

Oracle Financial Services
Regulatory Reporting
Uganda Suspicious Transaction Report
User Guide

Release 2.5.2
October 2014



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Regulatory Reporting
Uganda Suspicious Transaction Report

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About This Guide

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

This chapter discusses the following topics:

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

Who Should Use this Guide

The *Oracle Financial Services Regulatory Reporting User Guide* is designed for use by various users. Their roles and responsibilities, as they operate within the Oracle Financial Services Regulatory Reporting application, include the following:

- **Analyst:** This user can access Regulatory Reports, create new reports, edit/view report details, add comments to the report, request for approval, cancel filing of reports from *Open* and *Reopen* status, reopen cancelled reports, and also view/save the final report.
- **Supervisor:** This user can access Regulatory Reports, create new reports, edit and view report details, add comments to the report. This user can also take actions on the reports such as approve, rework, and cancel filing of reports. This user can also submit the reports.
- **Auditor:** This user can view and add comments to the report.
- **RR Admin:** This user is responsible for handling various configurations required to support the report workflow.

How this Guide is Organized

The *Oracle Financial Services Regulatory Reporting User Guide* includes the following topics:

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

Where to Find More Information

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

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

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

Conventions Used in this Guide

Table 1 lists the conventions used in this guide.

Table 1. Conventions Used in this Guide

| Convention | Meaning |
|----------------|---|
| <i>Italics</i> | <ul style="list-style-type: none"> Names of books, chapters, and sections as references Emphasis |
| Bold | <ul style="list-style-type: none"> Object of an action (menu names, field names, options, button names) in a step-by-step procedure Commands typed at a prompt User input |
| Monospace | <ul style="list-style-type: none"> Directories and subdirectories File names and extensions Process names Code sample, including keywords and variables within text and as separate paragraphs, and user-defined program elements within text |
| Asterisk | Mandatory fields in User Interface |
| <Variable> | Substitute input value |

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

This chapter discusses the following topics:

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

Introduction to Regulatory Reporting

As a part of regulations and compliances, a Financial Services Organization must perform appropriate analysis and report any suspicious activities that may lead to fraud and money laundering to the regulatory authorities. These regulatory bodies are responsible for safeguarding financial institutions and consumers from abuse, providing transparency in the country's financial system, enhancing that country's security, and deterring and detecting criminal activity in the financial system.

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

About Oracle Financial Services Regulatory Reporting Application

The Oracle Financial Services Regulatory Reporting (OFSRR) application supports the management, delivery, and resolution of regulatory reports across multiple geographic regions and across multiple financial lines of business. The Regulatory Reporting application supports the generation of Suspicious Transaction Reports (STR) for various countries such as The United States of America Suspicious Activity Reports (US SAR), Nigeria (NG STR), Pakistan (PK STR), Malaysia (MY STR), Singapore (SG STR), New Zealand (NZ STR), Bahamas (BS STR), Kenya STR (KE STR), Burundi (BD STR), Rwanda (RW STR), and Uganda (UG STR). Since there are several differences in requirements for paper-based formats versus electronic formats, between different geographic regions, and the data elements that are required on these STRs, the approach to satisfy the end goal is to provide a regulatory reporting framework that is configured to support paper-based and electronic formats for different geographic regions and to generate and file different types of reports.

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

Users mapped to appropriate roles can update the report information and submit the report details for approval to the Supervisor. The Supervisor can approve, rework, cancel the filing or reject the cancellation request of the report. Once the STRs are approved, they can be submitted to the regulators. However, sending the documents to the regulator is the responsibility of the user and out of scope of the application.

For more information on the workflow of regulatory reports section, refer to *Table 2*.

This chapter explains the steps to login to the Oracle Financial Services Regulatory Reporting (OFSRR) application and provides a brief overview of the various users and their roles in the Regulatory Reporting application.

This chapter explains the following topics:

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

User Roles

The following user roles are defined in the Regulatory Reporting application:

- **Analyst:** This user can access Regulatory Reports, create new reports, edit/view report details, add comments to the report, request for approval, cancel filing of reports from *Open* and *Reopen* status, reopen cancelled reports, and also view/save the final report.
- **Auditor:** This user can view and add comments to the report.
- **Supervisor:** This user can access Regulatory Reports, create new reports, edit and view report details, add comments to the report. This user can also take actions on the reports such as approve, rework, and cancel filing of reports. This user can also submit the reports.
- **RR Admin:** This user is responsible for handling various configurations required to support the report workflow.

User Access

The following table explains the tasks that can be performed by various user roles in the Regulatory Reporting application.

Table 2. User Access

| Function | Analyst | Supervisor | Auditor | RR Admin |
|---|---------|------------|---------|----------|
| View Report | x | x | x | |
| Request for Approval | x | | | |
| Approve | | x | | |
| Rework | | x | | |
| Cancel Filing from Open and Reopen status | x | x | | |
| Cancel Filing from Requested for Approval and Approved status | | x | | |
| Add Report Comments | x | x | x | |
| View/Save Final Report | x | x | x | |

Table 2. User Access

| Function | Analyst | Supervisor | Auditor | RR Admin |
|--------------------------|---------|------------|---------|----------|
| Submit Approved Reports | | x | | |
| Reopen Cancelled Reports | x | x | | |
| View/Edit Configuration | | | | x |
| Create New Report | x | x | | |

Logging in to Regulatory Reporting

To access the Regulatory Reporting application, follow these steps:

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

Note:

- If you've installed OFSRR without OFSFCCM, the Oracle Financial Services Analytical Applications Infrastructure page will display the **OFSRR** link under the Home menu. Clicking **Regulatory Reporting** will navigate you to the Regulatory Reporting Search and List page.
- If you've installed OFSRR with OFSFCCM, the Oracle Financial Services Analytical Applications Infrastructure page will display the **FCCM** link under the Home menu. Clicking **FCCM** will navigate you to the OFSFCCM Home page depending upon your roles and access rights.

Accessing Regulatory Reporting from OFSFCCM

To access OFSRR from OFSFCCM, follow these steps:

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

The screenshot shows the OFSAAI Login Page. At the top, there is a blue header bar with the Oracle logo on the left and the text "Financial Services Analytical Applications Infrastructure" and "About" on the right. Below the header, the page is divided into two main sections. On the left, there is a login form with the following fields: "Language" with a dropdown menu set to "US-English", "User ID" with a text input field, and "Password" with a text input field. Below these fields is a "Login" button. On the right, there is a large image of a classical building with columns and a modern skyscraper. Below the image is the Oracle logo. At the bottom of the page, there is a footer with the text "Version 7.3.5.0.0" and "Copyright © 1993, 2014 Oracle and/or its affiliates. All rights reserved."

Figure 1. OFSAAI Login Page

2. Select the **Language** for the application.
3. Enter your **User ID**.
4. Enter your **Password**.

5. Click **Login**. The OFSAAI Home page is displayed.

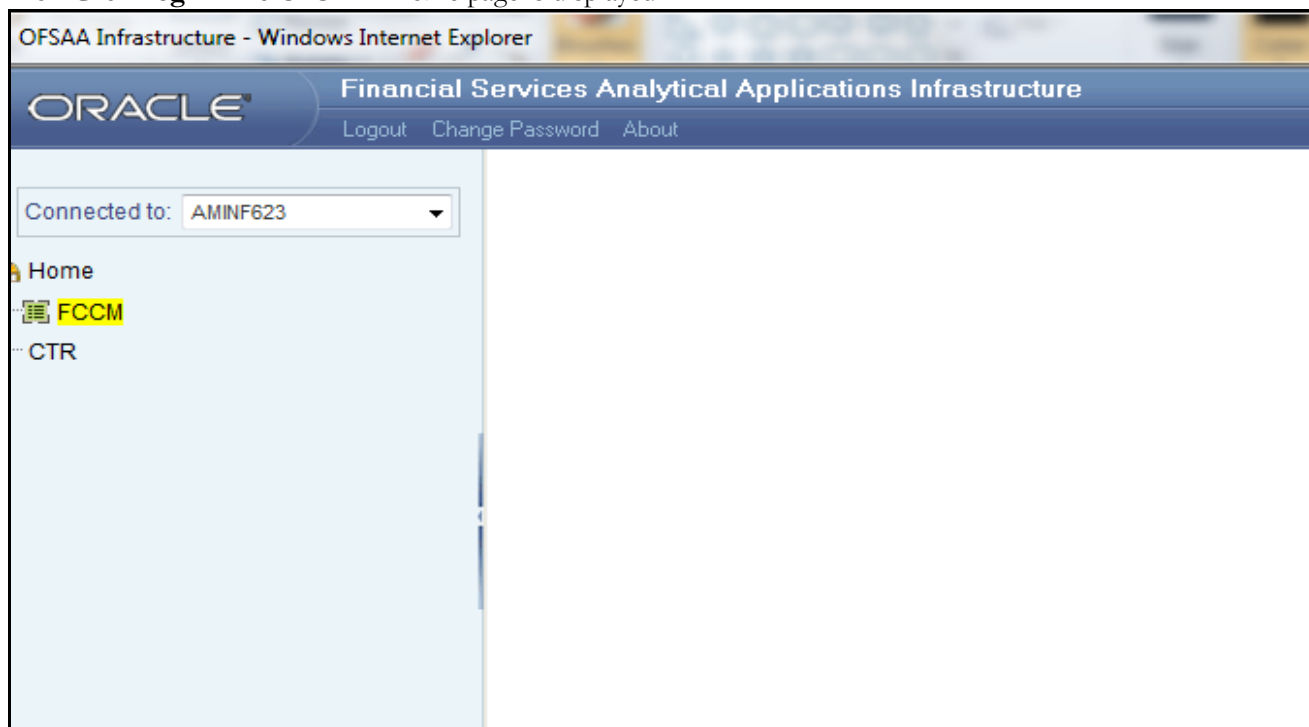


Figure 2. OFSAAI Home Page

6. Click **FCCM**. The OFSFCCM Home page is displayed depending upon the user roles and their access permissions.

- From the Regulatory Reporting menu, hover over Uganda STR, and click **Search and List**. The RR Search and List page opens.

