"/>	<input type="text" value="200"/>	<input type="text" value="10"/>	<input checked="" type="checkbox"/>
+ EFT-Credit	# of occurrences	<input type="text" value="100"/>	<input type="text" value="5"/>	<input type="text" value="200"/>	<input type="text" value="10"/>	<input checked="" type="checkbox"/>
+ EFT-Debit	# of occurrences	<input type="text" value="100"/>	<input type="text" value="5"/>	<input type="text" value="200"/>	<input type="text" value="10"/>	<input checked="" type="checkbox"/>
+ MI-Credit	# of occurrences	<input type="text" value="100"/>	<input type="text" value="5"/>	<input type="text" value="200"/>	<input type="text" value="10"/>	<input checked="" type="checkbox"/>
+ MI-Debit	# of occurrences	<input type="text" value="100"/>	<input type="text" value="5"/>	<input type="text" value="200"/>	<input type="text" value="10"/>	<input checked="" type="checkbox"/>

Add A Comment
 Type between 3 and 4,000 characters in the Comment text area.

The text area contains characters.

Figure 18. Graduated Value Scoring Rule Variation List by Scenario

For each rule variation for a Threshold Set, you can do the following:

- Enter new values
- View a history of changes to a rule
- Enter comments that describe the value of, or changes to, a rule

Scoring Rule Variation List, on page 33 and *Graduated Value Scoring Rule Editor*, on page 38 provides description of most components in the Scoring Rule Variation List. The Graduated Value Scoring Rule Editor also contains the following buttons:

- **Refresh:** Updates changes to rules in the Scoring Rule Variation List based on the base rule (and for which the **Inherit** check box is selected).
- **Save:** Saves your changes to the rules and displays the previous screen.
- **Revert:** Exits the area without saving any changes and displays the previous screen.

Prior Matches Scoring Rule Editor

The Prior Matches Scoring Rule Editor (Figure 19) displays after you click **Add** or **Update** in the Prior Matches Scoring Rule List. The Prior Matches Scoring Rule Editor allows you to create and edit rules based not on attributes of the match, but based on the quantity of matches focused on the same entity as the match and generated by the same scenario or scenario class as the match. A look back period also constrains the strategy to count only matches that the system generated in the last *N* days.

Prior Matches Scoring Rule Editor
Scenario Class: Best Execution
This rule will be added to all Scenarios within the Scenario Class.

Use these fields to edit the scoring rule.

If <= [Min Number] matches [focused on the same entity] in the last [Look Back] days,
then increase score by [Min Score] .

If >= [Max Number] matches or more were created, then increase score by [Max Score] .

The score of matches focused on entities with a number of prior matches between the Min Number Matches and the Max Number Matches will be increased by a graduated count.

Save or Cancel the changes you have made. [Save] [Cancel]

Figure 19. Prior Matches Scoring Rule Editor

The following sections describe the components of the Prior Matches Scoring Rule Editor, and the components in the Rule Editor when you modify a rule:

- Prior Matches Scoring Rule Editor Components (refer to *Graduated Value Scoring Rule Editor Components*, on page 38 for more information).
- Prior Matches Scoring Rule Modification (refer to *Graduated Value Scoring Rule Modification*, on page 40 for more information).

Prior Matches Scoring Rule Editor Components

The Prior Matches Scoring Rule Editor includes the following components:

- **Scenario Class** label: Displays (but is not editable) the name of the Scenario Class when you select this editor to create a scoring rule for a Scenario Class.
Or
- **Scenario** label: Displays (but is not editable) the name of the Scenario when you select this editor to create a scoring rule for a Scenario.
- **Min Number Matches** text box: Must contain the minimum number of matches that meet the Same Scenario criteria for the rule to apply.
 - If you select **Add**, the **Min Number** text box displays the text *Min Number*.
 - If you select **Update**, the **Min Number** text box displays the current minimum number entry for the selected rule.
 - Accepts a numeric value that is greater than or equal to zero (0) and less than or equal to the maximum number.
- **Same Scenario** drop-down list: Designates that you select matches that are focused on the same entity, focused on the same entity and generated by the same scenario, or focused on the same entity and generated by the same scenario class.
 - If you select **Add**, the Same Scenario drop-down list displays the default value of *focused on the same entity*.
 - If you select **Update**, the Same **Scenario** text box displays the current entity or scenario entry for the selected rule.
- **Alert Closing Classification** list box: Designates that you select matches that are closed with Actionable, Indeterminate, or Non-actionable classification. You can configure the list of Alert Closing Classification names at the time of installation (refer to the *Oracle Financial Services Behavior Detection Platform Installation Guide*, Release 6.1.1).
 - If you select **Add**, all classifications in the Alert Closing Classification list box are selected.
 - If you select **Update**, the Alert Closing Classification list box displays the current classification for the selected rule.

Note: If you do not want to search matches on Alert Closing Classification, select all options in the list box.

- **Look Back Days** text box: Must contain the number of days prior to the current date that the rule searches for matches that meet all other prior match scoring rule criteria.
 - If you select **Add**, the **Look Back Days** text box displays the text *Look Back Days*.
 - If you select **Update**, the **Look Back Days** text box displays the current look back days entry for the selected rule.
 - Enter a numeric value in this text box that is greater than or equal to zero (0).
- **Min Score** text box: Must contain the score value to be assigned to matches that meet the minimum value for the selected attribute in the **Same Scenario** drop-down list for the rule to apply.
 - If you select **Add**, the **Min Score** text box displays the text *Min Score*.
 - If you select **Update**, the **Min Score** text box displays the current minimum score entry for the selected rule.
 - Minimum score must be a numeric value greater or equal to zero (0) and less than or equal to the maximum score.
- **Max Number Matches** text box: Must contain the maximum number of matches that meet the Same Scenario criteria for the rule to apply.
 - If you select **Add**, the **Max Number** text box displays the text *Max Number*.
 - If you select **Update**, the **Max Number** text box displays the current maximum number entry for the selected rule.
 - Enter a numeric value in this text box that is greater than or equal to zero (0) and greater than or equal to the minimum number.
- **Max Score** text box: Must contain the score value to be assigned to matches that meet the maximum value for the attribute selected from the Same Scenario drop-down list for the rule to apply.
 - If you select **Add**, the **Max Score** text box displays the text *Max Score*.
 - If you select **Update**, the **Max Score** text box displays the current maximum score entry for the selected rule.
 - Maximum score must be a numeric value greater or equal to the minimum score and less than or equal to the application's Maximum Match Score set during installation.

Prior Matches Scoring Rule Modification For a particular Scenario, you can modify the prior matches scoring rule for the same Scenario criteria that you select in the Same Scenario drop-down list (Figure 20).

The screenshot shows a web-based interface for editing a scoring rule. At the top, the title is "Prior Matches Scoring Rule Editor". Below the title, the scenario is identified as "(MLJAC) Deposits / Withdrawals in Same or Similar Amounts". A blue banner with orange text reads "Use these fields to edit the scoring rule." The main editing area contains two conditional rules. The first rule is: "If <= 10 matches focused on the same entity in the last 30 days, then increase score by 10." The second rule is: "If >= 20 matches or more were created, then increase score by 5." Below these rules, a descriptive text states: "The score of matches focused on entities with a number of prior matches between the Min Number Matches and the Max Number Matches will be increased by a graduated count." At the bottom right, there are "Save" and "Cancel" buttons, and a red text prompt: "Save or Cancel the changes you have made."

Figure 20. Prior Matches Scoring Rule Modification

When you enter values in the Rule Editor fields (**Min Number Matches**, **Same Scenario**, **Alert Closing Classification**, **Look Back Days**, **Min Score**, **Max Number Matches**, and **Max Score**) and click **Save**, the Prior Matches Scoring Rule Variation List displays (Figure 21).

Prior Matches Scoring Rule Editor

Scenario: (ML/AC) Deposits / Withdrawals in Same or Similar Amounts

Use these fields to edit the logic of the Base Threshold Set rule. Then click the Refresh button and edit the values of the rule variations in the Scoring Rule Variation List.

If <= matches in the last days,
then increase score by .

If >= matches or more were created, then increase score by .

The score of matches focused on entities with a number of prior matches between the Min Number Matches and the Max Number Matches will be increased by a graduated count.

Select the Refresh button to update the rule variations below.

Scoring Rule Variation List

View the history of all rules or edit the values of the rule variations below.

Threshold Set	Min Number Matches	Min Score	Max Number Matches	Max Score	Look Back	Within	Inherit
+ BASE THRESHOLD SET	10	10	20	5	30	All	
+ Cash-Credit	<input type="text" value="10"/>	<input type="text" value="10"/>	<input type="text" value="20"/>	<input type="text" value="5"/>	<input type="text" value="30"/>	All	<input checked="" type="checkbox"/>
+ Cash-Debit	<input type="text" value="10"/>	<input type="text" value="10"/>	<input type="text" value="20"/>	<input type="text" value="5"/>	<input type="text" value="30"/>	All	<input checked="" type="checkbox"/>
+ EFT-Credit	<input type="text" value="10"/>	<input type="text" value="10"/>	<input type="text" value="20"/>	<input type="text" value="5"/>	<input type="text" value="30"/>	All	<input checked="" type="checkbox"/>
+ EFT-Debit	<input type="text" value="10"/>	<input type="text" value="10"/>	<input type="text" value="20"/>	<input type="text" value="5"/>	<input type="text" value="30"/>	All	<input checked="" type="checkbox"/>
+ MI-Credit	<input type="text" value="10"/>	<input type="text" value="10"/>	<input type="text" value="20"/>	<input type="text" value="5"/>	<input type="text" value="30"/>	All	<input checked="" type="checkbox"/>
+ MI-Debit	<input type="text" value="10"/>	<input type="text" value="10"/>	<input type="text" value="20"/>	<input type="text" value="5"/>	<input type="text" value="30"/>	All	<input checked="" type="checkbox"/>

Add A Comment

Type between 3 and 4,000 characters in the Comment text area.

The text area contains characters.

Figure 21. Prior Matches Scoring Rule Variation List by Scenario

For each rule variation for a Threshold Set, you can perform the following:

- Enter new values.
- View a history of changes to a rule.
- Enter comments that describe the value of, or changes to, a rule.

Scoring Rule Variation List, on page 33 and *Prior Matches Scoring Rule Editor*, on page 41 provides description of most components in the Scoring Rule Variation List. The Prior Match Scoring Rule Editor also contains the following buttons:

- **Refresh:** Updates changes to rules in the Scoring Rule Variation List based on the base rule (and for which the Inherit check box is selected).
- **Save:** Saves your changes to the rules and displays the previous screen.
- **Revert:** Exits the area without saving any changes and displays the previous screen.

Simple Scenario Scoring Rule Editor

The Simple Scenario Scoring Rule Editor displays after clicking **Add** or **Update** in the Simple Scenario Scoring Rule List (Figure 22) when you filter by scenario. The Simple Scenario Scoring Rule Editor allows you to create and edit a rule that increments the score of matches that a specific scenario generates.

Note: Users cannot create Simple Scenario scoring rules for Scenario Classes. However, users can modify and delete existing scenario scoring rules from within the Simple Scenario Scoring Rules List when viewing scoring rules for a Scenario Class.



