Enterprise Case Management User Guide

Release 6.2.3
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About this Guide

This guide explains the concepts of Enterprise Case Management, Release 6.2.3, and provides step-by-step instructions for navigating the web pages, analyzing cases, acting on cases, researching business information.

This chapter focuses on the following topics:

- Who Should Use this Guide
- How this Guide is Organized
- Where to Find More Information
- Conventions Used in this Guide

Who Should Use this Guide

The *Enterprise Case Management User Guide*, Release 6.2.3 is designed for the following users:

- **Case Initiator**: This user manually creates cases for AML/Fraud cases types.

- **Case Analyst:** This user works on the cases within the application frequently. This user's specific role (that is, Case Analyst I or Case Analyst II) determines what this user can see and do within the application.

- **Case Supervisor:** This user works on cases within the application on a daily basis and is typically a higher level Analyst or Compliance Officer.

- **Case Executive:** This user may not be involved in the day-to-day analysis of cases; however, this user can view many areas within the application and can perform only a limited set of actions.

- **Case Auditor**: This user has broad viewing rights for cases within the application; however, this user can perform a limited set of actions based on the user's role (that is, Case Internal Auditor or Case External Auditor).

- **Case Viewer**: This user has specific viewing rights to the cases. This user's specific role (that is, Case Viewer I or Case Viewer II) determines what this user can see within the application.

- **KYC Analyst**: This user works on Know Your Customer (KYC) cases within the application on a daily basis and performs actions defined for analyst user role.

- **KYC Supervisor**: This user works on Know Your Customer (KYC) cases within the application on a daily basis and performs actions defined for supervisor user role.

- **Relationship Manager**: This user can view all the Know Your Customer (KYC) assessments that are in Hold statuses.

- **FATCA Analyst**: This user can view and analyze the (Foreign Account Tax Compliance Act) FATCA Assessments, promote an Assessment to a FATCA Case, view and analyze a FATCA Case, and view and add Withholding Transactions.

- **FATCA Supervisor**: This user can view and analyze the (Foreign Account Tax Compliance Act) FATCA Assessments, promote an Assessment to a FATCA Case, view and analyze a FATCA Case, and view and add Withholding Transactions.

- **FATCA Administrator**: This user is responsible for managing the static data used in FATCA rules, creating users, mapping users to user groups, and configuring the various parameters used in FATCA.

- **FATCA Auditor**: This user is responsible for auditing the FATCA Assessments, FATCA Cases and Withholding Transactions. This user can access all the modules in FATCA Management solution and will have a *View Only* access.

How this Guide is Organized

The *Enterprise Case Management User Guide,* Release 6.2.3, includes the following chapters:

- Chapter 1, *About Enterprise Case Management,* provides an overview of Enterprise Case Management application, how it works, and what it does.

- Chapter 2, *Getting Started,* includes instructions on how to configure your system, access Enterprise Case Management application, and exit the application.

- Chapter 3, *About Enterprise Case Management' Web Pages,* explains common elements of the interface.

- Chapter 4, *Investigating Cases,* explains the AML/Fraud case type workflows.

- Chapter 5, *Investigating KYC Assessments and Cases,* explains the KYC Assessments and KYC Case type workflows.

- Chapter 6, *Investigating FATCA Assessments and Cases,* explains the FATCA Assessments, FATCA Cases, and Withholding Transactions workflows.

- Chapter 7, *Working with Regulatory Reporting,* explains how Regulatory Reporting is integrated with the application and allows users to generate reports with information relevant to the investigation.

- Chapter 8, *Generating Interactive Analytic Reports,* describes the Interactive Analytic reports available in Enterprise Case Management.

- Chapter 9, *Setting User Preferences,* explains how to setup Enterprise Case Management preferences.

- Appendix A, *Message Pages* explains error and status pages that are not directly related to the business function of the application.

- The *Index,* provides an alphabetized cross-reference list that helps you to locate information quickly.

Where to Find More Information

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

- *Administration Guide*
- *Configuration Guide*
- *Alert Management User Guide*
- *Data Interface Specification (DIS)*
- *Installation Guide - Stage 3*
- *Release Notes*
- *Anti-Money Laundering Technical Scenario Descriptions*

- *Fraud Technical Scenario Descriptions*

- *KYC Risk Assessment Guide*

- *FATCA Administration and Configuration Guide*

- *FATCA Assessment Guide*

- *FATCA Data Interface Specification*

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Conventions Used in this Guide

Table 1 provides the conventions used in this guide.

Table 1. Conventions Used in this Guide

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

About Enterprise Case Management

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

This chapter covers the following topics:

- Introduction to Enterprise Case Management

- Workflow of Financial Crime and Compliance Management

- Data Ingestion

- Behavior Detection

- Post Processing

- Alert Management

- Enterprise Case Management

- About Interactive Analytic Reports

Introduction to Enterprise Case Management

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

Additionally, Enterprise Case Management can be used to investigate and perform due diligence on Know Your Customer (KYC) and Foreign Account Tax Compliance Act (FATCA) Assessments which are promoted to a case.

Workflow of Financial Crime and Compliance Management

The following figure illustrates the workflow of Financial Crime and Compliance Management:
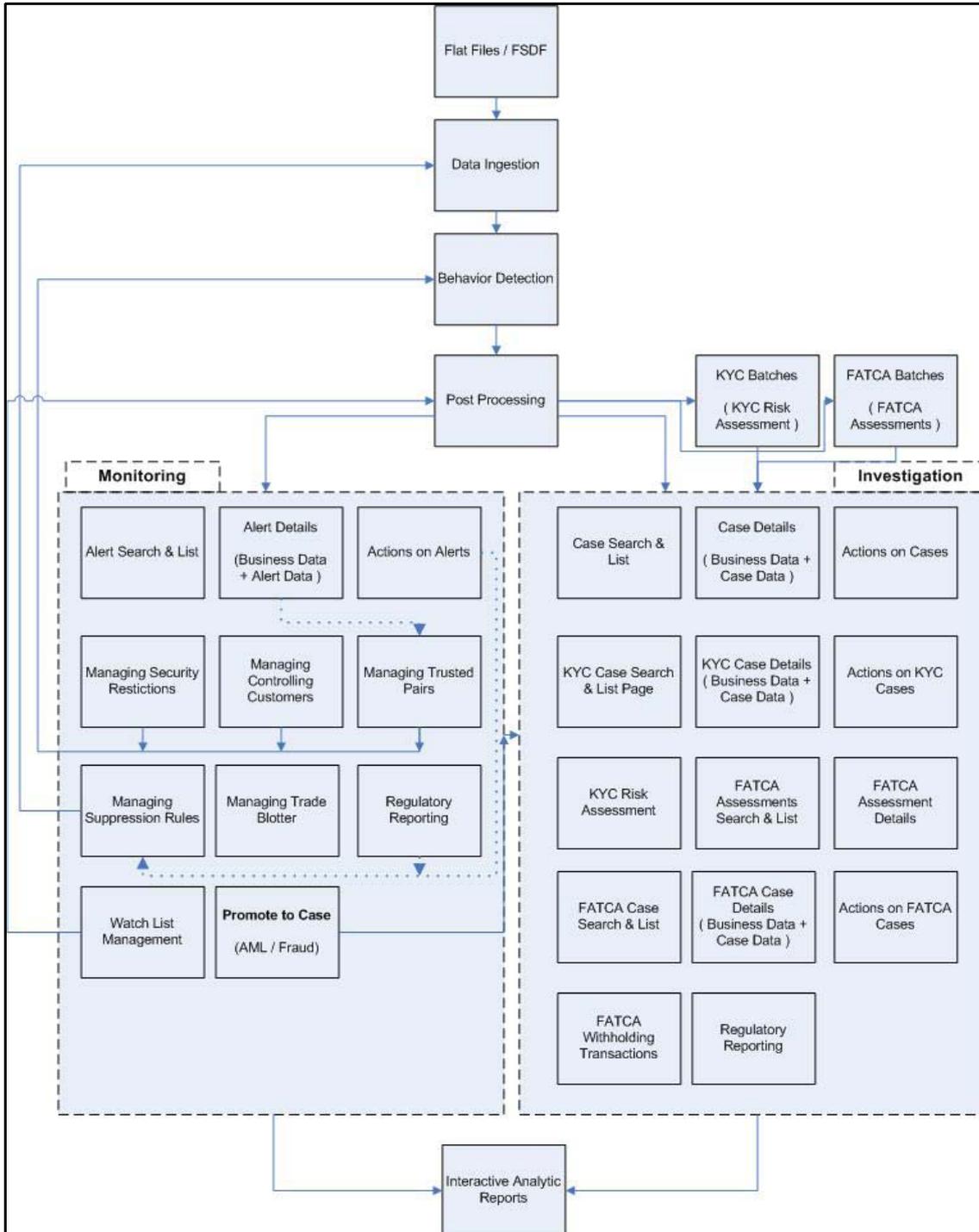
Figure 1. Workflow of Financial Crime and Compliance Management

Data Ingestion

The Ingestion Manager receives, transforms, and loads Market data, Business data (such as, Transactions or Orders and Trades), and Reference data (such as Account and Customer and Employee information) that alert detection processing requires. The Ingestion Manager typically receives Market data from a real-time Market data feed or file adapter interface, and both Business and Reference data through the file adapter interface. The Data Ingestion subsystem transforms Market, Business, and Reference data to create derived attributes that the detection algorithms require (much of the loaded data is as is). The system extracts and transforms data and subsequently loads the data into the database. After loading the base tables, the OFSBDF client's job scheduling system invokes BDF datamap XML to derive and aggregate data. The Data Ingestion component also uses the Fuzzy Name Matcher Utility to compare names found in source data with names in the Watch List.

The Oracle client implements Ingestion Manager by setting up a batch process that conforms to the general flow that this chapter describes. Typically, the system uses a job scheduling tool such as Maestro or Unicenter AutoSys to control batch processing of Ingestion Manager.

Behavior Detection

The Behavior Detection Framework uses sophisticated pattern recognition techniques to identify behaviors of interest, or scenarios, that are indicative of potentially interesting behavior. A pattern is a specific set of detection logic and match generation criteria for a particular type of behavior. These behaviors can take multiple representations in a firm's data.

The software detects behavior that matches the logic and criteria defined by specific patterns. When one or more data records equal a scenario's pattern of behavior, a match is created. Records that contribute to the exhibition of the behavior are associated to the match as matched records and display in the Behavior Detection Framework as building blocks. The entity that is responsible for the behavior of interest is considered the focus of the match. Examples of focus types are account, execution, correspondent bank, and employee.

The Behavior Detection Framework generates an alert to package one or more matches for analysis and action. If multiple matches are found that are closely related for the same focus (that is, instances of similar behaviors by the same entity), the matches can be combined to create a single alert, herein referred to as a multi-match alert, to help the analysis of the found behaviors.

Scenarios representing related business problems are grouped into scenario classes. Scenario classes are categories of behaviors or situations that have common underlying characteristics. Depending on your deployment, one or more of the following solution sets are available: Anti-Money Laundering (AML) and Fraud (FR), Trading Compliance (TC), Broker Compliance (BC), and Energy and Commodity Trading Compliance (ECTC).

The pages that are available within the Behavior Detection Framework User Interface (UI), the fields on those pages, and the actions you can take are based on your firm's deployment of the solution. There is a base set of pages that displays for all cases (for example, the Case Data tab pages). For more information on different types of data tabs, refer to section *Navigating Data Tabs*.

Scenarios

The Behavior Detection Framework detection modules are divided into scenarios that typify specific types of business problems or activities of interest. The scenarios within Behavior Detection Framework are grouped into scenario classes that represent categories of behaviors or situations that have common underlying characteristics. The scenario class dictates the action choices available and the data that displays to you while an alert is processing.

Post Processing

During post-processing of detection results, Behavior Detection prepares the detection results for presentation to users. Preparation of the results depends upon the following processes:

- **Augmentation**: Collects additional information related to the matched behavior and focus for pattern detection, which enables proper display or analysis of the generated matches.

- **Match Scoring**: Computes a ranking for scenario matches indicating a degree of risk associated with the detected event or behavior.

- **Alert Creation**: Packages the scenario matches as units of work (that is, alerts), potentially grouping similar matches together, for disposition by end users.

- **Update Alert Financial Data**: Records additional data for alerts such as the related Investment Advisor or Security involved in the alert which may be useful for display and analysis.

- **Alert Scoring**: Ranks the alerts (including each match within the alerts) to indicate the degree of risk associated with the detected event or behavior.

- **Alert Assignment**: Determines the user or group of users responsible for handling each alert or case.

- **Auto-Close**: Based on configurable rules, closes alerts which are considered to be of lower priority based on attributes of the alert or the alert focus.

- **Automatic Alert Suppression**: Suppresses alerts that share specific scenario and focal entity attributes for a particular time frame. This process will only impact alerts which match suppression logic defined for a specific scenario and focal entity combination.

- **Highlight Generation**: Generates highlights for alerts that appear in the alert list in the Alert Management subsystem and stores them in the database.

- **Augment Trade Blotter**: Provides the ability to differentiate between various types of trades using text-based codes. It also provides the ability to flag trades that require additional analysis before an analyst can mark trade as Reviewed or Reviewed with Follow up.

- **Score Trade Blotter**: Determines the maximum score of alerts generated in the same batch cycle associated with a trade; also determines the alert/trade mappings.

- **Historical Data Copy**: Identifies the records against which the current batch's scenario runs generated alerts and copies them to archive tables. This allows for the display of a snapshot of information as of the time the alert behavior was detected.

- **Alert Correlation**: Uncovers relationships among alerts by correlating alerts to business entities and subsequently correlating alerts to each other based on these business entities. The relationships are discovered based on configurable correlation rule sets.

Alert Management

OFSBDF routinely generates alerts as determined by the configuration of the application in your environment, typically nightly, weekly, monthly, and quarterly. Alerts can be automatically assigned to an individual or group of users and can be reassigned by a user. Once matches have been generated and alerts created and assigned, OFSBDF provides a User Interface (UI) for the investigation and disposition of those alerts. The Alert Management UI allows users to review details of the behavior which led to the alert, information about the focus of the alert, and a history of behavior related to the focus. Users can take actions on an alert using OFSBDF, and move it through a series of statuses to a final disposition.

Enterprise Case Management

Enterprise Case Management supports the investigation and resolution of cases. All cases are investigated through Enterprise Case Management. Once created, a case is taken through various statuses as part of investigation and reaches closure through resolution actions.

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

Enterprise Case Management supports product default case types and subtypes that drive the Investigation workflow. Case types and subtypes are configurable values and can be defined by your firm to meet your business needs. The product supports investigations that fall within the case classifications of Anti Money Laundering (AML), Fraud, Know Your Customer (KYC) and Foreign Account Tax Compliance Act (FATCA). All defined case types and subtypes must be associated with one of these case classifications.

Enterprise Case Management UI

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

The Case Data tab pages consist of Case Details, Correlations, Financials, (displayed by default for Fraud classification Case Type only), Relationships, Narrative, Evidence, and Audit tabs. Similarly, for KYC classification Case Types, the KYC Case Data tab pages consist of Risk Assessment, Enhanced Due Diligence, Relationships, Narrative, Evidence, and Audit tabs. These pages display information pertaining to the type and subtype of the case as well as investigation steps and actions. The FATCA Assessments Details consist of Account or Customer FATCA Assessment Indicators, Related FATCA Assessments, Related Cases, and Promote to Case button.

For more information on KYC Risk Assessments, refer *KYC Risk Assessment Guide.*

For more information on FATCA Assessments, refer to *FATCA Assessment Guide.*

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

Life Cycle of Case

A *Case* is created to manage and track the investigation workflow and resolution related to one or more business entities involved in potentially suspicious behavior. The following figure illustrates the life cycle of a case as it moves from *New* to *Closed* status.
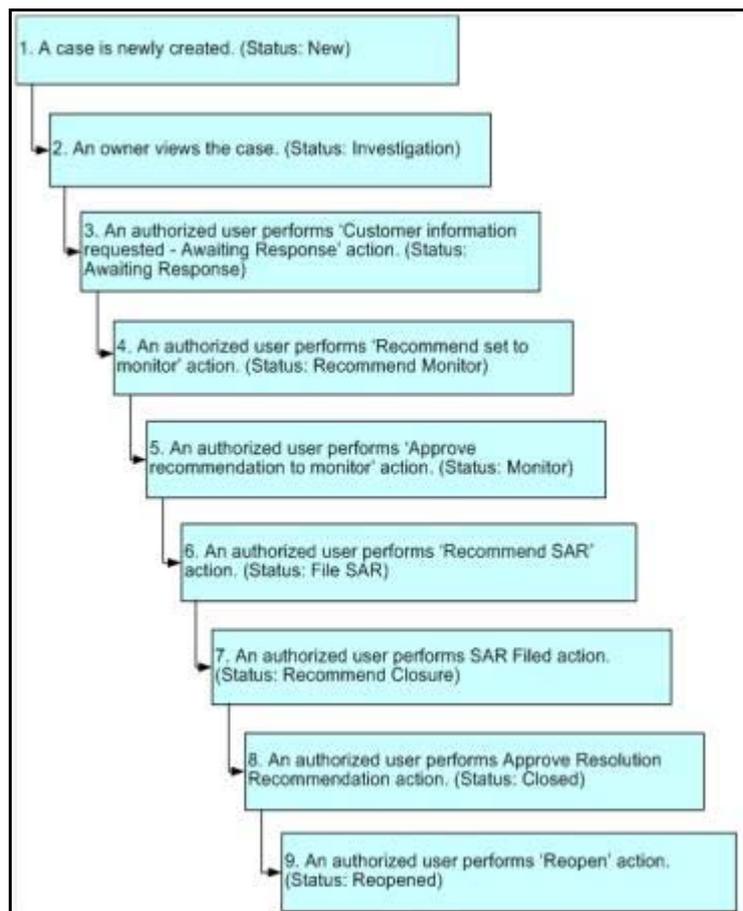
Figure 2. Potential Life Cycle of a Case (AML, Fraud and KYC Cases)
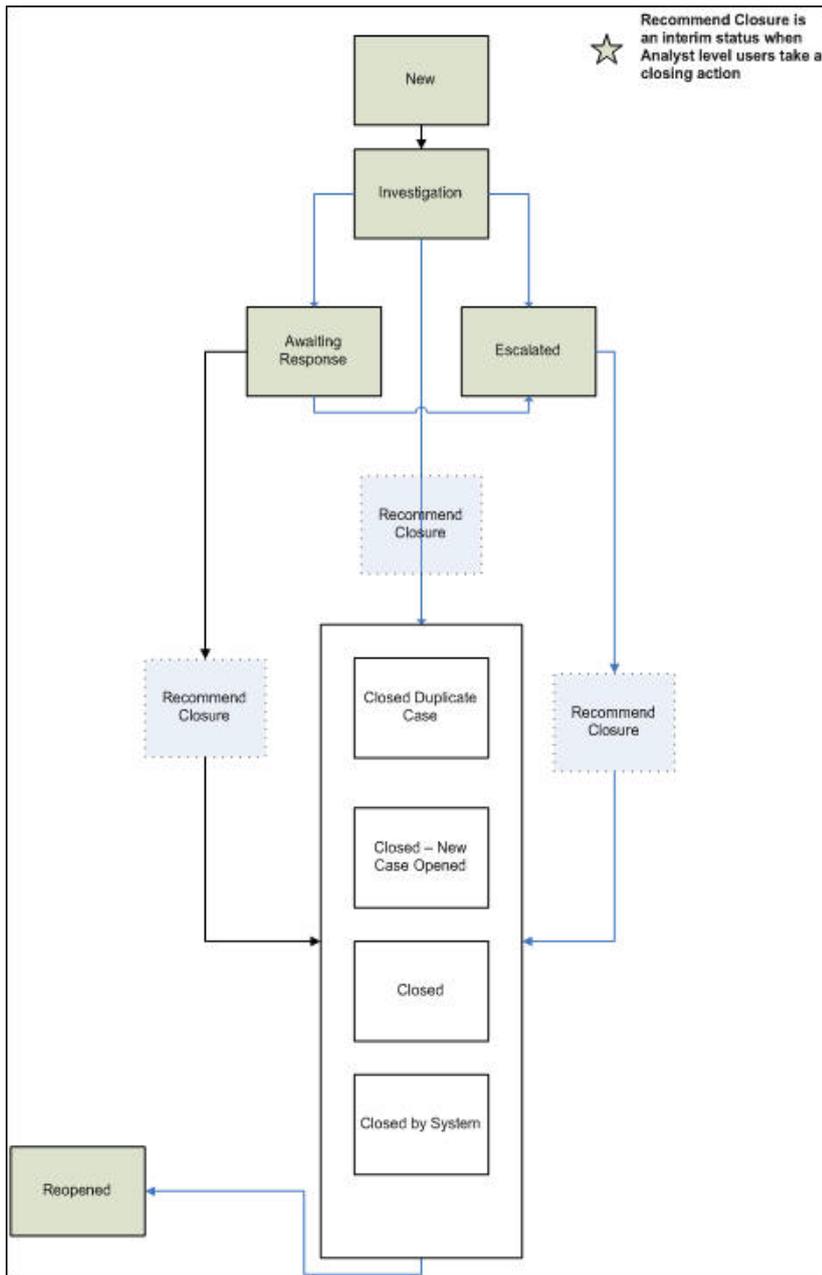
Figure 3. Potential Life Cycle of a FATCA Case

Creation of Cases

Cases can be manually created within Enterprise Case Management or may represent a linked collection of alerts generated by Behavior Detection Framework that have been promoted to a case (if your firm has implemented Behavior Detection) or otherwise promoted to a case from a KYC or FATCA assessment.

Cases can be created in following four ways:

- Manual promotion by the user of one or more alerts that are generated by the Behavior Detection Framework by the user

- Automatic promotion of correlated alerts by the system

- Automatic promotion of KYC Assessments by the system based on the defined customer effective risk score ranges

- Manual and automatic promotion of FATCA Assessments to FATCA Cases

- Manual case creation

Case Statuses

A case's status can change in two ways:

- By an eligible user viewing the case

- When an action is taken on the case

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

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

Table 2. Case Status Description

Case Status	Description
New	An authorized user has generated a case, and an eligible owner has not yet viewed the case detail information.
Investigation	An eligible owner has viewed a case which sets it to a status representing an ongoing investigation.
Awaiting Response	An authorized user is awaiting a response to email request or other inquiry.
Recommend Monitor	A user has recommended that a case should go into a period of monitoring before determining the next action or resolution. This status would be applicable if your firm has implemented a four eye approval process for some actions when taken by a user in an analyst role.

Table 2. Case Status Description (Continued)

Case Status	Description
Monitor	When a user takes an action to put a case into a period of monitoring before determining the next action or resolution. Or when a case in a Recommend Monitor status is approved by a user in a supervisor role. Approval is applicable if your firm has implemented a four eye approval process for some actions when taken by a user in an analyst role.
File SAR	When a user takes the action to Recommend SAR.
Escalated	When the case is escalated by a user for additional review.
Recommend Closure	A user has recommended an action which would result in the closure of a case. This status would be applicable if your firm has implemented a four eye approval process for some actions when taken by a user in an analyst role.
Closed	When a FATCA case is closed.
Closed - Duplicate Case	Case is closed as it is considered as a duplicate case of another case.
Closed - Withheld Action	Case is closed and further actions on it are withheld.
Closed - New Case Opened	
Closed By System	
Closed - Loss Charged Off	Case is closed and the losses occurred were charged off.
Closed - Loss Recovered	Case is closed and the losses occurred were recovered.
Closed - No SAR Filed	Case is closed and no SAR reports need to be filed.
Closed - Account(s) Closed	Case is closed and the accounts involved were closed.
Closed - New Case Opened	Case is closed as there was another new case was opened to track the investigation.
Closed - Employee Terminated	Case is closed and the employees involved were terminated.
Closed - Referred to External Agency	Case is closed and further investigation was referred to an external agency, such as a law enforcement or regulatory agency.
Closed - SAR Filed	Case is closed and SAR reports are filed.
Reopened	An authorized user has opened a case that had previously been closed, and an eligible owner has not yet viewed the reopened case.

Related Cases

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

Linked Cases

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

Unlinked Cases

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

Related Alerts

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

Linked Alerts

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

Unlinked Alerts

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

Related Risk Assessment

Related Risk Assessments displays all the risk assessments of the primary customer and their interested parties which were not promoted to cases as the risk scores fell under the range defined for promotion of cases. Related Risk assessments can be viewed from the Relationship tab. For more information, refer to section *Related Risk Assessments*.

Related FATCA Assessment

Related FATCA Assessment enables you to view the related FATCA assessments for the focal entity of the case. For more information, refer to section *Viewing Relationships*.

Using the Investigation Workflow

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

- Filter, sort, and view cases

- Investigate related events and summary information about the data associated with the case

- Close cases by determining whether a specific case is suggestive of problematic activity and requires further action or whether it can be closed without further analysis

- Manually create cases and associate business data

- Modify case data and associated business data

- Reassign cases to other individuals on a team or groups (Analysts and Supervisors only)

- Manage links

- Take actions that impact the case status and reflect the investigation findings

- Record actions taken

- Export data to MS Excel

- Email cases

- Print a PDF version of the case either at a detailed level or summary level. You can also print all the comments made on a case.

User Privileges

Enterprise Case Management system offers 10 different types of user roles for investigating the cases.

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

Table 3. Enterprise Case Management User Privileges

Privileges	Case Initiator	Case Viewer	Case Analyst I	Case Analyst II	Case Supervisor	Case Executive	Case Internal Auditor	Case External Auditor	KYC Analyst	KYC Supervisor	KYC Relationship Manager	FATCA Analyst	FATCA Supervisor	FATCA Auditor
Access to Cases														
Search for Cases		X	X	X	X	X	X	X	X	X		X	X	X
View Case List		X	X	X	X	X	X	X	X	X		X	X	X
View Existing Case		X	X	X	X	X	X	X	X	X		X	X	X
Create New Case	X		X	X	X									
Edit Case Context			X	X	X				X	X		X	X	

Table 3. Enterprise Case Management User Privileges (Continued)

Privileges	Case Initiator	Case Viewer	Case Analyst I	Case Analyst II	Case Supervisor	Case Executive	Case Internal Auditor	Case External Auditor	KYC Analyst	KYC Supervisor	KYC Relationship Manager	FATCA Analyst	FATCA Supervisor	FATCA Auditor
View Alert Details*		X			X	X	X	X	X	X				
Edit Case Details			X	X	X							X	X	
View Transactions		X	X	X	X	X	X	X						
View Relationships		X	X	X	X	X	X	X	X	X		X	X	X
View Related Risk Assessments									X	X				
View Related FATCA Assessments***												X	X	X
Link Cases			X	X	X				X	X				
Link Alerts*			X	X	X									
Unlink Cases			X	X	X				X	X				
Unlink Alerts*			X	X	X									
View KYC Assessments										X	X			
Add New Customers			X	X	X							X	X	
Edit Customers			X	X	X							X	X	
Remove Customers			X	X	X							X	X	
Add New Accounts			X	X	X							X	X	
Edit Accounts			X	X	X							X	X	
Remove Accounts			X	X	X							X	X	
View Enhanced Due Diligence									X	X				
Add New Employee			X	X	X									
Edit Employee			X	X	X									
Remove Employee			X	X	X									
Add New Household			X	X	X									
Edit Household			X	X	X									
Remove Household			X	X	X									
Add New Correspondent Bank			X	X	X									
Edit Correspondent Bank			X	X	X									
Remove Correspondent Bank			X	X	X									
Add New External Entity			X	X	X									
Edit External Entity			X	X	X									
Remove External Entity			X	X	X									
View Evidence (Attachment and comment list)		X	X	X	X	X	X	X	X	X		X	X	X
Add Document			X	X	X				X	X		X	X	
Remove Document			X	X	X				X	X		X	X	

Table 3. Enterprise Case Management User Privileges (Continued)

Privileges	Case Initiator	Case Viewer	Case Analyst I	Case Analyst II	Case Supervisor	Case Executive	Case Internal Auditor	Case External Auditor	KYC Analyst	KYC Supervisor	KYC Relationship Manager	FATCA Analyst	FATCA Supervisor	FATCA Auditor
View Attachments		X	X	X	X	X	X	X	X	X		X	X	X
Remove Attachments			X	X	X	X			X	X		X	X	
Add Investigation Comments			X	X	X									
View Narrative		X	X	X	X	X	X	X	X	X		X	X	X
Edit Narrative				X	X	X			X	X		X	X	
View Financials		X	X	X	X	X	X							
Add New Loss & Recovery Cost Center			X	X	X									
Add New Loss Recovery Data			X	X	X									
Edit Loss & Recovery Cost Center			X	X	X									
Remove Loss & Recovery Cost Center			X	X	X									
Edit Loss Recovery Data			X	X	X									
Remove Loss Recovery Data			X	X	X									
View GL History			X	X	X	X	X							
View Loss Recovery History			X	X	X	X	X							
View Audit		X	X	X	X	X	X	X	X	X		X	X	X
View Involved Party Tab		X	X	X	X	X	X	X						
Search and View Involved Party			X	X	X									
View Involved Party History		X	X	X	X	X	X	X						
Print Case to PDF			X	X	X	X			X	X				
Own a Case			X	X	X				X	X		X	X	
Re-assign Case			X	X	X				X	X		X	X	
Re-assign Case to all organizations (Ability to Reassign to owners in all organizations (additional access control restrictions apply)			X	X	X				X	X		X	X	
View Correlation*		X	X	X	X	X	X							
Search for KYC Assessments										X				
View KYC Assessment List										X	X			
View Assessments in Hold status											X			
View AML Reports for Cases				X	X	X	X							
View Fraud Reports for Cases				X	X	X	X							
View KYC Reports for Cases											X			
View Productivity Reports for Cases				X	X	X	X				X			
Search for FATCA Assessments												X	X	X

Table 3. Enterprise Case Management User Privileges (Continued)

Privileges	Case Initiator	Case Viewer	Case Analyst I	Case Analyst II	Case Supervisor	Case Executive	Case Internal Auditor	Case External Auditor	KYC Analyst	KYC Supervisor	KYC Relationship Manager	FATCA Analyst	FATCA Supervisor	FATCA Auditor
View FATCA Assessments List												X	X	X
Promote FATCA Assessments to Case												X	X	
Search for FATCA Cases												X	X	X
View FATCA Cases List												X	X	X
Search for Withholding Transactions												X	X	X
View Withholding Transactions List												X	X	X
Add New Withholding Transaction												X	X	
Edit Withholding Transaction												X	X	

* Dependent on your firm implementing Behavior Detection.

** Dependent on your firm implementing KYC.

*** Dependent on your firm implementing FATCA.

Security within Enterprise Case Management

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

Table 4. Access Controls for Enterprise Case Management

Security Layer		
Type	**Controls**	**Description**
Roles	Features and Functions	This security layer identifies the features and functions you can perform within the Enterprise Case Management.
Organizations	Case Information	This security layer enables your firm to restrict access using your firm's organizational hierarchy. To ensure accurate reporting, all users must be assigned one *primary organization*; however, a user can be assigned multiple viewable associations. To see a case owned by an organization or by the users within an organization, you must have viewable rights to that organization.

Table 4. Access Controls for Enterprise Case Management (Continued)

Security Layer		
Type	**Controls**	**Description**
Scenarios	Alert Information	This security layer enables your firm to restrict access by specific business problems (that is, scenarios). To see a linked alert generated by a scenario, you must have rights to view the scenario that generated the alert. To see a multi-match alert that is generated by several scenarios, you need rights to view at least one of the scenarios that generated the alert. **Note:** If your firm has implemented Enterprise Case Management, this security attribute layer shall be applicable.
Business Domains	Case and Business Information	This security layer enables your firm to restrict access along operational business lines and practices. You can only see cases that are assigned to at least one of the same business domains.
Jurisdictions	Case Information	This security layer enables your firm to restrict access using geographic locations. You can only see cases that are assigned to the same jurisdictions.
Case Type/ Case Subtype	Case Information	This security layer enables your firm to restrict access by specific types of Investigations (that is, a combination of Case Type and Subtype). To see a case, you must have rights to view the specific Case Type and Subtype assigned to the case.

About Interactive Analytic Reports

Enterprise Case Management supports integration of the case investigation and resolution results with the Oracle Business Intelligence, thereby giving you the ability to perform queries on the results. This enables you to access seeded reports and dashboards and to quickly develop new reports on a wide variety of information. Standard reports and dashboards are part of the installation of Enterprise Case Management solution. You can implement these reports as-is, or modify them according to your specifications. You can access the valuable information such as AML Reports, Fraud Reports, KYC Reports, Broker Compliance Reports, Trading Compliance Reports, Energy and Commodity Trading Compliance Reports, Productivity Reports and Drill-Down Reports for quick decision making.

CHAPTER 2 — *Getting Started*

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

- System Requirements
- Logging In to Enterprise Case Management
- Access To Multiple Solutions
- Troubleshooting Your Display
- Troubleshooting the Error Messages

System Requirements

The following applications are required to run Enterprise Case Management:

- Microsoft Internet Explorer (IE) version 7 or 8.

  Earlier versions and other browsers are not supported and may produce errors, inaccurate data and display failures. For users of IE version 8.0, the browser should be run in compatibility mode.

- Adobe Acrobat Reader version 8.0, or later.

  You can download a free copy of the latest version of the Reader at www.adobe.com.

- Java should be installed. JDK 1.6 (version 6) or above.

- The screen resolution of the system should be set to 1280 × 1024 or higher for proper display of the user interface (UI).

Logging In to Enterprise Case Management

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

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

Figure 4. FCCM Login Page

To log into Enterprise Case Management, follow these steps:

1. Type your user ID in the **User ID** text box.

2. Type your password in the **Password** text box.

3. Click **Login**.

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

Copyright Information

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

Figure 5. Copyright Information

Change Password

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

Language Selection

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

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

Access To Multiple Solutions

If you have access to multiple solutions, such as, Know Your Customer (KYC), Monitoring (Alert Management) or Investigations (Case Management), when you first log in, the application navigates to a Start page that lists your available solutions in a Left Hand Side (LHS) menu. From the Start page, you can designate one of these solutions as the default solution that you will navigate to when logging in, allowing you to bypass the Start page on future logins.
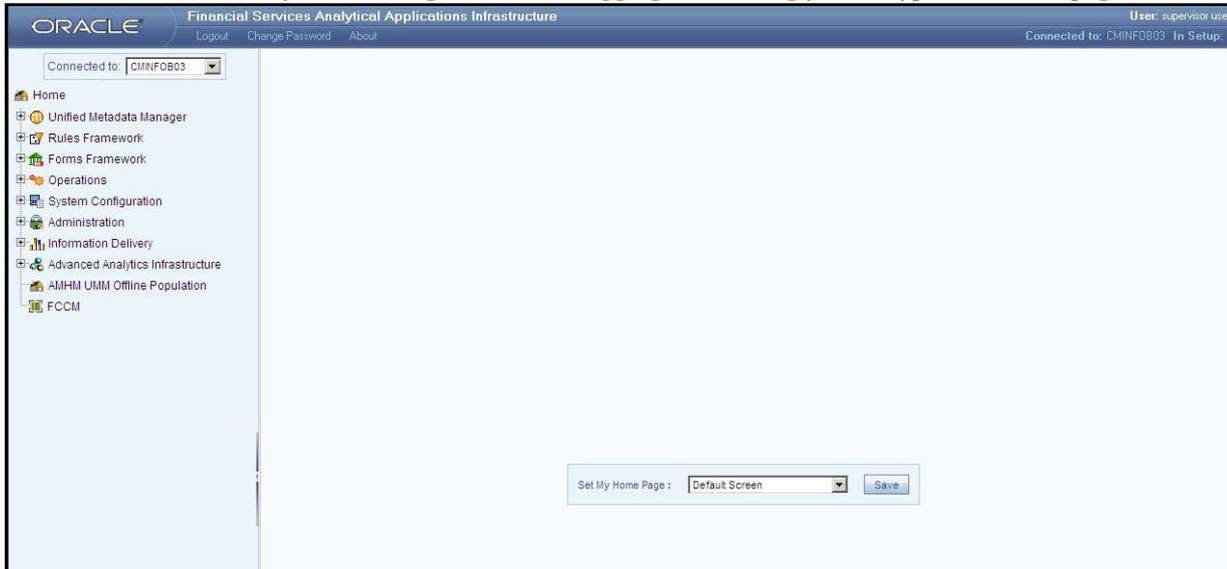
Figure 6. Application Start Page

The application Start page contains two main sections:

1. The main page has an option to set your default Start page.

2. The LHS page will have links to various administrative utilities and links to all the solutions to which you have access.

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

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

1. Click the **FCCM** icon.

   All the solutions you have access to lists on the page.

2. Click on the desired application to navigate to that solution's landing page.

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

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

Figure 7. FCCM Home Page for Super User Role

Troubleshooting Your Display

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

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

Enabling JavaScript

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

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

   The Internet Options dialog box displays.

2. Click the **Security** tab.

3. Click the **Local Intranet** icon as your Web content zone.

4. Click **Custom Level**.

   The Security Settings dialog box displays.

5. In the Settings list and under the Scripting setting, enable all options.

6. Click **OK,** then click **OK** again to exit the Internet Options dialog box.

Enabling Cookies

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

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

In IE 7.0

To enable cookies in IE 7.0, follow these steps:

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

   The Internet Options dialog box displays.

2. Click the **Privacy** tab.

3. Set the slider to **Medium**.

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

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

In IE 8.0

To enable cookies in IE 8.0, follow these steps:

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

   The Internet Options dialog box displays.

2. Click the **Privacy** tab.

3. Set the slider to **Medium**.

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

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

Enabling Temporary Internet Files

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

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

   The Internet Options dialog box displays.

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

   The Settings dialog box displays.

3. Click the **Every visit to the page** option.

4. Click **OK**, then click **OK** again to exit the Internet Options dialog box.

Enabling File Downloads

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

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

   The Internet Options dialog box displays.

2. Click the **Security** tab.

3. Click the **Local Intranet** icon as your Web content zone.

4. Click **Custom Level**.

   The Security Settings dialog box displays.

5. Under the Downloads section, ensure that **Enable** is selected for all options.

6. Click **OK**, then click **OK** again to exit the Internet Options dialog box.

Setting Printing Options

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

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

   The Internet Options dialog box displays.

2. Click the **Advanced** tab.

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

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

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

Enabling Pop-Blocker

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

To enable pop-up blocker, follow these steps:

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

   The Internet Options dialog box displays.

2. Click the **Privacy** tab.

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

   The **Settings** enables.

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

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

6. Click **Add**.

   The URL appears in the Allowed site list.

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

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

Troubleshooting the Error Messages

This section provides tips for troubleshooting any problems encountered in this application and includes the following topic:

1. **Problem**: After logging into the application, a message `Java.lang.ArrayIndexOutOfBoundException:1`' is displayed.

    Solution:

    - Ensure that logged in user's security attributes are mapped properly. Refer *Administration Guide* for more information on mapping security attributes to a user role.

    - Ensure that the logged in user has only roles permitted by the application.

2. **Problem**: After logging into application, a message `'java.sql.SQL SyntaxErrorException: ORA-01722: Invalid number`' is displayed.

    Solution:

    - Ensure that logged in user's security attributes are mapped properly. Refer *Administration Guide* for more information on mapping security attributes to a user role.

    - Ensure that the logged in user has only roles permitted by the application.

3. **Problem**: After logging into application, an alert message '*The passed tab code to focus does not exist in the list of tabs fetched from database while accessing the Home screen*' is displayed.

    Solution:

    - Ensure that the logged in user has only roles permitted by the application.

4. **Problem**: After performing actions such as Add comment, Email and so on the pages are not getting loaded and results in the JS error and displays the message '*Unterminated character string encountered*' is displayed.

    Solution:

    - Certain special characters which got entered in to the Database as part the aforementioned actions performed might be source of the problem. A work around is to remove such characters from the DB and re-load the page.

5. **Problem**: While logging in or while loading the tab pages in the Case /Alert details, an error message `'java.lang.NoClassDefFoundError'` from jsps is displayed.

    Solution:

    This error usually occurs when there is not enough space in the server. In other words, the web server is not able to generate the Servlet classes for the JSPs. You can check the server space and delete the temporary files and then restart the web server.

CHAPTER 3   *About Enterprise Case Management' Web Pages*

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

- Where they appear

- What they do

- When or if they change based on your roles

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

- Common Screen Elements

- Using the Browser

- Navigating in Enterprise Case Management

- Message Pages

Common Screen Elements

The following section describes the common screen elements in the Enterprise Case Management UI.
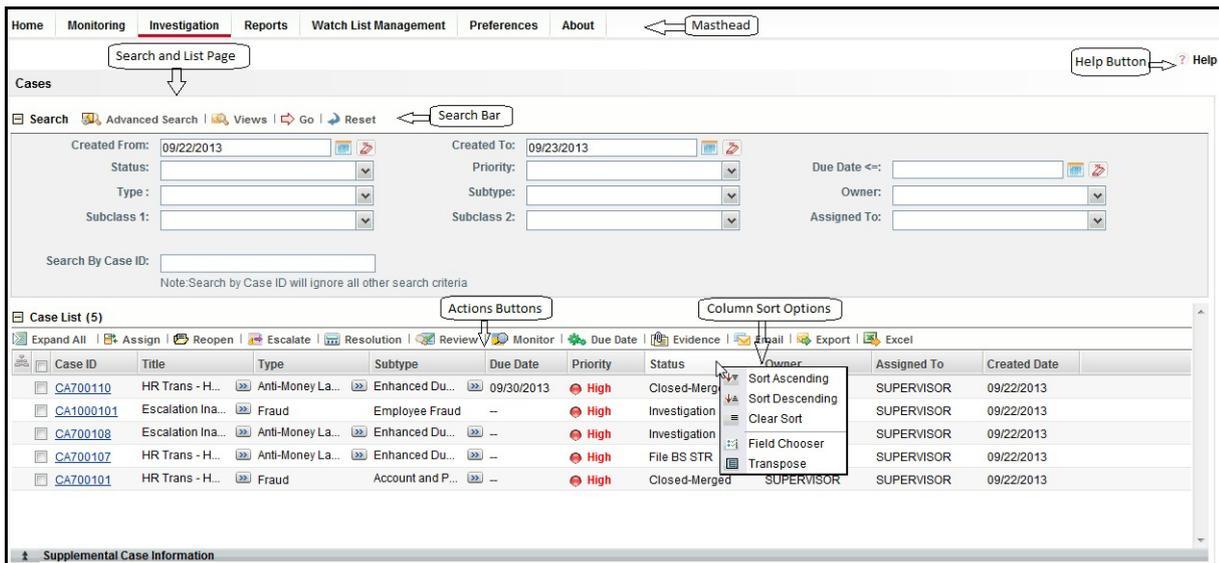
Figure 8. Common Screen Elements

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

Masthead

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

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

Buttons

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

Task Button

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

- The **Search** and **Advanced Search** buttons display on the Search & List page of the Investigation workflow to filter data based upon the criteria you set with basic filters and advanced additional filters respectively.
- The **Save** button records actions and navigates you to the appropriate page and displays the updated case information accordingly.
- The **Save & Attach** button records actions and navigates you to a page providing the option to attach a document with the action. Once you complete the attachment you are navigated to the appropriate page and the case information is updated accordingly.
- The **Clear** button displays on those actionable sections of the UI which do not display any pre-populated data. It clears the data entered by you when clicked.
- The **Reset** button displays on those actionable sections of the UI which display some pre-populated data. It discards the data entered by you and resets the contents to their original state.
- The **Cancel** button displays on all the actionable sections of the UI and cancels the action you intend to take and closes the action pop-up.
- The **Send** button displays in the Email pop-up and sends the email to the addressed parties.
- The **Add** button displays in some Business tabs, Financials tab and in the Evidence tab. It provides you with a pop-up to add a new piece of information.
- The **Edit** button displays in some Business tabs, Financials, Narrative, and Evidence tabs. It provides you with a pop-up to edit the existing piece of information you have chosen for edit.
- The **Remove** button displays in some Business tabs, Notification section, and in the Attachment List matrix present in the attachment section of the Evidence tab. It also display in the Financials tab. It helps you delete information that you think is not relevant.
- The **History** button displays in the Financials and Involved Party tabs. It provides you with a detailed account of previous activities on the selected record.
- The **Go** button displays in all the Case Search bars and performs the search function.
- The **Case List** button displays in the Priority Case List on the landing page. It helps you navigate to the Search & List page.

Action Buttons

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

- Assign
- Escalate
- Resolution
- Review
- Monitor
- Email
- Export
- Excel
- Reopen
- Due Date
- Print Details
- Print Summary
- Print Comments

Note: Print Comments, Print Details and Print Summary can be accessed only from case details page.

Help Button

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

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

Radio Button

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

Calendar Button

A **Calendar** button displays when you have the option of selecting a date. For example, you can specify a date range to search for closed cases. If you click **Calendar** icon, a calendar of the current month displays and highlights the current date.
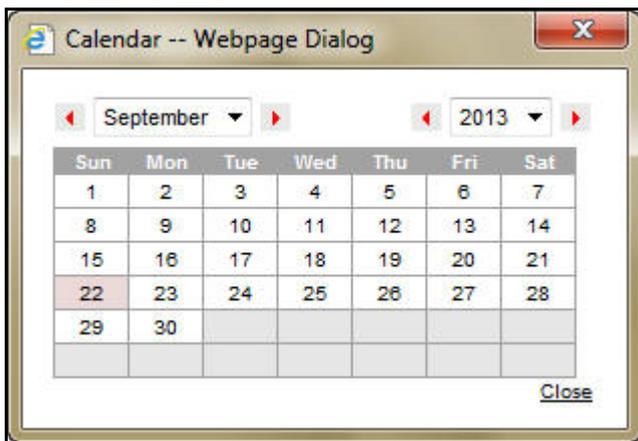
Figure 9. Calendar Button

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

1. Select a date. The application will automatically enter the selected date in the date field.

2. Click the arrows at the top of the Calendar window to view other months or years.

3. Click the **Close** link to close the calendar without selecting a date.

Expand/Collapse

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

Column Expand All

When values are displayed in a matrix and there are columns, which have lengthier values, then you can use **Column Expand All** button to expand all the columns together at once to display the full length of their values.
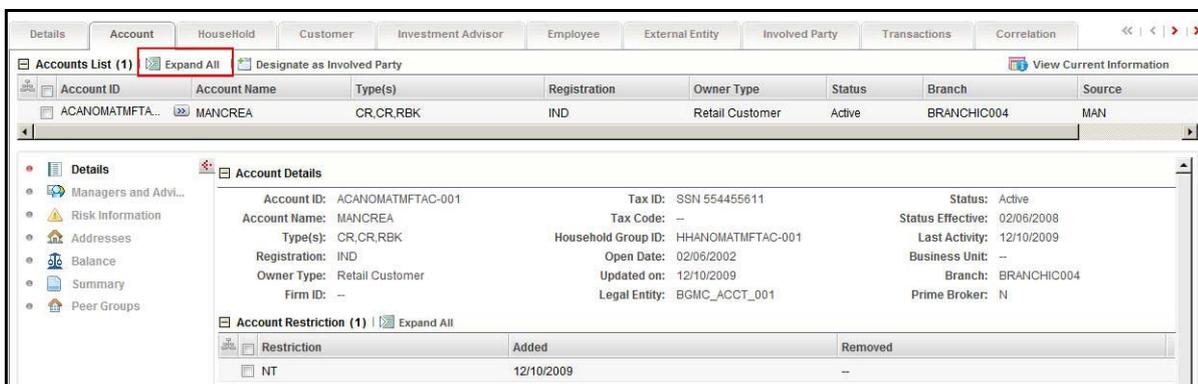
Figure 10. Column Expand All Button

Column Collapse All

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

Figure 11. Column Collapse All Button

Section Expand Button

If you want to expand a section on a page, you can click the **(+)** button displayed at the top left corner of the section. This expands the section and all the fields in the section are visible.
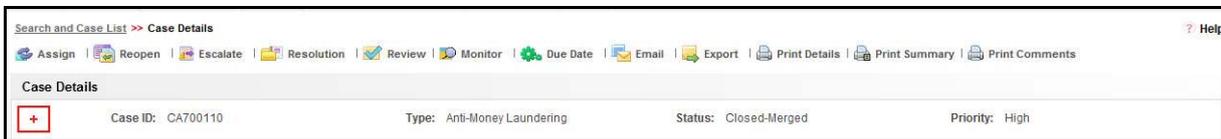
Figure 12. Section Expand Button

Section Collapse Button

If you want to collapse a section, which is already expanded, you can click the **(-)** button displayed at the top left corner of the section. This collapses the section and all the fields in the section are hidden.
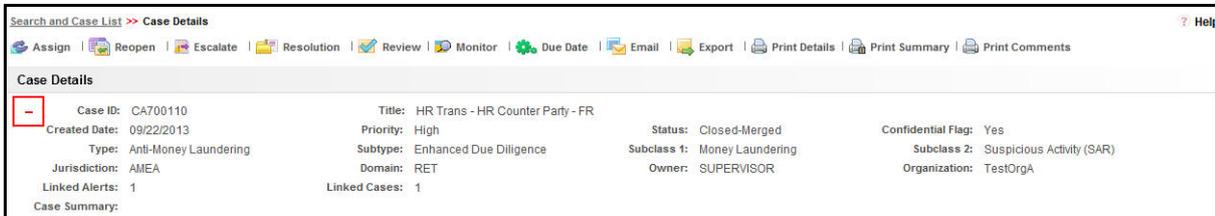
Figure 13. Section Collapse Button

Grid Expand Button

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

Figure 14. Grid Expand Button

Grid Collapse Button

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

Figure 15. Grid Collapse Button

Column Expand Button

When values displayed in the columns of a matrix is lengthy, Enterprise Case Management displays the first few characters followed by the expand button **(>>)**, indicating that more text is available. The expand button **(>>)** in a field when clicked, expands the column/row for the complete text to be visible. The button **(>>)** is displayed in few of the matrix headers, like Evidence to expand the contents of the matrix.
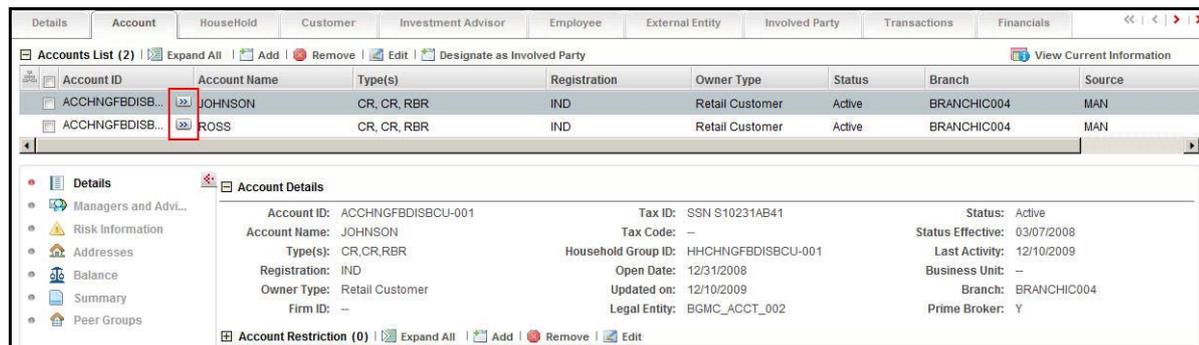
Figure 16. Column Expand Button

Column Collapse Button

When values displayed in the columns of a matrix are expanded, you can click the **(<<)** button in that column. When clicked, the column contracts the column/row. The **Contract** button is displayed in few of the matrix headers, such as Evidence, to contract the contents of the matrix.
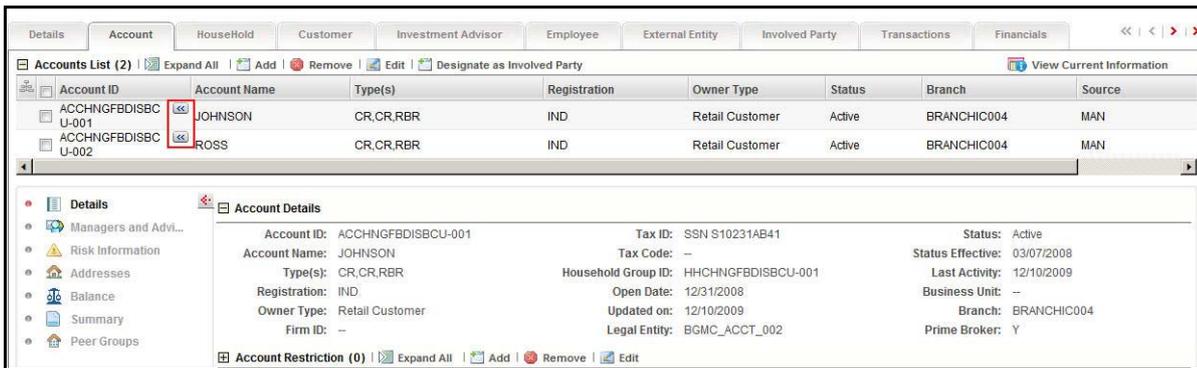
Figure 17. Column Collapse Button

Field Types

The following sections describe field types.

Text Area

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

Text Box

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

Wildcard Text Box

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

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

Context-Sensitive Text Box

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

Drop-down List

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

Selection Box

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

Check Box

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

Check All/Uncheck All Check box

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

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

Column Sort Options

Column headings provide labels that tell you what kind of information displays in the columns. Most of the column headings in the list matrix are sortable.

Enterprise Case Management supports right-click options on columns within the List header that allows you to specify the sorting options such as Sort Ascending, Sort Descending, Clear Sort, Field Chooser and Transpose.

The **Field Chooser** option allows you to choose the fields that you want to display in the List section thereby allowing you view additional columns that are not displayed by default. Using this option, you can reorder the columns on the list by moving the columns up or down. You can also change the width of the column by modifying the width or you can select the Auto Fit option. Clicking **OK** on Field Chooser will save the selected settings for the current session whereas clicking **Save** will save the selected settings for future logins.

ToolTips

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

Using the Browser

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

Navigating in Enterprise Case Management

The following sections describe the navigation features that you can use to navigate within Enterprise Case Management.
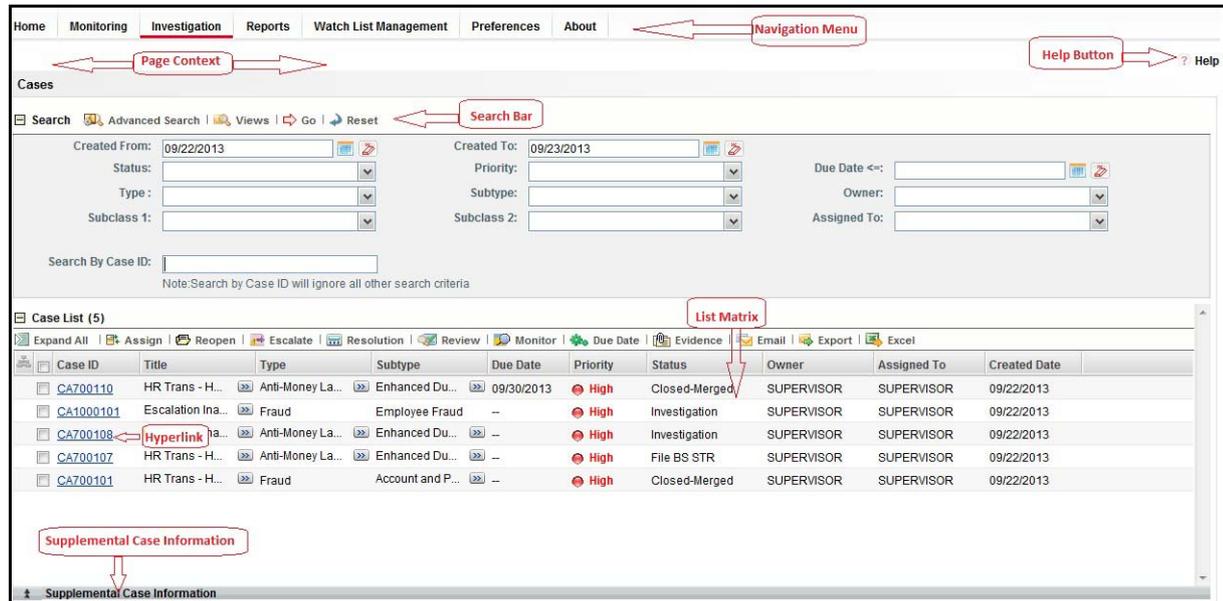
Figure 18. Navigating in Enterprise Case Management

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

Navigation Menus

The Navigation menu displays in the upper left corner of the page. The Navigation menu option includes: Home, Investigation, Reports, and Administration. Menu options display as per your user role. Refer to *Table 3* for more information on access to Enterprise Case Management features based on role.

Links

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

Search Bars

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

Page Context Controls

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

Business Tabs

Business tabs help the case investigator in categorizing large amounts of supporting data into smaller tabs of data, organized by data type (for example, account information, customer information, and so forth) to aid in the analysis of a case.

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

Business data tab pages display detailed information about a business entity. Depending on the type of business entity being displayed (for example, Account, Customer), the content of the tab is different and specific to that type of entity.

Pagination

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

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

To navigate to different pages of the search results in List page, you can use the **Jump to Page** option. Enter a number in the text box and press Enter in the keyboard to navigate to the respective page.

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

Message Pages

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

Investigating Cases

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

This chapter covers the following topics:

- About the Case Workflow
- Navigating Data Tabs
- Acting on Cases
- Creating New Cases

About the Case Workflow

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

- **Home page:** Enables you to view your notifications and priority cases. You can also view the charts based on your role and reports configured for display. Refer to section *Home Page* for more information on the components of the home page.

- **Case Search & List page:** Enables you to set criteria to retrieve cases, the results of which display on the Case List below the Search bar. The search can be performed through pre-defined views: simple search and advanced search criteria. You can also search for a case by a Case ID.

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

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

Accessing the Investigation Workflow

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

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

Home Page

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

Refer to *Table 3* for more information on Enterprise Case Management access privileges and Table 4 for more information on security within Enterprise Case Management.