ORACLE Financial Crime and Compliance FCCM Supervisor | Wednesday, October 29, 2014

Home | Monitoring | Investigation | Research | **Regulatory Reporting** | Reports | Preferences | About

Regulatory Reporting >> Uganda STR >> Search and List

Search | Views | Advanced Search | Reset | Go

Report Number: Report Name: Report Status:

Alert/Case ID: Customer Name: Transaction Account Number:

Created By: Created Date >=: Created Date <=:

Jurisdiction: Due Date >=: Due Date <=:

Regulatory Reports (4)

Unwrap | Create New Report | Reopen | Set Due Date | Submit | Export to Excel

| Report Number | Report Name | Alert/Case ID | Created Date | Created By | Due Date | Status | Regulatory Report | Zip File |
|----------------------|---------------------|---------------|--------------|--------------|------------|----------|------------------------|--------------------------|
| 2103 | Report | 23 | 17-10-2014 | uganalyst | 24-10-2014 | Approved | Report | Zip File |
| 2243 | Test Drive | - | 17-10-2014 | ugsupervisor | 24-10-2014 | Open | Report | Zip File |
| 2327 | rair1 | - | 20-10-2014 | ugsupervisor | 27-10-2014 | Open | Report | Zip File |
| 2507 | Suspicious Activity | - | 29-10-2014 | uganalyst | 05-11-2014 | Open | Report | Zip File |

Figure 3. RR Search And List Page in OFSFCCM

- Users mapped to Analyst, Auditor, and Supervisor roles can access the Regulatory Reports menu.
- Users mapped to the RR Admin role can access the Administration menu.

Based on the user roles and access permission, the Regulatory Reporting application displays the following menu options:

- Search and List:** This menu option allows you to navigate to the Search and List page. From this page you can use various criteria to search for Regulatory Reports.
- Create New Report:** This menu option allows you to navigate to the Create New Reports page where you can initiate a user created Regulatory Report.
- Administration:** The Administration menu displays the following sub-menus:
 - User Administration:** This menu option allows you to map and maintain the security attributes for each user role.
 - Web Service Configuration:** This menu option allows you to reset the Webservice password. For more information on resetting the User ID and Password, refer to the *Oracle Financial Services Regulatory Reporting Administration Guide*.

This chapter provides step-by-step instructions to manage Oracle Financial Services Regulatory Reporting (OFSRR) and includes the following topics:

- Regulatory Reporting Workflow
- Creating an STR
- Searching STRs
- Submitting an STR for Approval
- Adding Comments to an STR
- Setting Due Date of an STR
- Exporting the Report Details to Excel

Regulatory Reporting Workflow

This section explains the workflow of regulatory reports for users mapped to the role of Analyst and Supervisor. The following figure depicts the workflow involved in regulatory reporting application:

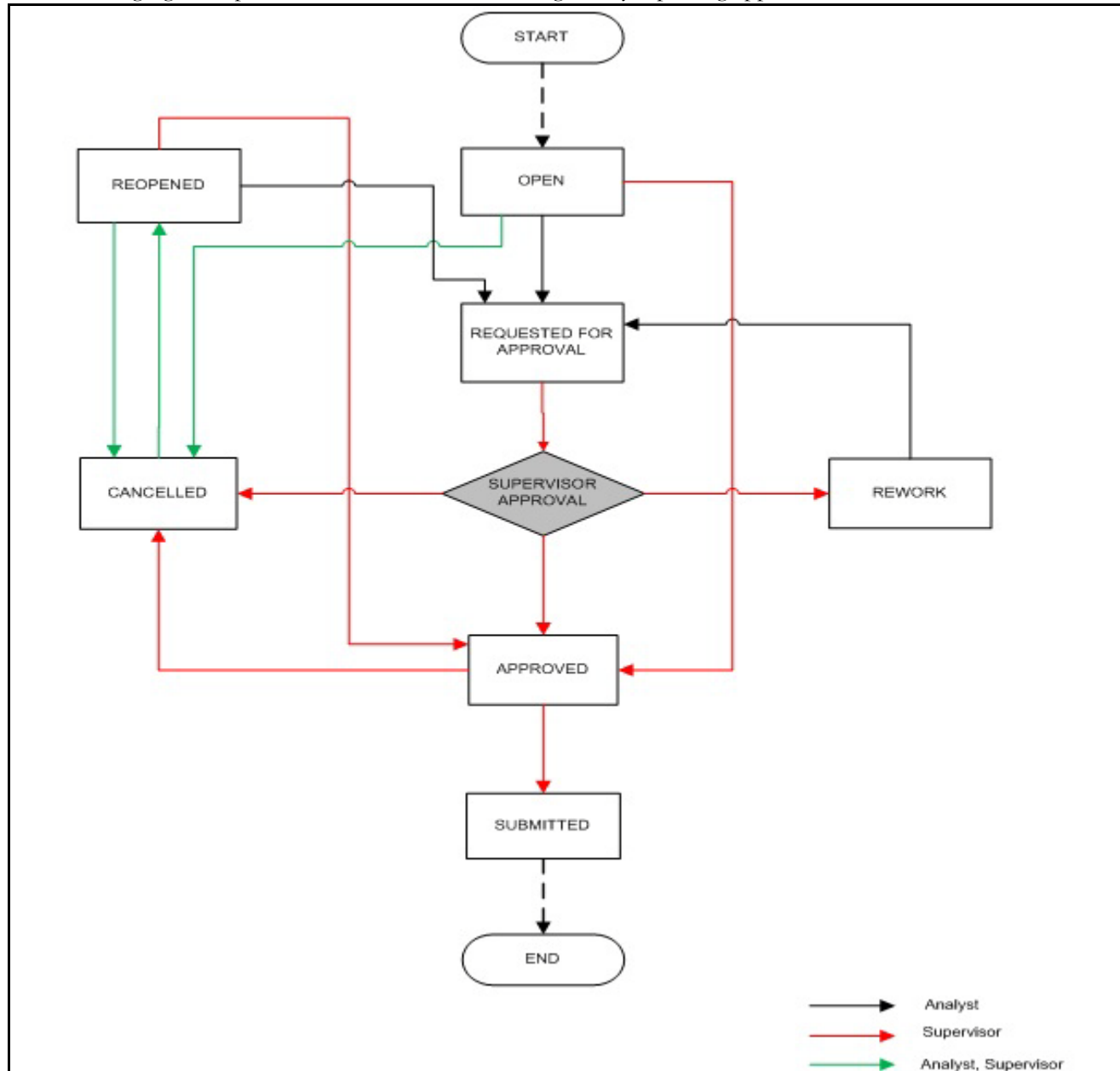


Figure 3. Regulatory Reporting workflow for Analyst and Supervisor

An STR is created in the Regulatory Reporting application as a result of taking *Generate UG STR* action from within OFSFCCM or manually creating a report from OFSRR. When an STR is created in the Regulatory Reporting application through OFSFCCM, the report details are auto-populated with information from the alert or case which triggered the action to generate the STR. Users mapped to the role of Analyst can update the report in *Open* status and request the report details for approval. During the edit and review process, the STR is available to view as a draft report.

The Supervisor can approve, rework, and cancel filing of reports once the Analyst user has requested for approval. Supervisors can also edit the report details and approve reports directly, if needed.

If the STR is approved by the Supervisor, the Regulatory Reporting application generates the STR in final Word format after all the necessary validations. The STR is then manually submitted to the Regulator. Submission to the Regulator occurs outside of OFSRR. The STR status can then be marked as *Submitted* in the Regulatory Reporting application.

The Supervisor can cancel the submitted reports. The STR status changes to *Cancelled*.

If required, the Supervisor can send the reports for rework when the report is in *Request for Approval* status. The analyst must then rework and re-submit the report for approval. This process continues until the report is approved or cancelled.

The application allows authorized users to reopen cancelled reports. The STR status then changes to *Reopened*.

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

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

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

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

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

Table 3. Action that can be performed in various statuses

| Report Status | Possible Actions | Who can Perform | Report Status Changes To |
|------------------------|----------------------|------------------------|--------------------------|
| Open | Request for Approval | Analyst | Requested for Approval |
| | Approve | Supervisor | Approved |
| | Cancel Filing | Analyst and Supervisor | Cancelled |
| Reopened | Request for Approval | Analyst | Requested for Approval |
| | Approve | Supervisor | Approved |
| | Cancel Filing | Analyst and Supervisor | Cancelled |
| Requested for Approval | Approve | Supervisor | Approved |
| | Rework | Supervisor | Rework |
| | Cancel Filing | Supervisor | Cancelled |
| Approved | Submitted | Supervisor | Submitted |
| | Cancel Filing | Supervisor | Cancelled |
| Rework | Request for Approval | Analyst | Requested for Approval |
| Cancelled | Reopen | Analyst and Supervisor | Reopened |

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

Table 4. Statuses in which Reports are editable by users

| Status | Edit Report Details | | |
|------------------------|---------------------|------------|---------|
| | Analyst | Supervisor | Auditor |
| Open | X | X | |
| Reopened | X | X | |
| Requested for Approval | | X | |
| Approved | | | |
| Rework | X | X | |
| Submitted | | | |
| Cancelled | | | |

You cannot edit the report details when the report is in **View Only** mode. You can add comments to an STR in all the statuses. For more information, refer to *Table 5*.

Table 5. Statuses in which Reports are viewed by users

| Status | View Report Details | | |
|------------------------|---------------------|------------|---------|
| | Analyst | Supervisor | Auditor |
| Open | X | X | X |
| Reopened | X | X | X |
| Requested for Approval | X | X | X |
| Approved | X | X | X |
| Rework | X | X | X |
| Submitted | X | X | X |
| Cancelled | X | X | X |

Creating an STR

You can create a new STR whenever you identify a suspicious transaction and want to report it to the Regulator. You can manually create a new report from within OFSRR or through OFSFCCM.

This section covers the following topics:

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

Creating STR from OFSFCCM

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

- Creating STR on an Alert
- Creating STR on a Case

Creating STR on an Alert

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

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

Home Monitoring Investigation Research Regulatory Reporting Reports Preferences About

Alerts

Search Views Advanced Search Reset Go

Created From: 10/01/2014 Created To: 10/31/2014

Organization: Owner:

Scenario Class: Scenario:

Status: Focus:

Closing Action: Score:

Search By Alert ID: 13542

Note: Search by Alert ID will ignore all other search criteria.