Figure 22. Simple Scenario Scoring Rule Editor

The following sections describe the components of the Simple Scenario Scoring Rule Editor, and the components in the Rule Editor when you modify a rule:

- Simple Scenario Scoring Rule Editor Components (refer to *Graduated Value Scoring Rule Editor Components*, on page 38 for more information).
- Simple Scenario Scoring Rule Modification (refer to *Graduated Value Scoring Rule Modification*, on page 40 for more information).

Simple Scenario Scoring Rule Editor Components

The Simple Scenario Scoring Rule Editor includes the following components:

- **Scenario** label: Displays (but is not editable) the name of the Scenario for which you are creating a scoring rule.
- **Score** text box: Assign the score to all matches that the selected Scenario generates.
 - If you select **Add**, the **Score** text box displays the text *Score*.
 - If you select **Update**, the **Score** text box displays the current score entry for the selected rule.
 - Accepts a numeric value greater or equal to zero (0) and less than or equal to the Maximum Match Score.

Simple Scenario Scoring Rule Modification

For a particular Scenario, you can modify the prior matches scoring rule (Figure 23).



Figure 23. Simple Scenario Scoring Rule Modification

When you enter values in the **Score** text box and click **Save**, the Simple Scenario Scoring Rule Variation List displays (Figure 24).

Simple Scenario Scoring Rule Editor

Scenario: (MLJAC) Deposits / Withdrawals in Same or Similar Amounts

Use these fields to edit the logic of the Base Threshold Set rule. Then click the Refresh button and edit the values of the rule variations in the Scoring Rule Variation List.

If Scenario = (MLJAC) Deposits / Withdrawals in Same or Similar Amounts increase score by .

Select the Refresh button to update the rule variations below.

Scoring Rule Variation List

View the history of all rules or edit the values of the rule variations below.

	Threshold Set	Scenario	Score	Inherit
+	BASE THRESHOLD SET	(MLJAC) Deposits / Withdrawals in Same or Similar Amounts	10	
+	Cash-Credit	(MLJAC) Deposits / Withdrawals in Same or Similar Amounts	<input style="width: 50px;" type="text" value="10"/>	<input checked="" type="checkbox"/>
+	Cash-Debit	(MLJAC) Deposits / Withdrawals in Same or Similar Amounts	<input style="width: 50px;" type="text" value="10"/>	<input checked="" type="checkbox"/>
+	EFT-Credit	(MLJAC) Deposits / Withdrawals in Same or Similar Amounts	<input style="width: 50px;" type="text" value="10"/>	<input checked="" type="checkbox"/>
+	EFT-Debit	(MLJAC) Deposits / Withdrawals in Same or Similar Amounts	<input style="width: 50px;" type="text" value="10"/>	<input checked="" type="checkbox"/>
+	MI-Credit	(MLJAC) Deposits / Withdrawals in Same or Similar Amounts	<input style="width: 50px;" type="text" value="10"/>	<input checked="" type="checkbox"/>
+	MI-Debit	(MLJAC) Deposits / Withdrawals in Same or Similar Amounts	<input style="width: 50px;" type="text" value="10"/>	<input checked="" type="checkbox"/>

Add A Comment

Type between 3 and 4,000 characters in the Comment text area.

The text area contains characters.

Figure 24. Simple Scenario Scoring Rule Variation List by Scenario

For each rule variation for a Threshold Set, you can perform the following:

- Enter new values.
- View a history of changes to a rule.
- Enter comments that describe the value of, or changes to, a rule.

Scoring Rule Variation List, on page 33 and *Simple Scenario Scoring Rule Editor*, on page 46, provides description of most components in the Scoring Rule Variation List. The Simple Scenario Scoring Rule Editor also contains the following buttons:

- **Refresh:** Updates changes to rules in the Scoring Rule Variation List based on the base rule (and for which the Inherit check box is selected).
- **Save:** Saves your changes to the rules and displays the previous screen.
- **Revert:** Exits the area without saving any changes and displays the previous screen.

Using the Alert Scoring Editor

The Alert Scoring Editor enables you to view and modify the logic that the system uses to determine the score for matches and alerts.

Access the match scoring rules by using the search bar in the Alert Scoring Rule Editor. When the rules display, you can use the following Scoring Rule Editors to add, modify, and delete scoring rules:

- Simple Lookup Scoring Rule Editor
- Graduated Value Scoring Rule Editor
- Prior Matches Scoring Rule Editor
- Simple Scenario Scoring Rule Editor

Using the Alert Scoring Strategy Selector, you can also view and change the alert scoring strategy for your deployment.

This section explains the following functions of the Alert Scoring Editor:

- Displaying the Match Scoring Rules for a Scenario Class or Scenario
- Using the Scoring Editors
- Changing the Alert Scoring Logic

Displaying the Match Scoring Rules for a Scenario Class or Scenario

To display the match scoring rules for a particular Scenario Class or Scenario, follow these steps:

1. In the Alert Scoring Editor search bar, select either a **Scenario Class** in the Scenario Class drop-down list or a single **Scenario** in the Scenario drop-down list.
2. Click **Do It**.

The system displays all match scoring rules for the selected Scenario Class or Scenario.

If the Scenario Class or Scenario does not have match scoring rules, the system displays the following message: *The selected Scenario Class or Scenario currently does not have scoring rules of this type, in the specific match scoring rule list.*

Using the Scoring Editors

This section lists the types of scoring editors and how to use the various scoring editors for scenario and scenario class.

- Simple Lookup Scoring Editor:
 - Using the Simple Lookup Scoring Editor for a Scenario Class
 - Using the Simple Lookup Scoring Editor for a Scenario
- Graduated Value Scoring Editor:
 - Using the Graduated Value Scoring Editor for a Scenario Class
 - Using the Graduated Value Scoring Editor for a Scenario
- Prior Matches Scoring Editor:
 - Using the Prior Matches Scoring Editor for a Scenario Class
 - Using the Prior Matches Scoring Editor for a Scenario
- Simple Scenario Scoring Editor:
 - Using the Simple Scenario Scoring Editor for a Scenario Class
 - Using the Simple Scenario Scoring Editor for a Scenario

This section also describes procedures that apply to all Alert Scoring Editors:

- Changing the Alert Scoring Logic
- Specifying a Variation for a Threshold Set Within a Scenario
- Deleting a Scoring Rule for a Scenario Class or Scenario

Using the Simple Lookup Scoring Editor for a Scenario Class

In the Simple Lookup Scoring Editor, you can modify or delete a rule for a Scenario Class. Use either of the following procedures:

- Modifying a Simple Lookup Scoring Rule for a Scenario Class
- Deleting a Scoring Rule for a Scenario Class or Scenario

Modifying a Simple Lookup Scoring Rule for a Scenario Class

To modify an existing Simple Lookup scoring rule for a Scenario Class, follow these steps:

1. In the Simple Lookup Scoring Rules List, click **Update Rule** next to the selected rule.

The Simple Lookup Scoring Rule Editor displays with the rule's current values in the text boxes.

2. Do one or more of the following:
 - Modify the binding description in the Match Attribute drop-down list.
 - Modify the operator in the Operator drop-down list.
 - Modify the value in the **Value** text box.

Depending on the attribute, this value can be a numeric or a text string.

- Modify the value in the **Score** text box.

3. Click **Refresh**.

The system updates the rule and redisplay the Simple Lookup Alert Scoring Editor with the changes. The updated rule logic also displays in the Scoring Rule Variation List.

Optional: In the Scoring Rule Variation List:

- Click the blue **+** icon next to a rule to open a scrollable window that contains a history of changes to the rule (including modification date, user who modified a rule variation, rule attributes, and comments about the update).
- Click the orange **-** icon to close the history window.

Optional: Type a comment about a rule logic update in the **Add a Comment** text box. Enter from 3 to 4,000 characters.

A count in the numeric field below the Add a Comment field tracks the current number of characters in the comment area.

4. Click **Save** to save your changes.

If you did not previously click **Refresh** to save your updates to the rule logic, a dialog box displays and prompts you to click **Refresh** before clicking **Save**.

Using the Simple Lookup Scoring Editor for a Scenario

In the Simple Lookup Scoring Editor, you can modify or delete a rule for an individual Scenario as you would for a Scenario Class (refer to *Using the Simple Lookup Scoring Editor for a Scenario Class*, on page 50 for more information). You can also add a new rule. Doing so establishes the conditions of the match scoring in a Scenario.

Within a Threshold Set for a Scenario, you can establish a rule variation. that is independent of the associated rule(s) for a Base Threshold Set.

Procedures in the following sections apply to rules for a Scenario:

- Adding a Simple Lookup Scoring Rule for a Scenario
- Modifying a Simple Lookup Scoring Rule for a Scenario
- Deleting a Scoring Rule for a Scenario Class or Scenario
- Specifying a Variation for a Threshold Set Within a Scenario

Adding a Simple Lookup Scoring Rule for a Scenario

To add a new Simple Lookup scoring rule for a Scenario, follow these steps:

1. In the Simple Lookup Scoring Rule List, click **Add**.

The Simple Lookup Scoring Rule Editor displays.

2. Select a binding description in the Match Attribute drop-down list.
3. Select an operator in the Operator drop-down list.
4. Type a value in the **Value** text box.

Depending on the attribute, this value can be a numeric or a text string.

5. Type a value in the **Score** text box.
6. Click **Save** to save your changes.

The system creates the rule and redisplay it in the Alert Scoring Editor and Scoring Rule Variation List.

Note: If you select a Match Binding, Operator, and Value combination that exists in an existing rule for the same Scenario, the system displays an error dialog box. Click **OK** to modify any values.

Modifying a Simple Lookup Scoring Rule for a Scenario

To modify an existing Simple Lookup scoring rule for a Scenario, follow these steps:

1. To Modify a Simple Lookup Scoring Rule for a Scenario (refer to *Modifying a Simple Lookup Scoring Rule for a Scenario Class*, on page 50 for more information).
2. To Modify a rule for a particular Threshold Set in the Scoring Rule Variation List. Refer to *Specifying a Variation for a Threshold Set Within a Scenario*, on page 59 for information about using the Scoring Rule Variation List.
3. Click **Save** to save your changes.

The system updates the rule values in the Simple Lookup Alert Scoring Editor and the Scoring Rule Variation List. The system then displays the previous screen.

Using the Graduated Value Scoring Editor for a Scenario Class

In the Graduated Value Scoring Editor, you can modify or delete a rule for a Scenario Class. Use either of the following procedures:

- Modifying a Graduated Value Scoring Rule for a Scenario Class
- Deleting a Scoring Rule for a Scenario Class or Scenario

Modifying a Graduated Value Scoring Rule for a Scenario Class

To modify an existing Graduated Value scoring rule for a Scenario Class, follow these steps:

1. In the Graduated Value Scoring Rules List, click **Update Rule** next to the selected rule.

The Graduated Value Scoring Editor displays with the rule's current values in the text boxes.

2. Do one or more of the following:
 - Modify the binding description in the Match Attribute drop-down list.
 - Modify the numeric values in the **Min Value**, **Max Value**, **Min Score**, and **Max Score** text boxes.
3. Click **Refresh**.