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

Components of Home Page

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

Notification

The Notification section displays the notification of the following category:

- **ID:** Identifier of the item for which you have received this notification (for example, Case ID)

- **ID Type:** The type of item for which you have received this notification (for example, Case)

- **Notification category:** The type of activity that has triggered this notification (for example, Due Date and Reassign Ownership)

- **Created Date and Time:** Date and time this notification message was created

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

- **Due Date:** Displays the actual due date that is nearing or has been exceeded for an entity (for example, Case)

- **Status:** Displays the current status of the selected entity (for example, Case, Alert and so on)

- **Assigned To:** Displays the name of the user role to whom the entity is assigned.

- **Action Taken:** Displays the name of the action taken on the entity (for example, Assign)

- **Taken By:** Displays the name of the user role who performed an action on the entity.

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

The most recent notifications display first. If there are more notifications than will fit on the initial page, you have the option to navigate to the additional notifications using page controls. Notifications will not remain visible indefinitely. By default, notifications are configured to appear for five days after they are initially created except under the following circumstances:

- You delete the notification

- You view the case for which the notification of assignment or reassignment was received on action taken

- Or, the due date has been extended on the case for which the notification of nearly due or overdue was received

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

Reports

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

Priority Cases Matrix

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

- **Case Priority** (displayed in descending order of priority - High, Medium, and Low)

- **Due Date** (displayed in ascending order): When the priorities are identical, the system uses the due date of a case to determine the display order.If there is a due date associated with the case, Enterprise Case Management selects those cases most near or exceeding their due date.

- **Create Date:** If the priority cases have identical due dates, Enterprise Case Management use the most recent create dates of the cases to determine display.

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

Case Search & List Page

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

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

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

Case Search & List Page Components

The Case Search & List Page contains the following components:

- Action Buttons
- Case Search Bar

Action Buttons

you can perform actions using the **Action** buttons that is available above the Search bar. Theses buttons are visible as per your access permissions. Refer to section *Acting on Cases* for more details on actions.

Case Search Bar

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

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

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

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

Enterprise Case Management retrieves cases, based upon the following:

- The filter criteria you enter into the Views, Simple Search, or Advanced Search bars.

- Your access control permissions.

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

- Views Search

- Case Information

- Case Search Dates

- Simple Search

- Advanced Search

- Case by Entity of Linked Alerts

- Linked Cases

- Linked Alerts

- Case ID Search

Views Search

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

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

Table 5. Case Views and Filter

View Name	View Filter and Sort Criteria
My New Cases	From: Current Date -1 To: Current Date
	Owner: current user or pool to which the current user belongs
	Status: New
	Sort: By Priority Desc; Case ID Asc
Cases Assigned to Me	Assigned To: current user or pool to which the current user belongs
	Status: Any status but a closed status
	Sort: By Priority Desc; Create Dt Desc; Case ID Asc
My Cases	Owner: current user or pool to which the current user belongs
	Status: Any status but a closed status
	Sort: By Priority Desc; Create Dt Desc; Case ID Asc
My Overdue Cases	Due Date is not null and is <= Current Date
	Owner: current user or pool to which the current user belongs
	Sort: By Due Date Asc; Case ID Asc

Table 5. Case Views and Filter (Continued)

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

Case Information

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

Table 6. Case Search Components

Column	Description	Simple Search	Advanced Search
Created From	Filters the case list by the From date the case was created.	X	X
Created To	Filters the case list by the To date the case was created.	X	X
Status	Filters the case list by the current status of case, relative to its analysis and closure in the multi-select list box.	X	X
Type	Filters the case list by the type of cases that matches the search criteria.	X	X
Subtype	Filters the case list by the sub type of cases that matches the search criteria.	X	X
Priority	Filters the case list by the priority of the current case that matches the search criteria.	X	X
Subclass 1	Filters the case list by the type code of the case Subclass 1 associated with this case subclass.	X	X
Subclass 2	Filters the case list by the type code of the case Subclass 2 associated with this case subclass.	X	X
Due Date	Filters the case list by past and up to the date you enter by which an action should be taken on the case.	X	X

Table 6. Case Search Components (Continued)

Column	Description	Simple Search	Advanced Search
Owner	Filters the case list by a user or group of users who own the case. This multi-select list box contains users or groups of users within the Organization.	X	X
Assigned To	Filters the case list by a user or group of users to whom a case is assigned. This multi-select list box contains users or groups of users within the Organization.	X	X
Title	Filters the case list by the Title of the cases that matches the search criteria.		X
Jurisdiction	Filters the case list by the business jurisdiction associated with the case. The multi-select list box contains only the jurisdictions with which you are authorized to view.		X
Domain	Filters the case list by the business domain associated with a case. The multi-select list box contains only the business domains with which you are authorized to view.		X
Organization	Filters the case list by the ID of the organization associated with the owner of a case. This multi-select list box contains only the organizations (and the organizations subordinate to it) to which you have a business association and are authorized to view.		X
Resolution	Filters the case list by one or more selected closing actions that have been taken on the case. If you filter by Resolution, you cannot filter by Last Action and Action.		X
Last Action	Filters the case list by one or more selected last actions that have been taken on the case. If you filter by Last Action, you cannot filter by Resolution and Action.		X
Action	Filters the case list by one or more actions that have been taken on the case. If you filter by Action, you cannot filter by Resolution and Last Action.		X
Regulatory Report Type	Filters the case list by the type of a Regulatory Reporting that was initiated from the case. Regulatory Reporting is an optional Oracle application.		X
Regulatory Reporting Status	Filters the case list by the status of a Regulatory Reporting that was initiated from the case. Regulatory Reporting is an optional Oracle application.		X
Document Control Number	Filters the case list by the Document Control Number associated with the case. You can also search for multiple cases by entering a string of comma seperated document control numbers.		
Linked Alerts >=	Filters the case list by count of alerts that are linked to the case. Enterprise Case Management retrieves cases, which are either greater than or equal to, equal to, or less than or equal to the count you enter in the text box. This search option will only be available if your firm has implemented Behavior Detection Framework.		X
Linked Cases >=	Filters the case list by count of cases that are linked to the case. Enterprise Case Management retrieves cases, which are either greater than or equal to, equal to, or less than or equal to the count you enter in the text box.		X
Search By Case ID	Filters the Case List by the one or more Case IDs entered in this text field. To search for multiple IDs, separate IDs with commas. If the cases are found, the Case List page displays information about the cases with the IDs that exactly matches the values you entered. The Case ID search is mutually exclusive with all other filter criteria.	X	X

Case Search Dates

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

Simple Search

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

Advanced Search

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

In Simple and Advanced search:

 a. The case list can be dynamically populated based on different set of input criteria or by Case ID.

 b. Drop-down lists, text boxes, and multi-select list boxes enable you to filter cases more precisely for analysis.

 c. The fields in Simple or Advanced search supports selection of multiple values in each drop-down control. Selecting the blank list option within a multi-select list box is the same as selecting all list options within the list.

 d. When filtering using multiple search fields, the results are filtered based upon matching all criteria specified.

 e. Some text fields allow the use of wildcards when searching. The percent sign (%) or (_)is used to denote a wildcard. Following fields allows use of wild card:

  i. Title

  ii. Entity Name

 f. If you click the **Go** button without selecting any filter criteria, a message displays:

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

  You must enter data in at least one search field.

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

Case by Entity of Linked Alerts

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

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

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

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

Table 7. Case Search Entity Filters

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

Linked Cases

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

Linked Alerts

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

Case ID Search

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

Searching for Cases by Views, Simple, and Advanced Search

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

Searching for Cases using Views

To search for cases using Views, follow these steps:

1. Navigate to the Search & List Page.

   The Views search bar displays.

2. Select any value from the **Views** drop-down list.

Searching for Cases using Simple or Advanced Search

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

1. Navigate to the Simple or Advanced Search section by clicking the **Simple Search or Advanced Search** button.

2. Specify any or all of the criteria in **Simple/Advanced Search**.

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

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

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

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

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

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

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

Searching or a Case by Case ID

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

1. Navigate to the Simple or Advanced Search section by clicking the **Simple Search** or **Advanced Search** button.

2. In the Case ID Search bar, type a Case ID in the **Case ID** text box.

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

3. Click **Go**.

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

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

Case List Matrix

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

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

By default, the Case List matrix displays 20 cases. To view additional cases returned by search, use the pagination controls to move to additional pages of alerts. An **Excel** icon on the upper title bar enables exporting the case list with a single click. Refer to section *Exporting Case List to Excel* for more information.

Case List Components

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

The components within the Case List matrix are as follows:

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

  The **Excel** icon displays next to the Case List title to allow you to export the case list data to Microsoft Excel. Refer to the section *Exporting Case List to Excel* for more information.

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

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

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

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

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

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

- **Check Boxes**: Appears at the beginning of each row. Select one or more of these boxes to take action on one or more cases. Select the check box again to clear it.

- **Column Headings**: Labels that displays the kind of information in the columns. All column headings in the Case List matrix are sortable, that is, you can sort each column in the case list by right-clicking the column header and choosing ascending or descending options.

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

- **Jump to Page**: Enables you to navigate to different pages of the search results in a List page. Enter a number in the text box and press Enter in the keyboard to navigate to the respective page.

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

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

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

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

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

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

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

Table 8. Case List Components

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

Additional Information and Case Comments

The Supplemental Case Information section consists of the case additional Information and case comment sections and displays below the Case List. The section display additional information about the case when you click on the case row in the Case List. By default, this section will be in the Contracted mode. You can click the **Expand** image or **Contract** image in the section header to expand or contract the section.
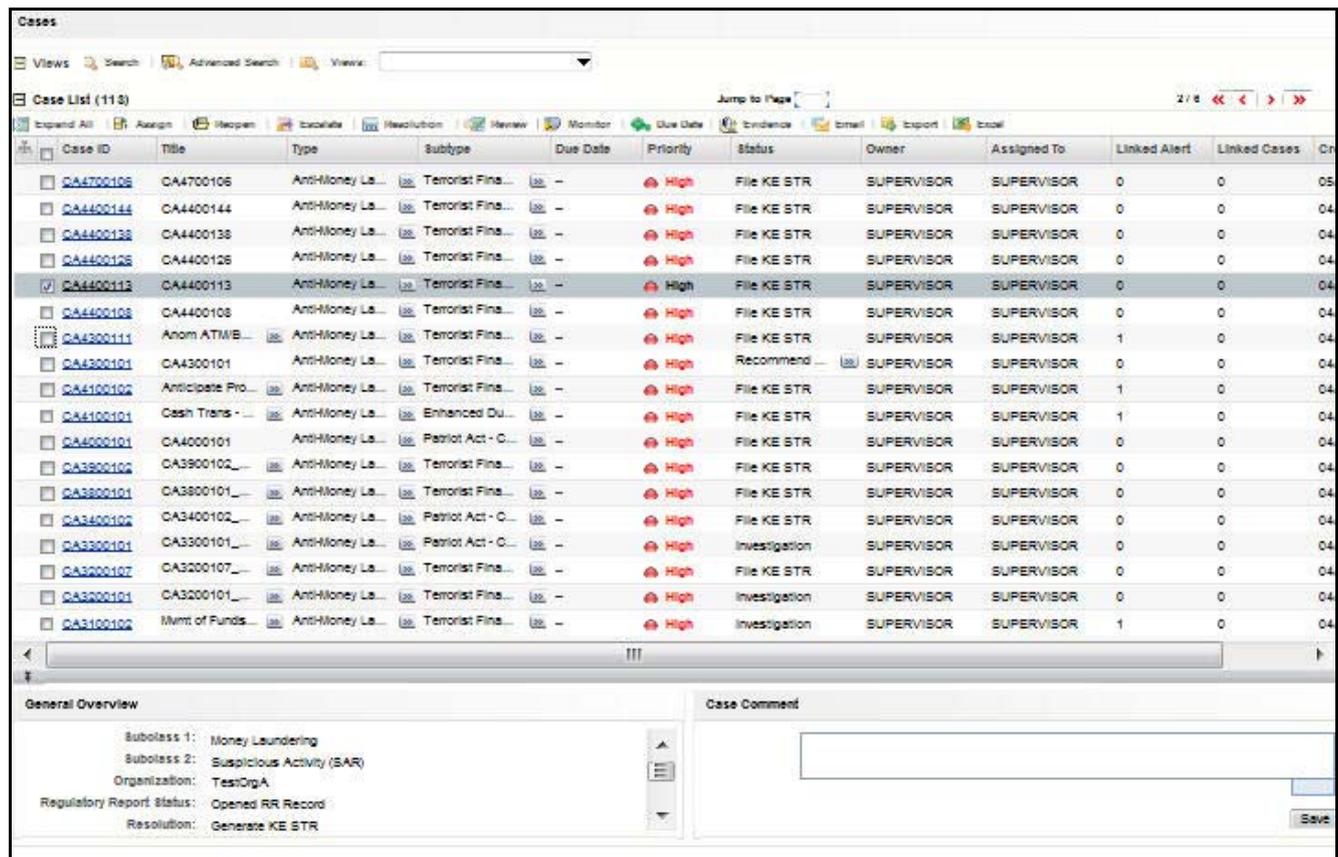
Figure 19. Supplemental Case Information

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

Table 9. Case Additional Information Components

Column	Description
Subclass 1	The type code of the case Subclass 1 associated with this case subclass.
Subclass 2	The type code of the case Subclass 2 associated with this case subclass.
Organization	Organization or group that owns the cases.
Assigned To	User or group of users that the case is assigned to.
Regulatory Report Type	Type of Regulatory Report associated with this Case.
Regulatory Report Status	Current status of the Regulatory Report associated with the Case.
Case Comment	Quick comment about the case.

On selecting a single case from the case list, the Case Analyst I, Case Analyst II or Case Supervisor can provide comment to the selected case using the Comments section.

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

Exporting Case List to Excel

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

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

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

Note: Oracle does not currently support exporting grid data to formats other than Excel.

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

- **Case List** page: The **Excel** icon displays in the Case List matrix along with other action categories.

- **Correlation** tab: The **Excel** icon displays in the Source Correlation matrix.

- **Financials** tab: The **Excel** icon displays in each of Potential Loss, Averted Loss, and Recovered Loss matrices.

To Export Case List to Excel

To export case list to Excel, follow these steps:

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

   A pop-up displays with export details.

2. Set Document Type as Excel and select Form Data/Grid Data as *Grid Data*.

   If you select **Grid Data** then it exports records only from a particular matrix. If you select **Form Data** then it exports records from all matrices available in the UI.

3. Click the **Export** button.

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

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

   The Save As dialog box displays.

5. Select a directory location where you want to save the file.

6. Enter a new name in the **File Name** field or the application automatically generates a name for the file to accept.

7. Click **Save**.

   The application saves your file to the specified location.

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

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

Navigating Data Tabs

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

This chapter covers the following topics:

- Case Data Tabs
- Business Tabs

The Case Data tabs and Business tabs display horizontally under the case context and you can view them by clicking the **Case ID** hyper link on the Case List. The case context is always visible above the horizontal tabs. The data in each tab displays based on the access privilege provided to the user. Refer to Table 4 for access control permissions for each tab.

Case Data Tabs

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

- Case Details Tab
- Correlation Tab
- Relationship Tab
- Narrative Tab
- Evidence Tab
- Audit Tab
- Involved Party Tab
- Financial Tab (Applicable for Fraud Cases)

Case Details Tab

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

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

When you navigate to the Details page for a case, the case becomes locked by you and other users are allowed *view only* access to the case. If other users attempt to access the same case, they will receive a message informing them that the case is locked by another user and granted only view rights (they can take no action on the case).
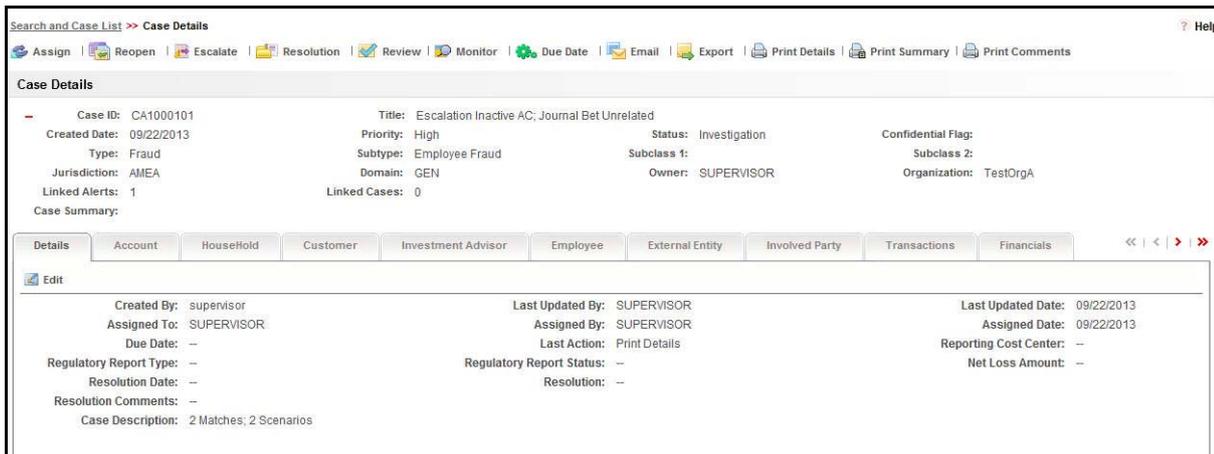
Figure 20. Case Details Page

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

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

Components of the Case Details Page

The Case Details page includes the following areas of information:

- **Page Context Controls (Bread crumbs)**: Displays your location in the workflow and how you got to this particular page.

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

   Table 10 provides a list of the fields that display in the Case Context information area.

Table 10. Case Context Information

Field	Description
Case ID	Unique Identifier of the case.
Title	Name of the case that case list matrix displays.
Created Date	Date the case was created.
Priority	Priority assigned to the case.
Status	Current state of the case relative to its analysis and closure. The New and Reopened statuses display in bold text.
Confidential Flag	Confidentiality assigned to the case.
Type	Type of the case that case list matrix displays. For example, AML.

Table 10. Case Context Information (Continued)

Field	Description
Subtype	Subtype of the case that the case list matrix displays. For example, AML Surveillance.
Subclass 1	The type code of the case subclass 1 associated with this case subclass.
Subclass 2	The type code of the case subclass 2 associated with this case subclass.
Jurisdiction	Geographical Jurisdiction associated with the case.
Domain	Business domains associated with the case.
Owner	Name of an individual user or the user group who owns the case.
Organization	Organization that owns the cases.
Linked Alerts	Count of alerts linked to the case.
Linked Cases	Count of cases linked to the case
Document Control Number	Displays the Document Control Number associated with the case.
Case Summary	Summary of the investigations and actions performed on the case as provided by the Case Analyst I, Case Analyst II or Case Supervisor.

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

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

Table 11. Case Details Information

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

Table 11. Case Details Information (Continued)

Field	Description
Resolution Comments	Comments provided by the user when the closing action has been taken.
Case Description	Description of the case that gives an high level insight on the subject matter of the case.

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

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

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

   A pop-up opens with **Save**, **Reset**, and **Cancel** buttons. The pop-up displays all fields of Case Context and Case Details sections (Table 10 and Table 11). Among them the following fields are editable:

   a. Title

   b. Priority

   c. Confidential Flag

   d. Type

   e. Subtype

   f. Subclass 1

   g. Subclass 2

   h. Status (Only when you edit Type or Subtype)

   i. Case Summary

   j. Case Description

2. Modify the desired fields. Make sure before saving that all required fields are populated.

3. Click **Reset** if you want to reset the changes back to the previous values.

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

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

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

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

Correlation Tab

If your firm has implemented Behavior Detection Framework then you may see a Correlation tab. The Correlation tab and its contents are only applicable if your firm is working with Behavior Detection Framework alerts and has selected to utilize the alert correlation functionality. A Correlation is defined as a group of alerts, which are associated to one another based upon matching a set of criteria as defined by a correlation rule.

Correlations can be promoted automatically to a case. When that happens, the correlation is referred to as the *Source Correlation* of the case and alerts, which are members of that correlation, become the alerts linked to the case. The Correlations tab provides information regarding the source correlation and the business associations of the alerts

linked to the current case. You can view the Source Correlation that resulted in the automatic creation of the case, if applicable. In addition, the Correlation tab provides a complete listing of the business entities correlated with the alerts linked to the case, regardless of whether or not those entities become part of a correlation.
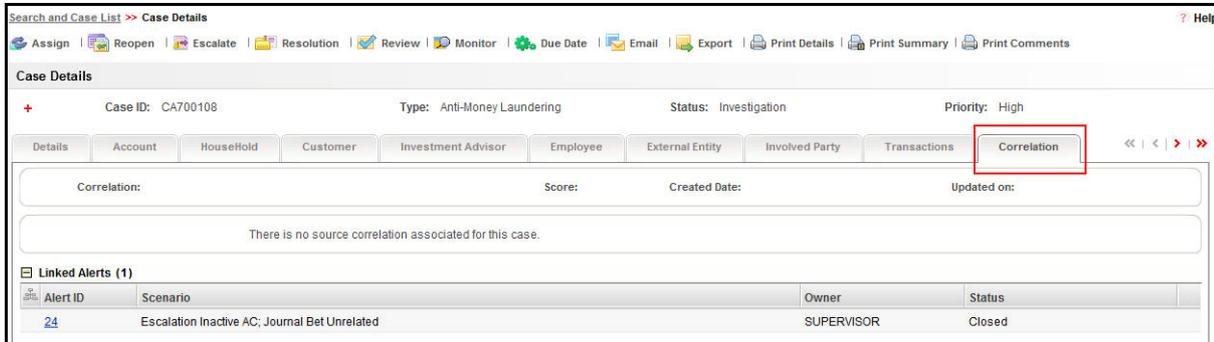
Figure 21. Correlation Tab

Components of the Correlation Tab

The Correlation tab contains the following:

- Source Correlation
- Linked Alerts
- Business Data Correlation

Source Correlation

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

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

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

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

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

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

Linked Alerts

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

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

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

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

Business Data Correlation

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

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

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

There are no business entities correlated for the selected alert.

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

Table 12 describes the fields to be displayed in Business Data Correlation.

Table 12. Fields for Business Data Correlation

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

Relationship Tab

The Relationship tab provides information regarding other cases that are related to the current case being investigated. The page enables you to view the list of cases related to the current case through relationships to entities involved in other cases or by virtue of another case being linked to the current case. If your role permits, you can link, unlink, or add more links in the related cases section.
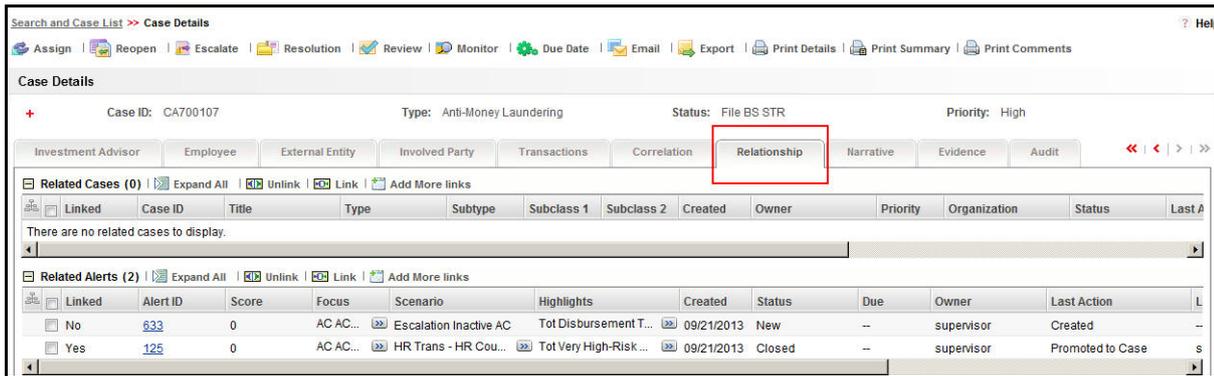
Figure 22. Relationship Tab

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

Components of Relationship Tab

The Relationships tab contains the following components:

- **Related Alerts:** Applicable only if your firm has implemented Behavior Detection Framework
- **Related Cases**

Related Alerts

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

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

Figure 23. Related Alerts

The Related Alerts section User Linked column visually distinguishes alerts that have been manually linked to the current case from those that are related to the current case through common business entities. The User Linked column displays *Yes* when the linking of the alert to the case was performed by a user taking a link action, *No* when

the action to link the alert is performed by the system (as part of alert promotion and correlation promotion to a case). The Related Alerts Linked column has a value *Yes* if the alert is related by virtue of being linked, *No* when the alert is considered related but not linked.

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

The Related Alerts section has the following buttons:

- **Unlink:** An option to unlink related alert(s), which are already linked to the current case

- **Link:** An option to link related alert(s), which are not yet linked to the current case

- **Add More Links:** An option to search for any alert record by alert ID for the purpose of adding additional alert links to the current case.

Note: Linking and Unlinking activities of alerts and cases depends on the user roles. The action buttons (**Unlink**, **Link**, and **Add More Links**) are only visible for cases, which are in non-closed status.

Related Cases

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

For Case A, all cases that have same business entity ID(s) as that of Case A are considered as related cases. For example, if two cases posses the same customer IDs or account IDs or other business entity IDs applicable in Enterprise Case Management then they are considered as related. Only those cases to which the user has access permission based on security attributes displays in the grid.

Figure 24. Related Cases Section

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

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

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

The related cases matrix has the following buttons:

- **Unlink:** An option to unlink related case(s), which are already linked to the current case

- **Link:** An option to Link related cases, which are not yet linked to the current case

- **Add More Links:** An option to search for any case record by Case ID for the purpose of adding additional case links to the current case

Managing Links

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

When data transfer is unsuccessful, the message displays: Selected alerts and cases were linked. But an error occurred during the requested transfer of alert information to the case. The case may reflect incomplete business

information. `Once` data transfer is complete, whether successful or unsuccessful, you will be able to continue working.

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

- If you do not make a selection of at least one data type of information to be transferred, the system will default to transferring all possible alert data during the link (that is, not making a selection is equivalent to selecting all).

- The data transferred to the case is the data available as of the date of link action.

- The alert information that is already associated with the case as a result of previous promotion or link actions will not be transferred again during the current link action.

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

Linking, Merging, and Closing Case as Duplicate

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

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

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

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

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

Narrative Tab

If your role permits, the Narrative tab allows you to capture any narrative surrounding the analysis of a case that has helped you decide how to dispose the case. The narrative exists as a single data element on a case, which allows you to add and to maintain that narrative.
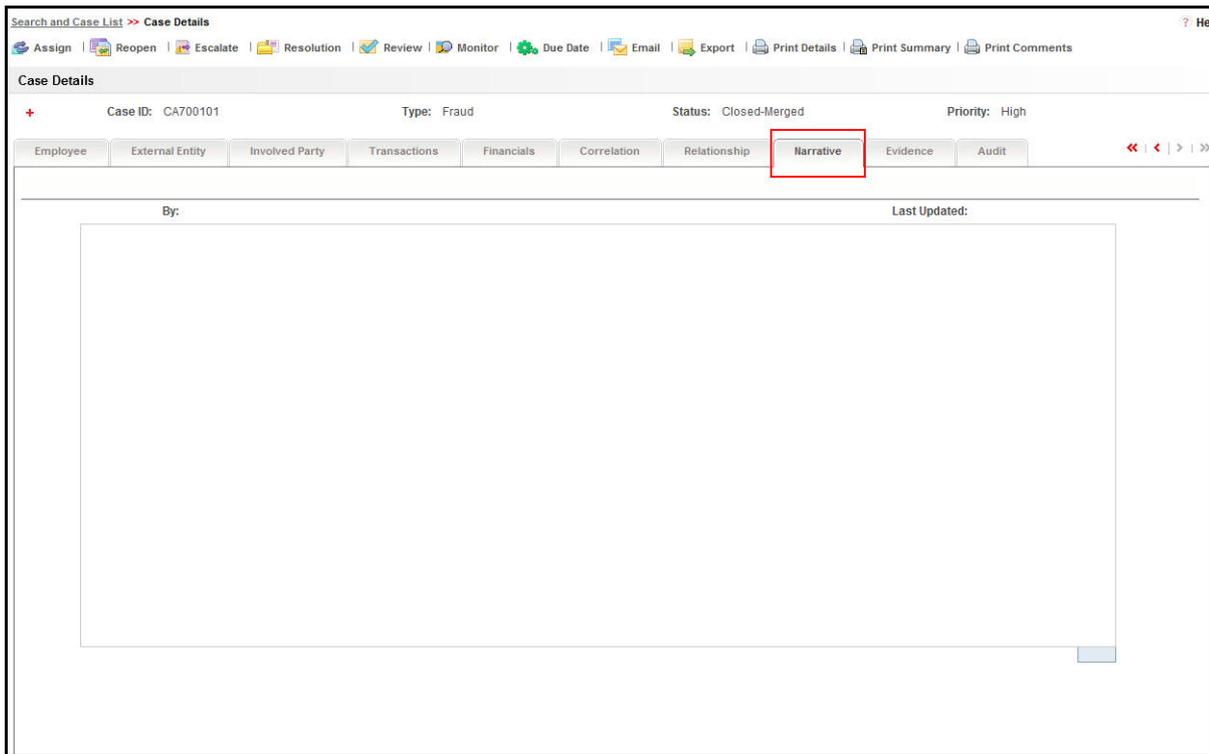
Figure 25. Narrative Tab

Components of the Narrative Tab

The Narrative area includes the following components:

- **Narrative** entry box: Provides a large free text entry area in which you can optionally enter, save, and modify textual analyses of a particular case. By default, the entry box is blank if previous narrative has not been added or if no alert narratives were imported to the case during promotion of alerts to the case (applicable only if your firm has implemented Behavior Detection). This area accepts up to 34 lines of text before requiring vertical scrolling.

- **Last Updated** field: Displays the latest date and time when the Narrative entry box was modified.

- **By** field: Displays the identity of the user who entered or modified the text in the Narrative entry box.

- **Edit** button: Allows you to edit the text in the Narrative entry box. If the entry box is blank, click **Edit** to enter the text in the entry box.

- **Save** button: When clicked, any modifications in the entry box are saved.

- **Reset** button: When clicked, reverts any modification in text to the previously saved version.

Working with Narrative Tab

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

- Creating a Narrative
- Editing a Narrative

● Deleting a Narrative

Creating a Narrative

To create a narrative, follow these steps:

1. Select case for which you want to create a narrative from the Case List

   The Case Details tab displays for that case.

2. Select the Narrative tab that appears below the case context.

   The Narrative tab displays blank for the selected case.

3. Click **Edit**.

4. Enter your analysis in the text box.

5. Click **Save**.

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

Editing a Narrative

To edit the narrative, follow these steps:

1. From the Case List, select the case for which you want to change or add to the existing narrative.

   The Case Details tab displays for that case.

2. Select the Narrative tab that appears below the case context.

3. Click **Edit**.

4. Make your changes or additions to the existing text.

5. Click **Save**.

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

Deleting a Narrative

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

Evidence Tab

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

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

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

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

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

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

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

Audit Tab

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

Figure 26. Audit Tab

The **Attachment** icon displays for actions with an attachment. In order to view attachments, you can click the icon. Clicking the **Attachment** icon opens the Attachment List pop-up with a list of attachments available for viewing. In the Comments column for all comments, which exceed the width of the column, you can click the **Expand** button to view the full text of the comment.

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

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

Involved Party Tab

The Involved Party tab displays detailed information for parties that have been linked to the current case, and provides options for linking additional parties to the case, or creating new involved parties.
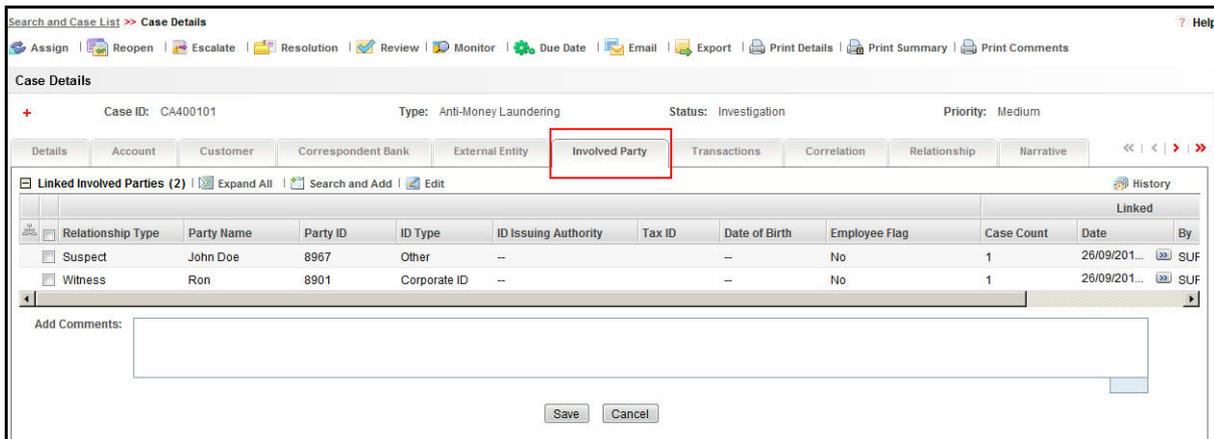
Figure 27. Involved Party Tab

To view the Involved Party tab, follow these steps:

1. Log into Enterprise Case Management.

2. Select the **Investigation** tab from the Masthead.

3. Search for the case that you wish to view.

4. In the Case List section, double-click on a case.

   The Case Details page opens.

5. Click **Involved Party** tab.

   The Involved Party tab displays.

The Involved Party tab contains the following section:

● Linked Involved Parties

● Add Comments

Linked Involved Parties

The Linked Involved Parties section lists and describes involved parties that are currently linked to this case. The Linked Involved Parties section provides detailed information regarding parties that have been linked to the case and identifies the nature of the relationship the party has with the case. Parties are considered to be involved with a case either as a Suspect, Victim, or Witness. If the relationship cannot be categorized as one of these types, then it can be categorized as Other.

Relationship Type Drop-down List

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

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

● Suspect

● Victim

● Witness

- Other

- Unlink

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

Add Involved Parties Link

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

Figure 28. Involved Party Detail Pop-up

Searching for Existing Involved Parties

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

Figure 29. Involved Party Search Filters

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

1. Click the **Search and Add** link to open the Search Involved Party filter section.

2. Enter the search criteria.

   You may use wildcard characters for all text fields. Enterprise Case Management recognizes the percent sign (%) as a wildcard character.

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

3. Click **Go**.

   The search results appear in the Involved Party List section.

Figure 30. Involved Party List Section

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

   Optional: Add comments.

5. Click **Save**.

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

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

Adding a New Involved Party

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

To add a new involved party, follow these steps:

1. From the **Involved Party** tab, click the **Search and Add** link to open the Search Involved Party section.

2. From the Search Involved Party section, click **Add New Involved Party**. The Involved Party Detail pop-up displays.

3. Enter any information pertaining to the involved party. You can enter mandatory fields either in combination of **First Name** and **Relationship to Case** or **Party ID**, **ID Type** and **Relationship to Case** in order to create a new involved party.

4. Click **Save**.

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

   A confirmation pop-up verifies that you are adding the involved party.

Figure 31. Add New Involved Party Confirmation Pop-up

5. Click **OK**.

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

6. Set the relationship for the involved party using the **Relationship Type** drop-down list.

7. Click **Save** to link the newly added involved party to this case with the selected relationship type.

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

History Link

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

Figure 32. Involved Party History Section

The Involved Party History section contains the following components:

- **Involved Party History**: Lists any changes that have been made to the involved party's profile, such as, name or address change. Records that have been modified display as Inactive and original values. The modified and current version of the record display as Active.

- **Case Involved Party Link History**: Lists any changes that have been made to the involved party's relationship to the case. Records that have been modified displays as Inactive and original values. The modified and current version of the record display as Active.

- **Involved Party Linked Cases:** Lists all cases to which the involved party is linked. You can view these cases by selecting the Case ID, which opens up in a new window, displaying the Case Details tab for the selected case.

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

Edit Link

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

Figure 33. Edit Involved Party Pop-up

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

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

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

Detail Link

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

Figure 34. Involved Party Details Pop-up

Add Comments

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

Business Tabs

Business tabs help the Case Analyst I, Case Analyst II or Case Supervisor in categorizing large amounts of supporting data into smaller tabs of data, organized by data type (for example, account information, customer information, and so forth) to aid in the analysis of a case.

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

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

By default, the business entities matrix displays five records.

Table 13. BusinessTabs display

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

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

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

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

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

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

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

For the Transactions tab, you can display the comparative view of all transactions using the Display Comparative View functioanality. The **Display Comparitive View** link, when clicked, display a pop-up that contains all transaction type matrices for which there is data in the order of Funds Transfer, MI Transaction, Cash Transaction, and Back Office Transaction. Each transaction type matrix contains the distinct set of transactions across all linked alerts and manually added transactions to a case.

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

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

Modifying Business Tab Data

If you are a Case Analyst I, Case Analyst II, or Case Supervisor user, Enterprise Case Management enables you to perform Add, Edit and Remove actions on business data associated with the case. Not all tabs support editing of business data. Currently Account, Customer, Employee, Household, External Entity, Financials and Correspondent Bank tabs support the addition, modification, or removal of data.

Adding New Entity

During the course of investigation of a case, you can add an entity or entities to a case to reflect the relationship of the entities with the case. You can add a new business entity in following two ways:

- Adding a New Entity Manually
- Searching for an Entity and then Adding them to the Case

Note: Search Current Business Entities option is available only when your firm has implemented the Alert Management. Refer to section *Setting Alert Management* in *Oracle Financial Services Enterprise Case Management Installation Guide - Stage 3* for more information.

Adding a New Entity Manually

To add a new entity manually, follow these steps:

1. From the Case Search & List page, select the case, navigate to the Case Details tab, and navigate to the applicable business tab.

2. Click **Add** from the list of business entities matrix.

   The Add or Edit window is displayed.

   Note: By default, the **Search Existing Entities** radio button option is selected.

3. Select **Add Entity Manually** radio button option.

   The following window is displayed:
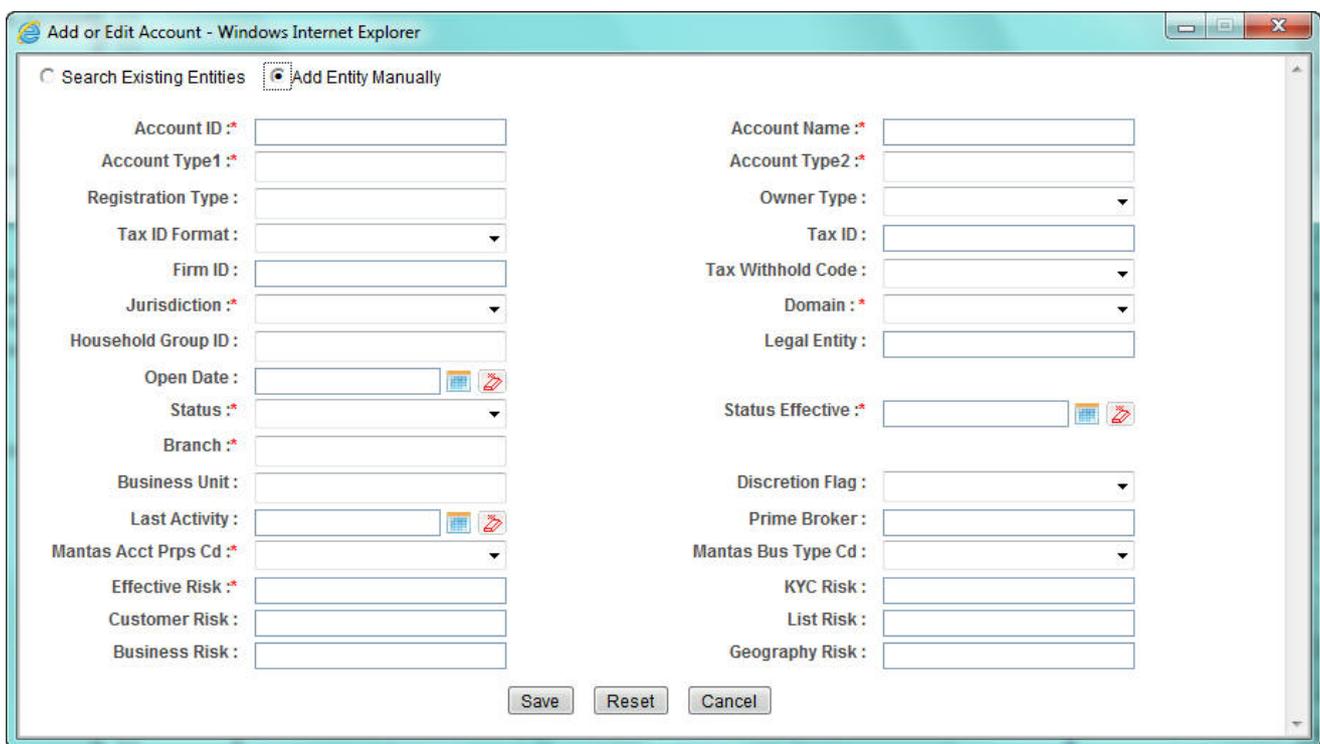
Figure 35. Adding a New Entity Manually

4. Enter data into the fields of the pop-up window. All fields that need a mandatory input are suffixed with an asterisk '*'.

5. Click **Save**. The following message is displayed: *You have selected to add a new record. Click OK to continue and save changes.*

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

7. Click **OK**.

   Note: Oracle Financial Services Enterprise Case Management saves the new data and associates it to the current case. The pop-up is not closed and allows you to add more entities until you click the Cancel button. If you want to add more data to the case for the selected tab, repeat steps #4 to #7. While adding data in the pop-up fields and before saving them, clicking the Reset button clears all the fields to blank.

8. Click **Cancel**.

9. The pop-up closes and navigates you to the refreshed list of business entities matrix, and the newly added data displays. Also, corresponding audit entries are recorded on the case.

Searching for an Entity and then Adding them to the Case

To add a new entity to a case, you can search for entities from the existing entities and then add them to the case. This section includes the following two topics:

● Adding a New Entity from Existing Case Entities

● Adding a New Entity from Existing Business Entities

Adding a New Entity from Existing Case Entities

To add a new entity from existing case entities, follow these steps:

1. From the Case Search & List page, select the case, navigate to the Case Details tab, and navigate to the applicable business tab.

2. Click **Add** from the list of business entities matrix.

3. The following window is displayed:
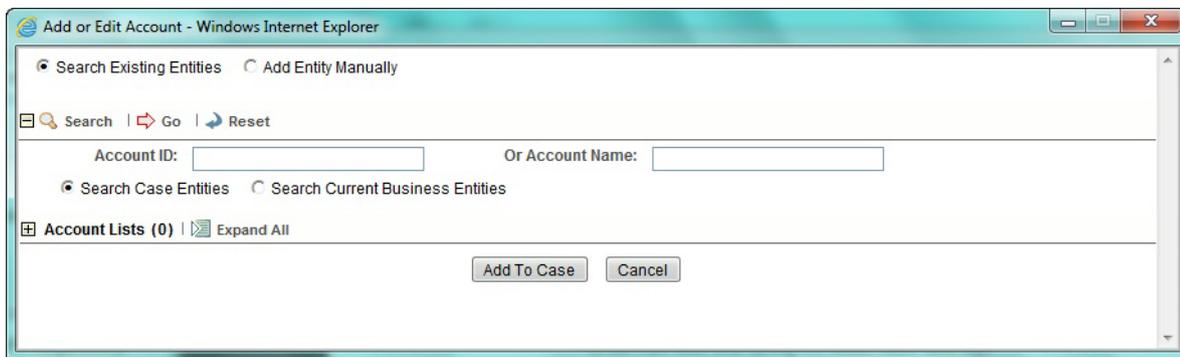
Figure 36. Adding a New Entity from Existing Case Entities

4. By default, the **Search Case Entities** radio button is selected.

5. Enter the required search criteria. Refer to Table 14 to know about the search conditions that are applicable while search existing entities.

   Note: **ID** and **Name** fields are mutually exclusive. The Name field supports wildcard and case-insensitive search.

6. Click **Go**.

   The relevant search lists is displayed.

   Note: All the columns in the Lists section support the **Field Chooser** option.

7. From the Lists section, select the required entity and click **Add to Case**.

8. The following message is displayed: *You have selected to add a new record. Click OK to continue and save changes.*

9. Click **OK**.

   The following message is displayed: *Add Operation Successful.*

10. Click **OK**.

   Note: Oracle Financial Services Enterprise Case Management saves the new data and associates it to the current case. The pop-up is not closed and allows you to add more entities until you click the Cancel button. If you want to add more data to the case for the selected tab, repeat steps #4 to #8. While adding data in the pop-up fields and before saving them, clicking the Reset button clears all the fields to blank.

11. Click **Cancel**.

   The pop-up closes and navigates you to the refreshed list of business entities matrix, and the newly added data displays. Also, corresponding audit entries are recorded on the case.

Adding a New Entity from Existing Business Entities

To add a new entity from the existing business entities, follow these steps:

1. From the Case Search & List page, select the case, navigate to the Case Details tab, and navigate to the applicable business tab.

2. Click **Add** from the list of business entities matrix.

3. Select the **Search Current Business Entities** radio button option from Search Existing Entities.
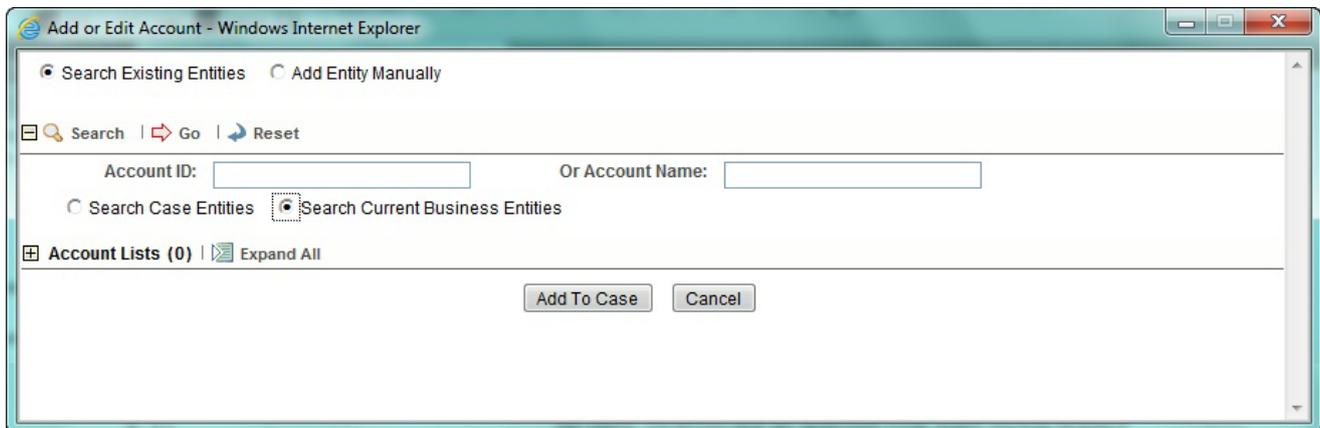
Figure 37. Adding a New Entity from Existing Business Entities

4. Enter the required search criteria. Refer to Table 14 to know about the search conditions that are applicable while search existing entities.

   Note: **ID** and **Name** fields are mutually exclusive. The Name field supports wildcard and case-insensitive search.

5. Click **Go**.

   The relevant search lists is displayed.

   Note: All the columns in the Lists section support the **Field Chooser** option.

6. From the Lists section, select the required entity and click **Add to Case**.

   The following message is displayed: *You have selected to add a new record. Click OK to continue and save changes.*

7. Click **OK**.

   The following message is displayed: *Add Operation Successful.*

8. Click **OK**.

Note: Oracle Financial Services Enterprise Case Management saves the new data and associates it to the current case. The pop-up is not closed and allows you to add more entities until you click the Cancel button. If you want to add more data to the case for the selected tab, repeat steps #4 to #8. While adding data in the pop-up fields and before saving them, clicking the Reset button clears all the fields to blank.

9. Click **Cancel**.

The pop-up closes and navigates you to the refreshed list of business entities matrix, and the newly added data displays. Also, corresponding audit entries are recorded on the case.

Search Conditions for Adding New Business Entities using Search Existing Entities

The following table describes the search conditions applicable while adding a new business entity using the Search Existing Entities option:

Table 14. Search Conditions for Adding New Business Entities using Search Existing Entities

Business Data Tab	ID Column	Condition	Name Column
Account	Account ID	OR	Account Name
Customer	Customer ID	OR	Customer Name AND Customer Type
Household	Household Group ID	OR	Household Group Name
Correspondent Bank	Instn ID, Instn ID Type	OR	Instn Name
Employee	Employee ID	OR	Employee Name
External Entity	Entity ID, Entity Type	OR	Entity Name

Adding New Business Data

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

1. From the Case Search & List page, select the case, navigate to the Case Details tab, and navigate to the applicable business tab.

2. In the list of business entities matrix, click the **Add** icon.

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

3. Enter data into the fields of the pop-up window. Be sure to enter data for all mandatory fields.

4. Click **Save**.

5. Click **OK**.

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

6. Click **Cancel**.

7. The pop-up closes and navigates to the refreshed list of business entities matrix, and the newly added data displays.

8. Corresponding audit entries are recorded on the case.

9. While adding data in the pop-up fields and before saving them, clicking the **Reset** icon clears all the fields to blank.

Modifying Existing Business Data

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

1. From the Case Search & List page, select the case, navigate to the Case Details tab, and then navigate to the applicable business tab.

2. In the list of business entities matrix, select the check box against the data that needs to be edited.

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

3. Click the **Edit** icon.

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

4. Modify the existing data as desired in the editable fields.

5. Click **Save**.

6. Click **OK**.

7. Enterprise Case Management saves the modifications. The pop-up window closes and navigates to the refreshed list of business entities matrix. The modified information displays for the edited record.

8. Corresponding audit entries are recorded on the case.

9. While modifying data in the pop-up fields and before saving them, clicking the **Reset** icon resets all the fields to their previous values.

Removing Business Data

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

To remove existing business data, follow these steps:

1. From the Case Search & List page, select the case, navigate to the Case Details tab, and then to the applicable business tab.

2. In the list of business entities matrix, select the check box against all business records that need to be deleted.

3. Click the **Remove** icon.

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

4. Click **OK**.

5. Enterprise Case Management deletes the selected record(s) from the case. The list of business entities matrix refreshes and all deleted records are removed from the list.

6. Corresponding audit entries are recorded for the case.

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

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

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

Business Tab Supplemental Details

On selection of an entity in the list of business entities matrix, supplemental information specific to the current tab displays. Depending on the availability of data for the selected entity, these sections may or may not contain additional information. Some of this supplemental information would be specific to cases, which are originated in Behavior Detection. If your firm has not implemented Behavior Detection then some of the non-editable supplemental details sections will never display information.

Account Tab Supplemental Details

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

Details Section

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

- **Account Details:** Displays on selection of an account in the list of business entities account matrix. The section displays details of the selected account along with the phone numbers and emails associated with the account. You can edit Account details using the **Edit** button from the list of business entities matrix. In addition, you can add/modify/delete Email addresses and Phone Numbers by clicking the images appearing against their corresponding labels.

- **Account Restriction:** Displays the list of restrictions applied on the selected account. You can include new restrictions and can modify or remove the existing restrictions.

Managers and Advisors

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

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

- **Investment Advisor:** Displays the list of investment advisors associated with the selected account. You cannot modify the details of investment advisors.

Risk Information

Displays risk information associated with the selected account.

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

- **Risk List Memberships:** Displays the watch lists associated with the selected account. The account can be associated with additional watch list or can be removed from existing watch list associations.

Addresses

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

Balance

The Balance section displays the balance and holdings available on the selected account as on the date of case creation.

Summary

The Summary section displays a summary of an account's transactional activity on a monthly basis for the five months previous to the date of last transaction performed from the selected account. If you click the **Show Full Details** button in the summary section, the summary for the last 13 months display in a pop-up window.

Peer Groups

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

Note: You cannot add, modify, or remove the Balance, Summary, and Peer Group information of the account. The information is specific to cases originating from Behavior Detection

Customer Tab Supplemental Details

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

Note: The **Customer Name** in the Customer tab displays the full name of the customer as recorded in the *Business Schema*.

Details

The Details section displays the detailed information of the customer along with the phone numbers and emails associated with the customer. You can edit the Customer details using the **Edit** button from the list of business entities matrix. You can add/modify/remove emails and phones by clicking the images appearing against their corresponding labels.

Accounts

Displays the list of Accounts and Online accounts associated with the selected customer:

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

- **Online Accounts:** Lists all the online accounts that the customer uses to access his accounts. You can add, edit, and remove the online accounts for the customer.

Addresses

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

Risk Information

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

- **Risk Information:** Displays the value of various risks associated with the selected customer.

- **Risk List Memberships:** Displays the watch lists associated with the selected customer.

Note: The risk information displayed in this section are in *view only* mode.

Anticipatory Profile

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

Summary

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

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

Employee Tab Supplemental Details

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

Details

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

Accounts

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

Addresses

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

External Entity Tab Supplemental Details

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

Risk Information

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

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

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

Associated Institutions

Lists all the institutions associated with the selected External Entity.

Addresses

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

Correspondent Bank Tab Supplemental Details

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

Accounts

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

Risk Information

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

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

Summary

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

Peer Groups

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

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

Household Tab Supplemental Details

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

Details

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

Accounts

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

Transaction Tab Supplemental Details

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

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

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

Adding Data in Tab Supplemantal Information

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

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

   The Supplemental Detail displays.

2. Select the desired sections to add supplemental information, and click the corresponding L.H.S. menu option.

3. Follow the steps in the section *Adding New Business Data*.

Modifying Data in Tab Supplemantal Information

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

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

   The Supplemental Detail displays.

2. Select the desired sections to modify supplemental information, and click the corresponding L.H.S. menu option.

3. Follow the steps in the section *Modifying Existing Business Data*.

Removing Data in Tab Supplemantal Information

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

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

   The Supplemental Detail displays.

2. Select the desired sections to remove supplemental information, and click the corresponding L.H.S. menu option.

3. Follow the steps in the section *Removing Business Data*.

Financials Tab

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

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

Components of the Financials Tab

The Financials tab contains the following information:

- Current Loss and Recovery Summary

- Loss and Recovery Items

- Loss and Recovery Data Entry

Current Loss and Recovery Summary

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

- **Links**

    - **Edit**: When clicked, the system populates the Cost Center and GL Financials Data Entry section data entry boxes with the current values associated with the Primary GL, Primary Cost Center and Offset Account and Offset Cost Center and Charge Off Date in a pop-up. The Edit function is based on user roles and is not displayed if you do not have the requisite rights to edit information or if information does not currently exist. Refer to Table 3 of this document for a description of roles and privileges.

    - **Remove**: When clicked, a confirmation message displays asking if you wish to delete the current GL and cost center information. Removed records are considered as inactive and are viewable only in the History pop up. The Remove function is based on user roles and is not displayed if you do not have the requisite rights to delete information. Refer to Table 3 of this document for a description of roles and privileges.

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

- **Information Fields**

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

Table 15. Current Loss and Recovery Information Fields

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

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

Cost Center and GL Financials Data Entry

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

This area contains the following components:

- **Data Entry Fields:** This area displays the relevant fields along with the specific formats for data entry. Table 15 lists the descriptions for each of the following fields for the Current Loss and Recovery Data area.

- ■ **Primary GL Account**—Text box

- ■ **Primary Cost Center**—Drop-down list which is populated with available cost centers as defined by your firm

   Note: If you require additional values, contact your System Administrator.

- ■ **Offset Account**—Text box (limit entry to 50 characters or fewer)

- ■ **Offset Cost Center**—Drop-down list which is populated with available cost centers

- ■ **Charge Off Date**—Text box and calendar control

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

Loss and Recovery Items

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

- ● **Buttons**

  - ■ **Add**

  - ■ **Edit**

  - ■ **History**

  - ■ **Remove**

- ● **Check Box**

  - ■ **Edit**: When checked and the **Edit** button is clicked, the system displays the selected records in the Loss and Recovery data item entry pop up for editing.

- ● **Loss and Recovery Items Matrices:** Refer to section *Loss and Recovery Items Matrices* for descriptions of the columns in each of the matrices.

Add Button

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

Edit Button

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

history of changes to each item that you can access by the **History** link .User roles for the Edit functionality are the same as for the Add functionality.

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

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

History Button

The system provides the **History** button for each type of loss or recovery matrix. When selected, the system displays a pop-up window containing the current versions of all records displayed in the current matrix and any previously edited versions that may exist of each record. Additionally, the system displays any deleted records and any previous versions of those deleted records. For each line item that has been edited or deleted, the system displays each loss and recovery item in an order reflecting the most current version of the record followed by previous, inactive versions of that record. (Refer to Table 16 for descriptions of the data displayed for each matrix in the History pop-up window.)