Alert List (1)

Expand All Reassign Actions Disposition Email Export Regulatory Reporting Review Evidence Excel

| Alert ID | Score | Focus Type | Focus | Scenario | Highlights | Created | Business Date | Status | Due | Owner | Last Follow-up/Close Action | Linked Cases |
|----------|-------|------------|---------------------------|-----------------------|------------------------|------------|---------------|--------|-----|------------|-----------------------------|--------------|
| 13542 | 0 | AC | ACE/MPTRANSBELOWLIMIT-001 | Emp Trans Below Limit | 2 Matches; 1 Scenarios | 09/05/2014 | 12/10/2009 | Open | -- | SUPERVISOR | -- | 0 |

Figure 4. Alerts Search and List Page

2. Click **Advanced Search**.

3. Select the required **Scenario Class** and **Focus Type** from the drop-down list.

Alerts

Search Views Advanced Search Reset Go

Created From: 10/01/2014 Created To: 10/31/2014

Organization: Scenario Class: AM Scenario: Owner: Focus: AC

Status: Closing Action: Score:

Search By Alert ID: 13542

Note: Search by Alert ID will ignore all other search criteria.

Alert List (1)

Expand All Reassign Actions Disposition Email Export Regulatory Reporting Review Evidence Excel

| Alert ID | Score | Focus Type | Focus | Scenario | Highlights | Created | Business Date | Status | Due | Owner | Last Follow-up/Close Action | Linked Cases |
|----------|-------|------------|--------------------------|-----------------------|------------------------|------------|---------------|--------|-----|------------|-----------------------------|--------------|
| 13542 | 0 | AC | ACENPTRANSBELOWLIMIT-001 | Emp Trans Below Limit | 2 Matches; 1 Scenarios | 09/05/2014 | 12/10/2009 | Open | -- | SUPERVISOR | -- | 0 |

Figure 5. Alerts Advanced Search

Note: You can generate STRs only for specific a Scenario Class and Focus Type. For more information, refer to *Alert Management and Case Management User Guides*.

- Click **Go**.
- Select the required alerts from the Alert Search and List page and click **Regulatory Reporting** in the Action bar.

6. Select **Generate UG STR** from the Choose Action drop-down list in the *Monitoring Actions* Window and enter the comments

Monitoring Actions - Windows Internet Explorer

Selected Alerts: 13542

Choose Action: Generate UG STR

Reassign:

Set Due Date:

Suppression End Date:

Suppression Condition:

Standard Comments:

Comments: Generate Report

Auto Assignment

3985

Save Save and Attach Reset Cancel

Figure 6. Monitoring Actions Window

7. Click **Save**. The following confirmation message is displayed: *Would you like to save these actions?*
8. Click **OK**. A success message is displayed along with the alert ID. Click **OK**.
9. Navigate to the RR Search and List page. The latest alert on which **Generate UG STR** action was taken is displayed in the RR Search and List page.

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

Creating STR on a Case

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

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

Home

Monitoring

Investigation

Research

Regulatory Reporting

Reports

Preferences

About

?

Help

Cases

Views

Search

Advanced Search

Views: My Cases

Case List (71)

Jump to Page 1/4

Expand All

Assign

Reopen

Escalate

Resolution

Review

Monitor

Due Date

Evidence

Email

Export

Excel

| Case ID | Title | Type | Subtype | Due Date | Priority | Status | Owner | Assigned To | Linked Alert | Linked Cases | Created Date |
|---------------------------|--------------------|------------------|---------------------|------------|----------|---------------|------------|-------------|--------------|--------------|--------------|
| CA800121 | ds | Anti-Money La... | Patriot Act - Cl... | 05/22/2014 | High | Monitor | SUPERVISOR | SUPERVISOR | 3 | 0 | 05/20/2014 |
| CA1600116 | Anticipate Prof... | Fraud | Account and P... | 05/23/2014 | High | File KE STR | SUPERVISOR | SUPERVISOR | 1 | 0 | 05/23/2014 |
| CA3800102 | Hidden Relati... | Anti-Money La... | AML Surveillance | -- | High | File RW STR | SUPERVISOR | SUPERVISOR | 1 | 0 | 06/13/2014 |
| CA2400101 | AC w/Mult AD ... | Anti-Money La... | AML Surveillance | -- | High | File KE STR | SUPERVISOR | SUPERVISOR | 1 | 0 | 05/27/2014 |
| CA2300101 | Anticipate Prof... | Anti-Money La... | Terrorist Finan... | -- | High | Investigation | SUPERVISOR | SUPERVISOR | 1 | 0 | 05/23/2014 |
| CA1800103 | HR Trans - Fo... | Anti-Money La... | Terrorist Finan... | -- | High | File KE STR | SUPERVISOR | SUPERVISOR | 2 | 0 | 05/23/2014 |
| CA1700107 | Anom ATMBC... | Anti-Money La... | Terrorist Finan... | -- | High | File KE STR | SUPERVISOR | SUPERVISOR | 1 | 0 | 05/23/2014 |
| CA1700101 | CA1700101 | Anti-Money La... | Patriot Act - Cl... | -- | High | File KE STR | SUPERVISOR | SUPERVISOR | 0 | 0 | 05/23/2014 |
| CA1600137 | CA1600137 | Anti-Money La... | Patriot Act - Cl... | -- | High | File KE STR | SUPERVISOR | SUPERVISOR | 0 | 0 | 05/23/2014 |
| CA1600122 | CA1600122 | Fraud | Access/Online... | -- | High | File KE STR | SUPERVISOR | SUPERVISOR | 0 | 0 | 05/23/2014 |
| CA1600117 | CA1600117 | Anti-Money La... | Terrorist Finan... | -- | High | File KE STR | SUPERVISOR | SUPERVISOR | 0 | 0 | 05/23/2014 |
| CA1600115 | Anticipate Prof... | Fraud | Account and P... | -- | High | File KE STR | SUPERVISOR | SUPERVISOR | 1 | 0 | 05/23/2014 |
| CA1600109 | CA1600109 | Anti-Money La... | AML Surveillance | -- | High | File KE STR | SUPERVISOR | SUPERVISOR | 0 | 0 | 05/23/2014 |
| CA1600102 | CA1600102 | Fraud | Account and P... | -- | High | File KE STR | SUPERVISOR | SUPERVISOR | 0 | 0 | 05/23/2014 |
| CA1500112 | CA1500112 | Fraud | Account and P... | -- | High | File KE STR | SUPERVISOR | SUPERVISOR | 0 | 0 | 05/22/2014 |
| CA1500102 | CA1500102 | Fraud | Employee Fraud | -- | High | Investigation | SUPERVISOR | SUPERVISOR | 0 | 0 | 05/22/2014 |
| CA800107 | HR Trans - H... | Anti-Money La... | Enhanced Du... | -- | High | Investigation | SUPERVISOR | SUPERVISOR | 1 | 0 | 05/20/2014 |
| CA4100143 | Manual-AB-1 | Anti-Money La... | AML Surveillance | -- | Medium | Investigation | SUPERVISOR | SUPERVISOR | 1 | 0 | 06/16/2014 |
| CA4100142 | Manual-AB-1 | Anti-Money La... | AML Surveillance | -- | Medium | Investigation | SUPERVISOR | SUPERVISOR | 1 | 0 | 06/16/2014 |
| CA4100138 | Manual-AB-1 | Anti-Money La... | AML Surveillance | -- | Medium | Investigation | SUPERVISOR | SUPERVISOR | 2 | 0 | 06/16/2014 |

Figure 7. Cases AML/Fraud Search and List Page

2. Select one or more cases in *New* statuses from the Search & Case List page using the check boxes, and click the **Resolution** action category.

3. Select **Generate UG STR** from the Select Action drop-down list in the *Investigation Actions* Window and enter the comments

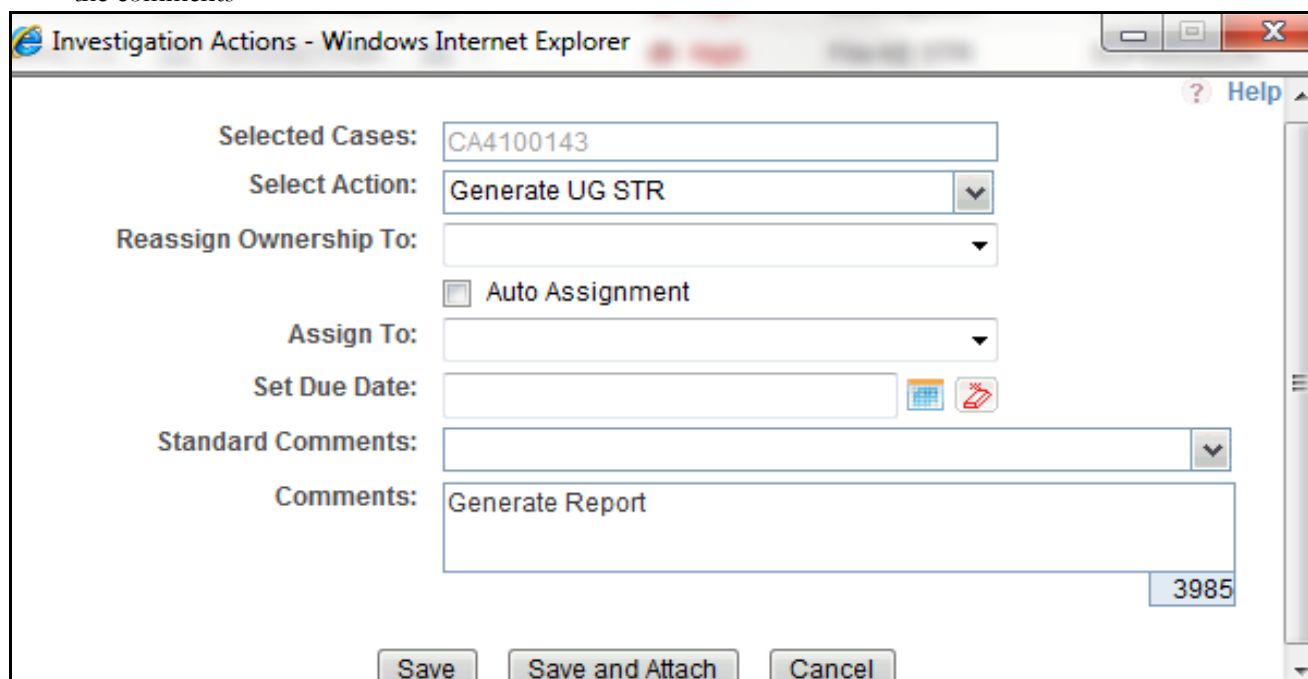


Figure 8. Investigation Actions Window

4. Click **Save**. The following confirmation message is displayed: *Would you like to save these actions?*
5. Click **OK**. A success message is displayed along with the Case ID. Click **OK**.
6. Navigate to the RR Search and List page. The latest case on which Generate UG STR action was taken is displayed in the RR Search and List page.