The system updates the rule and redisplay the Graduated Value Alert Scoring Editor with the changes. The updated rule logic also displays in the Scoring Rule Variation List.

Optional: In the Scoring Rule Variation List:

- a. Click the blue + icon next to a rule to open a scrollable window that contains a history of changes to the rule (including modification date, user who modified a rule variation, rule attributes, and comments about the update).

b. Click the orange - icon to close the history window.

Optional: Type a comment about a rule logic update in the **Add a Comment** text box. Enter from 3 to 4,000 characters.

A count in the numeric field below the Add a Comment field tracks the current number of characters in the comment area.

4. Click **Save** to save your changes.

If you did not previously click **Refresh** to save your updates to the rule logic, a dialog box displays and prompts you to click **Refresh** before clicking **Save**.

The system updates the values and displays the modified rule in the Graduated Value Alert Scoring Editor and Scoring Rule Variation List. The system then displays the previous screen.

Using the Graduated Value Scoring Editor for a Scenario

In the Graduated Value Scoring Editor, you can modify or delete a rule for an individual Scenario as you would for a Scenario Class (refer to *Using the Graduated Value Scoring Editor for a Scenario Class*, on page 53 for more information). You can also add a new rule. Doing so establishes the conditions of the match scoring in a Scenario.

Within a Threshold Set for a Scenario, you can establish an independent rule variation for a Threshold Set that does not inherit attributes of the rule for a Base Threshold Set.

Procedures in the following sections apply to rules for a Scenario:

- Adding a Graduated Value Scoring Rule for a Scenario
- Modifying a Graduated Value Scoring Rule for a Scenario
- Deleting a Scoring Rule for a Scenario Class or Scenario

Adding a Graduated Value Scoring Rule for a Scenario

To add a new Graduated Value scoring rule for a Scenario, follow these steps:

1. In the Graduated Value Scoring Rules List, click **Add**.

The Graduated Value Scoring Rule Editor displays.

2. Select the desired binding description in the Match Attribute drop-down list.

3. Type numeric values in the **Min Value**, **Max Value**, **Min Score**, and **Max Score** text boxes.

4. Click **Save** to save your changes.

The system creates the rule and redisplay the rule's attributes in the Graduated Value Scoring Editor and the Scoring Rule Variation List.

Refer to *Specifying a Variation for a Threshold Set Within a Scenario*, on page 59 for information about using the Scoring Rule Variation List.

Note: If you select an attribute equal to the attribute of the selected Scenario, the system displays an error dialog box. Click **OK** to modify the values.

Modifying a Graduated Value Scoring Rule for a Scenario

To modify an existing Graduated Value scoring rule for a Scenario, follow these steps:

1. Modify the scoring rule by using the procedure for a Scenario Class (refer to *Modifying a Graduated Value Scoring Rule for a Scenario Class*, on page 53 for more information).
2. Modify a rule for a particular Threshold Set in the Scoring Rule Variation List by using the defined procedure. Refer to *Specifying a Variation for a Threshold Set Within a Scenario*, on page 59 for information about using the Scoring Rule Variation List.
3. Click **Save** to save your changes.

The system updates the rule values in the Graduated Value Scoring Editor and the Scoring Rule Variation List. The system then displays the previous screen.

Using the Prior Matches Scoring Editor for a Scenario Class

In the Prior Matches Scoring Editor, you can modify or delete a rule for a Scenario Class. Use either of the following procedures:

- Modifying a Prior Matches Scoring Rule for a Scenario Class
- Deleting a Scoring Rule for a Scenario Class or Scenario

Modifying a Prior Matches Scoring Rule for a Scenario Class

To modify an existing Prior Matches scoring rule for a Scenario Class, follow these steps:

1. From the Prior Matches Scoring Rules List, click **Update Rule** next to the selected rule.

The rule attributes display in the Prior Matches Scoring Editor.

2. Do one or more of the following:
 - Modify the numeric value in the **Min Number Matches** text box.
 - Modify the value in the Same Scenario drop-down list.
 - Modify the numeric value in the Look Back Days, Min Score, Max Number Matches, and **Max Score** text boxes.

3. Click **Refresh**.

The system updates the rule and redisplay the Prior Matches Scoring Editor with the changes. The updated rule logic also displays in the Scoring Rule Variation List.

Optional: In the Scoring Rule Variation List:

- a. Click the blue + icon next to a rule to open a scrollable window that contains a history of changes to the rule (including modification date, user who modified a rule variation, rule attributes, and comments about the update).
- b. Click the orange - icon to close the history window.

Optional: Type a comment about a rule logic update in the **Add a Comment** text box. Enter from 3 to 4,000 characters.

A count in the numeric field below the Add a Comment field tracks the current number of characters in the comment area.

4. Click **Save** to save your changes.

If you did not previously click **Refresh** to save your updates to the rule logic, a dialog box displays and prompts you to click **Refresh** before clicking **Save**.

The system updates the values and displays the modified rule in the Prior Matches Scoring Editor and Scoring Rule Variation List. The system then displays the previous screen.

Using the Prior Matches Scoring Editor for a Scenario

In the Prior Matches Scoring Editor, you can modify or delete a rule for an individual Scenario as you would for a Scenario Class (refer to *Using the Prior Matches Scoring Editor for a Scenario Class*, on page 55 for more information). You can also add a new rule. Doing so establishes the conditions of the match scoring in a Scenario.

Within a Threshold Set for a Scenario, you can establish an independent rule variation for a Threshold that does not inherit attributes of the rule for a Base Threshold Set.

Procedures in the following sections apply to rules for a Scenario:

- Adding a Prior Matches Scoring Rule for a Scenario
- Modifying a Prior Matches Scoring Rule for a Scenario
- Deleting a Scoring Rule for a Scenario Class or Scenario

Adding a Prior Matches Scoring Rule for a Scenario

To add a new Prior Matches scoring rule for a Scenario, follow these steps:

1. In the Prior Matches Scoring Rules List, click **Add**.
The Prior Matches Scoring Editor displays.
2. Type a numeric value in the **Min Number Matches** text box.
3. Select the desired attribute in the Same Scenario drop-down list.
4. Type a numeric value in the **Look Back Days, Min Score, Max Number Matches, and Max Score** text boxes.
5. Click **Save** to save your changes.

The system creates the rule and redisplay the rule's attributes in the Prior Matches Scoring Editor and Scoring Rule Variation List.

Note: If you select a value in the Same Scenario drop-down list that is the same as an existing rule for the same scenario, the system displays an error dialog box. Click **OK** to modify values.

Modifying a Prior Matches Scoring Rule for a Scenario

To modify an existing Prior Matches scoring rule for a Scenario, follow these steps:

1. Modify the scoring rule by using the procedure for a Scenario Class (refer to the *Modifying a Prior Matches Scoring Rule for a Scenario Class*, on page 55, for more information).
2. Modify a rule for a particular Threshold Set in the Scoring Rule Variation List. Refer to *Specifying a Variation for a Threshold Set Within a Scenario*, on page 59 for more information about using the Scoring Rule Variation List.
3. Click **Save** to save your changes.

The system updates the rule values in the Prior Matches Scoring Editor and the Scoring Rule Variation List. The system then displays the previous screen.

Using the Simple Scenario Scoring Editor for a Scenario Class

In the Simple Scenario Scoring Editor, you can modify or delete a rule for a Scenario Class. Use either of the following procedures:

- Modifying a Simple Lookup Scoring Rule for a Scenario Class
- Deleting a Scoring Rule for a Scenario Class or Scenario

Modifying a Simple Scenario Scoring Rule for a Scenario Class

To modify an existing Simple Scenario scoring rule for a Scenario Class, follow these steps:

1. From the Simple Scenario Scoring Rules List for a single Scenario, click **Update Rule** for the desired rule.

The Simple Scenario Scoring Editor displays with the associated rule highlighted in the display.

2. Modify the numeric value in the **Score** text box.
3. Click **Refresh**.

The system updates the rule and redisplay the Simple Scenario Scoring Editor with the changes. The updated rule logic also displays in the Scoring Rule Variation List.

Optional: In the Scoring Rule Variation List:

- a. Click the blue + icon next to a rule to open a scrollable window that contains a history of changes to the rule (including modification date, user who modified a rule variation, rule attributes, and comments about the update).
- b. Click the orange - icon to close the history window.

Optional: Type a comment about a rule logic update in the **Add a Comment** text box. Enter from 3 to 4,000 characters.

A count in the numeric field below the Add a Comment field tracks the current number of characters in the comment area.

4. Click **Save** to save your changes.

If you did not previously click **Refresh** to save your updates to the rule logic, a dialog box displays and prompts you to click **Refresh** before clicking **Save**.

5. The system updates the values and displays the modified rule in the Simple Scenario Scoring Editor and Scoring Rule Variation List. The system then displays the previous screen.

Using the Simple Scenario Scoring Editor for a Scenario

In the Simple Scenario Scoring Editor, you can modify or delete a rule for an individual Scenario as you would for a Scenario Class (refer to *Using the Simple Scenario Scoring Editor for a Scenario Class*, on page 57, for more information). You can also add a new rule. Doing so establishes the conditions of the match scoring in each Scenario.

Within a Threshold Set for a Scenario, you can establish an independent rule variation for a Threshold Set that does not inherit attributes of the rule for a Base Threshold Set.

Procedures in the following sections apply to rules for a Scenario:

- Adding a Simple Scenario Scoring Rule for a Scenario
- Modifying a Simple Scenario Scoring Rule for a Scenario
- Deleting a Scoring Rule for a Scenario Class or Scenario

Adding a Simple Scenario Scoring Rule for a Scenario

To add a new Simple Scenario scoring rule for a Scenario, follow these steps:

1. From the Simple Scenario Scoring Rules List for a single Scenario, click **Add**.
The Simple Scenario Scoring Editor displays.
2. Type a numeric value in the **Score** text box.
3. Click **Save**.

The system creates the rule and redisplay the rule's attributes in the Alert Scoring Editor and the Scoring Rule Variation List.

Modifying a Simple Scenario Scoring Rule for a Scenario

To modify an existing Simple Scenario scoring rule for a Scenario, follow these steps:

1. Modify the scoring rule by using the procedure for a Scenario Class (refer to *Modifying a Simple Scenario Scoring Rule for a Scenario Class*, on page 58, for more information).
2. Modify a rule for a particular Threshold Set in the Scoring Rule Variation List. Refer to *Specifying a Variation for a Threshold Set Within a Scenario*, on page 59 for information about using the Scoring Rule Variation List.
3. Click **Save**.

Changing the Alert Scoring Logic

To change the alert scoring logic, follow these steps:

1. From the Alert Scoring Editor, click **Change Strategy**.
The Alert Scoring Strategy Selector dialog box displays.
2. Select the desired **Alert Scoring Strategy** option button.
3. Click **Save**.

A Confirmation dialog box displays.

4. Click **OK** to close the dialog box and continue.

The system updates the alert scoring strategy with the selected value. It redisplay the Alert Scoring Editor with only the search bar and updated Alert Scoring Strategy Selector window.