For example, if a Potential Loss record was edited to change the loss amount from USD 100 to USD 1000, you would see an active record showing the amount as USD 1000 (along with the date, time and user who made the change) followed by a row displaying the original, now inactive, version of the record showing the originally entered amount of USD 100. The History functionality is user role-based and only those users with appropriate access rights can utilize this functionality. Refer to Table 3 of this document for a description of roles and privileges.
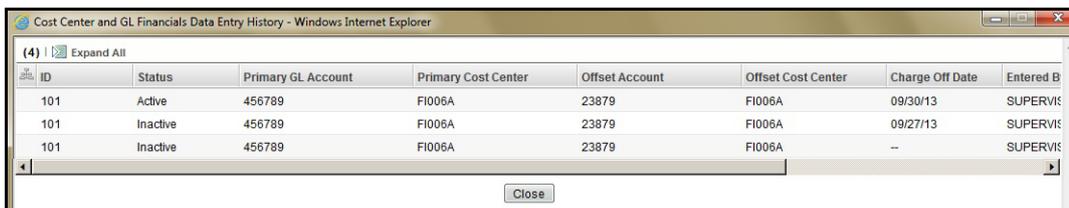
Figure 38. Loss and Recovery History pop-up

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

Table 16. Display of History Data for Each Matrix

Column	Description	Loss and Recovery Items Matrices		
		Potential Loss	Averted Loss	Recovery
ID	A unique identifier associated with the loss and recovery item record.	X	X	X
Status	The status of the loss and recovery item record.	X	X	X
Date	Date on which this loss or recovery item was incurred.	X	X	X
Amount	The respective amount for the loss and recovery item record.	X	X	X
GL Account	The general ledger account to which this loss or recovery item is associated.	X	X	X
Cost Center	The cost center to which this loss or recovery item is associated.	X	X	X
Loss Averted Type	The type of averted loss entry represented by this record, if one was specified.		X	

Table 16. Display of History Data for Each Matrix

Column	Description	Loss and Recovery Items Matrices		
		Potential Loss	**Averted Loss**	**Recovery**
Loss Payee	The payee identified for the loss amount represented by this record, if one was specified.	X		
Entered By	The user who entered this record.	X	X	X
Entered Date	The system date and time on which this record was entered or edited.	X	X	X
Description	Any descriptive comment that was entered about this record.	X	X	X

Remove Button

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

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

Export Loss and Recovery Items to Excel

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

Note: Oracle does not currently support exporting grid data to formats other than Excel.

Loss and Recovery Items Matrices

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

Table 17. Loss and Recovery Items

Column	Description	Loss and Recovery Items Matrices		
		Potential Loss	**Averted Loss**	**Recovery**
Date	Date on which this loss or recovery item was incurred.	X	X	X
Amount	The respective amount of the loss or recovery item. Please note that the system shall consider the currency value entered to be in base currency only	X	X	X
GL Account	The general ledger account to which this individual loss or recovery item is associated.	X	X	X
Cost Center	The cost center to which this individual loss or recovery item is associated.	X	X	X
Loss Payee	The payee identified for the loss amount represented by this record, if one was specified.	X		
Loss Averted Type	Specifies the type of averted loss entry represented by this record, if one was specified.		X	
Entered By	Reflects the User who entered this record.	X	X	X

Table 17. Loss and Recovery Items (Continued)

Column	Description	Loss and Recovery Items Matrices		
		Potential Loss	**Averted Loss**	**Recovery**
Entered Date	System date and time on which this record was entered or edited.	X	X	X
Description	Any description comment that was entered with respect to this record.	X	X	X

Loss and Recovery Data Entry

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

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

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

Table 18. Loss and Recovery Data Entry Fields

Field	Description
Data Entry Type	Pre-populated as per the data entry type selected (for both add/edit), that is, Potential Loss, Averted Loss, Recovery. This is a non-editable field.
Date	Date on which this loss or recovery item was incurred.
Amount	The respective amount of the loss or recovery record. Note that the system accepts values in base currency only. You must enter the amount in the correct base currency format.
GL Account	The general ledger account to which this loss or recovery item is associated. This data item associates this GL account to the current item being entered only and not to the overall alert. This field provides you the option to associate a different GL account to an individual item than might be appropriate for the entire alert.

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

Field (Continued)	Description
Cost Center	Cost center to which this loss or recovery item should be associated. This field associates this cost center to the current item being entered only and not the overall alert, appropriate for the entire alert. It provides you the option to associate a different cost center to an individual item than might be appropriate for the entire alert. This drop-down list is populated with available cost centers as defined by your firm. **Note:** If you require additional values, contact your System Administrator.
Loss Item Charge Off Date (if applicable)	The date on which this loss item was charged off, if the individual item was charged off.
Loss Averted Type (if applicable)	Drop-down list that specifies the type of averted loss entry represented by this record. The specification of Averted Loss Types is optionally provided by your firm. If no averted loss Types have been defined, then this drop-down will provide no entries for selection.
Loss Payee (if applicable)	Text field that allows for specification of a payee identified for the loss amount represented by this record.
Description	Text field that allows for entry of descriptive comments regarding the current item being entered in the row.

Acting on Cases

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

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

- About Case Actions
- About the Case Actions Pop-up
- Assigning a Case
- Exporting a Case
- Emailing a Case
- Printing Details
- Printing Summary
- Printing Comments
- Resolutions for a Case
- Reopening a Case
- Reviewing a Case
- Escalating a Case
- Monitoring a Case
- Setting Due Date for a Case
- Adding Comments to a Case
- Adding and Removing Attachments
- Implicit Actions

About Case Actions

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

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

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

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

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

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

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

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

About the Case Actions Pop-up

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

Action Categories

You can navigate to the case actions pop-up by clicking the action categories displayed above the case context and above the search bar in Case Details and Search & List page, respectively. The pop-ups display the fields based on the selected action category. You can perform Comments, Attachments, Setting Due Date, Assign To, and Reassign Owner actions along with other actions in each action category.

Note: If you try to perform an action on a case whose current status does not support those actions, then the following warning message is displayed after the action pop up window opens: *There are no actions available for the selected cases under this action category.*

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

Table 19. Action Categories and Associated Fields

		Controls shown on the pop-up				
Action Category	**Selection Type**	**Comments**	**Attachments**	**Due Date**	**Assign To**	**Reassign Owner**
Assignment	Multi-select	X	X	X	X	X
Escalate	Single select	X	X	X	X	X
Resolution	Single select	X	X	X	X	
Review	Multi-select	X	X	X	X	X

Table 19. Action Categories and Associated Fields

| Action Category | Selection Type | Controls shown on the pop-up | | | | |
		Comments	Attachments	Due Date	Assign To	Reassign Owner
Monitor	Single select	X	X	X	X	X
Email	Single select	X		X	X	X
Export	Single select	X		X	X	X
Print	Single select	X		X	X	X
Reopen	Single select	X	X	X		
Due Date	Single select	X	X	X	X	X
Evidence	Multi select	X	X			

Actions

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

The following describes the action buttons:

- **Research & Review:** Includes a list of actions allowing you to document results of research and analysis performed during the course of your investigation. Some actions in this category may not change the status of the case, but serve to document steps and progress in your investigation.

- **Escalate:** Includes a list of actions allowing you to escalate your case to another user for review and enable the reviewer to take actions based on their review of the escalated case. Escalating a case for review automatically sets a due date by which the escalation needs to be addressed.

- **Monitor:** Includes a list of actions that will set the case into a monitoring status and actions that can remove a case from monitoring status. Actions that set a case to monitor status will result in automatic assignment of a due date that defines the monitoring period.

- **Resolution:** Includes a list of actions that complete your analysis of this case, and, in most instances results in closure of the case.

- **Export:** Includes options for exporting cases.

- **Email:** Includes options to email the case details in HTML format.

- **Assignment:** Includes actions permitting the reassignment of case ownership and the assignment of the case to another user for investigation.

- **Due Date** calendar control: Provides the ability to select a date by which the selected action should complete. Also, allows you to clear a due date if that date is no longer needed.

- **Reopen:** Includes an action to reopen a previously closed case. This action will only be available for cases in a closed status and if your role permits you to reopen a closed case.

- **Evidence:** Includes options to add attachments and make comments to the selected cases from the case list matrix.

- **Print Summary:** Includes option to print a summary version of the case contents, which will include a limited set of the information you see in the UI. Printed summaries can also be saved as PDFs.

- **Print Details:** Includes option to print a detailed version of the case contents, which will include much of the information you see in the UI. Printed details can also be saved as PDFs.

- **Print Comments:** Includes option to print comments case context information that are entered for the alert.

Components of the Case Actions pop-up

The case action pop-up contains the following components:

- **Select an Action** drop-down list: When selected displays a list of one or more actions which can be taken. Actions will be those applicable to the category of actions associated with the selected action icon and will be based upon the current case type, sub type and status.

- **Due Date** calendar selector: Depending upon the action(s) selected in the **Select an Action** drop-down list, and the current status of the case, the action pop-up may refresh to display an option to set a due date.

- **Reassign** drop-down list: Depending upon the action(s) selected in the **Select an Action** drop-down list, and the current status of the case, the action pop-up may refresh to display an option to reassign ownership of the case.

- **Save** button: Saves all actions and comments. When you click **Save**, a confirmation dialog box displays with the **OK** and **Cancel** buttons, prompting you to click **OK** to apply the selected actions and comments.

- **Save & Attach** button: Facilitates addition of an attachment along with the actions for a case. The **Save & Attach** button is provided in every actions pop-up. Refer to the section *Adding an Attachment* for more information.

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

  The following fields display for the Save & Attach window:

  - **Choose a file to attach** text box with the **Browse** button: Provides a quick means of entering or selecting the full path and name of the file to be attached. You can enter up to 200 text characters for the file name. You can also browse for the file.

  - **Logical File Name** text box: Enables you to enter up to 80 text characters relevant to the file attached to the selected alert. Use this text area to enter a descriptive name for the file attached. This is then used as the display name for the attached file.

  - **Attach File** button: Displays a confirmation box and when you confirm the action, attaches a file to the selected alert.

- **Reset** button: Resets the fields in the actions pop-up from the modified value to their previous value.

- **Cancel** button: Displays an unsaved data-warning message with the **OK** and **Cancel** buttons. Based on the selection of the **OK** and **Cancel** buttons; it either closes the pop-up or stay in the same pop-up.

- **Standard Comments** selection box: Provides a quick means of entering comments that are relevant to the analysis and closing of the selected cases. The case type and subtype of the case determines which standard comments display.

- **Comments** text box: Enables you to enter free-form text characters relevant to the analysis and closure of the selected cases. Use this text area if none of the standard comments applies to your action or if you want to include additional information.

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

Acting on Single or Multiple Cases

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

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

Assigning a Case

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

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

Note: If you try to perform an action on a case whose current status does not support those actions, then the following warning message is displayed after the action pop up window opens: *There are no actions available for the selected cases under this action category.*

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

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

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

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

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

   Alternatively: While performing actions on cases and while creating manual cases, a Case Analyst I, Case Analyst II, or Case Supervisor user can automate the assignment of ownership of the case by selecting the Auto Assignment check box. Selecting this check box will disable the **Reassign Ownership To** field and the system will automatically assign the owner as per rules defined in *Case Assigner Editor* under *Case Management Configuration* settings set by an Oracle Administrator.

   Note: You need to deselect the **Auto Assignment** check box to enable the **Reassign Ownership To** field.

   Auto Assignment option enables you to automatically assign a owner for a case through pre-defined rules. The pre-defined rules are set under *Case Assigner Editor* on the parameters such as Case Type, Status and so on. If the system is unable to find an owner based on the rules defined, then the case will be auto assigned to the default owner set in *Default Case Owner* attribute under the *Installation Parameters* table. For more details on Case Assigner Editor and Default Case Owner settings, refer to *Administration Tools User Guide* and *Configuration Guide* respectively.

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

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

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

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

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

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

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

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

   Note:

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

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

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

   ■   While performing actions on cases and while creating manual cases, a Case Analyst I, Case Analyst II, or Case Supervisor user can automate the assignment of ownership of the case by selecting the Auto Assignment check box. Selecting this check box will disable the **Reassign Ownership To** field and the system will automatically assign the owner as per rules defined in *Case Assigner Editor* under *Case Management Configuration* settings set by an Oracle Administrator.

   ■   You need to deselect the **Auto Assignment** check box to enable the **Reassign Ownership To** field. The Auto Assignment option enables you to automatically assign a owner for a case through pre-defined rules. The pre-defined rules are set under *Case Assigner Editor* on the parameters such as Case Type, Status and so on. If the system is unable to find an owner based on the rules defined, then the case will be auto assigned to the default owner set in *Default Case Owner* attribute under the *Installation Parameters* table. For more details on Case Assigner Editor and Default Case Owner settings, refer to *Administration Tools User Guide* and *Configuration Guide* respectively.

Exporting a Case

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

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

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

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

Note: If you try to perform an action on a case whose current status does not support those actions, then the following warning message is displayed after the action pop up window opens: *There are no actions available for the selected cases under this action category.*

To export a case, follow these steps:

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

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

   The Export action pop-up displays.

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

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

   Alternatively: While performing actions on cases and while creating manual cases, a Case Analyst I, Case Analyst II, or Case Supervisor user can automate the assignment of ownership of the case by selecting the Auto Assignment check box. Selecting this check box will disable the **Reassign Ownership To** field and the system will automatically assign the owner as per rules defined in *Case Assigner Editor* under *Case Management Configuration* settings set by an Oracle Administrator.

   Note: You need to deselect the **Auto Assignment** check box to enable the **Reassign Ownership To** field.

   Auto Assignment option enables you to automatically assign a owner for a case through pre-defined rules. The pre-defined rules are set under *Case Assigner Editor* on the parameters such as Case Type, Status and so on. If the system is unable to find an owner based on the rules defined, then the case will be auto assigned to the default owner set in *Default Case Owner* attribute under the *Installation Parameters* table. For more details on Case Assigner Editor and Default Case Owner settings, refer to *Administration Tools User Guide* and *Configuration Guide* respectively.

2. Click **Save**.

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

3. Click **OK**.

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

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

Emailing a Case

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

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

Note: If you try to perform an action on a case whose current status does not support those actions, then the following warning message is displayed after the action pop up window opens: *There are no actions available for the selected cases under this action category.*

To email a case, follow these steps:

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

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

   The Email action pop-up displays.

2. Type the email address or addresses of the recipients in the **To** text box. For multiple addresses, separate each address with a semi-colon but without any spaces.

3. In the body of the email, type any additional information regarding the case that you want to email.

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

   Alternatively: While performing actions on cases and while creating manual cases, a Case Analyst I, Case Analyst II, or Case Supervisor user can automate the assignment of ownership of the case by selecting the Auto Assignment check box. Selecting this check box will disable the **Reassign Ownership To** field and the system will automatically assign the owner as per rules defined in *Case Assigner Editor* under *Case Management Configuration* settings set by an Oracle Administrator.

   Note: You need to deselect the **Auto Assignment** check box to enable the **Reassign Ownership To** field.

   Auto Assignment option enables you to automatically assign a owner for a case through pre-defined rules. The pre-defined rules are set under *Case Assigner Editor* on the parameters such as Case Type, Status and so on. If the system is unable to find an owner based on the rules defined, then the case will be auto assigned to the default owner set in *Default Case Owner* attribute under the *Installation Parameters* table. For more details on Case Assigner Editor and Default Case Owner settings, refer to *Administration Tools User Guide* and *Configuration Guide* respectively.

4. Click **Send**.

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

> **Note**: If there are comments which exceeds 4000 characters, the system prints only comments of first 4000 characters.

Printing Details

If your role permits, you can print the Case Investigative Report details. From Case Details page, click **Print Details** to print the detailed case investigative report in a PDF format.

Note: If the narrative for print details and print summary exceeds 4000 characters, the system prints narrative of first 4000 characters.

Printing Summary

If your role permits, you can print the summary of a Case Investigative Report. From Case Details page, click Print Summary to print the summary of the report in a PDF format.

Note: If the narrative for print details exceeds 4000 characters, the system prints narrative of first 4000 characters.

Printing Comments

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

Note: If there are comments which exceeds 4000 characters, the system prints only comments of first 4000 characters.

Resolutions for a Case

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

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

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

Note: When a Resolution action is performed and the case is moved to the Closed status, the existing due date of the case, if present, is cleared by the system.

Recommending a Case for Close Action

If you are an Analyst user and perform the resolution action on a non-closed case, the case moves to the Recommend Closure status, where you need to assign to a supervisor for approval. The supervisor can approve or

reject the recommendation. If approved, the case is closed and if rejected, the case is pushed back to the old status without closing. If you are a Supervisor user and perform the resolution action on a non-closed case, the case is directly closed without requiring additional approval.

Note: If you try to perform an action on a case whose current status does not support those actions, then the following warning message is displayed after the action pop up window opens: *There are no actions available for the selected cases under this action category.*

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

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

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

   The Resolution action pop-up displays.

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

   You can select only one action from the list.

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

4. Provide a mandatory comment for resolution action.

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

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

6. Click **OK**.

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

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

7. Click **OK**.

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

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

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

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

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

   The Resolution action pop-up displays.

2. Select the closing action that you want to perform on the case. You can select only one action from the list.

3. Provide mandatory comments for resolution action. You cannot perform the Ownership Re-assignment while performing a resolution action.

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

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

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

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

6. Click **OK**.

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

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

Reopening a Case

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

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

Note: If you try to perform an action on a case whose current status does not support those actions, then the following warning message is displayed after the action pop up window opens: *There are no actions available for the selected cases under this action category.*

To reopen a case, follow these steps:

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

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

   The Reopen action pop-up displays.

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

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

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

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

4. Click **OK**.

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

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

5. Click **OK**.

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

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

Reviewing a Case

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

Note: If you try to perform an action on a case whose current status does not support those actions, then the following warning message is displayed after the action pop up window opens: *There are no actions available for the selected cases under this action category.*

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

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

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

   The Research & Review action pop-up displays.

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

3. Provide comments.

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

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

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

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

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

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

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

Escalating a Case

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

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

Note: If you try to perform an action on a case whose current status does not support those actions, then the following warning message is displayed after the action pop up window opens: *There are no actions available for the selected cases under this action category.*

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

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

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

   The Escalate action pop-up displays.

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

2. Select an action applicable to your role.

3. Provide mandatory comments.

4. Select a user or group of users in the **Assign To** field and set a due date for the case.

   Alternatively: While performing actions on cases and while creating manual cases, a Case Analyst I, Case Analyst II, or Case Supervisor user can automate the assignment of ownership of the case by selecting the Auto Assignment check box. Selecting this check box will disable the **Reassign Ownership To** field and the system will automatically assign the owner as per rules defined in *Case Assigner Editor* under *Case Management Configuration* settings set by an Oracle Administrator.

   Note: You need to deselect the **Auto Assignment** check box to enable the **Reassign Ownership To** field.

   Auto Assignment option enables you to automatically assign a owner for a case through pre-defined rules. The pre-defined rules are set under *Case Assigner Editor* on the parameters such as Case Type, Status and so on. If the system is unable to find an owner based on the rules defined, then the case will be auto assigned to the default owner set in *Default Case Owner* attribute under the *Installation Parameters* table. For more details on Case Assigner Editor and Default Case Owner settings, refer to *Administration Tools User Guide* and *Configuration Guide* respectively.

   Note: Deselect the Auto Assignment check box to enable the *Reassign Ownership To* field.

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

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

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

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

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

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

Monitoring a Case

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

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

Note: If you try to perform an action on a case whose current status does not support those actions, then the following warning message is displayed after the action pop up window opens: *There are no actions available for the selected cases under this action category.*

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

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

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

   The Monitor action pop-up displays.

2. If you are an analyst, select one of the available recommendation actions from the **Select an Action** drop-down list, based on the status of the case being investigated.

3. If you are a supervisor, select one of available actions related to monitoring of a case from the **Select an Action** drop-down list, based on the status of the case being investigated.

4. Provide mandatory comments.

5. Select a user or group of users in **Assign To** field (if analyst taking Recommend action).

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

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

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

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

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

    Enterprise Case Management records the action, updates the case information, changes the statuses, clears the due date and returns the you to the Case List page or Details tab based on from where you took the action.

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

Setting Due Date for a Case

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

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

If you try to perform an action on a case whose current status does not support those actions, then the following warning message is displayed after the action pop up window opens: *There are no actions available for the selected cases under this action category.*

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

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

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

   The Due Date action pop-up displays.

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

3. Provide mandatory comments.

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

   Alternatively: While performing actions on cases and while creating manual cases, a Case Analyst I, Case Analyst II, or Case Supervisor user can automate the assignment of ownership of the case by selecting the Auto Assignment check box. Selecting this check box will disable the **Reassign Ownership To** field and the system will automatically assign the owner as per rules defined in *Case Assigner Editor* under *Case Management Configuration* settings set by an Oracle Administrator.

   Note: You need to deselect the **Auto Assignment** check box to enable the Reassign Ownership To field.

   Auto Assignment option enables you to automatically assign a owner for a case through pre-defined rules. The pre-defined rules are set under *Case Assigner Editor* on the parameters such as Case Type, Status and so on. If the system is unable to find an owner based on the rules defined, then the case will be auto assigned to the default owner set in *Default Case Owner* attribute under the *Installation Parameters* table. For more details on Case Assigner Editor and Default Case Owner settings, refer to *Administration Tools User Guide* and *Configuration Guide* respectively.

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

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

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

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

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

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

Adding Comments to a Case

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

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

Note: If you try to perform an action on a case whose current status does not support those actions, then the following warning message is displayed after the action pop up window opens: *There are no actions available for the selected cases under this action category.*

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

1. From the Case Details tab, navigate to the Evidence tab.

2. Select the **Add** icon in the Add Comments section.

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

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

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

4. Save the comment.

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

   Alternatively, you can also add comments from the Case Search & List page. Refer to the section *Additional Information and Case Comments* for more information.

Adding and Removing Attachments

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

Adding an Attachment

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

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

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

Note: If you try to perform an action on a case whose current status does not support those actions, then the following warning message is displayed after the action pop up window opens: *There are no actions available for the selected cases under this action category.*

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

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

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

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

2. Browse and select one or more files for the case in the **Choose a File to Attach** text box.

3. Enter the logical file name of the file being attached. This field is optional. If provided, the logical file name is displayed in the audit entries, else the physical file name is displayed.

4. Click the **Attach File** button.

   The confirmation dialog box displays and Enterprise Case Management attaches the file to the selected case.

5. Click **OK**.

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

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

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

Removing an Attachment

When you remove documents from a case, the status of that case does not change because of the removals. However, the removal action reflects in the audit trail of a case.
To remove an attachment from a case, follow these steps:

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

   The Attachment List matrix pop-up displays.

2. Select the check box next to each attachment that you want to remove.

3. Enter any additional comments you have regarding the removal of the attachment in the **Comments** text box.

4. Click the **Remove** button.

   The confirmation dialog box displays.

5. Click **OK**.

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

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

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

Implicit Actions

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

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

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

  - The case is currently owned by an organization of which you are a member

  - You have eligibility to own the case

  - You navigate to the Case Details for the case

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

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

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

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

- **Regulatory Report Action Updates:** The system will record case audit entries for actions which are taken on a report in Regulatory Reporting where the case is the triggering case for the report.

Creating New Cases

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

Note: You cannot create new KYC cases through **Create Cases** submenu.

Figure 39. Creating New Cases

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

Table 20 describes the fields that can be used to define your new case. Fields that are mandatory are marked with a red asterisk (*) on the UI. In order to successfully create a case, you are required to enter values in the mandatory fields.

Table 20. New Case Creation Components

Fields List	Description
Case ID	Enterprise Case Management generated unique identifier for the case. This field is not editable.
Title	Title name of the case. This is a mandatory field.
Type	Classifies the type of case being created (for example, AML, Fraud). The types that is available in the drop-down list are based upon your firm's configuration as well as user privileges. This is a mandatory field.
Subtype	Classifies the subtype of the type of case being created (for example, Employee Fraud). The combination of case type and subtype selected will affect the investigation workflow and actions available for the case. The subtypes that is available in the drop-down list are based upon your firm's configuration as well as user privileges. This is a mandatory field.
Subclass 1	Classifies the case type and subtype to an additional level of detail. Case subclasses do not impact the workflow and actions and are primarily used for reporting. The subclasses that are available in the drop-down list are based upon your firm's configuration.
Subclass 2	Classifies the case type and subtype to an additional level of detail. Case subclasses do not impact the workflow and actions and are primarily used for reporting. The subclasses that are available in the drop-down list are based upon your firm's configuration.

Table 20. New Case Creation Components (Continued)

Fields List	Description
Jurisdiction	Defines the business jurisdiction to be assigned to the case. Jurisdictions can be used to affect access to the case by users. This is a mandatory field.
Domain	Defines the business domain to be assigned to the case. Business domains can be used to affect access to the case by users. This is a mandatory field.
Auto Assignment	Select this checkbox to automate the assignment of ownership of the new case. Selecting this check box will disable the Owner field and the system will automatically assign the owner defined in Case Assigner Editor under Case Management Configuration settings set by an Oracle Administrator user as the new owner of the case.
Owner	User who is the owner of the new case. This is a mandatory field.
Assigned To	User to whom the case is assigned for investigating and taking actions on the case. Can be different than the owner of the case or can be the same user.
Confidential Flag	Indicator of whether or not this case should be considered confidential. Default value is 'No'.
Priority	Indicator of the priority of this case. Default value is 'Low'. **Note:** This is a mandatory field.
Document Control Number	
Status	System generated status. By default, all newly created cases are created with a status of 'New'. This field is not editable.
Created By	Captures the identifier of the user creating the case. This field is not editable.
Created Date	System generated date corresponding the current date. This field is not editable.
Description	Free text field allowing users to describe the case content and details at a high level.

To create new cases, follow these steps:

1. From the Investigations menu, select the Create Cases option.

   The Create Cases page displays.

2. Enter the desired information in the fields.

   Note: Always specify values for fields marked as required.

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

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

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

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

Investigating KYC Assessments and Cases

Enterprise Case Management enables you to assesses the risk associated with a customer by considering different attributes of the customer. The attributes differ based on the customer type. The workflow of KYC enables financial institutions to perform Due Diligence, Enhanced Due Diligence, and continuous monitoring of customers.This chapter explains how to examine and analyze KYC case related information to determine what action to take in each situation.

This chapter covers the following topics:

- About the KYC Case Workflow
- Navigating KYC Case Detail Page
- Acting on KYC Cases
- Managing KYC Assessments

About the KYC Case Workflow

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

- **Home page:** Enables you to view your notifications and priority KYC cases. You can also view the charts based on your role and reports configured for display. Refer to the section *Home Page* for more information on the components of the home page.

- **KYC Search & Case List page:** Enables you to set criteria to retrieve KYC cases, the results of which display on the KYC Case List below the Search bar. The search can be performed through pre-defined views, simple search and advanced search criteria. You can also search for a case by a Case ID.

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

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

- **KYC Assessments**: Enables you to view the list of all customers whose risk have been assessed as well as assessments which have been promoted to KYC cases. It also enables you to view the customer details whose risk was not assessed because of old data. Refer to section *Managing KYC Assessments*, for more information on how to view assessment lists.

Accessing the Investigation Workflow

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

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

Home Page

The Home page provides visibility and quick access to a list of high priority KYC cases that may require more immediate attention. In addition, the Home page displays notifications of activity on cases of interest to you. The Home page may also display graphical summaries of your current workload. You can navigate to the Home page by selecting Home from the primary level of navigation menu. Based on the access permissions of your role, the Home page may also display as the default page after you have logged into the system.
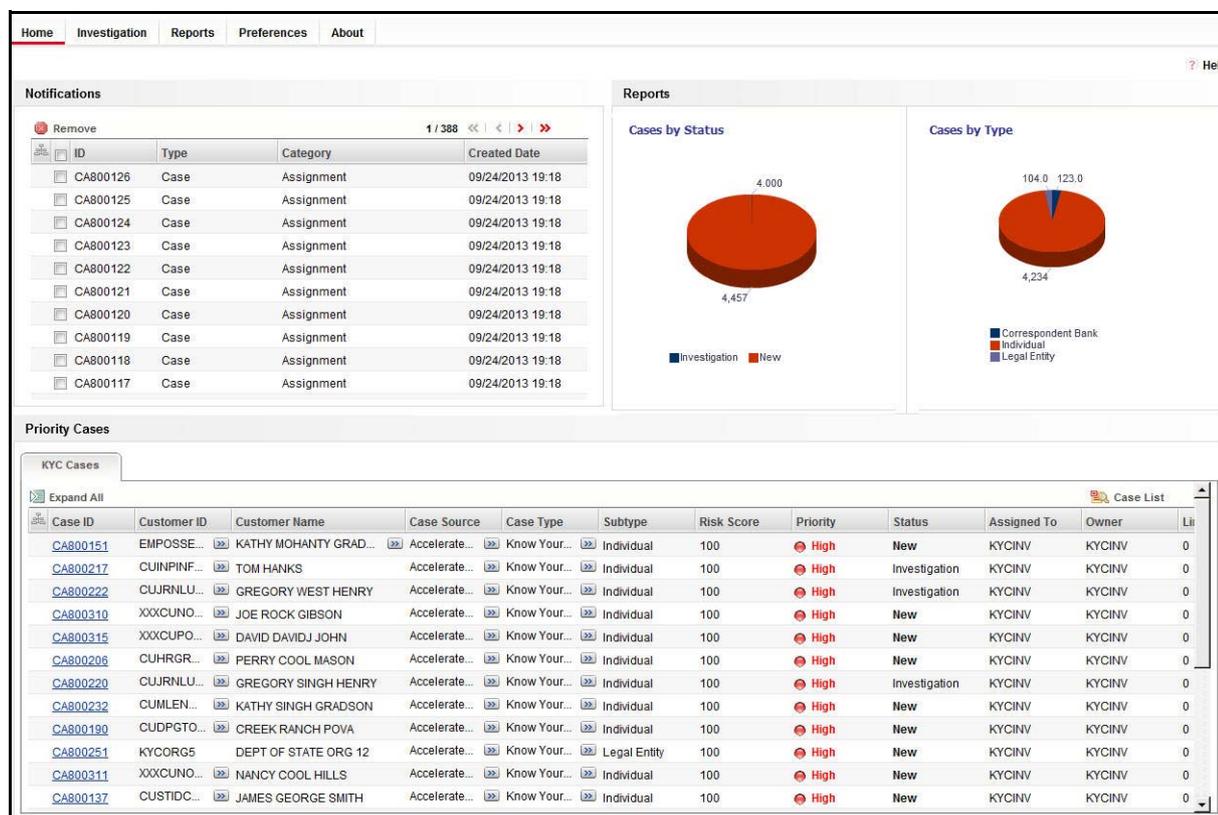
Figure 40. Home Page - KYC Cases

Refer to section *User Privileges* and *Security within Enterprise Case Management* for information on Enterprise Case Management access privileges.

Components of Home Page

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

Notification

The Notification section displays the notification of the following category:

- **ID:** Displays the Identifier of the item for which you have received this notification (for example, Case ID)

- **Type:** Displays the type of item for which you have received this notification (for example, Case)

- **Category:** The type of activity that has triggered this notification (for example, Assignment)

- **Created Date:** Date and time this notification message was created

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

- **Due Date:** Displays the actual due date that is nearing or has been exceeded for an entity

- **Status:** Displays the current status of the selected entity (for example, Investigation)

- **Assigned To:** Displays the name of the user role to whom the entity is assigned.

- **Action Taken:** Displays the name of the action taken on the entity (for example, Assigned)

- **Taken By:** Displays the name of the user role who performed an action on the entity.

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

The most recent notifications display first. If there are more notifications than will fit on the initial page, you have the option to navigate to the additional notifications using page controls. Notifications will not remain visible indefinitely. By default, notifications are configured to appear for five days after they are initially created except under the following circumstances:

- You delete the notification

- You view the case for which the notification of assignment or reassignment was received on action taken

- Or, the due date has been extended on the case for which the notification of nearly due or overdue was received

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

Reports

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

Priority Cases Matrix

Displays only active KYC cases, that is, those cases in a non-closed status. By default, the order in which KYC cases are to displayed, are based on the following ordering strategies:

- **Priority**: Displayed in descending order of priority - High, Medium, and Low

- **Risk Score**: Displayed in descending order of risk score.

- **Due Date:** Displayed in ascending order of due date.

- **Create Date**: Displayed in descending order of KYC case created date.

- **Case ID**: Displayed in descending order of Case ID

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

KYC Case Search & List Page

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

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

- KYC Search & Case List Page Components

- Searching for KYC Cases using Views

- Searching for KYC Cases using Simple or Advanced Search

- Searching for a KYC Case by Case ID

KYC Search & Case List Page Components

The KYC Search & Case List Page contains the following components:

- KYC Case Search Bar

- Action Buttons

- Views Search

- Simple Search

- Advanced Search

Figure 41. KYC Case Search & List

KYC Case Search Bar

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

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

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

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

Enterprise Case Management retrieves KYC cases, based upon the following:

- The filter criteria you enter into the Views, Simple Search, or Advanced Search bars.

- Your access control permissions.

Action Buttons

You can perform actions using the Action buttons that is available above the KYC Case Search bar. Theses buttons are visible as per your access permissions. Refer to section *Acting on KYC Cases* for more details on actions.

Views Search

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

Figure 42. KYC Case Views

Table 21 list the Views Filter and Sort Criteria for the View Names.

Table 21. KYC Case Views and Filter

View Name	View Filter and Sort Criteria
My New Cases	From: Current Date -1 To: Current Date
	Owner: Current user or pool to which the current user belongs
	Status: New
	Sort: By Priority Desc; Case ID Asc
Cases Assigned to Me	Assigned To: current user or pool to which the current user belongs
	Status: Any status but a closed status
	Sort: By Priority Desc; Create Dt Desc; Case ID Asc
My Cases	Owner: Current user or pool to which the current user belongs
	Status: Any status but a closed status
	Sort: By Priority Desc; Create Dt Desc; Case ID Asc

Table 21. KYC Case Views and Filter (Continued)

View Name	View Filter and Sort Criteria
My Overdue Cases	Due Date is not null and is <= Current Date
	Owner: Current user or pool to which the current user belongs
	Sort: By Due Date Asc; Case ID Asc
My Near Due Cases	Due Date is not null and is > Current Day and <= (Current Day +4)
	Owner: Current user or pool to which the current user belongs
	Sort: By Due Date Asc; Case ID Asc
Accelerated Review Trigger	From: Current Date -1 To: Current Date
	Owner: Current user or pool to which the current user belongs
	Case Source=Accelerated re-review
	Status: Any status but a closed status

Simple Search

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

Advanced Search

Advanced search offers the same search fields as provided for a simple search along with an expanded set of additional fields.
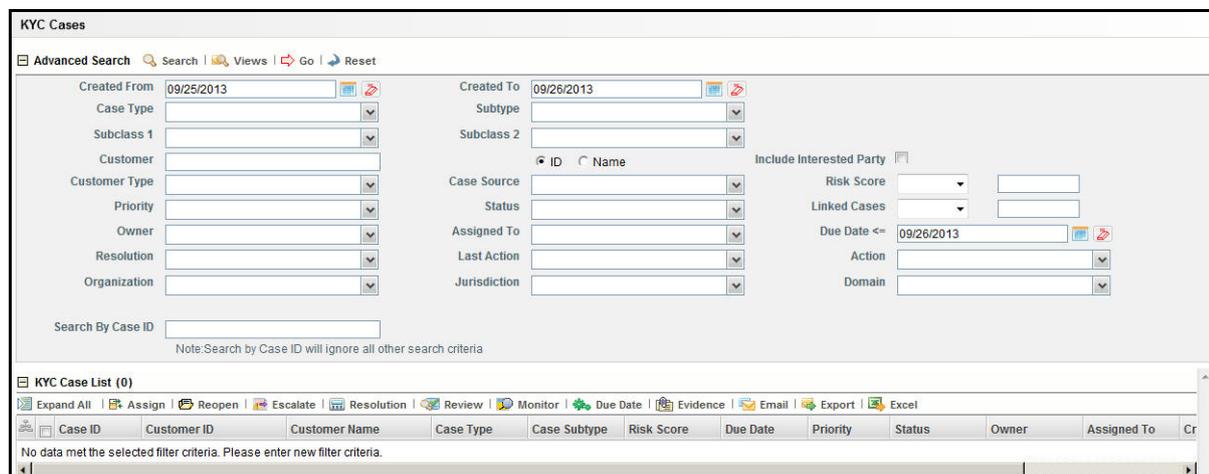
Figure 43. KYC Case Advanced Search

In Simple and Advanced search:

1. The KYC case list can be dynamically populated based on different set of input criteria or by Case ID.

2. Drop-down lists, text boxes, and multi-select list boxes enable you to filter KYC cases more precisely for analysis.

3. The fields in Simple or Advanced search supports selection of multiple values in each drop-down control.

4. When filtering using multiple search fields, the results are filtered based upon matching all criteria specified.

5. Some text fields allow the use of wildcards when searching. The percent sign (%) or (_)is used to denote a wildcard.

6. If you click the **Go** button without selecting any filter criteria, a message displays:

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

   You must enter data in at least one search field.

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

- KYC Case Information

- KYC Case Search Dates

- Linked Cases

- Case ID Search

KYC Case Information

Table 22 provides a list of the case search components that display in the KYC Case Simple or Advanced Search section based on solution sets.

Table 22. KYC Case Search Components

Column	Description	Simple Search	Advanced Search
Created From	Filters the KYC case list by the From date the KYC case was created.	X	X
Created To	Filters the KYC case list by the To date the KYC case was created.	X	X
Case Type	Filters the KYC case list by the type of cases that matches the search criteria.	X	X
Subtype	Filters the KYC case list by the sub type of cases that matches the search criteria.	X	X
Subclass 1	Filters the KYC case list by the type code of the case subclass 1 associated with this case subclass.	X	X
Subclass 2	Filters the case list by the type code of the case subclass 2 associated with this case subclass.	X	X
Customer ID	Filters the KYC case list by customer ID that matches the search criteria. Select the ID radio option and enter the name in the Customer text box. **Note**: You can either search with Customer ID or Customer Name.	X	X
Customer Name	Filters the KYC case list by customer name that matches the search criteria. Select the Name radio option and enter the name in the Customer text box. **Note**: You can either search with Customer ID or Customer Name.	X	X
Include Interested Party	Select the Include as IP check box to include interested parties associated with the KYC case while filtering KYC case list.		X
Customer Type	Filters the KYC case list by type of customer namely, Individual, Legal Entity and Correspondent Bank.	X	X

Table 22. KYC Case Search Components (Continued)

Column	Description	Simple Search	Advanced Search
Case Source	Filters the KYC case list by the case source. This field lists the following seven types of case sources: ● Accelerated Re-Review - Alerts ● Correlation Promotion ● Deployment Initiation ● Default Review ● Manual ● Promotion from Alert ● Periodic Review **Note**: Correlation Promotion, Manual and Promotion from Alert case source will not return any data as it is not applicable for KYC Case classification.	X	X
Risk Score	Filters the KYC case list by risk score of a KYC case. Enterprise Case Management retrieves cases, which are either greater than or equal to, equal to, or less than or equal to the score you enter in the text box.	X	X
Priority	Filters the KYC case list by the priority of the current case that matches the search criteria.	X	X
Status	Filters the KYC case list by the current status of case, relative to its analysis and closure in the multi-select list box.	X	X
Linked Cases	Filters the KYC case list by count of cases that are linked to the case. Enterprise Case Management retrieves cases, which are either greater than or equal to, equal to, or less than or equal to the count you enter in the text box.		X
Owner	Filters the case list by a user or group of users who own the case. This multi-select list box contains users or groups of users within the Organization.	X	X
Assigned To	Filters the case list by a user or group of users to whom a case is assigned. This multi-select list box contains users or groups of users within the Organization.	X	X
Due Date <=	Filters the KYC case list by past and up to the date you enter by which an action should be taken on the case.	X	X
Resolution	Filters the KYC case list by one or more selected closing actions that have been taken on the case. If you filter by Resolution, you cannot filter by Last Action and Action.	X	X
Last Action	Filters the KYC case list by one or more selected last actions that have been taken on the case. If you filter by Last Action, you cannot filter by Resolution and Action.	X	X
Action	Filters the KYC case list by one or more actions that have been taken on the case. If you filter by Action, you cannot filter by Resolution and Last Action.		X
Organization	Filters the KYC case list by the ID of the organization associated with the owner of a case. This multi-select list box contains only the organizations (and the organizations subordinate to it) to which you have a business association and are authorized to view.		X
Jurisdiction	Filters the KYC case list by the business jurisdiction associated with the case. The multi-select list box contains only the jurisdictions with which you are authorized to view.		X

Table 22. KYC Case Search Components (Continued)

Column	Description	Simple Search	Advanced Search
Domain	Filters the KYC case list by the business domain associated with a case. The multi-select list box contains only the business domains with which you are authorized to view.		X
Search By Case ID	Filters the KYC Case List by the one or more Case IDs entered in this text field. To search for multiple IDs, separate IDs with commas. If the cases are found, the KYC Case List page displays information about the cases with the IDs that exactly matches the values you entered. The Case ID search is mutually exclusive with all other filter criteria.	X	X

KYC Case Search Dates

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

Linked Cases

The **Linked Cases** drop-down list and text box enables you to select the filter criteria based on the number of cases that are linked to a case. The default Linked Cases option displays as blank. However, you can change the selection to another option in the drop-down lists such as searching with =, >= and <= conditions.

Case ID Search

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

Searching for KYC Cases by Views, Simple, and Advanced Search

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

Searching for KYC Cases using Views

To search for KYC cases using Views, follow these steps:

1. Navigate to the KYC Search & Case List Page.

   The Views search bar displays.

2. Select any value from the **Views** drop-down list.

Searching for KYC Cases using Simple or Advanced Search

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

1. Navigate to the Simple or Advanced Search section by clicking the **Simple Search or Advanced Search** button.

2. Specify any or all of the criteria in **Simple/Advanced Search**.

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

   Note: The **Customer Name** field accepts wildcard characters and **Case ID** field accepts comma-separated entries.

3. Click **Go**.

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

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

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

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

Searching for a KYC Case by Case ID

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

1. Navigate to the Simple or Advanced Search section by clicking the **Simple Search** or **Advanced Search** button.

2. In the Case ID Search bar, type a Case ID in the **Case ID** text box.

   Optional: Enter additional Case IDs separated by commas (for example, CA1200336, CA1200286, CA1200265).

3. Click **Go**.

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

   Note: Searches by Case ID and other Simple/Advanced search criteria are mutually exclusive.

Column Headings

Column headings provide labels that tell you what kind of information displays in the columns. Most of the column headings in the KYC Case List matrix are sortable.

Right click on the column heading to sort the display. A list of sorting menu displays such as Sort Ascending, Sort Descending, Clear Sort, Field Chooser and Transpose. Select the relevant sorting option. Enterprise Case Management refreshes the list matrix and re-sorts the particular column according to the selected option.

KYC Case List Matrix

The KYC Case List matrix displays summarized information of cases that you can further investigate or take actions on. When you search using Views, the sort order is based on the view selected. Refer Table 21 for more information on sort criteria for each views.

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

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

KYC Case List Components

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

The components within the Case List matrix are as follows:

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

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

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

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

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

- **Check Boxes**: Appears at the beginning of each row. Select one or more of these boxes to take action on one or more cases. Select the check box again to clear it.

- **Column Headings**: Labels that displays the kind of information in the columns. All column headings in the Case List matrix are sortable, that is, you can sort each column in the case list by right-clicking the column header and choosing ascending or descending options.

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

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

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

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

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

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

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

Table 23 provides a list of the columns that display in the KYC Case List matrix.

Table 23. KYC Case List Components

Column	Description
Case ID	Displays the Case ID number. Also serves as a hyperlink to the KYC Case Details page. **Note**: A Case ID can have a prefix as defined in the Case Prefix parameter. For more information on how to set the Case ID format, refer to *Configuration Guide*.
Customer ID	Displays an identifier assigned to a particular customer.
Customer Name	Displays the name of the customer.
Case Type	Displays the type of the case displayed in the case list matrix. For example, Know Your Customer, AML.
Case Subtype	Subtype of the case displayed in the case matrix. For example, Individual, Legal, Correspondent Banks.
Risk Score	Displays the calculated Customer Effective Risk score of a customer.

Table 23. KYC Case List Components (Continued)

Column	Description
Due Date	Date and time by which an action should be taken on the case. Due Dates that are nearly due display in red font. Due Dates that are due or overdue display in bold red font. The definition of *nearly* due is a value that is configurable by your firm.
Priority	Displays the priority given to the case under investigation.For example, High, Low.
Status	Displays the current state of the case relative to its analysis and closure. A case in New status display in bold text.
Owner	Displays the Name or ID of an individual or group of users who own the case.
Assigned To	Displays the name of the user or group of users within the Organization to whom a case is assigned.
Created Date	Displays the date the case was created.
Linked Cases	Displays the number of cases linked to the case.

Supplemental Case Information

The Supplemental Information section consists of the KYC Case Supplemental Information and is displayed below the KYC Case List. Select a KYC case from the KYC Case List and click the **Expand** image or **Contract** image in the section header to expand or contract the section. By default, this section is in the Contracted mode.

Figure 44. KYC Case Supplemental Information

Table 24 provides a list of fields that display in the Supplemental Case Information section.

Table 24. KYC Case Supplemental Information Components

Column	Description
Subclass 1	The type code of the case subclass 1 associated with this case subclass.
Subclass 2	The type code of the case subclass 2 associated with this case subclass.
Organization	Organization or group that owns the cases.
Case Source	Defines the case source.
Resolution	Resolution action performed on this case.
Last Action	Displays the last action recorded on the KYC case.
Case Description	Displays the case description.
Case Comment	Quick comment about the case.

On selecting a single KYC case from the KYC Case List, the KYC Supervisor user can provide quick comment to the selected case using the Case Comments section.

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

Note: When this section is already in expanded mode, clicking on a KYC case from the KYC Case List will display the supplemental information.

Exporting KYC Case List to Excel/Word

Enterprise Case Management enables you to export data to Microsoft Excel/Word where you can then review and edit the data as necessary. The Excel function exports all records available within a particular matrix or from all matrices of the UI based on the option selected in Export Properties. You can set Document Type as Excel and select either Form Data or Grid Data from the drop-down list options. If you select Form Data, the system will export all the data available in the current page to an excel sheet. If you have selected Grid Data, the system exports only the data of a particular list matrix. For Correlation tab, it is advisable to select form data to view the different matrixes at a time.

Note: Before taking Excel action, you need to do the setting in your Internet Explorer browser. Open your Internet Explorer. Go to Tools > Internet options > Advanced tab. In Security section, mark the check box for **Do not save encrypted pages to disk** option and click **Apply**. Re-launch the IE browser. The Excel functionality works successfully on MS Excel 2003. However, you can encounter a warning message if your system has MS Excel 2007. This warning message does not prevent you from successfully exporting the selected content.

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

- **KYC Case List** page: The **Excel** icon displays in the Case List matrix along with other action categories.

To Export KYC Case List to Excel/Word

To export KYC cases to Excel, follow these steps:

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

   A pop-up displays with export details.

2. Set Document Type as **Excel**/**Word** and select Form Data/Grid Data as *Grid Data*.

3. Click the **Export** button.

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

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

   The Save As dialog box displays.

5. Select a directory location where you want to save the file.

6. Enter a new name in the **File Name** field or the application automatically generates a name for the file to accept.

7. Click **Save**.

   The application saves your file to the specified location.

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

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

Navigating KYC Case Detail Page

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

The primary way to navigate to the KYC Case Details page is by clicking the **Case ID** hyperlink in the KYC Case List matrix.

When you navigate to the KYC Case Details page for a case, the case is locked by you and other users are allowed *view only* access to the case. If other users attempt to access the same case, they will receive a message informing them that the case is locked by another user and granted only view rights (they can take no action on the case).
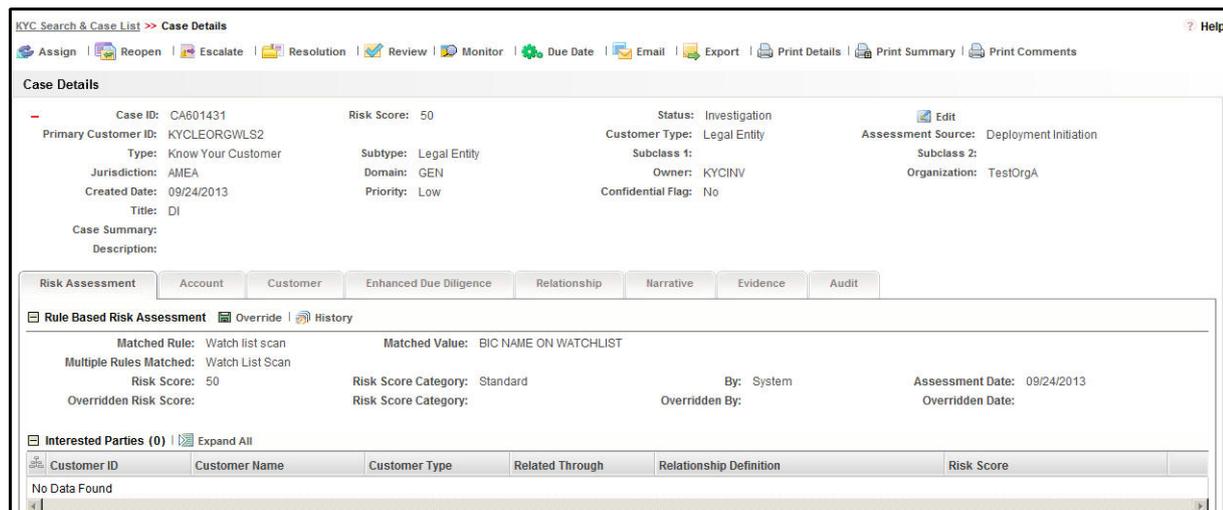
Figure 45. KYC Case Details Page

Within the KYC Case Details page, you can access additional information related to the case by selecting other tabs. Refer to section *Business Tabs* for more information about tab pages.

The following section explains how you can navigate among different tabs of KYC case detail page. Tabs display information based on the case type and subtype of the case.
The KYC Case Details page comprises of the following:

- Components of the KYC Case Details Page

- KYC Case Data Tabs

- Business Tabs

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

Components of the KYC Case Details Page

The KYC Case Details page includes the following areas of information:

- **Page Context Controls (Bread crumbs)**: Displays your location in the workflow and how you got to this particular page.

- **KYC Case Context Information**: Provides a brief description of the case and the context for determining what actions need to be taken to dispose of the case. The case context displays on the top of every tab. Once you have entered the workflow for a single case (by selection of the case from the Case List), the case context shall remain visible to you as you navigate the various tabs relevant to the particular case. You can also click the **(-)** or **(+)** to contract and expand the Case Context. By default, the case context displays in the contracted mode displays Case ID, Risk Score, Status, Primary Customer ID, Customer Type, Assessment Source and Edit button with an expand sign visible on it.

  Table 25 provides a list of the fields that display in the Case Context information area.

Table 25. KYC Case Context Information

Field	Description
Case ID	Unique Identifier of the KYC case.
Risk Score	Calculated risk score of the customer.
Status	Current state of the KYC case relative to its analysis and closure.
Primary Customer ID	Primary customer identifier of the KYC case.
Customer Type	Displays the type of the customer. For example, Individual
Assessment Source	Displays the source of risk assessment. For example, Default Review.
Type	Type of the KYC case that KYC case list matrix displays. For example, Know Your Customer, AML.
Subtype	Subtype of the case that the case list matrix displays. For example, Individual, AML Surveillance.
Subclass 1	The type code of the case subclass 1 associated with this KYC case subclass.
Subclass 2	The type code of the case subclass 2 associated with this KYC case subclass.
Jurisdiction	Geographical Jurisdiction associated with the KYC case.
Domain	Business domains associated with the KYC case.
Owner	Name of an individual user or the user group who owns the KYC case.
Organization	Name of the Organization of the user who owns the KYC cases.
Created Date	Date the KYC case was created.
Priority	Priority assigned to the KYC case.
Confidential Flag	Confidentiality assigned to the KYC case.
Title	Name of the KYC case that KYC case list matrix displays.
Case Summary	Summary of the investigations and actions performed on the KYC case as provided by the case investigator.
Description	A brief description about the KYC case.

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

● **Editing KYC Case Details**: The KYC Case Context details has an **Edit** icon to edit case details, provided you have the access privilege to edit the case details. The edit option provided in the KYC Case Details section enables you to edit the contents of KYC case context and case details.

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

1. Click the **Edit** button in the KYC Case Context section.

   A pop-up opens with **Save**, **Reset**, and **Cancel** buttons. The pop-up displays all fields of Case Context and Case Details sections (Table 25 and Table 26). Among them the following fields are editable:

   a. Title

   b. Priority

   c. Confidential Flag

   d. Type

   e. Subtype

   f. Subclass 1

   g. Subclass 2

   h. Case Summary

   i. Case Description

2. Modify the desired fields. Make sure before saving that all required fields are populated.

3. Click **Reset** if you want to reset the changes back to the previous values.

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

   The pop-up is closed and the Case Context and Case Details section is refreshed to display the updated contents. At any point of time if you want to cancel the edit operation before saving, click **Cancel**. The system aborts the action navigates you to the Case Context and Case Details section.

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

KYC Case Data Tabs

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

● Risk Assessment Tab

● Relationship Tab

● Enhanced Due Diligence Tab

● Narrative Tab

● Evidence Tab

● Audit Tab

Risk Assessment Tab

Risk Assessment tab is the first tab in KYC case details page and is displayed by default upon accessing the details page. The Risk Assessment tab allows you to view the current and latest risk assessment for the customer. This tab displays information on which risk assessment model the customer was risk assessed, interested parities if any, accelerated Review Rules if any and allows you to override the Risk score based on your investigation. Refer to *KYC Risk Assessment Guide* for more details on different risk models and risk assessment process.

The primary way to navigate to the Risk Assessment tab in KYC Case Details page is by clicking the Case ID hyperlink in the KYC Case List matrix. Authorized users having access to this tab will have *view only* access to risk assessment tab details.

Figure 46. Risk Assessment Tab

Components of Risk Assessment Tab

The Risk Assessment Tab contains the following:

- Algorithm Based Risk Assessment - Displays if the customer is assessed through Algorithm Based Model.

- Rule Based Risk Assessment - Displays if the customer is assessed through Rule Based Model.

- Real Time Account On-Boarding Risk Assessment - Displays if for a customer Real Time Account On-boarding Assessment is performed.

- Accelerated Rule Trigger- Displays only if a customer matches any accelerated rules.

- Interested Parties – Displays interested parties of a primary customer if any. This applies only for Legal Entity and Correspondent Bank customer type.

Algorithm Based Risk Assessment

This section display risk assessment details assessed through algorithm based approach and includes details such as parameter name, actual value, risk score, weight, dynamic weight and weighted risk score.

The Parameters column displays the risk assessment parameters based on the Customer Type. Refer to *KYC Risk Assessment Guide* for more information on different parameters based on customer type.

The data presented for purged and non-purged risk assessment differs. The system checks the status of risk assessment to determine whether the assessment is purged or non-purged.

For example, if the risk assessment associated with the case has been purged, the system displays only limited information such as Identity Verification score, Watch List Scanning Score, Negative News Search Score and Risk score with assessment date and purged date.

Rule Based Risk Assessment

This section displays only if the customer is assessed through rule based model. It provides information related to matched rule, matched value and multiple rules matched with assessment date and Risk score.

The data presented for purged and non-purged risk assessment differs. The system checks the status of risk assessment to determine whether the assessment is purged or non-purged.

Override Button

The Override button allows a KYC Supervisor user to edit the Risk score in both Algorithm and Rule Based assessment section. This button is displayed based on the Override of Risk Score parameter value and for all non-closed status. This option enables you to change/modify the Risk score upon the facts available while working on the case.

Click **Override** to display the following window:
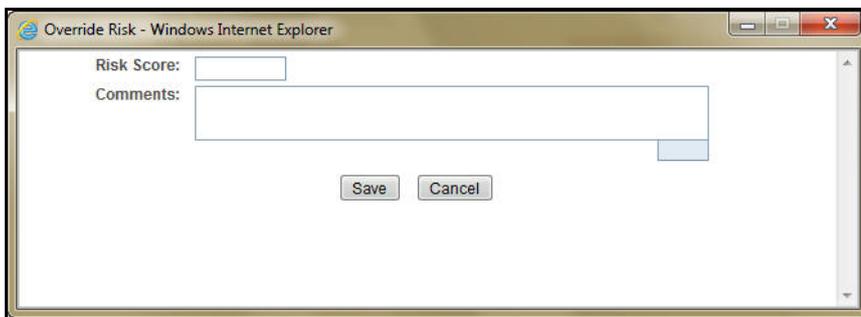
Figure 47. Override Risk Window

Enter the new Risk Score and comments in the respective fields and click **Save**. The Risk Assessment tab is updated with the overridden Risk score and an entry is added in the Audit tab.

Note: Click **Cancel** to cancel any changes and navigate back to Risk Assessment tab.

History Button

History button allows you to view the history of risk assessment being performed, overridden Risk score with User ID/Overridden Date and comments associated with override action in both Algorithm and Rule Based assessment section.

Click **History** to display the following window:
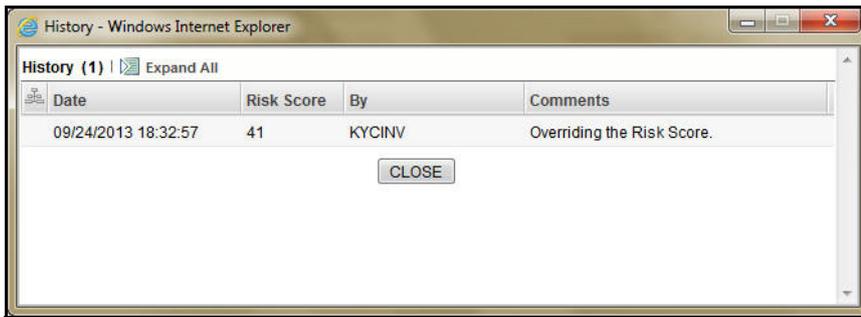
Figure 48. History Window

Click Close to close the History pop up window and navigate to Risk Assessment tab.

Note: This History button will not be displayed for purged Risk Assessment.

Real Time Account On-Boarding Risk Assessment

This section is displayed only for customers whose RAOR Risk Assessment is assessed.

Interested Parties

This section is displayed only if a customer has an interested party. The Interested Party is displayed only for the cases whose customer type is Legal Entity and Correspondent Banks. For cases with customer type as Individual, Interested Party section is not applicable.

Accelerated Rule Trigger

This section is displayed only if the accelerated risk assessment trigger information is associated with the primary customer. Accelerated Risk Assessments trigger is based on the change in customer information and Alerts generated from Behavior Detection Framework system.

Note: If the Risk Assessment is purged then this section will not be displayed.

Relationship Tab

The Relationship tab provides information regarding other cases that are related to the current KYC case being investigated. The page enables you to view the list of KYC cases related to the current KYC case through relationships to entities involved in other cases or by virtue of another case being linked to the current case.