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

Sending Acknowledgement to OFSFCCM from Regulatory Reporting

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

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

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

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

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

- User ID failure

- Unsuccessful mandatory information verification
- System/Application Error

The negative acknowledgment sent to OFSFCCM contains the following details:

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

Note: If an alert or case fails to successfully complete the Generate UG STR action, then the failure is recorded in the alert or case audit history.

Creating a New STR from OFSRR

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

Note: Users mapped to the role of Analyst and Supervisor can create a new regulatory report.

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

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

Figure 9. Create New Report

2. Enter the required information in the fields.

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

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

Table 6. Creating New Report

| Fields | Description |
|---------------|---|
| Report Name | Enter a name for the report being created. Note: This field is a mandatory field. |
| Alert/Case ID | Enter the Alert/Case ID associated with the suspicious transaction. |
| Report Type | This field is auto-populated with the report type. Note: This field cannot be edited. |
| Attribute 1 | Classifies the attribute of a report being created. The attributes that are available in the drop-down list are based upon your firm's configuration. For example, Jurisdiction. Note: This is a mandatory field. |
| Attribute 2 | Classifies the attribute of a report being created. The attributes that are available in the drop-down list are based upon your firm's configuration. For example, Business Domain. |

Table 6. Creating New Report

| Fields | Description |
|--------------|---|
| Attribute 3 | Classifies the attribute of a report being created. The attributes that are available in the drop-down list are based upon your firm's configuration. For example, Case Type. |
| Attribute 4 | Classifies the attribute of a report being created. The attributes that are available in the drop-down list are based upon your firm's configuration. For example, Sub Type. |
| Attribute 5 | Classifies the attribute of a report being created. The attributes that are available in the drop-down list are based upon your firm's configuration. For example, Organization. |
| Created Date | This field is auto-populated with the current system date. Note: This field cannot be edited. |
| Created By | This field is auto-populated with the logged in user's name. Note: This field cannot be edited. |

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

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

Note: The report details of the manually created STR are not sent to OFSFCCM.

Searching STRs

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

The Reports List displays the list of reports that meet the criteria specified on the Regulatory Reporting Search bar. This section explains the following topics:

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

Searching Reports Using SimpleSearch

This search is based on a limited set of search components and helps to retrieve the required reports details. To search for reports using the simple search components, follow these steps:

1. Navigate to the Search and List page..

Regulatory Reporting

Regulatory Reporting >> Uganda STR >> Search and List

Search Views Advanced Search Reset Go

Report Number Report Name Report Status

Alert/Case ID Customer Name Transaction Account Number

Created By Created Date >= Created Date <=

Jurisdiction Due Date >= Due Date <=

Regulatory Reports (4)

Unwrap Create New Report Reopen Set Due Date Export to Excel

| Report Number | Report Name | Alert/Case ID | Created Date | Created By | Due Date | Status | Regulatory Report | Zip File |
|---------------|---------------------|---------------|--------------|--------------|------------|----------|-------------------|----------|
| 2103 | Report | 23 | 17-10-2014 | uganalyst | 24-10-2014 | Approved | | |
| 2243 | Test Drive | - | 17-10-2014 | ugsupervisor | 24-10-2014 | Open | | |
| 2327 | rail1 | - | 20-10-2014 | ugsupervisor | 27-10-2014 | Open | | |
| 2507 | Suspicious Activity | - | 29-10-2014 | uganalyst | 05-11-2014 | Open | | |

Figure 10. Searching Reports using Simple Search

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

2. Enter the details in the relevant search fields to retrieve the list of reports. For detailed descriptions of search fields, refer *Table 7*.
3. Click **Go**. The relevant search list is displayed.

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

Searching Reports Using Advanced Search

The Advanced Search offers the same search fields as provided for a simple search with an additional set of fields. If you know any of the report details such as Report Name, Report Status, Alert/Case ID, Transaction Account Number, Jurisdiction, Approved By, Approved Date, SubmittedBy, Submitted Date, and so on, then you can filter the list of reports using the advanced search components.

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

1. Navigate to Regulatory Reporting.

Regulatory Reporting

Regulatory Reporting >> Uganda STR >> Search and List

Advanced Search Save as View Views Search Reset Go

Report Number Report Name Report Status

Alert/Case ID Customer Name Transaction Account Number

Created By Created Date >= Created Date <=

Last Modified By Last Modified Date >= Last Modified Date <=

Approved By Approve Date >= Approve Date <=

Submitted By Submitted Date >= Submitted Date <=

Jurisdiction Due Date >= Due Date <=

Regulatory Reports (4)

Unwrap Create New Report Reopen Set Due Date Export to Excel

| Report Number | Report Name | Alert/Case ID | Created Date | Created By | Due Date | Status | Regulatory Report | Zip File |
|---------------|---------------------|---------------|--------------|--------------|------------|----------|-------------------|----------|
| 2103 | Report | 23 | 17-10-2014 | uganalyst | 24-10-2014 | Approved | | |
| 2243 | Test Drive | - | 17-10-2014 | ugsupervisor | 24-10-2014 | Open | | |
| 2327 | rain1 | - | 20-10-2014 | ugsupervisor | 27-10-2014 | Open | | |
| 2507 | Suspicious Activity | - | 29-10-2014 | uganalyst | 05-11-2014 | Open | | |

Figure 11. Advanced Search

2. Click **Advanced Search** on the **Search** toolbar.

Note: The application supports right-click options on some columns within the List header that allow users to specify sorting as well as hide or display columns.

- **Ascending** - This option allows you to sort the selected column in ascending order.
- **Descending** - This option allows you to sort the selected column in descending order.
- **Clear sort** - This option allows you to clear the selected sort option.
- **Field Chooser** - This option allows you to hide or display columns within the current list as well as modify the width of the columns. Click **OK** on Field Chooser to save the selected settings for the current session or click **Save** will save the selected settings for future logins.

3. Enter the search components to filter the reports.

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

Table 7. Components of RR Search Bar

| Criteria | Description | Search Components of Simple and Advanced Search |
|----------------------------|---|---|
| Report Number | Enter the Report Number in the text field to search for details of the exact report. You can also search for multiple Report Numbers by entering a string of comma-separated values in this field. This field is not a wildcard search. You can enter a maximum of 255 characters in this field. | Simple Search and Advanced Search |
| Report Name | Enter the report name to display the list of reports with name as specified in the search criteria. This field supports a wildcard search. You can use the% and _ as wildcard indicators. You can enter a maximum of 50 characters in this field. | Simple Search and Advanced Search |
| Report Status | Select the report status from the drop-down list to display reports in the selected status. Following are the options available for the Report status drop-down list: <ul style="list-style-type: none"> ● Select All ● Open ● Requested for Approval ● Approved ● Rework ● Submitted ● Cancelled ● Reopened Note: This field allows searching of reports with multiple options selected. | Simple Search and Advanced Search |
| Alert/Case ID | Enter the Alert/Case ID to display reports with the selected Alert/Case ID. You can perform a multiple Alert/Case IDs search by entering a string of comma-separated values in this field. This search is case-sensitive. You can enter a maximum of 255 characters in this field. Note: Alert/Case ID is the identifier that has triggered the creation of report in Regulatory Reporting application. | Simple Search and Advanced Search |
| Customer Name | Enter the customer name in this field to display all the reports where the entered name is involved in the suspicious activity Note: This field supports a wildcard search. You can use the% and _ as wildcard indicators. | Simple Search and Advanced Search |
| Transaction Account Number | Enter the transaction account number in this field to display reports with the selected account number involved in transaction. You can perform a multiple account number search by entering a string of comma-separated values in this field. It would search for reports based on Originator and Beneficiary account numbers. T | Simple Search and Advanced Search |

Table 7. Components of RR Search Bar

| Criteria | Description | Search Components of Simple and Advanced Search |
|------------------|---|---|
| Due Date>= | Select the due date from the calendar to display reports having a due date greater than or equal to the specified date. | Simple Search and Advanced Search |
| Due Date<= | <p>Select the due date from the calendar to display reports having a due date lesser than or equal to the specified date.</p> <p>Note: If there is a value provided for Due Date>= and if there is no value provided for Due Date<=, then Due Date<= is the current system date.</p> <p>Validations:</p> <ol style="list-style-type: none"> 1. While performing a range search, if you enter a value in 'Due date <=' less than 'Due date >=', the application displays the following message: <i>Please enter a 'Due Date <=' which is equal to or greater than 'Due Date >='.</i> | Simple Search and Advanced Search |
| Created By | <p>Select the user who has created the report from the drop-down list.</p> <p>Note: This field allows searching of reports with multiple options selected.</p> | Simple Search and Advanced Search |
| Created Date >= | <p>Select the created date from the calendar to display reports having a created date greater than or equal to the specified date.</p> <p>Note: You can either perform a range search using 'Created Date >=' and 'Created <=' or use them independently.</p> | Simple Search and Advanced Search |
| Created Date <= | <p>Select the created date from the calendar to display reports having a created date lesser than or equal to the specified date.</p> <p>Validations:</p> <ol style="list-style-type: none"> 1. While performing a range search, if you enter a value in 'Created Date <=' less than 'Created Date >=', the application displays the following message: <i>Please enter a 'Created Date <=' which is equal to or greater than 'Created Date >='.</i> 2. If you enter a value in created date <= greater than the system date, the application displays the following message: <i>Please enter a 'Created Date <=' which is earlier than or equal to sysdate.</i> | Simple Search and Advanced Search |
| Last Modified By | <p>Select the user who has last modified the report from the drop-down list.</p> <p>Note: This field allows searching of reports with multiple options selected with user names displayed as drop-down options.</p> | Advanced Search |