Specifying a Variation for a Threshold Set Within a Scenario

You can specify a rule variation for a Threshold Set that is independent of the rule for the Base Threshold Set. Use the following procedure.

Specifying a Variation for a Threshold Set within a Scenario

To specify a variation for a Threshold Set within a Scenario, follow these steps:

1. In the Scoring Rule Variation List, deselect the Inherit check box next to the rule that you want to modify. (A selected check box next to a rule implies that the system associates it with the rule for the Base Threshold Set.)
2. Do either of the following:
 - Leave the values in the modifiable text boxes unchanged.
 - Modify an entry in any modifiable text box.

Optional: Type a comment about a rule logic update in the **Add a Comment** text box. Enter from 3 to 4,000 characters.

A count in the numeric field below the Add a Comment field tracks the number of characters you have entered in the comment area.

3. Click **Save**.

Deleting a Scoring Rule for a Scenario Class or Scenario

Deleting a scoring rule eliminates the rule and any related variations for Threshold Sets. You can delete a rule that applies to a Scenario Class or Scenario. Use the following procedure.

Deleting a Scoring Rule for a Scenario Class or Scenario

To delete an existing scoring rule for a Scenario Class or Scenario, follow these steps:

1. From the desired match scoring rule list, click **Delete** adjacent to the selected rule.

The Confirmation dialog box displays the following message:

Deleting this rule will also delete any variations for Threshold Sets within this Scenario. Are you sure you want to delete the selected rule?

2. Click **OK** to close the dialog box and continue.

The system redisplay the Alert Scoring Editor without the rule.

Assigner Editor

This chapter describes how you can assign ownership of alerts and cases:

- About the Assigner Editor
- Assigner Screen Elements
- Using the Assigner Editor

About the Assigner Editor

The Assigner Editor allows the application Administrator to view and modify the logic used to assign ownership of alerts and cases. The Assigner Editor allows you to perform the following tasks:

- Select a focus and then create, modify, or delete a rule
- Change the Default Owner.

Each alert or case generated within the application is assigned an initial owner before it is available for analysis. The application automatically determines an appropriate owner (a user or group of users) for each alert or case based on the initial assignment logic you configured or configured for your firm. Initial assignment logic is composed in a set of operations that evaluate various attributes of the alert, case or its focal entity. For example, scenario, score, focal entity, or related entities.

Note: Case assignment rules applies only to those cases created automatically as a result of promotion of an Alert Correlation to a case. They do not impact cases created directly by a user.

You can add, modify, or delete assignment rules. The following elements are combined to form a set of logic against which the alerts or cases are evaluated:

- Each assignment rule is defined as an attribute (either an attribute of an alert or case, or an attribute of the focal entity), an operator, and a value.

Table 4 shows a sample of an assignment rule.

Table 4. Sample of an Assignment Rule

Precedence	Assignment Rule Type	Assignment Rule
1	Focus	<ul style="list-style-type: none"> Alerts or cases with focus domain code c only are assigned to the Brokerage pool. Alerts or cases with focus domain code d, e, or de are assigned to the Banking pool.
2	Focus and Scenario	<ul style="list-style-type: none"> Alerts or cases with focus domain code d, e, or de and generated by scenario High Risk Transactions – High Risk Counter Party (AC) to the Wires pool. Alerts or cases with focus domain code d, e, or de and generated by scenario Single or Multiple Cash Transaction – Possible CTR (CU) to the Structuring pool. Alerts or cases with focus domain code d, e, or de and generated by scenario Networks of Accounts, Entities (AC) or Rapid Movement of Funds – All Activity (CU) to the General pool.
3	Default	<ul style="list-style-type: none"> All alerts or cases that do not meet other rules are assigned to the AML Risk Management pool.

- Each assignment rule consists of an operation set that identifies a grouping of rules of which it is a member.
- Operations are logical expressions that can be used to evaluate alerts or cases (for example, alert score > 50). A set of operations based on the same attribute (for example, score) are grouped into an operation set.
- All operations within an operation set must be mutually exclusive and should collectively cover the entire spectrum of values for a given attribute.
- Each operation specifies the next step that is applied to alerts and cases that satisfy the operation. This next step is either an owner for the alert or case, or the next operation set, or branch, to further evaluate the alerts and cases.
- Each alert or case is evaluated against the operations within operation set one (1). Each alert or case then branches out based upon the next operation set specified for the operation within Operation Set one (1) that they satisfy. Each alert or case continues through a chain of operation sets until it satisfies an operation for which an owner has been specified. Alerts or cases that do not reach an operation that they satisfy and for which an owner has been specified, will be assigned to the Default Owner.

Note: Manually posted alerts and cases, generated by the alert correlation process, are not assigned to the default owner that is specified through the assignment editor (see Figure 28). Refer to the *Oracle Financial Services Behavior Detection Platform Administration Guide*, for more information.

Assigner Screen Elements

The following pages are associated with the Assigner Editor:

- **Assigner Editor:** This is the first page displayed when accessing the Assigner Editor Administration Tool. You can delete a rule from this page or navigate to the Assignment Rule Editor to add a new rule or modify an existing rule. Additionally, you can change the Default Owner for unassigned alerts and cases. Refer to *Assigner Editor*, on page 63 for more information.
- **Assignment Rule List for <Focus> Focus:** This page enables you to create a new rule or modify an existing rule. Refer to *Assignment Rule List for <Focus> Focus*, on page 65 for more information.
- **Assignment Rule Editor:** This page allows you to create or edit a series of rules, or operations, that are chained together to form a decision tree. Refer to *Assignment Rule Editor*, on page 65 for more information.

Assigner Editor

In the Assigner Editor, you must select a focus to view all of the assignment rules associated to that focus (Figure 25).



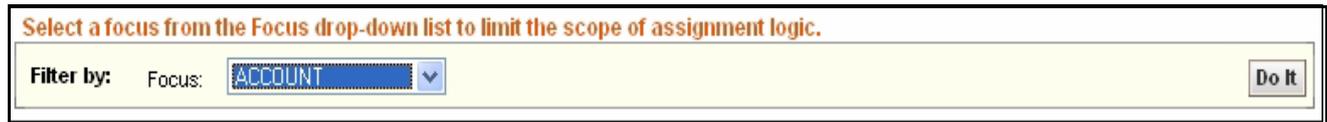
Figure 25. Assigner Editor

The components of the Assigner Editor include the following:

- Search Bar
- Default Assignment Owner Selector
- Assignment Rule List for <Focus> Focus

Search Bar

The search bar allows you to filter the list of assignment rules by the focus (Figure 26).



Select a focus from the Focus drop-down list to limit the scope of assignment logic.

Filter by: Focus: ACCOUNT Do It

Figure 26. Assigner Editor search Bar

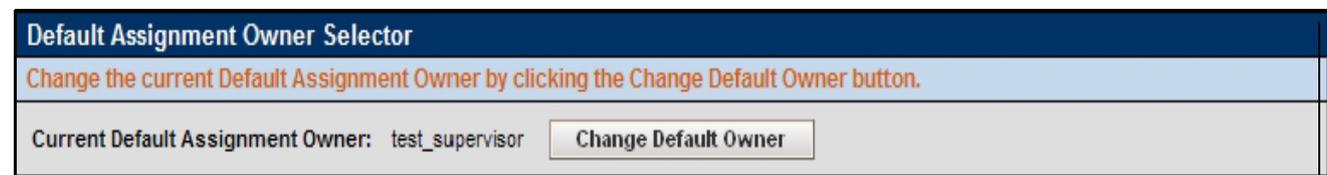
The components of the search bar include the following:

- **Filter by:** Focus drop-down list: Provides a list of focus types. The values in the Focus drop-down list are sorted in ascending alphabetic order.
- **Do It button:** When clicked, displays the assignment rules associated with the selected focus.

Default Assignment Owner Selector

The Default Assignment Owner Selector page allows you to change the default owner for alerts and cases (Figure 27).

Note: Ensure that the new default owner has permission to view *all* alerts or cases.



Default Assignment Owner Selector

Change the current Default Assignment Owner by clicking the Change Default Owner button.

Current Default Assignment Owner: test_supervisor Change Default Owner

Figure 27. Default Assignment Owner Selector

The following screen elements appear in the Default Assignment Owner Selector after you click the **Change Default Owner button** from the Assigner Editor page:

- **Current Default Assignment Owner:** Displays the name of the current owner.
Note: To change the default assignment owner, refer to *To Change the Default Assignment Owner*, on page 69.
- **New Default Assignment Owner** drop-down list: Provides a list of owner IDs available to be the Default Owner.
- **Save button:** Saves all modifications to the database.
- **Cancel button:** Redispays the Assignment Editor without the Assignment Rules list. The New Default Owner value is not saved.

Assignment Rule List for <Focus> Focus

The assignment rule list displays in the Assigner Editor after you select a focus in the search bar and click **Do It**. The rules in the list are sorted in ascending order by operation set number (Figure 28).

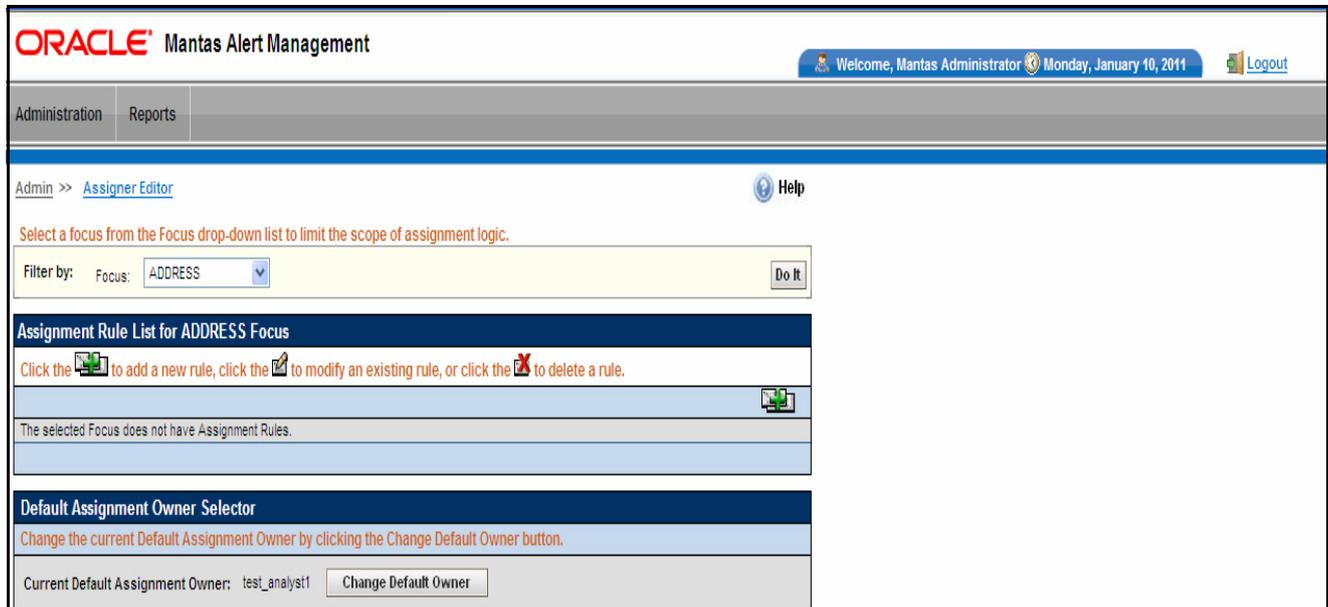


Figure 28. Assignment Rule List for <Focus> Focus

Assignment Rule List for <Focus> Focus includes the following components:

- **Add button:** Navigates you to the Assignment Rule Editor.
- **Update button:** Navigates you to the Assignment Rule Editor.
- **Delete button:** Deletes the assignment rule.
- **Assignment Rule List for <Focus> Focus** page displays the column headings: Operation Set, Attribute, Operator, Value, Next Operation Set, and Owner. Refer to *Assignment Rule Editor*, on page 65 for more information.