Figure 49. Relationship Tab

If your firm implements Behavior Detection Framework, the Relationship tab display alerts related to the current case. Alerts can be related to the current case either through a common business entity association or by virtue of the alert being linked to the current case.

Components of Relationship Tab

The Relationships tab contains the following components:

- **Related Cases**
- **Related Alerts**
- **Related Risk Assessments**

Related Cases

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

For Case A, all cases that have same business entity ID(s) as that of Case A are considered as related cases. For example, if two cases posses the same customer IDs or account IDs or other business entity IDs applicable in Enterprise Case Management then they are considered as related. Only those cases to which the user has access permission based on security attributes displays in the section.

Figure 50. Related Cases Section

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

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

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

The related cases matrix has the following buttons:

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

From related case matrix, select a case and click the icon in the **History** column to view the case context details as well as actions taken on the case details in a pop up window.

Related Alerts

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

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

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

	Linked	Alert ID	Score	Focus	Scenario	Highlights	Created	Status	Due	Owner	Last Action	L
	No	11406	50	AC AC...	User Defined	User Created	09/24/2013	Open	--	FCCM SUPER...	Viewed By Owner	--
	No	11404	50	AC AC...	User Defined	User Created	09/24/2013	Open	--	FCCM SUPER...	Viewed By Owner	--

Note: Related alerts section is a *View Only* option and will not display any action buttons.

Related Risk Assessments

Related Risk Assessments displays all the risk assessments of the primary customer and their interested parties which were not promoted to cases as the risk scores fell under the range defined for promotion of cases.

|	Assessment ID	Customer ID	Customer Name	Customer Type	Risk Score	Assessment Source	Assessment Status	Ass
	CASEKYCINDMDL3109242013	KYCINDMDL31	DAVID JOE	Individual	59	Deployment Initiation	Open	09/2
	CASEKYCORGMDL209242013	KYCORGMDL2	1STCORPIINC	Legal Entity	62	Deployment Initiation	Open	09/2
	CASEKYCINDMDL3009242013	KYCINDMDL30	MUKUNDA .	Individual	35.5	Deployment Initiation	Auto Closed	09/2

Figure 51. Related Risk Assessment Section

For more information on column descriptions, refer to Table 28.

Note: Related Risk Assessments section is a *View Only* option and will not display any action buttons.

Enhanced Due Diligence Tab

Enhanced Due Diligence tab in KYC case details page allows you to view and verify the documents and scores received from third parties.

Only authorized users will have access to the Enhanced Due Diligence tab. The Document verification actions are based on the user roles and permissions.
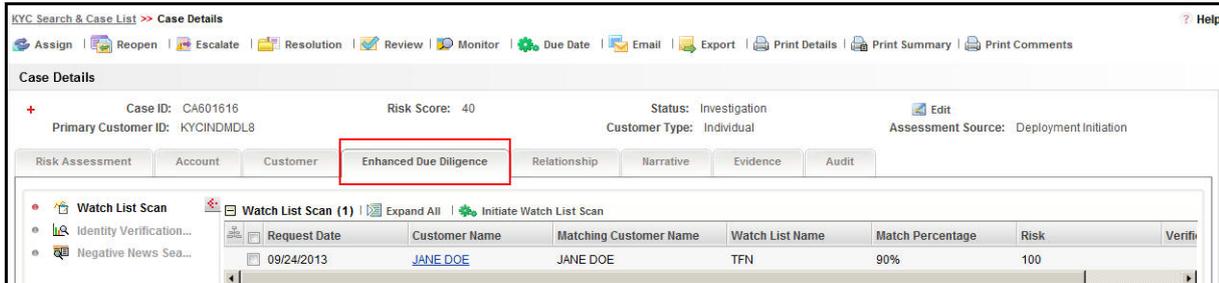
Figure 52. Enhanced Due Diligence Tab

Note: The **Customer Name** in the Enhanced Due Diligence tab displays the full name of the customer as recorded in the *Business Schema*.

Components of Enhanced Due Dilligence tab

- Watch List Scan
- Identity Verification/OFAC Verification
- Negative News Search

A user maped to the role of KYC Supervisor can initiate third party verification using the buttons provided in each of the above listed section. The LHS menu allows you to select a particular menu item to further view the details and the RHS menu allows you to view the details of third party verification document and take appropriate verification action.

Watch List Scan

The Watch List Scan verification LHS menu allows you to reinitiate the Watch List Scan verification for case customers. Select **Initiate Watch List Scan** to scan the Watch List.
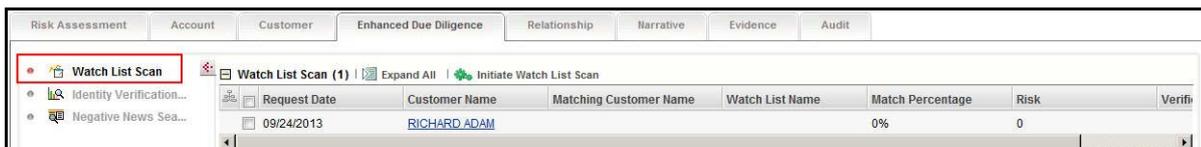
Figure 53. Watch List Scan

Watch list scanning is done during the verification process. The customer's profile is scanned against different watch lists as configured in the Application Parameters table. Watch list requests are scanned against the Oracle Behavior Detection Framework watch list database and the results are populated. Watch list initiation is a synchronous

process.

Identity Verification/OFAC Verification

The Identity/OFAC Verification LHS menu allows a KYC Supervisor user to reinitiate the ID verification for the case customer. Click **Identity Verification/OFAC Verification** to submit the Customer details to the third party e-funds services and obtain the results.

The Identity Verification initiates for interested parties (such as, controlling customers and non-controlling customers) if the customer is a Legal Entity/Correspondent Bank. If the customer is an Individual, then the request is sent only for the customer.

On successful initiation of third party verification system should display the *Third Party Verification initiated successfully* in a dialog box.

Note: This menu is not displayed for KYC Cases which are in closed status.

Identity Verification is a synchronous process. The network speed determines the time taken for the completion, which may be a few seconds to several minutes.

The Identity Verification LHS menu displays, if it is enabled for the installation.

Negative News Search

The Negative News Scan LHS menu allows a KYC Supervisor user to reinitiate the Negative News Search verification for case customers. Select **Initiate Negative News Search** to initiate the Negative New Search.

The Negative News Search service is provided by the Request - Response in a synchronous process. Once a request is sent to the Factiva Service, results are populated in the database. The negative news risk result is more than one.

Narrative Tab

If your role permits, the Narrative tab allows you to capture any narrative surrounding the analysis of a case that has helped you decide how to dispose of the case. The narrative exists as a single data element on a case, which allows you to add and to maintain that narrative.
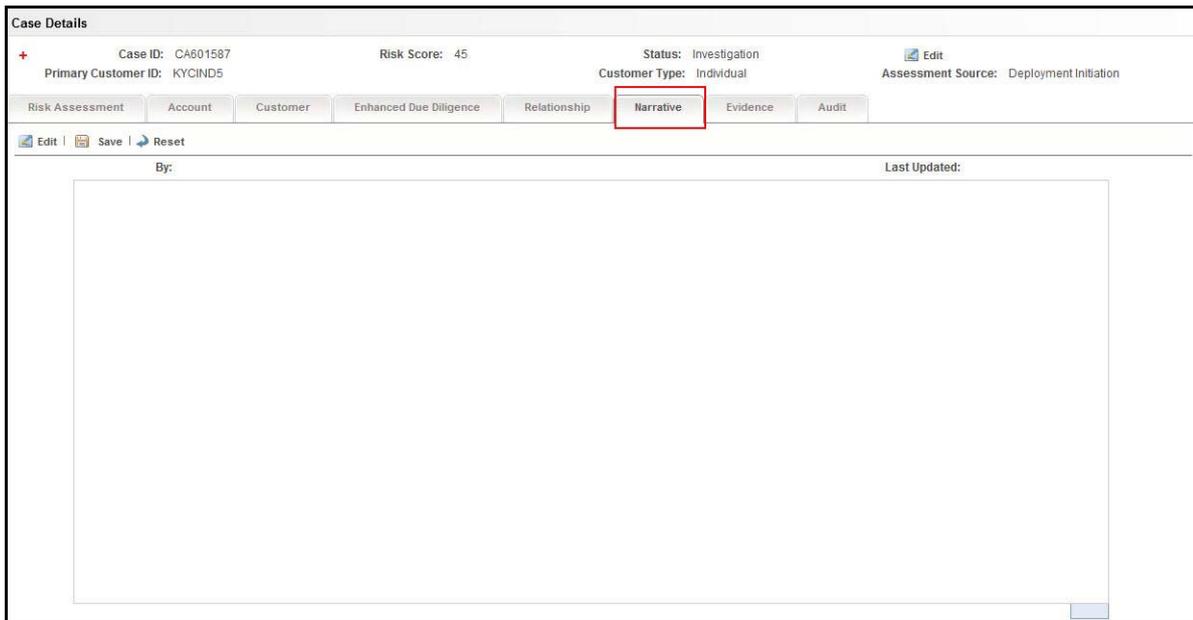
Figure 54. Narrative Tab

Components of the Narrative Tab

The Narrative area includes the following components:

- **Narrative** entry box: Provides a large free text entry area in which you can optionally enter, save, and modify textual analyses of a particular case. By default, the entry box is blank if no previous narrative has been added This area accepts up to 4000 characters of text before requiring vertical scrolling.

- **Last Updated** field: Displays the latest date and time when the Narrative entry box was modified.

- **By** field: Displays the identity of the user who entered or modified the text in the Narrative entry box.

- **Edit** button: Allows you to edit the text in the Narrative entry box. If the entry box is blank, this button is grayed out until text is entered and saved. Only when the **Edit** button is selected, the text in the entry box become editable.

- **Save** button: When clicked, any modifications in the entry box are saved and the **Save** button becomes grayed out.

- **Reset** button: When clicked, reverts any modification in text to the previously saved version.

Working with Narrative Tab

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

- Creating a Narrative
- Editing a Narrative
- Deleting a Narrative

Creating a Narrative

To create a narrative, follow these steps:

1. Select case for which you want to create a narrative from the Case List

   The Case Details tab displays for that case.

2. Select the Narrative tab that appears below the case context.

   The Narrative tab displays blank for the selected case.

3. Click **Edit**.

4. Enter your analysis in the text box.

5. Click **Save**.

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

Editing a Narrative

To edit the narrative, follow these steps:

1. From the Case List, select the case for which you want to change or add to the existing narrative.

   The Case Details tab displays for that case.

2. Select the Narrative tab that appears below the case context.

3. Click **Edit**.

4. Make your changes or additions to the existing text.

5. Click **Save**.

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

Deleting a Narrative

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

Evidence Tab

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

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

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

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

You can add comments (both free text and standard comments) to the case. Refer to section *Adding Comments to a KYC Case* for details on how to add a comment to the KYC case.

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

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

Audit Tab

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

Figure 55. Audit Tab

The **Attachment** icon displays for actions with an attachment. In order to view attachments, you can click the icon. Clicking the **Attachment** icon opens the Attachment List pop-up with a list of attachments available for viewing. In the Comments column for all comments, which exceed the width of the column, you can click the **Expand** button to view the full text of the comment.

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

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

Business Tabs

Business tabs help the investigator in categorizing large amounts of supporting data into smaller tabs of data, organized by data type (for example, account information, customer information, and so forth) to aid in the analysis of a case.

Customer Tab

The customer tab displays the primary customer information and its interested parties. The customer tab displays the customer information based on Customer Type.

Note: You cannot add, modify or delete an entity of a KYC case.

Figure 56. Customer Tab

Note: The **Customer Name** in the Customer tab displays the full name of the customer as recorded in the *Business Schema*.

For detailed information on Customer tab, refer to section *Customer Tab Supplemental Details*. KYC cases also display Customer Documentation as one of the LHS menu.

Customer Documentation

The Customer Documentation section under Customer tab lists all the documents associated during the time of account opening. From RHS menu, select a submitted document from the list to view in a new window.

You will have *View Only* access and cannot add or delete any documents from the list.

Account Tab

The Account tab displays all the accounts of the primary customer and their interested parties.

Note: You cannot add, modify or delete an entity of a KYC case.

Figure 57. Account Tab

For detailed information on Account tab, refer to section *Account Tab Supplemental Details*.

Acting on KYC Cases

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

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

- About KYC Case Actions
- About the KYC Case Actions Pop-up
- Acting on Single or Multiple KYC Cases
- Assigning a KYC Case
- Exporting a KYC Case
- Emailing a KYC Case
- Printing Details
- Printing Summary
- Printing Comments
- Resolutions for a KYC Case
- Reopening a KYC Case
- Reviewing a KYC Case
- Escalating a KYC Case
- Monitoring a KYC Case
- Setting Due Date for a KYC Case
- Adding Comments to a KYC Case
- Adding and Removing Attachments

About KYC Case Actions

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

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

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

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

In addition, the actions pop-up validates the actions initiated by you. The validation checks are to ensure that comments are entered when an action requires a comment that reassignment has occurred if the action requires reassignment and a due date is entered if a due date is required. These validations are enforced through warning messages informing you of any missing information at the time of saving. Thus, all the actions require you to mandatorily provide comments in the comments box.

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

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

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

About the KYC Case Actions Pop-up

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

You can navigate to the KYC case actions pop-up by clicking the action categories displayed above the case context and above the search bar in KYC Case Details and KYC Search & List page, respectively. The pop-ups display the fields based on the selected action category. You can perform Comments, Attachments, setting Due Date, Assign To, and Reassign Owner actions along with other actions in each action category.

Note: If you try to perform an action on a case whose current status does not support those actions, then the following warning message is displayed after the action pop up window opens: *There are no actions available for the selected cases under this action category.*

Table 26 refers the list of available action categories and the associated actions in their pop-ups.

Table 26. Action Categories and Associated Fields

| Action Category | Selection Type | Controls shown on the pop-up | | | | |
		Comments	Attachments	Due Date	Assign To	Reassign Owner
Assignment	Multi-select	X	X	X	X	X
Escalate	Single select	X	X	X	X	X
Resolution	Multi-select	X	X	X	X	X
Review	Multi-select	X	X	X	X	X
Monitor	Single select	X	X	X	X	X
Email	Single select	X		X	X	X

Table 26. Action Categories and Associated Fields

Action Category	Selection Type	Controls shown on the pop-up				
		Comments	Attachments	Due Date	Assign To	Reassign Owner
Export	Single select	X		X	X	X
Print	Single select	X		X	X	X
Reopen	Single select	X	X	X	X	X
Due Date	Single select	X	X	X	X	X
Evidence	Multi select	X	X			

Each of the action categories (refer Table 26, for action category) contains a list of actions. The list of actions to be displayed depends on a particular user role's access permission, and the status of case. Some of these actions need a Comment, Assign To, or Set Due Date as mandatory actions as part of them.

The following describes the action buttons:

- **Review:** Includes a list of actions allowing you to document results of research and analysis performed during the course of your investigation. Some actions in this category may not change the status of the KYC case, but serve to document steps and progress in your investigation.

- **Escalate:** Includes a list of actions allowing you to escalate your KYC case to another user for review and enable the reviewer to take actions based on their review of the escalated KYC case. Escalating a KYC case for review automatically sets a due date by which the escalation needs to be addressed.

- **Monitor:** Includes a list of actions that will set the KYC case into a monitoring status and actions that can remove a KYC case from monitoring status. Actions that set a KYC case to monitor status will result in automatic assignment of a due date that defines the monitoring period.

- **Resolution:** Includes a list of actions that complete your analysis of this KYC case, and, in most instances results in closure of the case.

- **Export:** Includes options for exporting KYC cases.

- **Email:** Includes options to email the KYC case details in HTML format.

- **Assign:** Includes actions permitting the reassignment of KYC case ownership and the assignment of the KYC case to another user for investigation.

- **Due Date** calendar control: Provides the ability to select a date by which the selected action should complete. Also, allows you to clear a due date if that date is no longer needed.

- **Reopen:** Includes an action to reopen a previously closed KYC case. This action will only be available for KYC cases in a closed status and if your role permits you to reopen a closed KYC case.

- **Evidence:** Includes options to add attachments and make comments to the selected KYC cases from the KYC case list matrix.

- **Print Summary:** Includes option to print a summary version of the KYC case contents, which will include a limited set of the information you see in the UI. Printed summaries can also be saved as PDFs.

- **Print Details:** Includes option to print a detailed version of the KYC case contents, which will include much of the information you see in the UI. Printed details can also be saved as PDFs.

- **Print Comments:** Includes option to print comments related to KYC case context information that are entered for the KYC case.

Components of the KYC Case Actions pop-up

The case action pop-up contains the following components:

- **Select an Action** drop-down list: When selected displays a list of one or more actions which can be taken. Actions will be those applicable to the category of actions associated with the selected action icon and will be based upon the current KYC case status.

- **Due Date** calendar selector: Depending upon the action(s) selected in the **Select an Action** drop-down list, and the current status of the KYC case, the action pop-up may refresh to display an option to set a due date You can also manually set a due date.

- **Reassign** drop-down list: Depending upon the action(s) selected in the **Select an Action** drop-down list, and the current status of the KYC case, the action pop-up may refresh to display an option to reassign ownership of the KYC case.

- **Save** button: Saves all actions and comments. When you click **Save**, a confirmation dialog box displays with the **OK** and **Cancel** buttons, prompting you to click **OK** to apply the selected actions and comments.

- **Save & Attach** button: Facilitates addition of an attachment along with the actions for a KYC case. The **Save & Attach** button is provided in every actions pop-up. Refer to the section *Adding an Attachment* for more information.

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

  The following fields display for the Save & Attach window:

  - **Choose a file to attach** text box with the **Browse** button: Provides a quick means of entering or selecting the full path and name of the file to be attached. You can enter up to 200 text characters for the file name. You can also browse for the file.

  - **Logical File Name** text box: Enables you to enter up to 80 text characters relevant to the file attached to the selected alert. Use this text area to enter a descriptive name for the file attached. This is then used as the display name for the attached file. If you do not specify a logical file name, the name of the attached file is taken as the logical file name by default.

  - **Attach File** button: Displays a confirmation box and when you confirm the action, attaches a file to the selected alert.

- **Reset** button: Resets the fields in the actions pop-up from the modified value to their previous value.

- **Cancel** button: Displays an unsaved data-warning message with the **OK** and **Cancel** buttons. Based on the selection of the **OK** and **Cancel** buttons; it either closes the pop-up or stay in the same pop-up.

- **Standard Comments** selection box: Provides a quick means of entering comments that are relevant to the analysis and closing of the selected KYC cases.

- **Comments** text box: Enables you to enter free-form text characters relevant to the analysis and closure of the selected KYC cases. Use this text area if none of the standard comments applies to your action or if you want to include additional information.

  Note: All actions require you to provide comments mandatorily before they are saved.

Acting on Single or Multiple KYC Cases

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

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

Assigning a KYC Case

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

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

Note: If you try to perform an action on a case whose current status does not support those actions, then the following warning message is displayed after the action pop up window opens: *There are no actions available for the selected cases under this action category.*

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

1. From the KYC Case Details page, select the **Assign** action icon from the list of action categories.

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

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

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

   Alternatively: While performing actions on KYC cases, a KYC Supervisor user can automate the assignment of ownership of the case by selecting the **Auto Assignment** check box. Selecting this check box will disable the *Reassign Ownership To* field and the system will automatically assign the owner defined in *Case Assigner Editor* under *Case Management Configuration* settings set by an Oracle Administrator user as the new owner of the KYC case.

   Note: Deselect the Auto Assignment check box to enable the *Reassign Ownership To* field.

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

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

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

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

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

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

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

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

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

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

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

Exporting a KYC Case

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

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

If you export cases to XML, Enterprise Case Management sends all KYC case information, including information that does not display in the UI.

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

Note: If you try to perform an action on a case whose current status does not support those actions, then the following warning message is displayed after the action pop up window opens: *There are no actions available for the selected cases under this action category.*

To export a case, follow these steps:

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

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

   The Export action pop-up displays.

2. From the Select an Action drop-down list, select Export Case XML option.

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

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

Alternatively: While performing actions on KYC cases, a KYC Supervisor user can automate the assignment of ownership of the case by selecting the **Auto Assignment** check box. Selecting this check box will disable the *Reassign Ownership To* field and the system will automatically assign the owner defined in *Case Assigner Editor* under *Case Management Configuration* settings set by an Oracle Administrator user as the new owner of the KYC case.

Note: Deselect the Auto Assignment check box to enable the *Reassign Ownership To* field.

3. Click **Save**.

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

4. Click **OK**.

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

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

Emailing a KYC Case

If you are a KYC Supervisor user, Enterprise Case Management enables you to email KYC case attachments in the form of a HyperText Markup Language (HTML) files.

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

Note: If you try to perform an action on a case whose current status does not support those actions, then the following warning message is displayed after the action pop up window opens: *There are no actions available for the selected cases under this action category.*

To email a case, follow these steps:

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

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

   The Email action pop-up displays.

2. Type the email address or addresses of the recipients in the **To** text box. For multiple addresses, separate each address with a semi-colon but without any spaces.

3. In the body of the email, type any additional information regarding the KYC case that you want to email.

4. From the **Select an Action** drop-down list, select any of the following options:

   ■   Email Case Details

   ■   Send Email

   ■   Email Case Details W/Response Request

■ Email W/Response Request

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

Alternatively: While performing actions on KYC cases, a KYC Supervisor user can automate the assignment of ownership of the case by selecting the **Auto Assignment** check box. Selecting this check box will disable the *Reassign Ownership To* field and the system will automatically assign the owner defined in *Case Assigner Editor* under *Case Management Configuration* settings set by an Oracle Administrator user as the new owner of the KYC case.

Note: Deselect the Auto Assignment check box to enable the *Reassign Ownership To* field.

5. From **Standard Comments** list box, select an appropriate comment relevant to the analysis of the selected KYC cases.

   Note: If none of the standard comments applies to your action or if you want to include some additional information, you can enter your comments in the Other Comments text box.

6. Enter comments in the **Other Comments** text box.

7. Click **Send**.

8.   Enterprise Case Management sends the email, records the action, updates the KYC case information, and closes the pop-up window. At any point of time in the pop-up, if you do not want to take the email action, click **Cancel** on the pop-up window.

Printing Details

If your role permits, you can print the KYC Case Investigative Report details. From KYC Case Details page, click **Print Details** to print the detailed KYC case investigative report in a PDF format.

Note: If the narrative for print details and print summary exceeds 4000 characters, the system prints narrative of first 4000 characters.

Printing Summary

If your role permits, you can print the summary of a KYC Case Investigative Report. From KYC Case Details page, click **Print Summary** to print the summary of the report in a PDF format.

Note: If the narrative for print details exceeds 4000 characters, the system prints narrative of first 4000 characters.

Printing Comments

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

Note: If there are comments which exceeds 4000 characters, the system prints only comments of first 4000 characters.

Resolutions for a KYC Case

If you are a KYC Supervisor user, Enterprise Case Management enables you to take an action to close a KYC case.

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

Note: A KYC Analyst user can only recommend for closure of a KYC case.

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

When a Resolution action is performed and the KYC case is moved to the Closed status, the existing due date of the KYC case, if present, is cleared by the system.

Note: If you try to perform an action on a case whose current status does not support those actions, then the following warning message is displayed after the action pop up window opens: *There are no actions available for the selected cases under this action category.*

Recommending a KYC Case for Close Action

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

Note: If you try to perform an action on a case whose current status does not support those actions, then the following warning message is displayed after the action pop up window opens: *There are no actions available for the selected cases under this action category.*

If you are a KYC Supervisor user, to recommend a KYC case for closure, follow these steps:

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

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

   The Resolution action pop-up displays.

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

   You can select only one action from the list.

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

4. Provide a mandatory comment for resolution action.

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

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

6. Click **OK**.

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

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

7. Click **OK**.

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

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

A KYC Supervisor user can close a KYC case through following steps:

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

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

    The Resolution action pop-up displays.

2. Select the closing action that you want to perform on the KYC case. You can select only one action from the list.

3. Provide mandatory comments for resolution action. You cannot perform the Ownership Re-assignment while performing a resolution action.

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

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

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

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

6. Click **OK**.

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

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

Approving a Case Recommended for a Close Action

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

Note: If you try to perform an action on a case whose current status does not support those actions, then the following warning message is displayed after the action pop up window opens: *There are no actions available for the selected cases under this action category.*

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

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

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

   The resolution action pop-up displays.

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

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

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

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

   Note: You can only attach documents in formats that you have predefined during the installation of application.

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

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

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

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

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

Reopening a KYC Case

Enterprise Case Management enables a KYC Supervisor user to reopen closed cases for further investigation.

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

Note: If you try to perform an action on a case whose current status does not support those actions, then the following warning message is displayed after the action pop up window opens: *There are no actions available for the selected cases under this action category.*

To reopen a case, follow these steps:

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

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

   The Reopen action pop-up displays.

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

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

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

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

4. Click **OK**.

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

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

5. Click **OK**.

   Enterprise Case Management records the action, updates the case information, changes the KYC case status to Reopened, and returns you to the KYC Search & Case List page or KYC Case Details page based on from where you took the action.

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

Reviewing a KYC Case

If you are a KYC Supervisor user, Enterprise Case Management enables you to take review oriented actions. These actions involve reviewing the case with peers as part of case investigation. Actions within this category may or may not result in a change to the KYC case status.

Note: If you try to perform an action on a case whose current status does not support those actions, then the following warning message is displayed after the action pop up window opens: *There are no actions available for the selected cases under this action category.*

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

1. From the KYC Case Details page, select the **Review** action icon from the list of action categories.

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

The Review action pop-up displays.

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

Alternatively: While performing actions on KYC cases, a KYC Supervisor user can automate the assignment of ownership of the case by selecting the **Auto Assignment** check box. Selecting this check box will disable the *Reassign Ownership To* field and the system will automatically assign the owner defined in *Case Assigner Editor* under *Case Management Configuration* settings set by an Oracle Administrator user as the new owner of the KYC case.

Note: Deselect the Auto Assignment check box to enable the *Reassign Ownership To* field.

3. Provide comments.

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

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

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

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

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

Enterprise Case Management records the action, updates the case information, and returns you to the KYC Search & Case List page or KYC Case Details page based on from where you took the action.

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

Escalating a KYC Case

If you are a KYC Supervisor user, Enterprise Case Management enables you to take the escalate actions. You should take these actions when the case needs escalation with peers for additional review.

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

Note: If you try to perform an action on a case whose current status does not support those actions, then the following warning message is displayed after the action pop up window opens: *There are no actions available for the selected cases under this action category.*

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

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

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

The Escalate action pop-up displays.

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

2. Select an action applicable to your role.

   Note: For actions such as *Escalate for review* and *Escalation review completed - Return to Investigation*, entering comments and assign to actions are mandatory.

3. Select a user or group of users in the **Assign To** field and set a due date for the case.

4. Provide comments in the **Comments** text box.

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

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

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

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

   Enterprise Case Management records the action, updates the KYC case information, changes the status as appropriate based on the actions selected, assigns the KYC case back to the Investigator user, clears the due date and returns you to the KYC Search & Case List or KYC Case Details page based on from where you took the action.

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

Monitoring a KYC Case

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

Note: A KYC Analyst user can only recommend for monitoring a KYC case.

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

Note: If you try to perform an action on a case whose current status does not support those actions, then the following warning message is displayed after the action pop up window opens: *There are no actions available for the selected cases under this action category.*

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

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

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

   The Monitor action pop-up displays.

2. Select one of available actions related to monitoring of a case from the **Select an Action** drop-down list, based on the status of the case being investigated.

3. Provide mandatory comments.

4. Select a user or group of users in **Assign To** field (if a KYC Supervisor user is taking Recommend action).

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

   Alternatively: While performing actions on KYC cases, a KYC Supervisor user can automate the assignment of ownership of the case by selecting the **Auto Assignment** check box. Selecting this check box will disable the *Reassign Ownership To* field and the system will automatically assign the owner defined in *Case Assigner Editor* under *Case Management Configuration* settings set by an Oracle Administrator user as the new owner of the KYC case.

   Note: Deselect the Auto Assignment check box to enable the *Reassign Ownership To* field.

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

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

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

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

   Enterprise Case Management records the action, updates the case information, changes the statuses, clears the due date and returns the you to the KYC Search & Case List page or KYC Case Details page based on from where you took the action.

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

Setting Due Date for a KYC Case

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

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

Note: If you try to perform an action on a case whose current status does not support those actions, then the following warning message is displayed after the action pop up window opens: *There are no actions available for the selected cases under this action category.*

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

1. From the KYC Case Details page, select the **Due Date** action icon from the list of action categories.

   Alternatively, from the KYC Search & Case List page, select one or more KYC cases, and click the **Due Date** action category.

   The Due Date action pop-up displays.

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

3. Provide mandatory comments.

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

Alternatively: While performing actions on KYC cases, a KYC Supervisor user can automate the assignment of ownership of the case by selecting the **Auto Assignment** check box. Selecting this check box will disable the *Reassign Ownership To* field and the system will automatically assign the owner defined in *Case Assigner Editor* under *Case Management Configuration* settings set by an Oracle Administrator user as the new owner of the KYC case.

Note: Deselect the Auto Assignment check box to enable the *Reassign Ownership To* field.

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

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

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

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

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

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

Adding Comments to a KYC Case

If you are a KYC Supervisor user, Enterprise Case Management enables you to add comments to the selected KYC cases through the Evidence tab, exclusive of any other actions.

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

Note: If you try to perform an action on a case whose current status does not support those actions, then the following warning message is displayed after the action pop up window opens: *There are no actions available for the selected cases under this action category.*

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

1. From the KYC Case Details page, navigate to the Evidence tab.

2. Select the **Add** icon in the Add Comments section.

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

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

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

4. Save the comment.

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

Alternatively, you can also add comments from the KYC Search & Case List page. Refer to the section *Supplemental Case Information* for more information.

Adding and Removing Attachments

Enterprise Case Management enables a KYC Analyst and KYC Supervisor user to add or remove attachments to the selected KYC cases through the Evidence tab.

Adding an Attachment

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

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

When you attach documents to a KYC case, the status of that KYC case does not change as a result of those attachments. However, the attachment action is reflected in audit trail of a KYC case. The formats for attachments are deployment configurable. Refer to *Configuration Guide* for more information on configuring the attachment formats.

Note: If you try to perform an action on a case whose current status does not support those actions, then the following warning message is displayed after the action pop up window opens: *There are no actions available for the selected cases under this action category.*

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

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

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

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

2. Browse and select one or more files for the KYC case in the **Choose a File to Attach** text box.

3. Enter the logical file name of the file being attached. This field is optional. If provided, the logical file name is displayed in the audit entries, else the physical file name is displayed.

4. Click the **Attach File** button.

   The confirmation dialog box displays and Enterprise Case Management attaches the file to the selected case.

5. Click **OK**.

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

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

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

Removing an Attachment

When you remove documents from a KYC case, the status of that case does not change because of the removals. However, the removal action reflects in the audit trail of a KYC case.
To remove an attachment from a KYC case, follow these steps:

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

   The Attachment List matrix pop-up displays.

2. Select the check box next to each attachment that you want to remove.

3. Enter any additional comments you have regarding the removal of the attachment in the **Comments** text box.

4. Click the **Remove** button.

   The confirmation dialog box displays.

5. Click **OK**.

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

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

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

Implicit Actions

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

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

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

  - The case is currently owned by an organization of which you are a member

  - You have eligibility to own the case

  - You navigate to the KYC Case Details for the case

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

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

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

- **Viewed by Assignee:** The system records this action on a KYC case, which has been assigned to an authorized user, and that user navigates to the KYC Case Details page of the KYC case for the first time. The action is recorded even though the user does not perform any action on the case.

Managing KYC Assessments

KYC Assessments enables you to view the list of all customers whose risk has been assessed as well as assessments which have been promoted to KYC case.

It also enables a relationship manager user to view the customer details whose risk was not assessed because of old data.

Note: If a customer's last updated date is prior to a configurable period, the application will not asses the risk until it is verified or updated by relationship manager for that particular customer.

You can navigate to the KYC Assessments page by selecting the **KYC Assessments** submenu in the Investigations primary level of navigation at the top of the Mashead area.

Note: A KYC Supervisor user will be able to view assessment records irrespective of their statuses.

This section discusses the following topics:

KYC Assessment Page Components

The KYC Assessment page contains the following components:

- KYC Assessment Search Bar
- KYC Assessments List Matrix

KYC Assessment Search Bar

The KYC Assessment search bar enables you to filter the list of risk assessments that you want to view and analyze on the KYC Assessment List matrix.

KYC Assessment Information

Table 27 provides a list of the KYC assessment search components that display in the KYC Assessment Search section.

Table 27. Components of KYC Assessment Search Bar

Field	Description
Created From	Filters the KYC assessment list by the From date the assessment was created. **Note**: By default, Created From date is automatically populated with current date minus 7 calendar days. This field is a mandatory field when you have not selected any of the other filters.
Created To	Filters the KYC assessment list by the To date the assessment was created. **Note**: By default, Created To date automatically populates the current date. This field is a mandatory field when you have not selected any of the other filters.
Customer	The Customer field enables you to choose between the two mutually exclusive options in the search bar. You can choose to retrieve search results related either to a customer Name or customer ID. This field allows the use of wildcards when searching. **Note**: By default, the ID radio button is selected.

Table 27. Components of KYC Assessment Search Bar

Field	Description
Risk Score	Filters the KYC assessment list by the Risk score the risk assessment received when based against the criteria selected by your firm. retrieves risk assessment with scores greater than equal to, equal to, or less than equal to, to the score you enter in this text box
Customer Type	Filters the risk assessment list by the customer type relative to its analysis and closure in the multi-select list box.
Jurisdiction	Filters the KYC assessment list by the jurisdiction relative to its analysis and closure in the multi-select list box. The list of jurisdictions in the drop-down options is based on your access permission.
Risk Assessment Status	Filters the KYC assessment list by the current status of risk assessment, relative to its analysis and closure in the multi-select list box.
Risk Assessment Source	Filters the KYC assessment list baed on the risk assessment source. The different type of risk assessment source available for searching are as follows: ● Accelerated Re-Review Alerts ● Default Review ● Deployment Initiation ● Periodic Review
Risk Assessment ID	Filters the KYC assessment list by the one or more Risk Assessment IDs entered in this text field. To search for multiple IDs, separate IDs with commas. If the assessments are found, the KYC Assessments List page displays information about the risk assessment with the IDs that exactly matches the values you entered. The Risk Assessment ID search is mutually exclusive with all other filter criteria.

KYC Assessments List Matrix

The KYC Assessments List matrix displays summarized information of KYC assessments that you can further investigate.

By default, the search results are sorted as per Assessment date, Risk Assessment ID and Customer ID.

The KYC Assessments List matrix displays 20 cases by default. To view additional KYC assessments returned by search, use the pagination controls to move to additional pages of KYC assessments. An **Excel** icon on the upper title bar enables exporting the KYC assessments list with a single click. Refer to the section *Viewing KYC Assessments in Hold Status* for more information.

KYC Assessments List Components

The KYC Assessments List matrix of the KYC Risk Assessments Search and List page consists of the KYC Assessments List header and a matrix containing one or more KYC assessments and associated data. Each KYC assessments has an ID and a hyperlink associated with it.

Note: Authorized users having access to KYC Assessments list page will have *view only* access to risk assessment details.

The components within the KYC Assessments List matrix are as follows:

● **KYC Assessments List** header: Contains the number of KYC assessments displayed in the list, the total number of KYC assessments returned by the search, and the Excel icon. The KYC Assessment list matrix by

default is sorted as per Assessment Date, Risk Assessment ID and Customer ID. Pagination controls within the header allow you to navigate to the additional pages of KYC assessments.

The **Excel** icon displays next to the KYC Assessments List title to allow you to export the KYC assessments list data to Microsoft Excel. Refer to the section *Viewing KYC Assessments in Hold Status* for more information.

- **List of KYC Assessments**: Displays a list of KYC assessments based on your search criteria on the KYC assessments Search bar. Click the hyperlinked Assessments ID for any KYC assessments in the list to access the Risk Assessments Details.

Table 28 provides a list of the columns that display in the KYC Assessment List matrix

Table 28. Components of KYC Assessment List

Field	Description
Assessment ID	Displays the Assessment ID for the risk assessment. **Note**: When the Relationship Manager views the risk assessments in *Hold* status, this field serves as a hyperlink to the Customer details in a popup window.
Customer ID	Displays the Customer ID of the risk assessment. Also serves as a hyperlink to the Customer details in a popup window. The customer details are fetched from the Business Schema as done for the Customer Tab in KYC Case Details page.
Customer Name	Displays the name of the customer on whom the risk assessment is performed.
Customer Type	Displays the type of customer on whom the risk assessment is performed such as Individual, Correspondent banks and Legal Entity.
Risk Score	Displays the most recent CER Score. Also serves as a hyperlink to Risk Information details in a popup window. The details in the risk assessment details pop up will be dependent on the type of risk assessment done for a particular entity. **Note**: The Risk Score will have a null value when the status of Risk Assessment is *Hold*.
Assessment Source	Displays the assessment source for the risk assessment. A risk assessment record can have the following four assessment sources: ● Accelerated Review ● Account On Boarding ● Deployment Initiation ● Periodic Review
Assessment Status	Displays the current status of the risk assessment record. A risk assessment record can be in any of the following five statuses: ● Auto Closed ● Closed ● Closed and Purged ● Hold ● Purged to Case
Assessment Date	Displays the date on which the risk assessment was assessed.

Table 28. Components of KYC Assessment List

Field	Description
Case ID	Displays the Case ID for risk assessments which are or were in *Promote to Case* status. **Note**: For risk assessments which have never been promoted to a KYC case such as auto closed cases, this field will be blank. Based on authorized access permissions, the Case ID will be hyperlinked to KYC Case Details page.
Case Status	Displays the case status of risk assessments which are or were in *Promote to Case* status. **Note**: For risk assessments which have never been promoted to KYC case such as auto closed cases, this field will be blank.

Searching for KYC Assessments

You can search KYC Assessments using the search components in the KYC Assessments Search bar.

To search for KYC Assessments, follow these steps:

1. Navigate to the Simple or Advanced Search section by clicking the Simple Search or Advanced Search button.

2. Specify any or all of the criteria in Simple/Advanced Search.

   Note: The Customer field search field accepts wildcard characters. Risk Assessment ID field accepts comma-separated entries.

   If the search returns one or multiple risk assessments, the KYC Assessments List matrix displays a list of KYC assessments that matched the criteria.

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

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

Caution: Once you click the **GO** button, you must allow the application to process and display the list. Do not click the **Go** button repeatedly as it can lock the system process. If the system is locked you have to log off from the system and login again.

Searching for KYC Assessments by Risk Assessment ID

To search for KYC assessments by Risk Assessment ID, follow these steps:

1. Navigate to the Search section by clicking the Search button.

2. In the KYC Assessments Search bar, type a Risk Assessment ID in the Risk Assessment ID text box.

   Optional: Enter additional Risk Assessment IDs separated by commas (for example, CASEKYCINDMDL2504012010).

3. Click **Go**.

   The KYC Assessment List returns all KYC assessments with IDs that match exactly the values you entered in the Risk Assessment ID text box.

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

Viewing KYC Assessments in Hold Status

Enterprise Case Management doesn't perform risk assessment on customers with outdated information and changes their status to *Hold*.

Only users mapped to the role of Relationship Manager can view the risk assessments in *Hold* status and verify that the information is still valid. Once the information is verified, the system changes the status of those risk assessments to *Verified*. During the subsequent batch process run, those customers are risk assessed by Enterprise Case Management normally.

Note:

- If there are updates or correction made to the customer information outside of the system would be made in upstream systems and the record would come back through the regular feeds.

- You can configure the definition of information as outdated based on your requirement.

Exporting KYC Assessments List to Excel

An Investigator user or a Relationship Manager user can export their respective assessments list matrix to an excel sheet using the **Excel** action button.

For detailed information on how to export list matrix to excel, refer to section *Exporting Case List to Excel*.

CHAPTER 6 *Investigating FATCA Assessments and Cases*

This chapter explains how to examine and analyze FATCA Assessments, FATCA Cases, Withholding Transactions, and take appropriate actions.

This chapter includes the following topics:

- Introduction to FATCA Act
- User Roles and Actions
- Managing FATCA Assessments
- Managing FATCA Cases
- Managing Withholding Transaction

Introduction to FATCA Act

The Foreign Account Tax Compliance Act (FATCA) is a US law enacted in 2010 as part of the Hiring Incentives to Restore Employment (HIRE) Act. It is aimed at Foreign Financial Institutions (FFIs) and other financial intermediaries to prevent tax evasion by US citizens and residents through use of offshore accounts.

Under FATCA, Foreign Financial Institutions are required to enter into disclosure compliance agreements with the US Treasury and report to the Internal Revenue Service (IRS) information about financial accounts held by US taxpayers, or held by foreign entities in which US taxpayers hold a substantial ownership interest.

The purpose of the FATCA act is to detect and discourage abroad tax abuses through increased transparency, enhanced reporting, and strong sanctions.

OFSFATCA Management Assessment model provides a framework to the financial institutions to classify the accounts and customers and assigns a FATCA status. The solution assesses different accounts and customers held by a financial institution on various parameters including account opening date, account type, ownership, and account net worth, and helps to identify the accounts reportable under FATCA. For more information, refer to *FATCA Assessment Guide.*

For more information on FATCA, see the section on FATCA act in the website of Internal Revenue Service (IRS), *http://www.irs.gov.*

User Roles and Actions

This section explains the different user roles available in the FATCA. Their roles and responsibilities are as follows:

- **FATCA Analyst**: This user can view and analyze the (Foreign Account Tax Compliance Act) FATCA Assessments, promote an Assessment to a FATCA Case, view and analyze a FATCA Case, and view and add Withholding Transactions.

- **FATCA Supervisor**: This user can view and analyze the (Foreign Account Tax Compliance Act) FATCA Assessments, promote an Assessment to a FATCA Case, view and analyze a FATCA Case, and view and add Withholding Transactions.

- **FATCA Administrator**: This user is responsible for managing the static data used in FATCA rules, creating users, mapping users to user groups, and configuring the various parameters used in FATCA.

- **FATCA Auditor**: This user is responsible for auditing the FATCA Assessments, FATCA Cases, and Withholding Transactions. This user can access all the modules in FATCA Management solution and will have a View Only access.

FATCA Management Workflow

The life cycle of the FATCA Management is described in the following workflow diagram.
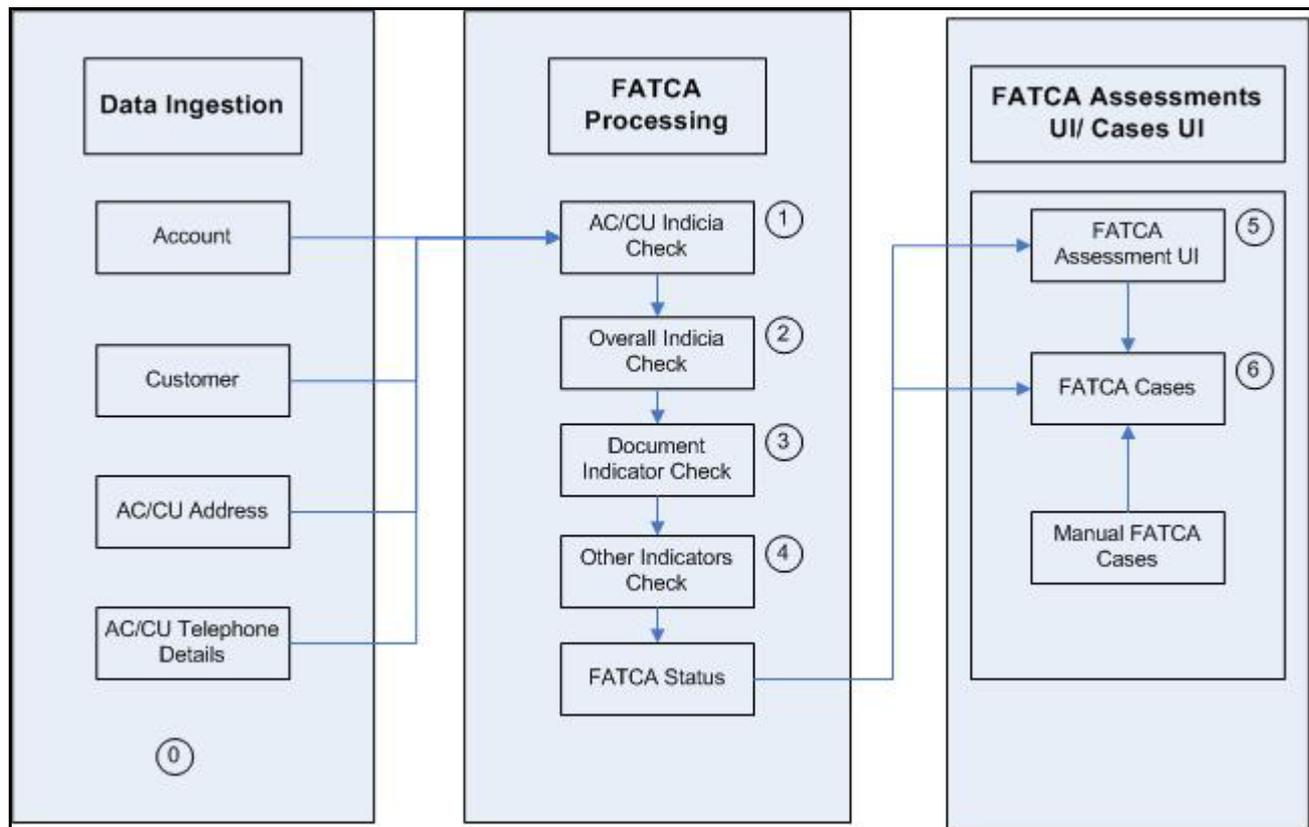
Figure 58. FATCA Management Workflow

Managing FATCA Assessments

This section includes the following topics:

- About FATCA Assessments
- Searching FATCA Assessments
- FATCA Assessments List Components
- Managing FATCA Assessments details

About FATCA Assessments

OFSFATCA Management Assessment model provides a framework to the financial institutions to classify the accounts and customers and assigns a FATCA status. It allows the assessment rules to be configured for exemption limits on account balances prescribed by IRS for different kinds of accounts held by client, and also incorporates exemptions for customers who provide the documentary evidence required under FATCA regulations.

FATCA Assessment rules identify the accounts and customers on the basis of the following:

- **New Accounts**: Accounts that have been opened after a specified date
- **New Customers**: Owning customers of New Accounts
- **Existing Accounts**: These are the accounts whose information has changed
- **Existing Customer**: These are the customers whose information has changed
- **Pre-Existing Accounts**: Accounts that have been opened before a specified date
- **Pre-Existing Customers**: Owning customers of Pre-Existing Accounts

Searching FATCA Assessments

The FATCA Assessments Search and List page enables you to filter the list of assessments that you want to view and analyze. The FATCA Assessments List displays a list of assessments that meet the criteria specified on the search bar.

To search for FATCA Assessments using the search bar, follow these steps:

1. Navigate to the FATCA Assessments Search and List page.

Figure 59. FATCA Assessments Search Bar

2. Enter the search criteria to filter the list of FATCA Assessments. The following table explains the search components that display in the Search Bar:

Table 29. FATCA Assessments Search Bar Components

Field	Description
FATCA Status	Select a status from the multi-select list to filter the list of FATCA assessments by the current status. The drop-down list displays the following options: ● Foreign Financial Institutions ● Individual ● Non Foreign Financial Entities ● Indeterminate ● Recalcitrant ● US Person ● Non-Participating FFI ● Passive NFFE ● Owner Document FFI ● Participating FFI ● Excepted NFFE ● Active NFFE ● Exempt Beneficial Owner ● Certified Deemed Compliant FFI ● Registered Deemed Compliant FFI ● Exempt ● Non US Person **Note:** The options in the drop-down list are displayed according to the FATCA statuses defined in the FATCA Status table. An Administrator user can modify or update the drop-down list options.
Created Date>=	Select a date using the calendar icon to filter the list of FATCA assessments whose created date are greater than or equal to the specified date.
Created Date<=	Select a date using the calendar icon to filter the list of FATCA assessments whose created date is less than or equal to the specified date.
Jurisdiction	Select the jurisdiction from the multi-select list to filter the list of FATCA assessments whose jurisdiction matches the selected criteria.
Geographic Jurisdiction	Select the geographical jurisdiction from the multi-select list to filter the list of FATCA assessments whose geographical jurisdiction matches the selected criteria.
Business Domain	Select the business domain from the multi-select list to filter the list of FATCA assessments whose business domain matches the selected criteria.

Table 29. FATCA Assessments Search Bar Components

Field	Description
Entity Type	FATCA Assessments are performed on entities. An entity can be of two types namely, Customer or Account Select the entity type from the multi-select list to filter the list of FATCA assessments whose entity type matches the selected criteria. The drop-down list displays the following options: ● Select All ● Account ● Customer
Entity	The Entity field enables you to choose between the two mutually exclusive options in the search bar. You can choose to retrieve search results related either to an Entity ID or Entity Name. To perform an **Entity ID** search, you must select the **ID** radio option and enter the entity identifier in the text box. You can also search for multiple Entity IDs by entering a string of comma-separated values. To perform an **Entity Name** search, you must select the **Name** radio option and enter the entity names in the text box. Entity Name search also supports wildcard searching. You can use% and _ as the wildcard indicators.
TIN/GIN	Enter the Taxpayer Identification Numbers (TIN) or Global Intermediary Identification Number (GIIN) in the text box to filter the list of FATCA assessments that matches the entered criteria.
FATCA Organization Type Code	Enter the Type Code of the FATCA Organization Type to filter the list of FATCA assessments that matches the selected criteria. The drop-down list displays the following options: ● Select All ● Active NFFE ● Certified Deemed Compliant FFI ● Excepted NFFE ● Exempt Beneficial Owner ● Indeterminate Multiple Org Types ● Non-participating FFI ● Other Organizations Type Codes ● Owner Documented FFI ● Participating FFI ● Passive NFFE ● Registered Deemed Compliant FFI
Overall US Indicia	Select an Overall US Indicator from the drop-down list to filter the list of FATCA assessments that matches the selected criteria. The drop-down list displays the following options: ● Yes ● No ● Indeterminate

Table 29. FATCA Assessments Search Bar Components

Field	Description
Foreign Status Document Indicator	Select a Foreign Status Document Indicator from the drop-down list to filter the list of FATCA assessments that matches the selected criteria. The drop-down list displays the following options: ● Blank ● Yes ● No
Batch Type	Select the Batch Type from the multi-select drop-down list to filter the list of FATCA assessments that matches the selected criteria. The drop-down list displays the following options: ● Select All ● Existing Entities ● New Entities ● Pre-existing Entities
Search by Assessment ID	Enter an Assessment ID in the text box to filter the FATCA assessment matching the entered ID. You can also search for multiple FATCA assessments by entering comma separated Assessment IDs. **Note**: While searching through Search by Assessment ID, all other search criteria are ignored.

FATCA Assessments List Components

The FATCA Assessments List section displays summarized information of cases that you can further investigate or take actions on. The Assessments List consists of the Assessments List header and a matrix containing one or more assessments and associated data. Each assessments has a check box and an **ID** link associated with it.

The components within the Assessments List section are as follows:

● **FATCA Assessments List** header: Contains the number of Assessments displayed in the list, the total number of assessments returned by the search. Pagination controls within the header allow you to navigate to the additional pages of cases. You can also use the **Jump to Page** option to navigate to the desired result page.

● **List of FATCA Assessments**: Displays a list of FATCA assessments based on your search criteria on the FATCA Assessments Search bar. Click the hyper linked **Assessments ID** for any assessments in the list to access the FATCA Assessments Details page.

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

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

● **Check Boxes**: Appears at the beginning of each row. Select one or more of these boxes to take action on one or more assessments. Select the check box again to clear it.

- **Column Headings**: Labels that displays the kind of information in the columns. All column headings in the Case List section are sortable, that is, you can sort each column in the case list by right-clicking the column header and choosing ascending or descending options.

- **Action Button**: Enables you to select and take action on one or more cases. When an action button is clicked, the application navigates you to the Actions pop up.

Figure 60. FATCA Assessments List

Table 30 provides field descriptions of components that are displayed in the FATCA Assessments List section.

Table 30. FATCA Assessments List Components

Field	Description
Assessment ID	Displays the FATCA Assessment ID number. Also serves as a hyper link to the FATCA Assessment Details page.
FATCA Status	Displays the current status of the FATCA Assessment. The following are the various statuses that a FATCA Assessment can have: ● Indeterminate ● Recalcitrant ● US person ● Non-participating FFI ● Passive NFFE ● Owner Documented FFI ● Participating FFI ● Excepted NFFE ● Active NFFE ● Exempt Beneficial Owner ● Certified Deemed Compliant FFI ● Registered Deemed Compliant FFI ● Exempt ● Non US person
Case ID	Displays the latest Case ID associated with the FATCA assessments if the assessment was promoted to case through Promote To Case option.
Entity Type	Displays the type of entity on which the FATCA Assessment is created. An Entity type can either be an Account or a Customer.
Entity ID	Displays the entity identifier of the entity type. If the Entity type is Customer, the Customer ID is displayed. If the Entity Type is Account, the Account ID is displayed.
Entity Name	Displays the entity name of the entity type. If the Entity Type is Customer, this field displays the Customer Name. If the Entity Type is Account, this field displays the Account Name.
TIN/GIIN	Displays the Taxpayer Identification Number (TIN) or the Global Intermediary Identification Number (GIIN) associated with the customer.
Jurisdiction	Displays the business jurisdiction associated with the FATCA Assessment.
Business Domain	Displays the business domain associated with the FATCA Assessment.
Overall US Indicia	Displays the Overall US Indicia of the FATCA Assessment.
Document Indicator	Displays the document indicator status of the FATCA Assessment.
Batch Type	Displays the type of batch processes through which the FATCA assessments was created. The FATCA application supports the following types of batch processes: ● New Entities ● Existing Entities ● Pre-existing Entities

Table 30. FATCA Assessments List Components

Field	Description
Created Date	Displays the date when the FATCA assessment was created.
FATCA Organization Type	Displays the FATCA Organization Type of the customer when the assessment was created. The following are the list of FATCA Organization Types supported: ● Active NFFE ● Certified Deemed Compliant FFI ● Excepted NFFE ● Exempt Beneficial Owner ● Indeterminate Multiple Org Types ● Non-participating FFI ● Other Organizations Type Codes ● Owner Documented FFI ● Participating FFI ● Passive NFFE ● Registered Deemed Compliant FFI **Note:** By default, this field is not displayed in the FATCA Assessments List section. You can choose to include this field through **Field Chooser** option.
Geographic Jurisdiction	Displays the geographic jurisdiction associated with the entity (account or customer) on which the FATCA assessment was created. **Note:** By default, this field is not displayed in the FATCA Assessments List section. You can choose to include this field through **Field Chooser** option.

Managing FATCA Assessments details

The assessment details page displays information as a result of rules that were run and also displays the actual values against the threshold values. You can navigate to the Assessment Details page by clicking on the Assessment ID hyper link from FATCA Assessments Search and List page.

This section includes the following topics:

- Viewing Assessment Details Context

- Viewing FATCA Assessment Details Tab

- Viewing Relationships

- Promoting a FATCA Assessment to a FATCA Case

Viewing Assessment Details Context

The Assessment Details Context section displays a brief description about the FATCA assessment and the Entity (Account or Customer) for determining what actions need to be taken to dispose the assessment appropriately. The assessment details in the Assessments Details page are in View Only mode.
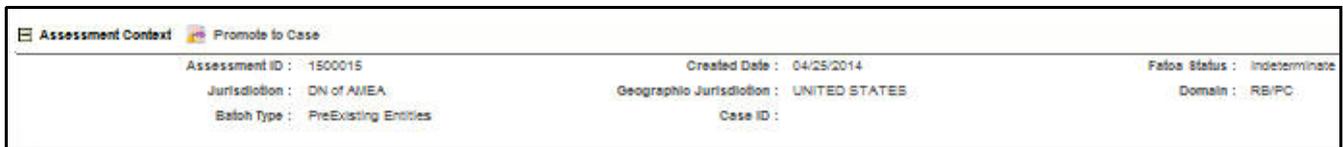
Figure 61. FATCA Assessment Details Context

This section includes the following topics:

- Assessment Context

- Viewing Customer or Account Information

Assessment Context

The following table describes the components that are displayed in the Assessment Context:

Table 31. Assessment Context Field Descriptions

Field	Description
Assessment ID	Displays the unique identifier for the assessment generated during the FATCA assessment.
Created Date	Displays the date when the FATCA assessment was created.

Table 31. Assessment Context Field Descriptions

Field	Description
FATCA Status	Displays the current status of the FATCA assessment. The following are the various statuses that a FATCA assessment can have: ● Indeterminate ● Recalcitrant ● US person ● Non-participating FFI ● Passive NFFE ● Owner Documented FFI ● Participating FFI ● Excepted NFFE ● Active NFFE ● Exempt Beneficial Owner ● Certified Deemed Compliant FFI ● Registered Deemed Compliant FFI ● Exempt ● Non US person
Jurisdiction	Displays the Jurisdiction associated with the entity (account or customer) on which the FATCA assessment was created.
Geographic Jurisdiction	Displays the geographic jurisdiction associated with the entity (account or customer) on which the FATCA assessment was created.
Business Domain	Displays the business domain associated with the entity (account or customer) on which the FATCA assessment was created. A business domain for an entity can be of the following types: ● GEN - General ● INST - Institutional Broker Dealer ● RB/PC - Retail Brokerage/Private Client ● RET - Retail Banking ● C/WS - Corporate/Wholesale Banking ● EMP - Employee Information
Batch Type	Displays the type of batch processes through which the FATCA assessments was created. The FATCA application supports the following types of batch processes: ● New Entities ● Existing Entities ● Pre-existing Entities
Case ID	Displays the latest Case ID associated with the FATCA assessments if the assessment was promoted to case through Promote To Case option.