Table 7. Components of RR Search Bar

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

Table 7. Components of RR Search Bar

| Criteria | Description | Search Components of Simple and Advanced Search |
|----------------------|---|---|
| Submitted Date >= | Select the submitted date from the calendar to display reports having a submitted date greater than or equal to the specified date. | Advanced Search |
| Submitted Date <= | <p>Select the submitted date from the calendar to display reports having a submitted date lesser than or equal to the specified date.</p> <p>Validations:</p> <ol style="list-style-type: none"> 1. While performing a range search, if you enter a value in 'Submitted Date <=' less than 'Submitted Date >=', the application displays the following message: <i>Please enter a 'Submitted Date <=' which is equal to or greater than "Submitted Date >='.</i> 2. If you enter a value in 'Submitted Date <=' greater than the system date, the application displays the following message: <i>Please enter a 'Submitted Date <=' which is earlier than or equal to sysdate.</i> | Advanced Search |
| Jurisdiction | <p>Select the jurisdiction from the drop-down list to display reports mapped to the selected jurisdiction. Jurisdictions are defined by your institution.</p> <p>Every report is associated with a jurisdiction. When an STR is created from an alert or case, the STR inherits the jurisdiction that was associated to that alert or case.</p> <p>Each user has access to a set of jurisdictions. Every STR is associated with a single jurisdiction. A user has access to any report where the user's jurisdictions intersect with the STR's jurisdiction.</p> | Simple Search and Advanced Search |

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

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

Searching Reports Using Pre-defined Views

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

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

1. Navigate to Regulatory Reporting.

| Report Number | Report Name | Alert/Case ID | Created Date | Created By | Due Date | Status | Regulatory Report | Zip File |
|---------------|-------------|---------------|--------------|--------------|------------|----------|-------------------|----------|
| 2103 | Report | 23 | 17-10-2014 | uganalyst | 24-10-2014 | Approved | | |
| 2243 | Test Drive | - | 17-10-2014 | ugsupervisor | 24-10-2014 | Open | | |
| 2327 | rail1 | - | 20-10-2014 | ugsupervisor | 27-10-2014 | Open | | |

Figure 12. Searching Reports using Pre-defined Views

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

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

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

Table 8. Pre-defined Views

| Views | Description |
|---|---|
| Open/ Reopened/Rework - Reports Last Modified by Me | <p>Select Open/ Reopened - Reports Last Modified by Me from the drop-down list to display the list of reports in <i>Open</i> or <i>Reopened</i>, or <i>Rework</i> status for which the logged in user is the last modifier.</p> <p>Note: This option is the default view for an Analyst user.</p> |
| Reports Awaiting Approval | <p>Select Reports Awaiting Approval from the drop-down list to display the list of reports in <i>Requested for Approval</i> status.</p> <p>Note: This option is the default view for a Supervisor user.</p> |
| Reports Overdue | <p>Select Reports Overdue from the drop-down list to display the list of reports that have exceeded their due dates.</p> <p>When an STR is past its due date or when the due date is same as the system date, the STRs in the reports list are highlighted in Red color.</p> |

Table 8. Pre-defined Views

| Views | Description |
|------------------------------------|---|
| Reports Submitted in Last 3 Months | Select Reports Submitted in Last 3 Months from the drop-down list to display the list of reports that were submitted in the last three months. Note: This option is the default view for a user logged in as a Reviewer. |
| All Views saved by user | Select any of the views that you have created and saved using Save as View to display the reports as per the view selected. For more information, refer to Saving Views. |

Saving Views

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

To save a view, follow these steps:

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

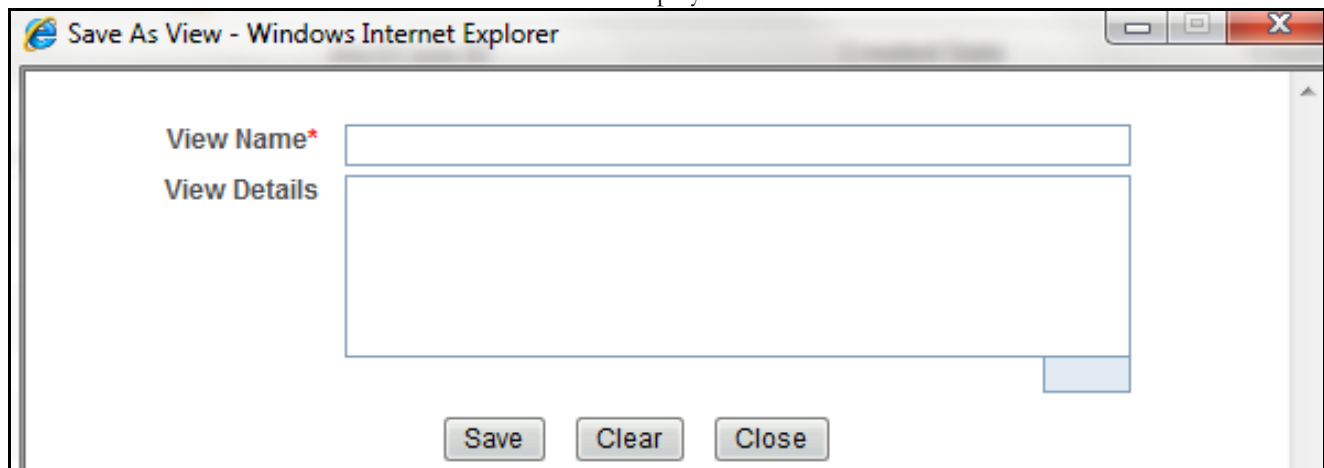


Figure 13. Save As View Window

4. Enter the view name and view details. The View details box in the *Save as View* window allows a maximum of 255 characters. As you begin entering the comments, the word count displayed below the comments box keeps decreasing. If you try to enter more than 255 characters in this box, the following message is displayed: *Number of characters exceeded*.
5. Click **Save**. The following message is displayed: *Add Operation Successful*.
6. Click **OK**. The view is saved and is displayed in the **Views** drop-down list.

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

Submitting an STR for Approval

This process involves the following steps:

- Entering Report Details
- Taking Action on Reports

Entering Report Details

The Report Details page allows users mapped to the role of Analyst and Supervisor to enter or update report information depending upon the report status. For more information on various statuses in which an Analyst, Auditor, and Supervisor user can edit the report details, refer to *Table 4*.

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

The Report Details page allows you to manage following sections:

- Report Context
- Managing Report Information
- Managing Documents
- Viewing Audit

Report Context

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

| Report Context | | | |
|----------------|--------------------|----------------------|---------------------|
| - | Report Name | 13542-10182014184259 | Report Status |
| | Alert/Case ID | 13542 | Approved |
| | Created By | FCCM Supervisor | Report Number |
| | Created Date | 16-10-2014 18:42:59 | 2041 |
| | Jurisdiction | AMEA | Approved By |
| | | | bdsupervisor |
| | Last Modified By | bdsupervisor | Approved Date |
| | Last Modified Date | 17-10-2014 22:20:04 | 17-10-2014 22:20:04 |
| | Due Date | 23-10-2014 | |

Figure 14. Report Context

The report context includes the following information:

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

- Approved By
- Created Date
- Last Modified Date
- Approved Date
- Jurisdiction

Managing Report Information

This tab refers to the **Report Information** section.

Report InformationDocumentsAudit

Reporting Details

Reported By*

Position

Customer Details

Name of Clients* ?

Client Account Numbers* ?

Report Summary

Amount Involved - Deposits* ?

Amount Involved - Withdrawal* ?

Date STR Identified* ?

Affected Unit/Branch - Deposits* ?

Affected Unit/Branch - Withdrawal* ?

Action Taken*

Reason for Suspicion*

Involved Transactions (0)

Unwrap

Add

Remove

Validate

| Record Number | Transaction Number | Transaction Date | Transaction Type | Transaction Value (Base) | Originating Account Number | Originator Name | Beneficiary Account Number | Beneficiary Name | Affected Unit/Branch | Nature of Transaction |
|---------------|--------------------|------------------|------------------|--------------------------|----------------------------|-----------------|----------------------------|------------------|----------------------|-----------------------|
|---------------|--------------------|------------------|------------------|--------------------------|----------------------------|-----------------|----------------------------|------------------|----------------------|-----------------------|

Figure 15. Report Information Tab

The Report Information tab is the default tab selected when you navigate to the Report Details page. This tab includes the following sections:

- Reporting Details

- Customer Details
- Report Summary
- Involved Transactions

Reporting Details

This section refers to the details of the person reporting the suspicious activity. The following table explains the fields in the Reporting Details section:

Table 9. Reporting Details

| Fields | Description |
|-------------|---|
| Reported By | Select the name of the person reporting the suspicious activity. |
| Position | Enter the position of the reporting person. Note: The Position field gets auto-populated based on the Reported By field selected. Note: This field is non-editable. |

Customer Details

This section refers to the details of the customer reported for suspicious activity. The following table explains the fields in the Customer Details section.