Assignment Rule Editor

The Assignment Rule Editor displays after you click **Add** or **Update** (Figure 29). This editor allows you to create or edit a series of rules, or operations, that are chained together to form a decision tree. A decision tree is created for each focus type. The decision trees are used to determine the owner (an individual or group of users) of each alert and case generated by the system.

Figure 29. Assignment Rule Editor

The components of the Assignment Rule Editor include the following:

- **Focus** label: Displays (but is not editable) the name of the selected focus.
- **Operation Set** text box: Specifies a grouping of mutually exclusive rules based on an attribute.
 - If you select **Add**, the **Operation Set** text box displays as blank.
 - If you select **Update**, the **Operation Set** text box field is populated with the current data for the selected rule.
 - You must create rules within Operation Set 1 before creating any additional rules. Any condition not covered by Operation Set 1 is assigned to the default assignment owner, as are all other operation sets when alerts and cases are added to them.
- **Investigation Attribute** drop-down list: Populates alphabetically with values for each attribute of the alert and case. For example, scenario class, scenario, pattern ID, score, match count, and scenario count, of which to base the rule.
 - If you select **Add**, the **Investigation Attribute** drop-down list displays a blank value (“ ”) (the default).
 - If you select **Update**, the **Investigation Attribute** drop-down list displays the current value of the selected rule, if the rule is based on an investigation attribute, rather than a business attribute.
 - If you base your rule on an investigation attribute, you cannot select a business attribute.

- **Business Attribute** drop-down list: Displays values for each attribute, excluding artificial keys (for example, sequence IDs), of the focus type, of which to base the rule.
 - If you select **Add**, the **Business Attribute** drop-down list displays a blank value (“ ”) (the default).
 - If you select **Update**, the **Business Attribute** drop-down list displays the current value of the selected rule, if the rule is based on an business attribute, rather than an investigation attribute.
 - If you base your rule on an business attribute, you cannot select an investigation attribute.
- **Operator** drop-down list: Contains the following values =, !=, >, <, <=, >=, in, contains, blanks (“ ”), and else.
 - If you select **Add**, the **Operator** drop-down list displays a blank value (“ ”) (the default).
 - If you select **Update**, the **Operator** drop-down list displays the current value of the selected rule.
 - If you base your rule on an investigation attribute or business attribute for which an enumerated list of values has been defined, only the values = and != are available in the **Operator** drop-down list.
 - If you have a list of values and you want to check if the database field is one of the values in the list, select the *in* operator in the **Operator** drop-down list.
 - If you want to check a database field that contains a comma-delimited list of values for a specific value, select the **contains** operator in the **Operator** drop-down list.

Note: The selection between the *in* and *contains* operators depends on the type of search you want to perform. Using the *contains* operator allows you to check if a database field containing a comma-delimited list of values contains a specific value. For example, checking if the Business Domain contains a particular business domain. The *contains* operator is similar to the *in* operator, but it reverses the comparison. With the *in* operator, the single value is in the field in the database, and a list of values is provided as the argument. With the *contains* operator, the list is in the database, and the single value is provided as an argument.
 - If you select the *else* operator, the *value* must be NULL; followed by a subsequent operation or alert and case owner recipient specification.

Note: The system evaluates the *else* operation after evaluating all other operations.
- **Value** text box or drop-down: Within the rule, the value of the investigation or business attribute is compared to the **Value** field. If you have selected an attribute in the **Investigation Attribute** drop-down list with defined values (Jurisdiction, Domain, Pattern ID, Scenario Name, and Scenario Class Name),

the **Value** drop-down list will contains those values. The **Value** field displays as a text box for all other attributes (for example, score or account balance).

- If you select **Add** , the **Value** text box displays a blank value (“”).
- If you select **Update**, the **Value** text box displays the current value of the selected rule.
- If you enter multiple values in the **Value** text box after having selected *IN* as the operator, separate the values with pipe (|).
- If you select the *else* operator, the **Value** must be NULL therefore, the system disables the Value text box or drop-down list.
- **Next Operation Set** text box: The number of the next operation set, or branch, to further evaluate the alert and case or assign to an owner.
 - If you select **Add**, the **Next Operation Set** text box displays a blank value (“”) (the default).
 - If you select **Update**, the **Next Operation Set** text box displays the current value of the selected rule.
 - If the result of your rule is to continue to the next operation set, you must not select an owner to assign the alert or case.
- **Owner** drop-down list: Displays available owners for both alerts and cases.
 - If you select **Add**, the **Owner** drop-down list displays a blank value (“”) (the default).
 - If you select **Update**, the **Owner** drop-down list displays the current value of the selected rule.
 - If the result of your rule is to assign the alert or case, you must not select to continue to the next operation set.

Using the Assigner Editor

This section explains the following functions of the Assignment Editor:

- To Display Assignment Rules for a Focus
- To Change the Default Assignment Owner
- To Add a New Rule
- To Modify a Rule
- To Delete a Rule

Displaying Assignment Rules for a Focus

To display the assignment rules for a particular focus from the search bar, follow these steps:

1. Select a focus from the **Focus** drop-down list.
2. Click **Do It**.

Administration Tool displays all Assignment Rules for the selected focus.

If the focus type selected does not have Assignment Rules, Administration Tool displays the message: *The selected focus does not have assignment rules.*

Changing the Default Assignment Owner

To change the default owner from the Default Assignment Owner Selector, follow these steps:

1. Click **Change Default Owner**.

The Default Assignment Owner Selector displays (Figure 30).



Default Assignment Owner Selector

Change the Default Assignment Owner by selecting a new owner in the New Default Assignment Owner drop-down list.

Current Default Assignment Owner: test_supervisor New Default Assignment Owner: test_supervisor ▼

Save or Cancel the changes you have made. Save Cancel

Figure 30. Default Assignment Owner Selector

2. Click the desired owner in the **New Default Assignment Owner** drop-down list.

Note: Ensure the new default assignment owner has permission to view *all* alerts and cases.

3. Click **Save**.

Administration Tool displays a Confirmation dialog box with the message: *Do you want to update the default alert owner?*

Note: This message is seen when the current owner has alert-specific rights and privileges. If the current owner has case-specific rights and privileges, the Administration Tool displays message as: *Do you want to update the default case owner?*

4. Click **OK**.

Administration Tool updates the default owner with the owner ID of the selected value and redisplay the Assigner Editor with only the Focus sections and the updated Default Owner section.

Adding a New Rule

To add a new rule that establishes the conditions of the assignment within the selected focus from the Assignment Rule Editor, follow these steps:

1. Click **Add**.

The Assignment Rule Editor displays.

2. Type an operation set number in the **Operation Set** text box.

You can add to an existing operation set based on the same attribute by entering the same number as the other rules in that set or you can start a new set by entering the next sequential number.

3. Select either an investigation attribute or a business attribute on which to base the rule in the **Investigation Attribute** or **Business Attribute** drop-down lists.

This attribute must be the same for any other rules within the same operation set.

4. Select an operator in the **Operator** drop-down list. If you select the *else* operation, skip to Step #6 since no value is required for this operand.

5. Type a value in the **Value** text box.

Depending on the attribute, this value can be a numeric or a text string.

6. Select either the next operation set to attach additional rules to this rule in the **Next Operation Set** text box, or select an owner to assign alerts and cases to in the **Owner** drop-down list.

Note: Ensure that the new owner has permission to view alerts and cases with the attributes specified in the rule.

7. Click **Save**.

The system creates the new rule and redisplay the Assigner Editor with the new rule.

To ensure that all alerts and cases are appropriately assigned, rules within an operation set should cover the complete range of values for a given attribute. For example, in the following rules, the assignment logic does not cover alerts with score values between 50 and 60 and would thus assign alerts with scores in this range to the Default Owner.

- Operation Set 2, Attribute REVIEW.score, Operator <, Value 50, Owner JonesRJ.
- Operation Set 2, Attribute REVIEW.score, Operator >, Value 60, Owner SmithJB.

Modifying a Rule

To modify the rule that establishes the conditions of the assignment within the identified focus from the Assignment Rule Editor, follow these steps:

1. Click **Update** for the desired rule.

The Assignment Rule Editor displays.

2. Do one or more of the following:

- Modify the operation set number in the **Operation Set** text box.
- Modify the investigation attribute or a business attribute on which to base the rule from the **Investigation Attribute** or **Business Attribute** drop-down lists.

This attribute must be the same for any other rules within the same operation set.

- Modify the operator in the **Operator** drop-down list.
- Modify the value in the **Value** text box.

Depending on the attribute, this value can be a numeric or a text string.

Modify the next operation set to attach additional rules to this rule in the **Next Operation Set** text box, or select an owner to assign alerts and cases to in the **Owner** drop-down list.

3. Click **Save**.

The system updates the rule and redisplay the Assigner Editor with the rule's updates.

Rules within an operation set should cover the complete range of values for a given attribute, to ensure that all alerts and cases are appropriately assigned. For example, assume you specify the following rules:

- Operation Set 2, Attribute REVIEW.score, Operator <, Value 50, Owner JonesRJ.
- Operation Set 2, Attribute REVIEW.score, Operator >, Value 60, Owner SmithJB.

This assignment logic does not cover alerts with score values between 50 and 60 and would assign alerts with scores in this range to the Default Owner.

Deleting a Rule

To delete an existing Assignment Rule for a focus from the Assignment Rule Editor, follow these steps:

1. Click **Delete** for the associated rule.

The Confirmation dialog box displays the message: *Do you want to delete the selected Assignment Rule?*

2. Click **OK** to delete the rule.

The system removes the rule and redisplay the Assigner Editor.

Threshold Analyzer

This chapter introduces you to the Threshold Analyzer utility and describes how you can view and operate the source business and Threshold Analyzer data. It also explains how the user interface is organized, how the application uses the data, and how to view reports as per your setting. This chapter focuses on the following topics:

- Introduction to the Threshold Analyzer
- Understanding the Graph Display

Introduction to the Threshold Analyzer

The Threshold Analyzer utility leverages decisions made by analysts on past alerts to help tune the scenarios and their thresholds going forward. The goal is to reduce the number of false positive alerts. Past alerts are analyzed and categorized to identify the quality of the alert. This utility helps to identify correlations between alert attributes and alert quality.