Viewing Customer or Account Information

This section includes the following topics:

- Viewing Customer Information

- Viewing Account Information

Viewing Customer Information

This section displays the assessment details of the customer who was assessed.

Figure 62. FATCA Assessment Context - Customer Information

The following table describes the components that are displayed in the Customer Information section:

Table 32. Customer Information Field Descriptions

Field	Description
Entity Type	Displays the entity type as Customer on which the FATCA Assessment was created.
Entity ID	Displays the entity identifier of the customer.
Entity Name	Displays the name associated with the customer.
TIN/GIIN	Displays the Taxpayer Identification Number (TIN) or the Global Intermediary Identification Number (GIIN) associated with the customer.
Organization	Displays the type of the customer associated with the assessment. A customer can be of any of the following types: ● Financial Institution ● Individual ● Organization

Table 32. Customer Information Field Descriptions

Field	Description
FATCA Organization Type	Displays the FATCA Organization Type of the customer when the assessment was created. The following are the list of FATCA Organization Types supported: ● Active NFFE ● Certified Deemed Compliant FFI ● Excepted NFFE ● Exempt Beneficial Owner ● Indeterminate Multiple Org Types ● Non-participating FFI ● Other Organizations Type Codes ● Owner Documented FFI ● Participating FFI ● Passive NFFE ● Registered Deemed Compliant FFI
Recalcitrant Indicator	Displays the recalcitrant indicator for the customer. A Recalcitrant Customer is defined as a customer who fails to comply with reasonable requests for information pursuant to IRS mandated verification and due diligence procedures to identify as US Account, who fails to provide a name, address and taxpayer identification number, or who fails to provide a bank secrecy waiver upon request.
Current FATCA Status	Displays the Current FATCA Status of the customer. **Note**: This field is updated based on the recent assessment on the Customer and when any case related to customer is closed.

Viewing Account Information

This section displays the assessment details of the account that was assessed.

Figure 63. FATCA Assessment Context - Account Information

The following table describes the components that are displayed in the Account Information section:

Table 33. Account Information Field Descriptions

Field	Description
Entity Type	Displays the entity type as Account on which FATCA Assessment was created.
Entity ID	Displays the entity identifier of the account.

Table 33. Account Information Field Descriptions

Field	Description
Entity Name	Displays the name associated with the account.
TIN/GIIN	Displays the Taxpayer Identification Number (TIN) or the Global Intermediary Identification Number (GIIN) associated with the account.
Current FATCA Status	Displays the Current FATCA Status for the account. **Note:** This field is updated based on the recent assessment on the Account and when any case related to Account is closed.

Viewing FATCA Assessment Details Tab

The Details tab displays the FATCA rules used for assessing the customer or account. This section includes the following topics:

- Viewing Details of FATCA Assessment on a Customer
- Viewing Details of FATCA Assessment on an Account

Viewing Details of FATCA Assessment on a Customer

This tab displays the FATCA assessment details performed on a Customer. The tab consists of the following four sections:

- Customer FATCA Assessment Indicators
- Customer Indicia
- Owning Customer's Indicia
- Document Indicators
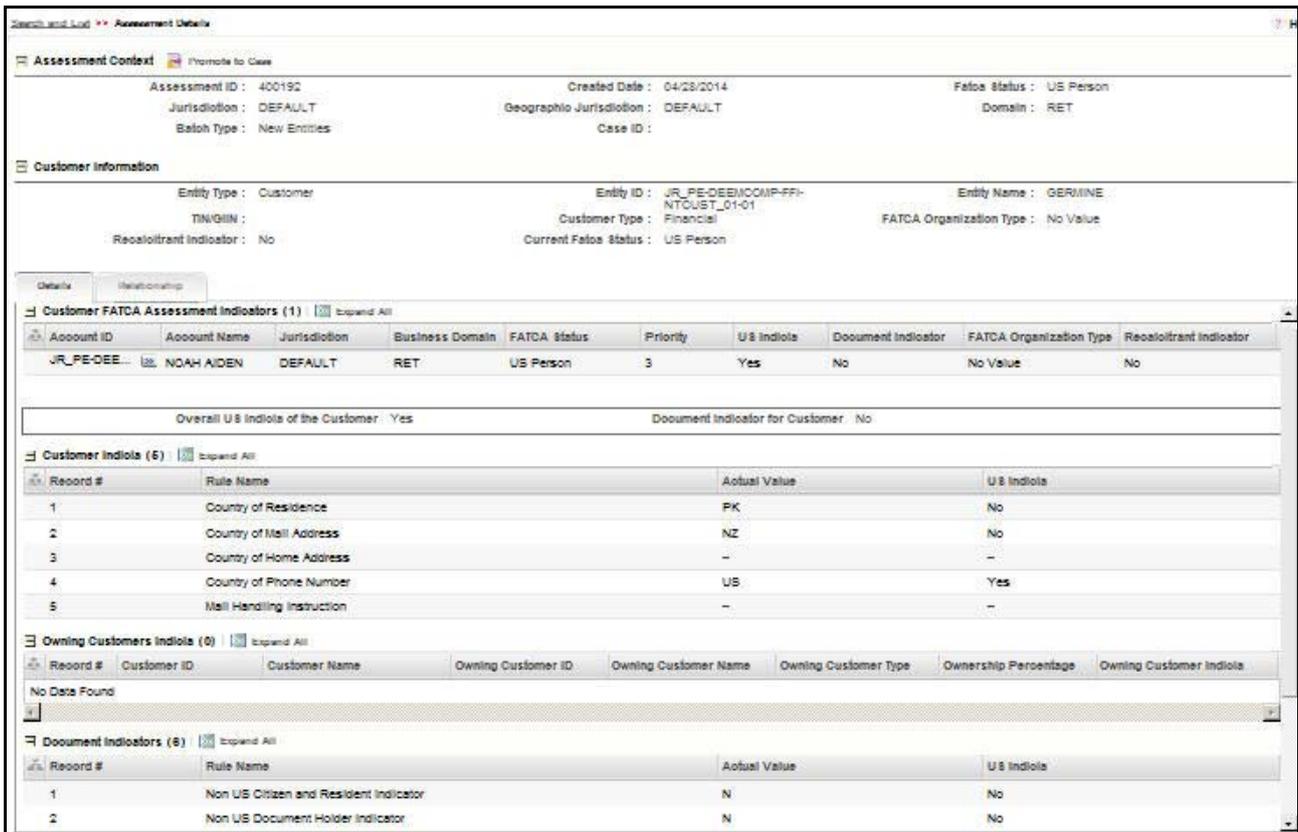
Figure 64. FATCA Assessment Details Page - Customer

Customer FATCA Assessment Indicators

A Customer FATCA status is derived from the FATCA status of the related accounts based on priority. This section displays all the related accounts of the customer and their FATCA Status.

The Customer FATCA Assessment Indicators section also displays the Overall US Indicia and the Document Indicator for Customer.

- **Overall US Indicia**: This field displays as Y if Customer's US Indicia is derived as Y or any of the individual owner of the organization has ownership percentage more than the threshold value and their US Indicia is marked as Y.

- **Document Indicator for Customer**: This field will display as Y if any of the parameters in the Document Indicators is marked as Y. Similarly, if any of the parameters in the Document Indicators section is marked as N, then the Document Indicator for Customer will be marked as N.

The following table describes the components that are displayed in the FATCA Assessment Indicators section:

Table 34. Customer FATCA Assessment Indicators

Field	Description
Account ID	Displays the unique identifier of the account that the customer holds.
Account Name	Displays the name of the account.
Jurisdiction	Displays the name of the jurisdiction associated with the account.
Business Domain	Displays the business domain associated with the account.

Table 34. Customer FATCA Assessment Indicators

Field	Description
FATCA Status	Displays the FATCA status of the account when the assessment was created.
Priority	Displays the FATCA status priorities of the related accounts. **Note:** The lower the number the higher is the priority of FATCA status.
US Indicia	Displays the Overall US Indicia of the associated account when the assessment was created.
Document Indicator	Displays the Document Indicator of the associated account when the assessment was created
FATCA Organization Type	Displays the FATCA Organization Type of the associated account when the assessment was created.
Recalcitrant Indicator	Displays the Recalcitrant indicator of the associated account when the assessment was created.
Customer Type	Displays the owning customer type. A customer can be any of the following types: ● IND: Individual ● FIN: Financial Institution ● ORG: Other Organization **Note**: By default, this field is not displayed in the Customer FATCA Assessment Indicator section. You can choose to include this field through **Field Chooser** option.
Networth	Displays the aggregated net worth of the account. **Note**: By default, this field is not displayed in the Customer FATCA Assessment Indicator section. You can choose to include this field through Field Chooser option.

Customer Indicia

The following table describes the components that are displayed in the Customer Indicia section:

Table 35. Customer Indicia Field Descriptions

Field	Description
#	Displays the sequentially generated record number for the rules in Customer Indicia.
Rule Name	Displays the customer indicia rules that were used to derive the overall US Indicia of the customer. By default, the following are the five rules that are considered for Customer Indicia: ● Country of Residence ● Country of Mail Address ● Country of Home Address ● Country of Phone Address ● Mail Handling Instructions **Note:** A FATCA Administrator user can edit and update the rules. For more information, refer to *FATCA Administration and Configuration Guide*.
Actual Value	Displays the actual value of the indicia rules. This is value is derived from the database and denotes the value of the indicators as per the FATCA assessment.
US Indicia	Displays the value of the US Indicia derived from the rules.
Rule Value	Displays the value to which the actual value is compared to. **Note**: ● An Administrator user can configure this value. For more information, refer to *FATCA Administration and Configuration Guide*. ● By default, this field is not displayed in the Customer Indicia section. You can choose to include this field through Field Chooser option.
Operand	Displays the operand that is used to compare the Actual value against the Rule Value. **Note**: By default, this field is not displayed in the Customer Indicia section. You can choose to include this field through Field Chooser option.

Owning Customer's Indicia

The FATCA Assessment Details page displays the Owning Customer's Indicia section when a Customer is identified as an Organization and the assessed US Indicia is marked as N. This section displays all the owners of the organization along with their ownership percentage each owner holds.

This section displays the following information:

Table 36. Owning Customer's Indicia Field Descriptions

Field	Description
Customer ID	Displays the identifier of the customer.
Customer Name	Displays the name of the customer.
Owning Customer ID	Displays the identifier of the customer who has ownership in the organization.
Owning Customer Name	Displays the name of the customer who has ownership in the organization.
Owning Customer Type	Displays the type of the customer who has ownership in the organization.

Table 36. Owning Customer's Indicia Field Descriptions

Field	Description
Ownership Percentage	Displays the percentage of ownership that the customer has on the organization.
Owning Customer Indicia	Displays the owning customer's US Indicia.

Document Indicators

This section displays all the document indicators for the assessed customer. The following table describes the components displayed in the Document Indicators section:

Table 37. Document Indicators Field Descriptions

Field	Description
#	Displays the sequentially generated record number for the rules in Document Indicators.
Rule Name	Displays the name of the rules that are enabled. By default, the following are the six rules that are considered for Document Indicators: ● Non US Citizen and Resident Indicator ● Non US Document Holder Indicator ● Certificate of Loss of Nationality Indicator ● Entity Government Documentation Indicator ● Third Party Credit Report Indicator ● Certificate of Foreign Tax Reporting Indicator **Note:** This field is configurable. For more information, refer to *FATCA Administration and Configuration Guide*.
Actual Value	Displays the actual value of the indicator. This is value is derived from the database and denotes the value of the indicators as per the FATCA assessment.
US Indicia	Displays the derived US Indicia of the indicator as per the actual value.
Rule Value	Displays the value defined in the Rule configuration. **Note**: By default, this field is not displayed in the Document Indicators section. You can choose to include this field through **Field Chooser** option.
Operand	Displays the operand that is used to compare the Actual value against the Rule Value. **Note**: By default, this field is not displayed in the Document Indicators section. You can choose to include this field through **Field Chooser** option.

Viewing Details of FATCA Assessment on an Account

This tab displays the FATCA assessment details performed on an Account. The tab consists of the following sections:

- Account FATCA Assessment Indicators

- Account Indicia

- Owning Customers

Account FATCA Assessment Indicators

This section displays the Overall US Indicia of the Account and the Document Indicator for Account along with other indicators.

- **Overall US Indicia**: This field is displayed as Y if the Owning Customer's Indicia is marked as Y. If the Account Indicia is marked as Y, then the application will mark the Overall US Indicia as Y irrespective of the value of Owning Customer Indicia.

- **Document Indicator for Account**: This field displays the document indicator of the owning customer. This field will display as Y if any of the records in the Document Indicators are marked as Y. Similarly, if any of the records in the Document Indicators section is marked as N, then the Document Indicator for Account will be marked as N.

Figure 65. FATCA Assessment Details Page - Account

The following table describes the components displayed in the Account FATCA Assessment Indicators section:

Table 38. Account FATCA Assessment Indicators Field Descriptions

Field	Description
#	Displays the sequentially generated record number for the rules in Assessment Indicators.
Rule Indicator Name	Displays the name of the rule indicator. The following are the names of the four rule indicators: ● Account Agg Net Worth - Entity ● Recalcitrant Indicator ● Customer Type Code ● FATCA Organization Type Code **Note:** This field is configurable. For more information, refer to *FATCA Administration and Configuration Guide*.
Actual Value	Displays the actual value of the indicator. This is value is derived from the database and denotes the value of the indicators as per the FATCA assessment.

Account Indicia

The following table describes the components displayed in the Account Indicia section:

Table 39. Account Indicia Field Descriptions

Field	Description
#	Displays the sequentially generated record number for the rules in Account Indicia.
Rule Name	Displays the account indicia rules that were used to derive the overall US Indicia of the account. By default, the following are the five rules that are considered for Account Indicia: ● Standing Instructions to US Account Indicator ● US POA or Signatory Indicator ● Country Code of Address ● Country of Phone Number ● Mail Handling Instruction **Note:** A FATCA Administrator user can edit and update the rules. For more information, refer to *FATCA Administration and Configuration Guide*.
Actual Value	Displays the actual value of the indicia rules. This is value is derived from the database and denotes the value of the indicators as per the FATCA assessment.
US Indicia	Displays the value of the US Indicia derived from the rules.

Table 39. Account Indicia Field Descriptions

Field	Description
Rule Value	Displays the value to which the actual value is compared to. **Note**: ● An Administrator user can configure this value. For more information, refer to *FATCA Administration and Configuration Guide*. ● By default, this field is not displayed in the Account Indicia section. You can choose to include this field through Field Chooser option.
Operand	Displays the US Indicia derived from the Actual value on the basis of Rules. **Note**: By default, this field is not displayed in the Account Indicia section. You can choose to include this field through Field Chooser option.

Owning Customers

If the Account Indicia is marked as No, then the Owning Customers are derived from the customers who own the account. This section displays the following information of the owning customers:

Table 40. Owning Customers Field Descriptions

Field	Description
#	Displays the sequentially generated record number for the rules in Account Indicia.
Customer ID	Displays the identifier of the customer.
Customer Name	Displays the name of the customer.
Customer Type	Displays the type of the customer.
FATCA Organization Type	Displays the FATCA Organization Type of the customer.
Role	Displays the role of the customer.
US Indicia	Displays the US Indicia of the customer.

The Owning Customers section also includes the Document Indicators section. The following table describes the components that are displayed in the Document Indicators section:

Table 41. Owning Customers - Document Indicators Field Descriptions

Field	Description
#	Displays the sequentially generated record number for the records in Document Indicators.
Rule Name	Displays the name of the indicator. The following are the six default rules names that are displayed for Document Indicators: ● Non US Citizen and Resident Indicator ● Non US Document Holder Indicator ● Certificate of Loss of Nationality Indicator ● Entity Government Documentation Indicator ● Third Party Credit Report Indicator ● Certificate of Foreign Tax Reporting Indicator
Actual Value	Displays the actual value of the indicator. This is value is derived from the database and denotes the value of the indicators as per the FATCA assessment.
US Indicia	Displays the derived US Indicia of the indicator as per the actual value.
Rule Value	Displays the value defined in the Rule configuration. **Note**: By default, this field is not displayed in the Document Indicators section. You can choose to include this field through Field Chooser option.
Operand	Displays the operand that is used to compare the Actual value against the Rule Value. **Note**: By default, this field is not displayed in the Document Indicators section. You can choose to include this field through Field Chooser option.

Viewing Relationships

The Relationship tab provides information regarding other FATCA assessments and FATCA cases that are related to the current FATCA assessment.

This section includes the following topics:

● Related Assessments
● Related Cases

Related Assessments

This section enables you to view the other assessment for the account or customer that have been assessed.

This section displays the following information:

Table 42. Related Assessments Field Descriptions

Field	Description
Assessment ID	Displays the Assessment ID of the entity type's related assessment.
FATCA Status	Displays the current status of the FATCA assessment. The following are the various statuses that a FATCA assessment can have: ● Indeterminate ● Recalcitrant ● US person ● Non-participating FFI ● Passive NFFE ● Owner Documented FFI ● Participating FFI ● Excepted NFFE ● Active NFFE ● Exempt Beneficial Owner ● Certified Deemed Compliant FFI ● Registered Deemed Compliant FFI ● Exempt ● Non US person
Entity Type	Displays the entity type of the FATCA assessment. An entity type can either be Account or Customer.
Entity ID	Displays the entity identifier of the entity type.
Geographic Jurisdiction	Displays the geographic jurisdiction associated with the entity (account or customer) on which the FATCA assessment was created.
Jurisdiction	Displays the business jurisdiction associated with the FATCA Assessment.
Business Domain	Displays the business domain associated with the FATCA Assessment.

Table 42. Related Assessments Field Descriptions

Field	Description
Batch Type	Displays the type of batch processes through which the FATCA assessments was created.
Case ID	Displays the latest Case ID associated with the FATCA assessments if the assessment was promoted to case through Promote To Case option.
Created Date	Displays the date when the FATCA assessment was created.

Related Cases

This section enables you to view the list of related cases on the account(s) or customer(s) that are related to the viewed assessment through relationships to entities. This section displays the following information:

- Case ID
- Title
- Type
- Subtype
- Subclass 1
- Subclass 2
- Created
- Owner
- Priority
- Organization
- Status
- Last Action
- Last Comment
- Linked Alerts

Promoting a FATCA Assessment to a FATCA Case

You can promote a FATCA Assessment to a FATCA Case in following two ways:

- Batch Promotion of FATCA Assessments to a FATCA Case

- Manual Promotion of FATCA Assessments to a FATCA Case

- Transferring FATCA Assessment Information to Enterprise Case Management

Batch Promotion of FATCA Assessments to a FATCA Case

You can promote a FATCA Assessment to a FATCA Case through batch process based on the FATCA Status. For more information, refer to Administration and Configuration guide.

Manual Promotion of FATCA Assessments to a FATCA Case

When you want to investigate a FATCA Assessment for further detailed analysis, you can manually promote an assessment to a FATCA Case. From FATCA Assessments Details page, click **Promote to Case** button to display the case creation page where you can define attributes of the FATCA case to be created. You can access the FATCA cases through **Cases - FATCA** sub menu under the **Investigation** primary menu.

To manually promote a FATCA Assessment to a FATCA Case, follow these steps:

1. Navigate to FATCA Assessment Details page.

2. Click Promote to Case button. The following Create New Case window is displayed:

Figure 66. Promoting FATCA Assessment to FATCA Case

3. Enter the desired information in the fields.

   Note: Always specify values for fields marked as required.

The following table describes the components that are displayed in the Create New Case window:

Table 43. Create New Case - Components

Fields List	Description
Case ID	Enterprise Case Management generated unique identifier for the case. This field is not editable.
Title	Title name of the FATCA case. This is a mandatory field.
Type	Classifies the type of case being created (for example, FATCA, AML, Fraud). The types that is available in the drop-down list are based upon your firm's configuration as well as user privileges. This is a mandatory field.
Subtype	Classifies the subtype of the type of case being created (for example, Due Diligence, Employee Fraud). The combination of case type and subtype selected will affect the investigation workflow and actions available for the FATCA case. The subtypes that is available in the drop-down list are based upon your firm's configuration as well as user privileges. This is a mandatory field.
Subclass 1	Classifies the case type and subtype to an additional level of detail. Case subclasses do not impact the workflow and actions and are primarily used for reporting. The subclasses that are available in the drop-down list are based upon your firm's configuration.
Subclass 2	Classifies the case type and subtype to an additional level of detail. Case subclasses do not impact the workflow and actions and are primarily used for reporting. The subclasses that are available in the drop-down list are based upon your firm's configuration.
Jurisdiction	Defines the business jurisdiction to be assigned to the FATCA case. Jurisdictions can be used to affect access to the case by users. This is a mandatory field.
Domain	Defines the business domain to be assigned to the case. Business domains can be used to affect access to the case by users. This is a mandatory field.
Auto Assignment	Select this check box to automate the assignment of ownership of the new case. Selecting this check box will disable the Owner field and the system will automatically assign the owner defined in Case Assigner Editor under Case Management Configuration settings set by an Oracle Administrator user as the new owner of the case.
Owner	User who is the owner of the new FATCA case. This field will be disabled if you select Auto Assignment check box.
Assigned To	User to whom the FATCA case is assigned for investigating and taking actions on the case. Can be different than the owner of the case or can be the same user.
Confidential Flag	Indicator of whether or not this FATCA case should be considered confidential. By default *No* is selected.
Priority	Indicator of the priority of this case. By default *Low* is selected. This is a mandatory field.
Status	System generated status. By default, all newly created cases are created with a status of *New*. This field is not editable.
Document Control Number	
Created By	Captures the identifier of the user creating the case. This field is not editable.
Created Date	System generated date corresponding the current date. This field is not editable.
Description	Free text field allowing users to describe the FATCA case content and details at a high level.

4. Click Save to save the information The following message is displayed: *New Case Created Successfully.*

5. Click **OK**.

    You can access the newly created FATCA case from the **Cases - FATCA** sub menu.

Transferring FATCA Assessment Information to Enterprise Case Management

An Administrator user can set up a parameter in the Case Creation Entity Type settings under Administration menu to specify how they want the related Account and Customer information to be transferred to the Enterprise Case Management. You can choose to transfer either the Account or Customer information, or both account and customer information to the Enterprise Case Management. If you set the parameter as **Null**, then both the account and customer information related to the assessment are transferred to the Enterprise Case Management.

Note: If you select an assessment of an entity on which you have not configured the parameter for transferring the account and customer information and you click Promote to Case option, the application displays an error message based on the parameter settings.

When a FATCA assessment is manually promoted to a case, in addition to the focus Customer or/and Account information, the supplemental data such as address, email, phones, and summary information are also transferred to the Enterprise Case Management.

When you promote a FATCA Assessment to a FATCA case, the following details are transferred to the Enterprise Case Management while creating a new FATCA Case:

- Assessed customer details if the FATCA Assessment is performed on a customer.

    - Assessed focal customer information.

    - Customer record details and their supplemental customer details.

    - All the related customer information and their supplemental details.

    - All the Account information and their supplemental information that are owned by the customer

- Assessed account details if the FATCA Assessment is performed on an account.

    - Assessed focal customer information.

    - Account record details and their supplemental account details.

    - Owning customer details and their supplemental details of the account

    - Related customer details and their supplemental details of the owning customers.

- Complete FATCA Assessment details in *Read Only* mode.

- All the below mandatory details:

    - Case Type

    - Case Subtype (if defined for an installation)

    - Subclass 1 (Null)

    - Subclass 2 (Null)

    - Assessment ID

    - Comments (Both manual and system comments)

    - Case Title

- ■ FATCA Status

- ■ Entity ID

- ■ Entity Name

- ■ Entity Type

- ■ Jurisdiction

- ■ Geographic Jurisdiction

- ■ Domain

- ■ Owner and Owner Organization

Note: If any of the above mandatory information is not available, then a new case is not created in the Enterprise Case Management

- Displays notifications and Data Transfer Failure errors.

Managing FATCA Cases

This section includes the following topics:

- Accessing the FATCA Cases
- Searching FATCA Cases
- FATCA Case List Components
- Managing FATCA Case Details
- Acting on FATCA Cases

Accessing the FATCA Cases

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

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

Figure 67. FATCA Cases List

Home Page

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

Priority Cases Matrix

Displays only active FATCA cases, that is, those cases in a non-closed status. By default, the order in which FATCA cases are to displayed, are based on the following ordering strategies:

- **Priority**: Displayed in descending order of priority - High, Medium, and Low

- **Due Date:** Displayed in ascending order of due date.

- **Create Date**: Displayed in descending order of FATCA case created date.

- **Case ID**: Displayed in descending order of Case ID

You can click the **Case List** to navigate to the FATCA Search and Case List page.

Searching FATCA Cases

The FATCA Search and Case List page enables you to filter the cases that you want to view and analyze on the FATCA Case List section. You can navigate to the FATCA Search and Case List page by selecting the **Cases - FATCA** submenu in the Investigations primary level of navigation at the top of the Masthead area. From the Home page, you can navigate to the Search and List page by selecting the **Case List** button on the priority list of FATCA Cases.

The FATCA Search and Case List search bar supports three types of search-Search using Search Components, Search using Advanced Search Components, and Search by Views. You can also search for a case by a Case ID. The FATCA Case List displays a list of cases that meet the criteria specified on the FATCA Cases search bar. Clicking the **Case ID** link for any case in the list page displays the FATCA Case Details page. The search results are displayed using a default sort criteria in the order of Priority in descending order, Due Date (if defined) in descending order, and Create Date of the case in descending order.

This section explains the following topics:

- Searching FATCA Cases Using Basic Search

- Searching FATCA Cases Using Advanced Search

- Searching FATCA Cases Using Pre-defined Views

Searching FATCA Cases Using Basic Search

This search is based on varied set of search components that helps you to filter the required list of FATCA cases. If you know the details such as Created Date, Due Date, Case Status, Case Subtype, and so on, then you can filter the FATCA Cases using the basic Search components.

To search for FATCA Cases using basic Search, follow these steps:

1. Navigate to the FATCA Search and Case List page.

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

Figure 68. Searching FATCA Cases with Basic Search

2. Enter the search criteria to filter the list of FATCA case records.

The following table provides the description for each search component that are displayed in the search bar:

Table 44. Search Component Descriptions

Criteria	Description
Created Date >=	Select a date using the calendar icon to filter the list of FATCA cases whose created date are greater than or equal to the specified date. **Note:** By default, this field displays one day less than the date in Created Date <=
Created Date <=	Select a date using the calendar icon to filter the list of FATCA cases whose created date is less than or equal to the specified date. **Note:** By default, this field displays the system date. *Validation Messages:* ● If you select a 'Created Date <='less than the 'Created Date <=', then on click of Go the following message is displayed: *Please enter a 'Created Date <=' which is equal to or greater than 'Created Date >='.* ● If you select a 'Created Date <='greater than the 'Sysdate', then on click of Go the following message is displayed: *Please enter a 'Created Date <=' which is earlier than or equal to sysdate.* ● If you selected a Created Date <= but have not specified the Created Date >=, then on click of Go the following message is displayed: Created Date >=' is mandatory if 'Created Date <=' is mentioned. *Please enter a date in 'Created Date >='.*
Due Date <=	Select a date using the calendar icon to filter the list of FATCA cases whose due date is less than or equal to the specified date.

Table 44. Search Component Descriptions

Criteria	Description
Case Status	Select a status from the multi-select list to filter the list of FATCA cases by current case status. The drop-down list displays the following options: ● Select All ● Awaiting Response ● Closed ● Closed - Account(s) Closed ● Closed - Duplicate Case ● Closed - Employee Terminated ● Closed - Funds Recovered ● Closed - Loss Charged Off ● Closed - New Case Opened ● Closed - No SAR Filed ● Closed - Referred to External Agency ● Closed - SAR Filed ● Closed - Withheld Action ● Closed - MY STR Filed ● Closed - NG STR Filed ● Closed - SG STR Filed ● Closed By System ● Closed-Merged ● Escalated ● File SAR ● Investigation ● Monitor ● New ● Recommend Closure ● Recommend Monitor ● Reopened
Priority	Select a priority from the multi-select drop-down list to filter the list of FATCA cases whose priority matches the selected criteria. The drop-down list displays the following options: ● Select All ● High ● Medium ● Low
Owner	Select a owner from the multi-select drop-down list to filter the list of FATCA cases by user or group of users who own a case.

Table 44. Search Component Descriptions

Criteria	Description
Case Type	Select a type from the multi-select drop-down list to filter the list of FATCA cases by case type.
Case Subtype	Select a subtype from the multi-select drop-down list to filter the list of FATCA cases by case subtype.
Assigned To	Select a user or user group from the multi-select drop-down list to filter the list of FATCA to whom a case is assigned. **Note:** The drop-down contains the list of users and user groups available within an organization.
Subclass 1	Select a subclass 1 from the multi-select drop-down list to filter the list of FATCA cases whose type code of the case subclass 1 associated with a case matches the selected criteria. **Note:** Subclass 1 options are configured according to a firm's requirement.
Subclass 2	Select a subclass 2 from the multi-select drop-down list to filter the list of FATCA cases whose type code associated with a case matches the selected criteria. **Note:** Subclass 2 options are configured according to a firm's requirement.
FATCA Status	Select a status from the multi-select list to filter the list of FATCA cases by the current status. The drop-down list displays the following default options: ● Foreign Financial Institutions ● Individual ● Non Foreign Financial Entities ● Indeterminate ● Recalcitrant ● US Person ● Non-Participating FFI ● Passive NFFE ● Owner Document FFI ● Participating FFI ● Excepted NFFE ● Active NFFE ● Exempt Beneficial Owner ● Certified Deemed Compliant FFI ● Registered Deemed Compliant FFI ● Exempt ● Non US Person **Note:** The options in the drop-down list are displayed according to the FATCA statuses available in the FATCA Status table. An Administrator user can modify or update the drop-down list options.

Table 44. Search Component Descriptions

Criteria	Description
Entity Type	Select the entity type from the multi-select list to filter the list of FATCA cases that matches the selected criteria. The drop-down list displays the following options: ● Select All ● Account ● Customer
Entity	The Entity field enables you to choose between the two mutually exclusive options in the search bar. You can choose to retrieve search results related either to an Entity ID or Entity Name. To perform an Entity ID search, you must select the ID radio option and enter the entity identifier in the text box. You can also search for multiple Entity IDs by entering a string of comma-separated values. To perform an Entity Name search, you must select the Name radio option and enter the entity names in the text box. Entity Name search also supports wildcard searching. You can use % and _ as the wildcard indicators.
Jurisdiction	Select the jurisdiction from the multi-select list to filter the list of FATCA cases that matches the selected criteria.
Geographic Jurisdiction	Select the geographical jurisdiction from the multi-select list to filter the list of FATCA cases that matches the selected criteria.
Search By Case ID	Enter a FATCA Case ID in the text box to filter the FATCA cases matching the entered ID. You can also search for multiple FATCA cases by entering comma separated FATCA Case IDs. **Note:** While searching through Search by Case ID, all other search criteria are ignored.

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

    Note: Using the context menu option on a column name in the FATCA Case List, you can click the **Field Chooser** option to choose additional fields to be displayed in the list section.

Searching FATCA Cases Using Advanced Search

Advanced Search offers the same search fields as provided for a simple Search along with additional fields. If you know additional details such as Case Source, Last Action, Resolution, Document Control Number, and so on, then you can filter the FATCA Case records using the Advanced Search components.

To search for FATCA Case records using Advanced Search, follow these steps:

1. Navigate to the FATCA Cases Search and List page.

2. Click **Advanced Search**. The Advanced Search components are displayed.

Figure 69. Searching FATCA Cases Using Advanced Search

3. Enter the search criteria to filter the list of FATCA case records.

The following table provides the description for each search component that are displayed in the search bar:

Table 45. Advanced Search Component Descriptions

Criteria	Description
Created Date >=	Select a date using the calendar icon to filter the list of FATCA cases whose created date are greater than or equal to the specified date. **Note:** By default, this field displays one day less than the date in Created Date <=
Created Date <=	Select a date using the calendar icon to filter the list of FATCA cases whose created date is less than or equal to the specified date. **Note:** By default, this field displays the system date. *Validation Messages:* - If you select a 'Created Date <='less than the 'Created Date <=', then on click of Go the following message is displayed: *Please enter a 'Created Date <=' which is equal to or greater than 'Created Date >='.* - If you select a 'Created Date <='greater than the 'Sysdate', then on click of Go the following message is displayed: *Please enter a 'Created Date <=' which is earlier than or equal to sysdate.* - If you selected a Created Date <= but have not specified the Created Date >=, then on click of Go the following message is displayed: Created Date >=' is mandatory if 'Created Date <=' is mentioned. *Please enter a date in 'Created Date >='.*
Due Date <=	Select a date using the calendar icon to filter the list of FATCA cases whose due date is less than or equal to the specified date.

Table 45. Advanced Search Component Descriptions

Criteria	Description
Case Status	Select a status from the multi-select list to filter the list of FATCA cases by current case status. The drop-down list displays the following options: ● Select All ● Awaiting Response ● Closed ● Closed - Account(s) Closed ● Closed - Duplicate Case ● Closed - Employee Terminated ● Closed - Funds Recovered ● Closed - Loss Charged Off ● Closed - New Case Opened ● Closed - No SAR Filed ● Closed - Referred to External Agency ● Closed - SAR Filed ● Closed - Withheld Action ● Closed - MY STR Filed ● Closed - NG STR Filed ● Closed - SG STR Filed ● Closed By System ● Closed-Merged ● Escalated ● File SAR ● Investigation ● Monitor ● New ● Recommend Closure ● Recommend Monitor ● Reopened
Priority	Select a priority from the multi-select drop-down list to filter the list of FATCA cases whose priority matches the selected criteria. The drop-down list displays the following options: ● Select All ● High ● Medium ● Low
Owner	Select a owner from the multi-select drop-down list to filter the list of FATCA cases by user or group of users who own a case.

Table 45. Advanced Search Component Descriptions

Criteria	Description
Case Type	Select a type from the multi-select drop-down list to filter the list of FATCA cases by case type.
Case Subtype	Select a subtype from the multi-select drop-down list to filter the list of FATCA cases by case subtype.
Assigned To	Select a user or user group from the multi-select drop-down list to filter the list of FATCA to whom a case is assigned. **Note:** The drop-down contains the list of users and user groups available within an organization.
Subclass 1	Select a subclass 1 from the multi-select drop-down list to filter the list of FATCA cases whose type code of the case subclass 1 associated with a case matches the selected criteria. **Note:** Subclass 1 options are configured according to a firm's requirement.
Subclass 2	Select a subclass 2 from the multi-select drop-down list to filter the list of FATCA cases whose type code associated with a case matches the selected criteria. **Note:** Subclass 2 options are configured according to a firm's requirement.
FATCA Status	Select a status from the multi-select list to filter the list of FATCA cases by the current status. The drop-down list displays the following default options: ● Foreign Financial Institutions ● Individual ● Non Foreign Financial Entities ● Indeterminate ● Recalcitrant ● US Person ● Non-Participating FFI ● Passive NFFE ● Owner Document FFI ● Participating FFI ● Excepted NFFE ● Active NFFE ● Exempt Beneficial Owner ● Certified Deemed Compliant FFI ● Registered Deemed Compliant FFI ● Exempt ● Non US Person **Note:** The options in the drop-down list are displayed according to the FATCA statuses available in the FATCA Status table.

Table 45. Advanced Search Component Descriptions

Criteria	Description
Entity Type	Select the entity type from the multi-select list to filter the list of FATCA cases that matches the selected criteria. The drop-down list displays the following options: ● Select All ● Account ● Customer
Entity	The Entity field enables you to choose between the two mutually exclusive options in the search bar. You can choose to retrieve search results related either to an Entity ID or Entity Name. To perform an **Entity ID** search, you must select the **ID** radio option and enter the entity identifier in the text box. You can also search for multiple Entity IDs by entering a string of comma-separated values. To perform an **Entity Name** search, you must select the **Name** radio option and enter the entity names in the text box. Entity Name search also supports wildcard searching. You can use % and _ as the wildcard indicators.
Jurisdiction	Select the jurisdiction from the multi-select list to filter the list of FATCA cases that matches the selected criteria.
Geographic Jurisdiction	Select the geographical jurisdiction from the multi-select list to filter the list of FATCA cases that matches the selected criteria.
Business Domain	Select the business domain(s) from the multi-select drop-down list to filter the list of FATCA cases that matches the selected criteria. The drop-down list displays the following options: ● Select All ● C/WS ● Default ● EMP ● GEN ● INST ● RB/PC ● RET
Modified By	Select a user roles from the multi-select drop-down list to filter the list of FATCA cases modified by the selected user(s).
Modified Date >=	Select a date using the calendar icon to filter the list of FATCA cases whose last modified date are greater than or equal to the selected date.

Table 45. Advanced Search Component Descriptions

Criteria	Description
Modified Date <=	Select a date using the calendar icon to filter the list of FATCA cases whose last modified date are less than or equal to the selected date. *Validation Messages:* ● If you select a 'Modified Date <='less than the 'Modified Date <=', then on click of Go the following message is displayed: *Please enter a 'Modified Date <=' which is equal to or greater than 'Modified Date >='.* ● If you select a 'Modified Date <='greater than the 'Sysdate', then on click of Go the following message is displayed: *Please enter a 'Modified Date <=' which is earlier than or equal to sysdate.* ● If you selected a Modified Date <= but have not specified the Modified Date <=, then on click of Go the following message is displayed: Modified Date >=' is mandatory if 'Last
Case Source	Select the case source from the multi-select drop-down to filter the list of FATCA cases that matches the selected criteria. The drop-down list displays the following options: ● Select All ● Accelerated Re-review Alerts ● Correlation Promotion ● Deployment Initiation ● Default Review ● Manual ● Promoted from Alert ● Periodic Review
Title	Enter the title of the case to filter the list of FATCA cases that matches the entered criteria.
Organization	Select the organization(s) from the multi-select drop-down to filter the list of FATCA cases that matches the selected criteria.

Table 45. Advanced Search Component Descriptions

Criteria	Description
Resolution	Select the resolution action from the multi-select drop-down to filter the list of FATCA cases that matches the selected criteria. The drop-down list displays the following options: ● Select All ● Account(s) Closed ● Action Withheld - Close ● Approve Resolution Recommendation ● BS STR Filed ● Close ● Duplicate Case Close ● EG STR Filed ● Employee Terminated ● FATCA Status Finalized - Close ● Generate Amended KE STR ● Generate BS STR ● Generate Corrected PAK STR ● Generate Corrected SAR ● Generate EG STR ● Generate KE STR ● Generate MY STR ● Generate NG STR ● Generate NZ STR ● Generate PAK STR ● Generate SG STR ● Generate Supplemental KE STR ● Generate Supplemental PAK STR ● Generate Supplemental SAR ● Generate US SAR ● MY STR Filed ● NG STR Filed ● NZ STR Filed ● New Case Opened - Close ● No BS STR Filed - Close ● No EG STR Filed - Close ● No KE STR Filed - Close ● No MY STR Filed - Close ● No NZ STR Filed - Close ● No PAK STR Filed - Close ● No SAR Filed - Close ● No SG STR Filed - Close ● PAK STR Filed

Table 45. Advanced Search Component Descriptions

Criteria	Description
	● Recovered Lost Funds ● Recovery Attempts Unsuccessful ● Referred to External Agency ● Reject Resolution Recommendation ● SAR Filed ● SG STR Filed
Last Action	Select the last action from the multi-select drop-down to filter the list of FATCA cases that matches the selected criteria. The drop-down list displays the following options: ● Select All ● Account Manager Review Requested - Awaiting Response ● Assigned ● Clear Due Date ● Close ● Conducted Web Search ● Customer Information Requested - Awaiting Response ● Duplicate Case - Close ● Email Case Details ● Email Case Details with Response Request ● Email with Response Request ● Escalate Review Completed - Return to Investigation ● FATCA Status Finalized - Close ● New Case Opened - Close ● Reassigned Owner ● Reopen ● Reviewed Customer Information ● Reviewed with Account Manager ● Sent Email ● Set Due Date ● viewed by Owner

Table 45. Advanced Search Component Descriptions

Criteria	Description
Action	Select a action from the multi-select drop-down to filter the list of FATCA cases that matches the selected criteria. The drop-down list displays the following options: ● Select All ● Account Manager Review Requested - Awaiting Response ● Assigned ● Clear Due Date ● Close ● Conducted Web Search ● Customer Information Requested - Awaiting Response ● Duplicate Case - Close ● Email Case Details ● Email Case Details With Response Request ● Email with Response Request ● Escalate for Review ● Escalation Review Completed - Return to Investigation ● FATCA Status Finalized - Close ● New Case Opened - Close ● Reassigned Owner ● Reopen ● Reviewed Customer Information ● Reviewed with Account Manager ● Sent Mail ● Set Due Date ● Viewed by Owner
Linked Cases	Select an operator value from the drop-down list and enter the count of cases in the text box to filter the list of FATCA cases having the linked cases matching the entered criteria.
Document Control Number	Enter the unique document control number in the text box to filter the list of FATCA cases matching the entered criteria.
Search By Case ID	Enter a FATCA Case ID in the text box to filter the FATCA cases matching the entered ID. You can also search for multiple FATCA cases by entering comma separated FATCA Case IDs. **Note:** While searching through Search by Case ID, all other search criteria are ignored.

4. Click **Go**. The relevant search list is displayed. If are no records matches the entered search criteria, then the following message is displayed: *No records found with the given search criteria.*

   Note: Using the right-click option on columns within the List header allows you to specify the sorting options such as Sort Ascending, Sort Descending, Clear Sort, Group By Tree, Group By Tab, Field Chooser and Transpose.

Searching FATCA Cases Using Pre-defined Views

The Views search represents pre-populated search queries and helps you to filter the list of FATCA Cases based on pre-defined views.

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

1. Navigate to the FATCA Cases Search and List page.

2. Click **Views**. The Views drop-down list is displayed.
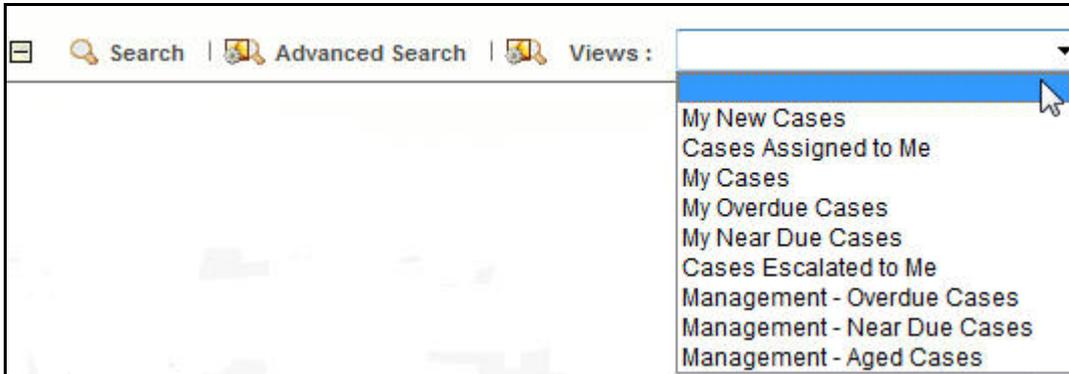
Figure 70. Searching FATCA Cases with Pre-defined Views

3. Select aa pre-defined views from the **Views** drop-down list. The relevant search list page is displayed.

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

Table 46. FATCA Case Views and Filter

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

Table 46. FATCA Case Views and Filter (Continued)

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

FATCA Case List Components

The FATCA Case List section displays summarized information of cases that you can further investigate or take actions on. When you search using Views, the sort order is based on the view selected. Refer Table 46 for more information on sort criteria for each views.

When you search from Simple or Advanced search, the default sort order is based upon **Priority** in Descending (High, Medium, Low) followed by **Due Date** in Ascending and then by **Created Date** in Descending.

Figure 71. FATCA Case List

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

The components within the Case List section are as follows:

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

● **List of FATCA Cases**: Displays a list of FATCA cases based on your search criteria on the FATCA Case Search bar. Click the hyper linked **Case ID** for any case in the list to access the FATCA Case Details page. If the selected case is locked, that is, another user has currently accessed the same case, a message displays: *The selected case is locked by another user. Click OK to view the case details page in view mode only or Cancel to return to list page.*

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

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

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

● **Check Boxes**: Appears at the beginning of each row. Select one or more of these boxes to take action on one or more cases. Select the check box again to clear it.

● **Column Headings**: Labels that displays the kind of information in the columns. All column headings in the Case List section are sortable, that is, you can sort each column in the case list by right-clicking the column header and choosing ascending or descending options.

● **Action Button**: Enables you to select and take action on one or more cases. When an action button is clicked, the application navigates you to the Actions pop up. You can perform action on a single case or on several cases (batch action). Refer to section *Assigning a FATCA Case* for more information on taking actions on FATCA cases.

Before you take action on the selected FATCA cases, Enterprise Case Management checks each case to determine if it is locked. If another user locks all the selected cases, a message displays: *All selected case records are locked by another user. Please try again later.*

If some but not all of the selected cases are locked, a message displays: *One or more cases are locked by another user. Click OK to continue performing actions for cases, which are not locked.*

If you fail to select at least one check box and click on any action button, a message displays: *You have not selected any case(s). Please select one or more cases.*

Table 47 provides a list of the columns that display in the FATCA Case List section.

Table 47. FATCA Case List Components

Field	Description
Case ID	Displays the FATCA Case Identifier. Also serves as a hyper link to the FATCA Case Details page of the selected FATCA case.
FATCA Status	Displays the current status of the FATCA case. The following are the various statuses that a FATCA case can have: ● Indeterminate ● Recalcitrant ● US person ● Non-participating FFI ● Passive NFFE ● Owner Documented FFI ● Participating FFI ● Excepted NFFE ● Active NFFE ● Exempt Beneficial Owner ● Certified Deemed Compliant FFI ● Registered Deemed Compliant FFI ● Exempt ● Non US person **Note:** An Administrator user can update the above statuses.
Entity Type	Displays the type of entity on which the FATCA case is created. An Entity type can either be an Account or a Customer.
Entity ID	Displays the entity identifier of the entity type. If the Entity type is Customer, the Customer ID is displayed. If the Entity Type is Account, the Account ID is displayed.
Entity Name	Displays the entity name of the entity type. If the Entity Type is Customer, this field displays the Customer Name. If the Entity Type is Account, this field displays the Account Name.
Case Source	Displays the case source for the FATCA case. A case source can be any of the following types: ● Accelerated Re-review Alerts ● Correlation Promotion ● Deployment Initiation ● Default Review ● Manual ● Promoted from Alert ● Periodic Review

Table 47. FATCA Case List Components

Field	Description
Priority	Displays the priority of the FATCA case. The following are the various priorities that a case can have: ● High ● Medium ● Low
Case Type	Displays the case type of the case as FATCA.
Case Status	Displays the status of the FATCA case. The following are the various statuses that a case can have: ● Awaiting Response ● Closed ● Closed - Account(s) Closed ● Closed - Duplicate Case ● Closed - Employee Terminated ● Closed - Funds Recovered ● Closed - Loss Charged Off ● Closed - New Case Opened ● Closed - No SAR Filed ● Closed - Referred to External Agency ● Closed - SAR Filed ● Closed - Withheld Action ● Closed - MY STR Filed ● Closed - NG STR Filed ● Closed - SG STR Filed ● Closed By System ● Closed-Merged ● Escalated ● File SAR ● Investigation ● Monitor ● New ● Recommend Closure ● Recommend Monitor ● Reopened
Due Date	Displays the due date of the FATCA case.
Jurisdiction	Displays the business jurisdiction associated with the FATCA case.
Owner	Displays the name of the user or user group who owns the FATCA case.
Assigned To	Displays the name of the user or user group to whom the FATCA case is assigned.

Table 47. FATCA Case List Components

Field	Description
Geographic Jurisdiction	Displays the name of the geographic jurisdiction associated with the FATCA case. **Note:** By default, this field is not displayed in the FATCA Case List section. You can choose to include this field through Field Chooser option.
Case Subtype	Displays the case subtype of the FATCA case. For example, Due Diligence **Note:** By default, this field is not displayed in the FATCA Case List section. You can choose to include this field through Field Chooser option.
Title	Displays the title of the FATCA case. **Note:** By default, this field is not displayed in the FATCA Case List section. You can choose to include this field through Field Chooser option.
Linked Cases	Displays the count of linked cases associated with the FATCA case. **Note:** By default, this field is not displayed in the FATCA Case List section. You can choose to include this field through Field Chooser option.
Created Date	Displays the created date of the FATCA case. **Note:** By default, this field is not displayed in the FATCA Case List section. You can choose to include this field through Field Chooser option.
Modified Date	Displays the last modified date of the FATCA case. **Note:** By default, this field is not displayed in the FATCA Case List section. You can choose to include this field through Field Chooser option.
Modified By	Displays the name of user who last modified the FATCA case. **Note:** By default, this field is not displayed in the FATCA Case List section. You can choose to include this field through Field Chooser option.
Created By	Displays the name of the user who created the FATCA case. **Note:** By default, this field is not displayed in the FATCA Case List section. You can choose to include this field through Field Chooser option.

Managing FATCA Case Details

The FATCA Case Details page contains information that assists you in the analysis and resolution of the FATCA case. When you select a FATCA case from the FATCA Case List, the system navigates you to the FATCA Case Details page. The primary way to navigate to the FATCA Case Details page is by clicking the **Case ID** hyper link in the FATCA Case List section.

When you navigate to the FATCA Case Details page for a case, the case is locked by you and other users are allowed *view only* access to the case. If other users attempt to access the same case, they will receive a message informing them that the case is locked by another user and granted only view rights (they can take no action on the case).
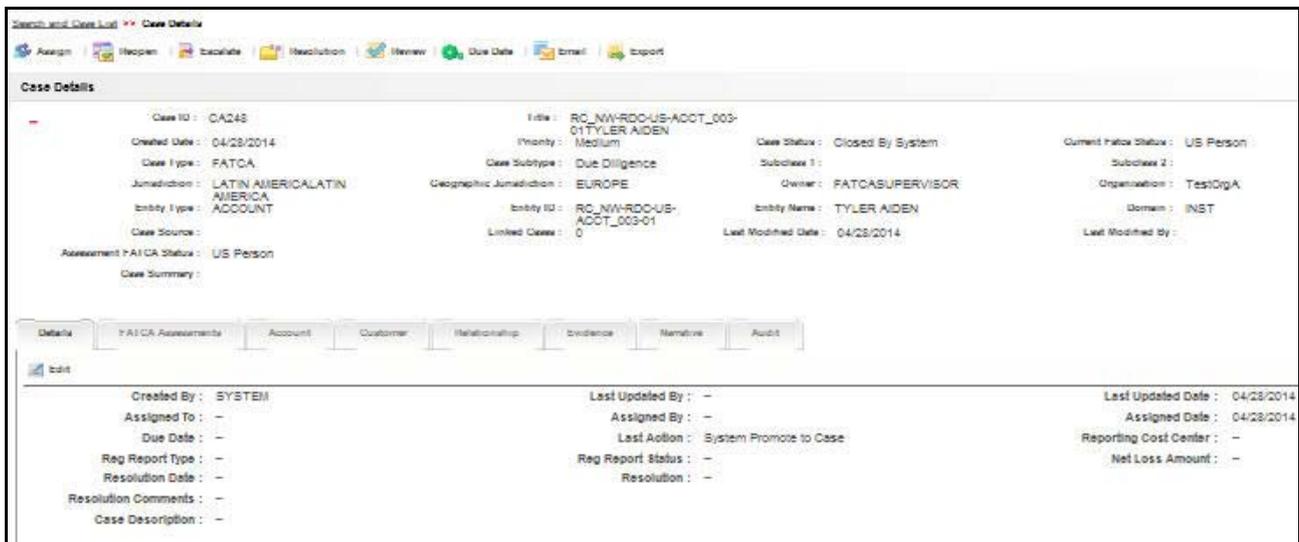
Figure 72. FATCA Case Details Page

Within the FATCA Case Details page, you can access additional information related to the case by selecting other tabs. Refer to section *FATCA Case Business Data Tabs* for more information about tab pages.

The following section explains how you can navigate among different tabs of FATCA case detail page. Tabs display information based on the case type and subtype of the case.
The FATCA Case Details page comprises of the following:

- Components of the FATCA Case Details Page

- FATCA Case Data Tabs

- FATCA Case Business Data Tabs

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

Components of the FATCA Case Details Page

The FATCA Case Details page includes the following areas of information:

- **Page Context Controls (Bread crumbs)**: Displays your location in the workflow and how you got to this particular page.

- **FATCA Case Context Information**: Provides a brief description of the case and the context for determining what actions need to be taken to dispose of the case. The case context displays on the top of every tab. Once you have entered the workflow for a single case (by selection of the case from the Case List), the case context shall remain visible to you as you navigate the various tabs relevant to the particular case. You can also click the **(-)** or **(+)** to contract and expand the Case Context. By default, the case context displays in the contracted mode displays Case ID and Title information with an expand sign visible on it.

  Table 48 provides a list of the fields that display in the FATCA Case Context information area:

Table 48. FATCA Case Context Components

Field	Description
Case ID	Displays the FATCA Case Identifier.
Title	Displays the title of the FATCA case.
Created Date	Displays the date on which the FATCA case was created.
Priority	Displays the priority of the FATCA case. The following are the various priorities that a case can have: ● High ● Medium ● Low

Table 48. FATCA Case Context Components

Field	Description
Case Status	Displays the current status of the FATCA case. The following are the various statuses that a case can have: • Awaiting Response • Closed • Closed - Account(s) Closed • Closed - Duplicate Case • Closed - Employee Terminated • Closed - Funds Recovered • Closed - Loss Charged Off • Closed - New Case Opened • Closed - No SAR Filed • Closed - Referred to External Agency • Closed - SAR Filed • Closed - Withheld Action • Closed - MY STR Filed • Closed - NG STR Filed • Closed - SG STR Filed • Closed By System • Closed-Merged • Escalated • File SAR • Investigation • Monitor • New • Recommend Closure • Recommend Monitor • Reopened
Current FATCA Status	Displays the last updated FATCA Status of the FATCA case.
Case Type	Displays the case type of the case as FATCA.
Case Subtype	Displays the case subtype of the FATCA case. For example, Due Diligence.
Subclass 1	Displays the subclass 1 for the FATCA case.
Subclass 2	Displays the subclass 2 for the FATCA case.
Jurisdiction	Displays the business jurisdiction associated with the FATCA case.
Geographic Jurisdiction	Displays the name of the geographic jurisdiction associated with the FATCA case.
Owner	Displays the name of the user or user group who owns the FATCA case.
Organization	Displays the name of the organization associated with the FATCA case.
Entity Type	Displays the type of entity associated with the FATCA case. An Entity Type can either be Account or a Customer.

Table 48. FATCA Case Context Components

Field	Description
Entity ID	Displays the identifier of the entity. An Entity ID can either be Account ID or a Customer ID.
Entity Name	Displays the entity name of the related entity type. An Entity Name can either be Account Name or a Customer Name.
Business Domain	Displays the business domain associated with the FATCA case.
Case Source	Displays the case source for the FATCA case. A case source can be any of the following types: ● Accelerated Re-review Alerts ● Correlation Promotion ● Deployment Initiation ● Default Review ● Manual ● Promoted from Alert ● Periodic Review
Linked Cases	Displays the count of linked cases associated with the FATCA case.
Modified Date	Displays the last modified date of the FATCA case.
Modified By	Displays the name of user who last modified the FATCA case.
Assessment FATCA Status	Displays the FATCA Status of the assessment from which the FATCA case was promoted.
Case Summary	Displays the summary of the investigations and actions performed on the FATCA case as provided by the FATCA Analyst and FATCA Supervisor users.
Case Description	Displays the case description of the FATCA case giving a high level insight on the subject matter of the case.

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

● **Editing FATCA Case Details**: The FATCA Case Context details has an **Edit** icon to edit case details, provided you have the access privilege to edit the case details. The edit option provided in the FATCA Case Details section enables you to edit the contents of FATCA case context and case details.

FATCA Case Data Tabs

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

- Case Details Tab

- FATCA Assessment Tab

- Relationship Tab

- Narrative Tab

- Evidence Tab

- Audit Tab

The Case Data tabs and Business tabs display horizontally under the case context and you can view them by clicking the **Case ID** hyper link on the Case List. The case context is always visible above the horizontal tabs. The data in each tab displays based on the access privilege provided to the user. Refer to Table 4 for access control permissions for each tab.

Case Details Tab

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

The primary way to navigate to the Case Details tab is by clicking the **Case ID** hyper link in the Case List matrix.
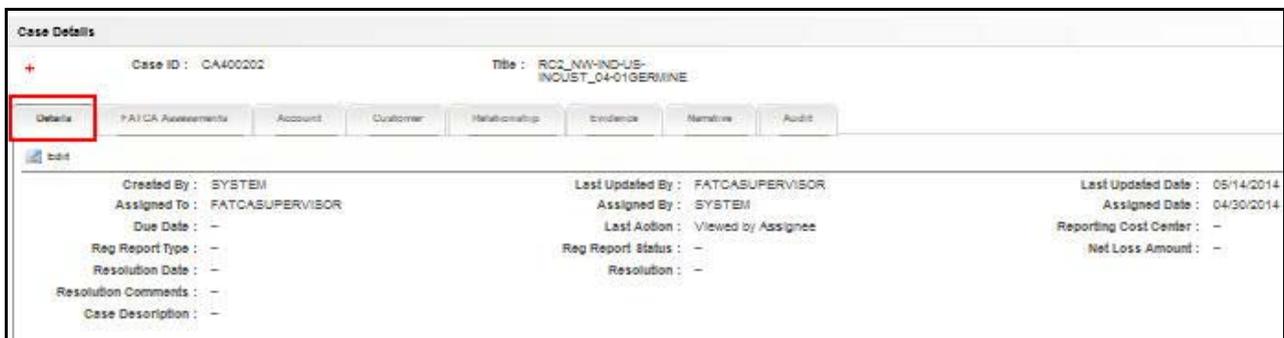
Figure 73. Case Details Tab

You can access the Case Details page from the Case List page by clicking the **ID** of the case you want to analyze. Within the Case Details tab, you can access additional information related to the case by selecting one of the other tabs which display to the right of the Details tab. Refer to section *FATCA Case Business Data Tabs* for more information about tab pages.