Table 10. Customer Details

| Fields | Description |
|------------------------|---|
| Name of Clients | Enter the name of the clients involved in the reported suspicious activity. Note: Client Names can be entered manually or triggered by the Alert/Case ID. The values entered appears on each transaction row in the final STR. Note: You can search for multiple names by entering a string of comma-separated values in this field. |
| Client Account Numbers | Enter the account numbers of the clients involved in the reported suspicious activity. Note: Client account numbers can be entered manually or triggered by the Alert/Case ID. The values entered appears on each transaction row in the final STR. Note: You can search for multiple account numbers by entering a string of comma-separated values in this field. |

Report Summary

This section shows the summary of the transaction details. The following table explains the fields in the Report Summary section:

Table 11. Report Summary

| Fields | Description |
|-----------------------------------|--|
| Amount Involved - Deposits | Enter the total amount involved in the transactions where the nature of transaction is Deposits. Note: While saving, if the amount exceeds the maximum length, the system will display an error message: <i>Amount is invalid. It should have no more than 20 digits before and 8 digits after decimal.</i> |
| Amount Involved - Withdrawal | Enter the total amount involved in the transaction where the nature of transaction is Withdrawal. Note: While saving, if the amount exceeds the maximum length, the system will display an error message: <i>Amount is invalid. It should have no more than 20 digits before and 8 digits after decimal.</i> |
| Date STR Identified | Enter the date on which the first transaction took place. |
| Affected Unit Branch - Deposits | Enter the name of the branch of the financial institution which got affected due to reported activity where the nature of transaction is Deposits. Note: You can search for all the affected branch by entering a string of comma-separated values in this field. |
| Affected Unit Branch - Withdrawal | Enter the name of the branch of the financial institution which got affected due to reported activity where the nature of transaction is Withdrawal. Note: You can search for all the affected branch by entering a string of comma-separated values in this field. |
| Action Taken | Enter a brief description about the action taken after recognizing the suspicious activity. |
| Basis of Suspicion | Enter a brief justification on the basis of which the activity was reported as a suspicious activity. |

Involved Transaction

The fields in the following grid will be populated as per the data received from FCCM. The system displays five transaction records per page in the transaction grid. The following table displays the fields in the Involved Transaction section:

Table 12. Involved Transaction

| Fields | Description |
|--------------------|--|
| Record Number | Enter the unique identifier to view the exact transaction. |
| Transaction Number | Enter the unique identifier for the transaction |
| Transaction Date | Enter the date on which the transaction took place. |
| Transaction Type | Enter the type of the transaction. |

Table 12. Involved Transaction

| Fields | Description |
|----------------------------|---|
| Transaction Value (Base) | Enter the value of the amount involved during the transaction. If the amount exceeds the given the maximum length, the following message is displayed: <i>Amount is invalid. It should have no more than 20 digits before and 8 digits after decimal.</i> Note: The transaction value is taken as base currency. |
| Originating Account Number | Enter the account number of originator of the transaction. |
| Originator Name | Enter the account number of the receiver of the transaction. |
| Beneficiary Account Number | Enter the account number of the receiver of the transaction. |
| Beneficiary Name | Enter the name of the receiver of the transaction. |
| Affected Unit/Branch | Enter the name of the branch of the financial institution affected due to reported activity |
| Nature of Transaction | Select the Nature of Transaction from the drop-down list: <ul style="list-style-type: none"> ● Deposit ● Withdrawal |

Managing Documents

The Documents tab allows you to attach and remove documents related to an STR. While filing the STR with the regulatory authorities, you can also send additional documents. Sending the documents to the Regulator is the responsibility of the user and is out of scope of the application.

Users mapped to the role of an Analyst and Supervisor can attach and delete documents in various statuses except when the report is in *View Only* mode. For more information on various statuses in which an Analyst, Auditor, and Supervisor user can edit the report details, refer to *Table 4*.

To attach a document, follow these steps:

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

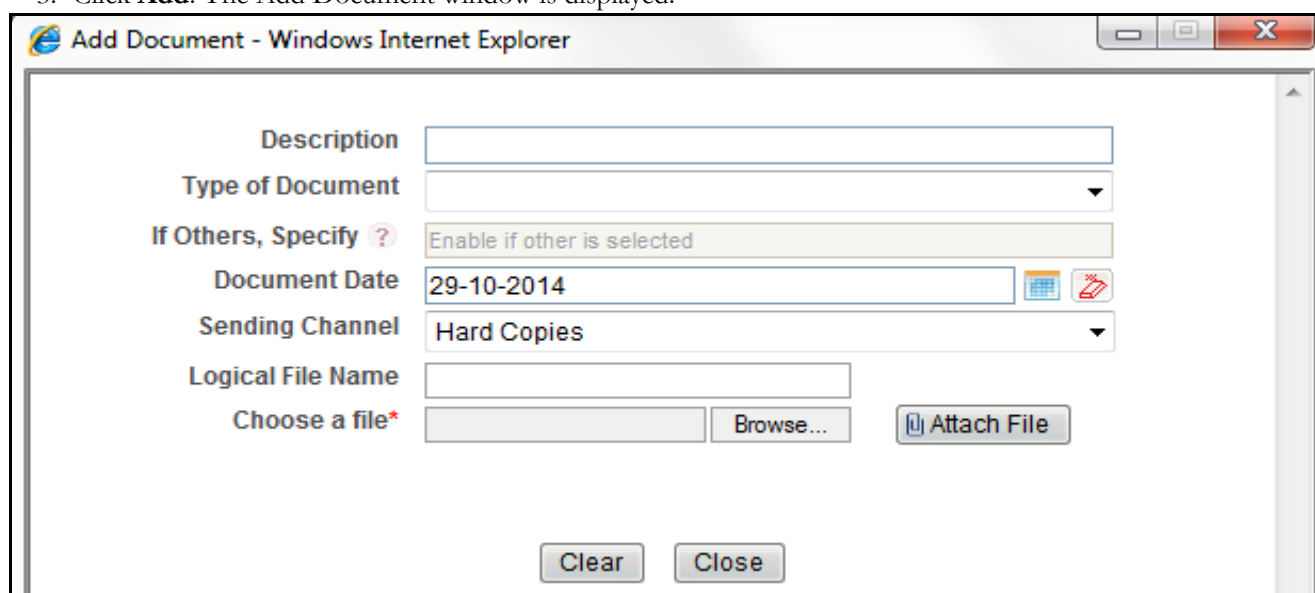


Figure 16. Add Document Window

4. The following table explains the fields in the Document tab.

Table 13. Add Document Fields description

| Fields | Description |
|--------------------|--|
| Description | Enter a brief description about the document attached. |
| Type of Document | Select the Type of Document from the drop-down list: <ul style="list-style-type: none">● Cheques● Vouchers● Import and Export License● Standing Instructions● FT Forms● Others |
| If Others, Specify | Specify the document, if the type of document is Others. Note: This field will not be available for any further update on UI and will not be populated in the final STR word document. |
| Document Date | Enter the relevant Transaction date of the document being attached. |

Table 13. Add Document Fields description

| Fields | Description |
|-------------------|---|
| Sending Channel | <p>Following are the options:</p> <ul style="list-style-type: none"> ● Electronic Mailing ● Hard Copies <p>Note: By Default, the sending channel is selected as Hard Copies.</p> |
| Logical File Name | <p>Enter a logical file name for the document.</p> <p>Note: If there is no logical name entered, then the document name will be considered as the Logical File Name.</p> |
| Choose a File | Browse the file on your machine and upload the file |

5. Click **Attach File**. The following message is displayed: *Add Operation Successful*
 6. Click **OK**. The file is attached and you are navigated back to the Add Document pop-up window.
- You can click **Close** to navigate back the Document tab or can attach additional documents.

Editing the Document Details

All the fields in the document grid are in editable mode.

To edit the fields, follow these steps:

1. Navigate to the Report Details page.
 2. Click the **Documents** tab.
- The list of added documents associated with the report are displayed in the Documents grid.
3. Select the check box at the beginning of an added document row or click anywhere in the row.
- The document record changes into an editable mode.
4. Edit the required field.
 5. Click **Save**. The following message is displayed: *Update Operation Successful*.
 6. Click **OK**. The document is updated with the latest changes.

Removing Documents

The Document tab allows you to remove the documents attached to a report.

To remove the documents attached, follow these steps:

1. Navigate to the Report Details page.
 2. Click the **Documents** tab.
- The list of documents associated to the reports is displayed in the Documents grid.
3. Select the check box of the document you want to delete.
 4. Click **Remove**. The following message is displayed: *Are you sure you want to remove this record (s)?*
 5. Click **OK**. The following message is displayed: *Record Removed Successfully*.
 6. Click **OK**. The document is removed from the Documents grid.

Viewing Audit

The Audit tab displays actions taken on the report.

| Report Information Documents Audit | | | |
|--|-----------|-----------------------------------|----------|
| Actions (2) Unwrap Export to Excel | | | |
| Date | Action By | Action | Comments |
| 24-10-2014 11:50:46 | bdanalyst | Added New Document - RR252_C2.txt | -- |
| 24-10-2014 11:50:25 | bdanalyst | Created Manually | -- |

Figure 17. Audit Tab

The Audit tab displays the Actions grid

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

Table 14. Actions Grid Field Descriptions

| Fields | Description |
|-----------|--|
| Date | Displays the date on which the action occurred. |
| Action By | Displays the name of the user who performed the action. |
| Action | Displays a short description of the action. OFSRR captures the following actions in the Audit tab: <ul style="list-style-type: none">● Created From Alert/Case● Created Manually● Modified Report Information● Added New Document● Modified Document● Removed Document |
| Comments | Displays the comments entered by the user while performing an action. |

Taking Action on Reports

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

- Requesting the Report for Approval
- Approving Reports
- Reworking on Reports
- Cancel Filing of Reports
- Reopening Reports
- Submitting Reports

Requesting the Report for Approval

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

A Supervisor can view/edit the report submitted for approval by an analyst and can either approve the report, send the reports for rework or cancel filing of the report.

For more information, refer to *Table 2*.

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

1. Navigate to the Reports Details page of report in either *Open*, *Reopen*, or *Rework* status.
2. Click **Request for Approval**.