Oracle Financial Services application scenarios calculate *binding* values as part of behavior detection. Many of these can be used to *simulate* thresholds. The Threshold Analyzer allows users to plot the actual values of those bindings for alerts on a graph relative to the determined quality of those alerts. For example, analysis of the graph might reveal that when the binding value for the Total Transaction Amount associated with an alert was below a certain level, most alerts were considered to be non-productive or representing a false positive. This would suggest that raising thresholds based on the Total Transaction Amount for the selected scenario could eliminate some false positives.

The Threshold Analyzer utility is a component that utilizes Oracle Business Intelligence Enterprise Edition (OBIEE) software. This utility operates as a standalone utility meaning that, while it falls within the category of administrative tools, it is not actually accessible via the Oracle Financial Services Administration Tools user interface. The Threshold Analyzer is accessed via a separate URL. Contact your System Administrator for the exact Web address to be used.

Getting Started

Note: To access the Threshold Analyzer via Reports, OBIEE software must be installed and you need to have a valid user name and password.

To login, follow these steps:

1. Navigate to the Login page for the application alert administration or case administration application.
2. Enter your **User ID**.
3. Enter your **Password**.
4. Click **Log In**, in the application page.

Note: The language selected is reflected only in the product-related titles and messages. The reports are displayed in English.

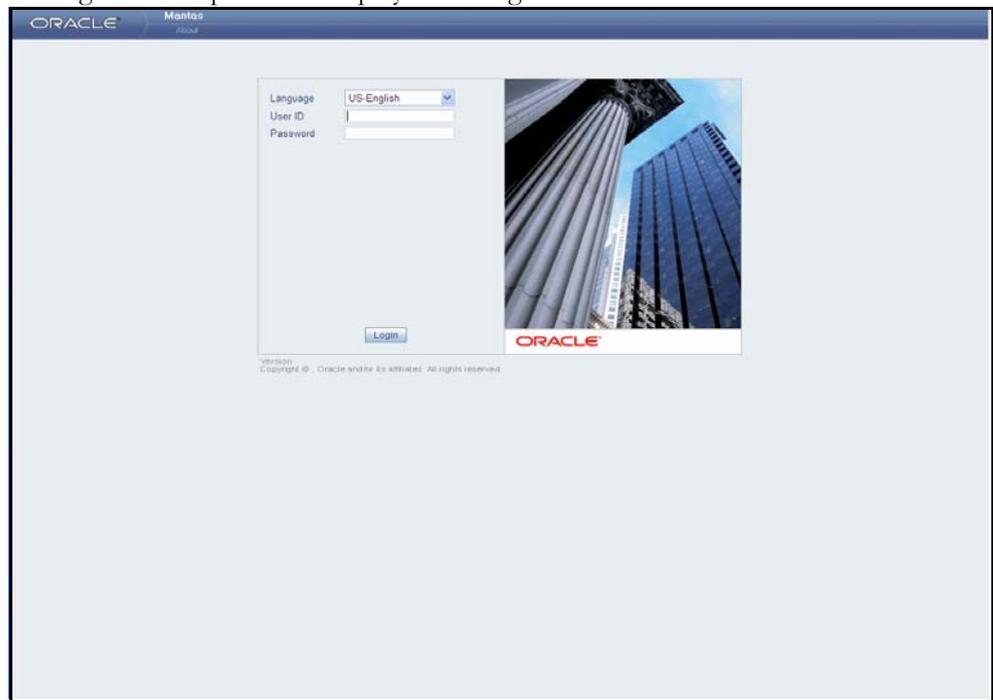


Figure 31. Application Login

Homepage

To navigate to the Threshold Analyzer application, select the Threshold Analyzer option from the Reports primary navigation menu. On successful login, the homepage is displayed with Reports menu option. On clicking the Reports option, the OBIEE Dashboard page is displayed (Figure 32).

When the user is an Administrator

Users with administrative or data miner roles will default to the Threshold Analyzer Report. (Figure 32).

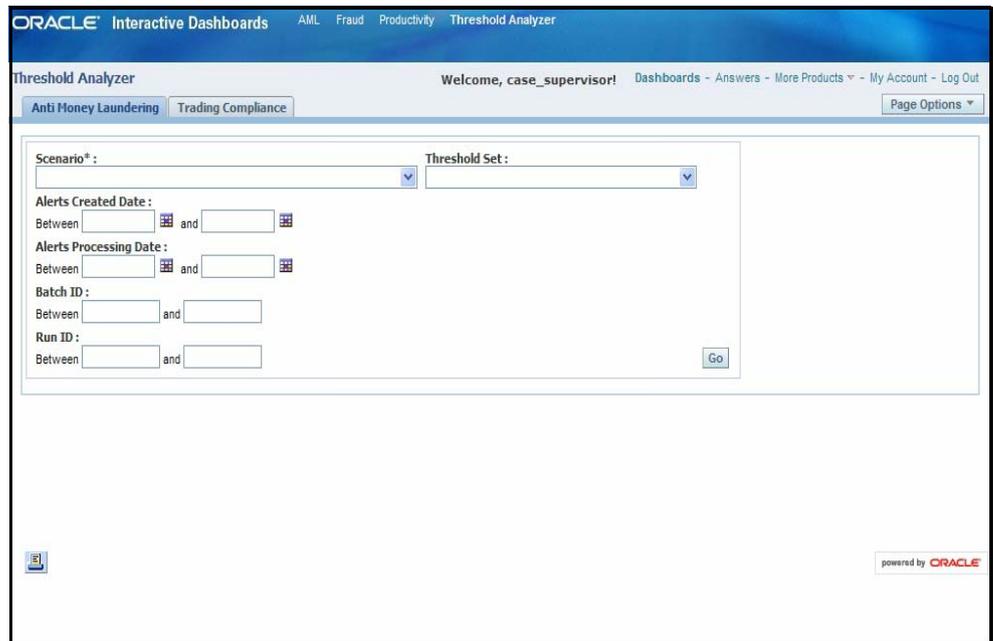


Figure 32. Dashboard Page

If you have logged out from the Answers page, the next time you login you are directly taken to the Answers page (Figure 33).

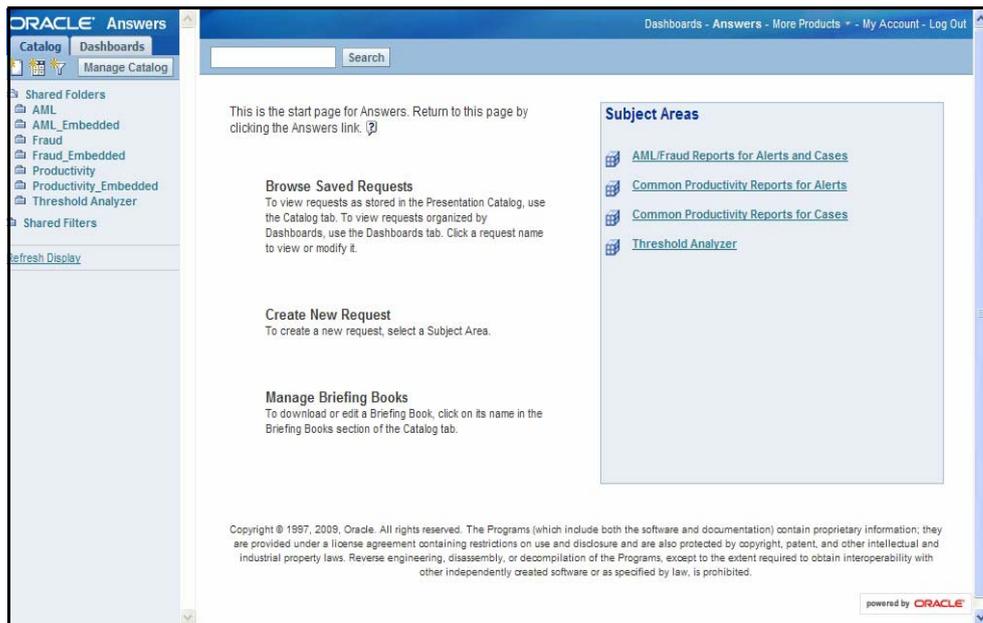


Figure 33. Answers Page

When the user is not an Administrator

If you are not an Administrator, the homepage is always the dashboard.

On login, if dashboard is displayed as home page, you can see four dashboards—AML, Fraud, Productivity, and Threshold Analyzer. By default, the dashboard seen is AML. Click **Threshold Analyzer** to view the Threshold Analyzer dashboard (Figure 34).

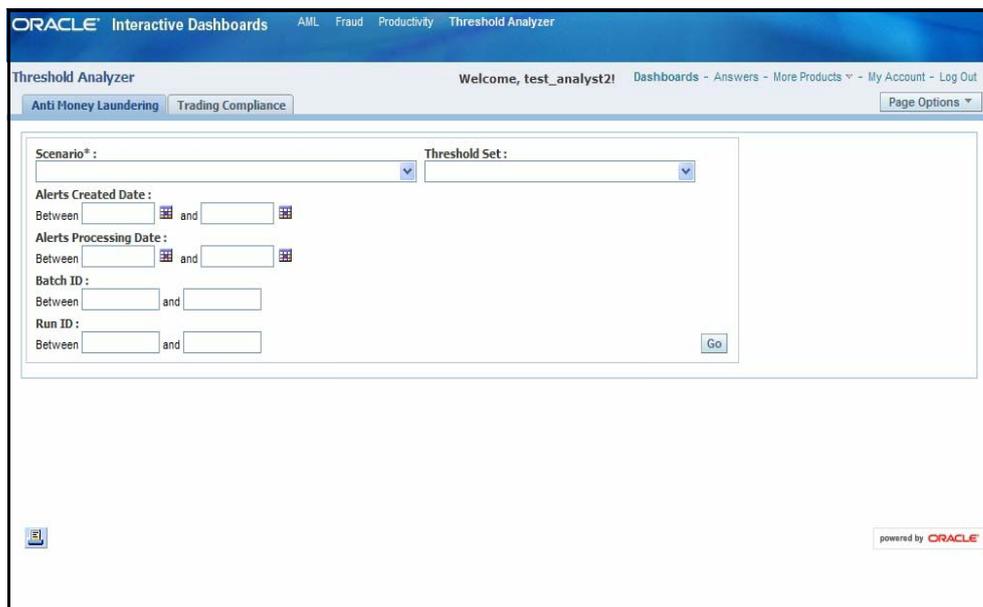


Figure 34. Threshold Analyzer Dashboard

Here, you can see a tab for each scenario class for which scenarios have been installed. For example, as shown in Figure 34, Anti Money Laundering and Trading Compliance scenarios have been installed.

Initial Report Filters

Initial Report Filters are those filters that are always available, regardless of the scenario class or scenario selected for analysis. This section displays when you log into the Threshold Analyzer dashboard and select a scenario class tab. These filters can be used to filter your analysis based upon a Scenario and Threshold Set, as well as alert create dates or processing dates, or filtering based on a particular processing job run ID or a processing batch ID (Figure 35).