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

Table 49. Case Details Information

Field	Description
Created By	The user who created the case.
Last Updated By	The user who Last updated the case details.
Last Updated Date	The last updated date for case details.

Table 49. Case Details Information (Continued)

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

Note: When you navigate to the Details page for a case, the case becomes locked by you and other users are allowed *view only* access to the case. If other users attempt to access the same case, they will receive a message informing them that the case is locked by another user and granted only view rights (they can take no action on the case).

The edit option provided in the Case Details section enables you to edit the contents of case context and case details.

To edit a FATCA case in the Case Details section, follow these steps:

1. Click the **Edit** button in the Case Details tab.

   A pop-up opens with **Save**, **Reset**, and **Cancel** buttons. The pop-up displays all fields of Case Context and Case Details sections (Table 48 and Table 49). Among them the following fields are editable:

   a. Title

   b. Priority

   c. Confidential Flag

   d. Type

   e. Subtype

   f. Subclass 1

   g. Subclass 2

   h. Document Control Number

   i. FATCA Status

   j. Status (Only when you edit Type or Subtype)

    k. Case Summary

    l. Case Description

2. Modify the desired fields. Make sure before saving that all required fields are populated.

3. Click **Reset** if you want to reset the changes back to the previous values.

4. Click **Save** to save the changes.

    The pop-up is closed and the Case Context and Case Details section is refreshed to display the updated contents.

    At any point of time if you want to cancel the edit operation before saving, click **Cancel**. The system aborts the action navigates you to the Case Context and Case Details section.

    Note: You can change the Status field only if you first change the case type.

FATCA Assessment Tab

The FATCA Assessment tab displays information as a result of rules that were run and also displays the actual values against the threshold values. You can navigate to the FATCA Assessment tab by clicking on the FATCA Case ID hyper link from FATCA Case Search and List page.

This tab will fetch the assessment information from the FATCA Assessment Details page of an assessment on which the FATCA case was promoted. This tab will display the assessment information based on the assessment performed an entity type. An entity type can either be an Account or a Customer.

If the assessment is performed on a Customer, then this tab will display the assessment details of the customer. For detailed information, refer to *Viewing Details of FATCA Assessment on a Customer*

Figure 74. Assessment Tab - FATCA Assessment on an Customer

If the assessment is performed on an Account, then this tab will display the assessments details of the account. For detailed information, refer to section *Viewing Details of FATCA Assessment on an Account*.

Figure 75. Assessment Tab - FATCA Assessment on a Account

Relationship Tab

The Relationship tab provides information regarding other cases that are related to the current case being investigated. The page enables you to view the list of cases related to the current case through relationships to entities involved in other cases or by virtue of another case being linked to the current case. If your role permits, you can link, unlink, or add more links in the related cases section.

Figure 76. Relationship Tab

If your firm implements Behavior Detection Framework, the Relationship tab display alerts related to the current case. Alerts can be related to the current case either through a common business entity association or by virtue of

the alert being linked to the current case. If your role permits, you can link, unlink, or add more links in the related alerts section.

Components of Relationship Tab

The Relationships tab contains the following components:

- Related Cases
- Related Cases
- Related FATCA Assessments

Related Cases

Displays FATCA cases that are related to the current case through common business entities and cases, which have been manually linked to the current case by a user. If the number of cases exceeds the default for display, you can use the pagination option in the Related Cases matrix to view additional records. The following example explains the logic used to identify common business entities.

For Case A, all cases that have same business entity ID(s) as that of Case A are considered as related cases. For example, if two FATCA cases posses the same customer IDs or account IDs or other business entity IDs applicable in Enterprise Case Management then they are considered as related. Only those cases to which the user has access permission based on security attributes displays in the grid.

For more information, refer to chapter *Investigating Cases*.

Related Alerts

The following section on Related Alerts is *only* applicable if your firm has implemented Behavior Detection. Refer to *Alert Management User Guide*, for more information on alerts and alert management. The Related Alerts matrix displays all those alerts that are related through common business entities and alerts which are manually linked to the current case by the user. If the number of alerts exceeds the default for the display, you can use the pagination for the display option in the Related Alerts matrix to view additional records. The following example explains the logic used to identify common business entities.

For Case A, all alerts which are focused on the same business entity ID as that of Case A are considered as related alerts. In other words, if an alert and a case are focused on the same customer ID or account ID or any other business entity ID applicable in Enterprise Case Management module, then they are considered as related.

For more information, refer to chapter *Investigating Cases*.

Related FATCA Assessments

This section enables you to view the related FATCA assessments for the focal entity of the case.

Assessment ID	FATCA Status	Entity Type	Entity ID	Geographic Jurisdiction	Jurisdiction	Business Domain	Batch Type	Case ID	Created Date
2000278	Indeterminate	Account	ACFRFXT...	UNITED STATES	DN of AMEA	RB/PC	PreExisting ...	–	02/01/2014
2201048	Indeterminate	Account	ACFRFXT...	UNITED STATES	DN of AMEA	RB/PC	PreExisting ...	–	04/13/2014
2403471	Indeterminate	Account	ACFRFXT...	Default	DEFAULT	Default	PreExisting ...	–	05/15/2014
2001077	Indeterminate	Account	ACFRFXT...	UNITED STATES	DN of AMEA	RB/PC	PreExisting ...	–	04/30/2014
2102646	Indeterminate	Account	ACFRFXT...	UNITED STATES	DN of AMEA	RB/PC	PreExisting ...	–	04/04/2014
2401829	Indeterminate	Account	ACFRFXT...	Default	DEFAULT	Default	PreExisting ...	–	05/24/2014

For more information on column descriptions, refer to section *Viewing Relationships* in Managing FATCA Assessment Details.

Note: Related FATCA Assessments section is a *View Only* option and will not display any action buttons.

Narrative Tab

If your role permits, the Narrative tab allows you to capture any narrative surrounding the analysis of a FATCA case that has helped you decide how to dispose the case. The narrative exists as a single data element on a case, which allows you to add and to maintain that narrative.


Figure 77. Narrative Tab

Components of the Narrative Tab

The Narrative area includes the following components:

- **Narrative** entry box: Provides a large free text entry area in which you can optionally enter, save, and modify textual analyses of a particular case. By default, the entry box is blank if previous narrative has not been added or if no alert narratives were imported to the case during promotion of alerts to the case (applicable only if your firm has implemented Behavior Detection). This area accepts up to 34 lines of text before requiring vertical scrolling.

- **Last Updated** field: Displays the latest date and time when the Narrative entry box was modified.

- **By** field: Displays the identity of the user who entered or modified the text in the Narrative entry box.

- **Edit** button: Allows you to edit the text in the Narrative entry box. If the entry box is blank, click **Edit** to enter the text in the entry box.

- **Save** button: When clicked, any modifications in the entry box are saved.

- **Reset** button: When clicked, reverts any modification in text to the previously saved version.

For more information, refer to Chapter 4, *Investigating Cases*.

Evidence Tab

If your role permits, the Evidence tab allows you to add comments or attachments to the FATCA case under investigation.

Figure 78. Evidence Tab

The Evidence tab displays the comments and attachments previously added to the case. The Evidence tab displays the comments added through the Evidence tab, the Case List, and all the attachments associated with the FATCA case that have been added through Evidence tab and through specific case actions.

The Comments matrix includes the creation date and time of the comment action, the user who took the action, FATCA case status at the time of the comment, and the comments added fields.

The Attachment matrix allows you to view the attachments added to the FATCA case either through the Evidence tab or added as a part of any actions taken on the case during investigation. It includes the creation date and time of the case action associated with the attachment of the file to the case, the user who took the action, case status at the time of the action or resulting from the action, any comments associated with the action, attachment name, and the Attachment icon fields.

Note: While adding an attachment, make sure to enter the document type in the Attachment Comment section.

You can add comments (both free text and standard comments) to the case. Refer to section *Implicit Actions* for details on how to add a comment to the case.

You can also add and remove attachments during the investigation of a case.

Refer to the section *Audit Tab* for more information on the behavior of Attachment icon and the Comments column.

Audit Tab

The Audit tab allows you to view the actions previously performed on the current FATCA case under investigation. It includes the creation date and time of the case action, the action, owner, the user who took the action, case status, any comments associated with the action, attachment name, and the **Attachment** icon fields.

Figure 79. Audit Tab

The **Attachment** icon displays for actions with an attachment. In order to view attachments, you can click the icon. Clicking the **Attachment** icon opens the Attachment List pop-up with a list of attachments available for viewing. In the Comments column for all comments, which exceed the width of the column, you can click the **Expand** button to view the full text of the comment.

When both standard comments (comments selected from a pre-set list of comments) and free text comments are provided along with an action, the free text comments will appear appended with the selected standard comments.

For all Link and Unlink actions, the Audit tab displays the linked alert (contingent on implementation of Behavior Detection), and case IDs appended with the comments provided by the user as part of the Link or Unlink action.

FATCA Case Business Data Tabs

Business tabs help the investigator in categorizing large amounts of supporting data into smaller tabs of data, organized by data type (for example, account information, customer information, and so forth) to aid in the analysis of a case.

This section includes the following topics:

- Customer Tab
- Account Tab

Customer Tab

The customer tab displays the primary customer information and its interested parties. The customer tab displays the customer information based on Customer Type.

Note: You cannot add, modify or delete an entity of a FATCA case.

Figure 80. Customer Tab

Note: The **Customer Name** in the Customer tab displays the full name of the customer as recorded in the *Business Schema*.

For detailed information on Customer tab, refer to section *Customer Tab Supplemental Details*. FATCA cases also display Customer Documentation as one of the LHS menu.

Customer Documentation

The Customer Documentation section under Customer tab lists all the documents associated during the time of account opening. From RHS menu, select a submitted document from the list to view in a new window.

You will have *View Only* access and cannot add or delete any documents from the list.

Account Tab

The Account tab displays all the accounts of the primary customer and their interested parties.

Note: You cannot add, modify or delete an entity of a FATCA case.

Figure 81. Account Tab

For detailed information on Account tab, refer to section *Account Tab Supplemental Details*.

Acting on FATCA Cases

During analysis of a FATCA case, you may take various actions, such as, add comments and attachments to a case to document the analysis and disposition of the case. Some actions represent definitive progress in analysis and may therefore update the status of the case. For detailed information, refer to chapter *Investigating Cases*.

This section provides information about case actions and the available actions:

- Assigning a FATCA Case

- Resolutions for a FATCA Case

- Recommending a FATCA Case for Close Action

- Reopening a FATCA Case

- Reviewing a FATCA Case

- Escalating a FATCA Case

- Setting Due Date for a FATCA Case

- Printing Summary

- Implicit Actions

Assigning a FATCA Case

If you are a FATCA Supervisor user role, Enterprise Case Management enables you to assign a FATCA case or reassign ownership to different users or user groups. If a FATCA case's initial analysis reveals an issue that should be reviewed by another user, you can reassign the FATCA case to the most appropriate user or group of users. It is also possible to retain ownership of a FATCA case while assigning it to another user to handle part of the investigation.

FATCA Cases can be assigned by selecting the **Assign** action icon, which opens the Assignment action category pop-up. The pop-up displays all the selected Case IDs along with other additional fields.

Note: If you try to perform an action on a case whose current status does not support those actions, then the following warning message is displayed after the action pop up window opens: *There are no actions available for the selected cases under this action category.*

To undertake an Assign To or Reassign Ownership action on a FATCA case, follow these steps:

1. From the FATCA Case Details page, select the **Assign** action icon from the list of action categories.

   Alternatively, from the FATCA Search and Case List page, select one or more cases that need to be reassigned using the check boxes and click the **Assign** action category.

2. Select Assign To or Reassign Ownership action or both from the **Select an Action** drop-down list.

   The Assign To action does not change the ownership of the case, where as, the Reassign Ownership action changes the ownership of the case. The corresponding Assign To and Reassign Ownership To fields are enabled in the UI.

   Alternatively: While performing actions on FATCA cases, a FATCA Supervisor user can automate the assignment of ownership of the case by selecting the **Auto Assignment** check box. Selecting this check box will disable the *Reassign Ownership To* field and the system will automatically assign the owner defined in *Case Assigner Editor* under *Case Management Configuration* settings set by an Oracle Administrator user as the new owner of the FATCA case.

   Note: Deselect the Auto Assignment check box to enable the *Reassign Ownership To* field.

3. Select a user or appropriate organization in each drop-down list and provide the mandatory comments.

   Optional: You can set a due date for the case.

4. If you want to attach a file to the FATCA case, you can click the **Save and Attach** icon. The message displays: *The selected action(s) will be applied on the case(s)*. Click **OK** to attach documents.

   Click **OK**. The Save and Attach fields displays to attach the file.

5. If, at step 4, you click **Save** instead of **Save and Attach**, a confirmation message displays: *Would you like to save these actions?*

6. Click **OK** to save the actions.

   Enterprise Case Management records the action, updates the case information, and closes the action pop-up. Your application navigates to the FATCA Search and Case List or FATCA Details page with the refreshed information.

   At any point of time in the pop-up, if you do not want to undertake the Assignment action, click Cancel on the pop-up window.

   Note: While performing an Assign To action, if you do not enter value in the **Assign To** field and click **Save**, an error message displays: *You have not entered a value in the Assigned To field. Please enter a value in Assigned To field.*

While performing a Reassign Ownership action, if you do not select any value in the **Re-assign Ownership To** drop-down list and click **Save**, an error message displays: *You are attempting to re-assign. Please select a new owner in the Owner drop-down list.*

The list of users available in **Reassign Ownership To** and **Assign To** drop-down list are based on access privileges to the FATCA cases on which the action is being taken and the eligibility to own a FATCA case.

Resolutions for a FATCA Case

If you are a FATCA Supervisor user, Enterprise Case Management enables you to take an action to close a FATCA case.

A FATCA Supervisor user can close FATCA cases by selecting the **Resolution** action icon, which opens the Resolution action category pop-up. The pop-up displays all the selected Case IDs along with additional fields. Enterprise Case Management enables the closure of case both with and without supervisor-level approval.

Note: A FATCA Analyst user can only recommend for closure of a FATCA case.

Supervisor approval provides a dual control or approval process that requires a FATCA Supervisor user to approve actions of other users, prior to those actions taking full effect on the FATCA case (for example, closing the case). This process also enables users of specified roles to acknowledge approved or rejected changes proposed and to annotate an acknowledgement with comments.

When a Resolution action is performed and the FATCA case is moved to the Closed status, the existing due date of the FATCA case, if present, is cleared by the system.

Note: If you try to perform an action on a case whose current status does not support those actions, then the following warning message is displayed after the action pop up window opens: *There are no actions available for the selected cases under this action category.*

Recommending a FATCA Case for Close Action

If you are a FATCA Supervisor user and perform the resolution action on a non-closed case, the FATCA case moves to the Recommend Closure status, where you need to assign to a FATCA Supervisor user who can approve or reject the recommendation. If approved, the FATCA case is closed and if rejected, the FATCA case is pushed back to the old status without closing. If a FATCA Supervisor performs the resolution action on a non-closed case, the FATCA case is directly closed without requiring additional approval.

Note: If you try to perform an action on a case whose current status does not support those actions, then the following warning message is displayed after the action pop up window opens: *There are no actions available for the selected cases under this action category.*

If you are a FATCA Supervisor user, to recommend a FATCA case for closure, follow these steps:

1. From the FATCA Case Details tab, select the **Resolution** action icon from the list of action categories.

   Alternatively, from the FATCA Search and Case List page, select one or more FATCA cases that need to be closed using the check boxes, and click the **Resolution** action category.

   The Resolution action pop-up displays.

2. Select the Closing action you want to perform on the case.

   You can select only one action from the list.

3. Select users from the **Assign To** drop-down list from whom the approval is required.

4. Provide a mandatory comment for resolution action.

   Optional: Set a due date for the case. You cannot perform the Ownership Re-assignment while performing a resolution action.

5. Click the **Save and Attach** icon to attach a file. The message displays: *The selected action(s) will be applied on the cases). Click OK to attach documents.*

6. Click **OK**.

   The Save and Attach pop-up displays to proceed with attaching the file.

   If you click **Save** instead of **Save and Attach**, a confirmation message displays: *Would you like to save these actions?*

7. Click **OK**.

   Enterprise Case Management records the action, updates the case information, changes the statuses of all the selected FATCA cases to Recommend Closure, and closes the pop-up window. You return to the FATCA Search and Case List page or Details page with the refreshed information based on from where you took the action.

   At any point of time in the pop-up, if you do not want to undertake the Resolution action, click **Cancel** on the pop-up window.

A FATCA Supervisor user can close a FATCA case through following steps:

1. From the FATCA Case Details page, select the **Resolution** action icon from the list of action categories.

   Alternatively, from the FATCA Search and Case List page, select one or more FATCA cases that need to be closed using the check boxes, and click the **Resolution** action category.

   The Resolution action pop-up displays.

2. Select the closing action that you want to perform on the FATCA case. You can select only one action from the list.

3. Provide mandatory comments for resolution action. You cannot perform the Ownership Re-assignment while performing a resolution action.

4. Click the **Save and Attach** icon to attach a file.

    The message displays: *The selected action(s) will be applied on the case(s). Click OK to attach documents.*

5. Click **OK** to save the actions. The **Save and Attach** pop-up displays to proceed with attaching the file.

    If you click **Save** instead of **Save and Attach**, a confirmation message displays: *Would you like to save these actions?*

6. Click **OK**.

    Enterprise Case Management records the action, updates the case information, changes the statuses of all the selected FATCA cases to the appropriate close status based on the closing action taken, and closes the pop-up window. You returns to the FATCA Search and Case List page or FATCA Case Details page with the refreshed information based on from where you took the action.

    At any point of time in the pop-up, if you do not want to undertake the Resolution action, click **Cancel** on the pop-up window.

Approving a Case Recommended for a Close Action

A FATCA Supervisor can select all the FATCA cases recommended for a closure by filtering for FATCA cases that have been assigned to you and with status as Recommend Closure. After investigating on the correctness of the recommend action, you can approve or reject the FATCA case. If a FATCA Supervisor user takes the Approve Resolution Recommendation action and there was a due date associated with the FATCA case, the due date is cleared. If a FATCA Supervisor takes the Reject Resolution Recommendation action, the existing due date, if one exists, is not cleared.

Note: If you try to perform an action on a case whose current status does not support those actions, then the following warning message is displayed after the action pop up window opens: *There are no actions available for the selected cases under this action category.*

To approve or reject a recommend closure, follow these steps:

1. From the FATCA Case Details page, select the **Resolution** action icon from the list of action categories for a case with a status of Recommend Closure.

    Alternatively, from the FATCA Search and Case List page, select one or more FATCA cases that are with status as Recommend Closure using the check boxes, and click the **Resolution** action category.

    The resolution action pop-up displays.

2. Review the closing action recommended by other Investigator user role and select Approve Resolution Recommendation or Reject Resolution Recommendation actions from the **Select an Action** drop-down list.

    If the Approve Resolution Recommendation action is selected, then provide mandatory comments in the **Comments** field.

    If the Reject Resolution Recommendation action is selected, then optionally, you can set a due date, select a user or group of users in the **Assign To** drop-down list and provide mandatory comments in the **Comments** field.

3. If you want to attach a file to the case, you can click the **Save and Attach** icon. The message displays: *The selected action(s) will be applied on the case(s). Click OK to attach documents.*

Note: You can only attach documents in formats that you have predefined during the installation of application.

4. Click **OK**. The Save and Attach fields displays to attach the file.

5. If, at step 3 you click **Save** instead of **Save and Attach**, a confirmation message displays: *Would you like to save these actions?*

6. Click **OK** to save the actions.

   Enterprise Case Management records the action, updates the case information, changes the FATCA case status to appropriate closed status if approval action is performed or to the old status of the FATCA case if a reject action is performed and returns you to the FATCA Search and Case List or FATCA Case Details page based on from where you took the action.

   At any point of time in the pop-up, if you do not want to undertake the **Resolution** action, click **Cancel** on the pop-up window.

Reopening a FATCA Case

Enterprise Case Management enables a FATCA Supervisor user to reopen closed cases for further investigation.

You can reopen FATCA cases by selecting the **Reopen** action icon, which opens the Reopen action category pop-up. The pop-up displays all the selected Case IDs along with other additional fields. In addition, you can group one or more cases and reopen.

Note: If you try to perform an action on a case whose current status does not support those actions, then the following warning message is displayed after the action pop up window opens: *There are no actions available for the selected cases under this action category.*

To reopen a case, follow these steps:

1. From the FATCA Case Details page for a closed FATCA case, select the **Reopen** action icon from the list of action categories.

   Alternatively, from the FATCA Search and Case List, select one or more FATCA cases that need to be reopened using the check boxes, and click the **Reopen** action category.

   The Reopen action pop-up displays.

2. In the pop-up window, provide comments.

   Optional: You can set a due date for the case.

3. Click the **Save and Attach** icon to attach a file.

   The message displays: *The selected action(s) will be applied on the case(s). Click OK to attach documents.*

4. Click **OK**.

   The Save and Attach pop-up displays to proceed with attaching the file.

   If you click **Save** instead of **Save and Attach**, a confirmation message displays: *Would you like to save these actions?*

5. Click **OK**.

   Enterprise Case Management records the action, updates the case information, changes the FATCA case status to Reopened, and returns you to the FATCA Search and Case List page or FATCA Case Details page based on from where you took the action.

   At any point of time in the pop-up, if you do not want to undertake the Reopen action, click **Cancel** on the pop-up window.

Reviewing a FATCA Case

If you are a FATCA Supervisor user, Enterprise Case Management enables you to take review oriented actions. These actions involve reviewing the case with peers as part of case investigation. Actions within this category may or may not result in a change to the FATCA case status.

Note: If you try to perform an action on a case whose current status does not support those actions, then the following warning message is displayed after the action pop up window opens: *There are no actions available for the selected cases under this action category.*

To perform a review oriented action on a case, follow these steps:

1. From the FATCA Case Details page, select the **Review** action icon from the list of action categories.

   Alternatively, from the FATCA Search and Case List page, select one or more FATCA cases using the check boxes, and click the **Review** action category.

   The Review action pop-up displays.

2. In the pop-up, select one or more review oriented actions from the **Select an Action** drop-down list.

   Alternatively: While performing actions on FATCA cases, a FATCA Supervisor user can automate the assignment of ownership of the case by selecting the **Auto Assignment** check box. Selecting this check box will disable the *Reassign Ownership To* field and the system will automatically assign the owner defined in *Case Assigner Editor* under *Case Management Configuration* settings set by an Oracle Administrator user as the new owner of the FATCA case.

   Note: Deselect the Auto Assignment check box to enable the *Reassign Ownership To* field.

3. Provide comments.

   Optional: You can set a due date for the case.

4. If you want to attach a file to the case, you can click the **Save and Attach** icon. The message displays: *The selected action(s) will be applied on the case(s). Click OK to attach documents.*

   Click **OK**. The Save and Attach fields displays to attach the file.

5. If, at step 4, you click **Save** instead of **Save and Attach**, a confirmation message displays: *Would you like to save these actions?*

6. Click **OK** to save the actions.

   Enterprise Case Management records the action, updates the case information, and returns you to the FATCA Search and Case List page or FATCA Case Details page based on from where you took the action.

   At any point of time in the pop-up, if you do not want to undertake the Review action, click **Cancel** on the pop-up window.

Escalating a FATCA Case

If you are a FATCA Supervisor user, Enterprise Case Management enables you to take the escalate actions. You should take these actions when the case needs escalation with peers for additional review.

This action category does not involve approvals; however, you can use approval if there is a need for the case to escalate to other users for additional review or action. On completion of the review, the user from whom the escalation action was requested can move the case back to the investigation workflow or set to monitor or mark it as appropriate for a File SAR action.

Note: If you try to perform an action on a case whose current status does not support those actions, then the following warning message is displayed after the action pop up window opens: *There are no actions available for the selected cases under this action category.*

To perform an Escalate action on a FATCA case, follow these steps:

1. From the FATCA Case Details page, select the **Escalate** action icon from the list of action categories.

   Alternatively, from the FATCA Search and Case List page, select one or more FATCA cases that need to be escalated using the check boxes, and click the **Escalate** action category.

   The Escalate action pop-up displays.

   If you are a FATCA Supervisor user role your only option is to escalate the case for review. If you are a FATCA Supervisor user, then additional actions display allowing you to respond to escalation requests.

2. Select an action applicable to your role.

   Note: For actions such as *Escalate for review* and *Escalation review completed - Return to Investigation*, entering comments and assign to actions are mandatory.

3. Select a user or group of users in the **Assign To** field and set a due date for the case.

4. Provide comments in the **Comments** text box.

5. If you want to attach a file to the case, you can click the **Save and Attach** icon. The message displays: *The selected action(s) will be applied on the case(s). Click OK to attach documents.*

   Click **OK**. The Save and Attach fields displays to attach the file.

6. If, at step 5, you click **Save** instead of **Save and Attach**, a confirmation message displays: *Would you like to save these actions?*

7. Click **OK** to save the actions.

   Enterprise Case Management records the action, updates the FATCA case information, changes the status as appropriate based on the actions selected, assigns the FATCA case back to the Investigator user, clears the due date and returns you to the FATCA Search and Case List or FATCA Case Details page based on from where you took the action.

   At any point of time in the pop-up, if you do not want to undertake the Escalate action, click **Cancel** on the pop-up window.

Setting Due Date for a FATCA Case

If you are a FATCA Supervisor user, Enterprise Case Management enables you to set a due date or to clear existing due date on cases. These actions while being performed along with other action categories can also be performed individually through due date action category.

If your system is configured with default due dates for some actions, then that default date will be applied to the FATCA case when those actions are taken. When actions having different default due dates are multi-selected and acted upon the FATCA case, then the nearest date among all the available due dates is applied as the due date of the case. However, if you manually enter a due date in the **Due Date** field of the action pop ups, it will overwrite the default due date configured for the actions.

Note: If you try to perform an action on a case whose current status does not support those actions, then the following warning message is displayed after the action pop up window opens: *There are no actions available for the selected cases under this action category.*

To perform a Due Date action on a case, follow these steps:

1. From the FATCA Case Details page, select the **Due Date** action icon from the list of action categories.

   Alternatively, from the FATCA Search and Case List page, select one or more FATCA cases, and click the **Due Date** action category.

   The Due Date action pop-up displays.

2. In the pop-up, select **Set Due Date**, if a due date has to be set or **Clear Due Date**, if existing due date to be cleared, based on the need from the **Select an Action** drop-down list.

3. Provide mandatory comments.

   Optional: You can set a due date for the case. Select a user or group of users in **Assign To** or in **Reassign Ownership To** fields.

   Alternatively: While performing actions on FATCA cases, a FATCA Supervisor user can automate the assignment of ownership of the case by selecting the **Auto Assignment** check box. Selecting this check box will disable the *Reassign Ownership To* field and the system will automatically assign the owner defined in *Case Assigner Editor* under *Case Management Configuration* settings set by an Oracle Administrator user as the new owner of the FATCA case.

   Note: Deselect the Auto Assignment check box to enable the *Reassign Ownership To* field.

4. If you want to attach a file to the FATCA case, you can click the **Save and Attach** icon. The message displays: *The selected action(s) will be applied on the case(s). Click OK to attach documents.*

   Click **OK**. The Save and Attach fields displays to attach the file.

5. If, at step 4, you click **Save** instead of **Save and Attach**, a confirmation message displays: *Would you like to save these actions?*

6. Click **OK** to save the actions.

   Enterprise Case Management records the action, updates the FATCA case information, sets a new due date or clears the existing due dates, and returns you to the refreshed FATCA Search and Case List page or FATCA Case Details page based on from where you took the action.

   At any point of time in the pop-up, if you do not want to undertake the Due Date action, click **Cancel** on the pop-up window.

Printing Summary

If your role permits, you can print the summary of a FATCA Case Investigative Report. From FATCA Case Details page, click **Print Summary** to print the summary of the report in a PDF format.

Note: If the narrative for print details exceeds 4000 characters, the system prints narrative of first 4000 characters.

Implicit Actions

Apart from actions that a user performs, there are actions that the system implicitly performs. The following are the implicit action:

- **Viewed by Owner:** The system records this action as a system action on a case, which has its ownership assigned to an authorized user, and that user navigates to the FATCA Case Details page of the FATCA case for the first time. The action is recorded even though the user does not perform any action on the case.

  If your firm has configured your implementation for case inheritance and the FATCA case is in the New or Reopened status, you will become the owner of the FATCA case based on the following conditions:

  - The case is currently owned by an organization of which you are a member

  - You have eligibility to own the case

  - You navigate to the FATCA Case Details for the case

  The system assigns you ownership of the FATCA case along with recording the Viewed by Owner action.

  When a user belonging to a pool who owns a case, either takes action from the FATCA Search and Case List page or visits the FATCA Case Details page, the ownership transfers to the user. Case Inheritance is a configurable parameter where it's functionality can be enabled or disabled. If the user reassigns the FATCA case to a group from the FATCA Case Details page, the ownership is transferred to the group and is not immediately shift back to the user. Thus, inheritance remains deferred till a user visits the case details or takes an action from the FATCA Search and Case List page.

  Note: Closed FATCA cases owned by an individual user are not subject to case inheritance.

- **Viewed by Assignee:** The system records this action on a FATCA case, which has been assigned to an authorized user, and that user navigates to the FATCA Case Details page of the FATCA case for the first time. The action is recorded even though the user does not perform any action on the case.

Managing Withholding Transaction

This section includes the following topics:

- About Withholding Transaction

- Searching FATCA Withholding Transaction

- Viewing FATCA Withholding Transactions Details

- Editing FATCA Withholding Transactions Details

- Adding a New FATCA Withholding Transaction

- Viewing the FATCA Withholding Transaction History

- Exporting the FATCA Withholding Transactions

About Withholding Transaction

The Foreign Account Tax Compliance Act (FATCA) requires Foreign Financial Institutions (FFIs) to enter into an agreement with the IRS to identify their US Person account holders and to disclose the account holder's names, TINs, addresses, and the transactions of most types of accounts. FATCA regulation requires a participating FFI to withhold 30 percent, as per the current regulatory requirements, of any pass through payment to a recalcitrant account holder or to an FFI that does not meet the documentation requirements.

Withholding Transaction Management allows you can search for the required withholdings, update the transaction details, enables you to define the withholding percentage, modify the status of a withholding, and view the audit trail of all the modifications made to any withholdings.

Note: Users mapped to the role of FATCA Analyst, and FATCA Supervisors can access, add new or update the existing withholding transactions records whereas a FATCA Auditor user can only view the records.

Accessing Withholding Transaction

You can access the Withholding Transaction menu using the primary level of the navigation menu, which is located at the top of the page and is visible from all pages of the workflow. Click **Withholding Transaction** sub-menu option under the Investigations primary level of navigation menu. The Withholding Transaction Search and List page displays.

Figure 82. Withholding Transaction Search and List

Searching FATCA Withholding Transaction

The Withholding Transactions Search and List page enables you to filter the list of **FATCA** Withholding Transaction that you want to view and analyze. The FATCA Withholding Transactions List displays a list of **FATCA** Withholding Transactions that meet the criteria specified on the search bar.

To search for withholding transactions using the search bar, follow these steps:

1. Navigate to the FATCA Withholding Transactions Search and List page.

2. Enter the search criteria to filter the list of FATCA Withholding Transactions. The following table explains the search components that display in the Search Bar.

Table 50. Searching FATCA Withholding Transactions

Field	Description
Percentage Withholding >=	Enter a percentage withholding in the text box to filter the list of FATCA Withholding transactions whose percentage withholding is greater than or equal to the entered criteria. *Validation Messages:* - If you enter a value in 'Percentage Withholding <=' which is more than the 'Percentage Withholding >=', then on click of Go the following message is displayed: Please enter a 'Percentage Withholding <=' which is equal to or greater than 'Percentage Withholding >='. - If you enter a value in 'Percentage Withholding <=' as less than 0 or more than 100, then on click of Go the following message is displayed: Please enter a value in the Percentage Withholding field in the range of 1 to 100.
Percentage Withholding <=	Enter a percentage withholding in the text box to filter the list of FATCA Withholding transactions whose percentage withholding is less than or equal to the entered criteria. *Validation Messages*: If you enter a value in 'Percentage Withholding <=' as less than 0 or more than 100, then on click of Go the following message is displayed: *Please enter a value in the Percentage Withholding field in the range of 1 to 100.*
Withholding Status	Select a status from the multi-select drop-down options to filter the list of FATCA Withholding transactions having the selected criteria. The drop-down list display the following options: - Select All - Pending Approval - Approved - Expired
Jurisdiction	Select a jurisdiction from the multi-select drop-down list to filter the list of FATCA Withholding transactions that matches the selected criteria.
Geographic Jurisdiction	Select a geographic jurisdiction from the multi-select drop-down list to filter the list of FATCA Withholding transactions that matches the selected criteria.
Business Domain	Select a business domain from the multi-select drop-down list to filter the list of FATCA Withholding transactions that matches the selected criteria.
Created By	Select a user role from the multi-select drop-down list to filter the list of FATCA Withholding transactions that matches the selected criteria.

Table 50. Searching FATCA Withholding Transactions

Field	Description
FATCA Status	Select a FATCA status from the multi-select drop-down list to filter the list of FATCA Withholding transactions that matches the selected criteria. The following are the various list options displayed in the drop-down: ● Select All ● Indeterminate ● Recalcitrant ● US person ● Non-participating FFI ● Passive NFFE ● Owner Documented FFI ● Participating FFI ● Excepted NFFE ● Active NFFE ● Exempt Beneficial Owner ● Certified Deemed Compliant FFI ● Registered Deemed Compliant FFI ● Exempt ● Non US person **Note:** An Administrator user can update the above statuses.
Transaction Source Code	Enter the transactions source code in the text box to filter the list of FATCA Withholding transaction that matches the selected criteria. A Transaction Source Code is an identifier defined by a firm to identify the source of the transaction.
Modified By	Select a user roles from the multi-select drop-down list to filter the list of FATCA Withholding transactions that matches the selected criteria.
Modified Date >=	Select a date using the calendar icon to filter the list of FATCA Withholding transactions whose last modified date are greater than or equal to the selected date.
Modified Date <=	Select a date using the calendar icon to filter the list of FATCA Withholding transactions whose last modified date are less than or equal to the selected date. *Validation Messages:* ● If you select a 'Modified Date <='less than the 'Modified Date <=', then on click of Go the following message is displayed: *Please enter a 'Modified Date <=' which is equal to or greater than 'Modified Date >='.* ● If you select a 'Modified Date <='greater than the 'Sysdate', then on click of Go the following message is displayed: *Please enter a 'Modified Date <=' which is earlier than or equal to sysdate.* ● If you selected a Modified Date <= but have not specified the Modified Date <=, then on click of Go the following message is displayed: Modified Date >=' is mandatory if 'Modified Date <=' is mentioned. *Please enter a date in 'Modified Date >='.*

Table 50. Searching FATCA Withholding Transactions

Field	Description
Created Date >=	Select a date using the calendar icon to filter the list of FATCA Withholding transactions whose crated date are greater than or equal to the selected date. *Validation Messages:* ● If you select a 'Created Date <='less than the 'Created Date <=', then on click of Go the following message is displayed: *Please enter a 'Created Date <=' which is equal to or greater than 'Created Date >='.* ● If you select a 'Created Date <='greater than the 'Sysdate', then on click of Go the following message is displayed: *Please enter a 'Created Date <=' which is earlier than or equal to sysdate.* ● If you selected a Created Date <= but have not specified the Created Date <=, then on click of Go the following message is displayed: Created Date >=' is mandatory if 'Created Date <=' is mentioned. *Please enter a date in 'Created Date >='.*
Created Date <=	Select a date using the calendar icon to filter the list of FATCA Withholding transactions whose crated date are less than or equal to the selected date.

3. Click **Go**. The relevant search list is displayed.

    Note: The results in the FATCA Withholding Transactions List are sorted as per the Modified Date in descending order first and then as per Created Date in descending.

Viewing FATCA Withholding Transactions Details

Users mapped to the role FATCA Analyst, FATCA Supervisors and FATCA Auditors can view the FATCA Withholding Transaction Details.

To view the FATCA Withholding transaction record, follow these steps:

1. Navigate to the FATCA Withholding Transactions Search and List page.

2. Search for the required Withholding transaction record using the search bar. The list of withholding transactions records are displayed in the FATCA Withholding Transactions List section. For more information, refer to Searching FATCA Withholding Transactions.

    The following table describes the components that are displayed in the FATCA Withholding Transactions List:

Table 51. FATCA Withholding Transaction List Field Descriptions

Field	Description
#	Displays a unique number to identify the FATCA Withholding Transaction Record.
FATCA Status	Displays the latest FATCA Status of the withholding transaction record.
Jurisdiction	Displays the jurisdiction associated with the withholding transaction record.
Geographic Jurisdiction	Displays the geographic jurisdiction associated with the withholding transaction record. **Note**: For including additional jurisdictions, you can configure the Geographic Jurisdiction field. For more information on how to configure the Geographic Jurisdiction, refer to Configuration Guide.
Business Domain	Displays the business domain associated with the withholding transaction record.
Transaction Source Code	Displays the internal code for identifying the source of transactions.

Table 51. FATCA Withholding Transaction List Field Descriptions

Field	Description
Percentage Withholding	Displays the percentage of withholding tax to be applied on certain payments.
Owner	Displays the name of the owner who created the FATCA withholding transaction.
Created Date	Displays the date on which the FATCA withholding transaction was created.
Modified By	Displays the name of the owner who last modified the FATCA withholding transaction record.
Modified Date	Displays the date on which the FATCA withholding transaction record was last modified.
Withholding Status	Displays the current status of the FATCA withholding transaction record. **Note**: A FATCA withholding transaction can be in Pending Approval, Approved or Expired statuses.

3. Select a withholding transaction record row or click anywhere in the row to view the transaction details in the FATCA Withholding Transaction Details section.

Editing FATCA Withholding Transactions Details

Users mapped to the role of FATCA Analyst and FATCA Supervisor users can edit the withholding transaction details.

To edit a FATCA Withholding transaction record, follow these steps:

1. Navigate to the FATCA Withholding Transactions Search and List page.

2. Search for the required Withholding transaction record using the search bar.

3. From FATCA Withholding Transactions List, select a withholding transaction record row or click anywhere in the row.

   The withholding transaction details are displayed in the FATCA Withholding Transaction Details section in an editable format. You can update or modify the transaction details.

4. Edit the required details and click **Save**. The following message is displayed: Update Operation Successful.

5. Click **OK**. The FATCA Withholding Transaction List displays the updated information.

   Note: You can click **Reset** to reset all the fields to the last saved state.

Adding a New FATCA Withholding Transaction

Users mapped to the role of FATCA Analyst and FATCA Supervisor users can add a new FATCA withholding transaction record.

To add a new FATCA Withholding transaction record, follow these steps:

1. Navigate to the FATCA Withholding Transactions Search and List page.

2. Click **Add** from FATCA Withholding Transactions section.

   A new FATCA Withholding Transaction Details section is displayed below the FATCA Withholding Transaction section in an editable format.

3. Enter the required details in the definition section. The following table describes the components that are displayed in the Add New FATCA Withholding Transaction section:

Table 52. Adding a New FATCA Withholding Transaction Record

Field	Description
FATCA Status	Select a status from the drop-down for the new withholding transaction record. The following are the options that are displayed in the drop-down: ● Active NFFE ● Certified Deemed Compliant FFI ● Excepted NFFE ● Exempt ● Exempt Beneficial Owner ● Indeterminate ● Non US Person ● Non-participating FFI ● Owner Documented FFI ● Participating FFI ● Passive NFFE ● Recalcitrant ● Registered Deemed Compliant FFI ● US Person **Note**: This field is a mandatory field.
Jurisdiction	Select a jurisdiction from the drop-down list for the new withholding transaction record. **Note**: This field is a mandatory field.
Geographic Jurisdiction	Select a geographical jurisdiction from the drop-down list for the new withholding transaction record. **Note**: For including additional jurisdictions, you can configure the Geographic Jurisdiction field. For more information on how to configure the Geographic Jurisdiction, refer to Configuration Guide.

Table 52. Adding a New FATCA Withholding Transaction Record

Field	Description
Business Domain	Select a business domain from the drop-down list for the new withholding transaction record. The following are the list options displayed in the business domain drop-down: ● Select All ● GEN ● INST ● RB/PC ● RET ● C/WS ● EMP **Note**: This field is a mandatory field.
Transaction Source Code	Enter a code for identifying the source of transactions.
Percentage Withholding	Enter the percentage of withholding tax to be applied on certain payments. **Note**: This field is a mandatory field.

4. Click **Save**. The following message is displayed: *Add Operation Successful.*

5. Click **OK**. The FATCA Withholding Transaction List displays the newly added Withholding Transaction record.

   Note: You can click **Reset** to reset all the fields to the last saved state.

Viewing the FATCA Withholding Transaction History

Users mapped to the role FATCA Analyst, and FATCA Supervisor can view the audit trail a FATCA withholding transaction record.

To view the history of a transaction record, follow these steps:

1. Navigate to the FATCA Withholding Transactions Search and List page.

2. From FATCA Withholding Transactions List, select a withholding transaction record row.

   The withholding transaction details are displayed in the FATCA Withholding Transaction Details section.

3. Click **History**. The audit trail of the selected withholding transaction record is displayed in the FATCA Withholding Transactions History section.

   Note: The FATCA Withholding Transactions History section captures the trail of Create and Edit actions.

Exporting the FATCA Withholding Transactions

The FATCA Withholding Transactions Search and List page allows you to export the withholding transaction list into an Excel template. You can export all the transaction records in the FATCA Withholding Transactions Search and List or export individual transaction records into Excel.

To export the withholding transaction records into an Excel template, follow these steps:

1. Navigate to the FATCA Withholding Transactions Search and List page.

2. Click **Export**. The Export Properties dialog box is displayed.

3. Set Document Type as Excel and select Form Data/Grid Data as Grid Data.

4. Click Export in the Export Properties dialog box.

   Note: When processing is complete, the data is displayed in an IE window with a dialog box for you to take appropriate actions.

Working with Regulatory Reporting

This chapter provides high-level information about Regulatory Reporting (RR). The RR is integrated with the Enterprise Case Management to allow users to generate reports automatically populated with information relevant to the investigation which triggered the need for report to be filed.

The chapter covers the following topics:

- About the Regulatory Reporting
- Where to Find More Information

About the Regulatory Reporting

As part of Regulations and Compliances, organizations are required to perform appropriate analysis and report any suspicious activities that may lead to fraud or money laundering within the institution to the regulatory authorities. These regulatory bodies are responsible for safeguarding financial institutions and consumers from abuse, providing transparency in the country's financial system, enhancing that country's security, and deterring and detecting criminal activity in the financial system.

As part of this goal, these regulatory bodies require the Financial Crimes Unit (FCU), also referred to as Financial Intelligence Units (FIUs), in financial institutions to provide data regarding suspicious activities. These reports, depending on the regulatory geographic region, can be delivered in either printed or electronic format.

Regulatory Reporting supports the management, delivery, and resolution of these regulatory reports across multiple geographic regions and across multiple financial lines of business. Since there are several differences in requirements for paper-based formats versus electronic formats, and between different geographic regions and the data elements that are required on these reports, the approach to satisfying the end goal is to provide a Regulatory Reporting framework that is configured to support paper-based and electronic formats for different geographic regions and to generate and file different types of reports.

RR is integrated with the Enterprise Case Management to allow users to generate reports automatically populated with information relevant to the investigation which triggered the need for report to be filed. Regulatory Reporting is an optional product. Access to RR actions and functions depends on whether your firm have implemented the Regulatory Reporting.

Where to Find More Information

In order to have more information about the Regulatory Reporting application, refer to the following RR 2.4 documents:

- *Installation Guide*
- *Web Services Guide*
- *Data Model Ref Guide*
- *Release Notes*

In addition, RR 2.4 has the following form-specific documents:

- *User Guide and Administration Guide for BS STR*
- *User Guide and Administration Guide for MYSTR*
- *User Guide and Administration Guide for NGSTR*
- *User Guide and Administration Guide for NZ STR*
- *User Guide and Administration Guide for SGSTR*
- *User Guide and Administration Guide for USSAR*

CHAPTER 8 — *Generating Interactive Analytic Reports*

This chapter describes about the Interactive Analytic Reports and covers the following topics:

- About Interactive Analytic Reports
- AML Reports
- Fraud Reports
- KYC Reports
- Productivity Reports
- Drill-Down Reports

About Interactive Analytic Reports

If you have Oracle Business Intelligence, Enterprise Edition (OBIEE) installed at your site, you will have access to the Interactive Analytic reports.

Accessing the Interactive Analytic Reports Workflow

You can access the Enterprise Case Management Interactive Reports by clicking the **Reports** menu available as part of the primary navigation bar. The Reports menu displays the Oracle Interactive Dashboards for the Interactive Analytic Reports

Upon navigation, you will see the dashboard tabs: AML, Productivity, and Fraud based on user access. By default, AML dashboard displays first. You can select a different dashboard by clicking on the name of that dashboard on the tabs displayed at the top of the page.
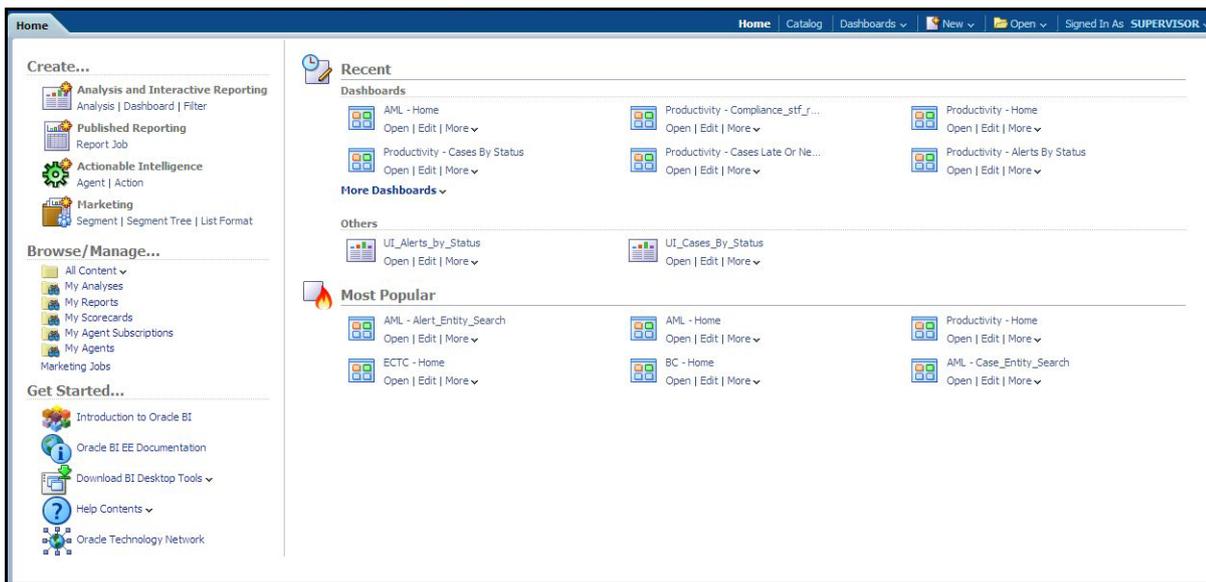
Figure 83. Interactive Analytic Reports Home Page

Screen Elements Common to the Interactive Analytic Reports

The following section describes the common screen elements on the Interactive Analytic Reports user interface.

Dashboard Filters

The dashboard filters allow you to filter the reports by the data contained within them. The data in the filters depends on the user that has logged on to the system. Unless otherwise designated, the filters are optional and the report you generate will contain all the data (if the filters are left blank) or the data that is screened by the default data existing in the filters. After selecting the required filters, you click the **Go** button to generate the report. The filter elements are categorized as follows:

Multi-Select Filters

A multi-select filter allows you to select multiple values as a filter condition for the reports. To use a multi-select filter, click on the ellipsis button next to the field. A window opens with the list of available filter options on the right pane. The right of the multi-select box provides a list of the filter options available to you. At the top of this list, you have the option to further filter the data. You can select the type of match from one of the following options: **begins with**, **ends with**, **contains**, is **LIKE (pattern match)** and the condition you require. For example, if you want to find the data beginning with the letter **K,** you select **begins with** on the **Match** field, enter the letter **K** in the corresponding text box, and click **Go**. The results returned will be all the data starting with the letter K. This search is not case-sensitive.

Below this section the number of choices returned is displayed. The section on the left provides a space for selected data. To select a data item for the filter, double-click on the data item or select the data and click the **(<)** button. You can also select all the data by clicking the **(<<)** button. To deselect the data from the Selected section, double-click on the data you do not want to use as a filter, or select the data and click the **(>)** button. You can deselect all the data

from the Selected list box by clicking the **(>>)** button. When you have selected the required filters, click **OK** to confirm the selection, or **Cancel** to discard it.
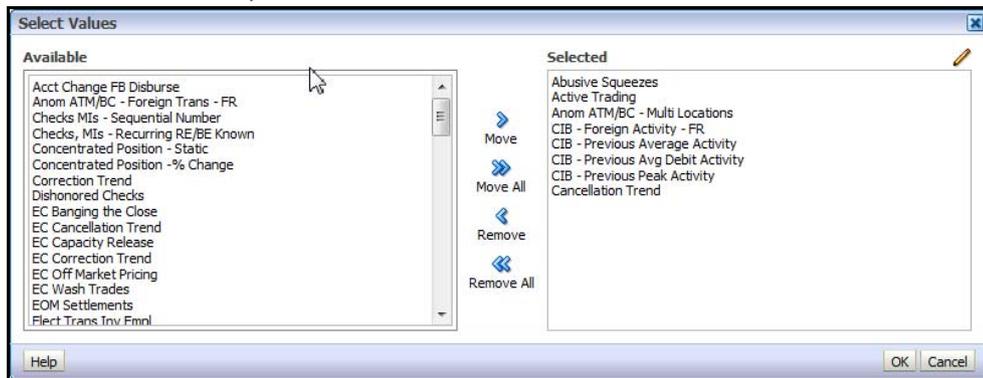
Figure 84. Multi-select Box for Interactive Analytic Reports

Drop-Down Filters

Drop-down filters provide a list of items from which you can select one item. Selecting the blank (empty) option applies no filter to your selections. Following are the drop-down lists common to Interactive Analytic Reports.

Trend Drop-down

The trend drop-down provides two values—Weekly and Monthly. The weekly trend displays the data for the past rolling quarter on a weekly basis. The monthly trend displays the data for the past rolling year on a monthly basis.

Period Drop-down

The period drop-down provides a list of three options—Week, Month, and Year. The Week option returns data for the past one week; the Month option returns data for the past one month; and the Year option returns data for the past one year.

Text Box Filters

A single rectangular box in which you can type text. If the box already contains text, you can select that default text or delete it and type new text. Some text boxes limit the number of characters that you can use. If so, the text box will show the maximum number of characters you can enter.

Report Links

Report links are provided beneath each report allowing you to refresh, download, or print the report.

Refresh

When clicked, the **Refresh** link refreshes the results of the current request. It clears the filters (if the **Go** button has not been clicked after selection of the filters thereby refreshing the report with the selected filters).

Print

When clicked, displays the current report in PDF or HTML format at which point you can select **Print** to print it.

Download

When clicked, downloads the current report into Excel, PowerPoint, or a Web page.

Error Messages

When there is not enough data in the database for the system to display results for the selected filters, or if a required field has not been filled, the application generates the following message: No Result For the Selected Criteria. You can then change the filters, check to see if any mandatory fields are left blank, and try again.

Mouseover Feature

You can mouseover a sector of a bar or pie chart to get an actual count for that sector.

Navigating the Reports

The Enterprise Case management Interactive Analytic Reports provide three separate dashboards:

- AML

- Fraud

- Productivity

By default, the AML dashboard the first report you see when you access the Interactive Analytic reports. You can click on one of the tabs at the top of the dashboard to access a different dashboard. The tab for the current dashboard remains highlighted.

For each of the AML and Productivity reports, there are links on the left of the screen divided into various categories such as Alerts, Cases, Others, Financials, and so forth. Under each category there are links to the various individual reports within that category. To access a report, click on the link displaying the name of the report that you want to view.

Access to all reports is based on access permissions provided to your role. For example, if you are mapped only to a case user role, the reports under Alerts category will not be displayed on click of the report names. Refer to section *User Privileges* to get the list of reports accessible by various user roles.

Customizing the Reports

You can customize the Interactive Analytic Reports; however, customization information is not documented in this guide. Refer to the *Configuration Guide* for customization information.

AML Reports

The Anti-Money Laundering (AML) reports are divided into three categories, Alerts, Cases, and Others.
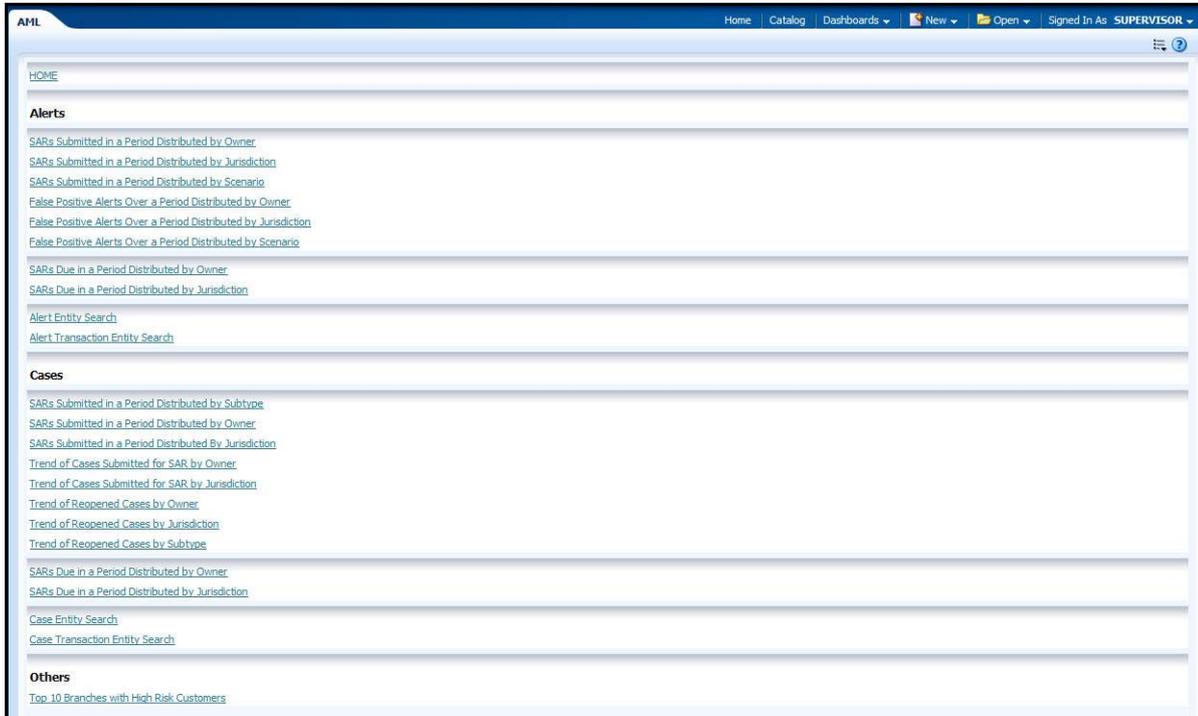
Figure 85. AML Reports Dashboard

AML Reports for Cases

The following AML reports are generated for cases:

- **SARs Submitted in a Period Distributed by Subtype:** Displays a pie chart for the count of SARs submitted in a period associated with cases, distributed by sub type and filtered by Owner, Jurisdiction, and Period.

- **SARs Submitted in a Period Distributed by Owner:** Displays a pie chart for the count of SARs submitted in a period associated with cases and distributed by owner.

- **SARs Submitted in a Period Distributed by Jurisdiction:** Displays a pie chart for the count of SARs submitted in a period associated to cases, distributed by jurisdiction and optionally filtered by owner, jurisdiction and period.

- **Trend of Cases Submitted for SAR by Owner:** Displays clustered bar graph reports for cases submitted in a period for a SAR distributed by owner.

- **Trend of Cases Submitted for SAR by Jurisdiction:** Displays clustered bar graph reports for cases submitted in a period for a SAR distributed by jurisdiction.

- **Trend of Reopened Cases by Owner:** Displays clustered bar graph reports for cases reopened in a period distributed by owner.

- **Trend of Reopened Cases by Jurisdiction:** Displays clustered bar graph reports for cases reopened in a period distributed by jurisdiction.

- **Trend of Reopened Cases by Subtype:** Displays clustered bar graph reports for cases reopened in a period distributed by sub type.

- **SARs Due in a Period Distributed by Owner:** Displays a pie chart for SARs due during a period by owners of the underlying investigation.

- **SARs Due in a Period Distributed by Jurisdiction:** Displays a pie chart for SARs due during a period for jurisdictions associated to the underlying investigation.

- **Case Entity Search:** Displays a pie chart for cases that are associated to the entity of interest to the user.

- **Case Transaction Entity Search:** Displays a pie chart for cases that contain the transaction of interest to the user.

SARs Submitted in a Period Distributed by Subtype

This report displays a pie chart showing the count of SARs associated with cases in FILED status and distributed by sub type, owner and jurisdiction. Each section of the pie chart denotes the count of SARs within a time period and for a selected owner and jurisdiction. When you click on the report link, the system displays the pie chart for the all the available owners and jurisdictions associated to login user and filtered by the period shown in the **Period** drop-down list.