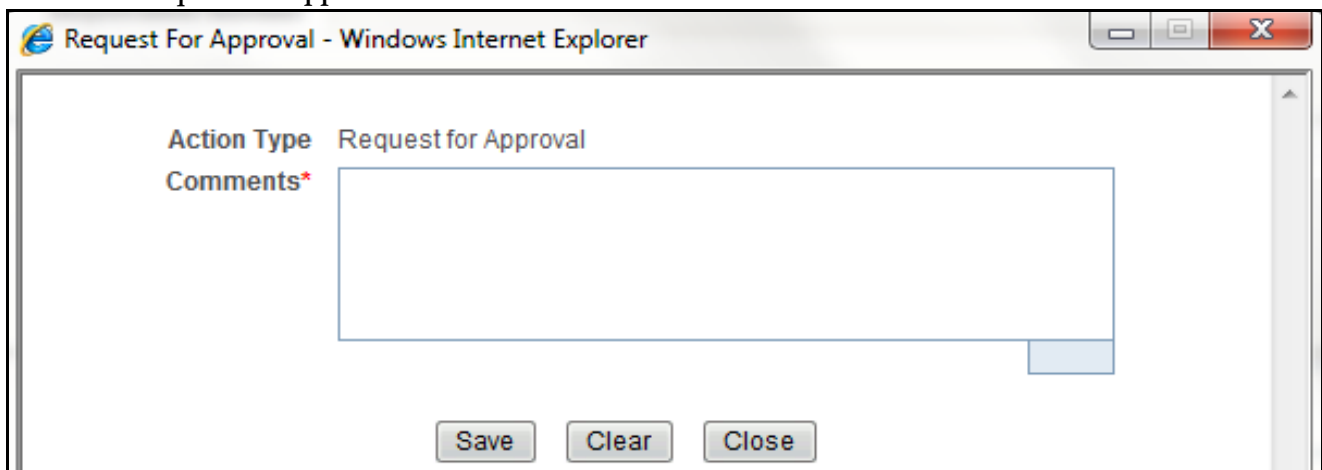


Figure 18. Request for Approval Window

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

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

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

4. Click **Save**. The following message is displayed: *Add Operation Successful*.
5. Click **OK**. The Report Details page is displayed and the status of the STR changes to *Requested for Approval*. The Actions grid in the **Audit** tab tracks both the actions and the comments entered while performing the **Request for Approval** action.

Approving Reports

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

To approve an STR, follow these steps:

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

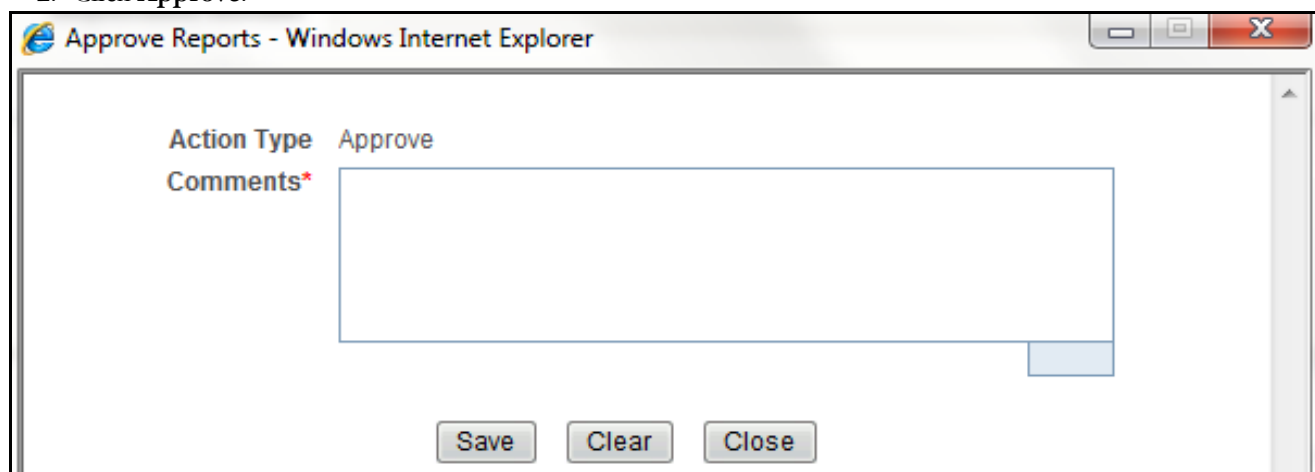


Figure 19. Approve Reports Window

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

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

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

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

Note: The naming convention for final STR is in the format STR_Alert/Case ID_Approved Date (DD-MM-YYYY_HH24-MM-SS).doc, if the report is created from OFSFCCM. You can rename the final STR while saving.

Note: When the report is created manually, the naming convention for final STR is in the format STR_Manual_Approved Date (DD-MM-YYYY_HH24-MM-SS).doc.

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

Note: Once the report is approved, the Regulatory Reporting application generates the final STR containing the required information that must be submitted to the regulatory authority. The Actions grid in the **Audit** tab tracks both the actions and the comments entered while performing the **Approve** action.

Reworking on Reports

A Supervisor can send reports for rework if there is incomplete or inaccurate information in the report, or for additional investigation. The Report Details page allows a Supervisor to take Rework action on reports.

If a report is sent for rework, the Analyst must rework on the report and submit again for approval. The process continues until the report is approved or cancelled.

To send a report for rework, follow these steps:

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

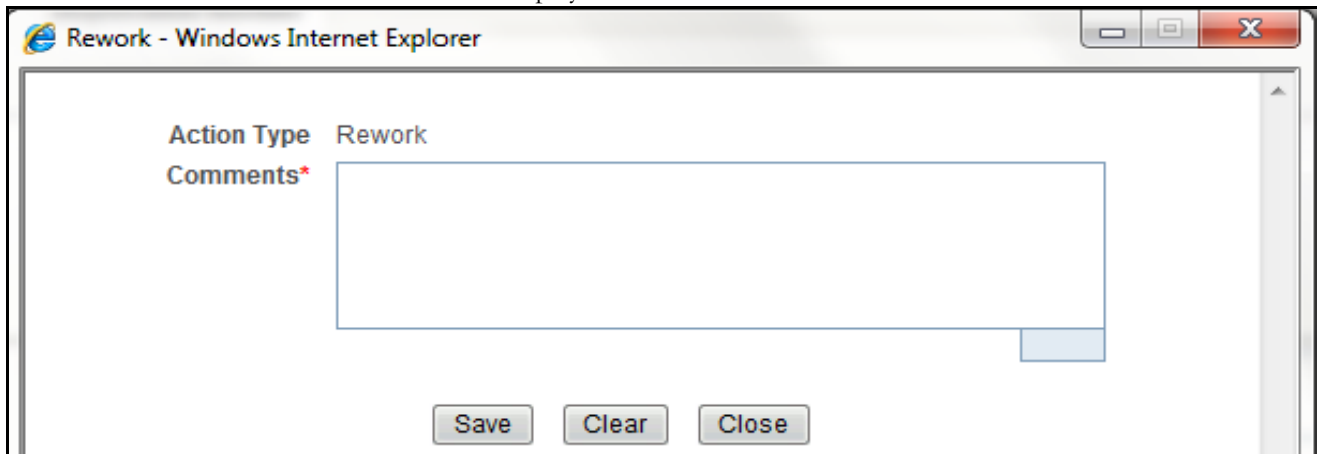


Figure 20. Rework Window

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

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

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

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

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

Cancel Filing of Reports

If the users determine that a report should not be filed, then they can cancel it.

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

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

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

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

1. Navigate to the Report Details page.

2. Click **Cancel Filing**. The *Cancel Filing* window is displayed.

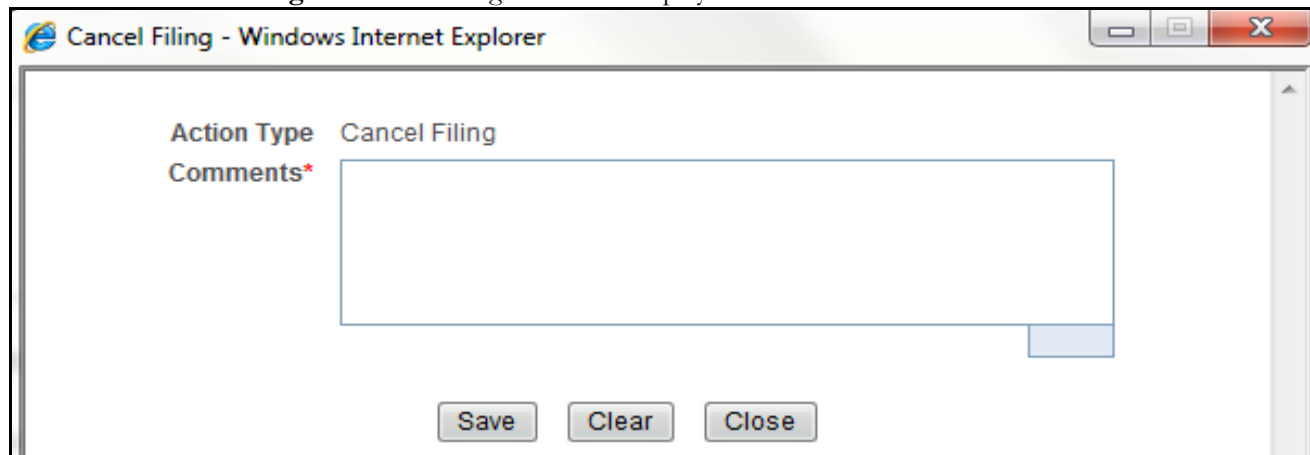


Figure 21. Cancel Filing Window

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

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

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

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

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

Reopening Reports

The Search and List page and the Report Details page allows authorized users to initiate reopen action on a report. For more information, refer to Table 2.

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

1. Navigate to the Report Details page of a report in *Cancelled* status.

2. Click **Reopen**. The *Reopen Reports* window is displayed.

The screenshot shows a web browser window titled "Reopen - Windows Internet Explorer". The main content area contains a form with the following elements:

- Action Type**: A dropdown menu currently showing "Reopened".
- Due Date**: A text input field with a calendar icon to its right.
- Comments***: A large text area for entering comments.
- Buttons**: Three buttons at the bottom: "Save", "Clear", and "Close".

Figure 22. Reopen Reports Window from Report Details Page

3. Set the due date and enter the comments in the *Reopen* window. If you set the Due Date Required Flag attribute to **Y**, you must enter a due date. If you set the Due Date Required Flag attribute to **N**, you can optionally enter a due date.