Figure 35. Initial Report Filters

- **Scenario:** This field is mandatory to specify and lists scenarios associated to the corresponding scenario class. The values in the Scenario drop-down contain the scenario name concatenated with the focus type in parenthesis.
- **Threshold Set:** Values in this field are populated depending on the scenario selected. If the scenario is changed, the Threshold Set values corresponding to that scenario are populated. Initially, when no scenario is selected, the drop-down lists all possible threshold sets associated with your set of scenarios.
- **Alerts Created Date:** The alert created date represents the system date of the creation of the alert. In this date filter, you can specify the date range by entering a *from* and *to* date (represented by the *Between* and fields) or selecting the dates using the calendar control. The *from* date should always be less than the *to* date. Data must be in the MM/DD/YYYY format. By default, the date fields are blank.

If you enter only a *from* date, keeping the *to* date blank, the system fetches the data based on where the alert created date is greater than or equal to the given date. Similarly, if you enter only a *to* date then the system fetches data based on where the alert created date is less than or equal to the given date.

- **Alerts Processing Date:** The alert processing date represents the business date associated with the creation of the alert. In this date filter, you can specify the date range by entering a *from* and *to* date (represented by the *Between* and *and*

fields) or selecting the dates using the calendar control. The *from* date should always be less than the *to* date. Data must be in the MM/DD/YYYY format. By default, the date fields are blank.

If you enter only a *from* date, keeping the *to* date blank, the system fetches the data based on where the alert processing date is greater than or equal to the given date. Similarly, if you enter only a *to* date then the system fetches data based on where the alert processing date is less than or equal to the given date.

- **Batch ID:** Behavior detection cycles are associated with a processing batch, which is assigned a unique identifier for each execution of the detection batch cycle. Using this filter you can specify a range of batch identifiers by entering *from* and *to* batch identifier values (represented by the *Between* and *and* fields) in the text box. Only positive values can be entered in these text boxes. The *from* Batch ID value should always be less than the *to* Batch ID value. You are allowed to enter only numeric values in these fields.

If only a *from* Batch ID is entered then the report fetches data based on where the batch identifier is greater than or equal to the given batch ID. Similarly, if you enter only a *to* Batch ID then the report fetches data based on where the batch identifier is less than or equal to the given value.

- **Run ID:** Within a behavior detection batch cycle, detection jobs are associated with job runs. Each job run receives a unique run identifier. Using this filter you can specify a range of run identifiers, or individual identifiers in a similar manner as described for the Batch ID filter. As for the Batch ID filter, the Run ID filter accepts only positive values and the *from* Run ID value should always be less than the *to* Run ID value and the filter accepts only numeric values.

If only a *from* Run ID is entered then the report fetches data based on where the run identifier is greater than or equal to the given run ID. Similarly, if you enter only a *to* Run ID then the report fetches data based on where the run identifier is less than or equal to the given value.

Executing a Threshold Analyzer Report

By default, the Threshold Analyzer reports are not displayed upon login and the page shows the *No Result For The Selected Criteria* message as shown in Figure 36. To view the report, enter search values in your desired filters and click **Go**. The Additional Filters selection section opens (see *Using Additional Filters*, on page 79) and the Threshold Analyzer scatter graph statistical reports and their associated graphs open. For information about understanding graph display, see *Understanding the Graph Display*, on page 83.

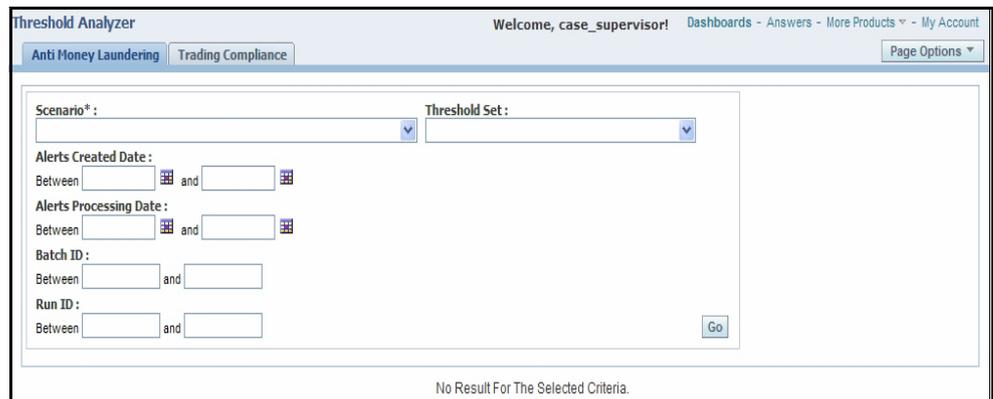


Figure 36. Default Page

Using Additional Filters

Additional filters can be optionally specified, where the additional filter options are driven by the selection of a scenario and the subsequent identification of scenario specific binding variables. The number and type of additional filters depends on the scenario selected. The Additional Filters section does not appear until you have clicked **Go** in the initial report filters section to generate the initial graph. The Additional Filters section appears below the initial report filters section but above the resulting graph. By default, additional filters are not applied to the initial results (Figure 37).

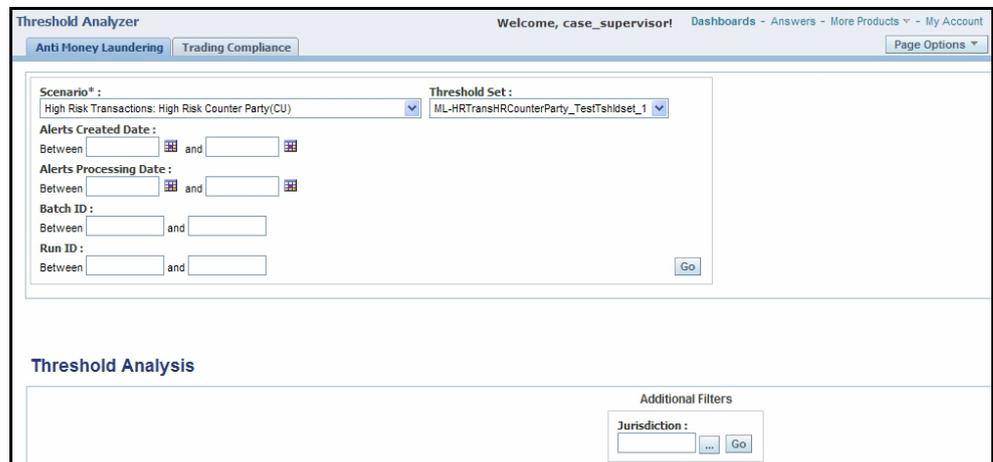


Figure 37. Additional Filter

To specify a value for use as an additional filter, you need to click on the ellipsis icon (...) next to the filter (as shown in Figure 37) to open a multi-select box (Figure 38)

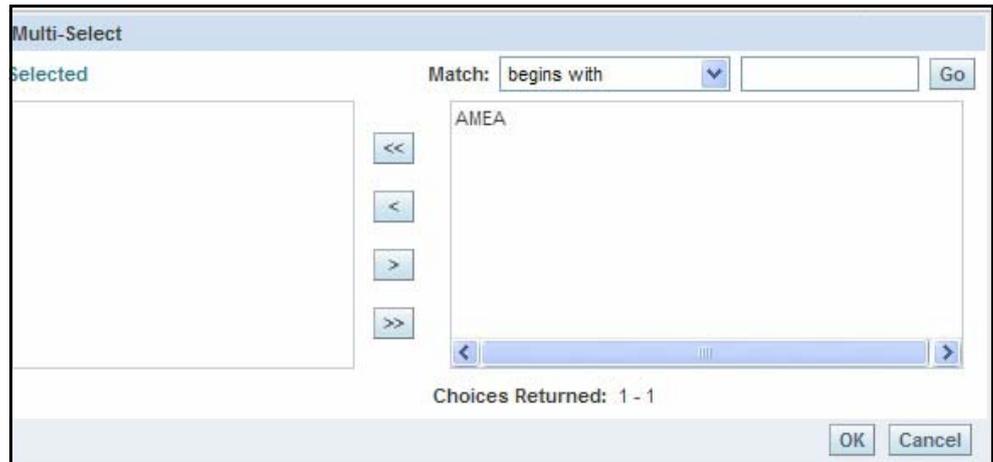


Figure 38. Additional Filter with Value

Follow these steps:

1. Select one or more desired filter values from the list of available values in the right hand list of the selection box. Move the selected filter values from the right hand list to the left using **<**.
2. To filter by all possible values, click **<<** to move all values into the Selected list.
3. To remove a filter value from the Selected list, select the filter value and click **>**. To remove all values from the Selected list click **>>**.
4. If the list of possible values for use as filters is lengthy then you can narrow the list by using the Match filter drop-down to bring back a subset of values to be displayed in the right hand list.
5. Once you are satisfied with your selection of additional filters, click **OK** to save these as searchable values or click **Cancel** to cancel your selections.
6. Once you have finished selecting any additional filters you would like to apply. Click **Go**. The scatter graph and the report statistics refreshes to show the result of applying the additional filters.

Modifying Axis Selections

The scatter graph is dependent on the values selected in the Axis drop-downs. Values in the Axis selection drop-downs represent bindings that are calculated for a scenario during the detection process and are specific to the scenario that has been selected in the Initial Filters section. These bindings often represent the values that are compared to the scenario's threshold parameters in order to determine whether or not to trigger an alert. For example, if a scenario has a threshold parameter for Minimum Total Transaction Amount, the value calculated and captured in the binding Tot Trans Amt is what is compared to the threshold value. Selecting Tot Trans Amt for use on an axis allows you to graphically plot the actual total transaction amounts that met or exceeded the scenario's Minimum Total Transaction Amount threshold. Additionally, axis selections may represent bindings that are calculated and captured for the purpose of providing parameters for use in setting up scoring rules. Being able to specify a scoring variable for a graph axis allows you to see what bindings might be useful for establishing scoring rules, based upon where on the axis the productive versus non-productive alerts fall. Being able to select and graphically display two different variables will allow you to experiment with combinations of bindings to get an understanding of how to effectively set your thresholds to work together to eliminate false positive alerts.

The graph is initially generated using the first value as shown in the X axis selection drop-down and the second value as shown in the Y axis drop-down upon selection of **Go** in the initial report filters section. You have the option to select a different value for the vertical (Y) and the horizontal (X) axis of the scatter graph. The graph refreshes upon the selection of a value in either axis. To change both axis variables it is necessary to select one and allow the graph to refresh before selecting a different value for the second axis. Figure 39 shows the axis selection drop-down.