By default, the value in the **Period** drop-down list is Month. For example, if the selected period is Month and the report run date is June 14th, then the system displays the count of SARs associated with cases by sub type between May 14th and June 14th; in other words, for the past one month. Similarly, the report can display data for a week or a year.
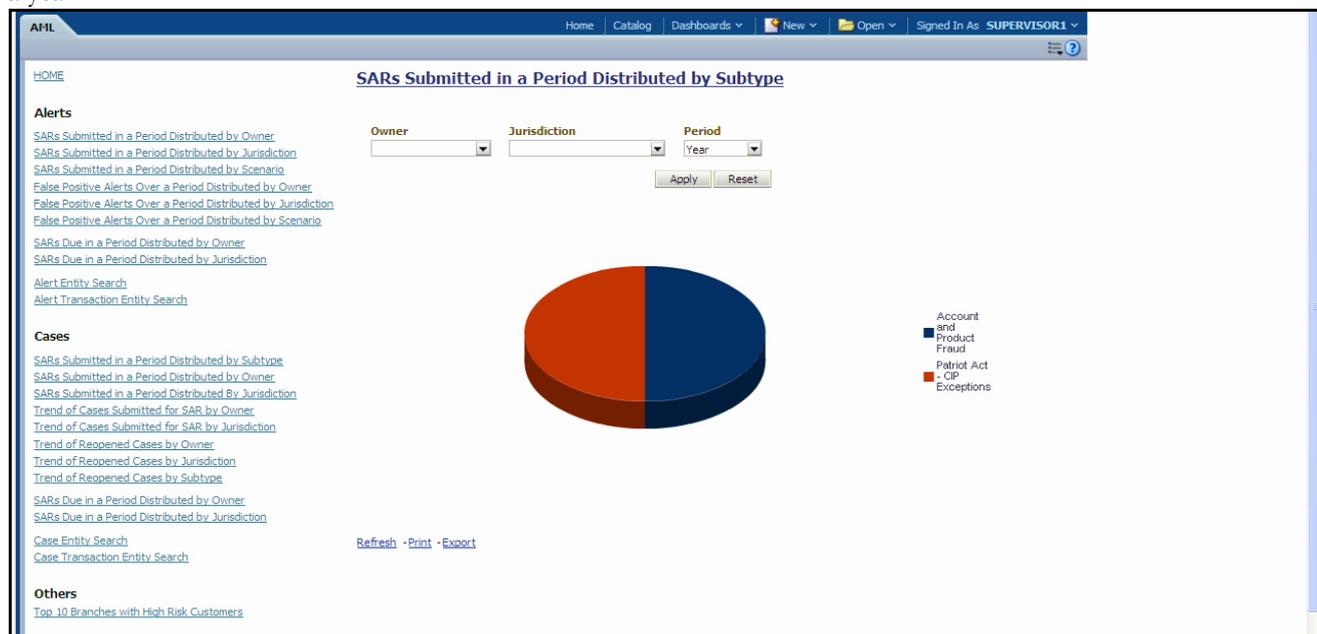
**Figure 86. SARs Submitted in a Period Distributed by Subtype**

The following are the filter options available for this report:

- **Owner:** A multi-select filter that provides a list of current owners associated with the case. The list of names presented in the Owner selection box is sorted alphabetically in ascending order by the owner display name. By default, the system initially selects a blank value.

- **Jurisdiction:** A multi-select filter that provides a list of jurisdictions associated with the case. The list of names presented in the Jurisdiction selection box is sorted alphabetically in ascending order by the jurisdiction display name. By default, the system initially selects a blank value.

- **Period:** A drop-down list box that allows you to select the SARs submitted within the past week, month or year. The default value is Month.

When you click on a section of the pie chart, a corresponding SAR List drill-down report displays in tabular format. Refer to *SAR List* for an example of a SAR List drill-down report.

SARs Submitted in a Period Distributed by Owner

This report displays a pie chart showing the count of SARs associated with cases in FILED status and distributed by owner. Each section of the pie denotes the count of SARs within a time period and for a selected owner. When you click on the report link, the system displays the pie chart for the all the owners available to be viewed by you and filtered by the period shown in the Period drop-down.

By default, the value in the **Period** drop-down list is Month. For example, if the selected period is Month and the report run date is June 14th, then the system displays the count of SARs for the selected scenario between May 14th and June 14th; in other words, for the past one month. Similarly, the report can display data for a week or a year.
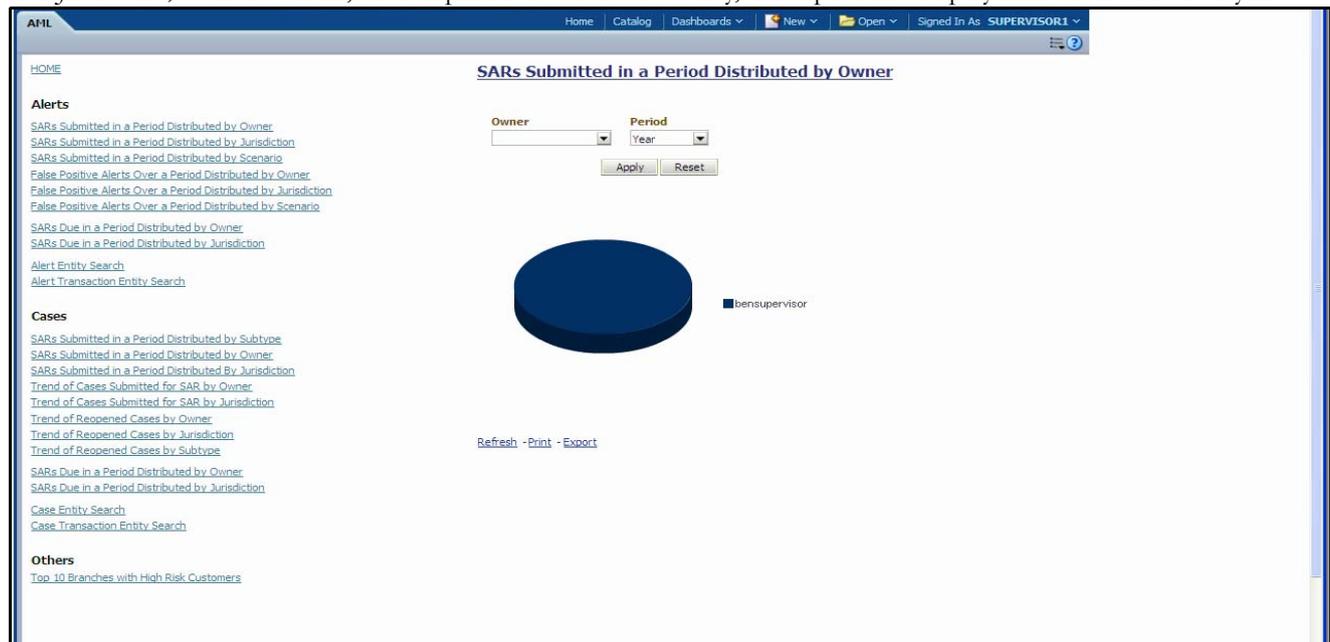
Figure 87. SARs Submitted in a Period Distributed by Owner

Following are the filter options available for this report:

- **Owner:** A multi-select filter that provides a list of current owners associated with the case. The list of names presented in the Owner selection box is sorted alphabetically in ascending order by the owner display name. By default, the system initially selects a blank value.

- **Period:** A drop-down list box that allows you to select the SARs submitted within the past week, month or year. The default value is Month.

When you click on a section of the pie chart, a corresponding SAR List drill-down report displays in tabular format. Refer to *SAR List* for an example of a SAR List drill-down report.

SARs Submitted in a Period Distributed by Jurisdiction

This report displays a pie chart showing the count of SARs associated with cases in FILED status and distributed by jurisdiction. Each section of the pie denotes the count of SARs within a time period and for a selected jurisdiction. When you click on the report link, the system displays the pie chart for the all the jurisdictions available to be viewed by you and filtered by the period shown in the **Period** drop-down list.

By default, the value in the **Period** drop-down list is Month. For example, if the selected period is Month and the report run date is June 14th, then the system displays the count of SARs associated with cases distributed by jurisdiction between May 14th and June 14th; in other words, for the past one month. Similarly, the report can display data for a week or a year.
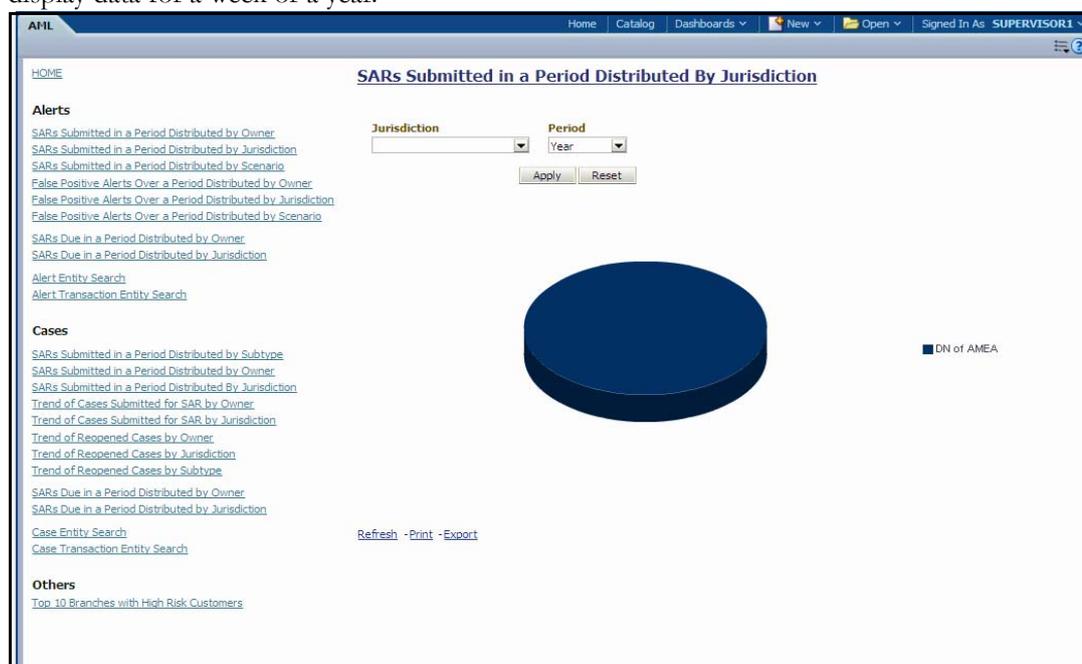
Figure 88. SARs Submitted in a Period Distributed by Jurisdiction

Following are the filter options available for this report:

- **Type:** A multi-select filter that provides a list of case subtypes associated with the cases for the SAR. By default, the system initially selects a blank value.

- **Period:** A drop-down list box that allows you to select the SARs submitted within the past week, month or year. The default value is Month.

When you click on a section of the pie chart, a corresponding SAR List drill-down report displays in tabular format. Refer to *SAR List* to see an example of a SAR List drill-down report.

Trend of Cases Submitted for SAR by Owner

This report displays the trend of cases submitted for SAR and distributed by owners across the time window by period. It shows a clustered bar of owners in each period. Each bar chart section shows the count of cases in that particular period.

Figure 89. Trend of Cases Submitted for SAR by Owner

Following are the filter options available for this report:

- **Owner:** A multi-select filter that provides a list of current owners associated with the cases for the SAR. By default, the system initially selects a blank value.

- **Trend:** A drop-down list box that provides two options: Weekly and Monthly. When you select **Weekly,** the time window is the current rolling quarter. The system displays data from the current month-to-date plus the last 2 months on a weekly basis. When you select **Monthly,** the time window is the current rolling year. The system displays data from the current month-to-date plus the last 11 months on a monthly basis. The default value for this filter is Week.

When you click on a section of the bar chart, the corresponding SAR List drill-down report displays.

Trend of Cases Submitted for SAR by Jurisdiction

This report displays the trend of cases submitted for SAR and distributed by jurisdiction across the time window by trend frequency. It shows a clustered bar of jurisdictions in each period. Each bar chart section shows the count of cases in that particular period.
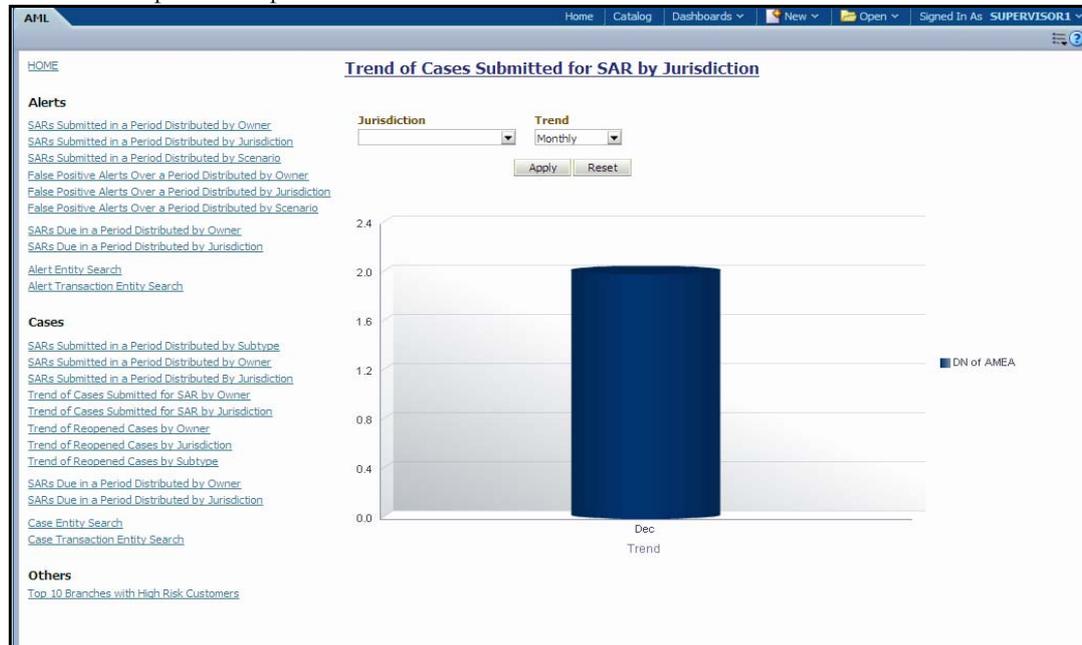
Figure 90. Trend of Cases Submitted for SAR by Jurisdiction

Following are the filter options available for this report:

- **Jurisdiction:** A multi-select filter that provides a list of jurisdictions associated with the case. The list of names presented in the Jurisdiction selection box is sorted alphabetically in ascending order by the jurisdiction display name. By default, the system initially selects a blank value.

- **Trend:** A drop-down list box that provides two options: Weekly and Monthly. When you select **Weekly,** the time window is the current rolling quarter. The system displays data from the current month-to-date plus the last 2 months on a weekly basis. When you select **Monthly,** the time window is the current rolling year. The system displays data from the current month-to-date plus the last 11 months on a monthly basis. The default value for this filter is Week.

When you click on a section of the bar chart, the corresponding SAR List drill-down report displays.

Trend of Reopened Cases by Owner

This report displays the trend of reopened cases distributed by owner across the time window by period. It shows a clustered bar of owners in each period. Each bar chart section shows the count of cases in that particular period.

Figure 91. Trend of Reopened Cases by Owner

Following are the filter options available for this report:

- **Owner:** A multi-select filter that provides a list of current owners associated with the case. The list of names presented in the Owner selection box is sorted alphabetically in ascending order by the owner display name. By default, the system selects a blank value.

- **Trend:** A drop-down list box that provides two options: Weekly and Monthly. When you select **Weekly,** the time window is the current rolling quarter. The system displays data from the current month-to-date plus the last 2 months on a weekly basis. When you select **Monthly,** the time window is the current rolling year. The system displays data from the current month-to-date plus the last 11 months on a monthly basis. The default value for this filter is Week.

When you click on a section of the bar chart, the corresponding Case List drill-down report displays.

Trend of Reopened Cases by Jurisdiction

This report displays the trend of reopened cases distributed by jurisdiction across the time window by trend frequency. It shows a clustered bar of jurisdictions in each period. Each bar chart section shows the count of cases in that particular period.

Figure 92. Trend of Reopened Cases by Jurisdiction

Following are the filter options available for this report:

- **Jurisdiction:** A multi-select filter that provides a list of jurisdictions associated with the case. The list of names presented in the Jurisdiction selection box is sorted alphabetically in ascending order by the jurisdiction display name. By default, the system initially selects a blank value.

- **Trend:** A drop-down list box that provides two options: Weekly and Monthly. When you select **Weekly,** the time window is the current rolling quarter. The system displays data from the current month-to-date plus the last 2 months on a weekly basis. When you select **Monthly,** the time window is the current rolling year. The system displays data from the current month-to-date plus the last 11 months on a monthly basis. The default value for this filter is Week.

When you click on a section of the bar chart, the corresponding Case List drill-down report displays.

Trend of Reopened Cases by Subtype

This report displays the trend of reopened cases distributed by case subtype across the time window by period. It shows a clustered bar of case subtypes in each period. Each bar chart section shows the count of cases in that particular period.
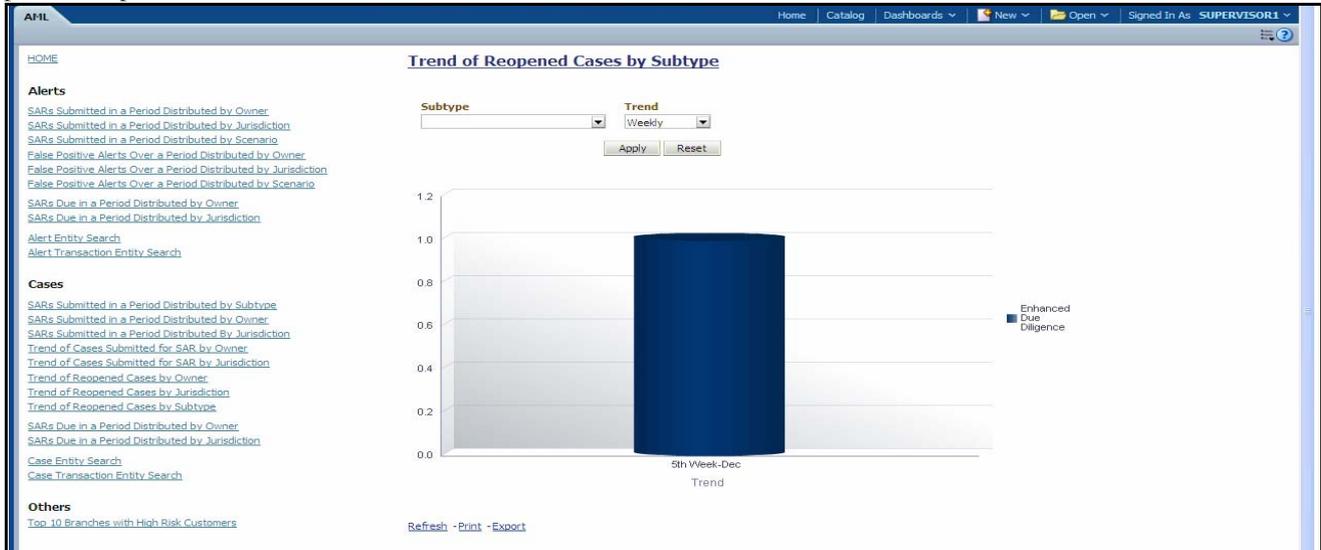
Figure 93. Trend of Reopened Cases by Subtype

The following are the filter options available for this report:

- **Type:** A multi-select filter that provides a list of case subtypes associated with the cases for the SAR. The list of names presented in the Type selection box is sorted alphabetically in ascending order by the case subtype display name. By default, the system initially selects a blank value

- **Trend:** A drop-down list that provides two options: weekly and monthly. When you select **Weekly,** the system displays data from the current month-to-date plus the last 2 months on a weekly basis. When you select **Monthly,** the system displays data from the current month-to-date plus the last 11 months on a monthly basis

When you click on a section of the bar chart, the corresponding Case List drill-down report displays.

SARs Due in a Period Distributed by Owner

This report displays a pie chart showing the count of SARs due within the period and distributed by Owner. The SAR due date is defined as 30 days from the date the SAR was opened. When you click on the report link, the system displays the pie chart for the all the owners available to be viewed by you and filtered by the period shown in the Period drop-down.

By default, the value in the Period drop-down list is Month. For example, if the selected period is Month and the report run date is June 14th, then the system displays the count of SARs for the selected owner between May 14th and June 14th; in other words, for the past one month. Similarly, the report can display data for a week or a year.
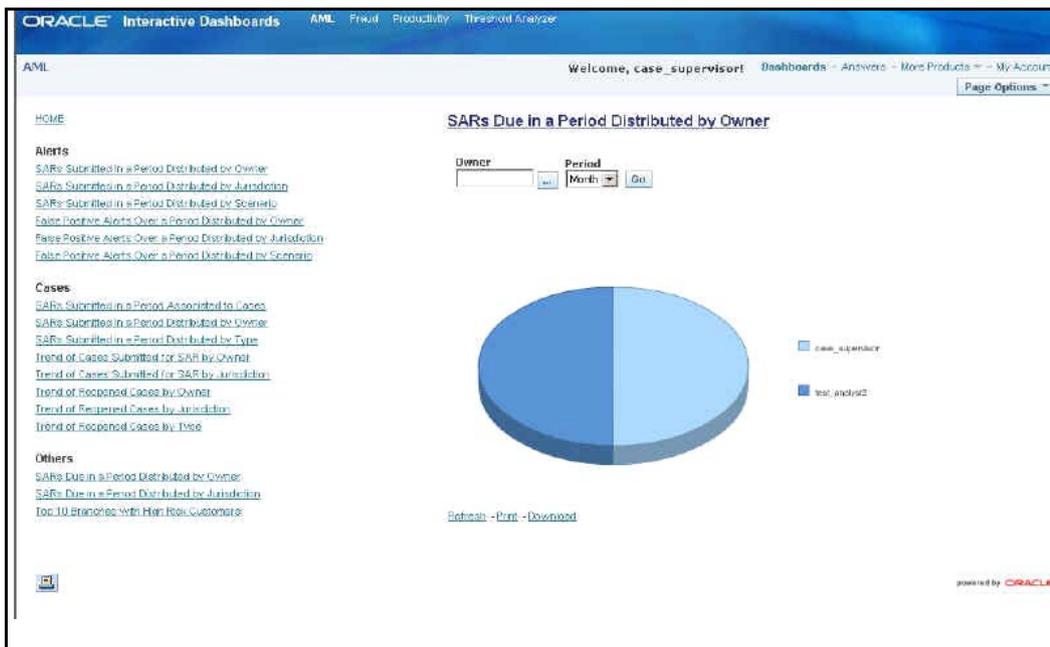
Figure 94. SARs Due in a Period Distributed by Owner

Following are the filter options available for this report:

- **Owner:** A multi-select filter that provides a list of current owners associated with the underlying investigation. The list of names presented in the Owner selection box is sorted alphabetically in ascending order by the owner display name. By default, the system selects a blank value.

- **Period:** A drop-down list box that allows you to select the SARs distributed by Owner due within the past week, month or year. The default value is Month.

When you click on a section of the pie chart, the corresponding SAR List drill-down report displays.

SARs Due in a Period Distributed by Jurisdiction

This report displays a pie chart showing the count of SARs in OPEND status and distributed by Jurisdiction associated to the underlying investigation. Each section of the pie chart denotes the count of SARs due within a time period for selected jurisdictions. The SAR due date is defined as 30 days from the date the SAR was opened. When you click on the report link, the system displays the pie chart for the all the jurisdictions available to be viewed by you and filtered by the period shown in the **Period** drop-down list.

By default, the value in the **Period** drop-down list is Month. For example, if the selected period is Month and the report run date is June 14th, then the system displays the count of SARs for the selected jurisdiction between May 14th and June 14th. In other words, for the past one month. Similarly, the report can display data for a week or a year.
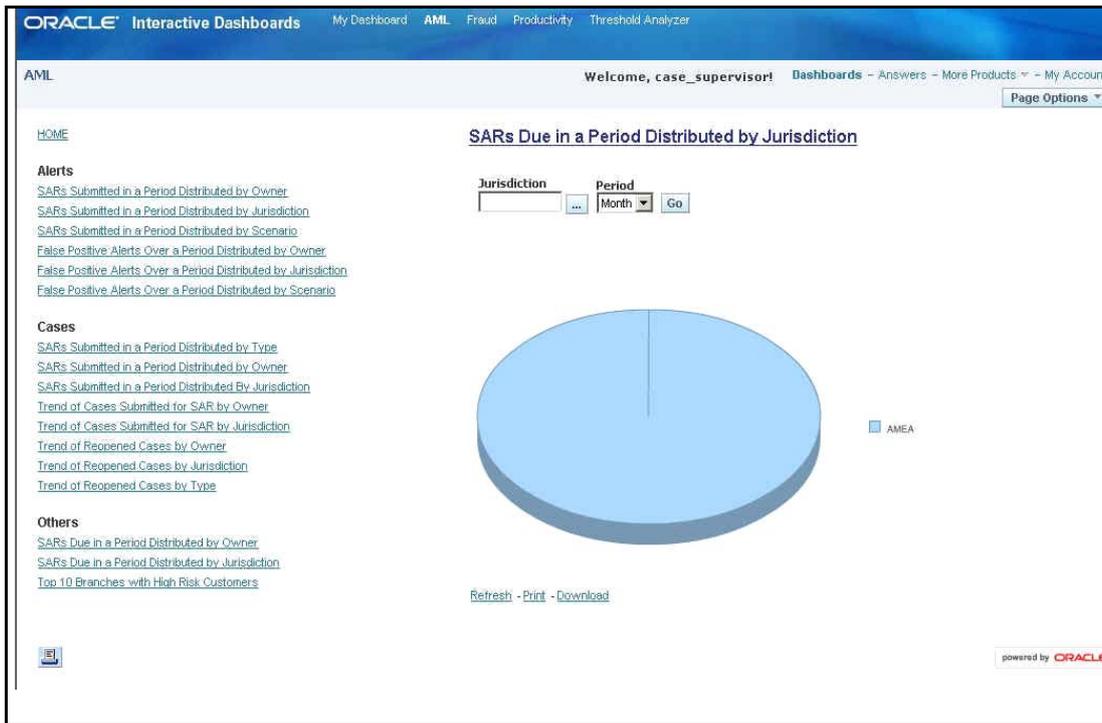
Figure 95. SARs Due in a Period Distributed by Jurisdiction

Following are the filter options available for this report:

- **Jurisdiction:** A multi-select filter that provides a list of jurisdictions. The list of names presented in the Jurisdiction selection box is sorted alphabetically in ascending order by the jurisdiction display name. By default, the system initially selects a blank value.

- **Period:** A drop-down list box that allows you to select the SARs distributed by Jurisdiction due within the past week, month or year. The default value is Month.

When you click on a section of the pie chart, the corresponding SAR List drill-down report displays.

Case Entity Search

This report shows information related to cases that are associated to the entity of interest to the user. This is a pie chart report. Each section of the pie chart represents the case within the selected case subtype, status, and jurisdiction.

You can enter an entity and search for those cases, which have an association to that entity as a business entity.

On mouse over to a pie in the chart, the name of the subtype and the number of cases found for that subtype displays.
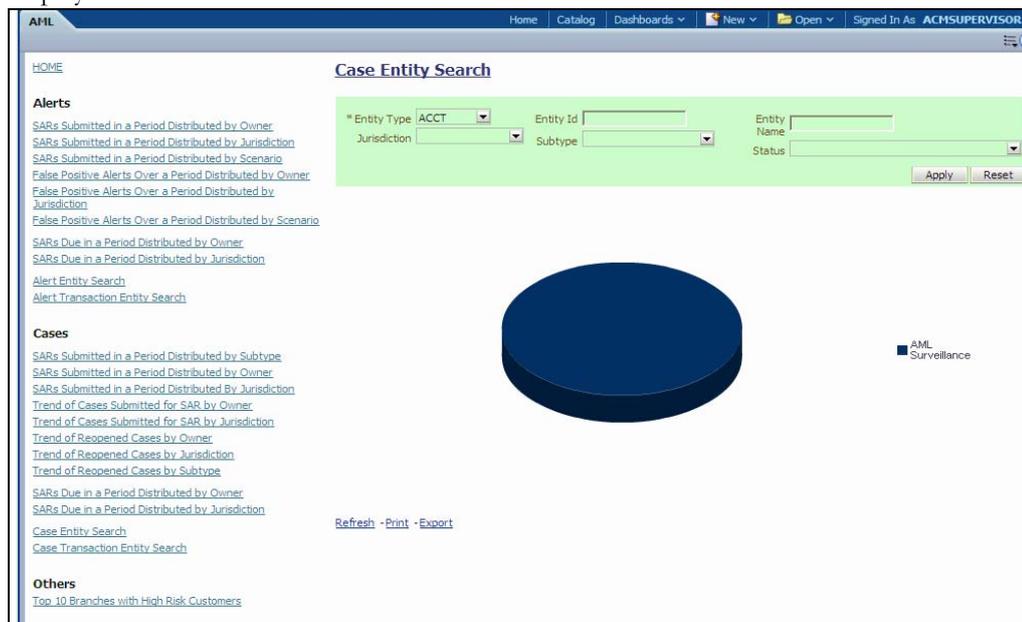
Figure 96. Case Entity Search for AML

Following are the filter options available for this report:

- **Entity Type:** A drop-down list box that provides a list of entity types associated with the case. The display names list is sorted alphabetically in ascending order by the entity type display name. By default, the system initially selects a blank value.

- **Entity ID:** A text box that allows you to search based on the entity identifier. By default, the system initially selects a blank value.

- **Entity Name:** A text box that allows you to search based on the entity name. By default, the system initially selects a blank value.

- **Jurisdiction:** A multi-select drop-down list box that allows you to select from the list of jurisdictions associated with the case entity. The list of names presented in the **Jurisdiction** multi-select drop down list box is sorted alphabetically in ascending order by the jurisdiction display name. By default, the system initially selects a blank value.

- **Status:** A multi-select drop-down list box that allows you to select from the list of statuses associated with the case entity. The list of names presented in the **Status** multi-select drop down list box is sorted alphabetically in ascending order by the jurisdiction display name. By default, the system initially selects a blank value.

- **Subtype:** A multi-select drop-down list box that allows you to select from the list of subtypes associated with the case entity. The list of names presented in the **Status** multi-select drop down list box is sorted alphabetically in ascending order by the jurisdiction display name. By default, the system initially selects a blank value.

When you click a particular pie in the chart, a drill-down report displays the case information and having a **View Case** link. Clicking the **View Case** link opens a pop-up along with the Case Details page.

Case Transaction Entity Search

This report shows information related to cases that contain the transaction of interest to the user. This is a pie chart report. Each section of the pie chart represents result in terms of the subtypes of the cases within the selected subtypes, status, and jurisdiction.

You can enter a transaction and search for those cases, which have an association to that transaction entity. On mouse over to a pie in the chart, the name of the subtype and the number of cases found for that subtype displays.

Figure 97. Case Transaction Entity Search for AML

Following are the filter options available for this report:

- **Trxn Type:** A drop-down list box that provides a list of transaction types associated with the case. The display names list is sorted alphabetically in ascending order by the transaction type display name. By default, the system initially selects a blank value.

- **Trxn ID:** A text box that allows you to search based on the transaction identifier. By default, the system initially selects a blank value.

- **Trxn Base Amount >=:** A text box that allows you to search based on the transaction base amount greater than or equal to. By default, the system initially selects a blank value. The results include only those alerts for which the transaction base amount satisfies the user entered condition.

- **Trxn Base Amount <=:** A text box that allows you to search based on the transaction base amount less than or equal to. By default, the system initially selects a blank value. The results include only those alerts for which the transaction base amount satisfies the user entered condition.

- **Jurisdiction:** A multi-select drop-down list box that allows you to select from the list of jurisdictions associated with the case transaction entity. The list of names presented in the **Jurisdiction** multi-select drop down list box is sorted alphabetically in ascending order by the jurisdiction display name. By default, the system initially selects a blank value.

- **Status:** A multi-select drop-down list box that allows you to select from the list of statuses associated with the case transaction entity. The list of names presented in the **Status** multi-select drop down list box is sorted alphabetically in ascending order by the jurisdiction display name. By default, the system initially selects a blank value.

- **Subtype:** A multi-select drop down list box that allows you to select from the list of subtype associated with the case transaction entity. The list of names presented in the **Subtype** multi-select drop-down list box is sorted alphabetically in ascending order by the jurisdiction display name. By default, the system initially selects a blank value.

When you click a particular pie in the chart, a drill-down report displays the alert information and having a **View Case** link. Clicking the **View Case** link opens a pop-up along with the Case Details page.

AML Reports for Others

The Others report for the AML is the **Top 10 Branches with High Risk Customers**. This report displays a stacked bar graph for each of the top 10 branches of an organization that have the largest number of high risk customers.

Top 10 Branches with High Risk Customers

This report displays a stacked bar for each of the top 10 highest risk branches for an organization. Each bar shows the count of customers for that branch segmented into a risk level from 6 to 10. Each color on the bar corresponds to a risk level specified on the legend axis. There is no drill-down capability and no filtering mechanism for this report.
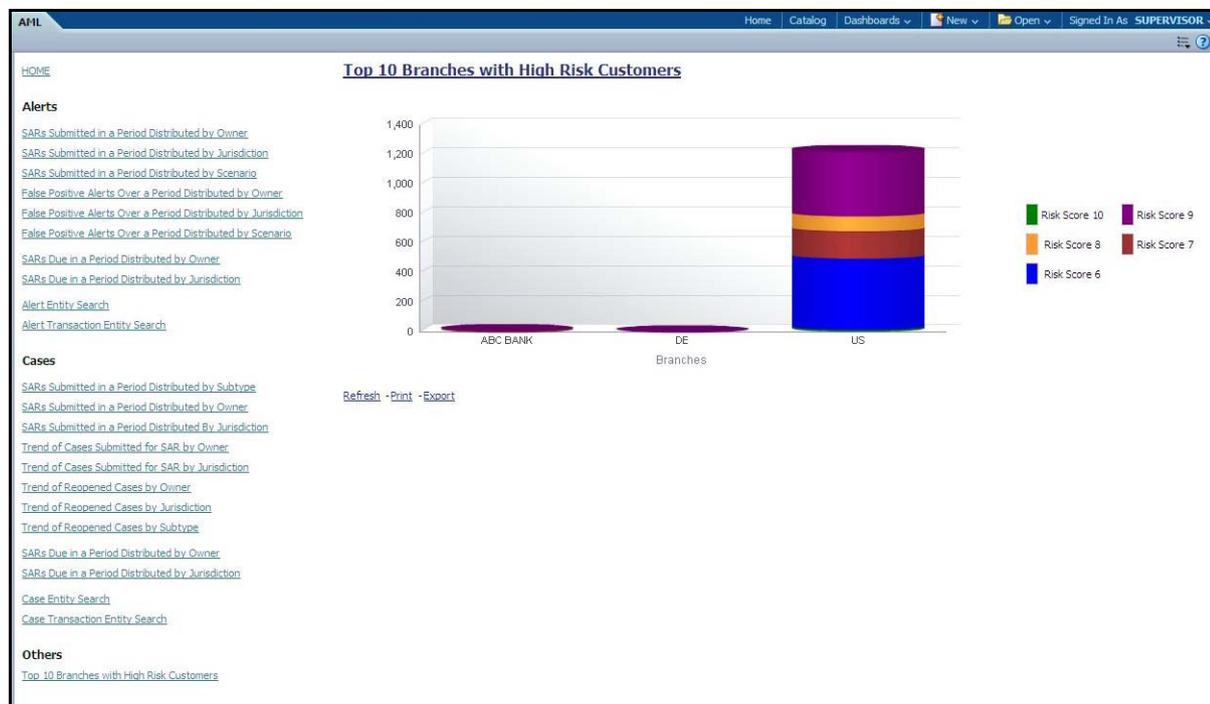
Figure 98. Top 10 Branches with High Risk Customers

Fraud Reports

Fraud reports contain Regulatory Activity, Financials, Alerts, and Cases reports.
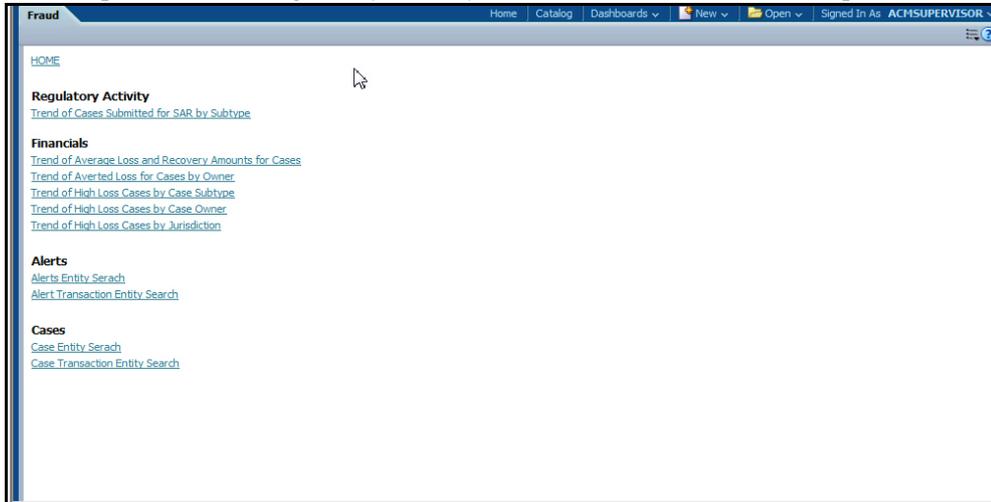
Figure 99. Fraud Reports Dashboard

Fraud Reports for Regulatory Activity

There is one Fraud Report for Regulatory Activity, as follows:

- **Trend of Cases Submitted for SAR by Subtype:** Displays a bar chart that shows the trend of cases submitted for SAR reports on a weekly or monthly basis.

Trend of Cases Submitted for SAR by Subtype

This report shows the trend of cases submitted for the SAR by sub type across the time window by trend frequency. It shows a clustered bar of sub types in each period. Each bar chart section shows the count of cases in that particular period.

Figure 100. Trend of Cases Submitted for SAR by Type

Following are the filter options available for this report:

- **Type:** A multi-select filter that provides a list of case subtypes associated with the underlying cases submitted for a SAR. By default, the system initially selects a blank value.

- **Trend:** A drop-down list box that displays two options: weekly and monthly. When you select **Weekly,** the system displays data from the current month-to-date plus the last 2 months on a weekly basis (Quarter To Date). When you select **Monthly,** the system displays data from the current month-to-date plus the last 11 months on a monthly basis.

When you click on a section of the bar chart, the corresponding SAR List drill-down report displays.

Fraud Reports for Financials

The following Fraud reports are generated for financials:

- **Trend of Average Loss and Recovery Amounts for Cases:** Displays a vertical bar showing the trend of average loss and recovery amounts over a period.

- **Trend of Averted Loss for Cases by Owner:** Displays a vertical bar showing the trend of averted loss over a period by case owner.

- **Trend of High Loss Cases by Case Subtype:** Displays a vertical bar showing the trend of high loss cases over a period by sub type.

- **Trend of High Loss Cases by Case Owner:** Displays a vertical bar showing the trend of high loss cases over a period by case owner.

- **Trend of High Loss Cases by Jurisdiction:** Displays a vertical bar showing the trend of high loss cases over a period by jurisdiction.

Trend of Average Loss and Recovery Amounts for Cases

This report shows the trend of average loss and recovery amounts across the time window by period. It shows a clustered bar of sub types in each period. Each bar chart section shows the count of average loss and recovery amounts in that particular period.

Figure 101. Trend of Average Loss and Recovery Amounts for Cases

Following are the filter options available for this report:

- **Type:** A multi-select filter that provides a list of case subtypes associated with active loss and recovery cases. By default, the system initially selects a blank value.

- **Period:** A drop-down list box that provides two options: Weekly and Monthly. When you select **Weekly,** the time window is the current rolling quarter. The system displays data from the current month-to-date plus the last 2 months on a weekly basis. When you select **Monthly,** the time window is the current rolling year. The system displays data from the current month-to-date plus the last 11 months on a monthly basis. The default value for this filter is Week.

When you click on a section of the bar chart, the corresponding Case List drill-down report displays.

Trend of Averted Loss for Cases by Owner

This report shows the trend of averted loss by case owner across the time window by period. It shows a clustered bar of owners for each period. Each bar chart shows the total averted loss in that particular period for an owner.

Figure 102. Trend of Averted Loss for Cases by Owner

Following are the filter options available for this report:

- **Owner:** A multi-select filter that provides a list of current owners associated with the active loss and recovery cases. The list of names presented in the Owner selection box is sorted alphabetically in ascending order by the owner display name. By default, the system initially selects a blank value

- **Trend:** A drop-down list box that provides two options: Weekly and Monthly. When you select **Weekly,** the time window is the current rolling quarter. The system displays data from the current month-to-date plus the last 2 months on a weekly basis. When you select **Monthly,** the time window is the current rolling year. The system displays data from the current month-to-date plus the last 11 months on a monthly basis. The default value for this filter is Week.

When you click on a section of the bar chart, the corresponding Case List drill-down report displays.

Trend of High Loss Cases by Case Subtype

This report shows the trend of high loss cases aggregated by sub type across the time window by period. It displays clustered bars of sub types for each period. Each bar in a cluster represents the number of cases for a type for that period.

Figure 103. Trend of High Loss Cases by Sub type

Following are the filter options available for this report:

- **High Loss* >=:** An integer box that allows you to enter a whole number that represents a high loss amount threshold. Any case that has a net loss greater than or equal to the number entered will be counted. The asterisk (*) indicates that you must enter a value before any data will be displayed.

- **Type:** A multi-select filter that provides a list of case subtypes associated with active high loss cases. By default, the system selects a blank value.

- **Trend:** A drop-down list box that provides two options: Weekly and Monthly. When you select **Weekly,** the time window is the current rolling quarter. The system displays data from the current month-to-date plus the last 2 months on a weekly basis. When you select **Monthly,** the time window is the current rolling year. The system displays data from the current month-to-date plus the last 11 months on a monthly basis. The default value for this filter is Week.

When you click on a section of the bar chart, the corresponding Case List drill-down report displays.

Trend of High Loss Cases by Owner

This report shows the trend of high loss cases aggregated by owner across the time window by period. It displays clustered bars of owners for each period. Each bar in a cluster represents the number of cases for an owner for that period.

Figure 104. Trend of High Loss Cases by Owner

Following are the filter options available for this report:

- **High Loss* >=:** An integer box that allows you to enter a whole number that represents a high loss amount threshold. Any case that has a net loss greater than or equal to the number entered will be counted. The asterisk (*) indicates that you must enter a value before any data will be displayed.

- **Owner*:** A multi-select filter that provides a list of owners associated with active high loss cases. By default, the system selects a blank value. The asterisk (*) indicates that you must enter a value before any data will be displayed.

- **Trend:** A drop-down list box that provides two options: Weekly and Monthly. When you select **Weekly,** the time window is the current rolling quarter. The system displays data from the current month-to-date plus the

last 2 months on a weekly basis. When you select **Monthly,** the time window is the current rolling year. The system displays data from the current month-to-date plus the last 11 months on a monthly basis. The default value for this filter is Week.

When you click on a section of the bar chart, the corresponding Case List drill-down report displays.

Trend of High Loss Cases by Jurisdiction

This report shows the trend of high loss cases aggregated by jurisdiction across the time window by period. It displays clustered bars of jurisdictions for each period. Each bar in a cluster represents the number of cases for a jurisdiction for that period.
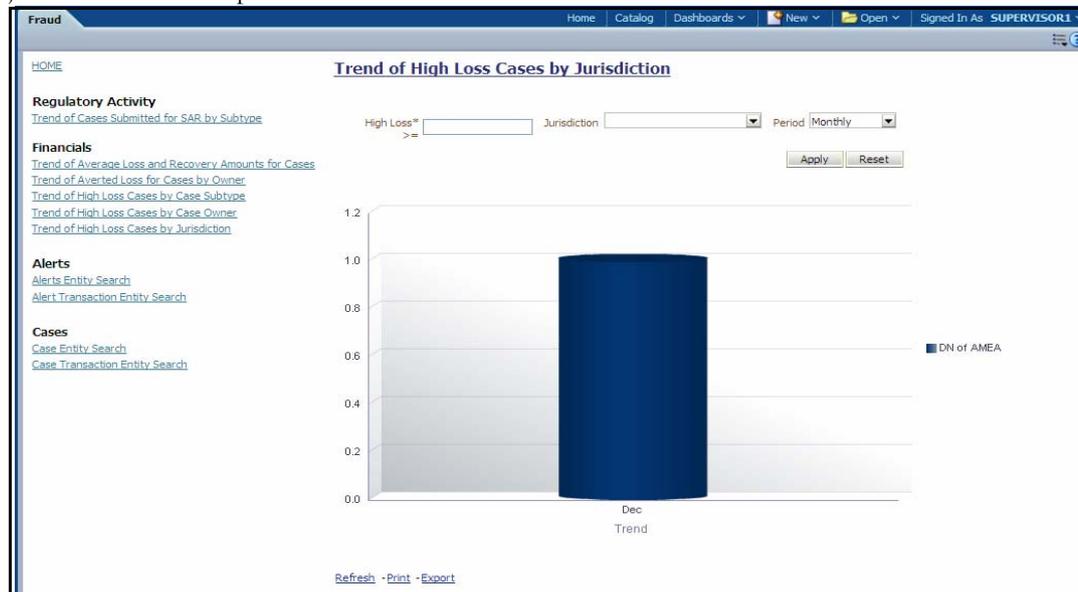
Figure 105. Trend of High Loss Cases by Jurisdiction

Following are the filter options available for this report:

- **High Loss* >=:** An integer box that allows you to enter a whole number that represents a high loss amount threshold. Any case that has a net loss greater than or equal to the number entered will be counted. The asterisk (*) indicates that you must enter a value before any data will be displayed.

- **Jurisdiction:** A multi-select filter that provides a list of jurisdictions associated with active high loss cases. By default, the system selects a blank value.

- **Trend:** A drop-down list box that provides two options: Weekly and Monthly. When you select **Weekly,** the time window is the current rolling quarter. The system displays data from the current month-to-date plus the last 2 months on a weekly basis. When you select **Monthly,** the time window is the current rolling year. The system displays data from the current month-to-date plus the last 11 months on a monthly basis. The default value for this filter is Week.

When you click on a section of the bar chart, the corresponding Case List drill-down report displays.

Fraud Reports for Cases

The following Fraud reports are generated for cases:

- **Case Entity Search:** Displays a pie chart for cases that are associated to the entity of interest to the user.

● **Case Transaction Entity Search:** Displays a pie chart for cases that contain the transaction of interest to the user.

Case Entity Search

This report shows information related to cases that are associated to the entity of interest to the user. This is a pie chart report. Each section of the pie chart represents the case within the selected case subtype, status, and jurisdiction.

You can enter an entity and search for those cases, which have an association to that entity as a business entity.

On mouse over to a pie in the chart, the name of the subtype and the number of cases found for that subtype displays.
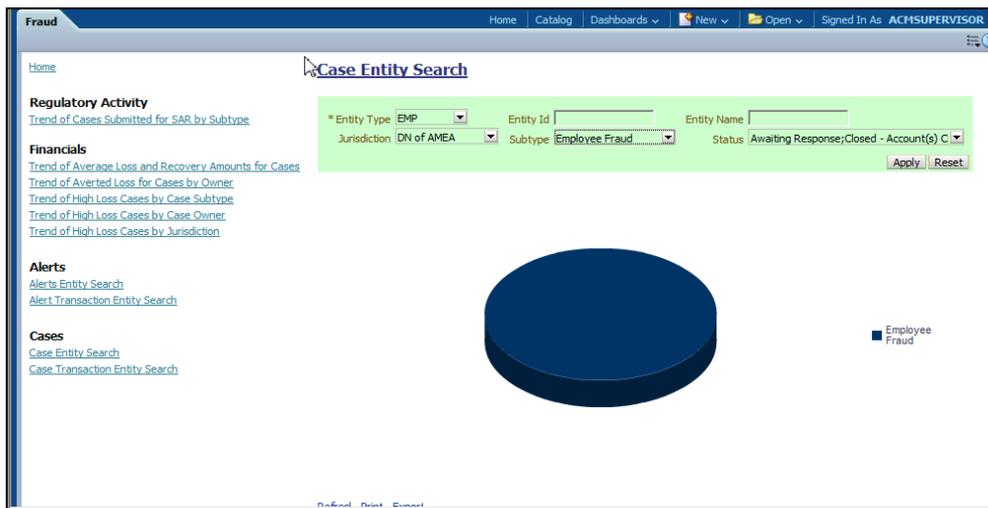
Figure 106. Case Entity Search for Fraud

Following are the filter options available for this report:

● **Entity Type:** A drop-down list box that provides a list of entity types associated with the case. The display names list is sorted alphabetically in ascending order by the entity type display name. By default, the system initially selects a blank value.

● **Entity ID:** A text box that allows you to search based on the entity identifier. By default, the system initially selects a blank value.

● **Entity Name:** A text box that allows you to search based on the entity name. By default, the system initially selects a blank value.

● **Jurisdiction:** A multi-select drop-down list box that allows you to select from the list of jurisdictions associated with the case entity. The list of names presented in the **Jurisdiction** multi-select drop down list box is sorted alphabetically in ascending order by the jurisdiction display name. By default, the system initially selects a blank value.

● **Status:** A multi-select drop-down list box that allows you to select from the list of statuses associated with the case entity. The list of names presented in the **Status** multi-select drop down list box is sorted alphabetically in ascending order by the jurisdiction display name. By default, the system initially selects a blank value.

● **Subtype:** A multi-select drop-down list box that allows you to select from the list of subtypes associated with the case entity. The list of names presented in the **Subtype** multi-select drop down list box is sorted

alphabetically in ascending order by the jurisdiction display name. By default, the system initially selects a blank value.

When you click a particular pie in the chart, a drill-down report displays the case information and having a **View Case** link. Clicking the **View Case** link opens a pop-up along with the Case Details page.

Case Transaction Entity Search

This report shows information related to cases that contain the transaction of interest to the user. This is a pie chart report. Each section of the pie chart represents result in terms of the subtypes of the cases within the selected subtypes, status, and jurisdiction.

You can enter a transaction and search for those cases, which have an association to that transaction entity. On mouse over to a pie in the chart, the name of the subtype and the number of cases found for that subtype displays.

Figure 107. Case Transaction Entity Search for Fraud

Following are the filter options available for this report:

- **Trxn Type:** A drop-down list box that provides a list of transaction types associated with the case. The display names list is sorted alphabetically in ascending order by the transaction type display name. By default, the system initially selects a blank value.

- **Trxn ID:** A text box that allows you to search based on the transaction identifier. By default, the system initially selects a blank value.

- **Trxn Base Amount >=:** A text box that allows you to search based on the transaction base amount greater than or equal to. By default, the system initially selects a blank value. The results include only those alerts for which the transaction base amount satisfies the user entered condition.

- **Trxn Base Amount <=:** A text box that allows you to search based on the transaction base amount less than or equal to. By default, the system initially selects a blank value. The results include only those alerts for which the transaction base amount satisfies the user entered condition.

- **Jurisdiction:** A multi-select drop-down list box that allows you to select from the list of jurisdictions associated with the case transaction entity. The list of names presented in the **Jurisdiction** multi-select drop down list box is sorted alphabetically in ascending order by the jurisdiction display name. By default, the system initially selects a blank value.

- **Status:** A multi-select drop-down list box that allows you to select from the list of statuses associated with the case transaction entity. The list of names presented in the **Status** multi-select drop down list box is sorted alphabetically in ascending order by the jurisdiction display name. By default, the system initially selects a blank value.

- **Subtype:** A multi-select drop down list box that allows you to select from the list of subtype associated with the case transaction entity. The list of names presented in the **Subtype** multi-select drop-down list box is sorted alphabetically in ascending order by the jurisdiction display name. By default, the system initially selects a blank value.

When you click a particular pie in the chart, a drill-down report displays the alert information and having a View Case link. Clicking the View Case link opens a pop-up along with the Case Details page.

KYC Reports

KYC Reports enables to you view and analyze risk assessments performed on customers over a period of time. KYC Analytics provides reports on customers who are considered as High, whose risk scores are overridden, customers who are on watch list and also customers whose risk score have increased when compared to the previous risk assessment.

KYC Analytics

The following reports are available as a part of KYC Analytics and the descriptions on each report are provided in the subsequent sections:

- **High Risk Customers**: Displays a pie chart and a tabular column of high risk customers based on their risk scores filtered by Customer Type, Country and Jurisdiction.

- **Customer Risk Score Override**: Displays bar graphs and a tabular column of customers whose risk score have been manually overridden.

- **Increase in Customer's Risk**: Displays a pie chart and a tabular column of customers whose risk score are increased over a period of time due to different source of risk assessment.

- **Watch List Match**: Displays a tabular column of customers who are on high watch list flag and displays the results of initiating a watch list scan such as namely Null, False Positive, Confirmed, and Unverified.

High Risk Customers

This report displays a pie chart and a tabular column of high risk customers based on their risk scores filtered by Customer Type, Country and Jurisdiction.
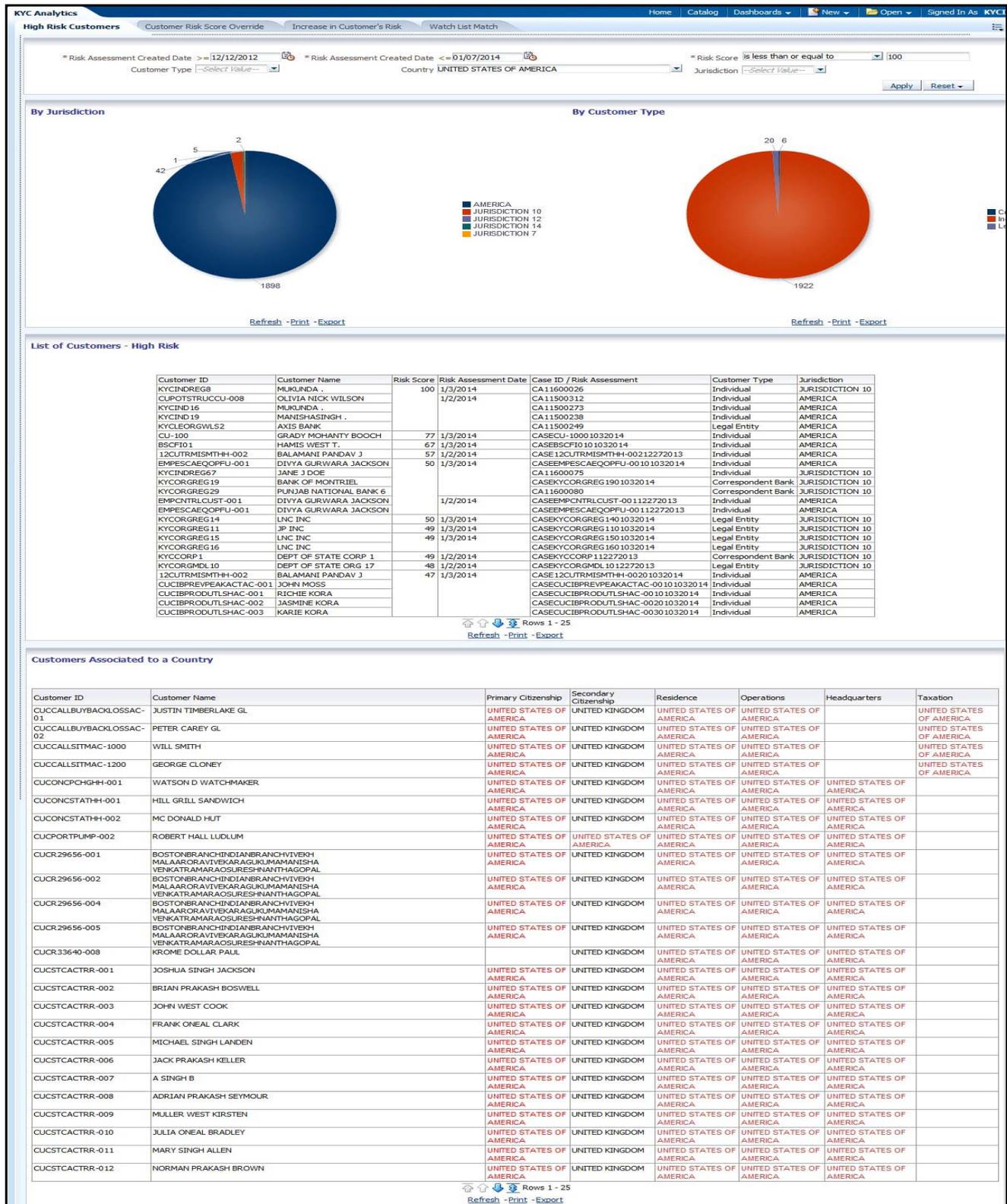
Figure 108. High Risk Customers

Following are the filter options available for this report:

- **Risk Assessment Created Date >=**: Select a date from the calender icon to filter the list of high risk customers whose risk assessments were created greater than or equal to the selected date. This field defaults to *System Date - 30 days.*

- **Risk Assessment Created Date <=**: Select a date from the calender icon to filter the list of high risk customers whose risk assessments were created less than or equal to the selected date. This field defaults to *System Date.*

- **Risk Score**: Select an operator from the drop-down list and enter a whole number that represents the risk score threshold. This field defaults to *is equal to/is in* and *75* respectively. The asterisk (*) indicates that this field is a mandatory field. Any decimal values entered in this filter criteria will be rounded off to the next digit or the previous digit according to the score.

- **Customer Type**: Select the required customer type from the multi-select drop-down list to filter the high risk customers based on the type selected. A customer can be of type Correspondent Bank, Individual, and Legal Entity.

- **Country**: Select a country from the multi-select drop-down list to filter the high risk customers based on the country selected. By default, the system selects a blank value.

- **Jurisdiction**: Select a jurisdiction from the multi-select filter that provides a list of jurisdictions associated with the high risk customers. By default, the system selects a blank value. If you have not entered a value in this field, the system will include all the available jurisdictions.