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

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

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

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

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

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

Note: You can select multiple reports from the search and list page and collectively reopen them. If you try to perform reopen action on reports other than in *Cancelled/Submitted* status, the application displays the following message: *Some reports are not in Cancelled or Submitted state. Reopen action can only be taken on Cancelled or Submitted reports. Please deselect those reports and try again.*

3. Click **Reopen**. The *Reopen Reports* window is displayed.

| Report Name | Due Date | Comments* |
|---|----------|-----------|
| <input checked="" type="checkbox"/> Suspicious Activity | | |

Figure 23. Reopen Reports Window from Search and List Page

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

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

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

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

6. Click **OK**. The RR Search and List page is displayed and the status of the report changes to *Reopen*.

Note: If you try to reopen reports other than in *Cancelled* or *Submitted* status, the application displays the following message: *Some reports are not in Cancelled or Submitted state. Reopen action can only be taken on Cancelled or Submitted reports. Please deselect those reports and try again*.

Submitting Reports

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

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

If you try to submit submitted action on reports that are not in *Approved* status, the application displays the following message: Submitted action can only be taken on Approved reports.

The Report Details page and RR Search and List page allows the Supervisor to submit approved reports.

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

1. Navigate to the Report Details page of a report in *Approved* status.

2. Click **Submit**. The *Submit Reports* Window is displayed..

Figure 24. Submit Reports Window from Report Details Page

3. Enter the comments in the *Submit Reports* window.

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

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

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

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

To submit a report from RR Search and List page, follow these steps:

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

Note: You can select multiple reports from the search and list page and collectively mark them as submitted.

3. Click **Submit**. The *Submit Reports* Window is displayed.

Submit Reports - Windows Internet Explorer

Updated By bdsupervisor

Submitted (1)

| Report Name | Comments |
|----------------------|----------|
| 13542-10162014184259 | |

Save Clear Close

Figure 25. Submit Reports Windows from Search and List Page

4. Enter the comments in the *Submit Reports* window.
5. Click **Save**. The following message is displayed: *Update Operation Successful*.
6. Click **OK**. The RR Search and List page is displayed.

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

Adding Comments to an STR

The Report Details page allows users mapped to the role of Analyst, Auditor, and Supervisor to add comments to a report. You can add comments to a report in any status.

To add comments to a report, follow these steps:

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

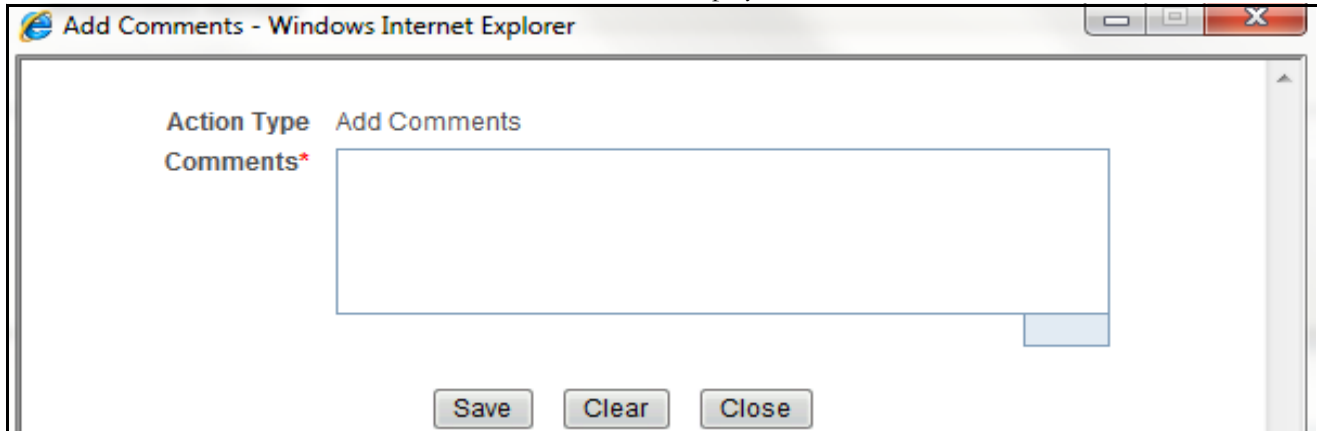


Figure 26. Add Comments Window

3. Enter the comments in the *Add Comments* window.

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

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

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

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

Setting Due Date of an STR

Analyst and Supervisor users can set a due date or modify an existing due date of a STR.

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

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

Table 15. Statuses where Analyst and Supervisor can perform Set Due Date action

| Menus | Roles | |
|------------------------|---------|------------|
| | Analyst | Supervisor |
| Open | X | X |
| Reopened | X | X |
| Requested for Approval | X | X |
| Rework | X | X |
| Approved | X | X |

Note: A auditor user can only view the Due Date but cannot set or edit it.

To set the due date of a report from the Report Details page, follow these steps:

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

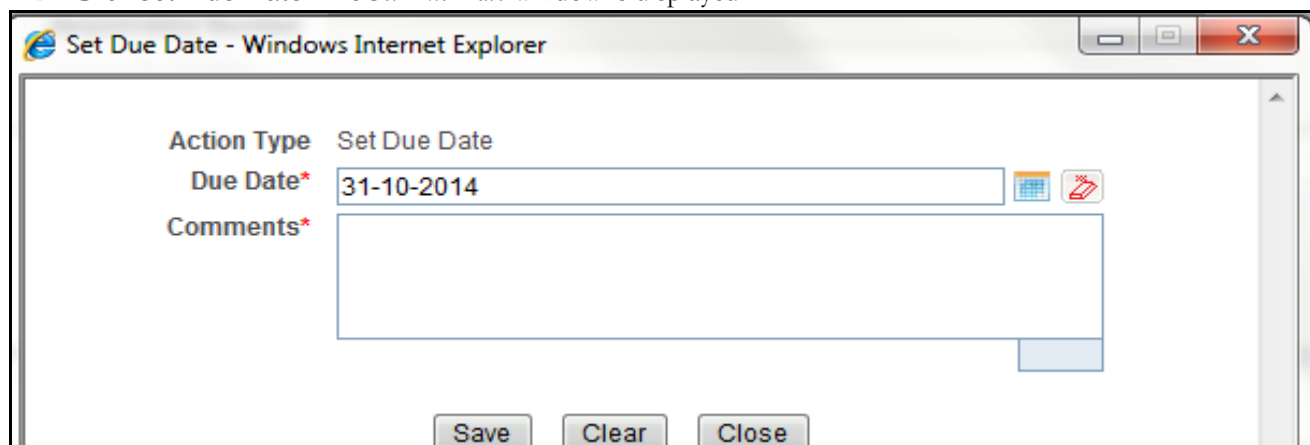


Figure 27. Set Due Date Window

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

Note: This field is a mandatory field.

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

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

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

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

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

To set the due date of an STR from the RR Search and List page, follow these steps:

1. Navigate to the RR Search and List page.
2. Select the check-box of the report you want to set a due date for.
3. Click **Set Due Date** in the Action bar. The Set Due Date window is displayed.

Note: If the selected report already has a due date set, then the existing due date can be edited. While setting a due date if you include reports that are in Submitted or Cancelled status, the following warning message is displayed: *Some of the reports are in Submitted or Cancelled state. Due date cannot be set on these reports. Please deselect those reports and try again.*

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

Note: This field is a mandatory field.

5. Enter the comments in the *Set Due Date* window.

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

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

6. Click **Save**. The following message is displayed: *Update Operation Successful.*
7. Click **OK**. The RR Search and List page is displayed.

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

Exporting the Report Details to Excel

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

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

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

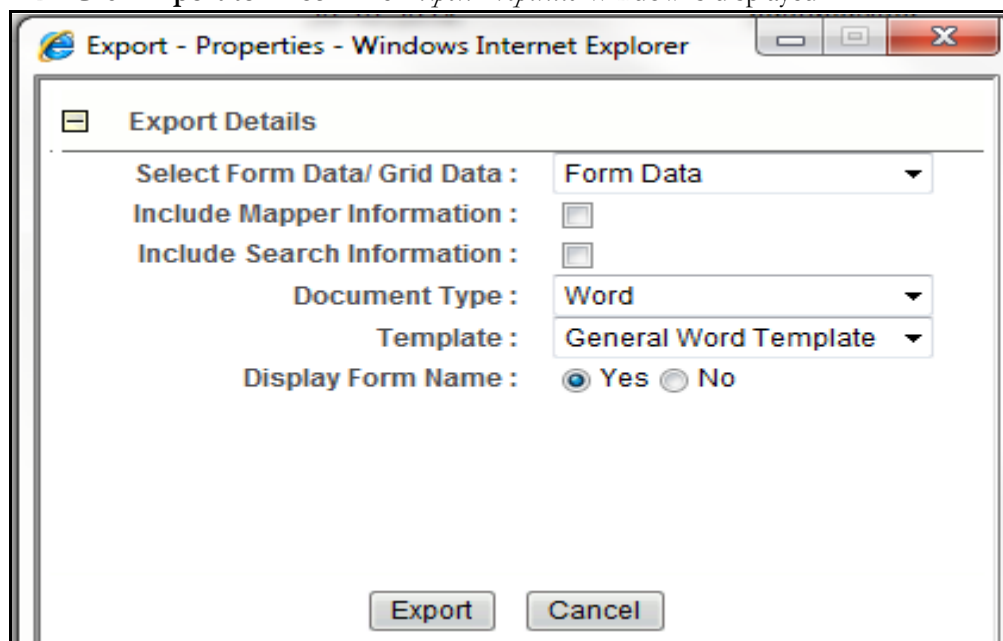


Figure 28. Export Properties Window

All the reports in the RR Search and List page are exported into an Excel template. You cannot export individual reports into Excel.

3. Set Document Type as **Excel** and select Form Data/Grid Data as **Grid** Data.
4. Click **Export** in the Export Properties dialog box.

When processing is complete, the data is displayed in an Internet Explorer window with a dialog box.

5. Click **Save** from the dialog box. The Save As dialog box is displayed.
6. Select a directory location where you want to save the file.
7. Enter a new name in the File Name field or the application automatically generates a name for the file to accept.
8. Click **Save**.

The application saves your file to the specified location.

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