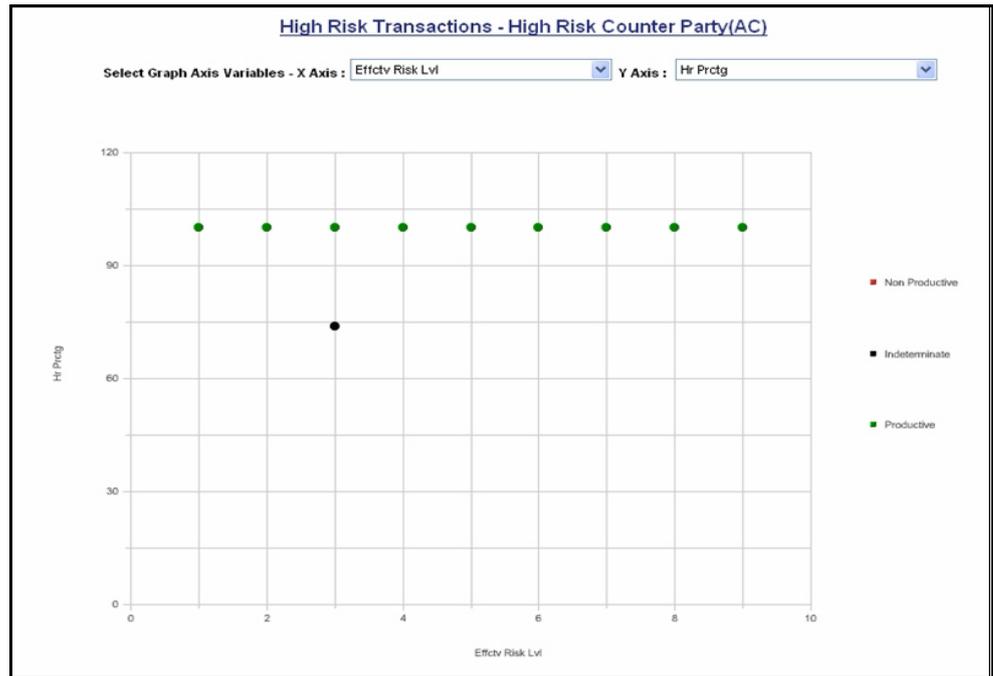


Figure 39. Axis Selection

Understanding the Graph Display

Each dot on the graph represents a match. By definition a match is the collection of records that satisfy the logic and criteria of a scenario pattern. An alert is generated during post-processing and is defined as one or more matches packaged and presented on the Oracle Financial Services application user interface for analysis and action. If multiple matches are found that are closely related for the same focus (that is, instances of the similar behaviors by the same entity), the matches can be combined to create a single alert, called a multi-match alert. So a single alert may be represented by multiple dots (matches) on the graph if that alert was a multi-match alert.

The scatter graph uses dots of differing colors to represent the quality rating of individual matches. By default, the Threshold Analyzer uses three categories of quality rating. By default, match quality rating is classified based upon the closing classification associated with a closing action on the alert, where possible classifications include Productive, Non Productive, and Indeterminate. For a multi-match alert, the closing classification for that alert is applied to each match that is part of that alert. Each match is plotted positionally on the graph based upon the match's actual binding value that is associated with the binding variables represented by the X and Y axis.

For example, if the X axis is the variable *Tot Trans Amt* and the Y axis is the variable *Tot Trans Ct*, the match is displayed on the graph relative to the *Tot Trans Amt* and the *Tot Trans Ct* actually involved in, and bound by, the match. Figure 40 shows an example of a scatter graph.

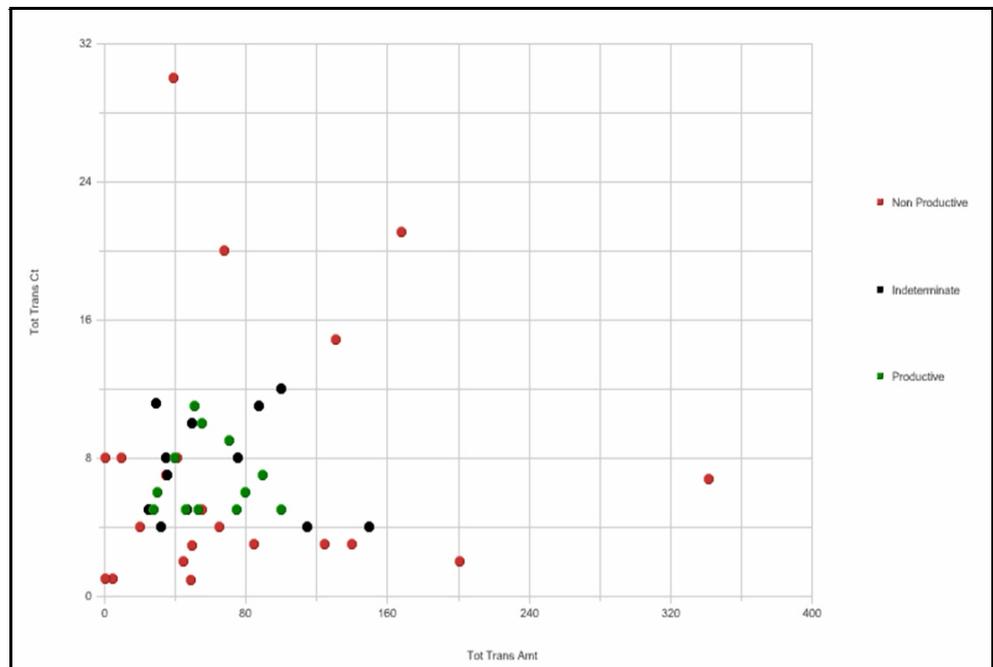


Figure 40. Scatter Graph

The closing classifications associated with the alert closing actions are configurable per implementation (refer to the *Oracle Financial Services Behavior Detection Platform Configuration Guide* for information on how to modify closing classifications). Additionally, the logic used to determine what attribute of an alert is used to rate the quality (does not have to be the closing classification code) is configurable per implementation.

How to Interpret Results

These are the following three types of alerts:

- **Productive:** green dots on the graph show the alerts that are Productive
- **Non-Productive:** red dots on the graph show the alerts that are Non-Productive
- **Indeterminate:** black dots on the graph show the alerts that have been closed with a reason considered to be Indeterminate (action does not indicate definitively whether the alert was of quality or a false positive)

The location and concentration of the Productive, Indeterminate, and Non-Productive alerts on the scatter graph can represent at what value ranges or boundaries the thresholds associated with the X and Y axis variables are most effective. Refreshing the graph using various combinations of axis variables can provide a comprehensive view of what settings are likely to produce the most effective and quality alerts.

For example, using the graph results shown in Figure 40, you can review the results and draw the following conclusions:

- Productive alerts for this scenario have a total transaction count between 5 and 11
- Productive alerts for this scenario have a total transaction amount between approximately \$20K and \$100K
- You can eliminate false positives without losing any Productive or Indeterminate alerts by raising the *Min Total Trans Amt* threshold for this scenario to \$15K
- You can eliminate false positives without losing any Productive or Indeterminate alerts by raising the *Min Total Trans Ct* threshold for this scenario to 4
- You can use scoring to reflect that the alerts with an amount > \$100K are less likely to be Productive
- You can use scoring to reflect that alerts with a count > 12 are less likely to be productive

Understanding Report Statistics

The Report Statistics section shows two sets of matrices and graphs. The first set of statistics displays the percentage of alerts returned by your search as they breakdown across the quality rating categories. The second set of statistics displays the minimum, maximum, median, and average values across certain binding variables associated with the scenario and the alerts returned as a result of your search.

Summary Counts

The summary counts display results in a tabular and line-bar combo graph. The tabular report shows the total number of matches, total number of alerts, and the percentage of the total number of alerts that is represented in each quality category. The Grand Total is calculated as the sum of matches across all categories and the sum of alerts across all quality categories. The sums returned are irrespective of the axis variables used and represent primarily a count of alerts/matches by quality category. The percentage of alerts represented in each category is calculated by the formula:

$$(\text{Total count of alerts for individual category} / \text{Grand Total of alerts}) \times 100$$

In the line-bar combo graph (Figure 41), the clustered bar graph shows the total number of matches in blue and total number of alerts in red over the three default quality categories - productive, non-productive, and indeterminate. The green colored line shows the percentage of alerts distributed over each category.

These statistics should provide you a high level understanding of how your alerts have been ranking, in terms of quality.



Figure 41. Summary Counts

Understanding the Minimum, Maximum, Average and Median Statistics

This statistical graph shows minimum, maximum, average, and median value of certain binding variables for each category of alerts. The binding variables represented in the report statistics are pre-defined based upon the current scenario being analyzed and are not driven by the X and Y axis variables selected for the scatter graph. These variables may differ from scenario to scenario and are meant to represent those variables likely to be most influential in the generation of an alert. Understanding the minimum and maximum values represented in the results, as well as the average and median values being returned for bindings representing some of the more impactful thresholds, provides a better view of the alerts represented in the search results and gives greater context to your analysis.

In the report, Minimum columns show the minimum value of the relevant binding variable returned for all alerts in the current search, by quality category. Maximum columns show the highest value of the relevant binding variable returned for all alerts in the current search, by quality category. Average columns show the average amount of the relevant binding variable returned for all alerts in the current search, by quality category. Median columns show the middle value of the relevant binding variable returned for all alerts in the current search, by quality category.

This statistical report utilizes a tabular representation as well as two vertical bar graphs. The tabular view basically shows the min, max, average and median amount and count of alerts for each quality category. The graphical view gives clustered bar graph min, max, average and median amount and count for each category. For productive alerts the bar comes in green, non-productive comes in red, and indeterminate comes in black color, by default (Figure 42).

Note: All scenarios may not report on two distinct sets of bindings. As available binding variables may vary based on the selected scenario, this statistical graph also varies scenario to scenario and is based on pre-defined columns for each scenario. The results refresh only with application of new static filters. It is independent of additional filter as well as graph axis filter. For those scenarios the report may only display one graph

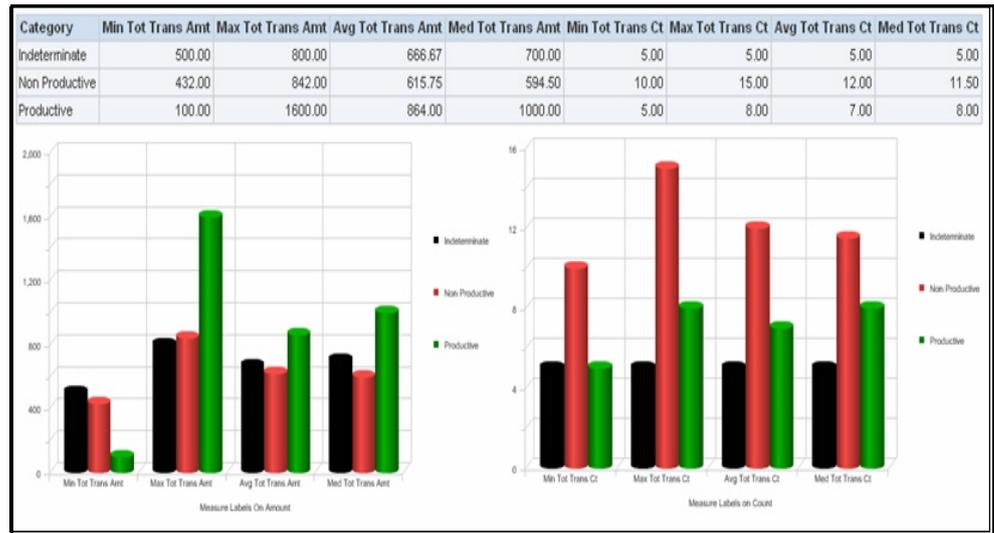


Figure 42. Minimum, Maximum, Average, and Median Statistics

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