Note: This report considers only those risk assessments that are in **Auto Closed**, **Closed** and **Closed and Purged** status.

The following table provides the description for each heading component that display in the List of Customer - High Risk and Customers Associated to a Country tabular column:

Table 53. List of Customer - High Risk and Customers Associated to a Country Field Descriptions

Field Name	Description	List of Customer - High Risk	Customers Associated to a Country
Customer ID	Displays an identifier assigned to a particular customer.	X	X
Customer Name	Displays the name of the customer.	X	X
Risk Score	Displays the calculated customer effective risk score of the customer.	X	
Risk Assessment Date	Displays the date on which risk assessment was performed on the customer.	X	
Case ID/Risk Assessment	Displays the Case ID or the Risk Assessment of the KYC case. If the case ID is not available then the risk assessment ID is displayed.	X	
Customer Type	Displays the type of customer on whom the risk assessment is performed such as Individual, Correspondent banks and Legal Entity.	X	

Table 53. List of Customer - High Risk and Customers Associated to a Country Field Descriptions

Jurisdiction	Displays the geographical jurisdiction associated with the risk assessment.	X	
Primary Citizenship	Displays the name of the country where the customer holds the primary citizenship.		X
Secondary Citizenship	Displays the name of the country where the customer holds the secondary citizenship.		X
Residence	Displays the country of residence of the customer.		X
Operations	Displays the country of operation of the customer.		X
Headquarters	Displays the country of headquarters of the customer.		X
Taxation	Displays the country of taxation of the customer.		X

The results in the **List of Customer - High Risk** tabular column are sorted according to **Risk Score** in descending order first and then based on **Risk Assessment Date** in descending order.

If you are filtering the risk assessments of high risk customers based on a particular country, the system not only filters the results of the customers associated to the selected country but also displays all the countries, the filtered customers are associated to. The country selected in the search criteria is highlighted in the tabular results.

Customer Risk Score Override

This report displays a bar graph and a tabular column of customers whose risk scores have been manually overridden. The bar graphs display the count of overrides grouped by Jurisdiction and User. The tabular column, on the other hand, display the list of customers whose risk scores have been manually overridden.
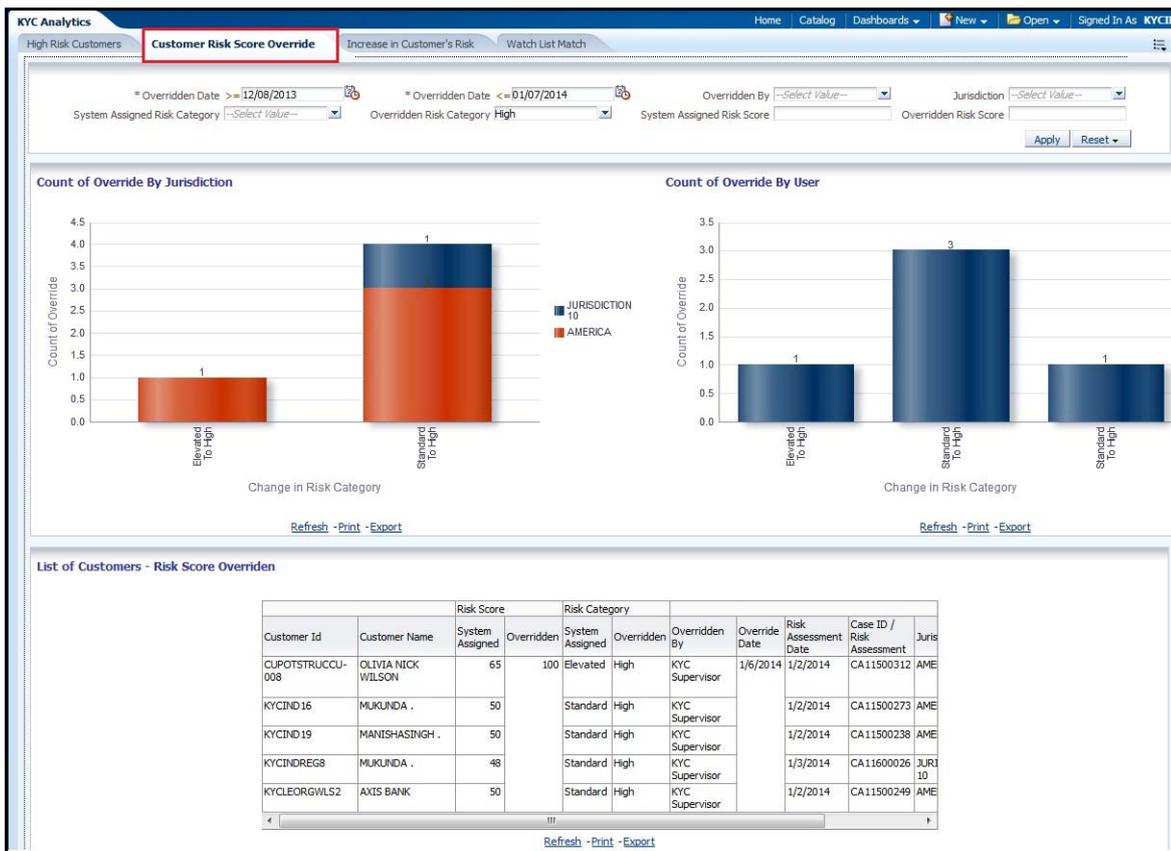
Figure 109. Customer Risk Score Override

Following are the filter options available for this report:

- **Overridden Date >=**: Select a date from the calender icon to filter the list of risk scores whose overridden date is greater than or equal to the selected date. This field defaults to *System Date - 30 days*. The asterisk (*) indicates that this field is a mandatory field.

- **Overridden Date <=**: Select a date from the calender icon to filter the list of risk scores whose overridden date is less than or equal to the selected date. This field defaults to *System Date*. The asterisk (*) indicates that this field is a mandatory field.

- **Overridden By**: Select the required user from the multi-select drop-down list to filter the list of risk scores overridden by the selected user(s). The drop-down list displays only those users who have access to KYC cases and override permissions.

- **Jurisdiction**: Select a jurisdiction from the multi-select filter that provides a list of jurisdictions associated with the risk scores of customers. By default, this field displays a blank value.

- **System Assigned Risk Category**: Select the system assigned risk category from the multi-select filter to filter the list of risk scores with the selected system assigned risk category. A System Assigned Risk Category can be either *Elevated*, *High* or *Standard*.

- **Overridden Risk Category**: Select the overridden risk category from the multi-select filter to filter the list of risk scores with the selected overridden risk category. An Overridden Risk Category can be either *Elevated*, *High* or *Standard*. This field defaults to *High*.

- **System Assigned Risk Score**: Enter a risk score in this field to filter the list of risk scores whose system assigned risk score matches the entered risk score. You can enter a numeric value from 0 to 100.

- **Overridden Risk Score**: Enter a risk score in this field to filter the list of risk scores whose overridden risk score matches the entered risk score. You can enter a numeric value from 0 to 100.

Note: This report considers only those risk assessments that are in **Auto Closed**, **Closed** and **Closed and Purged** statuses.

The following table provides the description for each heading component that display in the List of Customer - Risk Overridden tabular column:

Table 54. List of Customer - Risk Overridden Field Descriptions

Field Name	Description
Customer ID	Displays an identifier assigned to a particular customer.
Customer Name	Displays the name of the customer.
Risk Score	Displays the calculated customer effective Risk score of a customer and includes both System Assigned and Overridden scores.
Risk Category	Displays the risk assessment date performed on the customer and includes both System Assigned and Overridden risk categories.
Overridden By	Displays the name of user who has overridden the score for the listed case/risk assessments.
Override Date	Displays the date on which case/ risk assessment is overridden.
Risk Assessment Date	Displays the date on which risk assessment was performed on the customer.
Case iD/ Risk Assessment	Displays the Case ID or the Risk Assessment of the KYC case. If Case ID is not available then Risk Assessment ID is shown,
Jurisdiction	Displays the geographical jurisdiction associated with the KYC case.
Customer Type	Displays the type of customer on whom the risk assessment is performed such as Individual, Correspondent banks and Legal Entity.

Note: The results in **List of Customer - Risk Overridden** tabular column are sorted according to **Overridden Risk Score** in descending order first and then based on **Override Date** in descending order.

Increase in Customer's Risk

This report displays a pie chart and a tabular column of customers whose risk score are increased over a period of time due to different source of risk assessments. To calculate the increase in customer's risk score, the system compares the last two risk assessments that were closed.
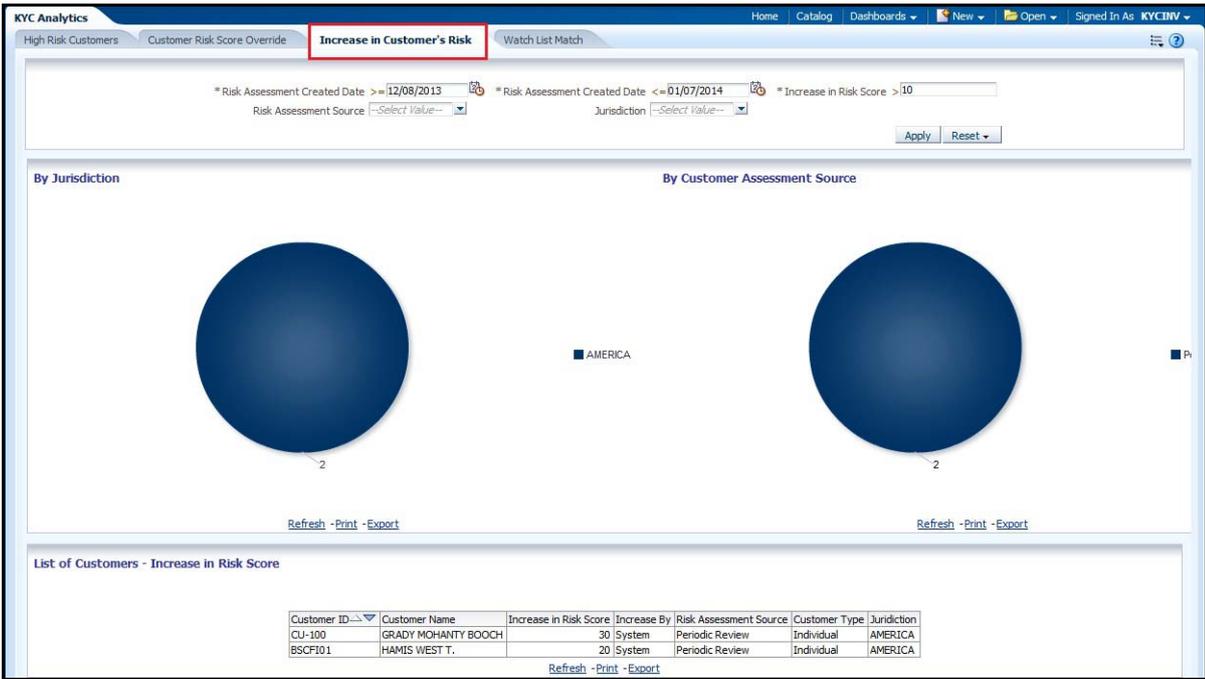
Figure 110. Increase in Customer's Risk

Following are the filter options available for this report:

- **Risk Assessment Created Date >=**: Select a date from the calender icon to filter the list of customer with increase in risk scores whose risk assessment date is greater than or equal to the selected date. This field defaults to *System Date - 30 days*. The asterisk (*) indicates that this field is a mandatory field.

- **Risk Assessment Created Date <=**: Select a date from the calender icon to filter the list of customer with increase in risk scores whose risk assessment date is less than or equal to the selected date. This field defaults to *System Date*. The asterisk (*) indicates that this field is a mandatory field.

- **Increase in Risk Score**: Enter a numeric value in this field to filter the difference of risk scores between the two risk assessments. This field defaults to *10*.

- **Risk Assessment Source**: Select the risk assessment source from the multi-select filter to filter the list of customers with increase in risk score having the selected risk assessment source.

- **Jurisdiction**: Select a jurisdiction from the multi-select filter that provides a list of jurisdictions associated with the increase in risk scores of customers. By default, this field displays a blank value.

Note: This report considers only those risk assessments that are in **Auto Closed**, **Closed** and **Closed and Purged** statuses.

The following table provides the description for each heading component that display in the List of Customers - Increase in Risk Score tabular column:

Table 55. List of Customers - Increase in Risk Score Field Descriptions

Field Name	Description
Customer ID	Displays an identifier assigned to a particular customer.

Table 55. List of Customers - Increase in Risk Score Field Descriptions

Customer Name	Displays the name of the customer.
Increase in Risk Score	Displays the difference of risk scores between the two risk assessments.
Increase By	Displays the source as *system*.
Risk Assessment Source	Displays the assessment source for the risk assessment. A risk assessment record can have the following four assessment sources: ● Accelerated Review ● Account On Boarding ● Deployment Initiation ● Periodic Review
Customer Type	Displays the type of customer on whom the risk assessment is performed such as Individual, Correspondent banks and Legal Entity.
Jurisdiction	Displays the geographical jurisdiction associated with the KYC case.

Note: The results in **List of Customer - Increase in Risk Score** tabular column are sorted according to **Increase in Risk Score** in descending order first and then based on **Risk Assessment Source** in alphabetical order.

Watch List Match

This report displays tabular column of customers who are on high watch list flag and also displays the results of the initiated watch list scan namely, Null, False Positive, Confirmed, or Unverified. This report displays all the available records based on the entered criteria.
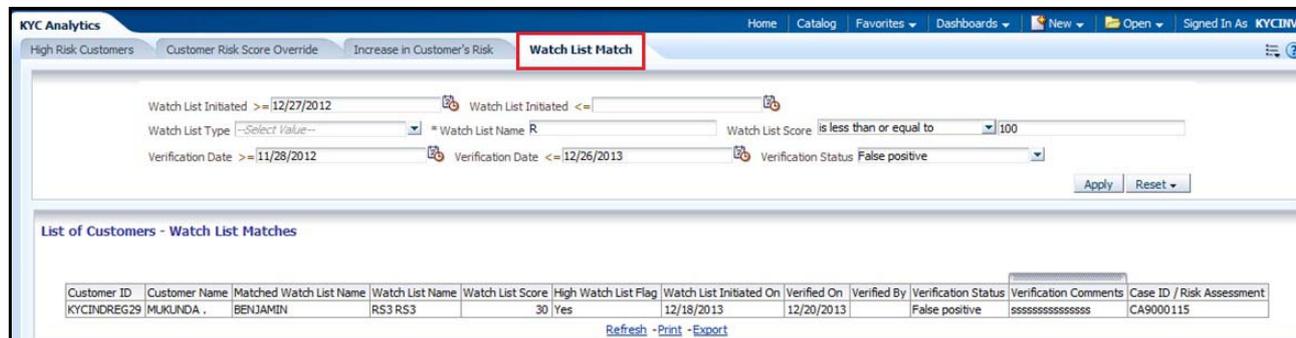
Figure 111. Watch List Match

Following are the filter options available for this report:

● **Watch List Initiated >=**: Select a date from the calender icon to filter the list of customers for whom the watch list scan initiated date is greater than or equal to the selected date. This field defaults to *System Date - 30 days*. The asterisk (*) indicates that this field is a mandatory field.

● **Watch List Initiated <=**: Select a date from the calender icon to filter the list of customers for whom the watch list scan initiated date is less than or equal to the selected date. This field defaults to *System Date*. The asterisk (*) indicates that this field is a mandatory field.

● **Watch List Type**: Select the watch list type from the multi-select filter to filter the list of customers who are on high watch list having the selected watch list type. A Watch List can be of type such as *Exemption*, *Risk List*, and *Trusted List* and so on.

- **Watch List Name**: Enter a watch list name to filter the list of high watch list customers matching the entered watch list name. The asterisk (*) indicates that this field is a mandatory field.

- **Watch List Score**: Select an operator from the drop-down list and enter a whole number that represents the watch list score threshold. This field defaults to *is equal to/is in* and *75* respectively.

- **Verification Date >=**: Select a date from the calender icon to filter the list of high watch list customers for whom the verification date is greater than or equal to the selected date.

- **Verification Date <=**: Select a date from the calender icon to filter the list of high watch list customers for whom the verification date is less than or equal to the selected date.

- **Verification Status**: Select the status from the multi-select filter to filter the list of high watch list customers having the selected verification status. A watch list can have the following verification statuses: Null, Confirmed, False Positive, and Unverified.

The following table provides the description for each heading component that display in the List of Customers - Watch List Matches tabular column:

Table 56. List of Customers - Watch List Matches Field Descriptions

Field Name	Description
Customer ID	Displays the identifier assigned to a particular customer.
Customer Name	Displays the name of the customer.
Matched Watch List Name	Displays the matched watch list name.
Watch List Name	Displays the type and name of the watch list concatenated.
Watch List Score	Displays the watch list score associated with the customer ID.
High Watch List Flag	
Watch List Initiated On	Displays the date on which the watch list was initiated.
Verified On	Displays the date on which the customer was verified.
Verified By	Displays the name of the user who verified the watch list scan.
Verification Status	Displays the verification status namely, Null, False Positive, Confirmed, or Unverified.
Verification Comments	Displays the comments added during the verification.
Case ID/Risk Assessment	Displays the Case ID or the Risk Assessment of the KYC case. If the Case ID is not available then the Risk Assessment ID is shown,

Note: The results in List of Customers - Watch List Matches tabular column are sorted according to **Watch List Score** in descending order first and then based on **High Watch List Initiated On** date in descending order.

Productivity Reports

Productivity reports are divided into three categories, Alerts, Cases, and Trade Blotter.
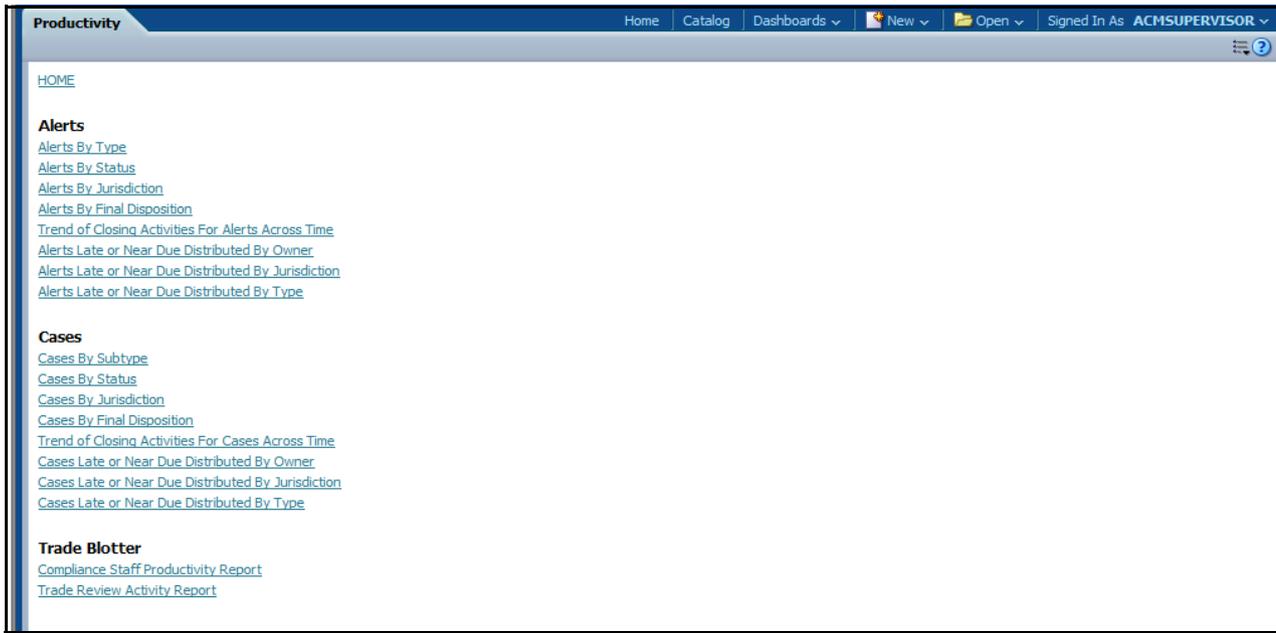
Figure 112. Productivity Reports Dashboard

Productivity Reports for Cases

The following Productivity reports are generated for cases:

- **Cases by Subtype:** Displays the count of active cases by case subtype.

- **Cases by Status:** Displays the count of active cases by status.

- **Cases by Jurisdiction:** Displays the count of active cases by jurisdiction.

- **Cases by Final Disposition:** Displays the count of closed cases by closing activity.

- **Trend of Closing Activities for Cases Across Time:** Displays the trend of closing activities for cases across time.

- **Cases Late or Near Due Distributed by Owner:** Displays the counts of cases that have passed their due dates (SLA deadline) or are approaching their due dates distributed across owners.

- **Cases Late or Near Due Distributed by Jurisdiction:** Displays the counts of cases that have passed their due dates (SLA deadline) or are approaching their due dates distributed across jurisdictions.

- **Cases Late or Near Due Distributed by Type:** Displays the counts of cases that have passed their due dates (SLA deadline) or are approaching their due dates distributed across scenarios.

- **Average Time Taken for Case Closure**: Displays the average time taken for closing the cases.

Cases by Subtype

The Cases by Subtype report displays the active cases by their subtype (case subtype) in a graphical pie chart.
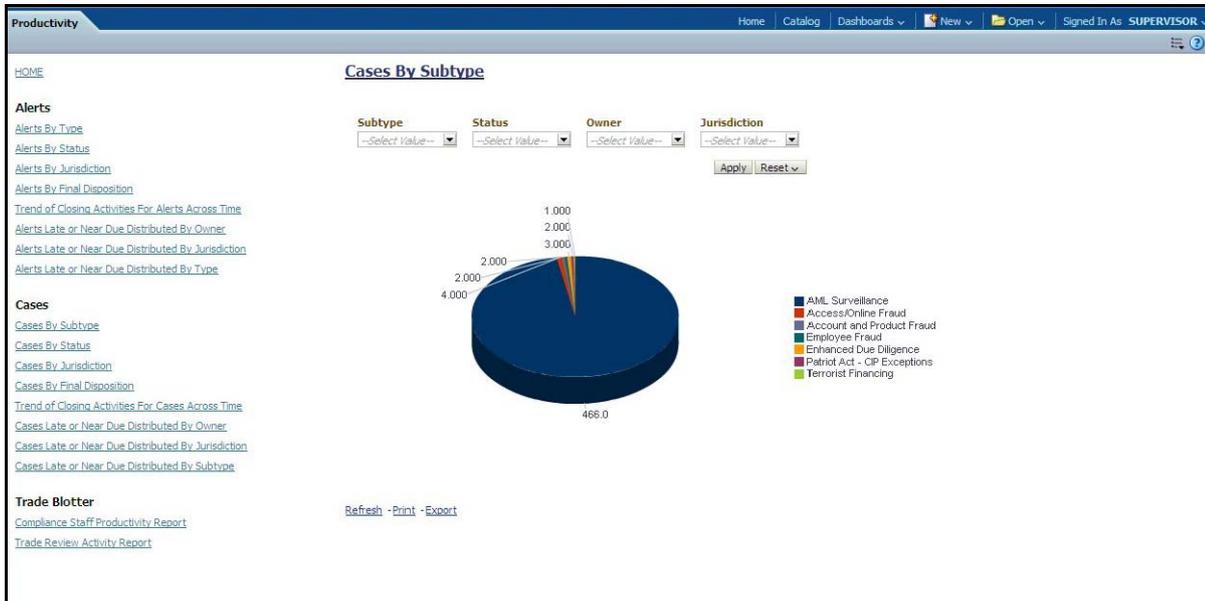
Figure 113. Cases by Subtype

Following are the filter options available for this report:

- **Subtype:** A multi-select box that provides a list of case subtypes associated with the cases.

- **Status:** A multi-select box that provides a list of case statuses.

- **Owner:** A multi-select box that displays the current owners associated with the cases.

- **Jurisdiction:** A multi-select box from which you can filter the cases by the jurisdiction associated with them.

When you have selected your search criteria and clicked **Go**, the report displays a new chart that reflects the criteria you entered. Each section of the pie chart defines the count of cases based on the selected filters. When you click on any section of the chart or a box in the legend, the system displays a corresponding drill-down report.

Cases by Status

The Cases by Status report displays active cases by their status in a graphical pie chart. By default, the report is displayed with no filtering applied.

Figure 114. Cases by Status

Note: Refer to the section *Case Statuses* for more information about how an Enterprise Case Management Enterprise Case Management case moves through the case life cycle.

Following are the filter options available for this report:

- **Type:** A multi-select box that provides a list of case subtypes associated with the case.

- **Status:** A multi-select box that provides a list of case statuses.

- **Owner:** A multi-select box that displays the current owners associated with the cases.

- **Jurisdiction:** A multi-select box from which you can filter the cases by the jurisdiction associated with them.

When you have selected your search criteria and clicked **Go**, the report displays a new chart that reflects the criteria you entered. Each section of the pie chart represents the count of active alerts based on the selected filters. When you click on any section of the chart or a box in the legend, the system displays the corresponding drill-down report.

Cases by Jurisdiction

The Cases by Jurisdiction report displays the count of cases by those jurisdictions in a graphical pie chart.

Figure 115. Cases by Jurisdiction

Following are the filter options available for this report:

- **Type:** A multi-select box that provides a list of types associated with the case.

- **Status:** A multi-select box that provides a list of case statuses.

- **Jurisdiction:** A multi-select box from which you can filter the cases by the jurisdiction associated with them.

When you have selected your search criteria and clicked **Go**, the report displays a new chart that reflects the criteria you entered. Each section of the pie chart defines the count of cases based on the selected filters. When you click on any section of the chart or a box in the legend, the system displays the corresponding drill-down report.

Cases by Final Disposition

The Cases by Final Disposition report displays a graphical pie chart for the count of closed cases by their closing activity. By default the chart shows final dispositions for the cases closed in the last month based on date. You also have the option of selecting the final disposition during the last one week or the last one year based on date. For example, if the report is run on June 14th, then the report will cover the time period from May 14th to June 14th.
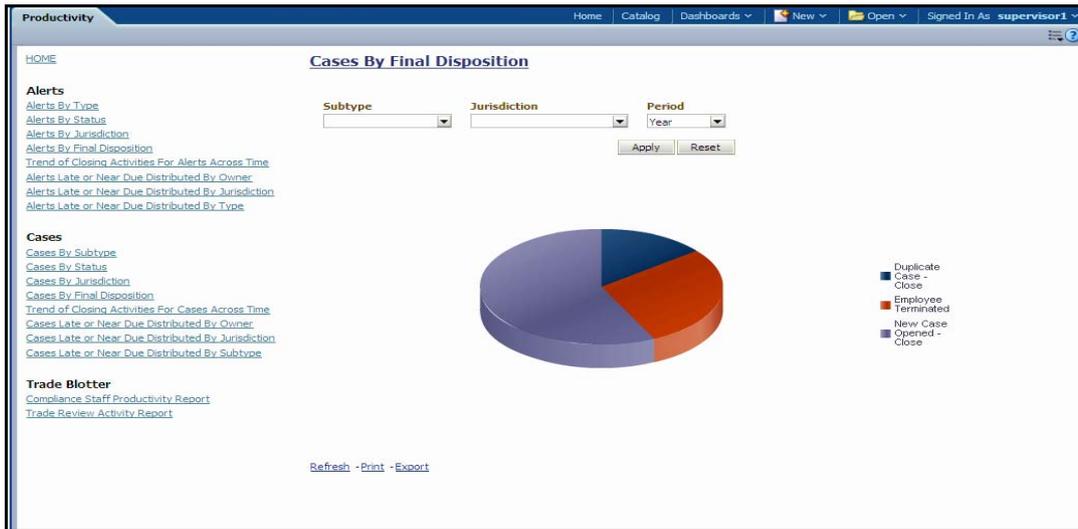
Figure 116. Cases by Final Disposition

Following are the filter options available for this report:

- **Type:** A multi-select box that provides a list of case subtypes associated with the cases.

- **Jurisdiction:** A multi-select box from which you can filter the cases by the jurisdiction associated with them.

- **Period:** A drop-down list box that allows you to select the cases that closed within the past week, month or year based on date.

When you have selected your search criteria and clicked **Go**, the report displays a new chart that reflects the criteria you entered. Each section of the pie chart defines the count of cases based on the selected filters. When you click on any section of the chart or a box in the legend, the system displays the corresponding drill-down report.

Trend of Closing Activities for Cases Across Time

The Trend of Closing Activities for Cases Across Time report looks at the trend for closing activities among cases. Initially, the clustered bar graph displays the trend of closing activities based on a week for the rolling quarter to date. You can also display the trend on a monthly basis for a rolling year to date.
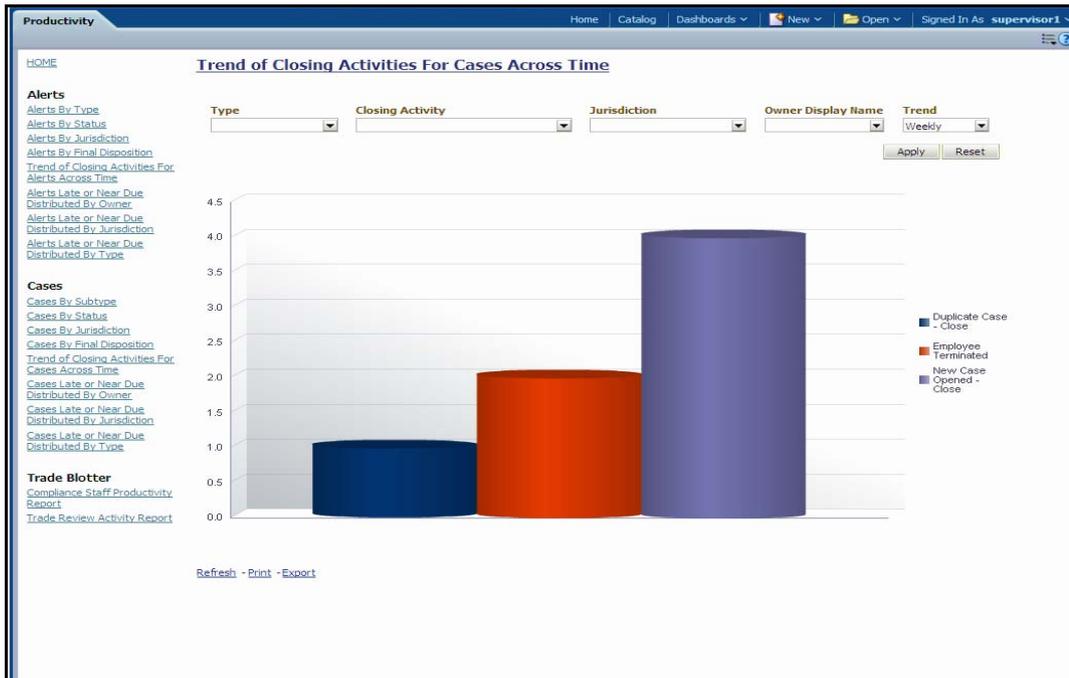
Figure 117. Trend of Closing Activities for Cases Across Time

Following are the filter options available for this report:

- **Type:** A multi-select box that provides a list of case subtypes associated with the cases.

- **Status:** A multi-select box that provides a list of case statuses. You can select a status to see the count of cases associated with it.

- **Closing Activity:** A multi-select box that provides a list of closing activities for cases.

- **Jurisdiction:** A multi-select box from which you can filter the cases by the jurisdiction associated with them.

- **Trend:** The drop-down list provides the option to select a time period.

When you have selected your search criteria, click **Go** to display the report. You can click on the closing activity in the clustered bar graph to drill down to the detailed report for that activity. You can also drill down by clicking on the name of the closing activity displayed in the legend located to the right of the chart and then clicking on the week/month in the respective axis label below the graph.

Cases Late or Near Due Distributed by Owner

The Cases Late or Near Due Distributed by Owner report displays a clustered bar chart for counts of cases that are either past their Service Level Agreement (SLA) deadline or approaching the SLA deadline. The Late and Near Due bars are distributed across owners.
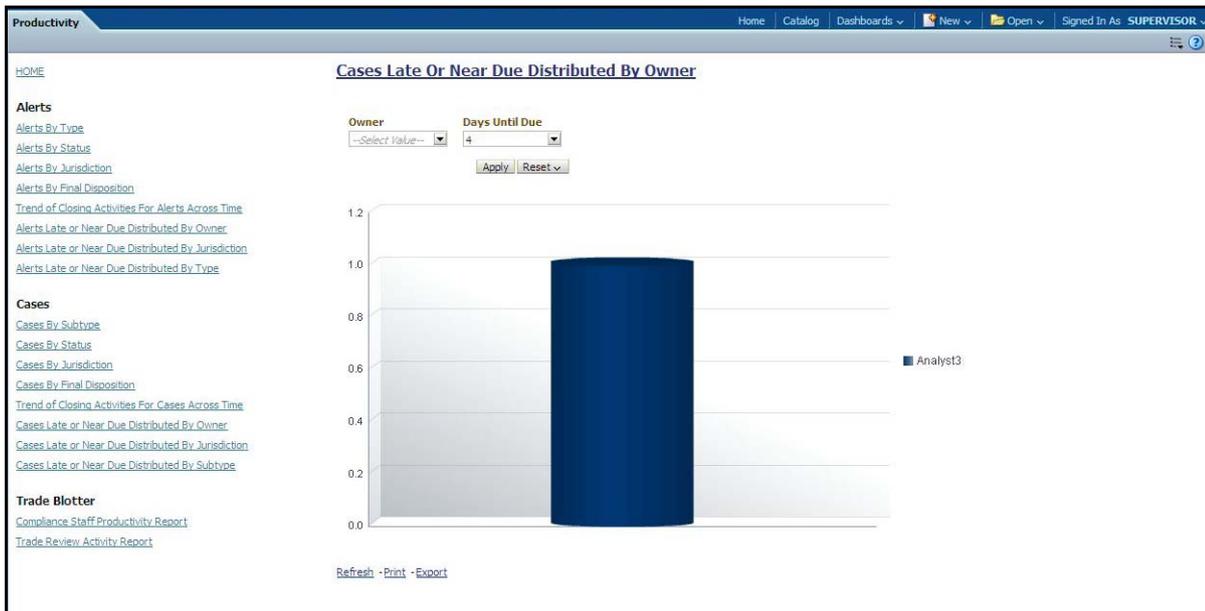
Figure 118. Cases Late or Near Due Distributed by Owner

Following are the filter options available for this report:

- **Owner:** A multi-select box that provides a list of the owners associated with the cases.

- **Days Until Due:** A drop-down list that allows you to select the number of days until the SLA deadline. You can select between one and five days which are relative to the system date. The default number of days is 4.

When you have selected your search criteria and clicked **Go**, the report displays a new chart that reflects the criteria you entered.

You can click on the Late or Near Due bar for an owner to access the associated drill-down report. You can also drill down to see all the late cases or near due cases for owners by clicking on the legend to the right of the chart. To see both late and near due cases for a particular owner, click on the owner name located on the axis below the graph.

Cases Late or Near Due Distributed by Jurisdiction

The Cases Late or Near Due Distributed by Jurisdiction report displays a clustered bar chart for counts of cases that are either past their Service Level Agreement (SLA) deadline or approaching the SLA deadline. The Late and Near Due bars are distributed across jurisdictions.
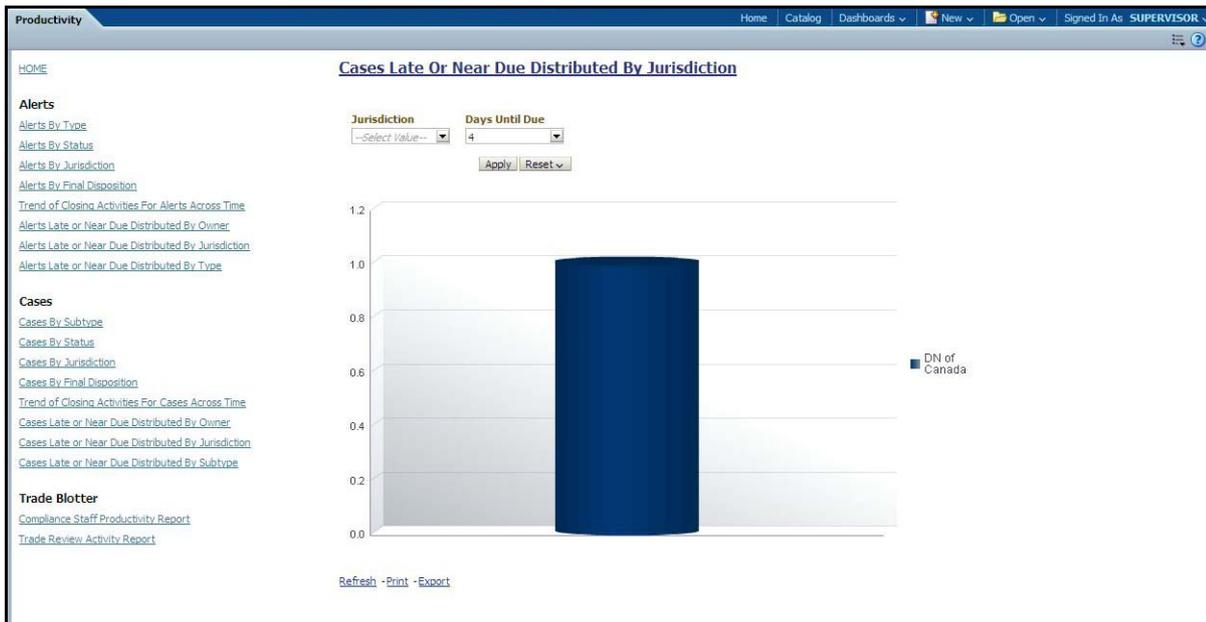
Figure 119. Cases Late or Near Due Distributed by Jurisdiction

Following are the filter options available for this report:

- **Jurisdiction:** A multi-select box that provides a list of the jurisdictions associated with the cases.

- **Days Until Due:** A drop-down list that allows you to select the number of days until the SLA deadline. You can select between one and five days which are relative to the system date. The default number of days is 4.

When you have selected your search criteria and clicked **Go**, the report displays a new chart that reflects the criteria you entered.

You can click on the Late or Near Due bar for a jurisdiction to access the associated drill-down report. You can also drill down to see all the late cases or near due cases for jurisdictions by clicking on the legend to the right of the chart. To see both late and near due cases for a particular jurisdiction, click on the jurisdiction name located on the axis below the graph.

Cases Late or Near Due Distributed by Type

The Cases Late or Near Due Distributed by Type report displays a clustered bar chart for counts of cases that are either past their Service Level Agreement (SLA) deadline or approaching the SLA deadline. The Late and Near Due bars are distributed across types.

Figure 120. Cases Late or Near Due Distributed by Type

Following are the filter options available for this report:

- **Type:** A multi-select box that provides a list of the sub type(s) associated with the cases.

- **Days Until Due:** A drop-down list that allows you to select the number of days until the SLA deadline. You can select between one and five days which are relative to the system date. The default number of days is 4.

When you have selected your search criteria and clicked **Go**, the report displays a new chart that reflects the criteria you entered.

You can click on the Late or Near Due bar for a type to access the associated drill-down report. You can also drill down to see all the late cases or near due cases for types by clicking on the legend to the right of the chart. To see both late and near due cases for a particular type, click on the type name located on the axis below the graph. Refer to *Case List* to see an example of an Case List drill-down report.

Average Time Taken for Case Closure

The Average Time Taken for Case Closure report provides details of user productivity with respect to time taken for case closure. This report displays a tabular column of Productivity Per User/Organization and Active Cases Per User/Organization.
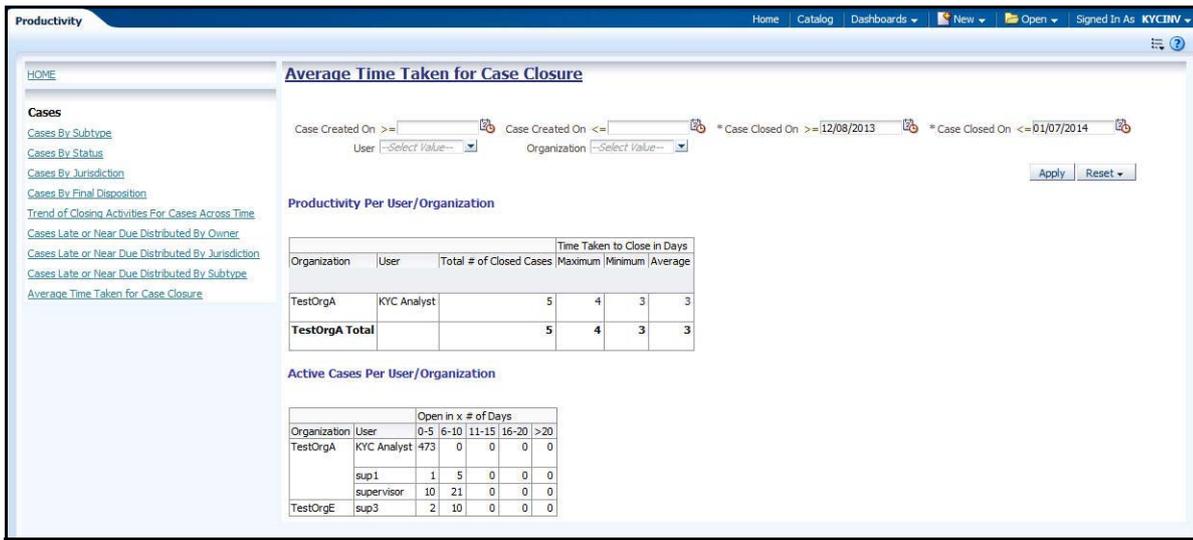
Figure 121. Average Time Taken for Case Closure

Following are the filter options available for this report:

- **Case Created On >=**: Select a date from the calender icon to filter the list of KYC cases whose case created date is greater than or equal to the selected date.

- **Case Created On >=**: Select a date from the calender icon to filter the list of KYC cases whose case created date is less than or equal to the selected date.

- **Case Closed On >=**: Select a date from the calender icon to filter the list of KYC cases whose case closed date is greater than or equal to the selected date.

- **Case Closed On <=**: Select a date from the calender icon to filter the list of KYC cases whose case closed date is less than or equal to the selected date.

- **User**: Select the user from the multi-select filter to filter the list of KYC cases based on the selected user(s). The drop-down list displays the list of users with access to Case Management (CM) roles and excludes the Administrator roles.

- **Organization**: Select the organization from the multi-select filter to filter the list of KYC cases based on the selected organization(s).

The following table provides the description for each component that display in the Productivity Per User/Organization and Active Cases Per User/Organization tabular column:

Table 57. Productivity Per User/Organization and Active Cases Per User/Organization Field Descriptions

Field Name	Description	Productivity Per User/Organization	Active Cases Per User/Organization
Organization	Displays the name of the organization to which the user is mapped.	X	X
User	Displays the name of the user who has access to the Case Management and are mapped to the selected organization.	X	X

Table 57. Productivity Per User/Organization and Active Cases Per User/Organization Field Descriptions

Total # of Closed Cases	Displays the total number of the KYC cases closed by a user.	X	
Time Taken to Close in Days	Displays the number of days a user has taken to close the KYC case distributed by maximum, minimum and average days.	X	
Open in X # of Days	Displays the number of open KYC cases distributed across various ranges namely 0 to 5, 6 to 10, 11 to 15, 16 to 20 and >20.		X

Drill-Down Reports

This section includes the drill-down reports, which are displayed when you click on a section of a graph, legend entry or x-axis label as described in a report's section in this user guide. The drill-down reports provide you with a list of investigations or regulatory reports that are associated with the sector of the graph that you select.

Depending on the subject of the analytics, the associated drill-down list displays as follow:

- For case-centered analytics, the Case List displays.

- For regulatory reports, the SAR List displays.

The drill-down reports are as follows:

- Case List

- SAR List

Case List

The Case List page displays the underlying cases for a selected section of a graph in a tabular format.

Figure 122. Sample Drill-down Report for Cases

SAR List

The Suspicious Activity Report (SAR) List page displays the reports associated with the SAR filed in a regulatory reporting system in a tabular format..

Figure 123. Sample Drill-down Report for SARs

Setting User Preferences

This chapter covers the following topics for changing your Enterprise Case Management preferences:

About the Preferences Page

The Preferences page enables you to change your default preferences for Enterprise Case Management. You can click the (-) or (+) icons to contract and expand the section that you want to view.

You can access the Preferences page by clicking **Preferences** on the navigation bar. The Preferences page enables you to set preferences as described in the following sections:

- Setting Default Workflow
- Setting Default Graphs for Home Page
- Setting Default Priority List for Home Page
- Setting Case Search and List Options
- Setting Options for Case Simple Search
- Setting Options for Case Advanced Search
- Setting Options for Notifications on Home Page
- Setting Options for Email

Note: Some components of the Preference page are specific to either Alert Management or Enterprise Case Management. Firms that have implemented both and users with access to both will see a superset of items for which preferences can be set. Where only one has been installed or users with access to just one or the other will see preferences related to the component for which they have access.

Setting Default Workflow

The Workflow section enables you to set the default workflow and page in the Enterprise Case Management UI.

Figure 124. Default Workflow Section

The Default Workflow section contains the following preference options:

- Setting the Default Workflow
- Setting the Investigation Workflow Default Page
- Setting the Administration Workflow Default Page

Setting the Default Workflow

You can set your default workflow by selecting one of the option from the **Set Default Workflow** drop-down list. Until you change your default workflow option, Enterprise Case Management defaults to the Home page when you first log in to the system.

Enterprise Case Management displays the default page of the selected workflow as the first page the next time you log on to the application.

- Select the **Home** option to display the Home page as the first page.

- Select the **Investigations** option to display the Search & Case List page/ KYC Search & Case List page as the first page.

- Select the **Reports** option to display the Cases - AML/Fraud reports or Cases - KYC reports page as the first page.

- Select the **Preferences** option to display the Preferences page as the first page.

- Select the **Administration** option to display the User Administration and Admin Tools as the first page.

Note: Your user role determines which workflows you can access.

Setting the Investigation Workflow Default Page

You can set your investigation workflow by selecting one of the option from the **Set Default Workflow** drop-down list. Until you change your investigation workflow option, Enterprise Case Management defaults to the Cases - AML/Fraud page when you first log in to the system.

Enterprise Case Management enables you to set your Investigations workflow page to any of the following page:

- **Cases - AML/Fraud:** Select this option to display the Search & Case List page when you log back into the system and navigate to the Investigations workflow. This is the default setting.

- **Create Case:** Select this option to display the New Case page when you log back into the system and navigate to the Investigations workflow. This is the default setting.

- **Cases - KYC**: Select this option to display the KYC Search & Case List page when you log back into the system and navigate to the Investigations workflow.

- **KYC Assessments**: Select this option to display the KYC Assessments Search & List page when you log back into the system and navigate to the Investigations workflow.

Note: Your user role determines which workflows you can access.

Setting the Administration Workflow Default Page

You can set your investigation workflow by selecting one of the option from the **Set Default Workflow** drop-down list. Until you change your investigation workflow option, Enterprise Case Management defaults to the Cases - AML/Fraud page when you first log in to the system.

Note: The drop-down list will display options based on your user roles and access permissions. Refer to *Administration Guide* for more information.

Setting Default Graphs for Home Page

You can set the default graphs on the Home page of the Enterprise Case Management UI. The Set Default Graphs for Home Page section contains the following preference options:

- **Set Graph 1** drop-down list: Lists all the graphs to the user having adequate roles and access privileges.

- **Set Graph 2** drop-down list: Lists all the graphs to the user having adequate roles and access privileges.

You can choose two graphs in any combinations for Enterprise Case Management workflow.

Figure 125. Default Graph for Home Page Section

Until you change your default Graphs preference, Enterprise Case Management defaults to Cases by Status and Cases by Type graphs of having access to Investigation workflow.

Setting Default Priority List for Home Page

Enterprise Case Management enables you to set preference the Set Default Priority List for Home page section.

Figure 126. Default Priority for Home Page Section

The Set Default Priority List for Home page section contains the following mutually exclusive options:

- Alert List

- Case List

- KYC Case List

Until you change your default Priority List preference, Enterprise Case Management defaults to Cases List, respectively.

Setting Case Search and List Options

The Set Case Search and List Options section enables you to set the display preferences in the Search and Case List page.
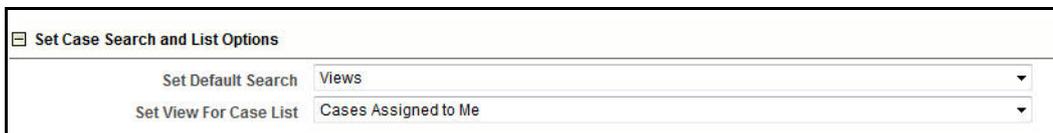
Figure 127. Set Case Search and List Options section

The Set Case Search and List Options section contains the following preference options:

- Setting the Default Search

- Setting the View for Case List

Note: While setting the default search options for Views, you need to mandatorily select a value from the **Set View for Case List** drop-down list options. If you click **Save** after selecting **Blank** as the value from the **Set View for Case List** drop-down list options, the following message is displayed: *You have selected Views as the default search. Please make sure that you have selected a value from the set view for case list dropdown.*

Setting Options for Case Simple Search

Enterprise Case Management enables you to set fields that are part of a Simple Search option. The fields that are available in the Preference page displays in the Search and Case List page.

Figure 128. Set Options for Case Simple Search

Table 58 provides search filters for the simple case search

Table 58. Case Simple Search Options

Column	Description
Case Created In the Last	Filters the case list by case created in the last 1day, 5 days,10 days, or 30 days.
Status	Filters the case list by the status of cases that matches the search criteria.
Type	Filters the case list by the type of cases that matches the search criteria.
Subtype	Filters the case list by the sub type of cases that matches the search criteria.
Priority	Filters the case list by the priority assigned to the case that matches search criteria.
Subclass 1	Filters the case list by the type code of the case Subclass 1 associated with this case subclass.
Subclass 2	Filters the case list by the type code of the case Subclass 2 associated with this case subclass.
Case Due	Filters the case list by past and up to the date you enter by which an action should be taken on the case.
Owner	Filters the case list by a user or group of users who own a case. If you filter by Owner, you cannot filter by Organization.
Assigned To	Filters the case list by a user or group of users to whom a case is assigned.

For Case Creation date, instead of displaying preference options for the date **To** and **From** fields, a **Cases Created in the Last** drop-down list is displayed with the following values:

- Blank

- 1 Day

- 5 Days

- 10 Days

- 30 Days

Based on the value you select here, the system resets the values in the **To** and **From** date fields on the Search page accordingly. For example, if you select 30 days as the preference setting, the To date field is populated with the current system date and the From date field is populated with the date 30 calendar dates prior to the current system date. If you select the Blank option as the default preference, the system resets the **To** and **From** date fields on the Search page to a blank value.

Similarly, for the case Due Date, instead of displaying preference options for the date, a **Case Dues** drop-down list is displayed with the following values:

- Blank

- Due

- Overdue

- Within 1 Day

- Within 5 Days

- Within 10 Days

Setting Options for Case Advanced Search

Enterprise Case Management enables you to set fields that are part of a Advanced Search option. The fields that are available in the Preference page displays in the Search and Case List page.

Figure 129. Set Options for Case Advanced Search

Table 59 provides descriptions of search filters available in the advanced case search

Table 59. Case Advanced Search Options

Column	Description
Title	Filters the case list by the name of the cases that matches the search criteria.
Entity Type	Filters the case list by the type of business entity you select in the drop-down list box. Select the focus from the Entity Type drop-down list and type either Entity Name or Entity ID to search for cases.
Entity ID	The unique identifier for entity that is associated with cases you want to view.The field accept up to 50 characters of text in the Entity ID text box.
Entity Name	The entity name associated with cases you want to view.
Jurisdiction	Filters the case list by the jurisdiction to which you are assigned.

Table 59. Case Advanced Search Options

Column	Description
Domain	Filters the case list by the business domain associated with a case. The multi-select list box contains only the business domains with which you are authorized to view.
Organization	Filters the case list by the ID of the organization associatedwith the owner of a case.
Resolution	Filters the case list by the selected action representing a resolution action recorded for a case.
Last Action	Filters the case list by the selected action or actions representing the last action recorded for a case.
Action	Filters the case list by one or more actions that have been taken on a case.
Regulatory Report Type	Filters the case list by the type of a Regulatory Reporting that was initiated from the case. Regulatory Reporting is an optional Oracle application.
Regulatory Report Status	Filters the case list by the status of a Regulatory Reporting that was initiated from the case.Regulatory Reporting is an optional Oracle application.
Linked Alerts	Filters the case list by the number of alerts that are linked to the case.
Linked Cases	Filters the case list by the number of cases that are linked to the alert.

Setting Options for Notifications on Home Page

Enterprise Case Management enables users whose roles allow them to own, assign, or reassign alerts and cases.

Figure 130. Set Options for Notification on Home Page

These preferences allows you to select the type of notifications you want to receive in the Notification section of the Home page:

- Do not notify me when alerts are reassigned to my Organizations

- Do not notify me when cases owned by me are acted upon by Assignee

- Do not notify me when cases assigned to me are acted upon by Owner

- Do not notify me when cases are assigned/reassigned to my Organization(s)

This option do not notifies you of alerts and cases requiring your review.

Setting Options for Email

Enterprise Case Management enables you to set preferences on the outgoing emails. To enable this option, select the **Copy me on outgoing emails** check box. This option copies you on the emails you sent from the Actions page.

Figure 131. Set Options for Email

APPENDIX A   *Message Pages*

The Enterprise Case Management applications are Web-based and, therefore, you may occasionally see one or more of the following types of message pop-ups apart from those directly related to the business function of the application. This section defines the following message types that are relevant to your activity within the application:

- **Error Messages:** Displays to alert you that you have performed an activity that is not compatible with the application

- **Status Messages:** Displays to alert you of the status of either your current activity or your access rights

- **Informational Messages:** Displays to confirm actions you are taking or to warn you of additional requirements to be met to complete an action

Error Messages

The following error messages display to alert you that you have performed an activity that is not compatible with the application:

- Authentication Errors

- Multiple Session Errors

- Unique Constraint Violation Error

Authentication Errors

Authentication Error pages display if you enter an invalid user ID or password on the Login page.

Additionally, this type of message displays if you inadvertently type the correct login information with improper capitalization or with the Caps Lock key set, as passwords are case-sensitive.
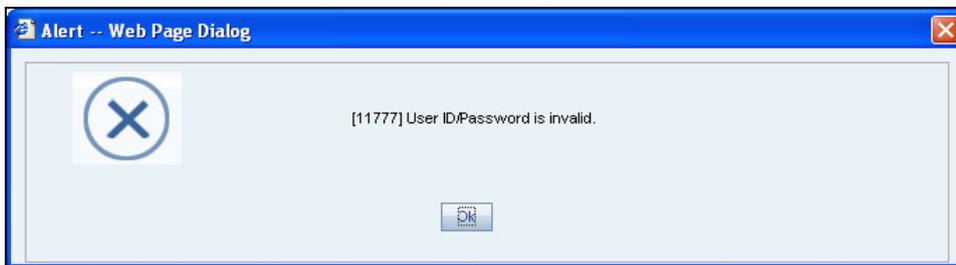
Figure 132. Authentication Error Page

To reattempt your log in, click **OK** on the Authentication Error page.

Multiple Session Errors

If you try to login the application in a parallel browser when you have already logged into the application in another browser, the Multi Session Error displays. A parallel session is one which is improperly started by selecting **New/Window** from the File menu in IE or by pressing the CTRL+N key and continuing to work in both sessions..

Figure 133. Multiple Session Error Page

Clicking the **OK** button in the message will close the second browser.

In order to login to a second session in parallel with existing session, open a new browser, and select **File' New Session**. A second session opens that enable you to login. When working with two sessions, logout from one of the session does not affect the other session.

Unique Constraint Violation Error

When entering data in the business tabs of a case, if you save a record with an ID that duplicates an ID that already exists for that business entity in the case, then the *Unique Constraint Violation* error displays. The message displays an **OK** button. On click of **OK**, the error message pop-up is closed and the newly entered data remains unsaved

Figure 134. Unique Constraint Violation Page

Status Messages

Status messages display to warn you that another user has locked a case that you are trying to access.

Alert/Case Locked

The Alert/Case Locked dialog box displays to let you know that the selected alert/case records are locked as a result of another user who is currently acting on an alert/a case you have selected.

If you have selected one or more alerts/cases to perform some action, and if another user is currently taking an action on all those selected alerts/cases, then the Alert/Case Locked dialog box displays with the following message:

- **When alerts are locked:** All selected alert records are locked by another user. Please try again later.

- **When cases are locked:** All selected case records are locked by another user. Please try again later.

If you have selected one or more alerts/cases to perform some action and if another user is currently taking an action on one or some of those selected alerts/cases, then the Alert/Case Locked dialog box displays with the following message:

- **When some alerts are locked:** One or more Alerts are locked by another user. Select OK to continue, Cancel to return to the Alert List.

- **When some cases are locked:** One or more cases are locked by another user. Click **OK** to continue performing actions for cases which are not locked.

If you have selected an alert/a case, which is already locked by another user, then on clicking the **Case ID** hyperlink in order to navigate to the Case details page, the Alert/Case Locked dialog box displays with the following message:

- **When alert is locked:** The selected alert is locked by another user. Click **OK** to view the alert details page in view mode only and Cancel to return to list page.

- **When Case is locked:** The selected case is locked by another user. Click **OK** to view the case details page in view mode only and Cancel to return to list page.

Informational Messages

The Informational messages display as a pop-up either with the **OK** button, or with the **OK** and **Cancel** buttons. The following are a few instances where these messages display.

- If you do not enter information into a field, which is required for an action to be performed

- A pre-save confirmation message asking you if you would like to save the actions you have chosen to perform

- A post save confirmation message informing you if the actions performed have been successful or not

- A confirmation message if you choose to edit or remove a record

- If you have not selected a case/business entity for an action to be performed

- If you choose to cancel an action, which has not been saved

Informational messages help you successfully perform an action and warn you if you have missed certain steps out for the successful completion of an action undertaken.

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